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### **Editorial Notes**

Based on the Mandates given to the Ethiopian Civil Service University, the university is playing a role of building the capacity of public sector through specialized education, research and community services, training and consultancy to support the development and good governance efforts. As usual, The Research and Publication Office made concerted efforts to ensure high level standards in all processes of research work as well as the Fourth National Conference. Accordingly, conference process and accomplishments went colorfully. Continuous preparatory works are made using different mechanisms that range from staff mobilization to use of media and mobilization of stakeholders.

Following the advertisement, researchers from all over the country submitted their research papers. Participants are invited for the conference considering the source of papers and the degree of collaboration with the university. The conference is successfully held from May 22-23, 2018. The conference gives greater platform for academic connection and knowledge exchange. Thirty one research papers were presented at the conference out of which seven articles were submitted from researchers out of the university. Participants from industry use results of the study to re-visit their policy and strategy environments. The deliverables from the conference contribute for the ongoing public sector transformation and development.

I would like to use this opportunity to extend my thanks for all who contributed from the very preparation of the conference to its completion without whose supports the successfulness of the conference would be difficult. Special thanks of gratitude go to higher officials of the university, members of organizing committee and sub-committee, paper presenters, moderators, participants and reporters. I would to thank Ato Tesfaye Gebremeskel, Editing Manager for his invaluable contributions from the beginning to the end of the work.

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# **Factors Affecting the Sustainability of Information Technology Projects in Public Organizations: The Case of the Ethiopian Revenues and Customs Authority**

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## **Abstract**

*The study focuses on factors affecting the sustainability of information technology projects in the Ethiopian Revenue and Customs Authority (ERCA). One of the research questions of the study is what are the major factors that positively and/or negatively affect the sustainability of IT projects in ERCA after their official closure? Both qualitative and quantitative research methods are used so as to address the stated research question. The alignment of the introduced systems with the vision and mission of the Authority, the establishment of Information Technology Management Directorate which provides technical support for users, the acceptance of the technology by the users as it is useful for them to be efficient and effective and others are the identified factors that are positively influencing the sustainability of IT projects in ERCA. Some of the factors that affect the sustainability of the products of IT projects negatively include absence of organizational policy and guideline which can govern the utilization of IT, incompatibility of the existed technologies with some of the national proclamation and so forth. To sum up, it is difficult to say as IT projects introduced to administer tax in ERCA are sustainable to some extent rather they are “challenged projects.” Therefore, to address the identified gaps, designating organizational policy and guideline to govern the products of the IT projects scientifically is critically needed by ERCA. Also, the Authority should work with the concerned federal stakeholders so as to create alignment between the national frameworks and the introduced IT systems.*

**Key words:** Project, Sustainability, E-Government, Information Technology

## **1. Introduction**

Public organizations expend on information technology (IT) mainly to enhance the social benefit of citizens (Carbrea, 2015). Providing efficient and effective services by government or public organization electronically with the help of ICT is known as e-government (Ziemba, Papaj, and Jadamus-Hacura, 2015). In e-government, the sustainability of the products of IT projects in government organizations refers to the continuous utilization the e-government systems without abandoning them and returning to paper works mainly after projects are official closed or handed-over (Nurdin, Stockdale and Scheepers, 2012).

But the sustainability of projects can be affected by different internal and external factors such as project level and institutional as well as contextual factors, respectively. The research is therefore; focus on the factors affecting the sustainability of IT projects in the Ethiopian Customs and Revenues Authority (ERCA).

In many literatures, one of the reasons why many IT and non-IT products of projects are underutilized, abandoned or closed mainly after their official closure or handed-over is due to insufficient attention given to the dimensions of sustainability from the outset of the project endeavors (Schwalbe, 2014).

In Ethiopia, the success rate of IT and non-IT projects is so low just like the other developed and developing countries. For instance, ICT projects such as WoredaNet and SchoolNet that have been undertaken by the Ethiopian government in the last decade cost about \$ 100 Million. Conversely, most of these initiatives are unsuccessful. One of the identified reasons for their failure is insufficient attention given to the sustainability issues starting from the beginning when projects are conceived (Lemma, Solomon and Mesfin, 2012). Getaw (2017:1) has further noted that “the concept of post completion sustainability is not yet recognized as a crucial and part of the project process in the developing countries like Ethiopia. Sustainability is still seen as a "nice-to-have" addition to the normal practice...”

As far as the assessed literatures are concerned, there is scanty of studies on the factors affecting the sustainability of projects in general and IT projects sustainability in particular. Therefore, understanding the experiences of ERCA is the rationale behind the researcher has to deal with this theme so as to fill in the research gaps.

The objectives are:

- To investigate the extent to which the benefits of IT projects undertaken in ERCA continue after they have been routinized, and
- To find out the major factors that affect the sustainability of IT project after their official closure.

## **2. Review of Related Literatures**

### **2.1 Information Technology Projects and their importance in Public Organizations**

According to PMI (2008:5), “A project is a temporary endeavor undertaken to create unique product, service or result.” It is not an end in itself rather it is the means to achieve strategic goals and objectives of organizations which are usefully parts and parcels of strategic plans (Ibid).

IT projects are focusing on creating products, services or results mainly by employing hardware, software, and networks (Schwalbe, 2014). The reason why public organizations expend large amounts of money on IT projects is mainly to enhance the social benefits to be provided for citizens (Carbrera, 2015).

The services provided by government organizations with the help of ICT are known as e-government, electronic government or digital government. E-government not only facilitates the interaction of governments with citizens but it also eases the communication among employees of an organization (Ganapathy and Kumar, 2014). E-taxation is one of the examples of e-government (Ibid).

Especially, for countries where in-land revenue is one of the major sources of funding for the provision of social service for citizens, modernizing the administration of tax mainly through employing ICT is critically needed. To this end, many countries around the globe have been using one of the IT application systems, that is, Standard Integrated Government Tax Administration System (SIGTAS) in administrating the issues of tax. The same author has pointed out that SIGTAS can administer all the core taxes such as case management, audit, appeals and interest and penalty.

Automating tax administration has the following advantages. Some of them include achieving uniformity in applying tax laws, providing quality services and taxpayers' education, improving targeted audit programs and so forth (Ibid). According to Kariuki (2013:1-2), the advantages of using ICT in revenue administrations constitute improving client service and promoting voluntary compliance and hence increasing revenue collections- largely by making it more user friendly and convenient to file tax returns and pay any amounts due. Also, minimizing rent seeking circumstances by decreasing the level of interaction between taxpayers and revenue administration staff; and aiding better decision making are included in the advantages of ICT in tax administration.

## **2.2 Factors Affecting Project Sustainability**

Sustainability in the realm of project management is defined as the continuous provision of benefits of the results of a project (product or service) for its estimated or desired time mainly after a project is officially closed or handover regardless of the types of projects undertaken (Theuri, 2014). IT sustainability in government organizations refers to “the retaining and using of e-government systems with no intention by government organizations and its people to abandon it and return to the manual system.” (Nurdin, Stockdale and Scheepers, 2012:283).

Sustainability is one of the factors that determine project success (Soliman-Sabbil, & Mastour-Adam, 2015). Temtim, Solomon, and Amoroso (2009) have noted that ICT project success is not only measured from cost, time and scope parameters but also includes the extent to which products are assimilated or integrated in different functional units in order to make their service effective and efficient.

Countries of the world have been spending their huge amount of resources on IT projects by taking it as one means of their competitive advantage and/or provide efficient and effective services for their citizens/clients. Nwakanma *et al.* (2013) also described the high expense of IT projects in quantitative terms as “capital intensive.” But Oino *et al* (2015: 759) has explained the as there is a difficulty of project sustainability in developing countries by stating “Project sustainability is a major challenge... in many developing countries. Most projects implemented at huge amounts often tend to experience difficulties with sustainability.”

According to Ahemed-Nawi *et al* (2013:247), among the ICT Hubs introduced in Malaysia, for instance, only 19 percent have found sustained after 10 years of the undertaking of the projects. In other words, 81 percent of them “failed to sustained, either because it were underutilized, abandoned or closed.” In addition, out of seven projects which are undertaken in South Africa, Tanzania and Zambia, only two (30 percent) were sustained (Theuri, 2014).

In the last decade, the Ethiopian government has been commenced ICT projects such as *WoredaNet* and *SchoolNet* and cost about \$ 100 Million. But most of these initiatives are unsuccessful. One of the identified reasons for their failure is insufficient attention given for the issues of sustainability from the beginning when projects are conceived (Lemma, Solomon and Mesfin, 2012). Getaw (2017:1) has further noted that “the concept of post completion sustainability is not yet recognized as a crucial and part of the project process in the developing countries like Ethiopia.” The same author has argued that making sustainability components of a project part and parcel of the process groups are missed instead it is considered as "nice-to-have" idea.

There are internal and external factors that contribute positively and negatively on the sustainability of projects (Carboni, 2014; Salla, 2014). (Winstead, 2012) have revealed that the former is linked with the process in which projects are managed whereas the latter one is associated with the host organization and the environment that are external to the organization.

### **2.2.1 Internal Factors**

According to Steinfort and Walker (2007), one of the most important internal factors that affect project sustainability is a project level which includes the way in which projects are managed before their official closure. This is because the outcomes of the projects are determined by the way in which they are managed during the whole project management processes including initiating, planning, executing, monitoring and controlling as well as closing (Salla, 2014; Schwalbe, 2014).

The initiating process group is the initial stage to approve “a new project or a new phase of an existing project” to be commenced and to exert human and non-human resources (PMI, 2008:45). According to Pinto and Slevin (1987) activities which are expected to be undertaken at the initiation stage like the identification of preliminary project scope and objectives and their alignments with the business objective, the stakeholders who are expected to be involved in the endeavor in different aspects, the assessment of the appropriateness of the technology which are intended to be put in place and others have a significant impact on project sustainability.

Planning process group involves further detailing of the project scope, objectives, requirements, stakeholders, risks, budget and activity durations that they were primarily specified in the initiating process group in a way that they can be practically implemented (Jarocki, 2014). Kasule (1996) has also identified three major activities that can be undertaken in the planning process group as detailed scheduling, budgeting, and the

allocation of other specific tasks and resources. Studies have shown that improper estimation of schedule and cost, lack of clear understanding about the objectives of a project, insufficient consideration of stakeholders' requirements and others are some of the reasons for the failure of project (Zuofa and Ochieng, 2014; Kerzner, 2009).

The actual products or results of a project are expected to be delivered during the executing project management process group (Harrow and Oblinger, 2015). The level of stakeholders' engagement and communication, the standards of the activities that are undertaken in comparison with what has planned the quality and quantity of the procured materials, methods of assuring quality and others are the concerns of sustainability in the executive process group (PMI, 2012).

Monitoring and controlling process group involves "those processes required to track, review, and regulate the progress and performance of the project; identify any areas in which changes to the plan are required; and initiate the corresponding changes" (PMI, 2008:39). In this stage, there are two aspects in which project sustainability can be taken into account. Identifying the standards to compare the identified targets against the progresses made and the method in which the progresses to measure made based on the identified standards are its aspects.

The closing process group involves officially declaring as the project has been completed all of its predetermined activities (Harrow and Oblinger, 2015; PMI, 2008). Formalizing and approving the completion of the project by all stakeholders, transferring of ownership of the project deliverables from the project team to beneficiaries or clients are some of the activities of the closing process group (Ibid; Pinto and Slevin, 1987). The sustainability dimension of the closing stage of a project involves the way in which the stakeholders of the host organization accept the product of the project.

In general, sustainability, in the context of project management, is not a standalone activity which can be employed only once in a projects' lifetime rather it is an ongoing activity throughout all project management process groups starting from initiation to project closure.

### **2.2.2 External Factors**

As discussed before, the external factors of project sustainability as the name indicates is beyond the project level factor. It is concerned about the internal situations of host organization/institution that the project's result (output) is introduced for as well as the contexts of a country in which the organization is found and the world in general to adapt and/or adopt the output of the project (Soliman-Sabbil & Mastour-Adam, 2015). Salla (2014) has sub-divided the factors into two major categories: institutional and contextual and each of which has several dimensions.

Institutionally, there are a number of factors that contribute project sustainability. The linkages between an institutions' mission, objectives, and strategies with the introduced

products' of projects belong to institutional factors. Also, the ways in which organizations are structured, the internal systems put in place, the organizational culture (the way in which the end users or beneficiaries are accepted the introduced system, the resources deployed for maintenance of the product, stakeholders involvement and support are some of the parts of institutional factors that affect project sustainability (Soliman-Sabbil, & Mastour-Adam, 2015).

According to IFAD (2009), institutional factors are more concerned with the integration or "institutionalization" of the output of the project into its routine activities mainly supporting the product through organizational policies, practices, or processes.

The success of information system projects is also relying on whether the users have accepted the technology or not. According to Davis (1993:1), "Lack of user acceptance has long been an impediment to the success of information systems." The argument of the author underpins that it is not only the users' skill and knowledge that hinders the sustainability of the system but also their attitude has its own contributions.

The political, social and other situations of a country and the world are the contextual external factors that influence post-project completion sustainability (Salla, 2014). Politically, when government policies and regulations are changed now and then project sustainability can be affected negatively (Hutaserani & Bayley, 2010). The will and commitment of political leadership in creating enabling policy and legal framework, commit resources and others are among the contributors of project sustainability from political context (Ibid). The diversity of society in terms of gender, educational background, living standard, accessibility to technologies and others are among the social factors that determine project sustainability (Salla, 2014).

### **2.3 The National Frameworks to Execute IT Projects in ERCA**

In order to obtain what is intended from IT, following certain national principle that can govern especially the why and what parts of the projects on the technological sphere is critical. Thus, some of the national frameworks are the 1990s civil service reform program (CSRP) and its sub-components aimed at providing effective and efficient service to customers (*Fekadu, 2013*) and tax reform that was introduced between 1999 and 2003 under the umbrella of the CSRP with its objective to increase the revenue of the country mainly by employing ICT, creating institutional arrangements and others (Samuel, 2015). The two proclamations such as Income Tax No. 286/2002 (amended in 2016 and VAT No.285/2002 (Ibid), the First and the Second Growth and Transformational Plan (GTP I and II) of Ethiopia which emphasizes on the application of information system in the management of domestic tax (*NPC, 2016*) and others are enabling environments that have been created at federal level pertinent to IT issues.

### **3. The Methods**

To address the stated research questions of the study, descriptive research design was employed. The study has employed a mixed research approach. The survey questionnaire was adapted from Technology Acceptance Model (TAM) developed by Fred D. Davis (1989)

and filled by the employees of ERCA, who are SIGTAS users. It is because, in dealing with project sustainability, understanding the reaction of the end users about the already implemented system is critical. The target population of the study was employees of ERCA who use SIGTAS and e-tax systems in its three branches such as Large Taxpayers Office (LTO), Misrak Addis Ababa medium Taxpayers and Addis *Ketema* Small Taxpayers. Besides, employees at different management positions and IT experts were part of the population of the study.

The researcher has taken Large Taxpayers Office (LTO) as a sample through purposive sampling technique because of its unique nature in dealing with e-tax in addition to SIGTAS. From the two branches; *Misrak* and *Addis Ketema* branches are selected through lottery method from the two Medium Taxpayers and ten Small Taxpayers sub-city branches, respectively, by assuming that their respective structure and function are homogeneous.

Among the 438 users of SIGTAS in the three branches, a total of 115(26.3 % of the population) questionnaires were distributed to the respondents (ERCA's employees) and 96 (83.5 %) were properly filled and returned. Inside each category of ERCA, samples of SIGTAS users were taken from each department, that is, customer service, assessment and collection, and tax audit proportionally by employing stratified sampling technique.

#### **4. Results and Discussion**

##### **4.1 An Overview of the Sustainability of IT Projects in ERCA**

Tax reform has been undertaken in Ethiopia between 1999 and 2003 as part of the civil service reform programs. Enhancing or modernizing the tax administration system of the Authority is one of the parts of the tax reform and which can be possible Merima *et al* (2014) through deploying IT developing IT “normally done via projects.” (Blume and Bott, 2015). Accordingly, the Ethiopian tax Authority has carried out two major projects such as the Standard Integrated Government Tax Administration System (SIGTAS) and E-tax. SIGTAS project has three phases. The first phase has been undertaken by the then Federal Inland Revenue Authority currently known as ERCA (Samuel, 2015). In 2003, SIGTAS has become functional mainly to manage Value Added Tax (VAT) following the issuance of VAT Proclamation in 2002 since it is difficult to calculate VAT manually (Teklu, 2011).

Between 2005 and 2006 the second phase of the project was carried out and which is focused on the automation and inclusion of all other taxes such as excise, income, turnover, withholding and with SIGTAS (Samuel, 2015). The third phase (2008 – 2009) was focusing on the deployment of SIGTAS in different Regional State tax Authorities of Ethiopia and the customization of E-tax platform (CRC Sogema inc. ND.).

Besides, ERCA has customized the E-tax system in 2012 in collaboration with CRC Sogma consulting firm with the investment of about USD \$ 1.9 million (ICF, 2013). According to Samuel (2015), the intended objective of E-tax project was to provide services for large and medium taxpayers for 24 hours a day and 7 days a week through the web. The specific

services that E-tax system expected to provide include online tax registration (e-registration), monthly and annual tax declaration (e-filing), payment through bank interface, provide online support services to the taxpayers, provision of training and education and others.

The very intention of automating the tax administration system is enhancing the efficiency and effectiveness of back and front office services of the tax administrator in so doing increasing the revenue generation capacity of the country.

The researcher has asked the informants to explain whether they are getting the expected benefits from the introduced systems (SIGTAS and E-tax) or not in terms of reducing manual work in their respective service provision. To begin with, in the case of SIGTAS, almost all interviewees have described as it can integrate all tax types of a taxpayer if he/she has different sister companies (businesses) in one file through their taxpayer identification number (TIN). Therefore, checking the types of tax that the taxpayers are liable to pay, the type of tax that they are already paid and failed to pay by a simple click of a computer. In this regard, users of SIGTAS have stressed the advantages that they have got as a result of using the system mainly to save their time and energy there by reduced the manual work. Besides, since the system is integrated throughout the country, there is no need of registering a taxpayer if he/she is registered once in one of the Authority's branches on the system.

Many interviews have attested that SIGTAS can automatically calculate the number of days that the taxpayers are expected to be penalized due their late payment of tax. Also, the system updates the calculation of monthly interest of taxpayers of the country automatically. Hence, it is possible to understand that employing SIGTAS in the day to day activities of employees has contributed in increasing their efficiency and effectiveness of the employees in particular and the authority in general as compared to the manual ones. In so doing, reducing the administrative cost of the Authority has become real by using the system. On the management perspective, SIGTAS can generate progress or status reports on different aspects of tax to decision makers.

As informants described, E-tax has reduced unnecessary delays of the cases of taxpayers to come now and then to the Authority and to check their respective files from hard copies. It also prevents them waiting for a large queue to get services. A directorate director in ERCA has revealed the advantages that E-filing brings for taxpayers as "after the introduction of e-filing, the large taxpayers could declare their taxes by encoding and checking their respective data whenever and wherever they are monthly through their TIN."

As discussed before, the overall objective of the deployment of SIGTAS and E-tax in ERCA is to increase the amount of revenue collection capacity of the country through automating all domestic taxes and all branches nationally and creating accessible service for taxpayers. In this regard, ERCA (2014) has indicated that the amount of revenue collected from taxpayers has increased from 11.2 billion birr in 2006 to 35.6 billion birr in 2010 as a result of automation. A middle level manager in ERCA has also strengthened the report of ERCA by saying "thanks to the introduction of SIGTAS and E-tax, the tax collection

capacity of the Authority is strengthening from time to time contrary to the management of tax in manual ways.”

On the other side, there are informants who do not believe as each of the products of IT projects is sustainable to some extent by citing examples. In SIGTAS, according to informants, there are modules (units of software under the umbrella of SIGTAS) which are not practically working. For instance, revenue sharing and assessment notice sub-modules are not functional. In revenue sharing module, according to Article 51(10) and 52(e) of the FDRE constitution, the Federal Government and Regional states, respectively have the power to generate revenue from their respective tax. However, there is a difficulty of dividing the revenue that is generated by the respective Federal and Regional States’ through the system. Assessment notice sub-module (notifying of the details of the amount of income tax that the taxpayers are expected to pay including the amount of their tax refund, tax credit and income tax already paid by the Authority) of the system is also impractical. In addition, bank tracking sub-module in cashing main module is not working as a result of the absence of networking (interface) between the Authority and the banks.

Article 11(1) of the FDRE (2011) Private Organization Employees’ Pension Proclamation has declared that private organizations of Ethiopia have an obligation to deduct contributions of their permanent employees from their salaries and their own contributions, 7 and 11 percent, respectively and pay the amount monthly. In order to collect this fund, according to informants, all employees of private organizations do not have TIN. Therefore, employers are required to bring the lists of their employees in hard copies and the collection process is done according to the hardcopy presented by employer.

In addition, the Authority is responsible to give clearance for the taxpayers who cease their business or renew their license. In giving clearance, the system cannot consider the inactive period that the taxpayer did not start a business. SIGTAS cannot show the date and month when the taxpayer exactly start his/her business. After TIN registration, the taxpayers are expected to pay. But in certain circumstances the tax payers might not start work as soon as they have got TIN. Therefore, it is difficult to issue clearance via SIGTAS. There are also times when SIGTAS considers punishment of the taxpayers due to the late payment of their tax liabilities as a tax payment and vice versa. When the system gets down and faces unknown error like making the amount of payment over or under, manual work is the only solution.

Since 2015 , E-tax is at pilot level which is providing service only for large taxpayers who comprise 3 percent of the total number of taxpayers in the country even though it was planned to be used to the medium taxpayers too (Dawit, 2015).

In E-tax, as informants pointed out, the online payment system is not functional. The idea of the above informants is concurrent with what Dawit (2015) has explained. Accordingly: “Under the E-file, although taxpayers file online, their payments can only be done in person

at ERCA's offices' ...” though the Authority has notified as the service will be commenced in 2015.

To conclude, it is possible to understand as there is disparity between what was the intended and obtained in the aforementioned IT systems in ERCA. Because of the sated pitfalls, it is difficult to say as IT projects introduced to administer tax in ERCA are sustainable to some extent. Although the aforementioned projects are handed over and have become functional after passing through the project processes, it is possible to conclude that they are “challenged projects”. Challenged projects according to Putnam (2007) to mean failed to constitute “all functions and features” that the projects are initially intended to provide for users.

## **4.2 Factors Affecting IT Projects Sustainability in ERCA**

### **4.2.1 Internal Factors**

It is mentioned in the literature review part of the study that the extent of the engagement of project stakeholders’ especially internal and external users and functional unit managers at different levels and others in all project management process groups from initiation to determine project sustainability. In this regard, according to assessment and collection business process team leader in *Misrak* Medium Taxpayers, “the initiation of SIGTAS and e-tax projects in ERCA are top down.” But Martino *et al* (2011) has attested that both the top-bottom and bottom-up approaches have to be taken into account in the identification of requirements of ICT solutions.

Especially, SIGTAS was initiated and deployed primarily to administer VAT following its declaration and Income Tax Proclamation in 2002. Therefore, almost all interviewees have explained as exhaustive internal and external users’ needs were not considered. SIGTAS project from its outset was developed mainly based on the interest of tax collector (the Authority) not taxpayers. Even from the tax collectors side, the needs and requirements of employees was not thoroughly assessed.

The other project level factor that negatively affects the sustainability of SIGTAS project is the inability of conducting detailed feasibility study. The system developer, CRC Sogma has explained as feasibility study was conducted when the systems were put in place. A Director of ITMD agrees as feasibility assessment was done although it is not rigorous in accommodating the needs and requirements of the internal and external users in particular and the context of the country in general. The system developer has used IT experts in the Authority to conduct the feasibility study. But the skill and knowledge of the experts are limited in identifying the requirements of the management aspects of the business. The experts can understand the technicalities of the project from IT perspective. From the internal users’ perspective, the difficulty of identifying their requirement properly or failing to express their challenges on the other side contributed for the shortcoming of the feasibility study. That is why SIGTAS is not fully functional.

The feasibility study is deemed to be an input to determine the capacity of the intended system in terms of for how long it can serve and for how many people. But interviewees from *Misrak* Medium Taxpayers Branch has mentioned as when SIGTAS was introduced the number of taxpayers were small. Now, the number of taxpayers is increasing from time to time and the system could not accommodate the ever increasing number of taxpayers that is why it is getting busy these days.

System busyness may be resulted from either the problem of the feasibility study by itself or inability of forecasting the capacity of the system for the intended period of time and the number of taxpayers. Informants have also identified the problems of power fluctuation resulted from lack of detailed feasibility study to sustain the system at organizational level.

Informants in LTO have contended that when E-filing is introduced the readiness of the taxpayers to use the technology concerning their employees basic computer skill to use the system, internet connection, level of their trust to use the technology and others could not take into consideration. Because of this, there are many taxpayers who are coming to the branch in looking for assistance in the E-filing process by coming with their hardcopies.

Hence, from the above view- points of informants, it is possible to understand that limited involvement of end users of the systems, insufficient feasibility study and others are the project level factors that negatively affect the sustainability of the introduced systems. This finding is consistent with what Getaw (2017) has identified in his study on Post Completion Sustainability of Ethiopian Railway Project in Addis Ababa Light Rail Transit as lack of rigorous feasibility study which results problem of human resource capacity in managing the project which has long term implication on project sustainability.

#### **4.2.2 External Factors**

The external factors that affect project sustainability encompass institutional and contextual.

##### **4.2.2.1 Institutional Factors**

Institutional factors that have negative or positive contribution for the sustainability of IT projects are organizational framework, human resource and system related factors.

##### **4.2.2.1.1 Organizational Policy Framework Related Factors**

Having relationship between the vision, mission and objectives of ERCA with the introduced systems is one of the factors that affect the post- project sustainability positively. The vision of ERCA, for instance, “is being a leading, fair and modern Tax ... Administration in Africa by 2025...” (ERCA, 2014) Here, the phrase being a leading modern tax administration is the indications of the alignment between the vision of the Authority and the commencement of IT projects.

Absence of organizational policy, strategy and guiding on what, why, where, how, who to use the customized projects are identified as factors that negatively influence the continuous provision of the introduced system for a desired period of time.

#### 4.2.2.1.2 Human Resource Related Factors

Human resource related factors that affect project sustainability include the attitude, knowledge and skill of employees and coordination between different actors, turnover/retention of staff and others.

The very intention of deploying information system is to enhance the performance of individuals in particular and organizations in general. Enhancing performance can be possible when users accept the introduced system which in its turn has positive contribution for the continuity of getting benefit from the introduced system (Davis, 1993). Accordingly, the perception of the Employees of ERCA in using SIGTAS in this regard is discussed hereunder.

Table 1: Perceived Ease of Using SIGTAS

Items	Level of Agreement/Disagreement in Frequency and %				
	1	2	5	6	7
<b>I found the SIGTAS platform (system) is easy to learn.</b>	7(7.3)	11(11.5)	17(17.7)	47(48.9)	14(14.6)
<b>I found the SIGTAS platform (system) clear and understandable to use.</b>	7(7.3)	13(13.5)	10(10.4)	49(51.1)	17(17.7)
<b>I found SIGTAS to do what I want to do.</b>	3(3.1)	25(26.0)	21(21.9)	36(37.5)	11(11.5)
<b>I found the SIGTAS platform is flexible to interact with other users of the system like IT persons and other professionals of ERCA in and/or outside the branch I am working.</b>	9(9.4)	28(29.2)	23(23.9)	28(29.2)	8(8.3)
<b>I found the SIGTAS platform is flexible to interact with IT personnel whenever necessary.</b>	9(9.4)	28(29.2)	23(23.9)	31(32.3)	5(5.2)
<b>Overall, I found SIGTAS is easy to use.</b>	7(7.3)	17(17.7)	20(20.8)	34(35.4)	18(18.8)

NB: 1 =Strongly Disagree, 2 =Disagree, 3=Neutral, 4 =Agree and 5 = Strongly Agree

As shown in table one, 48.9, 17.7 and 14.6 percent of the respondents agreed, have neutral opinion and strongly agreed, respectively on easiness of its platform while learning. The percentage of respondents who expressed their views as agreed, strongly agreed and disagreed on the clarity of the platform of SIGTAS constituted 51.1, 17.7 and 13.5, respectively. The finding of the study in this regard is consistent with the earlier study conducted by Tesfaye and Atiklt (2011:64) on the design and implementation of business process reengineering described that “from the perspective of operational employees of ERCA, 65 % of the employees believe that they have the ICT skill required for the job.”

Although the majority of the respondents have agreed as SIGTAS is easily understandable to use, information obtained from interviewees have shown as there is difficulty of learning and using the system especially for the newcomers because of the lack of induction/refresher training.

Hence, it is difficult to conclude that all users of SIGTAS are on equal status in their knowledge and skill to make it use of it although the majority of the respondents noted as SIGTAS is easy to understand learn. 37.5 percent of the respondents agreed that SIGTAS helps them what they want to do and followed by 26.0 percent have disagreed. Informants described that SIGTAS is helping them to be efficient and effective in different instances even if it is not as expected. Difficulty of getting access in deleting mistakes while assessing the declaration of taxpayers, lack of interface with banks and other concerned bodies, incompatibility with the existed tax proclamations, encountering of system's unknown error and so forth are described as testimonies that SIGTAS is not helping to do what they want to do.

The percentages of respondents who agree and disagree on the flexibility of SIGTAS to interact with fellow employees and in and outside their respective branch are equally represented in the table, that is, 29.2 percent each and followed by respondents who are neutral 23.9 percent. Similarly, 32.3, 29.2, 23.9 percent of respondents have expressed their agreement, disagreement and neutrality, respectively, on the flexibility of SIGTAS to interact with IT personnel whenever necessary. An informant from Tax Audit business process in Addis *Ketema* Small Tax Payers Branch reveals that “there is no online interaction with IT experts and other fellow staff. When we face a problem, we are expected to write a memo to the immediate boss and our boss to the business process owner and the process continues....”

From here, it is possible to conclude as there is knowledge and skill gap of users of SIGTAS and the system is not flexible in terms of facilitation online communication among users and IT technical experts so as to get support each other.

Table 2: Perceived Usefulness of SIGTAS

Items	Level of Agreement/Disagreement in Frequency and %				
	1	2	3	4	5
Using SIGTAS has improved my effectiveness in doing my job.	5(5.2)	12(12.5)	16(16.7)	46(47.9)	17(17.7)
Using SIGTAS has improved the quality of the work I do.	3(3.1)	12(12.5)	14(14.6)	51(53.1)	16(16.7)
Using SIGTAS has helped me to accomplish my tasks more quickly.	9(9.4)	15(15.6)	13(13.5)	40(41.7)	19(19.8)
Using SIGTAS has made my job easier or lightened.	6(6.3)	13(13.5)	17(17.7)	47(49.0)	13(13.6)

Using SIGTAS has improved my performance.	3(3.1)	14(14.6)	22(22.9)	44(45.8)	13(13.5)
Using SIGTAS has improved my productivity.	7(7.0)	10(10.4)	20(20.8)	50(52.1)	9(9.4)
Overall, I found SIGTAS is helpful in my job.	3(3.1)	9(9.4)	13(13.5)	55(57.3)	16(16.7)

NB: 1 =Strongly Disagree, 2 =Disagree, 3=Neutral, 4 =Agree and 5 = Strongly Agree

With regard to the usefulness of SIGTAS, as table 2 has shown, 47.9 percent of the respondents have agreed that it helps to improve their effectiveness in providing services. Also, 53.1 percent; the majority of the respondents have agreed as SIGTAS has improved the quality of work that they are working. 57.3 percent of the respondents have agreed that SIGTAS is generally important for their job.

From this it is possible to understand that respondents believed SIGTAS as useful for them to be efficient and effective. Conversely, an informant has explained as there is resistance from the employees' side by considers the technology as a spying mechanism to check who is doing what by the government instead of taking it as a facilitating mechanism.

The existence of high turnover as well as the knowledge and skill gap of IT and non-IT expert whose work is related with SIGTAS and E-tax is also described as the challenge for sustainability of the systems. A study done in LTO on E-tax by Samuel (2015:) has supported this argument as “there is frequent turnover of staff as a result of which there is a shortage of and/or lack of trained personnel to provide support and to run the e-filing.” It is mentioned by informants that non-functionality of some of the modules of SIGTAS is resulted from the knowledge and skill gaps of the users' in different business processes of the Authority.

Nurdin, Stockdale and Scheepers (2012) have found that teamwork is needed among those who have concern in all activities of a project work for the sustainability of information system projects. Conversely, problem of harmonization between the IT people and functional staff as well as managers is cited as a challenge in the Authority. An expert in Information Technology Management Directorate (ITMD) explained that “there is a perception that all IT related issues in the organization are to be owned by ITMD. From the business process owner's side, a team leader in Addis *Ketema* Small Taxpayers Branch has counter argument for this point by explaining as it is not a matter of lack of ownership on the business process owners' side. But what matters is the knowledge and skill gap that they have on the technical aspects of the IT as informants indicated.

By taking the information taken from informants and respondents into account, it is possible to conclude that the users of SIGTAS have positive attitude to the technology and which in its turn have positive contribution to its sustainability. But the skill and knowledge gaps of users of SIGTAS and insufficient coordination among IT and non-IT staff of ERCA has been identified as a challenge for the sustainability of the project.

#### 4.2.2.1.3 System Related Factors

It is mentioned by informants that SIGTAS and E-tax are administered centrally ITMD. The centralization of the system has both positive and negative parts. Creating confidentiality of the data of the taxpayers and the Authority is among the significances. But centralization of the systems has their own limitations as discussed by informants. For instance, if there is human error in capturing data and/or calculation of tax assessment for the declared ones, the system gives the authority of deleting to the ITMD. The required processes to delete errors in assessment are as follows. For instance, if experts who work in customer service business process face a problem, he/she is expected to write a memo to the team leader, then the team leader to the business process owner, and if the problem is beyond the capacity of the business process owner, a letter will go to the ITMD. Thus, the hierarchical nature of decision making process negatively affects the sustainability of the project. On the other hand, the Director of ITMD has admitted as the importance of being centralized for some of the functionalities of SIGTAS. According to him, “for security reasons some of the cases are managed centrally like deleting assessment.” Nurdin, Stockdale and Scheepers (2012) have argued in this regard that there is mismatch between centralization management system and IT based services in public organizations of African countries.

There is a programming error in both SIGTAS and E-tax which are only known by system developers. For instance, although the data are encoded, there are times when the system shows nothing. When programming error has occurred which is beyond the capacity of ITMD, it is difficult to proceed to the next step till the case will be communicated to the system developer CRC Sogma Inc. based in Canada through ITMD and till then the payment is done by hard copy or manually.

Here, Senior Tax Auditor in LTO has argued that the causes of programming error are not only due to the problem of the system itself but also the lack of skills on the users’ side. Also, system disruption as a result of power fluctuation and other cases have their own contribution for the programming error.

Absence of interface with external stakeholders like banks, Ministry of Trade, the Ethiopia Commodity Exchange Authority (ECX) and others is still a challenge for the taxpayers and tax Authority, too.

Thus, it is possible to conclude that most of system related problems lie on the skill gap of the users and insufficient knowledge and skill transfer by the system developers. Also the hierarchical management system of the technology (centralization), absence of interface of the systems with banks and other pertinent organizations and online communication among users and between users and decision makers are taken as challenges of the sustainability of the technologies.

#### **4.2.2.2 Contextual Factors**

Policy/Legal Framework, the condition of taxpayers, network and power are among the identified contextual factors that affect the sustainability of projects in the Authority.

#### **4.2.2.2.1 National Legal and Policy Frameworks**

Informants have identified as there is incompatibility between the revised 2016 Income Tax Proclamations with SIGTAS. For instance, under Article 37/1 the Proclamation, for Mining and Petroleum operations, “the business income tax rate applicable to a licensee or contractor is 25%.” But in the 2002 Proclamation, its rate was 35 % and still SIGTAS is not adjusted according to the amended proclamation.

There are issues which are included in the Proclamations but not in the system. For instance, Article 87 of the 2002 Income Tax Proclamation declares that penalty of the understatement of tax declaration that the taxpayer is expected to pay 10 percent of his/her understatement. But the system cannot calculate this understatement and manual work is its way out. In addition, the private organizations employees pension is collected manually since employees have no their personal TIN number. Thus, the private organization pension proclamation is not treated through the system. Furthermore, Article 51(10) and 52(e) of the FDRE constitution, the Federal Government and Regional states, respectively have the power to generate revenue from their respective tax. But since revenue sharing module is not functional, the sharing is performing manually. Also, the e-tax in ERCA has no legal backing (Samuel, 2015).

Therefore, both inconsistency and absence of legal and policy frameworks are challenges for sustainability. Therefore, the finding is consistent with what Hutaserani & Bayley (2010); Gichoya (2005) have revealed as that the frequent changes in government policies and regulations and lack of policy, respectively results in in-continuity of the benefits of e-government projects.

#### **4.2.2.2.2 The Condition of Taxpayers**

In the utilization of IT, as of internal users of SIGTAS and E-tax, taxpayers have a lot of challenges including knowledge and skill gaps to use the systems, high turnover of trained IT experts who work for taxpayers, difficulty of using the schedule of the Authority properly and others have negative implications for the proper utilization of the systems.

#### **4.2.2.2.3 Network and Power**

Limited network and power fluctuation are identified as challenges of sustainability. Serving many customers at a time and the limited capacity SIGTAS due to the ever increasing number of taxpayers are the main reasons of the network problem. According to informants, most of the system failure is also resulted from unexpected power interruptions.

### **5. Conclusion and Recommendations**

#### **5.1. Conclusion**

To sum up, it is difficult to say that IT projects introduced to administer tax in ERCA are sustainable to some extent. Although SIGTAS and e-filing projects are handed over and have become functional after passing through the project processes, it is possible to conclude that

the projects are termed as “challenged projects.” Challenged projects according to Putnam (2007) are to mean failed to constitute “all functions and features” that the projects initially intended to provide for users.

Inability of conducting rigorous feasibility study to set the scope and deliverable of the projects, insufficient engagement of project stakeholders’ especially internal and external users and functional unit managers at different levels and others in all project management process groups from their outset are the project level or internal factors which have negative impact on the sustainability of IT projects.

The high turnover of IT experts and their knowledge and skill gaps especially on how to provide support for the non-IT people, inadequate harmonization between staff working in IT and non-IT functional units, insufficient induction training given for staff in different business processes are the external institutional factors that are affecting the sustainability of IT projects in negative way. Absence of organizational policy and guideline, incompatibility between the national principles with the introduced technologies and power problem, the knowledge skill and attitude gaps of the taxpayer are among the bottlenecks to sustain the systems.

## **5.2 Recommendations**

Decision makers and employees of the Authority should give due attention to conduct rigorous feasibility study and engaging users and other stakeholders to identify their needs and expectations in the process of project endeavors,

ERCA needs to create a regular discussion forum among the internal stakeholders to identify the day to day pertinent challenges of the introduced systems and to set directions accordingly in a sustainable way,

With regard to human resource, the root causes of the turnover of IT experts needs to be studied and strategies should be designed to increase their retention rate, Also, their knowledge and skill gaps needs to be bridged through on the job short-term training and long-term educational opportunities,

ERCA should design organizational policy and guideline so as to govern the products of the IT projects systematically,

The Authority should work with the concerned federal stakeholders so as to create alignment between the existed national frameworks and the introduced systems, and

Further study needs to be conducted especially on the technical problems of the systems.

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**Challenges and Opportunities of Experiential Learning at Institute of Leadership and Good Governance: The Case of Internship Programs**  
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**Abstract**

*The purpose of the study was to identify and examine the opportunities and challenges of internship at federal and regional governments of Ethiopia. The study used both quantitative and qualitative research methods. The sample size of the study includes 154 students and 73 mentors totaling 227 respondents. Data was collected through questionnaires, interviews, observation and focused group's discussions. The response rate of the questionnaire was 100 %. Data was analyzed using descriptive statistics. Findings of the study indicate that the critical challenge to the ILG internship program lies on mentors commitment and willingness to support mentees, weak communication among the University, ministry of public service and human resource management and hosting organizations; university per diem and transport allocation; weak supervision and delay of response to mentees problem; hosting institutions lack of clear understanding and shared vision and shortage of time allocated for the program. The overall assessment of internship program is not achieving its objectives. The main opportunities are orientation given by the university; exposure of students to different organization; training given to employee and providing new idea and information by the mentee. Therefore the policy maker should aware the hosting organization and the university how and what to do and design policies that address the current demands of the societies; should organize training; Public sectors should understand the advantage of the program and become actors in its implementation to bring graduates and employers to give them an opportunity of the public sectors and seek remedies together and arrange a joint venture that facilitates working together. Institution should utilize the guideline they prepare for creative implementation assessing possible gap and periodic consultative meeting and forum involving all those who have a stake in the materialization of the program and revised the curriculum. Mentee should develop a creative and attitudes implementing the internship to learn from the process and arm them-selves with the spirit that transforms challenges into opportunity to grow. Findings of the study indicate that there are more challenges to be solved than opportunities to be exploited.*

**Key words:** Internship, Mentor, Mentee, challenge, Opportunity

**1. Introduction**

In a changing world, a government with transformative agenda has to introduce major reform initiatives aimed at accelerating growth and reducing poverty. The assumption is to create an efficient, transparent, accountable and professional civil service that responds to the changing needs of the society and ensure good governance. In the view of the reforms, there is a need

to match the reform process with capacity building efforts particularly leadership development (ILG, 2015).

An internship is one of the practical aspects of leadership development program intended to attach students to public institutions, industries, and factories so that the student learn through direct and hands-on experience. This exercise is expected to help interns in bridging the gap between academic learning and the real world. But effectiveness of the program depends on proper implementation and yet studies in the area.

Internship originated in early 1900 in the USA, is a work-based educational experience that targets specific jobs, positions, occupations or professions. In this experience, students are placed as interns in a wide variety of organizations based on their fields of interest. Students learn through direct and hands-on experiences. During their internship, students will be evaluated and assessed by the Authentic, competent and performance-based model used by both their school's internship coordinator and their onsite professional supervisor or mentor (Zimmerman, 1996).

The literature stated by Zimmerman (1996), Mari(2008) and Che-Hu et.al.(2011). reveals that expected benefits of internship program was that it help students to familiarized with the practical knowledge, skills, enhance a social relationship, motivate future learning and develop socially acceptable personality and attitudes. But implementing the program is far from smooth, they identified challenges of implementing internship program such as lack of proper supervision, reluctance in sharing information, inefficient allocation of time and fund and considering the trainee as a threat (Mihall (2006), gain in-depth career perspectives Bukalya (2012).Additionally, bad internship experience could cause students to change their career path (Fox, 2001). These studies provide important insights on the challenges of internship programs implementation.

Higher institutes have a keen interest in the development of new internship programs to bridge the theoretical world of academia and the practical world of industry. Experiential learning/ internship is a current practice in the Ethiopian universities including Ethiopian Civil Service University. In Adama University there are also practices in implementing internship as the data obtained from the report of the University in 2014. From this study, it is apparent that scant attention has been given to the experiential learning in Ethiopian universities, and this needs attention to strengthen this endeavor and develop the practice-based learning to a new level.

Ethiopian is now on the way of struggling to register a victory over poverty and thereby to register development. To realize this, the country has established more than 38 Universities within a short period of time and currently, the country has thirty-four Government Universities (MoE, 2011).The Ministry of Education report has also shown that there is a need to strengthen practice-oriented learning strategies as to develop job-creators and self-reliant citizens. In the absence of practical components of programs, this plan may mean very little. The present study, thus, is believed to add inputs to the future direction of the country.

The Institute of Leadership and Good Governance (ILG), which was established in 2010 with the purpose of training the human resources of the country through the development practice-based curriculum. The program is at a master's level to develop the capacities of leaders at different levels to help them become practice-oriented leaders. It was to this end that the practical components of the program have been given attention and the commencement of the internship program by the institute since 2011. Based on the surveys made by the institute, there are challenges and opportunities from this program (ILG, 2014). The composition of the program includes nearly 60% practical and 40% theoretical.

In this view, Ethiopia prepared National Leadership Development Project Document in 2006 with special attention to the DRS and mentoring programs at a Federal and Regional level to build the capacity of civil servants and produce qualified public administration professionals. However, it is difficult to attest how such enhancement of these management institutes has impacted local service delivery on the ground (ILG, 2011).

As the coordinator of the internship, I have observed the gap in the implementation of the internship and the opportunities in equipping trainees with the knowledge and practical skill they need at the Civil Service of Ethiopia. Thus, I was interested to support this program by research for further implementation. Therefore, this study was assessed and identified the opportunities and challenges of internship program implementation at the ECSU/ILG with emphasis on the placement of internees at 13 selected Federal Ministries and 6 Regional Government Institutions in Ethiopia.

Experiential learning/ internship at tertiary education level is a crucial component of learning and is at the same time full of challenges because of scant attention from the side of hosting organizations as learned from different internists who passed in the process. This critical learning strategy seems to be there only in the curricula of different higher learning institutions. There are some studies like that of Yalew (2014), who studied on the problem identification of the implementation of an internship program, identified that there are both challenges and achievements of an internship program. The study also revealed that very few studies are there in terms of assessing the practices of internship in different contexts in Ethiopia. Thus, it is found very important to undertake this study to create some bases on the problems encountered in implementing internship.

Moreover, the survey for the internship by the ILG staff in 2014 indicates that the challenges of the internship program are connected with the scant support from the hosting organizations at federal and regional levels. The research finding from Bahir Dar University and reports from Adama University report from ILG students and the practical experiences of the researcher have necessitated this study. Therefore, this program needs to be studied and investigated the challenges scientifically.

Ethiopia introduced the internship program by taking the experience of four countries (India Germany, Syria and France) into account. Especially, the program was adopted from France

to prepare the desired future modeling a new generation of highly trained civil servants and qualified public administration professionals, as well as achieving capacity building in the area of professional training, with a particular attention on service delivery and decentralization process. However, the effectiveness and correspondence of the adopted program with the culture, social political and psychological readiness of the country at the ground is in doubt. Thus, conducting a study on the practice, challenge and opportunities of this program are now demanded. This last paragraph is more appropriate to be treated in the introduction section.

The general objective of the study is to examine the implementation of an internship program in the selected Federal and Regional Government Institutions in Ethiopia.

The specific objectives of this study sought to:

- identify the major challenges in implementing internship program;
- examine the opportunities of internship program; and
- examine roles of the stakeholders' in implementing internship programs at Federal and Regional Level

This study will attempt to answer the following questions.

- What are the major challenges of the implementation of internship programs at federal and regional levels?
- What are opportunities for implementing internship programs at federal and regional levels?
- To what extent the roles of the stakeholders' in implementing internship programs at Federal and Regional Level Institutions of Ethiopia?

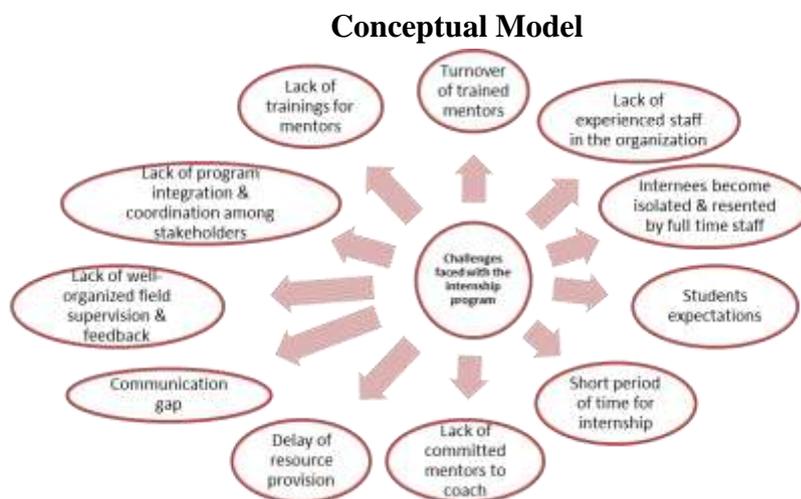
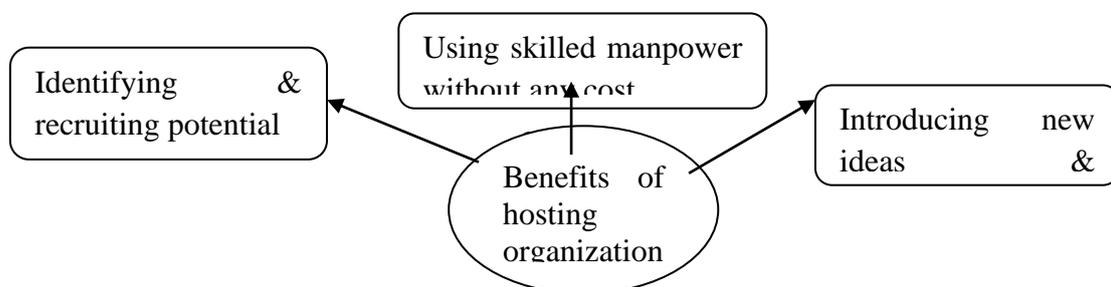


Figure 1: Challenges on the internship program

**Conceptual Framework**

Figure 2: Benefit of internship for internees



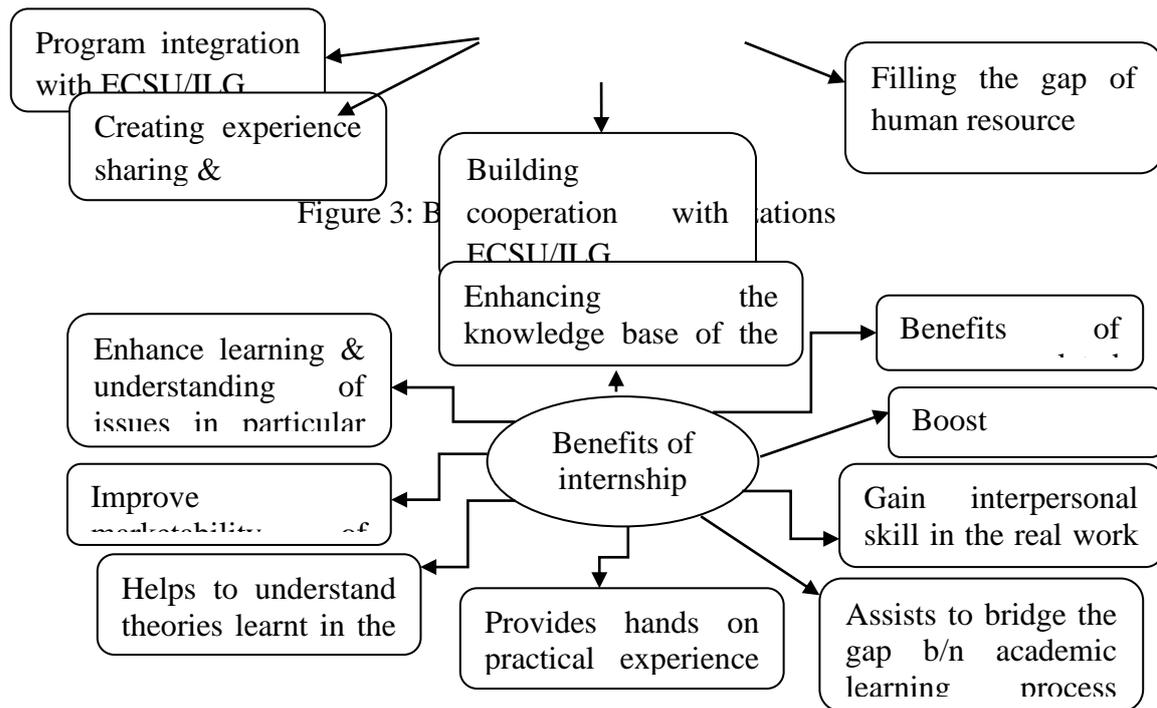


Figure 3: Benefits of internship

The implementation of internship program involves the factors indicated in the conceptual framework model. Changes that take place in one may trigger changes in the other. So, in gathering data for this study, these factors will be utilized.

## 2. Review of Related Literature

### 2.1 Overview of Internship

According to Furco (1996), internships are defined as programmes engaging students in service activities primarily for the purpose of providing them with hands-on experience (R.ChardBukaliya), gain credits for the programme in accordance with the colleges by laws (Busby 2003). Work done outside the classroom brings new depth and meaning to the work done inside the classroom and enlightens the student to the importance of their academic work (Rachel Ochoa). Ross, and Goodwin (2008), internship courses provide learning opportunities for undergraduates to experience professional practice and activities associated with knowledge application. Thus, as Fox (2001) stated, an internship is an opportunity to close the gap between learned theory and practical reality.

### 2.2 Types of Internship

Typically internships are entry-level educational jobs that can be paid or unpaid and usually give you college credit for your work (Bukaliya, 2011). Paid and Unpaid Internship: Internships are sometimes paid and sometimes unpaid. The “market” will typically drive the issue of paid and unpaid interns. When students are under unpaid internships, the following factors need to hold true for a legitimate internship where a company is not paying the student: The work of the intern is an integral part of the student’s course of study, the student will receive credit for the work, or the work is a requirement of graduation, the student must

prepare a report of his/her experience and submit it to a faculty supervisor, the employer receives a letter or some other form of documentation from the school indicating that it approves of the internship and its educationally relevant and learning objectives are clearly defined.

**Independent and College sponsored Internship:** Schools can have both how closely they monitor internship programme. Most universities will allow students to earn academic credits for participating in internships.

**Apprenticeship** is a training method which combines on-the-job training and experience with classroom instruction in particular subjects (Kibret H., 2014).

### **Inkster and Ross Internship Stage Model**

Inkster and Ross (1998) created their six-stage model. They describe transitions and stages through the internship process: (a) arranging and anticipating an internship, (b) Orientation and the student's initial arrival to (c) Reconciling expectations with reality is marked by the realization that initial expectations do not match reality in the workplace and the internship experience is structured differently than the familiar classroom, (d) Productivity and independence. Student efforts contribute to the workplace and supervisors recognize student competence leading to increased independence. (e) closure, and (f) reentry and practical application is a time for clarifying ongoing relationships.

### **2.3 Principles of Internship**

According to the Gateways Professions Collaborative Forum 2010, there are six principles of best practice: preparation; recruitment; induction; treatment; supervision and mentoring; reference and feedback. Each of these principles describes core elements necessary to allow both employer and intern to benefit from the internship.

Furthermore, the National Society for Experiential Learning Education (NSEE), 2004 Professional Association for Practitioners of Experiential Learning has developed set of refers to as "Principles of Good Practice" i.e., determine what specific learning is intended as a result of the experience (Intention), communicate goals and procedures among all stockholders (clarity), analyzing activities and learning against the outcome measure established at the beginning of the experience (reflection), clarify the evaluation role of students, universities and mentors (evaluation) and celebrate the Experiential Learning experience (acknowledgement) (NSEE, 2004).

### **2.3 Supervision and mentoring**

Interns tend to be inexperienced and may need regular support and supervision. Good management and supervision will help to make them more productive and develop more quickly. Therefore, all types of employers should ensure that there is a dedicated person(s) with ring-fenced time in their work schedule to act as a supervisor and mentor. The mentor should provide ongoing feedback and support. Feedback could be given to appraising interns' performance and competencies on tasks and professional behavior.

## **2.4 Benefits of Internship**

The internship program is beneficial for both the students and the government organizations. It may be one of the few opportunities students have to test the skills and attitudes developed and discussed in their academic program. It permits them to understand the connection between theory and practice thus it enhances the student's knowledge of his potential to reach the goal set for various professionals. Besides, the assignments and responsibilities of the intern should reflect the needs and priorities of the local government. Interns are a resource, not unlike other positions and functions. The position of "intern" should be integrated into the organizational structure as any other position would be. When the intern is treated as an "employee" both the student and the local government gain the most from the work assignment. Therefore, carefully planned internship program may serve to understanding of the target profession and future prospects of working conditions, provide valuable exposure on the job, develop professional skills and attitudes and establish useful contact with people working in the same profession, crucial in developing self-recognition and a positive attitude, as well as enhancing social relationships and practical skills (Parveen, 2012).

## **2.5 Opportunities of Internship**

For the student, internships offer the potential for valuable learning opportunities outside the standard classroom and can also serve as a bridge between the traditional academic setting and the professional world (practical reality) to which the student aspires (Furco, 1996). For the academic institution, internships offer a rich array of opportunities for faculty development, positive grown relationships, and interaction with professional communities throughout the country and the world. Internship supervision may serve as a particularly fruitful means of faculty development, giving faculty face-to-face contact and exchange with the professional world most closely related to a faculty member's academic expertise. For the organization that serves as the setting for the internship experience, internships offer an opportunity to contribute directly to the educational and developmental growth of participating students. It can also foster a useful relationship between the sponsoring organization and the academic institution in which both parties benefit from shared knowledge, resources, and goals (Linnea D. et.al, 2007). And involve the intern in team activities and orient the interns to the company's culture since intern team members served as a full-time staff.

According to the internship report of students of ILG, 2012 and 2013 the opportunity of internship is practical understanding of how the Federal Public Institutions operate and understand the importance of mental strength and creativity of public leaders in handling different challenges facing to Federal Public Institutions; understanding of how to develop strategic issues that have policy implication to the Public Institutions deal with strategic leadership and performance management issues, specifically the BSc and how Public Leaders enhance the manpower productivity.

Moreover, practical understanding of power decentralization within and outside the federal public institutions; how leaders communicate within the country (internally, across public sectors, regions) and overseas; how to promote democratic culture and values at the work

place as well as an understanding of training facilitation, and the impact of friendly approach between the employees for the implementation of BSC , capacity building issues and understanding of how to organize different meetings, However in the process of facilitating the internship program and during the stay in the organization they assigned, there were different challenges such as lack of communication on the basic objectives and the expected outcomes from the internship program that leads less attention given to the program.

## **2.6 Challenges of Internship**

An internship also has obstacles that one hadn't anticipated. Part of the reason student took the internship in the first place were to gain valuable work experience. Interns are often faced with the problem of not having enough work, or being given "busy work" that doesn't really add value to the company, besides, It has been a few weeks, students have had no feedback from their supervisor, good or bad and have no idea how you're really doing. In addition to this students may get an assignment from your supervisor that is completely unclear and have no idea what they are doing.

## **2.7 Concept and Definition of Mentoring**

According to Ambrosetti, Angelina and Dekkers, John (2010), Mentoring is a complex process and functions (Bey and Holmes, 1992), a relationship between mentee and mentor (cahile, 1999) and able and willing to offer, support and constructive feedback (shea, 1999) that involves support, assistance and guidance requires time and communication. It should facilitate self-reliance in mentees, develop partnership through which the mentor shares knowledge, skills, information, and perspective to foster the personal and professional growth of the mentor and in order to promote self-reliance in a mentee Caching, providing information, exploring option and perhaps through direct intervention that involves a professional one-to-one relationship between individuals. A mentor is a guide who can help the mentee to find the right direction and who can help them to develop solutions to career issues(G.W.A, 2005).

### **2.7.1 Responsibility of a Mentor**

Mentor has to be a resource base; that is, a repository (storage of idea) of knowledge and skills that are important, useful, and relevant to the mentee's area of work. According to the ILG, 2012 the duties and responsibility of mentors are assign the students to real work environment confirmed with certain tasks to accomplish within a specific period of time to engaged in the activity assigned to her/his, work with student to achieve the objective set based on the plan and keep records to evaluate the performance of the mentee as per the guideline. The responsibility of the mentee is utilizing these qualities of being active, probing, and challenging in ensuring success. And the role of a mentor may assume a variety of roles including teacher, motivator, coach, advisor, and role model: Teach, Guide, Advise, Counsel, Act as a role model, Coach. The mentor should choose their most appropriate role given the circumstances, their personality, and position (Kibret H., 2014)

### **2.7.2 The Role of Stakeholders**

The internship programme is one of the components of the programme of the ILG. In order to make the whole programme effective, all the components are needed to be effective (ILG, 2012). In order to manage all the components of the graduate programme an integrated and strenuous effort of all stakeholders is very important. Though the stakeholders of this programme are all governmental and public institutions and also the community at large, it is imperative to identify key stakeholders so that it is possible to obtain their planned and proactive contribution for the success of the internship program in particular and the graduate programme in general. By doing so it is believed to acquire the effect of synergy in the process of making the stated objective into reality.

**Ministry of Civil Service:** Ministry of Civil Service, which is currently assisting this graduate program project in forwarding information and instruction to other public organizations, coordinating and communicating donors, overseeing the implementation process, backing and taking actions as appropriate.

**Ethiopian Civil Service University (ECSU):** ECSU is the pioneer of the program in an organized of mere practical way that facilitating and providing resources, providing academic leadership for the success of the program, deploying academic and administrative staff members, providing accommodation, food service, and urban transport service for mentees those who assigned at Federal and Regional government Institutions and communicating other stakeholders on issues that may arise during internship (ILG, 2012).

### **2.7.3 The Mentoring Relationship**

According to Teresa Byington, 2010 the four keys to establishing successful mentor-mentee relationships. develop a relationship of trust built before any effective mentoring can take place (Kutilek & Earnest, 2001), clearly roles and responsibilities of both the mentor and the mentee (Mincemoyer & Thomson, 1998), establish short and long-term goals to develop mutually agreed upon goals and collaborate to solve problems allow mentees the opportunity to identify concerns and potential solutions (Podsen & Denmark, 2000).

### **2.7.4 Empirical Study**

Government expectation is for individual institutes to develop and implement the federal vision. To help achieve these initiatives, universities are seeking closer associations and partnerships with industry and business and are rapidly adopting a more vocational focus to their curriculum. In 2008 Universities of Australia developed at the request of the Australian Government a position paper on the development of a National Internship Scheme to 'enable more Australian university students to undertake structured work-based learning in industry. Further urge universities need to adopt a more student-centered and authentic learning approach to build graduates with the professional skills necessary transition into the workplace. (Universities of Australia, 2008) Recently the university has undertaken a curriculum framework review where a range of new curriculum options was investigated. This review led to the university which provides a variety of internal and external 'work integrated

learning opportunities for students from capstone projects, careers in the curriculum, study tours and industry placements. Thus, there is a suite of work-related opportunities where students are exposed to real-world learning opportunities throughout their program of study. The overarching purpose is to provide students with the opportunity to apply their theoretical knowledge in an authentic workplace setting where they can develop new skills and knowledge while gaining a deeper understanding of their discipline and the professional working environment of their discipline.

Most colleges in Taiwan that have a Leisure Management Department require students to participate in an internship programme to help them gain practical work experience, learn to apply concepts they have learned and prepare for their future careers. Colleges that require internships usually have established policies regarding the programmes which regulate matters such as minimum hours, work duties, credits and means of assessment (Huang & Huang, 2004).

Previous research studies also show that internship periods were too short and the majority of interns think that the most appropriate internship period should be six months (Oliver, 2010; Mihail, 2006). Mihail (2006) also found in his study that most of the interns preferred to have internship periods ranging from six to nine months instead of three months. This indicated that interns are willing to have a longer internship period and believe that they can learn more within a six-month period. Supervision of interns has been cited as being treating problematic. Qualified staff to supervise the interns has been in short supply. According to Tackett et al (2001), students feel that there should be careful examination of feedback from employers and interns followed by the modification of the internship program accordingly.

### **3 The Methods**

#### **3.1 Research Design and Approaches**

In this research study, the researcher used exploratory and descriptive research design in order to identify and examine the opportunity, and challenges of internship at federal and regional governments of Ethiopia. The exploratory design was used to investigate the new ideas and information since it is new and not well addressed with the population of under-studied. Descriptive design helps the researchers to describe the current situation of the implementation of the internship program. It helps to describe the inducing factors as well as hindering that affect both the hosting organization and the students.

In this study, the researchers used both quantitative and qualitative research methods. This was used to provide the better understanding of a research problem and opened the door to multiple methods; enhance generalization of the research, and different form of data collection and data analysis. This helps to understand one thing from different perspective. Quantitative research methods are used to collect data through a survey to quantify information from the respondents. The qualitative research method used the in-depth interview with key informants to understand the feeling and behaviors of the respondents.

### **3.2 Type and Source of Data**

The researchers collected data using qualitative and quantitative methods. Quantitative data was collected from mentors and students through a survey, while qualitative was collected from one on one interview with leaders and partners, and groups' discussion with students. Also, a participatory observation was conducted to see how the students' placement and facilities allocated to them looks like. In addition, time series data were used to see the implementation of internship regarding the five-year batches of The Leadership and Good Governance Institute students using sequentially.

### **3.3 Methods of Data Collections**

This study used both primary and secondary data. Primary data was collected through questionnaires, interviews, observation and focused group's discussions. Structure interviews with open and closed-ended questions were used to collect data from sample leaders and partners. The interview method helped reduce errors due to variability enormous as it generates standardization of the questions. Personal observations to see the placement of students, discussion held among mentors/students, and coordinator during the implementation of the internship.

Focus group discussion was conducted with internship student representatives in order to triangulate the survey results. Finally, a semi-structured interview was conducted with state ministers of the federal institutions, high officials of regional state and civil service officials of the regional, and representatives of France and UNDP. The source of secondary data was used to strengthen the findings of the data from books, published journals, reports, curriculums and syllables of the university.

### **3.4 Sample Design**

The population used for this research study was conducted from Federal and Regional Government institutions. The subjects were high official leaders, civil service officers, mentors, and ILG five batches students and selected partners.

### **3.5 Sampling Technique**

For the purpose of this study, probability and non-probability sampling technique were employed. The stratified sampling method was employed to identify students based on their batch. Then, the sample students were proportionate based on their batch. At the last, students were taken using simple random sampling method. Moreover, mentors were taken using simple random sampling method. For the qualitative data collection, purposive sampling method was employed. Thus, Key Informant Interviewees were selected from federal and Regional government institute and partners of France and UNDP representatives. Focus group discussion was conducted with a student representative from each batch.

### **3.6 Sample Determination**

The sample size selected depending on the type of design being used the desired level of considers result, the amount of accuracy wanted and the of the population of interest (kothari,

2004). Therefore, in order to estimate the sample size, the researcher applied the following formula.

### 3.6.1 Sampling for Quantitative Data

To collect quantitative data from students and mentors of internships programs the researcher used both close and open-ended questionnaire. To determine the sample size for a quantitative study, different authors use a different formula. For the purpose of this study, the researcher used the formula set by Kothar, 2014 calculated as follows. Considering the level of acceptable margins of error at 5%, the sample size will be determined by using the following formulas.

If  $N < 10,000$ , then the sample size is calculated by the formula  $n=fn = \frac{n}{(1+\frac{n}{N})}$ , where

$N$  = Target population

$n$  = Desired sample size

$z$  = Confidence level (95%= standard normal value is 1.96)

$p$  = Estimated characteristics of study population (0.5)

$q = 1-p$

$d$  = level of statistical significance set or margin of error ( $1-0.95 = 0.05$ )

Hence, assuming that the size of the population in the study area is  $> 10,000$ , the sample size of the study will be:

$n = \frac{z^2pq}{d^2}$  where  $z = 1.812$ ,  $p = 0.5$ ,  $q = 1-0.5$ ,  $d = 0.07$

$$\frac{(1.96)^2(0.5)(0.5)}{(0.05)^2} = \frac{3.8416 \times 0.25}{0.0025} = 384$$

$n = 384$  for  $N$  is  $> 10,000$ , 95% confidence level and 5% margin of error.

However, since the total population of the study area is 555 which is less than 10,000, the sample size using 95% level of confidence was:

$fn = \frac{n}{(1+\frac{n}{N})}$ , therefore,  $N = 555$  and  $n = 384$ ; then, the sample size is calculated as:

$$fn = \frac{384}{1+(\frac{384}{555})} = \frac{384}{1+0.033959976} = \frac{384}{1.69189} = 227$$

To know the Share of respondents from the total = No of population X no of sample size

No of population (universe)

$$\text{Share of students} = \frac{377}{555} * 227 = 154$$

$$\text{Share of mentors} = \frac{178}{555} * 227 = 73$$

From the 227 total sample sizes, the researcher was selected 154 students and 73 mentors by using proportional sampling.

### 3.6.2 Sampling for Qualitative Data

To identify participants of the qualitative data, 33 leaders, and 3 stakeholders were considered purposively.

### 3.7. Data Analysis Technique

### 3.7.1 Quantitative Data Analysis

The quantitative data that were secured from the graduates were analyzed with the help of statistics of central tendency to see the trends of the challenges and opportunities in each batch used for descriptive reasons.

### 3.7.2 Qualitative Data Analysis

The analyses of the qualitative data were taken place as follows.

First of all, the voice data were translated into textual data. Then the data were polished and made ready for analysis. To analyze the data were coded for manageability and ethical reasons. Then after, similar ideas were integrated to produce themes organizing under each research question. Finally, the themes were re-categorized to create bigger themes and established a theory.

### 3.8. Ethical Considerations

As people are not Guinea pigs, consents were secured prior to dealing with them. After having their consents, the objectives of this study were briefed to them, and the data gathering process continued. The data were collected and being kept confidential and were not availed for any purposes.

## 4. Results and Discussion

### 4.1. Response Rate and Demographic Characteristics of Respondents

Samples of 154 respondents were selected to complete the survey questionnaire. All the 154 questionnaires distributed to the respondents were returned. This shows the response rate is 100%

### 6.1 Sex, Education and Experience characteristics of the respondents

**Table 1:** Sex, Education, and Experience of the respondents

Variables		Frequency	Percent
Sex	Male	99	63.9
	Female	55	36.1
Age	20-30	38	24.1
	31-40	107	68.7
	41-50	9	7.2
Education	MA	149	96.4
	Ph.D.	5	3.6
Work experience (years)	Below five	5	3.6
	Five to ten	100	65.1
	Eleven to Fifteen	30	19.3
	Above fifteen	22	14.5

Source: Own field survey, 2017

Out of 154 qualified respondents of the survey majority that is 99 (63%) of them are males whereas 55(36.1%) of them female. This insignificant difference between genders of respondents does not provide significant impact on the research output and value. In terms of

age, majority 107 (68.7%) of the respondents fall between 20-40. What can be taken from this is they have a potential knowledge and workforce to the country.

In terms of educational background, 96% of the respondents with a second degree the rest are Ph.D. holders. From this, one can learn that the respondents give mature information since a majority of the respondents have a better academic understanding that has added value and input to the study. The respondents have experiences between 5 and 15. This implies that they can supply better information about what is going in the organization related to the internship program.

**Table 2:** Challenges of Internship in the hosting Organization

		SDA	DA	UD	A	S
1. The hosting institutions have clear and adequate understanding about the objective of the program.	F	16.9	44.6	9.6	22.9	6
	P	10.8	31.3	15.7	32.5	9.6
2. The hosting institutions are availing the necessary documents on the program	F	17	48	24	50	15
	P	10.8	31.3	15.7	32.5	9.6
3. The hosting institutions are assigned on time as soon as mentees arrive at the hosting organizations	F	69	9	27	37	15
	P	44.6	6	15.7	24.1	9.8
4. Limited expertise to mentor	F	11	37	22	76	7
	P	7.2	24.1	14.5	49.4	4.8
5. Hard to communicate and shared data	F	15	37	19	76	11
	P	9.6	21.7	12	49.4	7.2

The effectiveness of internship implementation depends on the awareness and shared vision among the hosting organization, University, and the stockholders. As shown in table 7, 44.6% (69) of the respondents disagree and 16.9 % (26) strongly disagree that the mentors were provided a clear and adequate understanding about the objective of the program, whereas 22.9 % (35) of the respondents agree and 6% (9) strongly agree. The other 9.6 % (15) were undecided. Looking at these numbers, one can say that the mentors have understanding gaps about the objective of the internship and persuade the mentees that they are there for a purpose and help them be positive for the future in the institution.

As indicated in Table 8, 31.3 % (48) of the respondents disagree and 10.8 % (17) strongly disagree that the mentors were not provided with the necessary documents on the program. Whereas 32.5 % (50) of the respondents agree and 9.6 % (15) strongly agree while 15.7 % (24) were undecided. The results show that there is a very close opinion between those who agree and disagree about the availability of documents for the mentors to use. One reason given as to why there are fewer documents available is that few employees within an organization consider these mentees as a spy or a threat to their position.

The reason mentees took the internship in the first place was to gain valuable work experience. Otherwise, they can be extremely frustrated when they are not getting those opportunities. A mentor is a guide who can help the mentee to find the right direction help them develop their skill and have achieved professional success, acquired self-confidence, experienced professional satisfaction and wishes to share his or her experiences with a less experienced individual.

44.6 %( 69) of the respondents disagree and 16.9 %( 9) of them strongly disagree that the mentors were assigned on time as soon as the students arrived, whereas 24.1 %( 37) of the respondents agreed and 6.6 %( 9) strongly agree. The other 15.7 % (27) were undecided.

The result is shown from the discussant and interview there was a delay in the assignment of mentor both at federal and regional levels. This creates frustration and discouraging the mentee.

49.4 %( 76) of the respondents were agree that there were limited expertise to mentor in the hosting organization and 24.1 %( 37) of the respondents have disagreed, whereas 14.5 %( 22) of them were undecided that whether there were limited expertise to mentor in the hosting organization.

49.4 % (76) of the respondents were agree that there were hard to communicate and shared data in the hosting organization and 21.7 %( 37) of the respondents have disagreed whereas 12% (19) of them were undecided that there were hard to communicate and shared data in the hosting organization. As the survey showed in table 5, 34.9% (54) of the respondents disagree and 7.2% (11) of them strongly disagree that the mentors were willing and ready to welcome mentees assigned to them. Whereas, 33.7% (52) of the respondents agree and 7.2 %( 11) strongly agree while the other 6% (9) were undecided. The result from the discussant and the interviewee supported that even though there are some committed mentors who understand the internship program to orient the mentee to fill their gap, most of the mentors were not welcoming the mentee, as soon as they arrive at the organization. This shows that there are problems with some mentors in welcoming mentees. This calls for effective orientation.

60% of the mentors that the ILG doesn't raise their internship awareness. This may indicate that the mentors support the mentees without having clear information about the program.

The effectiveness of internship implementation depends on the awareness and shared vision among the hosting organization, University, and the stockholders. 44.6% (69)of the respondents were disagree and 16.9 % (26)of them strongly disagree that the mentors were provided a clear and adequate understanding about the objective of the program whereas 22.9 %(35) of the respondents were agree and 6%(9) strong agree The other 9.6 %(15) were undecided.

Each 34.9 % (54) of the respondents equally disagreed and agree that the mentors have the commitment and willingness to support the students whereas 12 %( 19) of the respondents

were strong disagree and 9.6 %( 15) strong agree the other 8.4 %( 13) were undecided. But the discussant argued that even though some of the mentors were committed to supporting the mentee, they were not availing as the mentee needs help. They didn't meet and discuss with the mentee as per their schedule and not enough direction given what they are doing. Students have limited time spent with mentors due to undeniable to much tight transfer his/her practical experience. Some of the mentees have faced with a problem of not having enough work or being given busy work that doesn't add value to the mentee as well as to the organization. This shows they were not responsible for their national obligation to create skilled human resources. 36.1 %( 56) of the respondents were disagree and 3.6 % (6) of them strongly disagree that the mentors have the necessary skill and whereas 34.9 %( 54) of the respondents agreed and 10.8 %( 17) strongly agree the other 14.5 %( 22) were undecided. The result shows from the discussant and interview that since most of them were experts, they were not having more knowledge and skill better than the mentee. This shows mentee have not got good experience and skill from senior leaders. Hence, the mentor assured that many mentees (66%) didn't have an opportunity to learn from the organization they are assigned to.

Table 3: Challenges of Internship with mentors

		SDA	DA	UD	A	SA
1. Mentors are willing and ready to welcome mentees assigned them	F	11	54	9	52	28
	P	7.2	34	6	34	18
2. Mentors are facilitating the necessary facilities including working room to the assigned interns.	F	15	50		69	17
	P	9.6	33	2.4	45	11
3. The mentors have commitment and willingness to mentor and capacitate the mentees.	F	54	19	13	54	15
	P	35	12	8.4	35	9.6
4. Mentors have necessary skills and experiences to properly mentor students	F	6	56	22	54	17
	P	3.6	36	15	35	11
8.Mentors accomplish their responsibilities according to the guideline of the internship program	F	13	65	21	35	21
	P	8.4	42	13	23	13
6 Mentors provide feedback and support to their mentees	F	9	69	17	46	13
	P	6	45	11	30	8.4
7. Mentors fairly and genuinely evaluate the mentee	F	19	60	19	37	19
	P	12	40	13	24	12
8.Mentors provide mentees with realistic challenging assignment	F	46	52	7	43	6
	P	30	34	4.8	28	3.6

Source: Owen field survey, 2017

42.2 %( 65) of the respondents were disagree and 8.4 %( 13) of them strongly disagree that the mentors have accomplished their responsibilities according to the internship guideline whereas 22.9 %( 35) of the respondents agreed and 13.3 %( 21) strong agree. The other 13.3 %( 21) were undecided. The interview and discussant supported that even though the University sent the mentor guideline attached with the mentee, the mentor didn't refer the

guideline to accomplish the mentoring responsibility. 17.44.6 % (69) of the respondents were disagree that mentors provide feedback and support to their mentees and 30.1 % (46) them agreed that mentors provide feedback and support to their mentees whereas 10.8% (17) of them were undecided. 39.8 % (61) of the respondents were disagree and 12% (19) strong disagree that the mentor has to give genuine feedback and support to the student whereas 24.1 % (18) of the respondents agreed and 12% (19)% of them strongly agree that the mentor have given a genuine feedback and support to the student. The other 12 % (19) were undecided. This shows less attention is given to the internship program. 33.7 % (52) of the respondents were disagree and 27.7 % (43) of them agree that mentors provide mentees with realistic challenging assignment whereas 30.1 % (46) of the respondents were strong disagree that mentors provide mentees with a realistic challenging assignment and 4.8 % (7) were undecided.

Table 4: Challenges of Internship by the University

		SD	DA	UD	A	SA
		A				
1. There is a strong communication between the university and the hosting institution	F	37	71	13	24	74
	P	24.1	45.8	8.4	15.7	6
2. The time allocated for the internship program is enough.	F	22	72	9	33	17
	P	14.5	47	6	21.7	10.8
3. The university provides timely transportation	F	16	38	9	12	8
	P	9.3	45.8	10.8	14.5	9.6
4. Mentees are paid fair per diem during the program	F	38	80	7	17	15
	P	22.9	51.8	4.8	10.8	9.6
5. The university makes strong monitoring and support to the mentees during the program	F	17	63	26	32	17
	P	10.8	41	16.9	20.5	10.8
6. The university sustainably and timely solve the challenges facing students	F	24	56	37	34	6
	P	15.7	36.1	20.5	24.1	3.6
7. The performance evaluation criteria of the internship program is clear, fair and transparent	F	21	35	26	54	19
	P	13.3	22.9	16.9	34.9	12
19. The internship program is achieving its objectives	F	33	52	13	43	13
	P	21.7	33.7	8.4	27.7	8.4

One of the objectives of the institute fosters useful strategic partnerships with similar institutions, sponsoring organizations and the academic institution in which both parties benefit through shared knowledge, resources, and goals (Linnea D. et.al, 2007)

45.8 % ( 71) of the respondents were disagree and 24.1 % ( 37) of them strong disagree that there is a strong communication between the hosting organization and the University whereas 15.7 % ( 24) of the respondents were agree and 4.8 % ( 7) strongly agree the other 8.4 % ( 13) were undecided. The interview result from the key informant and discussant assured the survey result that the communication between the University and the hosting organization are very weak. In addition to this 73% of the mentors pointed out that the ILG doesn't communicate to than what has been done by the mentees and the gaps identified by them to introduce changes to the future joint work. This show that a lack communication on the basic objectives and expected outcomes from the internship program that leads less attention given to the program.

47 % (72) of the respondents were disagree and 14.5 % (22) of them strongly disagree that the time allocated for the internship is not enough whereas 21.7 % ( 33) of the respondents agreed and 10.8 % ( 17) strong agree that the time is enough. The other 6 % ( 9) were undecided whether the time allocated is enough or not. The key informant's interview resulted regarding the time allotted for the internship is too short. As mentees took assignment given by the mentor they came back when their activities and plans were in progress. Universities should provide the necessary facilities for the efficient implementation of the internship program.45.8 % of the respondents disagreed and 19.3 % of them strongly disagree that the university provides timely transportation for the facilitation of the internship program. Whereas, 14.5 % of the respondents agreed and 9.5 % strongly agree that there was a timely transport facility provided by the University. The other 10.8 % were undecided. Discussants supported the survey result that mentee suffers from lack of transport on time and forced them to arrive late at the hosting organization. This shows priority is not given to avail the necessary transportation for the internship program 51.8 % (80) of the respondents were disagree and 22.9 % ( 35) of them strongly disagree that the University paid fair perdium to the student whereas 10.8 % ( 17) of the respondents agreed and 9.6 % ( 15) strong agree that. The other 4.8 % ( 7) were undecided. All the key informants and discussants assured that the perdium given to the mentee was not fair and have not considered the real situation on the ground. This shows the decision was done without proper studied the real situation on the ground.41%(63)of the respondents were disagree that the University makes strong monitoring and support to the mentees during the program and 20%(32)were agreeing whereas 16.9 % (26) were undecided. The other 10.8 % ( 17) each was strong agree and disagreeDesign and implement a well-structured and organized internship program is important because most of the internship program is based on off-campus activities and assignments, Institutes do not have direct control of all aspects of the course. If an internship program is to be most effective, it needs to involve much more than simply sending the mentee off-campus to independently complete a work experience.36.1 % (56) of the respondents were disagree that The University sustainably and timely solve the challenges facing students and 24.1 % (34) of the respondents were agreeing the university sustainably and timely solve the challenges facing students whereas 15.7 % (24) of the respondents were strong disagreeing. Others 20.5 % ( 32) were undecided.34.9 % ( 54) of the respondents were agree and 12 % (19) strong agree thatthe evaluation criteria were clear and understanding by

the mentors whereas 22.9 %( 35) of the respondents disagreed and 13.3 %( 21) of them strongly disagree that the evaluation criteria were not clear and understanding by the mentors to evaluate the student .The other 16.9 %( 26) were undecided.

33.7 % (52) of the respondents were disagree and 27.7(43) % of them agree that the internship program is achieving its objectives whereas 21.7(33) % of the respondents were strong disagree and 8.4 % (13) of each were them strongly agree and undecided that the internship program is achieving its objectives.

**Table 5: Opportunities of Internship**

		SDA	DA	UD	A	SA
1. The university is providing sufficient orientation	F	6	19	10	67	52
	P	3.6	12	7.2	43.4	33.7
2. Mentee contributed for my Organization	F	2	6	6	51	8
	P	2.2	8.7	8.7	69.6	20.9
3. Learnt from mentees	F	0	22	2	43	6
	P	0	30.4	2.2	58.7	8.7
4. Mentees and organizational capacity Builder	F	0	14	3	40	16
	P	0	19.6	4.3	54.3	21.8
Mentees and their role as partnership enhancers	F	3	16	3	35	16
	P	4.3	21.7	4.3	47.8	21.7
Mentees and rule and regulation	F	20	33	2	13	5
	P	28.3	45.7	2.2	17.4	6.5

One of the opportunities of the internship is contribution given to the hosting organization, the University, and the mentee. The mentor assured that they learned from mentee to develop a new mindset since they are providing a great contribution through training to capacitate the employee, and new idea and information. Besides, they promote the hosting organization and tried to create a partnership with the university. The other opportunities that gain from internship is mentees were communicated with the hosting organization senior officials 81% of the respondent that the mentees are of value for the organization, they contribute through training and conduct an assessment of customer satisfaction.

**Role of the Stakeholders**

		SDA	DA	UD	A	SA
Awareness of mentees about the purpose of internship	F	8	37	3	22	3
	P	10.5	50	4.3	30.4	4.3
No formal communication among ILG and Civil Service Minister	F	5	24	6	25	13
	P	6.5	32.6	8.7	34.8	17.4
No proper follow up	F	6	32	8	24	3
	P	8.7	43.5	10.9	32.6	4.3
It doesn't us inputs from the stakeholders	F	6	8	3	46	9
	P	8.7	10.9	4.3	63	13

About 60.9% of the mentees are not clear with their purpose in the hosting organization. This is a serious problem to consider themselves as a part of an organizational system. 52% reported there was no formal communication between them and ILG. From these findings; one can understand there is a gap to be filled between mentors, the ILG and the minister in order to make the internship effective.

States the relationship between mentees and mentors to generate inputs for their operation. It is shown by 76% of the mentors that the mentees don't use inputs from the stakeholders. From this finding, one can infer that the mentees give lack attention to what the mentor tell him. This blocks opportunity to learn.

## **5. Summary, Conclusion, and Recommendations**

### **5.1. Summary**

Depending on the key findings of the study, the following major points have been summarized. The above data are indicated that the internship can serve as one of the platforms for the joint venture to be carried out to facilitate the leadership practices at different public organizations. To materialize the issue of working with other people, the University and the public organizations should make all their level best efforts. This collaboration should extend itself to other organizations like Meles Zenawi Leadership Academy at federal and regional levels in order to strengthen the contributions expected from citizens. So leadership capability development institutions have to be established at different tiers in the Country if we have to create a network of the capacity building.

### **Regions and ECSU**

Development and good governance are inseparable sides of a coin. This can mean that one cannot thrive without the other. This has an implication for the Country to pave ways for the enhancement of both big issues. This reflected that the curriculum of the University has to be revisited continuously to address the growing demands of the public sectors. The revision process should involve all those who believe they have stakes in the capacity building endeavors of the Country.

It was also indicated that the regional states should play active roles in the implementation of the programs of the University because it is their concern as well. By the same token, they made clear that they should recruit trainees that can meet their purposes and add value for the development of their respective regions.

The university and regional governments have a weak relationship by identifying the organization's market failures to be filled. Hence, there is a problem to utilize graduates appropriately, because, they are not trained based on the real demand of the public service. It is the common responsibility of Federal, Regional Governments and the University to develop the skills, attitudes, and knowledge of civil servants. Therefore, the university and

regional governments could have forums and memorandum of understandings to strengthen their relationship and to make the mentors accountable. It has to be practiced based on researched principles and policies. To realize it, the initiation should come from the university.

### **Civil Service Bureaus and Students**

The internship programs serve as a link between public organizations and the University. However, the link is not a strong one because the public organizations do not have a clear understanding of the programs. They think they are imposed by the Public Service and Human Resource Management Ministry, and as a result, they give the internship programs a scant attention. Through the Ministry, a consensus has to be built at the Country level. Otherwise, the implementation cannot be successful.

As per the guideline, mentors should be either the minister or deputy minister; and bureau heads or civil service bureau heads. Nevertheless, practically, mentors are experts who haven't better skills and knowledge of leadership than the mentees. This contributes for the failure of the internship program. The mentees conduct sample survey and gap analysis in selected topics of their host organizations. They give training in leadership and other related courses to create awareness and motivate employees.

Generally, the internship programs are failed to achieve their objectives. The reasons are: the mentees can't obtain practical knowledge from higher officials; even they have never seen the Ministers. They agreed with their mentors to go and come back for the formality only. If it was practiced based on the guideline, it has a significance to change the theory into practice and can promote ECSU to others. The internship can serve as a bridge between the university and regional bureaus but the linkage is broken; let alone with other bureaus but with the civil service bureau. To achieve successfully the internship program, mentors and mentee have indispensable role than others. In addition, responsibility and accountability systems should be developed in each stakeholder.

The duration of the internship is too short. The students obliged to conduct the internship program and thesis proposal in parallel. Then, the student's focus was on the thesis proposal which unkindly affects the internship programs. Besides, there should be responsible body in each regional states to follow up and solve challenges in related to an internship program. The board of university has to recognize and evaluate the performance of students' internship.

### **Relationship**

The University is a model to introduce the modularization and guideline. However, in implementing there are gaps to be abridged. They revealed that many instructors teach without having training on how to facilitate modularized courses relating to the existing realities. However, it has a gap of communication.

The university has a responsibility to produce qualified leaders. Continuous communication between regions and the university is needed to solve the gaps of candidate's recruitment and assigning of graduates. The communication can be perceived as a blood circulation of our body. Life will end up if both of them become dysfunctional. The internship programs should be given serious attention to be performed as per the guideline. Duties and responsibilities of the regional states, the university, and the students should be articulated briefly. Graduates are not assigned based on their professions. They placed in unrelated professions that can discourage the new applicants and create a psychological disturbance. Mostly, they assigned to human resource management positions which are incompatible with their field of specialization.

Generally, ILG has been in practice of internship to integrate theories and practices so that the graduates develop practical sensitivity about their future contributions to the transformed leadership of the country. The practices of the institute can initiate new ways of doing the businesses of the public sectors in order to contribute towards achieving the mission/ vision of the country.

On the other hand, the institute has been doing the internship program within challenging contexts, which have impaired the easy implementation. This has been witnessed by the problems identified by both the mentees and the mentors. Even though both parties appreciated the motivation of the institute to put in place the internship program, they have underlined that more creative endeavor to be made to extract the required advantage from the process. The mentors and the mentees have also disclosed that the work of internship has to be carried out with the spirit of a joint venture as it is a learning forum for all who get involved in the system. The other issue touched on by the mentees and the mentors were that the internship practices launched by the institute have to be expanded to other education programs in the university and elsewhere because it serves as the angle of practical learning for the future leaders. Besides, it has been underscored that the Higher Education Relevance Quality Agency has to give attention to practical programs like internship so that graduates are transformed citizens.

## **5.2 Conclusion**

The objective of this study was to assess the practices and challenges of internship programs at the institute and learn how to transform the challenges into opportunities and execute more meaningful and value-adding internship programs. Based on this, the following implications have been drawn from the findings of the study.

The Ethiopian Civil Service University, Institute of Leadership and Governance have introduced the internship program in order to produce practice-oriented leaders at different levels in the country. However, the program is encountered with different challenges in its implementation. the challenges are emanated from the hosting organizations, mentors and the University. in the hosting organizations there is lack of experience to mentor the program, lack of communication and data sharing, lack of mentors' commitment and awareness to receive mentees, and lack of mentors' skill and knowledge which hinder to implement the

internship program to implement effectively. Moreover, the mentors in the hosting organization do not provide appropriate feedback and do not facilitate good working conditions to mentees. The challenges shown in the Ethiopian Civil Service University are weak communication with the hosting organization and other concerned bodies, low per diem and transport allocation, weak supervision and delay of response to mentees problem.

Therefore, all these challenges are affecting negatively on the implementation process of the internship program.

Even though there are a lot of challenges on the implementation of the internship program, there are opportunities for this program. The main opportunities are there is appropriate orientation given by the university; students have a good exposure to see different organization and practical work; there is effective training given to employee and there is new idea and information provided by the mentee.

### **5.3 Recommendations**

This study has come up with recommendations deciphering the findings. The implementations of the recommendations require the involvement of key actors as indicated below.

#### **Education Policy Makers**

In order to translate what has been learned into practice and produce the intended results, policymakers should be aware of how and what to do and design policies that address the current demands of the societies. The internship is included in education policy. However, many implementers do not know its role in the education system. This has to be dealt with an aggressive way to instill it and benefit from it.

#### **Public Sectors**

Public sectors should understand the advantage of the internship programs and become actors in its implementation. If the hosting organizations develop awareness of internships, implementation becomes easier and the required benefits will be maximized. This process also brings both graduates and employers together at the same time give them an opportunity to understand the challenges of the public sectors and seek remedies together. It is also possible to say that this arrangement is a joint venture that facilitates collaboration.

#### **Training Institutions**

Training institutions like Ethiopian Civil Service University should think proactively and organize all processes of internship programs. Institutions should utilize guidelines prepared for creative implementations and assessing possible gaps in the implementation. There should also be periodic consultative meetings involving all those who have a stake in the materialization of the program. Especially, the University should discuss with the hosting organizations. Moreover, the University should provide transport and sufficient per diem for the mentees.

## **Mentees**

Mentees should develop creative attitudes towards implementing internship in their personal lives and public organizations in order to learn from the process. They have to operate according to the plans they set and pass in the process with active involvement and devotions. Though there could be challenges, they should arm themselves with the spirit that transforms challenges into an opportunity to grow.

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## **Effects of Land Lease on Residential Housing Development in Amhara Region: The Case of Two Selected Urban Centers**

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### **Abstract**

*High rate of urbanization currently in developing countries is not accompanied with parallel economic development which resulted in widespread urban poverty one indication is decent housing shortage characterized by the proliferation of informal settlement and slum of urban core. FDRE policy on urban land use tenure shift from freehold to leasehold system to ensure equity and avoid maladministration for more than two decades. However, the primary modality preferred to transfer land via lease hold is tender make a plot of land skyrocketing hundreds of thousands and in millions that systematically reject the low and middle income people out of housing market. Cognizing the sever problem of housing for residential purpose, ANRS Government decided to allocate plot of land for who do not have housing so far and organized through cooperative. Accordingly, hundreds of thousand people currently access to land for housing purpose. The study try to assess major factors that distort housing demand and supply, effects of the new land delivery system on the spatial transformation of Debre Birhan and Kombolcha Cities and portray the challenges and opportunities of the new land delivery system for residential housing development in the two cities. A mixed research method is employed in this research by incorporating both qualitative and quantitative methods. The population of the study is the residents of the two selected urban centers within the region who are cooperative residential housing beneficiaries and those who are in the waiting list to be prospective beneficiaries. A total of 403 sample respondent purposively selected from the two cities. 188 cooperative leaders from Debire Brehan (107 Beneficiaries and 81 in waiting lists) and 215 Cooperative leaders from Kombolcha (78 Beneficiaries and 137 in waiting lists). As the collected data are both qualitative and quantitative, both qualitative and quantitative techniques of data analysis were employed. The new scheme of land delivery for residential purpose benefited 4164 in the last 3 years and 4220 households currently in waiting lists. The spatial transformation of the new scheme in both cities reveals a significant change, however compared with the population increase in the last five years residential housing growth is by far less than the demand. Offloading the existing housing backlog prior to exhibiting the housing demand burden to be exacerbated by the continuing industrial development in both cities, looking for alternative housing development such as vertical development and eliminating those speculators that are benefiting by proxy or by fake divorces call for urgent solution by both municipal governments.*

**Key words:** *Lease Hold, Land Delivery System, Residential Housing, Beneficiaries, Housing Demand*

## 1. Introduction

The world's urban population has increased from 2.6 billion (45 per cent of the whole) in 1995 to 3.9 billion (54 per cent) in 2014 (UN-HABITAT, 2016) which clearly signify as urbanization is inevitably the way to the future. Though the share and the pace vary, increase in the levels of urbanization is a global fact. This global phenomenon is witnessed in the case of Ethiopia as well. However, its share of urban population is still one of the lowest in Africa, the pace of urbanization is increasing at a rate of 3.4% per annum and even may reach 5.4% (Central Statistical Agency. 2013). that could lead to rapid and unplanned urban growth.

As elaborated by Solomon and McLeod (2004) Ethiopia's urban centers are characterized by poorly developed economic base. Like most urban centers of developing countries, most cities and towns in Ethiopia face a plethora of problems, including an acute and ever-worsening housing shortage. Jeffrey and Michael (2004) also argued as one result of urban growth is the urbanization of poverty. From these urban problems, housing sector is one of the main problems. Even though there are some attempts to address the situation, it still persists with a higher tendency of further aggravation alongside the higher increase of urbanization.

The Ethiopian People's Revolutionary Democratic Front (EPRDF) that overthrew the Derg regime in 1991 designed a new tenure system for urban Ethiopia. Leasehold as a land tenure system was introduced in 1993 and then revised in 2002 and 2011. In order to support the housing market, the government has also provided various incentives, including the allocation of urban land at highly subsidized rates or free of charge, and subsidies to offset the cost of building materials. Yet, these incentives ultimately helped to satisfy only a small portion of the housing demand, and the private sector failed to deliver affordable housing at large scale (UN-HABITAT, 2010).

Along with this, according to MUDHCo (2013) the government has also put in place an integrated housing development program (IHDP) which had a plan of developing 400,000 housing units however succeeded to build 142,802 housing units between 2006 and 2010. Coupled with this, the Urban Sector Millennium Development Goals Needs Assessment (2004) predicted that to meet the Millennium Development Goals (MDGs) in 2015 requires a total of 2,250,831 units, which equates to a considerable 225,000 houses per annum. It is difficult to get a compiled data of the housing development in the urban centers of Ethiopia. But it can be assumed as the role of the private sector is not significant in comparison with the attainment of the government. This is a considerable achievement in comparison to the previous capacity of the housing sector. Even if there could be some effort from the private housing sector, it will not influence the figure much further. In comparison with the approximate annual estimate (that is 225,000) the annual achievement which is around 35,000 is by far smaller than what has been planned and what is demanded.

It is obvious that in both of housing development approaches, leasing land for real estate developers through various incentives and integrated housing development, brought a

substantial amount of housing supply. However as indicated in MUDHCo, 2014 the low effective demand and the weak ability to pay the down payment and the monthly mortgage (principal and interest) along with lack of adequate financing from the national bank of Ethiopia, the IHDP was suspended in cities other than Addis Ababa. This can be considered as a reflection of not having taken sufficient housing demand assessment that could meet the demand of the society, in the urban centers of the nation among others.

Even though this was the situation, the housing delivery attempt endorsed by the Amhara regional government during the past five years has evidenced a different scenario in at least a physical form through the construction of numerous individual housing units in the urban centers of the region developed by private owners which worth to be assessed. This study, therefore, focus on the degree of spatial transformation of two selected cities (Kombolcha and Debre Birhan) along with the challenges and policy and legal framework that govern land and housing development in the two city administration.

Based on the above background the research answers the following questions:

- What factors influence residential housing development in Kombolcha and Debre Birhan Towns?
- What policy and legal frameworks are there related with land delivery for residential uses in the country in general and in Amhara Regional State in particular and how are they effective in addressing the housing problem?
- To what level does the direct allotment of land for residential purpose transform the spatial structure of the urban centers under study?
- What are the challenges faced and prospects exhibited during the process of residential housing land delivery through direct allotment method in responding for the ever-increasing housing demand?
- What are the lessons drawn from the research and possible recommendations forwarded to tackle the challenges explored from this research?

## **2. Review of Related Literature**

### **2.1 Legal Framework of Housing Development in Ethiopia**

Having recognized the severe shortage of housing in many of urban centers in Ethiopia, the FDRE promulgate Urban Land Lease Holding Proclamation (Proclamation No. 721/2011) which is a revised version of the previous two land lease proclamations. The legal base of the proclamation is Article 40 of the constitution which says “land is the property of the State and the peoples of Ethiopia and that its use shall be subject to specific regulation by law” (FDRE, 1994).

Some of the major reasons that are stipulated in the preamble of urban land lease proclamations includes: to provide for the utilization of urban land to satisfy the needs of the various sections of the population; to address the problems associated with a high rate of urban population growth which resulted in the expansion of urban centers; to address the

inadequacy of the financial capacity of urban centers to finance the building of infrastructure and the provision of social services to urban dwellers; the need to implement the free market principles of the government by creating conditions whereby the right to use urban land can have market value; the need to control loopholes, corruption and appropriation of unjustified gains realized during the transfer of the right to use urban land whose value has appreciated; and the need to lay down a frame work in which Ethiopian investors can participate in the economic development of urban centers in accordance with the economic policy of the country (Proclamation No. 80/1993; Proclamation No. 272/2002).

Taking into consideration of the Federal Land Lease Holding System, The Amhara National Regional State Council revised the previous regulation of land lease holding by Regulation No. 103/2012. The objectives of the regulation are quite similar with the FDRE proclamation that increases efficiency and equity of urban land resources. In this particular regulation, Art. 5 stipulate that all cities and towns in the region shall completely enter into lease system within the period of five years. It means, the regulation totally abolish the previous freehold system and replaced by lease holding system by 2017 (in this year).

In both legal documents the preferred way of urban land lease provision for residential housing development is through tender. Each urban center has the responsibility to prepare land for tender, working in transparent way and the highest bidder shall be declared a winner on the basis of his bid price and the amount of advance payment he offers.

Notwithstanding tender is the preferred option for housing development, there are few exceptions that direct allotment (require council of Regional and City Administration) is possible (Proclamation No. 721/2011 and Regulation No. 103/2012). In both legal documents direct allotments permitted for:

- a. Office premises of budgetary government entities;
- b. Social service institutions run by government or charitable organizations;
- c. Public residential housing construction programs and government approved self-help housing constructions;
- d. Place of worship of religious organizations;
- e. Manufacturing industries;
- f. Use of Embassies and international organizations and projects having special national significances.

Therefore, the Regional Government prefers direct allotment of land for urban residents that are organized through cooperatives. The reason behind the regional government opt to implement direct allotment than auction is the inability of the regional government to meet the intended goal of attaining efficiency and equity in urban housing provision which mentioned both in regional and federal government legal documents.

## **2.2. Land Lease in Ethiopia and its Effect on Housing Development**

The urban land lease policy is one of the major policy interventions made by the government to allocate urban land for residential and non-residential developments. In Ethiopia, the

history of the lease system dates back to 1993(Proclamation No.80/1993) when the first time a lease system was introduced as a model of urban land holdings. The proclamations have been amended twice in 2002 and 2011 with a view to tackling issues that constrained its effective implementation. Land transfer modalities vary among Proclamation No. 80/1993, 272/ 2002, and 721/2011. Under Proclamation No. 80/1993 transfer modalities were the tender system. Under Proclamation No.272/2002 the modalities intended to transfer land were changed to allotment, negotiation, and auction. However, the lack of transparency about the supply of land as well as the lease price negotiations was exposed to governance problem and forced by the government to change land allocation mechanism to auction and allotment system as an exclusive modality and re-enact the current land proclamation (Proclamation No.80/1983, 1983, No.272/2002, 2002 & No. 721/2011, 2011).

Reports by Addis Ababa city administration master plan revision projects office on housing component revealed that housing is in short supply for the urban dwellers. As a result, urban dwellers are forced to access land through squatting and informal settlements. A World Bank report on the Ethiopian urbanization review reveals that the numbers of bidders are 12-24 times higher than the number of plots for residential plot and 3-7 times higher than available plots for commercial land and hence supply doesn't satisfy even the wealthiest community who are able to pay for land and participated at auction market (World Bank, 2015).

Comparison made among Addis Ababa, ARNS and Oromia National Regional State reveals that in Addis Ababa case, the minimum lease rate would be fixed by the City Administration and the prevailing lease rate is set through public tender. In Oromia, the minimum rate is defined based on land rent and house tax and cost of infrastructure, and through public tender for the city centre. In the ARNS case the minimum Lease rate to be set by former land rent. In regards to land transfer, In Addis Ababa case, land is allocated through allotment or auction. Whereas in Oromia up to 200 m<sup>2</sup> through rent system, and above 200 m<sup>2</sup> leasehold applicable and in ANRS, Auction and Negotiation applicable (Reg.No.29/2002 for A.A, consolidated Reg.No.1/1995 for Oromia, ANRS Reg.No.6/2002, sited in Melaku and Eyasu, 2016).

Pursuant to the national law on lease holding of urban land, the Amhara regional state has enacted its lease hold regulation (Regulation No. 2/1995 and its amendment Regulation No. 6/2002).The applicability of this regulation is however limited till the enactment of Regulation No. 103/2012 by The Revised Amhara National Regional State Urban Land Lease Holding Regulation in all urban centers of the region except the three largest urban centers in the region (Bahir Dar, Dessie and Gondar) where urban land lease was an alternative approach to land delivery for residential and non residential housing development.

The lease hold policy of the Amhara regional state has provisions that try to regulate basic aspects of urban land holding and development. However, the implementation of the policy is reported to be far from being realistic in all three lease cities. The main reasons cited for this are the implementation regulations being not attractive to the private sector, the low technical

capacity of urban centers to prepare land for lease and the limited financial capacity of the cities coupled with their inability to involve the private sector in financing land development (Asfaw, 2014). One of the major problems faced by municipal officers of most urban centers is the difficulty to clear land and deliver it to investors. Former holders whether legal or illegal for instance, Kebele house residents and farmers) resist eviction using various mechanisms that range from legal to traditional means.

## **2.3. Empirical Study Review**

### **2.3.1 Singapore**

In Singapore, land is a scarce and critical resource, and its proper pricing and valuation is of great importance to the Government, private sector, and households. Land leases are classified either as freehold or leasehold. The owner of freehold land has a perpetual, non-expiring right of ownership to the land, whereas leasehold titles give the purchaser the temporary right of ownership. With some exceptions, residential leasehold titles usually run for 99 years, while most industrial leases run for either 60 or 30 years (in some cases, 20). Upon the expiry of the lease term, the ownership of the land returns to the state.

A vibrant secondary market exists for the sale and resale of leasehold and freehold land and real estate. Because leases can be bought, sold, extended or reduced, it is often necessary for the Government, as well as property developers, buyers and sellers, to know the value of the remaining lease on a piece of leasehold land. This allows the Government to calculate the land premium (or fee payable) for the alienation of state land, for changes in land use or intensity, or extension of land leases.

### **2.3.2. Hong Kong**

Many, but not all, land leases in Hong Kong are publicly auctioned. The government provides some land for public housing, special industries, and non-profit organizations through a structure known as a private treaty grant. If the government approves the grant application it will then negotiate with the lessee for the amount of the premium and specific lease conditions. These can be offered as nominal premium grants, reduced premium grants, and full market value grants. The government has subsidized many public housing projects through premium grants. In the early 1990's, housing programs covered about half the population of Hong Kong.

Complaints about housing prices began to increase during the 1990's as the "sandwich class" began to increase in size. This "sandwich class" was generally lower-middle income families with earnings too high to qualify for government housing subsidies, but too low to allow them to purchase their own homes. The new government, after 1997, responded by promising to increase land supply and build additional housing. However, the timing of this well-intentioned policy occurred when the Asian financial crisis spread to Hong Kong. Weak housing demand coupled with increased supply greatly depressed housing prices. This prompted the propertied class to call for the government to stop intervening in the private

housing market and to halt all land auctions. With the population split, the government faces a continuing dilemma which affects the way they lease public land.

Between 1996 and 2000 annual revenues generated from public land leasing were more than enough to cover the cost of infrastructure and land development (with only 1998 as the exception due to the Asian Financial Crisis). Lease revenues accounted for approximately 17% of total government revenue, which was the second most important source of funds after personal and corporate income taxes. The Hong Kong government seemed very capable of retaining a large portion of the land value by leasing public land.

### **2.3.Lesson Learned from Empirical Literature**

- The need to balancing determining the price of land via market and government intervention, as land is a scarce resource as well as equitable distribution of it among society.
- Flexibility in land use right i.e. applying both freehold and leasehold enable various section of the society access to land with reasonable and equitable prices.
- Leasehold system enable local government access to better income sources that help to invest on various infrastructure and services and subsidize some section of the society that need help by local government.
- In a country where there is fast urbanization that calls for investment in infrastructure lease system is one of the best options many countries follow.
- The need to strong institution (in terms of legal, administrative and skill and knowledgeable human resources) that able to implement the system, otherwise it end up with corrupt government officials worsening housing and property market distortion.

## **3. The Methods**

A mixed research method is employed in this research by incorporating both qualitative and quantitative methods. Mixed research method, according to Creswell (2009), employing the combination of quantitative and qualitative approaches allows utilizing the strengths of qualitative and quantitative research methods. This will allow minimizing the shortcomings of both of the research types mentioned and is believed to gain more insight from the combination of both qualitative and quantitative researches than either form alone. The theme of the research is to assess and understand a residential land delivery modality for cooperatives along with its socioeconomic benefits and the associated pros and cons in the process in the study cities. Thus, to undertake this research, the researchers believe as a mixed method of approach is appropriate.

### **3.3.1. Case Selection**

With the limitation of resource and time it was difficult to undertake a total study of the urban centers of Amhara region which have undertook the residential land delivery through cooperatives with a leasehold approach. Case study as defined by Yin, (2009) is an empirical inquiry that investigates a contemporary phenomenon in depth and within its real-life context. In addition, Kothari, (2004) described the case study method as a very popular method and

involves a careful and complete observation of a social unit giving emphasis for the processes as well as their interrelationship. Therefore, this makes the case study method more appropriate to this type of study. Case study, according to Yin, (2009) can be designed as a single-case study or multiple-case study. For this paper, the researchers used multiple case study method of two case cities in order to create better understanding of the phenomena.

Two case cities, Debre Birhan and Kombolcha are selected purposively from the different urban centers that have undertaken the housing intervention. The first reason is the size of the urban centers both in terms of population size and spatial coverage. To create a better understanding of a situation in a case study method, the cases are better be in a similar situation unless a comparison is required to be made on an issue or a bunch of issues across different urban centers. In addition, the two cities are found along a single route from Addis Ababa with a fair distance from the capital for ease of mobilization of resources in a less costly situation. There is a considerable distance in between the two case cities, which are found in two different zone of the region namely North Shewa and South Wollo respectively.

## **3.2. Sampling Design**

### **3.3.1 Population of the Study**

Population is the universe of a study about which final conclusion and recommendation were made based on the selected samples. The universe includes the residents of the two selected urban centers within the region who are cooperative residential housing beneficiaries and those who are in the waiting list to be prospective beneficiaries.

### **3.3.2 Sampling Unit**

The sampling units of this study are the beneficiaries and those who are on the waiting list of the Amhara Region's urban residential land delivery through a housing cooperative approach in the selected case areas. From Kombolcha City 1488 households are the beneficiaries and currently some 2479 residents are in the waiting list. With regard to Debre Birhan 2578 households are the beneficiaries and 1658 households are being registered on the data obtained from the respective municipalities. Since it is suitable to get the address of those who are in the waiting list, it could be possible to get them through it.

### **3.3.3 Sampling Frame**

The sampling frame of this study is list of households that are benefited from the new cooperative housing scheme and those who are on the waiting list of Kombolcha and Debre Birhan Town. Accordingly, the researchers collect the list from both town administration offices and communicate each of the cooperative leaders to feel the questionnaire, as they believed to provide better information for the researchers than any other person in the cooperatives. Hence, in Kombolcha there are 78 housing cooperatives benefited from the scheme and 107 are in waiting list, therefore, the researchers distribute 186 questionnaires for the cooperative leaders communicating via their phone number and informally with the help of municipal staff. Concerning Debre Birhan Town, there are 137 cooperative benefited from the new scheme and 81 are currently in the waiting list, therefore, the researchers distribute

218 questionnaires for the cooperative leaders following the procedure that have been done in Kombolcha Town.

### **3.3.4 Sample Size**

Determining the sample size is a very important step in a research. For this research, the sample size is determined by the number of cooperatives formed regardless of whether they are in the waiting list or beneficiary's list during the last four years of the employment of the housing delivery modality. There are 137 beneficiary cooperatives and 81 on the waiting list. Considering the group leader represents the interest of the group and for ease of convenience, the team leader of every of the cooperatives or their representatives were considered in the sample. As a result, there are 218 samples from Debre Birhan and a 208 sample from Kombolcha was communicated.

## **4. Result and Discussions**

### **4.1. Description of the Study Areas**

Kombolcha is one of the towns, which were found during the Italian occupation (1936-41). Probably it is one of the few towns, which the Italians established with a well thought and developed concept as well as a clear stance of not only military but also economically viable strategy (Kombolcha Town Structure plan report, 2011). Astronomically the city is located at about 11°06' N latitude and 39°45' E longitude. It is found in the Northern part of the country under the Amhara regional state at a distance of 377 km from Addis Ababa, and at a distance of 505 km from the regional capital city, Bahir Dar. It is locationally endowed as it is found at the junction point of the road from Port Djibuti through Samara and Bati, from Addis Ababa Dessie Woldiya and Mekele, and kombolcha Gindewoyin. The several industries it had, coupled with the industrial zone developed with the plan of expansion through additional two phases along with the accommodation of Wollo University, Kombolcha Technology Institute, will threaten the city with very large population dynamics. This in turn will over burden the housing scarcity of the city. So it seems timely to respond for the housing demand of the city.

Debre Birhan city is found in Amhara regional state North Shewa Zone astronomically at 9°38'00'' to 9°41'00'' North latitude and 39°30'00'' till 39°20'00'' East longitude. In relative terms, the city is located 130 Km along the road from Addis Ababa – Dessie and 696Km from the region's capital through Dessie (Debre Birhan city Structure plan report, 2013). It is found in North Shewa administrative zone and serving as a zonal capital. The several industries it had coupled with the industry zone to be developed along with the accommodation of the DebreBirhan University, will threaten the city with very large population dynamics. This in turn will over burden the housing scarcity of the city.

## **4.2.Land Demand & Supply in Debre Birhan City in the Last 5 Years (2014/15 to 2016/17)**

### **4.2.1. Land Supply in the Last Five Years**

The major land delivery system for housing development both in Kombolcha and Debre Birhan City is through lease system. The modality of lease tenure enforced by Regulation No.103/2012 of The Council of the Amhara National Regional State (ANRS) and The Federal Democratic Republic of Ethiopia Proclamation No.721/2011 of Art 5/1 of the proclamation and Art. 4/1 of ANRS Council Regulation; any urban land shall be held only through leasehold tenure. The instruments to ensure the permission of urban land, in both legal documents, are through tender (in most cases) and through allotment.

### **4.2.2. Land Supply through Tender in Kombolcha & Debre Birhan City (2014/15 to 2016/17)**

According to Kombolcha City administration from 2014/15 to 2016/17 8.09Ha land were transferred to the beneficiaries for residential purpose. The minimum lease price was 250 Birr per meter square submitted in 2014/15 and the maximum one was 9600 Birr offered in the year 2016/17. With respect to Debre Birhan City In 2014/15, the city administration plan to transfer 3.2 ha. of land for residential purpose via tender. However, the performance was 2.61 ha. The number of plot was 50 (48 plots for residential and the remaining 2 were for commercial purpose) with the minimum lease benchmark price per meter square was 150 Birr in level three location and the maximum one was 700 Birr in level one location. Concerning the actual tender results, the highest winning bidder was 1451 Birr per square meter for residential purpose and the minimum winning bidder was 470 Birr per square meter (see table 10 below).

On the other hand, in the year 2015/16, the size of plot prepared for tender was 0.88ha. In fact the planned size of the land decreased from 3.2 to 0.88 but the number of plot raised into tender increased from 48 to 76. The minimum lease benchmark price increased from 150 to 200 Birr but the maximum one was remaining constant i.e. 700 Birr per meter square. A significant shift observed in the winning bid of 2015/16 tender when one compared with 2014/15. It was 1451 Birr in the year 2014/15 skyrocketing to 5005 which was more than 3 folds increased. In the year 2016/17 the city administration planned to lease 3.67 ha. of land for residential purpose, however, the performance was 3.55 ha.

The lease benchmark price in 2016/17 was remaining constant (both the minimum and maximum) but the number of plot ready for tender increased from 48 in 2014/15, 76 in 2015/16 to 184 which is more than double when one compared with the previous year. Concerning the winning lease price, both the minimum and maximum once, increase from 470 Birr in 2014/15, and 200 Birr in 2015/16 to 2765 Birr in the year 2016/17 for the lowest lease winning price. On the other hand, the highest lease winning price was 1451 Birr in 2014/15, 5005 Birr in 2015/16 reached at 11100 Birr recently in 2016/17.

### **4.2.3. Land Supply through Lease Allotment for Cooperative Association in Debre Birhan City (from 2014/15 to 2016/17)**

As clearly stated in table 11 below, in the last three consecutive years (from 2014/15 to 2016/17 G.C.), the total size of residential land planned to transfer were about 53.05 ha. The 22.42 ha. Were transferred in the year 2014/15, 30.63 ha in 2016/17 but there were no prior plan or actual implementation to prepare or transfer land for cooperative housing in 2015/16 G.C. The actual performance in the year 2014/15 was 19.50 ha which is lower than the plan by 2.92 ha. Similarly, in 2016/17 the municipality plans to transfer 30.63 ha. for cooperative housing, however, the performance was almost half of the plan which is 15.71 ha.

With regard to the total number of households benefited from cooperative residential housing development in three consecutive years (2014/15 to 2016/17) were 2578 households, from these 1533 households benefited in 2014/15 and 1045 household heads were benefited in the year 2016/17. However, no single person access to a plot of land for residential purpose via cooperative housing development scheme.

### **4.3.1. Share of Residential Land Supply against other Land Uses**

Residential land use is the one and most important land use in any urban setting. It always influenced by population growth, pattern of family formation, age structure and other socio-economic, physical and political factors. Kombolcha and Debre Birhan City, like many urban centers in Ethiopia population shows rapid growth due to, relatively, high industrialization, administrative seat of Kombolcha Woreda and North Shewa Zone and high population density around the city resulted in a default destination of migrants from rural area. The cumulative effects of this rapid urbanization in the cities create its own pressure on the existing facilities including residential housing.

Cognizing to the ever increasing demand of housing in the cities, both City Administrations developed and transferred various size of land in different years for residential and other uses. In the Kombolcha City, a total of 49.3 Ha land developed and provide for housing cooperative. Of which 20.6 Ha, in “Selase” Site, 18.4 Ha. in “Chefe” site and the remaining 10.3 Ha. around the old industrial village. Concerning to Debre Birhan City in the year 2014/15 G.C. 22.06 ha. of land which is 31.13% of the total 70.86 ha. allocated for residential purpose while 26 ha. (36.69%) transferred to Micro and Small Scale Enterprises (MSEs), and 22.35 ha. (31.54%) allocated for industrial purpose. This implies that the percentage share of residential land allocation against the remaining uses was fair.

In 2015/16, the total size of urban land allocated for various uses were very minimal (5.68 ha.). It was 8% of 70.86 ha. area of land transferred for various uses in 2014/15 G.C. Even so, the developed land for various uses in 2015/16 G.C. very small, land allocated for residential purpose took the lion share i.e. 83.10% of 5.68ha. Recently in the year 2016/17 G.C. 130.29 ha. allocated for various uses. From these 102.6 ha. (78.75%) reserved for industrial uses, 18.82 ha. (14.44%) for residential purpose and the remaining 6.22 ha (4.77%), 1.42 ha. (1.09%), 0.94 ha. (0.72%) and 0.29 ha. (0.23%) allocated for NGOs, MSEs, Commercial and Religious uses respectively.

### **4.3.2. Land Demand in Debre Birhan City**

#### **Population Growth**

According to Central Statistics Authority (CSA), the estimated population size of Debre Birhan City was 83479 in the year 2013. The average yearly rate of population growth from 1984 to 1994 was 4.12% and show slight decline from 1994-2007 to 4.02%. The absolute size of the city population during 1992, 1994, 2004 and 2013 was 25635, 38717, 65231 and 83479 respectively see table 12 below.

Determining the number of newly formed household in the last three years are very difficult as there is no organized data in the municipality. Therefore, using the 2017 population projection of CSA document believed to give a clue about potential demand of housing in the last three years. Accordingly, a total of 17137 people add in the city. As housing demand realized through household head level, converting the total population added into to the city (17137 people) need to divided by the average household size of the city (in this case 4.2) gives us 4080 households. On the onther hand, the estimated number of population added in Kombolcha in the last three years are about 17084 people either born or immigrate into the city. When one divide 17084 to the average household size i.e. 4.63 will give us 3690 new households emerged in the city. These are only the last three consecutive years housing demand excluding housing backlog of the cities persisted more than a decade. This implies that there have been and continued to be serious housing shortage in the city and the current lease system could not able to solve the problem as expected.

#### **4.3.3. Existing Housing Condition**

One of the critical factors that determine the demand of housing in any city is the situation of the existing housing condition. As discussed by many authors and policy document of the country, some 40% of urban housing in Ethiopia owned by government body (Kebele) nationalized by the then Derg regime rented out to the tenant with insignificant monthly payment. However, the right of those who rent the house is highly restricted i.e. they have only the right to live there but they don't have the right to build additional house, upgrade it, modify or any other improvement except prior permission by the concerned government body (the respective Kebele Administration). The situation in Debre Birhan and Kombolcha cities are not different from many of our country cities and towns.

According to Debre Birhan City Structure Plan document (2014) the city has 22539 housing units in the 9 Kebeles (including the 5 rural Kebeles) of these 18164 units are available in the urban Kebeles and the remaining 4375 housing units are exist in rural Kebeles. Moreover, among the total housing units 14518 were private residential houses even if 4802 units were not legally recognized by government body. Moreover, from the total housing units in the city 25% were physically deteriorated and their condition was very bad. To add more, some 64.4% of the housing units were owner occupied and the remaining 35.6% were either Kebele houses or government owned rental houses. Similarly, according to Kombolcha City

Structure Plan Document in 2011 there were 22810 housing units. However, the quality of housing units is so poor and some of them can't be repaired at all.

#### **4.4. The Transformation of the Spatial Structure Induced by Direct Allotment of Residential Land**

The transformation on the spatial structure of urban areas induced by the direct allotment of residential land for cooperatives could have different attributes. Among these; densification, urban expansion, urban renewal and/or upgrading, land use change, improvement/addition of infrastructure and utilities are the major ones which have direct correlation with the spatial structural transformation of the urban centers. Apart from these, the legal aspects related with the housing delivery modality and the land development approach have a direct implication on the spatial structure of urban centers over which it is going to be implemented. Most of the legal issues were addressed in the previous part of this study. Thus, this part reviews the remaining legal issues.

##### **4.4.1. Legal Aspects**

The residential land development initiative is a very important verdict as housing problem is being mentioned as one of the major problems of the study urban areas. This residential land delivery, regardless of the approach employed, brings a new addition to the existing urban environment either through redeveloping the existing urban settlement or creating new additions to the already existed urban settlements. The urban planning proclamation 574, 2008 states that ensuring economical and sustainable use of land and safeguarding the community and the environment, during the development of an urban land in an urban center, as important milestones. On the other hand, the structure plan manual, (ministry of urban development and construction, 2011) signifies that the urban centers under study are found at the level of city having a population of more than 100,000 and are expected to be led by structure plan. As a structure plan of this level is not implementable by itself, local development plans are expected to be developed for the implementation of the structure plan which could ensure the basic principles indicated above in the urban planning proclamation 574, 2008 as basic principles.

##### **4.4.2. The Case of Debre Birhan and Kombolcha**

The residential land development scheme of Debre Birhan city is implemented in five sites along with additional sites waiting for development. All of these sites are found at the peripheral areas of the city at the expansion areas mainly along the northern and southern directions. The land preparation process, after having identified the beneficiaries who met the criteria, starts with identifying their socio-economic characteristics, incorporates identification of the required social services and their land demand, infrastructure and utility requirements, recreation and green area demands and the calculated value of land for every household. After having this information, the planning team executes the block arrangement, land use assignment and parcellation. During the field observation, the research team has witnessed as two of the sites at Kebele 6 and 7 have a wider span and they do have a fulfilled local development plan prepared for these areas. There is leftover space in between the

previous built up area proper and these sites which the city administration intentionally left the area for a relocation site for the inner-city renewal program that they have planned, i.e. not to relocate the inner city relocatees farther away from the city center. Whereas the rest three development areas are smaller and seems as minor extensions of the existing settlement. As per the interview made with the experts, ensuring economical and sustainable use of land and safeguarding the community and the environment has been considered as underling principles. They have studied the characteristic of the land apart from what has been put in the structure plan so as to ensure the safety of the community as well as the environment. Whereas from the prospect of ensuring economic and sustainable use of land, the standard forwarded by the ministry of urban development and housing which allows for the development of an area to have 40% built up area, 30% green and recreation and the remaining 30% infrastructure and utility is respected as much as possible to ensure the sustainable development of the sites from the sustainable use of land point of view.

From the economic use of land point of view, they argued as it would have been advisable to promote vertical development rather than the G+0 houses allowed for development along side with this the land would have been valued with the lease price that the market could bring through competitive bid. However, the major intension of the residential land delivery through cooperatives is to minimize the housing ailment of the residents. To this end, as per the interviewees, a rational balance has been made which is responsive to the economic capacity of the dwellers. Despite the economic limitations that the beneficiaries and the municipality have, vertical development could allow for better economic use of land.

#### **4.4.3. Spatial Aspect (Urban Expansion)**

The developed sites for the housing program are found at the peripheral parts of the cities which let the urban area for expansion. Since the residential land development scheme allows for the construction of villa type houses at the lateral parts of the cities' which were once agricultural land, it transformed the natural landscape to an artificial one. Through the process, a better designed residential neighborhood is created with the required facilities and services which the city didn't have any of its kind at the two sites. The other sites are minor injections on the existing development in a disorganized manner.

According to CSA (2015) the forecasted population for 2015 based on the 2007 census indicated that there is an estimated population of 51,184 males and 50,930 females making a total of 102,114 population and 61153 males& 60883 Females making a total of 122036 populations in Debre Birhan and Kombolcha respectively. Thus, as per the urban level classification of the revised structure plan manual of the FDRE, Ministry of Urban Development and Construction, 2012, both Kombolcha and Debre Birhan fall under the category of level 4 urban center or they can be accounted as cities. As a result, among the different levels of urban plans, these urban centers are governed by structure plan.

The recognized land use categories in the revised version of the structure plan manual produced by the FDRE, Ministry of Urban Development and Construction, 2012, which is

also serving as a manual in the year during which this research is conducted, are six. These are; Housing, Business & commerce, Public facilities, cultural archeological sites & special functions, Manufacturing industry & storage, Infrastructure, utilities & transportation, and, Open spaces & environmental sensitive areas.

Among the different land use categories, Housing is considered as the basic land function and is expected to have a coverage of 55 to 70 percent of the land use share of the total area of the urban dominion. It is also expected to accommodate; All types of residential developments, Educational services (kindergarten to secondary schools), Health services (health post to health center), Neighborhood markets ('Gulits' and shopping areas), Small and medium scale manufacturing and warehouses, Recreation and entertainment centers, Small administrative offices, and Worship places.

Recognizing this fact, however, this study aims to assess the spatial transformation of the city induced by the direct allotment of land for residential purpose. Thus, it mainly considers the housing land use category and, among its components the pure residential land use category of the cities. This is due to the fact that the direct allotment of land for residential purpose is taken place through the preparation of local development plans or in a regularized form that recognize some urban planning aspects. As a result, the spatial organization of the different land use categories in the newly developed areas and its counterpart in the previous (older) settlement area are different in allotted area as well as their structural setting. In addition, the road structure and width in the two areas are different due to the reason that the development of the previous settlement of the urban centers did not undergo through proper urban planning. This research is not going to identify the reasons why, since it is beyond its scope. Therefore, the research took the pure residential areas in the previous (old) settlement area and the area allotted for pure residence in the new development induced by the direct allotment of residential land for comparison.

Various scholarships, while studying the urban expansion, have utilized satellite images and address the whole range of urban expansion with its all frame of built up area (Angel, 2012; Karen C. Seto et al. 2011; and V. Mesev. 2012). To calculate the annual rate of expansion Karen C. Seto et al. (2011) used the formula  $AGR = 100 * (UE_{end} / UE_{start})^{(1/d)} - 1$  where  $UE_{start}$  is the extent of the urban area at the initial time period,  $UE_{end}$  the extent of the extent of the study at the final time period and  $d$  the time span of the study in years. The researchers employed this formula in an adaptive manner being geared towards the consideration of residential uses as  $AGR = 100 * (RE_{end} / RE_{start})^{(1/d)} - 1$  where  $RE_{start}$  is the extent of the Residential area at the initial time period,  $RE_{end}$  the extent of the residential area of the study at the final time period and  $d$  the time span of the study in years.

Thus, the residential area expansion directly induced by the direct allotment method with the residential cooperatives approach in Debre Birhan City is calculated based on the information obtained from satellite image, the respective municipalities and field observation as indicated

in table 14 below. The annual rate of residential expansion in between the five years under study is calculated in the following manner.

$$AGR = 100 * (RE_{end} / RE_{start})^{(1/d)} - 1$$

As a result, 0.7 is the average annual residential rate of expansion of Kombolcha city where as that of Debre Birhan city is nearly 1.9. both of the figures are considerably large figures in consideration of only the residential land use rate of expansion. Considering the structure plan manual, 2012, residential area is expected to cover 55 to 70 percent of urban areas at the current condition of our urbanization scenario. Thus, the total annual rate of expansion induced by the housing program in contrast with the total area of the cities under study is from 1 to 1.27 and from 2.71 to 3.45. This extent of residential area is considerably significant, however considering the population increase during the last three years as described in table 12, the new household formed are estimated to be 3948 in Debre Birhan. As a result, this housing modality, however given some relief, it requires additional interventions. It would even be better if the housing modalities could be with various alternatives to be responsive to the needs of the different segments of the society.

## **5. Conclusion and Recommendations**

### **5.1. Conclusion**

Amhara Region is one of the lowest urbanization level observed among the nine regions and two city administration of the country. Despite lowest urbanization level in the country, the rate of urbanization in many cities and towns of the region are very high. Debre Birhan and Kombolcha cities are the two main investment attraction sites even at country level that make them the destination of huge number of new inhabitants towards the cities. Such rapid urbanization pose various challenges among them housing is the one that need urgent and coordinated solution to make the cities livable for the existing and new inhabitants.

Cognizing the challenges, the Amhara Regional State decide a new modality of housing through cooperative scheme. Accordingly, in the last three years, some 4164 households benefited from housing cooperative scheme (2578 in Debre Birhan and 1586 in Kombolcha City). In addition to these, a total of 4220 households (1658 in Debre Birhan and 2562 in Kombolcha) organized in housing cooperative and waiting for the respective municipality decision. Even so government takes such measure, the rapid urbanization in those two cities along with housing backlog and bad housing condition of inner cities addressing the problem with such an efforts seems less successful.

The new cooperative housing scheme relatively better in addressing women interests as 32% of the beneficiaries are female. On the other hand, the average household sizes of the beneficiaries are 2.16 which raise gossip surround in both cities that false divorce and benefiting by proxy such as by their relative were common. These situations create a challenge in efficient management of the existing scarce resources and pose a question of equity among society. With reared to the source and amount of income, both the beneficiaries and potential beneficiaries in waiting list, the majority of respondents earn small amount of income from both formal and informal employment.

The interplay of demand and supply of a certain product determine the price of that product through it the question of equity is an area of interest. Housing demand and supply in the study area shows an asymmetry results as potential and actual demand by far greater than the supply. For instance, in Debre Birhan City, a plot of land cost an inflated 11,100 Birr per meter square which incorporate only very small number of the society. Even in government plan of cooperative housing scheme significant number of the society couldn't afford the initial 30,000 Birr down payment excluding them benefitting this opportunity.

One of the challenge raised in the cooperative approach is it consume scarce urban resource (land) by horizontal expansion (G+0) of the city as vertical expansion as alternative solution is too costly for the majority of people. Spatially, the total annual rate of expansion induced by the housing program in contrast with the total area of the cities under study is from 1 to 1.27 and from 2.71 to 3.45. This extent of residential area is considerably significant, however considering the population increase during the last three years, the new household formed are estimated to be 3948 in Debre Birhan. As a result, this housing modality, however given some relief, it requires additional interventions.

## **5.2. Recommendations**

- It is known that ensuring efficiency and equity at the same time is a difficult task but the existing municipal administration need to do more on minimizing the incidence of unfair advantage taken by households by fake divorce and benefiting by proxy, for instance, by their relative. In this case informal way identifying who do it and facilitate legal and administrative measure will be fruitful.
- Offloading the existing housing backlog prior to exhibiting the housing demand burden to be exacerbated by the continuing industrial development in the cities is a good opportunity. In doing so, the comparative advantages of both horizontal development and vertical development have to be scrutinized by all level of governments starting from regional, zonal to municipal.
- Even though it is important to consider the issue of equity in the housing delivery modality and land development schemes, it is at the same time valuable to incorporate the efficiency issues for balanced development. In line with this, the low-income groups are neglected from the housing modality that the region has employed at large. Thus, it has to reconsider the needs of this segment of the society. One of the mechanisms could be leasing out the prime lands in the sites that it undertakes the cooperative housing modality with competitive bid and then subsidize the housing for the poor. This could also be supported by the UN HABITAT housing for the poor initiatives which is not currently functional in the cities, though it has helped a lot in the previous years.

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## **Composting as a Viable Option for Urban Organic Waste Management in Addis Ababa**

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### **Abstract**

*The increasing accumulation of solid waste in urban areas has been a major problem that requires careful treatment and local governments develop different mechanisms to address this problem in the form of landfill, incineration and composting. Since majority of the solid waste in Addis Ababa is organic and easily biodegradable, composting can be an ideal option to manage the waste in line with the city's administration solid waste management strategy. The purpose of this study is to assess the potential of composting from solid waste based the composting practice and production capacity of producers, the nature and quality of compost produced and the urban farmers willingness to pay for compost. The study follows a market research approach to obtain information from different stakeholders. Secondary data is collected from various government offices and producers document sources. The primary data is collected using questionnaire from compost producers and urban farmers and the respondents are selected purposively and using simple random sampling method respectively. Six compost samples are also collected for laboratory analysis to check the characteristics and quality of compost. The data was analysed using descriptive methods like percentages and graphs, contingent valuation methods using binary logistic regression to determine the factors that determine farmer's willingness to pay for compost and comparisons of the compost quality criteria with international standards. The study identified that the compost practice in the city is at small and medium scale level and most of the producers use unsorted feedstock as a raw material. Aerobic degradation is the dominant method of composting in the city and the maturation period ranges from six to ten weeks. The characteristics of the compost produced in the city based on the quality parameters are below the international standard. Even if there is lack of separation of feedstock at source the level of impurities or heavy metals in the compost is very low as the source is usually free from pollutants and the level of economic status of the waste generators are relatively lower. From the urban farmers point of view, chemical fertilizer is the dominant type of soil input used mainly by crop producers whereas the vegetable producers relatively use compost as a soil improver. As a result, the vegetable producers are the ideal market for compost in the city. However, the vegetable producers that use fertilizer apply a higher amount in small land area to increase productivity. Majority of the urban farmers are also willing to pay for compost but for a very small price compared to chemical fertilize due to lack of accessibility, difficulty of application and unsure of increasing productivity. The major factors that determine farmers' willingness to pay for compost are household size, farm household income, compost experience, soil inputs applied, monitoring of soil fertility and the farming*

*method used. In order to increase the production and application of compost in the city, the challenges faced by the compost producers and the urban farmers needs to be addressed. As a result, composting can be a sustainable practice for solid waste management and increase the fertility of degraded soils in the city.*

**Key words:** organic Waste, composting, urban agriculture, willingness to pay, viability

## **1. Introduction**

The quantity and type of solid waste generated in Addis Ababa is increasing and changing due to an accelerated population growth and the fast ongoing economic development. Solid waste generated in the city increased from 482550 m<sup>3</sup> (in 1987) to 2,034,847m<sup>3</sup> (CGA-CMA, 2011). According to Escalante et al., (2010) estimates, based on the results of the main sorting analysis, the solid waste generated in Addis Ababa would reach almost 3,043,478 m<sup>3</sup> per year in 2035. Similarly solid waste generation rate increased from 0.252kg/cap/day (Norconsult, 1982) to 0.45kg/cap/day (CGA-CMA, 2010).

Several attempts have been made to improve the waste management problems in the city. The solid waste collection efficiency of the city administration has got an encouraging result and able to maximize collection rate from 65% in 2010 to 70% in 2011 (CGA-CMA, 2011). The municipality is also engaged in an ambitious program to modernize the waste management infrastructure and improve the city's solid waste disposal system. Four transfer stations and one sanitary landfill are constructed on selected areas of the city and in Sendafa, Oromia special zone respectively. However, it is costly to transport the waste to the new landfill site. Hence, the city administration has designed strategic methods to minimize the amount of solid waste disposed at the facilities. Reduction of easily decomposable organic waste by changing into either energy or compost is one of the strategies planned by cleansing management agency. Reducing the waste that comprised of the higher proportion organic components will have a big benefit to reduce transportation cost, increase the life of the landfill and recover important resource from the dead zone. As it was also indicated by a Waste Assessment and Characterization Study (WACS) report of Addis Ababa conducted by Gordon (1995), the city has high potential waste diversions since 70 percent of the total wastes generated are biodegradable and easily convertible to compost.

There is a composting practice operated by AAEPa, AASWRDPO and AEEG at pilot scale. Regarding the potential markets availability, there are about 9000 urban farmers, several urban green infrastructure components operated under the government beautification offices and stakeholders, several uncountable number of private gardens at home compounds, compounds of communal houses, green spaces, a lot of flower and other crop farms found near Addis Ababa city all who need intensive amount of compost/organic fertilizer.

However, due to lack of technical capacity, standardised price, less stakeholders and public awareness, the large-scale composting has not been well developed. The people and stakeholders are unable to start composting and not being able to create employment opportunities widely. So, working on market assessment and setting price by valuation

techniques by itself can facilitate compost promotion at city level and contribute for the implementation of national waste management strategy. Addressing the marketing approach to composting can help compost producers run a viable business by giving a monetary value to compost goods. It creates employment opportunities and fulfils the objectives of solid waste management (Rouse, Rothenberger and Zurbrugg, 2008). Hence, the purpose of this proposal is to study the compost market and willingness to pay for compost in Addis Ababa as a means for promotion of large scale composting.

Like other developing countries the highest composition of waste in Addis Ababa is easily decomposable organic waste. According to Gordon's (1995) report, 70% by weight and 60% by volume of the total solid waste generated in Addis Ababa is biodegradable. Due to the shortage of waste collection trucks, the waste collection efficiency of the city is limited to 70% of the generated waste. The remaining uncollected waste is dumped in the open fields, ditches, sewers, streets, rivers and many other available spaces in the city. Most part of the waste is organic that release leachate and can easily be degraded biologically. Moreover, its management system is not environmentally sustainable and socially satisfactory.

When these wastes are disposed of, the gas generated from the landfill can cause spontaneous fire and air pollution. It also contributes an enormous amount of methane (potent greenhouse gas) to the atmosphere. Leachate drained from the disposal sites can cause a serious environmental pollution as it leaks into the groundwater and pollute rivers. Treatment of organic waste using composting can address all the indicated environmental problems and promote resource recovery. It can also reduce the running cost of waste collection, transportation and landfill operation.

There is also another opportunity that is lost by dumping organic waste in to open areas and landfills. More than 75% of the solid waste generated in Addis Ababa is organic and easily decomposable under the action of micro organisms. As a result composting is an ideal option to address the management of such kind of biodegradable organic solid waste. It is also identified in the solid waste management strategy of the country. A solid waste management through composting option has several advantages including reduction of collection and transportation cost from households to landfill site, reduction of potent greenhouse gas resulted from transportation and generation of methane, saves landfill airspace required for waste disposal, reduce the cost of fertiliser expenses, and improves the soil structure and other physical properties. As a result it improves soil productivity, creates employment opportunity and contributes to urban food security.

Even though the importance of composting is well understood, the production capacity facilities, quality and market of compost and willingness to pay for compost have not been assessed in detail. Hence, composting activity has not yet grown into large scale and one major drawback to its development has been the shortage of information about the production, quality, market and WTP of compost.

The main objective is to examine the production, quality and market of compost in Addis Ababa. The study specifically focus

- To assess the composting practice and production capacity of compost
- To identify the nature and quality of compost existing in the market
- To explore the potential markets and willingness to pay for compost

The research questions that are aligned with the rationale and objectives of the study are:

- What is the status of composting practice and production capacity in different facilities?
- Is the nature and quality of the compost existing in the market up to the standard and fulfils the demands of consumers?
- Is there adequate market for compost and are people willing to pay the required price for compost?

The following hypothesis is forwarded in this study:

*Farmer's willingness to pay for compost is affected by gender, age of the farmer, household size, farm household income, applying compost, main product of the farm, monitoring soil fertility, farm location, farming method and fertilizer application.*

## **2. Review of the related Literature**

### **2.1 Defining composting and compost**

As defined in Insam and de Bertoldi (2007), based on its etymological meaning, *composting* (from the Latin *compositum*, meaning mixture) refers to *a biodegradation process of a mixture of substrates carried out by a microbial community composed of various populations in aerobic conditions and in the solid state*. The main product is called compost, which may be defined as *the stabilized and sanitized product of composting, compatible and beneficial to plant growth*. Compost has undergone: (1) an initial, rapid stage of decomposition; (2) a stage of stabilization; and (3) an incomplete process of humification<sup>1</sup>.

The transformation of fresh organic matter into compost is carried out mainly for three reasons: (1) to overcome the phytotoxicity<sup>2</sup> of fresh non-stabilized organic matter; (2) to reduce the presence of agents (viruses, bacteria, fungi, parasites) that are pathogenic to man, animals, and plants to a level that does not further constitute a health risk; and (3) to produce an organic fertilizer or a soil conditioner, recycling organic wastes and biomass (Insam and de Bertoldi 2007).

### **2.2 Composting Feedstock**

The raw materials or feedstock for composting may come from different sources that are mainly organic by-products or waste materials. The materials coming from farms include animal manures, bedding, crop residues and processing wastes. Usually there is a primary

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<sup>1</sup> **Humification:** The formation of humic and fulvic acids, from mineralized organic matter.

<sup>2</sup> **Phytotoxicity:** In a material that has not finished the composting process adequately, nitrogen is in the form of ammonium instead of nitrate. Ammonium in hot and humid conditions is transformed into ammonia, creating a toxic environment for plant growth, resulting in odors. Similarly, unfinished compost contains unstable volatile chemicals such as organic acids that are toxic to seeds and plants (FAO, 2015).

raw material to be composted and it is a troublesome waste needing treatment or disposal (NREAS, 1992). In the context of urban areas, there is enormous amount of organic solid waste generation that needs to be managed in a proper way. In recent years there is a strong focus on municipal solid waste composting in developing countries especially India due to the ease of operating a composting plant and its eco-friendly nature. Composting municipal organic waste can reduce the demand for other treatment mechanisms like landfilling or incineration and contribute to improving the fertility of degraded urban soils (Kumar, 2011). In selecting the compost feedstock it is important to determine the compost recipe for best results. Many composters combine raw materials by trial and error, based on the look and feel of the mix. Usually this involves some judgment about the moisture content, structure, and porosity of the mix. With experience, these approaches to determining composting recipe can be successful, especially when the composting does not need to be rapid or closely controlled. When the raw material characteristics are not known, the “look and feel” approach may be the only alternative. However, when the composter is unfamiliar with the materials or the process or when it is important to establish near optimum composting conditions, it is better to develop composting recipes based on calculations. The calculations predict the moisture content and C:N ratio of a mix from the characteristics of the individual raw materials.

Developing a composting recipe is a balancing act because both the C:N ratio and the moisture content need to be within acceptable ranges. Usually one of these characteristics takes priority, and an appropriate recipe is determined. Then, if necessary, the proportions are adjusted to bring the second characteristic in line without excessively changing the first.

Sometimes this is not possible, and a different set of ingredients must be considered. With wet materials, the moisture content is particularly critical because high moisture content leads to anaerobic conditions, odors, and slow decomposition. The consequences of a poor C:N ratio are less damaging. It is usually best to develop an initial composting recipe based on moisture content and then adjust it, if necessary, to achieve an acceptable C:N ratio. Dry materials can be proportioned on the basis of C:N ratio, since it is relatively easy to add water to a mix (NREAS, 1992).

### **2.3 Composting process**

Composting can be divided into two categories by the nature of the decomposition process. In anaerobic composting, decomposition occurs where oxygen (O) is absent or in limited supply. Under this method, anaerobic micro-organisms dominate and develop intermediate compounds including methane, organic acids, hydrogen sulphide and other substances. In the absence of O, these compounds accumulate and are not metabolized further. Many of these compounds have strong odours and some present phytotoxicity. As anaerobic composting is a low-temperature process, it leaves weed seeds and pathogens intact. Moreover, the process usually takes longer than aerobic composting. These drawbacks often offset the merits of this process, viz. little work involved and fewer nutrients lost during the process (FAO, 2003).

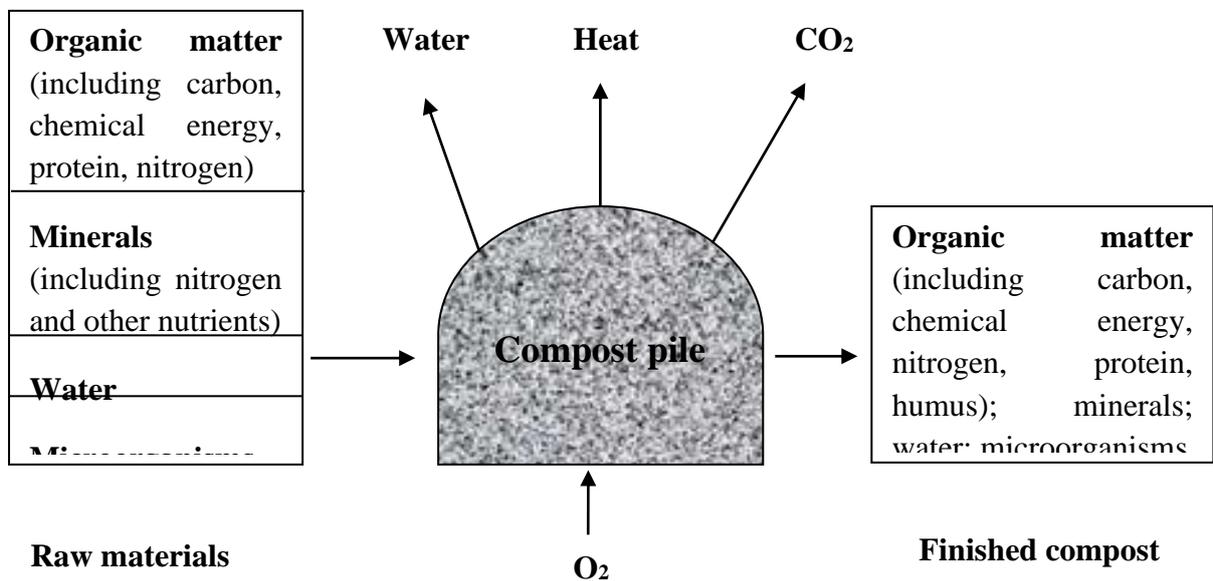


Figure 1: The composting process

Source: NREAS, 1992

The carbon, chemical energy, protein, and water in the finished compost are less than that in the raw materials. The finished compost has more humus. The volume of the finished compost is 50% or less of the volume of raw material.

The aerobic composting process starts with the formation of the pile. In many cases, the temperature rises rapidly to 70–80°C within the first couple of days. First, *mesophilic* organisms (optimum growth temperature range = 20–45°C) multiply rapidly on the readily available sugars and amino acids. They generate heat by their own metabolism and raise the temperature to a point where their own activities become suppressed. Then a few thermophilic fungi and several thermophilic bacteria (optimum growth temperature range = 50–70°C or more) continue the process, raising the temperature of the material to 65°C or higher. This peak heating phase is important for the quality of the compost as the heat kills pathogens and weed seeds.

The active composting stage is followed by a curing stage, and the pile temperature decreases gradually. The start of this phase is identified when turning no longer reheats the pile. At this stage, another group of thermophilic fungi starts to grow. These fungi bring about a major phase of decomposition of plant cell-wall materials such as cellulose and hemi-cellulose. Curing of the compost provides a safety net against the risks of using immature compost such as nitrogen (N) hunger, O deficiency, and toxic effects of organic acids on plants.

Eventually, the temperature declines to ambient temperature. By the time composting is completed, the pile becomes more uniform and less active biologically although mesophilic organisms recolonize the compost. The material becomes dark brown to black in colour. The particles reduce in size and become consistent and soil-like in texture. In the process, the amount of humus increases, the ratio of carbon to nitrogen (C:N) decreases, pH neutralizes, and the exchange capacity of the material increases (FAO, 2003).

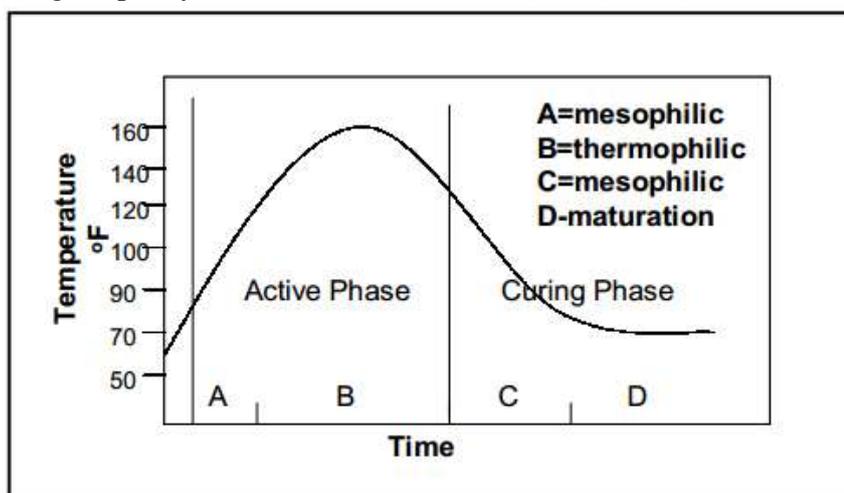


Figure 2: Temperature changes in an average compost pile  
Source: Centre for Integrated Agricultural Systems, 2002

The main factors that affect the composting process include oxygen and aeration; nutrients(C: N ratio); moisture; porosity, structure, texture, and particle size; pH; temperature; and lime. The following table illustrates the recommended conditions for rapid composting under the influence of these factors.

Table 1: Recommended conditions for rapid composting

Condition	Reasonable range <sup>a</sup>	Optimal range
Carbon to Nitrogen (C:N) ratio	20:1 – 40:1	25:1 – 30:1
Moisture content	40 – 65%	50 – 60%
Oxygen concentration	Greater than 5%	Much greater than 5%
Particle size (diameter in inches)	1/8 – 1/2	varies <sup>b</sup>
pH	5.5 – 9.0	6.5 – 8.0
Temperature (°F)	110 – 150	130 - 140

<sup>a</sup> Recommendations for rapid composting. Conditions outside these ranges can also yield successful results.

<sup>b</sup> Depends on the materials, pile size and/or weather conditions.

Source: NRAES, 1992

## 2.4 Compost quality standards

In addition to undesired environmental impacts of potential pollutants, most statutory and voluntary standards focus on potential risks for the consumer and the intended crop system.

Parameters with minimum requirements and corresponding numeric limitations includes: Electrical conductivity, Organic matter content, Impurities, Maturity and Plant toxicity. Existing classification of composts in statutory and voluntary standards included mainly heavy metal contents, type of raw material, degree of maturity and compost types by application (Amlinger, Pollak and Favoino, 2004). The following table compares compost quality standards used in agriculture from Switzerland, India and Great Britain (2006).

Table 2: Comparison of compost quality standards

Criteria	Switzerland: Association of Swiss Compost Plants (ASCP)	India: Indian Institute for Soil Science (04 Task Force)	Great Britain: PAS 100 (BSI) and Apex-Standard*
<b>Indicators for Maturity/Stability</b>			
pH	< 8.2	6.5 – 7.5	7.5 - 8.5*
Organic Matter	< 50%	> 16% C <sub>org</sub>	30 - 40%*
NO <sub>3</sub> -N/ NH <sub>4</sub> -N ratio	> 2	—	
C/N ratio	> 21:1	20:1	15:1 - 20:1*
Dry weight	> 50%	75 – 85%	65 - 55%*
Decomposition	feedstock unrecognisable, except for wood	dark brown no odour	—
Plant compatibility	planting tests (cress, salad, beans, ...)		20% below control
Respiratory Test	—	< 15 mg CO <sub>2</sub> -C per 100 g TOC/day	< 16 mg CO <sub>2</sub> /g organic matter/day
<b>Indicators for Nutrients</b>			
Phosphorous (P <sub>2</sub> O <sub>5</sub> )	> 0.7%	0.5 – 0.8%	25 - 40 mg/l*
Potassium (K <sub>2</sub> O)	-	1-2%	0.5 - 0.7%*
Total Nitrogen	> 1% DS **	> 0.8% DS	0.7 - 1.0%*
NO <sub>3</sub> -N	> 40 mg/kg WS	—	15 - 120 mg/l*
NH <sub>4</sub> -N	> 300 mg/kg WS	—	1 - 5 mg/l*
<b>Indicators for Pollution</b>			
Impurities	< 1%, no visible plastic, glass or metal	< 1% inert material and foreign matter	< 0.5% of total air-dried sample by mass
Cadmium (mg/kg DS)	1	5	1.5
Chromium (mg/kg DS)	100	50	100
Copper (mg/kg DS)	100	300	200
Lead (mg/kg DS)	120	300	200
Nickel (mg/kg DS)	30	50	50
Mercury (mg/kg DS)	1	2.5	1
Zinc (mg/kg DS)	400	500	400

\* A voluntary standard

\*\* Dry Solids

Source: Rothenberger et.al, 2006

## **2.5 Marketing Compost**

The financial feasibility of a program designed to recover resources from municipal solid wastes is, to a large extent, a function of the availability, reliability, and location of markets for the materials that are recovered. Obtaining markets for compost accomplishes one primary objective: it provides end uses for the finished product. In addition, the availability of markets provides an important source of revenue, covers some of the cost of processing, and contributes to the financial viability of an overall waste management strategy. The latter is an important consideration in reducing the amount of residues that are disposed on the land (Eggerth, Diaz, Chang and Iseppi, 2007).

### **a) The End User Market**

Potential buyers of compost include landscapers; commercial nurseries; home and garden centers; greenhouses; homeowners; farmers (fruit, vegetable, field crops, organic); golf courses and cemeteries; public works departments; road and highway contractors; schools; parks departments; turf growers; and developers. All of these groups use compost or some other product that compost can replace, including peat moss, topsoil, and chemical fertilizer. Public institutions, schools, landfills and other municipal users are likely to obtain compost from their own sludge or yard waste composting facilities. As a result, commercial high-value users, such as landscapers, greenhouses, garden centers, and nurseries, become the primary prospects (NRAES, 1992).

Once we know the potential buyers, the next step is to determine how large the market for compost actually is. In most cases, the market for compost is very local, within 30-80kms of the composting facility, because the cost of transportation is high compared to other production costs. Although transportation restricts the market area, it also limits competition. Within the local area, the potential buyers of compost products should be contacted to determine if they would purchase compost (in terms of their willingness and ability to pay WTP and/or ATP), how they would use it, and what quality characteristics they expect in the compost. A simple survey can be helpful to know who and where the potential customers are and what they are looking for, so that a target market can be developed. The compost produced must meet the needs of the target market. As stated in NRAES (1992) *On-Farm Composting Handbook*, although the characteristics that users require of compost vary with the specific use, compost users generally share several common expectations. These are quality, price, color/texture/odor, information and a reliable supply.

### **b) Market Analysis**

Eggerth, Diaz, Chang and Iseppi (2007) suggested that for the development of a market, we should begin with a statistically reliable survey designed to: (1) find the full size of the market potential, (2) determine the steps to be followed, and (3) identify and elaborate the best method of carrying out the steps. The analysis should be conducted through personal interviews and/or questionnaires in order to determine the needs and potential of the prospective users. In the interviews, it should be remembered that knowledge of the customer's values and motivations is a necessary condition in the sale of a product. The

authors recommend interviews should be conducted with representatives of groups that are potential users of the product. Among these groups are the major agricultural sectors, government agencies, landscape contractors, soil vendors and distributors, nurseries, and the general public. Questions should be adapted to the market under evaluation. Thus, information to be collected from the agricultural sector should concern types of crops grown by the interviewee, amounts of NPK used, times of the year when nutrients are applied, type of soil, and amount of organic matter in the soil. Other information would pertain to size and ownership of the land.

### **c) Compost Pricing**

Much of the information collected for the marketing aspects will contribute to pricing decisions. Covering costs is essential for a self-sustained business, so product price is partly dependent on production costs. However, many producers add a profit margin to cover further investments or for technological improvements. The size of this margin is limited by the prices of competing products and by customers' willingness and ability to pay (Rothenberger et.al, 2006 and Rouse, Rothenberger and Zurbrügg, 2008). Prices can be calculated in a number of ways, but the most basic method is based on compost production costs and profit.

Production costs include variable costs (which change according to how much compost is produced e.g. raw material, packaging, transport, energy consumption, seasonal labor) and fixed costs (costs incurred whether or not compost is produced, such as ground rent, regular labor, maintenance, interest on loans, depreciation of investments). All costs have to be calculated on the basis of a fixed period of time (e.g. one year, half a year). According to this method, the price of compost is simply calculated by adding a profit margin to the unit cost (Rouse, Rothenberger and Zurbrügg, 2008).

## **2.6 Conceptual Framework**

Compost as a product has already been in the market for a while especially in Addis Ababa for urban agriculture and gardening. Regardless of the focus given by municipalities, it is not yet a viable business that attracts various enterprises. As a result, a market research for compost needs to indicate how the existing markets can be expanded with the study of existing practices and identifying potential markets. To achieve this target the following seven cyclic steps will be followed. At the end of step seven, there is a need to see the outcome of the decision and make adjustments, but it is not be part this research.

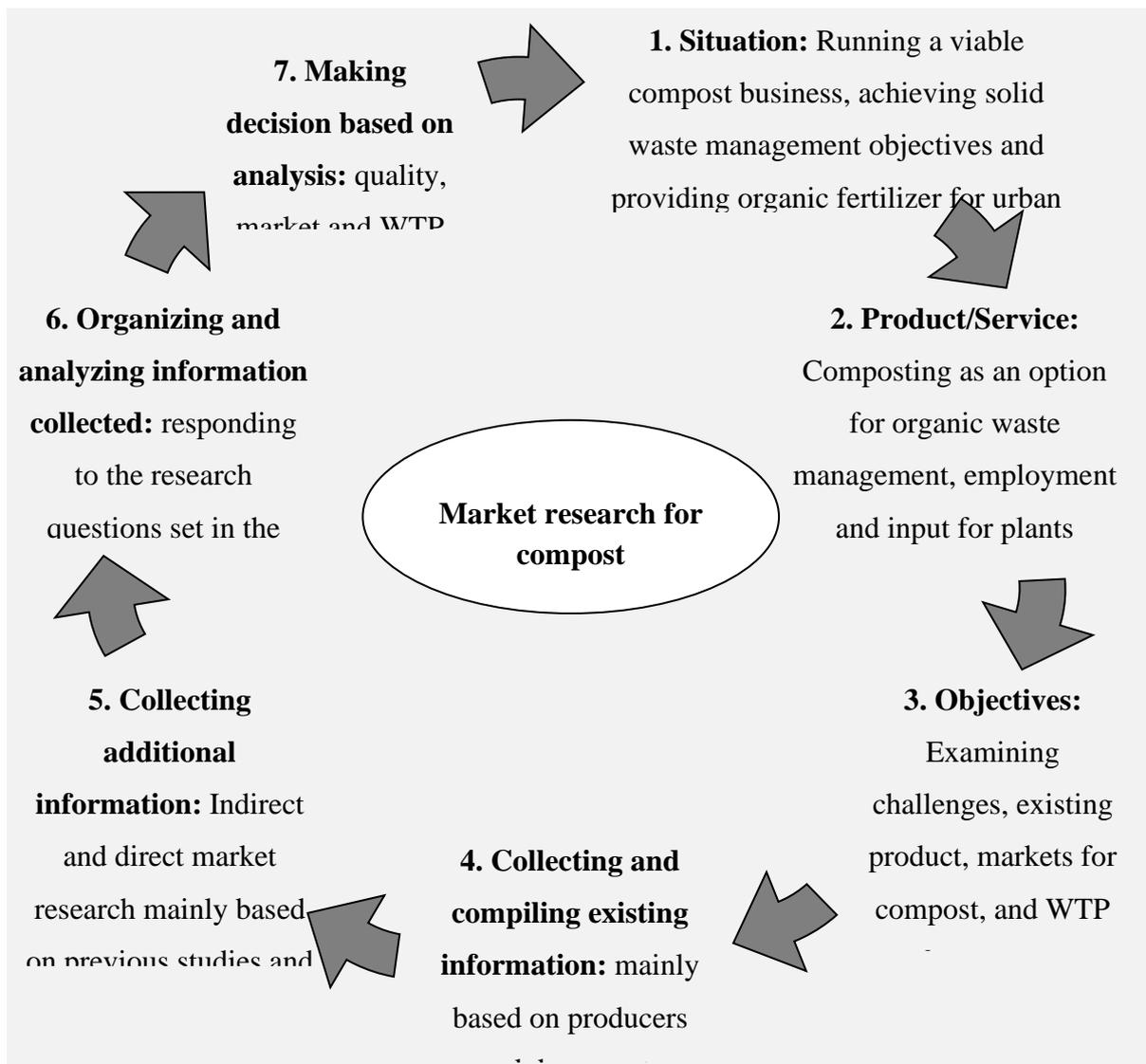


Figure 3: Marketing approach to composting

Source: Based on Alberta Agriculture, Food and Rural Development, 2003 and Rouse, Rothenberger and Zurbrügg, 2008

### 3. The Methods

#### 3.1 Research approach

This study follows a market research (both direct and indirect) approach to composting. The indirect approach helps to obtain information already existing in government reports/own record of producers. The direct approach allows answering specific questions during a survey focusing on users or potential users of compost products. Generally, two types of information are generated from these approaches. The first one is quantitative information expressed in terms of numbers like the amount of compost sold/consumed per unit of measurement. The other is qualitative information like people's feeling and attitudes regarding the viability of a composting business as well as consumers' willingness to pay for compost.

### 3.2 Methods of data collection

Collection of various types of primary and secondary data took place for about a month. Secondary data from institutions and compost producers was collected using structured interviews as well as archival records and documentations. Additional primary data was collected via survey questionnaire, interview questions and site observations. After designing the draft structured questionnaire, pre-testing was conducted on a few respondents. Based on the pre-test, the questionnaire was restructured and modified. The survey questionnaire contains questions related to composting activities like the existing trends of fertilizer use, knowledge of composting and perception of their land quality in terms of productivity. Finally, farmers were asked their willingness to pay for compost.

### 3.3 Sampling method

The sampling methods for this study follow two procedures. From the total of ten sub-cities in Addis Ababa, Akaki Kality, Bole, Kolfe and Nefas Silk-Lafto are the sub-cities where urban agriculture is widely practiced. Therefore, these sub-cities are selected purposively for this study and the urban farmers are selected by using simple random sampling from different Woredas of the four sub-cities. On the other hand, small scale composting is well practised in different sub-cities and purposive or snow ball sampling was used to identify compost producers within the city and about eight producers were identified. From the compost producers identified in the city, six compost samples were taken for laboratory analysis to study the composition, quality and impurities of compost produced by different methods and from different types of raw materials or feedstock.

### 3.4 Sample size

Since the users or potential users of compost product are selected using simple random sampling method, a sample size needs to be determined. The total number of urban farmers (urban agriculture practitioners) from all sub-cities are considered as the target population of the study. Based on the number of urban agriculture practitioners, only the urban farmers in four sub-cities make up the sampling frame of the study.

Table 3: Distribution of Urban Farmers and their Land Size in Addis Ababa

Sub-city	Number of field vegetable producers	Land size of the field vegetable producers (ha)	Number of field crop producers	Land size of field crop producers (ha)
Akakai-Kality	220	120	918	2104
Bole	247	35.76	421	1050
Kolfe	598	48.5	250	343
Nefas-Silk Lafto	555	124	342	546
Yeka	211	4.5	229	299
Gulele	711	4	-	-
Arada	40	0.5	-	-
Kirkos	14	0.4	-	-
Lideta	110	3	-	-

Addis Ketema	120	8.33	-	-
Total	2826	349	2160	4342

Source: Addis Ababa City Government Urban Agriculture Office, 2017

The total number of urban farmers in the four sample sub-cities is 3551. The sample is determined by using a formula developed by Yemane (1969) with 95% confidence level and at 0.05 precision. Accordingly, 360 sample respondents are selected and the samples are distributed to the four sub-cities proportionally.

*Table 4: Distribution of the Sample Urban Farmers by Sub-city in Addis Ababa*

Sub-city	Frequency	Percent
Bole	68	18.9
Kolfe-Keranyo	86	23.9
Nefas Silk-Lafto	91	25.3
Akaki-Kality	115	31.9
Total	360	100.0

Source: Sample Survey, 2017

### 3.5 Physicochemical data generation

Various types of physical and chemical characteristics including pH, %Moisture Content, %Total Nitrogen (kjeldahel), %Organic Matter, C:N ratio, Mn, Cu, Pb, Cd and Cr of the compost were tested under laboratory analysis. Compost samples were taken from six compost production sites namely Gulele, Mekanisa, Gerji, Keranio, Selam and Suceni.

#### 3.5.1 Heavy metals test

The compost samples were taken to the Addis Ababa EPA laboratory. Then, the moisture of collected samples was dried and grounded. About 5 gm of dry powder from each sample was weighed by electric monopan balance (Dhona 200D) and digested with Sulphuric acid ( $H_2SO_4$ ), Nitric acid ( $HNO_3$ ) and Hydrogen Peroxide ( $H_2O_2$ ) (2:6:6). It was brought to digester with a temperature of 105°C for 1 hour. Then, it was centrifuged at a speed of 10,000 rpm for 30 minutes. The supernatant was analyzed to know the heavy metals (Mn, Cu, Pb, Cr and Cd) concentration.



### 3.5.2 Moisture Content

Moisture content is a very important factor that influences the availability of nutrients for plant. The moisture content of compost samples was found using a laboratory drying oven. The compost samples were carefully dried in a laboratory oven at 105°C +/-1°C for 24 hours and reweighed. They were put back into the oven and checked again at hourly intervals until they no longer lose any weight and then it was calculated using the following equation.

$$\% \text{Moisture Content} = \frac{\text{Initial weight} - \text{Final weight}}{\text{Initial weight}} \times 100\% \quad \text{Equation 1}$$

### 3.5.3 Nitrogen Determination

The Kjeldahl procedure was employed to determine the total nitrogen content of the compost. 2 g of dried samples of each compost sample was placed in a digestion tube with 15 ml of concentrated sulphuric acid; 7 g of potassium sulphate and copper was then added. The digestion tube was placed into a digestion block where it was heated at 370°C. Sodium hydroxide was added to change ammonium ion to ammonia in the digestate and the nitrogen was then separated by distilling the ammonia and collecting the distillate in a 0.1N sulphuric acid solutions. Determination of the amount of nitrogen on the condensate flask was done by titration of the ammonia with a standard solution of 0.1 N sodium hydroxide in the presence of methyl red as an indicator and 0.1N sulphuric acid solutions. Finally, the amount of nitrogen present was then calculated by equation 2.

$$\% \text{N} = \frac{(14.01 * (\text{ml titrant} - \text{ml blank}) - (\text{N of titrant}))}{\text{Sample Wt} \times 1000} \times 100\% \quad \text{Equation 2}$$

Where N: Normal concentration

### 3.5.4 C:N ratio

Once the % of organic matter and total nitrogen was calculated; the carbon to nitrogen ratio was determined. The ratio of carbon to nitrogen was calculated by equation 3.

$$\frac{\text{C}}{\text{N}} = \frac{\% \text{OC}}{\% \text{N}} \quad \text{Equation 3}$$

### 3.6 Method of Data Analysis

A descriptive analysis is used to assess the composting practice and production capacity of the producers. The nature of compost in the market is described in terms of the type of compost produced and the quality was evaluated by using quality criteria for compost based on laboratory analysis of the sample compost. The result of the laboratory is compared with standards set by different international organizations.

The market assessment is done by categorizing customers into different segments, both current and potential. Evaluation of the willingness to pay for compost was done by contingent valuation methods (CVM) and this is analysed using linear probability models.

Farmers willingness to pay for compost is analyzed based the binary logistic regression model, which assumes that the urban farmers willingness to pay or not for compost depends on a vector of  $X_k$  independent variables. The logistic regression is chosen because the predictor variables are a mix of continuous and categorical variables. The logistic model for  $K$  independent variables  $x_1, x_2, x_3... x_k$ ) is given as:

$$\log \frac{P}{1-P} = a + b_1x_1 + b_2x_2 + \dots + b_kx_k \quad \text{Equation 4}$$

Where:  $\log \frac{P}{1-P}$  represents the odds ratio for the urban farmer willingness to pay for compost to not willing to pay,  $b_k$  represents the regression coefficient,  $x_k$  represents the independent variables and  $a$  is the constant. The explanatory variables are described as follows:

Table 5: Summary the Explanatory Variables used in the Regression Model

Explanatory Variables	Parameters	Frequency	Parameter coding
<b>Categorical Variables</b>			
Application of fertilizer	No	75	0
	Yes	223	1
Applying compost in the farm	No	172	0
	Yes	126	1
Dominant type of product	Crops	139	0
	Vegetables	159	1
Monitoring Soil Fertility	No	51	0
	Yes	247	1
Location of the farm	Peri-urban and river corridor	164	0
	Urban open spaces	134	1
Mechanisms of farming	Organic and Integrated	193	0
	Conventional	105	1
Gender of the farmer	Female	53	0
	Male	245	1
<b>Continuous Variables</b>			
Household size	In numbers	-	-
Age	In ages	-	-
Income	In birr	-	-

The interpretation of the regression analysis is based on the values of the constant ( $a$ ), the values of the explanatory variables ( $b$ ), the odds ratio (Exp ( $B$ )) and the level of significance for the t-statistics. The sign for the explanatory variables also tells us which parameters from the explanatory variables are more willing to pay for compost. For instance, if the value of the explanatory variable for applying compost is positive, it means that those applying

compost are more willing to pay than those not applying. On the other hand, if the value of this explanatory variable is negative it means that the farmers who are not applying compost are more willing to pay for it than those already applying it.

#### **4. Results and Discussion**

The growth rate of urbanization due to both natural growth and rural urban migration creates a big challenge to manage a large amount of solid waste generated from an aggregated human settlement in Addis Ababa. More than 70% by weight of the solid waste are easily compostable. Also, there is no organized compost producer in the city that can supply adequately. Compost is a long time ignored system in the area of urban agriculture at Addis Ababa, even though there is insignificant practice in the NGO, government offices and few private organizations at small scale level. There is no set of prices for compost product in the city. The technological support and sectorial movement to increase the public awareness to use compost is weak. Even the public does not have clear information on how and why to prepare and use compost. The different urban agriculture components have potentially ample opportunity to compost market. However, there is society unwillingness to pay due to different factors that hinders the promotion of compost in Addis Ababa city. All potential opportunity, challenges, market options and quality issues are addressed in this study and are discussed in this chapter.

#### **4.2 Composting practice in Addis Ababa**

##### **4.2.1 Compost production**

Several small and medium scale compost production activities are found in Addis Ababa. Urban farmers in various part of the city are producing compost to their farms. It is practiced by the NGOs such as Association of Ethiopian Educated in Germany (AEEG), Selam Children Village (SCV) and Yeha Integrated Bio-farm (YIBF), and private such as Tsigie in Gulele Sub-city. It is also practiced by Addis Ababa Environmental Protection Authority.

##### **Addis Ababa Environmental Protection Authority**

The Addis Ababa Environmental Protection Authority has three small scale composting demonstration sites in Mekianisa, Geriji and Suceni nursery site. The city administration EPA is producing compost from household solid waste and using it for seedling production. Both Mekanisa and Gerji compost sites follow Aerobic system with adequate ventilation. However, Suceni follows anaerobic system of composting; mixing feedstock materials and burying underground for one year before applying as a fertilizer. Environmental protection of Ethiopia constructed shade at Mekinisa and Gerji, and produce compost from municipal solid waste by collecting it from the nearby selected households and institutions. In case of Mekanisa compost site, the feedstock materials are collected from the selected vegetable, fruit and juice houses. However, the feedstock material for Gerji is collected from selected households. Suceni collects manure and other feedstock materials from nearby farmers. The compost sites are illustrated at Plate 2 (Suceni), Plate 3 (Mekanisa) and Plate 4 (Gerji).



**Plate 2: AAEPA Suceni-Compost Site**



*Plate 3: AAEPA Mekanisa-Compost Site*



**Plate 4: AAEPA Gerji-Compost Site**

### **Non Government Organizations**

Several civil society organizations like Association of Ethiopian Educated in Germany (AEEG), Selam Children Village (SCV) and Integrated Biofarm Enterprise (IBE) have been involved in composting activity. The composting practice by these three organizations is described briefly with only Selam Children Village having an active role in the sale of compost product at the present time. IBE used to sale compost product to users previously.

#### **Keraniyo - Association of Ethiopian Educated in Germany (AEEG)**

This site uses a household solid waste to produce compost. They selected a fixed number of households and gave them two type of solid waste container one for compostable and the other for non compostable. They collect the compostable solid waste and further segregate the biodegradable waste at the site. They use well aerated aerobic composting system with regular turn down of piles. They carry out a pot and plot parcel experiment to test the quality and specification of their product before dispatching to the market.



Plate 5: Keranio (AEEG) Small Scale Compost Site

### **Selam Children Village (SCV)**

Selam is charity NGO which has been established by Switzerland Charity organization several decades ago. The village is working on community activity as part of its main duty. As part of the environmental service, they practice biogas production from the diary manures and compost from the biogas sludge and solid waste collected from the compound.



Plate 6: Selam Children's Village Compost Site

They started composting before 15 years ago. They operate the composting activity in an open space (Plate 6). They use kitchen waste, household waste, poultry manures, cattle manures and agricultural waste for compost production. They also add wood ash to balance the alkalinity and other nutrient composition of the compost. It takes about 63 days to prepare one batch of compost in this organization. They blend the compost product with composition two third (2 par of 3) compost and one third compost. Finally, the product is supplied to the market with a rate of 1.6 ETB per kilo.

### **Integrated Bio-farm Enterprise (IBE)**

This compost station has been started before five years ago by Yeha Science and Technology centre. Yeha integrated Biofarm is a private Science and Technology company working on education and promotion of Environmental Science and Technology. As part of organic waste management and green house gas reduction technology promotion the company has started composting scheme and has been practicing for several years. They collect vegetables, fruits, manures and other compostable solid waste materials for compost production.

### **Tsehay Private Composting facility (Gulele)**

This is a privately initiated compost production scheme. The composting activity is carried out at very small scale level using a polyethylene plastic bag. She is selling the compost to

the local community for horticulture purposes. The process is partially aerated and turns dawn or being mixed at weekly period. Feedstock materials like household waste, vegetable and fruits remains, yard waste and other institutional degradable wastes are used. She is selling the compost product 15 ETB per kilo of the product.



*Plate 7: Gulele/Tsehay Private composting scheme*

The compost production status of all facilities under study ranges from small scale to medium scale. All facilities use a human resource labor to prepare piles, turn down materials, carry out continuous follow-up and monitor the progress. Only, Suceni and Selam Children village compost facilities are medium scale composting plant.

#### **4.2.2 Compost Feedstock Materials**

According to the study reported by Nor Consult (1984) and Gordons (1994; 1995) about 65 to 70% of the solid waste generated in Addis Ababa city is organic solid waste. Also, it was explained that about 60% by weight and 70% by volume of the solid waste generated in Addis Ababa are compostable. It has a potential substrate for composting. It was also found in this study that most of the compost producers are using household municipal solid waste to produce compost. As summarized in Table 6 below, all the composting facilities under this study are using municipal solid waste materials with diverse compositions such as leaves, grass, brush and branches, food waste, pulp and paper products, and floral waste & trimmings/ plants. Few facilities like Selam, Suceni and Integrated Bio-farm composting facilities are using manures, sewage sludge and biogas slurry. All facilities except Mekanisa that uses fruit and vegetable solid waste composting, are using mixed solid waste as a substrate for their processing. Despite the fact that the composition of substrate from different solid waste category is crucial to maintain the essential nutrient, C:N ratio within a range of 27 - 30%, standard moisture content to 79-80% and air for microbial degradation; these parameters are not considered in all composting facilities.

Table 6: Applicable feedstock materials

Feedstock materials	Gulele Tsige	Selam Children village	Keraniyo	Geriji	Suceni	Mekanisa	Integrated Bio-farm Enterprise	Tena - Kebena
Leaves	+	+	+	+	+	+	+	+
Grass	+	+	+	+	+	+	+	+
Brush & branches	+	+	+	+	+	+	+	+
Food waste	+		+	+	+	+	+	+
Pulp & Paper	+	+	+	+	+	+	+	+
Floral & trimmings	-	+	-	-	-	-	-	-
Manures	-	+	-	-	+	-	+	-
Sewage sludge	-	-	-	-	-	-	+	-
Mixed HH waste	+	+	+	+	+	+	+	+
Biogas Slurry	-	+	-	-	-	-	-	-

Source: Field survey, 2017

### 4.3 Nature and Quality of Compost in the Market

#### 4.3.1 Accessibility of Quality Substrates

As shown in Figure 4a below, about 63% of the compost producers' use none segregated but compost site sorted feedstock materials as a compost substrate. The practice of source segregated compost substrate application is very small, which is about 12%. On the other hand, there are also producers that commonly use the unsorted solid waste for compost production and this make up the remaining 25%. The accessibility of compost feedstock materials has also become one of the challenges for compost producers. As shown in Figure 4b, the rate of feedstock material accessibility response of compost producers are 13% (easy), 25% (neutral), 37% (difficult) and 25% (very difficult). More than 68% of the compost producers are very challenged to get the substrate materials for their composting activity.

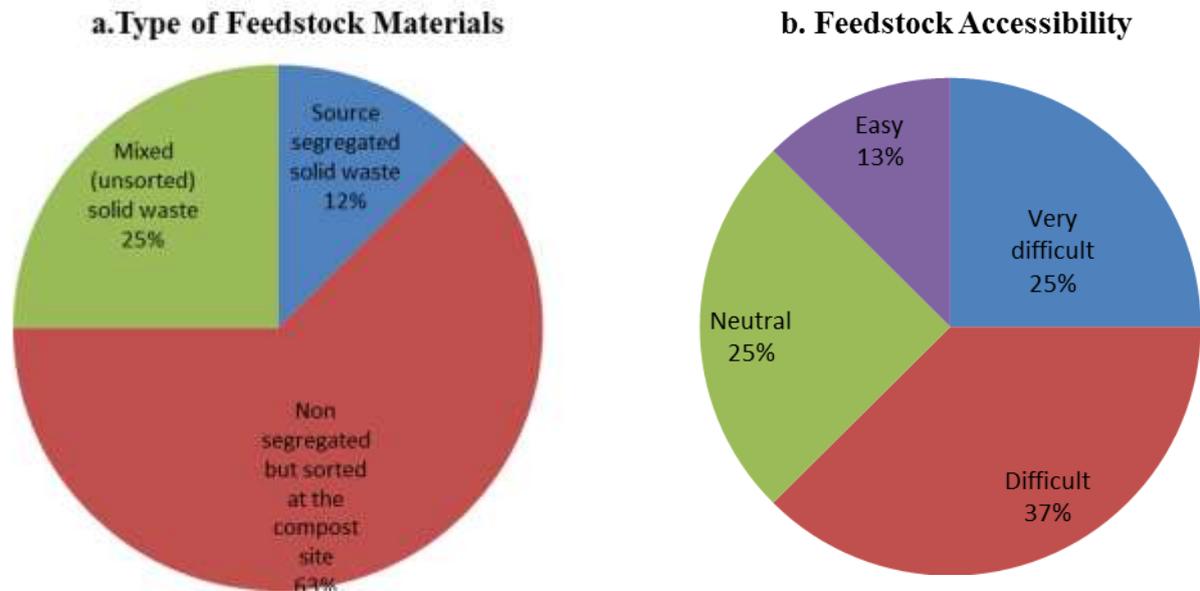


Figure 4: Feedstock Materials and Its Accessibility

As it was informed by Addis Ababa Environmental Protection Authority it is not possible to get household solid waste as a substrate or feedstock material for their composting. Instead, they need to pay 60 ETB per kg of solid waste for the small and micro solid waste collecting enterprise to get feedstock. Addis Ababa city administration outsourced the solid waste collection system to SMEs and no one can collect the waste from any institutes, organizations or households. Hence, the compost producers cannot access the solid waste materials directly from the point of generation and obliged to buy from the SMEs.

#### 4.3.2 Composting process and methods

Composting is a process of controlled decomposition, the natural breakdown process of organic residues and it transforms raw organic waste materials into biologically stable, humic substances that make excellent soil amendments. Experience showed that both aerobic and anaerobic methods of composting can be applicable. Aerobic degradation of solid waste takes place in the presence of oxygen; however anaerobic degradation is taken place in the absence of oxygen.

In a well aerated compost pile for instance Gulele, Mekanisa, Keraniyo, Gerji and Selam under this study, rapid breakdown of the organic materials have been observed. It has been observed that the temperature inside a compost pile in these composting piles often reaches 70 °C during its most active period. As shown in Table 7, most of the composting facilities in Addis Ababa included in this study were aerobic. They supply air to the piles continuously to facilitate microbial degradation. Hybrid technique including both aerobic and anaerobic methods of composting is used in Gulele and Selam composting facilities. The system is aerobic; the pile structure is organized on the surface open to natural aeration but it is not continuously mixed and open to get air percolation. Anaerobic degradation process is taking place inside the pile where there is no reach of free oxygen.

Table 7: Type of Composting methods

Compost site	Aerobic/aerated	Anaerobic	Semi - aerobic
Gulele_Tsige			x
Selam Children Village			x
Keraniyo	x		
Geriji	x		
Suceni		x	
Mekanisa	x		
Integrated Bio-farm Enterprise	x		
Tena-Kebena		x	

Source: Field Survey, 2017

The maturation time of compost depends on the availability of oxygen and nature of degradation of the solid waste materials. It is also affected by the degree of degradability of feedstock materials used. Aerobic composting process is much faster than the anaerobic degradation. The shorter reproduction cycles of aerobic bacteria as compared to anaerobic microorganisms causes the rapid rate of decomposition and tends to reduce the maturation time of compost. As summarized in Table 7, the composting process of Succini and Tena Kebena are totally anaerobic and take about one year to produce one batch of compost. The process applied to degrade the organic waste was not as efficient as the aerobic process applied in the other composting facilities. This was justified in Vögeli, et. al. (2014), without the presence of free oxygen in the compost pile, bacteria cannot derive as much energy from the breakdown of waste materials to heat up the system and facilitate degradation. In this study, it was found that 12% of the producers produce compost within four weeks. There are also compost facilities that can produce compost within 6 to 10 weeks. But much of the compost producers need more than 10 weeks to get a matured compost product. Similarly Sharma et al. (2016) and Sudharmaidevi et al. (2016) reported that the temperature, moisture content and other pH maturation indicator become constant 8 to 10 weeks after composting operation has been started.

According to Sudharmaidevi et al. (2016) the selection and application of only biodegradable waste as a feedstock input enhances the compost rooting time. As it was also suggested in the same study feedstock materials that has higher moisture content increases degradation and the thermophilic bacterial activity of the system. In this study, it has been observed that only few of the inert materials that hinder biodegradation are being removed. Most of the composting facilities in this study use leachate recycling as a catalyst for compost production. An effective microorganism (EM) has also been used to reduce the compost rooting time and also remove the foul odor of the substrate and compost pile materials.

### 4.3.3 Compost Quality Monitoring

The quality of compost can be monitored by different physicochemical parameters including but not limited to total organic carbon availability, total nitrogen, Carbon to nitrogen ratio (C:N), moisture content, pH, color, bulk density, odor, texture, macro and micro nutrients, cleanness of pathogens and heavy metals.

In this study, it was found that most facilities do not practice compost quality monitoring. However, some compost stations namely Keraniyo, Gerji and Mekanisa use few of the quality parameters like moisture content, odor, color and temperature for compost rooting progress monitoring. The compost quality of Keraniyo and Gerji stations tested only one time in 2011. There is limited information on the quality of compost in the city. From information summarized in Table 8, the quality of compost produced in Keraniyo, Suceni and Mekanisa are under optimum condition in terms of its pH level (neutral to slightly alkaline) and no biological contamination. Despite there is no source segregation, the compost quality is free from any heavy metal contamination.

Table 8: Monitored compost quality characteristics in Addis Ababa

Quality characteristics	Selam Village	Gulele	Keraniyo	Suceni	Mekanisa	Gerji	Tena Kebena	IBE
C:N ratio	No	No	16.17	No	No	No	No	1:30
TN (%)	No	No	3.36	0.09	No	No	No	No
pH	-	-	8.9	7.53	8.86	-	-	8.2
Color	Dark brown	Dark brown	Dark brown	Dark brown	Dark brown	Dark brown	Dark brown	Dark brown
Texture	-	-	-	-	-	-	-	-
Odor	Soil	Soil	Soil	Soil	Soil	Soil	Soil	Soil
Weight (density) (kg/m <sup>3</sup> )	-	-	-	-	-	-	-	-
Biological features (Total coliform, Fecal Coliform)	-	-	No coli form	-	-	-	-	-
Cd, Pb, Hg, Zn, Cr,...etc (mg/L)	-	-	Below detection limit	-	-	-	-	-

Source: Field Survey, 2017

#### 4.3.4 Heavy Metals Contamination of Compost

The physicochemical behaviour of compost is characterised by the degree of quality of raw materials used as a feedstock. The source segregated solid waste is free from contaminants and can be free from any kind of heavy metals. The solid wastes sorted at the compost site without pre-sorting activity are slightly contaminated by heavy metals and other toxic elements. However, compost produced without sorting activity at any stage of composting process are highly polluted to toxic metals.

As study finding reported by Khan et al. (2016) showed that the heavy metals in wastes and composts ultimately entered into the soil might end up in the food chain and food web after it is being applied as soil conditioner. The compounds are not destroyed or decomposed, and can be absorbed by plants, and then animals and humans, along the food chain. The guarantee

that the compost does not contain these heavy metals, besides toxic compounds, hydrocarbons etc., is what is called safety and offers the user the certification that the compost will not contaminate the food to be fertilized. The compost is contaminated with heavy metals from the raw materials used as a feedstock, water used and materials applied for compost handling. The study indicated that heavy metal contamination level of compost is linked with the nature of solid waste generated in the community which indirectly correlate with the income and the nature of goods consumed. Solid waste generated from a higher income society has higher probability of heavy metals contamination as compared to lower income. The degree of source segregation of biodegradable solid waste from metals, glass and electronic waste components also affects the heavy metals contamination level (Chimuka and Manungufala, 2008).

Previous report of Gerji site compost quality assessment by Addis Ababa Environmental Protection Authority in 2011 showed that the amount of heavy metals in mg per kg of compost are Chromium/Cr (50.6), Copper/Cu (50.7), Lead/pb (34.8), Nickel/Ni (33.4) and Zinc/Zn (473.4); for which the USEPA standards of heavy metals concentration in soil/compost in (mg/kg) are Cr(50), Cu(1500), Pb(300), Ni(420) and Zn(2800). The concentration of copper, lead, nickel and zinc is far below the international standard limits of USEPA. However Zinc concentration is higher than the standard set by European countries like Germany (400), Netherlands (200mg/kg) and Victoria (200mg/kg). As it was explained by AAEP (2011), the solid waste used for Gerji compost project is segregated at household level from the sources so that most of the contaminant concentration is reduced.

Most of research finding on fate and behaviour of heavy metals in municipal compost treated soil is focused on unsorted raw materials (Smith, 1992; Gigliotti et al, 1996; Pinamonti et al., 1997; Pichtel and Anderson, 1997; Baldwin and Shelton, 1999; Jordao et al., 2006). The studies indicated this is due to compost derived from the feedstock materials are recognized as a potential source of heavy metals entering to the soil and the environment.

Table 9: Heavy metal concentration of compost under study

<b>Parameters</b>	<b>Selam Village</b>	<b>Gulele</b>	<b>Keraniyo</b>	<b>Suceni</b>	<b>Mekanisa</b>	<b>Gerji</b>	<b>EU standard (average conc.)</b>
Manganese/Mn	0.013	0.09	0.015	0.03	0.02	0.01	4
Copper /Cu	0.015	0.01	0.019	0.03	0.02	0.02	143
Lead/ Pb	<0.30	<0.30	<0.30	<0.30	<0.30	<0.30	121
Cadmium/ Cd	<0.012	<0.012	<0.012	<0.012	<0.012	<0.012	1.4
Chromium/ Cr <sup>6+</sup>	<0.05	<0.05	<0.05	<0.05	<0.05	<0.05	0.9

\*USEPA standards in ppm (mg/L)

Source: Laboratory analysis, 2017

As shown in Table 9, it has been found out that the heavy metal contamination levels of compost produced in all facilities included under this study were optimal and below maximum contamination level of EU compost quality standards. There is no segregation

practice of feedstock materials at the household except Mekanisa, Gerji and Suceni. However, the main reason for reduced heavy metals concentration in the compost might be due to the absence significant pollutant sources and lower socio-economic status of the societies where the substrate materials are collected.

#### 4.4 Market for Compost in Addis Ababa

##### 4.4.1 The marketing environment for compost

###### A. Product Competition

The marketing environment for compost can be influenced by the type of soil improvement widely available and applicable by the farmers in the city. The following table shows the dominant type of soil improver applied by the sample farmers in the study sub-cities.

Table 10: The type of soil improver by main product of the farm

Type of Soil Improver	Main Product of the Farm		Total
	Vegetables	Crops	
Chemical Fertilizer	98 (27.2%)	185 (51.4%)	283 (78.6%)
Compost	27 (7.5%)	-	27 (7.5%)
Crop rotation	17 (4.7%)	2 (0.6%)	19 (5.3%)
Off-farm manure	13 (3.6%)	-	13 (3.6%)
On-farm manure	7 (1.9%)	-	7 (1.9%)
None (fertile soil)	4 (1.1%)	2 (0.6%)	6 (1.7%)
Crop residues	5 (1.4%)	-	5 (1.4%)
<b>Total</b>	<b>171 (47.5%)</b>	<b>189 (52.5%)</b>	<b>360 (100.0%)</b>

Source: Sample Survey, 2017

Table 10 indicates that chemical fertilizer is the dominant form of soil improver for both vegetable and crop producers, accounting for 27.2 and 51.4 percent respectively.

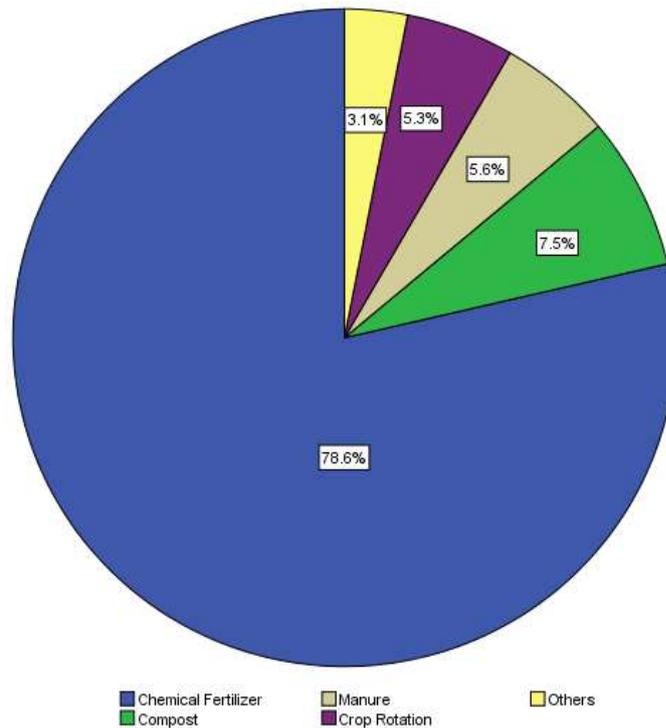


Figure 5: Distribution of the dominant type of soil inputs applied

Source: Sample Survey, 2017

Almost all of the farmers who produce field crops depend on fertilizer to improve the fertility of the soil. The use of compost is relatively the second most important form of soil improver and it is only applied by field vegetable producers. On the other hand, vegetable producers apply a more diverse type of soil improvement mechanisms compared to crop producers who depend mainly on fertilizer. Figure 5 summarizes the dominant type of soil inputs used by the farmers in the four sub-cities. More than three-fourth of the farmers apply fertilizer with the remaining one-fourth divided into crop rotation, compost, manure and the others.

On the other hand the application of soil inputs can be viewed from the perspective of farming method since the classification is based on inputs applied in the system.

Table 11: The dominant type of soil input by the type of farming method

Dominant Type of Soil Input	Type of Farming Method			Total
	Conventional	Organic	Integrated	
Chemical Fertilizer	155 (43.1%)	37 (10.3%)	91 (25.3%)	283 (78.6%)
Compost	-	26 (7.2%)	1 (0.3%)	27 (7.5%)
Manure	-	20 (5.6%)	-	20 (5.6%)
Crop Rotation	-	19 (5.3%)	-	19 (5.3%)
Others	1 (0.3%)	10 (2.8%)	-	11 (3.1%)
<b>Total</b>	<b>156 (43.3%)</b>	<b>112 (31.1%)</b>	<b>92 (25.6%)</b>	<b>360 (100.0%)</b>

Source: Sample Survey, 2017

As Table 11 indicates the conventional agriculture uses more chemical fertilizer than the other two but still chemical fertilizer is popular in all farming methods. The organic farming

method also uses a more diverse input than the other two methods. The input in the other category includes fertile soil and crop residues.

Since fertilizer application is the dominant type of soil improver both in the field crop and vegetable producers, it is important to see the type of fertilizer applied. The fertilizer application is calculated in kg per square meter since majority of vegetable producers have small portion of land and the cost incurred per kg for both types of producers.

Table 12: Application of chemical fertilizer and associated costs in the farms

Main product of the farm	Type of Fertilizer Applied				Cost of Fertilizer per kg For both types	
	Urea in kg per ha		DAP in kg per ha		Mean	SD
	Mean	SD	Mean	SD		
Vegetables	113.3	77.7	98.2	81.0	14.54	8.07
Crops	67.1	50.4	80.8	64.5	13.94	12.78
Total	80.4	62.9	84.5	68.5	14.13	11.50

Source: Sample Survey, 2017

As Table 12 shows fertilizer application is higher in vegetables producers due to the demand for high productivity using small portion of land. Similarly the cost incurred by the vegetable producers for the purchase of fertilizer is relatively higher than that of crop producers. There is also a higher deviation from the mean for vegetable producers.

## B. Producers Competition

The other important element is the existence and competition of producers offering compost to urban farmers. It is difficult to obtain the exact number of compost producers in Addis Ababa but based on information obtained from the sub-city agricultural offices and Addis Ababa EPA the following eight producers are dominant in the city.

Table 13: Annual production capacity of major compost producers in Addis Ababa

No	Compost Facility name	Scale/ Size	Sub-city	Ownership Type	Production capacity (kg/year)	Market Share (%)
1	Gulele_Tsige	Small	Gulele	Private	360	0.9
	Selam Children		Yeka			49.8
2	Village	Medium		NGO	21,000	
3	Keranyo	Small	Kolfe-Keranyo	NGO	3,000	7.1
4	Gerji	Small	Bole	Government	1,800	4.3
5	Succini	Medium	Yeka	Government	10,000	23.7
6	Mekanisa	Small	Nefas-Silk Lafto	Government	3,000	7.1
	Integrated Bio-		Yeka			4.3
7	farm Enterprise	Small		Private	1,800	
8	Tena-Kebena	Small	Yeka	NGO	1,200	2.8
	Total				42,160	100

Source: Field Survey, 2017

The annual production capacity of the producers in table 13 is calculated by taking the maturation time for one batch of compost in two months. As a result the production capacity is obtained multiplying the production capacity in one batch by six, assuming that there is production of compost every two months. Based on this estimation Selam Children Village has almost half of the market share followed by Suceni that covers one fourth of the market. The remaining six producers share the remaining one fourth of the market. The compost facilities owned by the private and NGO sector are mainly market oriented but the government owned is mainly for their own nursery facility.

On the other hand the city's urban agriculture office data on compost preparation gives a very high figure but doesn't indicate the level and quality of compost produced. Based on table 11 one third of the compost is produced in Akaki-Kality sub-city and this is followed by Kolfe that makes about one fifth of the compost produced in the city. The amount of compost prepared in the city shows a higher figure compared to table 13 since the data in table 14 includes the reported amount of production by the sub-city from different institutions, private facilities, NGOs and individual households. There is no adequate information about the quality, application and marketability of this produced compost.

Table 14: Compost prepared in the ten sub-cities of Addis Ababa in 2016/17

No	Sub-city	Compost produced in kg/m <sup>3</sup>	Percentage
1	Yeka	67	6.8
2	Bole	45.5	4.6
3	Akakai-Kality	327	33.0
4	Nifas-Silk Lafto	70	7.1
5	Kolfe	176	17.8
6	Gulele	119.6	12.1
7	Arada	71	7.2
8	Kirkos	72.9	7.4
9	Addis Ketema	40.76	4.1
	Total	990	100

Source: Urban Agriculture Office, AACG

#### 4.4.2 Compost market assessment

##### A. Market segment based on Farmer's WTP for Compost

The farmers' WTP for compost can give an indication about the availability of market for compost. The WTP for compost is studied based the type of farming method practiced by the farmers, the geographic location of the farm and the main product of the farm.

Table 15: Responses of Farmers WTP for compost by various segments

Segment	Subcategories	WTP for compost as a soil improver
---------	---------------	------------------------------------

		No	Yes
Type of Farming Method	Conventional	75 (20.8%)	81 (22.5%)
	Organic	23 (6.4%)	89 (24.7%)
	Integrated	10 (2.8%)	82 (22.8%)
Geographic Location	River corridor	11 (3.1%)	91 (25.3%)
	Peri-urban	25 (6.9%)	45 (12.5%)
	Other open spaces	72 (20.0%)	116 (32.2%)
Main Product	Vegetables	28 (7.8%)	143 (39.7%)
	Crops	80 (22.2%)	109 (30.3%)
Total		108 (30.0%)	252 (70.0%)

Source: Sample Survey, 2017

Table 15 indicates that 70% of the farmers are willing to pay for compost and majority of them are organic farming practitioners, located in the open spaces and producing vegetables. The farmers practicing the conventional and integrated farming methods are almost equal in their willingness to pay for compost. The farmers located along rivers uses polluted water for nutrient supply and those in the peri-urban area depend more on fertilizer due to larger land size. In general, the farmers WTP for compost is higher compared to those who are not willing.

Table 16: Farmer's WTP for Compost for 1kg of Compost by farming method

Farming Method	Mean WTP (Birr)	SD WTP (Birr)
Conventional (high input, intensive)	3.1	2.4
Organic (moderate or low input, ecological, biological)	2.1	1.7
Integrated (combination of elements from high and low input systems)	2.7	2.3
Total	2.6	2.2

Source: Sample Survey, 2017

The farmer's WTP for compost is disaggregated based on the farming method applied. As table 16 indicates those who are applying conventional methods with high inputs are relatively willing to pay a higher price compared to those using conventional and integrated farming systems. The conventional farming method uses a lot of fertilizer and the cost of fertilizer is expensive. As a result, these farmers can pay more based on previous experience. The farmers who are using organic method are less willing to pay for compost because they are preparing the compost themselves and they don't need to buy it from others. Overall, the average amount that farmers are willing to pay for 1kg of compost is 2.60 birr. This price is more than five times lower than the price of chemical fertilizer.

Table 17: Compost users and non-users WTP for Compost for 1kg of Compost

User type	Number	Mean (in Birr)	SD (in Birr)
Compost users	118	2.57	2.24
Non compost users	134	2.64	2.13
Total	252	2.61	2.18

Source: Sample Survey, 2017

From those farmers who are willing to pay for compost (252), the amount of WTP for compost is relatively lower for compost users because most of them prepare themselves and the non compost users are WTP a higher price because they are already incurring a very high cost for fertilizer.

However, farmers have their own different reason why they are not using compost and their willingness to pay for it is lower. They were asked which parameters to be changed to that these things can be improved and their responses are shown in the figure below.

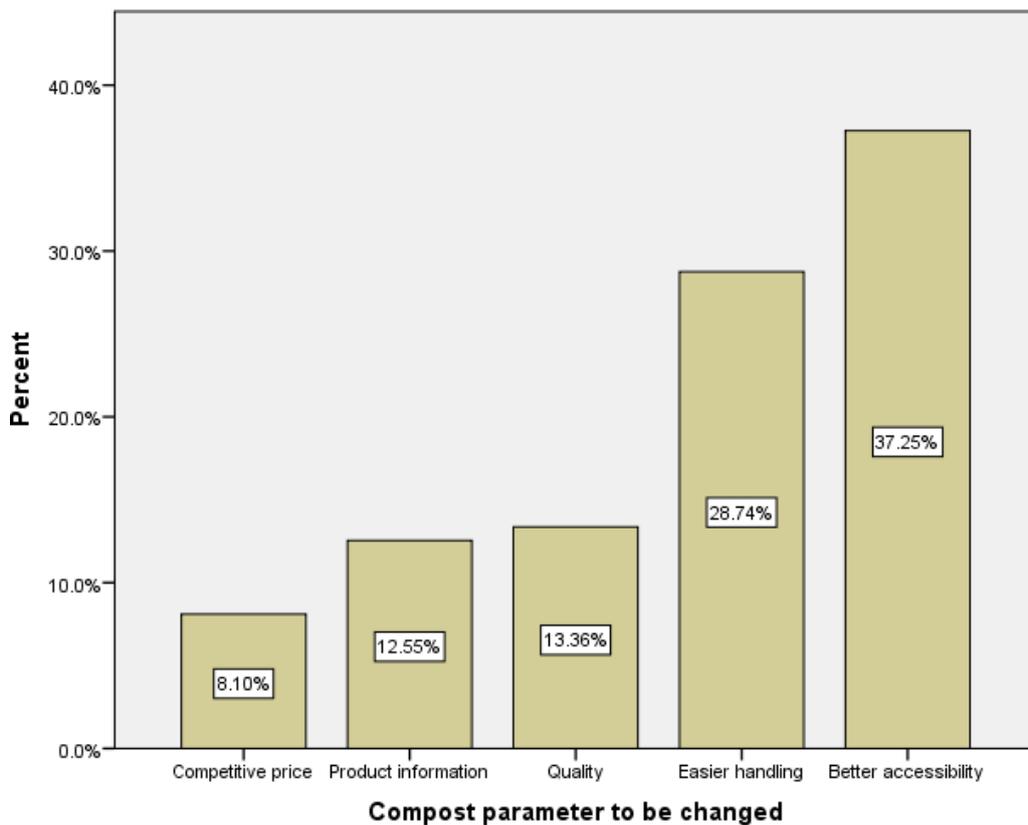


Figure 6: Compost parameters that needs to be improved based on farmers perception

Source: Sample Survey, 2017

As figure 6 indicates the major parameter that needs to be improved is accessibility of compost followed by easier handling and application. The quality and product information has a lower percentage and the price is the least parameter they consider to be changed.

### B. Factors Determining Farmer's Willingness to Pay for Compost

The determinant factors for farmer's willingness to pay for compost is analyzed based the logistic regression model and the result of the analysis is stated in the table below.

Based on the regression analysis farmer's willingness to pay for compost is the function of gender, household size, income, applying compost, main product of the farm, monitoring of soil fertility, fertilizer application and farming method. The level of significance for these explanatory variables in terms of t-statistics is provided in the table.

The regression equation for these explanatory variables can be stated in the following way:

$$\log P/(1 - P) = 3.393 + 1.233\text{Gender} - .150\text{Household Size} + .000\text{Income} - .903\text{Applying Compost} - 1.032\text{Main product of the farm} - 1.980\text{Monitoring Soil Fertility} - 1.588 \text{Fertilizer Application} + 1.400\text{Farming Method}$$

Table 18: Factors Determining Urban Farmers WTP for Compost in Addis Ababa

Explanatory Variables	B	S.E.	t-statistics	Sig.	Exp(B)
Gender	1.233	.540	5.225**	.022	3.432
Household Size	-.150	.076	3.922**	.048	.861
Age	-.020	.016	1.444	.229	.981
Income	.000	.000	8.514***	.004	1.000
Applying Compost	-.903	.446	4.093**	.043	.405
Main Product of the farm	-1.032	.588	3.076*	.079	.356
Monitoring Soil Fertility	-1.980	.457	18.758***	.000	.138
Farm Location	-.533	.369	2.081	.149	.587
Fertilizer Application	-1.588	.541	8.628***	.003	.204
Farming Method	1.400	.510	7.518***	.006	4.054
Constant	3.393	1.001	11.493***	.001	29.763

\*, \*\*, \*\*\* denotes the level of significance at 10%, 5% and 1% respectively

The model can be used to predict how many of the farmers characterized with the above explanatory variables are willing to pay for compost. The prediction equation is given by  $ODDS = e^{a+bx}$ . For example, if the farmer is applying compost, then the  $ODDS = e^{3.393-.903(1)}=12.06$ , which means that those who are applying compost are 12.06 more likely to pay for compost. The odds for farmers who are not applying for compost is  $ODDS = e^{3.393-.903(0)}=29.76$ , which means that farmers who are not applying compost are 29.76 more likely to pay for compost. These odds value can be converted in to probability as follows  $y = \frac{odds}{1+odds} = \frac{12.06}{13.06} = .92$ . That is 92% of the farmers who are applying compost are WTP for compost. However, the farmers who are not applying compost are more WTP for compost  $y = \frac{odds}{1+odds} = \frac{29.76}{30.76} = .97 = 97\%$ .

The Exp (B) that is known as the odds ratio predicted by the model can be calculated by the equation  $e^b = e^{-.903} = .405$ . This implies that the model predicts that the odds of willing to pay for compost are .405 higher for those who are not applying compost than farmers applying it. The odds of farmers applying compost is 12.06 and the farmers who are not applying compost is 29.76. Therefore the odds ratio is  $12.06/29.76=0.405$ . The same procedures are followed to interpret the remaining figures. The positive signs indicate that male farmers, higher income farm households and farmers that apply conventional methods are more willing to pay for compost. The negative signs indicate that smaller household size, farmers producing crops, farmers that are not monitoring soil fertility and those not applying fertilizer are more WTP for compost. A study conducted in Ghana using the probit model also found out that income, compost experience and soil input as a determinant factor for farmers WTP for compost in different cities (Danso et.al. 2006).

## **5. Conclusions and Recommendations**

### **5.1. Conclusion**

The composting activity of municipal solid waste in Addis Ababa is still at small scale. The number of compost producers and their production capacity is very limited and most of them are producing compost for their own use.

As it was studied at different compost production facilities feedstock materials are inaccessible to produce compost. It is not possible to get compostable solid waste directly from households or commercial establishment without payment. Unsorted solid waste is collected from the small and micro solid waste collection enterprises. The quality of the materials used as initial substrate is sub-standard and contaminated. The inert materials like plastic, rubber, glass, wood and other foul odor and rodents creating waste types such as meat and its by-product are not segregated from the sources.

There is limited technical knowledge and skills of compost production. The time required to produce compost is higher (more than 10 weeks); which cannot meet demands and recover cost of production. The technical knowledge and skills to monitor compost rooting time is also limited. Technologies to reduce maturation time are unavailable. There is no information on the quality compost produced so that unable to be trusted by customers.

The market environment compost was assessed based on the type of soil improver currently used in the urban agriculture and the competition among different producers. The dominant type of soil input in the urban agriculture in chemical fertilizer in the form of Urea and DAP. The application of chemical fertilizer is common in both crop and vegetable producers but the proportion is higher in crop producers and they own larger farm size. However, vegetable producers apply more fertilizer in order to get more result in a small plot of land. The crop producers also mainly depend on fertilizer as a source of soil improver but vegetable producer

apply a diverse type of soil improver. Compost is relatively the second most important soil improver mainly for vegetable producers. On the other hand farmers who are applying conventional and integrated farming method also depend on fertilizers whereas farmers using organic farming method apply compost and the other types of soil improvement mechanisms.

The competition among producers can be said very weak based the surveyed eight producers in Addis Ababa as the government based facilities are mainly producing their own use and only those owned by private and NGOs provide compost in the market. Among the eight producers Selam Children's Village take almost half of the market share. On the other hand the urban agriculture office of the city administration estimated that about 990 kg per meter cube of compost are produced from nine sub-cities the current fiscal year 2016/17. However, the quality and level of composting is not provided from the office.

The market for compost is assessed based on farmer's willingness to pay for compost by different segment and the proportion indicates higher for organic farming practitioners, located in the open spaces and producing vegetables. The mean amount of price farmer's are willing to pay for compost in the surveyed in the four sub-cities is 2.60birr per kg. Farmers who using fertilizer or non compost users in the conventional farming method are more willing to pay a higher price because of experience in paying higher values for soil input but the organic farmers who are using compost are willing to pay a lesser price for compost since most of them have experience in preparing the compost themselves. In order for farmers to apply compost in their farm the accessibility of compost needs to be improved as well as the handling and application mechanism of compost should be easy like chemical fertilizers.

The determinant factors for farmer's WTP for compost in this study are gender, income, household size, applying compost, main product of the farm, monitoring of soil fertility, fertilizer application and farming method. The male farmers, higher income farm households and farmers that apply conventional methods are more willing to pay for compost. On the other hand smaller household size, farmers producing crops, farmers that are not monitoring soil fertility and those not applying fertilizer are more WTP for compost.

In general, the study found out that the potential of compost producers is very low as they are producing only a small proportion of compost and most of the compost produced are mainly for own use in the preparing of seedlings. The feedstock applied for compost preparation is not sorted at the source but minor segregation is made near the compost facility. The quality of the compost produced is below the standard in terms of the major parameters but the level of impurities is very low as the feedstock material has little pollutant and the level of socio-economic status that produces the waste is very low. On the other hand fertilizer is the dominant source of soil improver used by mainly crop farmers in Addis Ababa. The vegetable farmers relatively use compost as a soil improver. But there is more willingness to pay for compost by the urban farmers for a reduced price of compost.

## 5.2 Recommendations

The following recommendations are forwarded to improve the composting practice in terms of compost production, feedstock availability and quality of compost in Addis Ababa

- Increasing integration level of public and different stakeholders on compost development and product use. So that the challenges of feedstock material sources, market source and limitation of technical knowledge and skills can be solved.
- Promotion of source level feedstock materials segregation need be done by all composting operators to ensure the acceptable limit of contamination levels.
- Procedural manual and national standards preparation for composting is necessary to produce quality compost product with an acceptable nutrient content required for plant growth.
- Mainstreaming the composting science and technology in the university and technical schools of the country is needed to improve the awareness and technical knowledge bottleneck of stakeholders involved in composting.

The compost market in Addis Ababa needs to address the following issues

- Marketing the environmental benefits of applying compost in the farm so that there would be more application of compost both in the vegetable and crop production either through preparing themselves or buying from the market.
- Compost application and preparation should be supported by practical experiment to show the benefits of compost to the farm and the mechanism of preparing it.
- Compost should be made available in the market by considering the farmer's willingness and ability to pay for it.
- Value chain that links compost feedstock, compost preparation, marketing strategy and compost application should be created so that it can be a sustainable practice.

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# Assessment of Urban Good Governance Realization in Addis Ababa Land Development and Management Bureau the Case of Bole Sub- City

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## Abstract

*Good governance is an extensive improvement strategy that makes public administrators to be more open, responsive, accountable and autonomous. It also builds up the key actors of governance, such as, the government itself, citizens, etc. In Ethiopian situations and other nations' attitudes, good governance comes out to be the compassion of democratic principles and ideology which comprise participation, effectiveness and efficiency, transparency, accountability and rule of law. The study focused on the assessment of Good Governance in Addis Ababa City the case of Bole sub-city Land Development and Management Bureau, a conceptual framework was developed and a feasible methodology has evolved. The lack of good governance in the sub-city Land sector originates due to the capacity and poor commitment lean to reduce the effectiveness of service delivery and urban land resource management practices. Inadequate competent staff of the workforce, poor service facilities, corruption of land resource, and fraud of government land resource, poor management and unclear land policy and service delivery standards are some of the major causes for the prevalence of poor governance in the sub-city's Land sector. The tools for data collections include questionnaires, interviews, focus group discussion and observation... The results disclose that the realization of good governance principles mostly being undermined and the service delivery processes and the entire land management and administration system of the sub-city lack adequate clarity of land information, absence of active participation of the governance actors particularly the community representatives, nonexistence of sufficient accountability and answerability of the decision makers.*

**Keywords:** Good Governance, UrbanLand, Effective& Efficiency, Accountability, Transparency and Participation.

## 1. Introduction

Unlike bad governance which is being increasingly considered as one of the root causes of all evil within our societies, good governance is a mechanism to realize human rights, cost-effectiveness and economic progress, effective and efficient service delivery to the public, and combating corruption (Afonso 2006, Besancon,2003).

To ensure good governance within the service provision processes, the decentralization of the economy and the corresponding structural adjustments in various sectors of Addis Ababa comparative to democratization of community life is unquestionable. That is why the

government of Ethiopia provides the uppermost priority to ascertain good governance along with democratization and development. The promotion of the private economic sector as well as the civil society engagement has triggered the demand for better life in the city as well as in Ethiopia in general. As a result Ethiopia is experiencing a process of extensive administrative decentralization and more and more responsibility is delegated to towns and cities which in turn require high official, professional and legal responsibilities for the fulfillment of the interests of the government, urban community and their representatives, investors and other key governance actors' simultaneously.

Although the government of Ethiopia displays a tough supporting motivation to ascertain good governance in the cities smoothly within GTP 2, period, there are still huge challenges and difficulties of corruption, misuse of urban land resources, poor service delivery process, rising unsolved customer complaints. These problems partly derived from the previous and recent trends of the country. Amongst those mentioned challenges the most critical and still ongoing one is the gap in realization of good governance particularly in the urban land administration and management systems of the sub cities in Addis Ababa Bole Sub City Land Development and Management Office in conformity with the rules and regulation of urban development policy. On the other hand in opposition of the previous times; today, citizens are becoming increasingly more demanding, fewer tolerant when not having their expectations addressed (Tewodros, 2015, AA City Administration LDM, 2014).

Different studies conducted on urban sector revealed that the absence of transparent, accountability, effective and efficient service delivery and resource allocation system particularly in the urban land administration and management offices has led to corruption/frauds, wastages/misuses of scarce financial and land resources which in turn negatively influence the level of customer satisfaction in the service provision and bring the absence of trust on the local government development activities. Thus these undeveloped, complicated, and corrupted urban structures need sound governance system which help to the realization of the development of government policies in managing the scarce resources specially the urban land in effective and efficient, transparent and participatory approaches ultimately to met the governance actors' expectation within the sub city.

To proceed the investigation process, researcher based primarily on the study undertaken by Ethiopian Civil service University Center for Training and Consultancy two years ago. The study was focused on the Assessment of implementation of level of Service Delivery standards developed by taking some different selected government sectors of Addis Ababa City amongst which Bole Land Development and Management Bureau was the one. The second area of interest is that the researcher's own observation which prevail the gap of realization of good governance particularly problems associated to transparency, effective and efficient land management system, absence of robust participatory approaches in the decision making processes by the local governments particularly the inactiveness of the community

representatives to intervene in the land and related decision making processes, rises of customers complaints from time to time, absence of the other key government actors involvement in addressing the community's needs regarding urban land related issues.

Therefore this study focus to find out the extent of good governance principles currently carried on in Addis Ababa Bole Sub city Land Development and Management Office along with the assessment of the level at which the community representatives are playing their role and further to discover the major gaps still existing in the realization of good governance principles and provide study- based recommendation based on the real data findings in relation to customer satisfaction level.

The specific objectives are the following:

- To investigate the level of good governance worthiness practiced in the sub city land development and management system according to customers' satisfaction level
- To assess the role of community representatives to ascertain good governance with overall practices of land resource management system within the sub city and
- To examine the major problems those delay the actualization of good governance and to suggest possible strategies to mitigate the identified problems.

## **2 Review of Related Literature**

**Governance:** - as distinct from government, refers to the linkages between civil society and the state, between leader and the guided, the government and the governed. It is the latter aspect that relates the civil society to the state, and this distinguishes the study of governance from other studies of government” (McCartney, HalfanI & Rodriguez 1995, cited in Ashenafi, 2015:p.19). The evaluation on the functioning and ‘quality’ of local governance will focus on the perception of local stakeholders. There are arguments why this approach has been chosen is, following the tradition of political culture research, the assessment and perceptions of citizens are essential indicators for understanding the stability, legitimacy or quality of democratic states (Dr and Knaap, 2003 David,2000).

**Land Governance** refers to the way a society sets and manages the rules that guide land development and management policy-making and policy implementation. Conceptually good governance in land sector is associated with efficient and effective administration of land in a democratic set up (Besancon, 2003).

### **Fundamental characteristics of Land in the land governance processes**

In wide-ranging aspect land is taken to include the earth's surface as well as its various resources, including water, forests the urban built-environments, Oil, natural gas and minerals, etc are usually included as land-related natural and urbanized resources. In this regard some of basic characteristics of land include:

#### **Land Is More than Just an Asset**

For many people, land is closely linked to individual and community identity, history and culture, as well as being a source of livelihoods and for many poor people, their only form of

social security. Decisions regarding use, management, administration and control over land and natural resources are extremely sensitive, and are often highly biased with different societal groups having differing views (Deininger, Dobriansky 2003,).

### **Multiple Rights to the Same Parcel of Land Can Be Held By Different People or Groups**

Especially in the case of urban land management and administration, such multiple rights to the same parcel could include the right to sell the land, the right to use the land for construction or gardening and land may be privately held.

### **Land Rights, Restrictions and Responsibilities Are Expressed Through a Socially Constructed System of Land Tenure**

Land tenure here refers to the complex relationship among people with respect to land and its resources. The rules of tenure define how rights to land are assigned within societies. They define how access is granted to rights to use, control and transfer land, as well as associated responsibilities and limitations (Ibid).

### **Overview of Land Administration System Components**

Urban land administration is a comprehensive system of policies, procedures, and institutional frameworks that deals with the multifaceted process of handling and regulating rights, use, and value of land. This evidently includes determining, recording, and disseminating information about the tenure, value and use of land. As another key element in the system of land administration, land management pertains to the manner in which resources from land are utilized (Emily,2009, FAO, 2007). Land use planning is also other land administration element which indicates the systematic evaluation of the potential of land, social economic situation and alternate land use for the sake of optimal land utilization selection (FAO, 2007). Generally speaking, land use planning is aimed at making the best use of limited and scarce land resources. Under the current context of rapid urbanization, land resource becomes very scarce.

### **Challenges of Good Governance in the Land Development and Management Processes**

Land is the single greatest resource in most countries. Basically people require land and related resources for the production of food and to sustain basic livelihoods. Land provides a place for housing and cities, and is a basic factor of economic production as well as a foundation for social, cultural and religious values and practices. Access to land and other natural resources and the associated security of tenure have significant implications for development. Thus good governance challenges in land management processes which emerging from its characteristics include *Socio-economical, Land Policy Implementation and ownership, Land use challenges, Financial and Constraints Natural Environmental and Institutional Challenges as well.*

## Strategies to Mitigate Land Governance Challenges

The major strategies to minimize the mentioned challenges include; creative thinker to Bottom-up Approaches for inclusiveness, and locally rooted visualization, Cultural Sustainability in cities, Measuring failures or success and sharing data knowledge, Appropriate Mandate and financing , Proactive in globalized world Decent Urban Mobility for everyone and Sustainable construction processes, buildings and maintenance (Arroyo D. & K,2005.)

### Provision Urban land Policy to Ascertain Good Urban Land Governance in Ethiopia

The Ethiopian Constitution in its declaration on economic policy in November 1991 (Transitional Government of Ethiopia 1991), it announced the continuation of the land policy of the Derg regime. However the new constitution of 1995 approved and confirmed the state ownership of land in Ethiopia (Federal Democratic Republic of Ethiopia 1995). The land policy provision maintains property rights in land constitute which is one of the primary institutions that resolve the social and economic formation of society. These rights are decisive for economic growth and sustainable development as well as for good governance and stability (Belachew, 2010). However these principal policy provisions of citizens' rights are not well respected and enacted by the land service providers in most cases of urban areas.

### Conceptual Frameworks and Identification of Operational Variables

The explanation of the topic under study “Realization of Good Governance” is based on the assessment of the extent at which land governance within Bole sub city was transparent, effective and efficient, and weigh up the degree of the responsibility of the decision makers, examining the level of the involvement of the key governance actors in the land and related development processes according to stakeholders perspectives. In the process of research activities it is preferable to initiate the developing of conceptual frameworks of the issues under study. Therefore the development of working variables designed primarily according to the dependent and independent variables identified on the next figure below.

Figure 1:- Illustrates Principles of Good Governance in line with Customer Satisfaction Level



Source: - Researcher's own Demonstration Model of principles of good governance in relation to the customer satisfaction.

The assumption in the above diagram was that the researcher intended to illustrate that the total summing up of the above mentioned good governance principles if appropriately

practiced in the service provision within the land administration and management government agencies at all level, they resulted in increasing the satisfaction level of service recipient. This has to be indicated as the core of service provision result of good governance principles towards ensuring good governance in the land sector. Thus, based on abovementioned variables, data was gathered as per the predicted conceptual frameworks earlier developed in the table below.

Table 2.1: The Operational Variables Identified In the Study

No	Independent Variables (Principles of Good Governance)	Dependent Variables (Customers Expectation)
1	Openness and Transparency	<ul style="list-style-type: none"> <li>• Clarity in Decisions making process in accordance with rules and regulations of urban land policy</li> <li>• The level at which land development Information is designated to the urban community (<i>City Dwellers, Land Developers and Investors Community Representatives</i>) in implementation of policies.</li> </ul>
2	Accountability	<ul style="list-style-type: none"> <li>▪ Effectiveness of remedies against maladministration and against actions of local authorities which violate civil rights in the land management processes</li> </ul>
3	Responsiveness	<ul style="list-style-type: none"> <li>• The extent at which rules, structures, and procedures of land management are modified to the legitimate expectations and needs of customers</li> </ul>
4	Participation	<ul style="list-style-type: none"> <li>▪ The level at which all men and women can have a voice in decision-making, in urban land management and implementation process</li> <li>▪ The Extent of policy consultation with communities in land policy implementation</li> </ul>
5	Effectiveness and Efficiency	<ul style="list-style-type: none"> <li>▪ The quality of performance results meets the agreed objectives.</li> <li>▪ Best possibility made for the allocation of urban land in the use of urban land resources available.</li> <li>▪ Level of Performance management systems made for possibility to evaluate and enhance the efficiency and effectiveness of services provision</li> <li>▪ The level of Evaluation and monitoring system to be carried out at regular intervals to assess and improve performance</li> </ul>

Source: *Researcher's own study variables model developed*

In real world significance to development policy supporter organizations regularly measure and assess the quality of governance. The research workout would have done well to separate

the concept of good governance and change attention and analysis on its various components, as defined here (effective and efficient service provision, accountability, transparency and participation and responsiveness in land management and administration system applied in Bole Sub City Land Development Management Bureau. The major proposition of conceptual frameworks of good governance indicators in the above table facilitated the determination of the extent of the “Independent variables (Good Governance Principles) and Dependent Variables” (Customer Satisfaction Level) which have a direct Correlation were affected by each other.

Effectiveness and Efficiency.

As the term “Effective and Efficiency” are two buzzwords that are popularly used by organization yet, they are also commonly misused and misinterpreted, not just in the lexicon of business-speak; but also in daily use. For all intents and purposes, let’s begin by defining efficiency and effectiveness in general terms, borrowing from Dictionary.com. Simply Effective and efficiency shows *adequacy to accomplish a purpose; producing the intended or expected result and performing or functioning in the best possible manner with the least waste of time and effort* (<http://www.insightsquared.com/2013/08/effectiveness-vs-efficiency>).

#### **Accountability**

The notion of accountability is an amorphous concept that is difficult to define in precise terms. However, broadly speaking, accountability exists when there is a relationship where an individual or body, and the performance of tasks or functions by that individual or body, are subject to another’s oversight, direction or request that they provide information or justification for their actions (Cheema 2002, Daniel, 2011, Aneley, 2006).

#### **Transparency**

Transparency is built on the free flow of information. Processes, institutions and information are directly accessible to those concerned with them, and enough information is provided to understand and monitor them, OR it refers to the level of openness and access to information and/or data; also to include key initiatives taken towards promoting transparency in the Government functioning (Governance Profile for Ethiopia, 2004).

#### **Participation**

Participation in general term means that the process of involvement and sharing of information and actively taking part in decision making equally. This means all men and women should have a voice in decision-making, either directly or through legitimate intermediate institutions that represent their interests. Such broad participation is built on freedom of association and speech, as well as capacities to participate constructively (Cheema, 2005).

### **3. The Methods**

#### **3.1 Research Design**

A research design is the arrangement of conditions for collection and analysis of data in a manner that aims to combine relevance to the research purpose with economy in procedure (Kothari, 2004:3). As it is stated by Rout ledge (2012), “theories and observations are the two

pillars of science, scientific research operates at two levels: a theoretical level and an empirical level. For the purpose of this research the Research Design used was Descriptive Research Design that enabled the researcher to investigate the level of applying good governance by depth analysis of the perception of key governance actors within the land development and management office of the aforesaid sub city (Ibid).

### 3.2. Data Type and Measurement Scale

The type of data to conduct in the study that was primary and secondary data Primary data: This was collected through questionnaires interviews, Focus Group Discussion and direct observation as well as open-ended questionnaires. In this research respondents were asked to rate each item on a Likert-type scale by assigning a value of 1= (strongly disagree) to 5= (strongly agree), as suggested by K. and Chamorro C, (2002).

### 3.3. Soundness/Validity and Consistency of Scale Measures

The validity analysis of the measurement instrument was based on pilot study on fifteen selected service user and five employees. This was from offices of tenure administration respondents that can be representative and assumed to be as key informants to provide valuable information to carry on the study.

### 3.4. Target Population

The targeted population for study were generally categorized in to three groups; employees, service recipients, Community Representatives/City Counselors. *Employee participants* include office managers; planning experts; while *customer participants* were land service users those who were legal land tenure holders and being registered in land cadastre system of the sub city.

#### Sampling Design and Techniques

According to (Richard, 1997), the sampling design applied with this study was based on both probability and non probability sampling techniques. The non probability technique was undertaken purposely to select the target groups from estimated target population with legal land tenure holders and registered in Modern Land Registration or Cadastre System in the Sub City Land administration procedures.

#### Sample Size

Using Research Advisor sample size Determining Table Techniques, from total legally registered land service user population (N) = 2,122 based on the assumption 95% confidence level, of 5% ME (Margin Error) Sample size was taken that (n) = 300 for customers participants and for employee participants using the same procedure Total population (N)= 88 from Tenure Administration and Transitional Period Service Project office workers at 95% confidence level of ME , Sample size taken was (n)= 65.

Table 2: Number of Representative Respondents from both Employees and Customers

Respondents	Target population	Sample size
Employee Respondents	88	65
Customer Participants	2112	300
Total	2200	365

Source: Bole Sub City Land Development and Management Office

## **Methods of Data Analysis**

The quantitative and qualitative data collected were analyzed and discussed in the form of notes, tables and percentage. The completed questionnaire was given code and entered in to the computer using SPSS Software and the results were imported to Microsoft words and properly analyzed, interpreted and concluded. Finally based on the available information which was obtained from the analysis part, a conclusion and recommendation were made by taking into account the most important points related to the set objectives and problems of the study.

## **4. Results and Discussion**

### **4.1. Soundness/Validity and Consistency of Scale Measures**

The validity analysis of the measurement instrument was based on pilot study on fifteen selected service user and five employees. This was from offices of tenure administration respondents that can be representative and assumed to be as key informants to provide valuable information to carry on the study.

### **4.2 Employees' Demographic data**

The entire necessary Demographic question was raised to the employee participants. These included gender distribution, age and educational level. The gender category out of 19 respondents 10 (52.6%) were male and the rest 9 (47.4%) were female; regarding age interval out of 19 respondents 20% were categorized within (18-30), 56% (31-45) and the other 23.2% were more than 45 years. The other Demographic variable was educational level of the employees. Thus out of 19 employees 5.3% had college diploma, and 78.1% BA Degree and the rest 15% had MA Degree. From these we can understand that the majority of the respondents possessed BA Degree and significant number have College Diploma.

### **4.3 Good Governance Related Question for Employee Participants**

For the reliability and validity of the results of some responses obtained from the qualitative data (structured-interview and FDG) were included and discussed on the quantitative data analysis of both employees and the customers as per the requirement of the specific questions. This aspect of amalgamation of quantitative and qualitative data results facilitated the process of validation and comparison of all participants' perception on specific issues. Thus the responses of the Employees were primary presented and analyzed and subsequently followed by the customers' participants' response in accordance with the research objective set.

The data analysis which was based on dimensions of good governance principles Effective and Efficiency, Transparency, Accountability and Participation was presented below.

#### **4.3. 1 Effective and Efficiency Dimensions**

The measurement of effectiveness and efficiency dimension inquired to the employee participants were three; "Accessibility of adequate computerized system", "Availability of

contemporary or modernized land information system”, and “Access to workable service delivery standards”. Accordingly the employees’ level of agreement on the “accessibility of adequate computerized system in the service provision processes”, Out of the 19 participants, 2(10.5%) provided their answer strongly disagree, 8(42.1%) said disagree, 7(36.8%) agree and the other 2(10.5%) strongly agree. According to the employees perception the shortage of adequate computerized system was not a serious deficiency for ease service delivery relatively in comparison to the other effective and efficiency deficiency identified in the other parts of the study.

The second variable was “*Existence of modernized land information system*” the level of employees agreement or disagreement for this question, out of the 19 respondents 9(47.4%) replied strongly disagree, 5(26%) disagreed; equal number of the employee respondents answered neutral, and agree. The inference of the finding indicated that almost half of the study participants perceived that access to modernized land information system applied in the land sector was not yet developed.

The other third measurement for effective and efficiency dimension was “*the availability of workable service delivery standard in the land sector*” 15(79%) of the respondents replied disagree 1(5%) have no idea, and the rest 3(15%) agreed upon the existence of the understandable service delivery standards. This implied that the majority of the respondents explained that there were no easy and workable service delivery standards developed to measure the performances in terms of different perspectives; such as cost time quantity and quality.

#### **4.3.2 Question related to Accountability**

The second governance principles assessed was the level of accountability employed in the service delivery and land management processes. The dimension of Accountability the employee participants asked were three; “*Existence of fair awarding system for best performers*”, “*Leadership Commitment To Ascertain Good Governance*” and “*Equal liability of Rule Violator Among The Official And The Performers*”.

Accordingly for “*Existence of fair awarding system for best performers*” 10(53%) replied strongly disagree, 3(15%) disagree, equal number of the employee participants explained agree and strongly agree respectively. The implication of these results revealed that the majority of the employee participants disagreed on the availability of fair awarding system for model or best performers within the offices. To explain the cause of this unfair awarding system for best performers it might be nepotism or preferential treatment and partiality among the workers and the decision makers. For the next dimension of accountability “*the level of the leadership commitment to ascertain good governance*” 13(74%) responded strongly disagree, 2(10%) said disagree, 1(5%) neutral or have no idea and the rest 3(15%) agreed on availability of leadership commitment to ascertain good governance in the land service delivery and management processes. The last accountability dimension indicated was

“whether or not there was equal liability for land related rule violators among the officials and the performers” for this question 12(63%) strongly disagree, 1(5%) disagree, and the 6(32%) of the employee respondents agreed on the equal liability of rule violators among the officials and the service performers in the land offices. The indication of this discovery showed that the mass of the employee participants perceived that there were no fair or equitable legal measures taken on the land rule violators.

#### **4.3.3 Transparency Dimension**

The measurement of Transparency the employee participants asked were four; “*Clearness Of Land Development And Management Policy To All Workers*”, “*Existence Of Clear Performance Evaluation Procedures*”, “*Simplicity of complaint solving strategies*”, and “*Availability of clear Criteria For Fair Training Opportunity Among The Workers*”.

For “*Clearness of Land Development and Management Policy to All Workers*” Out of 19 participants 10(53%) respondents provided their comments that they strongly disagree, 2(10%) disagree, 7(32%) responded agreed. According to the responses of the employee participants, the more than 50% of the employee participants disagreed on the clarity of land development and management policy for all employees. The second transparency related question the employees were asked was about “the clearness of performance evaluation procedures”, amongst the 19 employee participants 6(32%) strongly disagreed, 5(26%) disagreed, 1(5%) neutral and the rest 7(37%) of the employees agreed on the openness of the performance evaluation among the workers. For the third transparency variable was “simplicity of complaint solving mechanisms” thus amongst 19 employees respondents 8(42%) strongly disagreed, 2(10%) disagreed, 1(5%) agreed and the rest 3(15%) strongly agreed about the clarity of the complaint solving mechanisms. From these employees’ responses we can understand that the majority of the participants felt that procedures for customers’ complaints solving applied in the offices were not clear. One of the causes for this might be complaint solving strategies were not properly communicated to the workers and there is need for proper discussion how to solve customers’ complaints within the offices and with external service users.

The final transparency dimension was about “*openness of criterion for provision of equal training opportunity of all workers in the land offices*”. The workers’ level of agreement regarding this questions was, 11(58%) said strongly disagree, equal number of the employee respondents replied neutral and agreed on the availability of openness of fair training opportunity provision for all employees.

This means the level of the transparency to ascertain good governance was not satisfying the employees in the land offices. Thus the offices are expected to improve the internal working procedures towards developing open and understandable land policy, clear performance evaluation mechanisms and clear complaints solving strategies and open criteria for fair

training opportunity among workers in the sector. To justify the reliability and validity of these from the qualitative data collected, the community representative in the Focus Group Discussion, they gave their answers that the land officials were not dedicated to provide clear land information for the stakeholders.

#### **4.3.4 Participation Dimension**

To assess the extents of the participatory approaches practiced in the land development process within the land sector, the employee were asked to explain their feelings using three participation dimensions. These were about “*Adequacy of Workers Involvement in the Land and Related Planning Issues*”, “*Gender Equality in the Land Related Decision Making*”, and “*Beneficiaries of the Urban Poor from the Current Urban Land Policy of Ethiopia*”.

The workers’ response for “*Adequacy of their involvement in the land planning issues*”, accordingly 5(26.3%) of the respondents responded that strongly disagree 11(58%) disagree, 2(10%) agreed, and 1(5%) strongly agreed on the adequacy of the number of workers involved in the land related planning and implementation issues. According to the workers response, the participatory approaches to involve sufficient number of workers in the land planning processes were very low. The *second* participation dimension the employees asked was “*Gender Equality within the Workers In The Case Of Land Related Decision Making*”. Among the 19 participants 10(53%) strongly disagreed, 2(10%) disagreed, 7(37%) agreed about the gender equality to involve in the land related decision making within the sector. As per the comments of the employee respondents the majority of them perceived that women involvement on land related issues was low. Thus this implied that since the participatory approaches applied to include women in the land decision process were not satisfactory, the concerned officials have to work on the active participation of the women in the land and related decision making processes.

To verify the soundness of this response, the other target groups were asked in the qualitative data in interviews and focus group discussion. This indicated concerning the perception of employee participants, on average the overall activities of good governance in relation to land service delivery and land resource management processes were not satisfactory. Thus to ascertain good land governance it is better for the local city government and other concerned bodies to revise strategies and other administrative procedure for strengthening participatory approaches.

### **4.4 Data analysis of selected customers or service users**

#### **4.4.1 Customers’ Demographic Data**

The entire necessary Demographic question was raised to the customer participants. These included gender distribution, age, educational level and type of occupation. The gender category out of 235 respondents 127 (54.3%) were male and the rest 108 (45.7%) were female; regarding age interval out of 235 respondents 28% were categorized within (18-30), 34% (31-45) and the other 37% were more than 45 years. The other Demographic variable

was educational level of the customer. Thus out the 235 participants 56% were 1-12<sup>th</sup> grade, 31% have college diploma, and 12% BA Degree and the rest 1% have MA Degree. From these we can comprehend that even though the majority of the respondents were classified within 1-12<sup>th</sup> grade, fortunately significant number of respondents were educated and comparatively have better understanding to explain their rights and obligations on the land related matters.

#### **4.4.2 Good Governance Related Question**

##### **4.4.2.1 Effectiveness and Efficiency Dimensions**

To assess the level of agreement on good government practices in relation to effectiveness and efficiency was considered in three points of views: “*Adequacy of Competent Staff*”, “*Access to Get Immediate Response for Complaint Solving*” and “*Availability of Service Provision Standards*”. Amongst 235 participants, 78% of the respondents perceived that effective and efficient service provision was not satisfactory. According to the customer’s responses, the allocation of the competent staff in the land service provision was not pleasing, which means, there has been much need for additional workforce to fill the gap existed in terms of quantity and quality.

In addition to this majority of the service users disagreed upon the availability of fast and time saving complaint solving mechanisms even though significant number of the services users strongly agreed upon the availability of immediate complaint solving procedures within the land service provision. The inference of this results indicated that since customers’ complaint solving procedures were not efficient and quick enough to responds to customer grievance, there is need for the concerned officials and the professional to reset their strategies to provide immediate responses for customer complaint.

Regarding the application of service provision standards according to the customer respondents it was concluded that even though there was a favorable response about the availability of service provision standards; the effectiveness and efficiency of the standards developed were not satisfactory. This implies that the effectiveness and efficiency dimension indicated that the offices were not providing their assigned services effectively and efficiently as per the expectation of the customers. Consequently To ensure the realization of good governance in the land related service delivery, allocation of adequate competent workforce, immediate complaint solving strategies as well as revision of the developed service standard as per the requirement of specific workload is very important.

##### **4.4.2.2 Accountability Aspects**

The measurements of accountability were based on six dimensions. These were “*Status Of Workers Initiatives To Provide Genuine/ Customer Services*”, “*Availability Of Mechanism For Combating Corruption*”, “*Officials’ Answerability For Their Land Related Decisions*”,

*“Availability Of Ethical Code Of Conduct”, “Existence Of Equal Tenure Security Protection For All Legal Land Owners” and “Fairness Of Legal Action Taken On The Rule Violators”.*

For out of 235 customer participants on average 77% of the respondents did not agreed upon the availability of accountable and responsible service providers in accordance to their expectations. Amongst the unfavorable justification the customers frequently raised on the open- ended question was the employees’ initiatives to provide genuine service was very low. They pointed out as a reason for these that workers initiative to provide genuine service delivery was declined as a result of the most front lined employees specially those duty was related to provision of title deed were asking for informal payments to faster the service provision processes/bribe.

Furthermore the customer respondents added also that despite the exaggerated land sector planning and implementation success of timely reports of the land sector, the techniques to eliminate corruption was not yet appropriately developed and the governance actors were not actively involved in the corruption combating and preventions of frauds and mischief strategies in the land sector. This indicated that the linkage between corruption, governance and development was not given due attention in enforcement of land policies by the stakeholders. Additionally the majority of customers commented that the fairness of the legal action taken on the land related law violators extremely low. In general the results entailed that the office has weak accountability system because of the lack of the concerned land official or negligence of the land service performers to obey the rules and regulations pertinent to land.

#### **4.4.2.3 Transparency Dimension**

Concerning the transparency and participation dimensions the variable developed to be answered by the customers were three for transparency (*“accessibility of open land information system applied in the land sector”, “clarity of land policy amendment or improvement and the comprehensiveness of the service provision criterion to all the service users”*). Out of 235 respondents 81% of the respondents did not agreed upon the accessibility of transparent and open land information system as well as clear service provision criteria as per their stance, even if significant number of the customer participants provided favorable responses about the availability of transparency in the land service provision procedures. This implies that the clarity of land and related information was not adequate as per the demand of the customers and other governance actors. Hence the nonexistence of adequate transparency scarcely fit, to prevent mal practices, corruption and nepotism could be take over (Dobriansky, 2003).

As a consequence the issue of addressing clear and transparent land information system especially for the service users and government land tax payer should be one of the major

land governance issues that supposed to be addressed by all the concerned governance actors and top level concerned officials.

#### **4.4.2.4 Participation Dimension**

for participation dimension, The customers' perception about the level of participatory approaches exercised within the land sector customers were asked about their level of agreement on "*The Local Community Active Involvement In The Land Planning And Implementation Issues*", "*The Current Urban Land Policy Of The Country Insures The Inclusiveness And Beneficiaries Of The Urban Poor From The Land Access*", "*The Urban Counselors Involved In The Land Use Planning For Different Social Purposes*" "*The Local Community And The Development Committee Involvement In The Process Of Boundary Demarcation Of The Government Owned Open Lands Within The Sub City*."

The customers perception was generalized and the result scored that out the 235 more than 68% of the respondents provided unfavorable responses which strongly disagree despite the significance number of respondents gave favorable responses. Accordingly regarding participatory approaches the score brought about those offices under the land sector service delivery processes and land resource management system were not satisfactory (Customers satisfaction survey March, 2017). Further this indicates that the land policy provision enacted to encourage the active community participation in the land development and management within the sub city were not addressed and these in turn were the main indicators for good governance failures and the absence of real democratization towards development of local community autonomous in the development processes and prevention of mal practices within the land sector. In order to increase communities' initiative and improve the land administrative procedures with the intention of improving work performance and good citizenship behavior, managers need to permit a high degree of employee and other stakeholders' involvement (Deininger,2006).Thus, the involvement of stakeholders in decision making is considered as a tool for inducing motivation in the role players including employees leading to positive work attitude and high productivity (<http://www.insidepolitics.org/egovt05int.pdf>)

#### **Overall good governance practice**

In general the overall good governance practice in the Bole Sub City land development and management office was also assessed. Broadly regarding the overall practices of good governance in the land sector of the sub city, about 70% of the customer respondents disagree with the question forwarded, though significant number of respondents agreed on the overall practices of good governance within the office. From this result it can be concluded that the total practice of good governance in the sub city land development and management office was insufficient. The indicator for this was the overall mean value of 1.91 and standard deviation of 0.899 shows that the application of good governance principles in the office has not been successfully realized. The Pearson correlation coefficient also shows that all the four

good governance dimensions significantly and positively correlate with the general practice of good governance assessment. Dimensions of Customer effectiveness and Participation have the highest correlation with overall Good Governance ( $r=0.885$  &  $r=0.889$  respectively). The other good governance dimensions indicated least relationship with overall good governance realization.

## **5. Conclusion and Recommendations**

### **5.1 Conclusion**

The execution processes to ensure good governance in the land service delivery and land management activities were not yet developed as per the community and government expectations. According to the perception of both employees and customer respondents, the overall good governance principles in the land sector of the sub city (transparency, effective and efficiency, responsiveness as well as participatory approaches) were practiced at a very low level.

### **5.2 Recommendations**

The most decisive factors that put the urban land sector in addressing their mandate is their ability to apply and practice good governance principles, such as building of transparency effectiveness, efficiency, encouraging the active involvement of the key governance actors in the land development and management process. Further building of institutional capacity, encouraging active participation of community representatives, and creation of community consciousness, providing chances for the urban poor to right of entry to land and enforcement of the rule of law to minimize corruption are the most critical strategies to ascertain good governance in the land development and management activities of the sub city.

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# Effect of Talent Management Practices On Employees' Turnover Intention At Ethiopian Management Institute

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## **Abstract**

*The purpose of this study was to investigate the effect of talent management practices on employees' turnover intention at Ethiopian Management Institute. The study used quantitative research method and employed explanatory survey design. Data were collected through self administered questionnaire from 146 respondents. Those data, then, analyzed through descriptive and inferential statistics, and also through independent samples T test. The finding of descriptive analysis revealed that the mean score for overall talent management practice is slightly below the average. The correlation analysis result showed that there is a significant negative relationship exists between talent management practices and employees' turnover intention. Moreover, talent review process and talent deployment are found unique contributor for employees turnover intention. The study exhibited through independent samples T test that employees at core process evaluate TM practice lesser than the evaluation of support processes and they (consultants) also have higher turnover intention than employees at support staff.*

**Keywords:** Talent management, talent management components, turnover intention

## **1. Introduction**

Talent management (TM) is a relatively new concept, and it was derived from the phrase 'the war for talent', which originated in the late 1990's as a means of highlighting the problems that organizations were having in attracting and retaining talented people (Armstrong, 2006).

According to Beardwell and Claydon (2010), TM has become more important than it used to be, and it is a part of organizations' strategies to remain competitive with the best human capital resources to attain organizational effectiveness. Nevertheless, employers have to face the risk of losing their well developed employees who leave for better prospects in other organizations. To counter this problem, employers are trying their level best to come up with TM programs. Thus, an integrated approach to TM offers a pathway toward sustaining outstanding business results (Ashton & Morton, 2005) and TM can reduce turnover and employees' turnover intention (TI) in significant way since it (TM) is a necessary factor by means of which the employees become valued and involved in the affairs of the organization (Ashton & Morton, 2005; and Esmaeili, 2016).

Research outputs of Cheese, Thomas and Craig (2008), Collings and Mellahi (2009), Eva (2015), and Lee, Singram and Felix (2015) also revealed that, TM practices are identified as a basis for achieving sustained competitive advantages, through enabling them to retain talent and talented workforce. Accordingly, Ethiopian Management Institute (EMI) also functioning in this challenging and competitive environment which calls for effective TM practices.

Collings and Mellahi (2009) in their study underline that, effective TM have positive relationship with organizational performance mediated by HRM practices' outcomes such as work motivation, organizational commitment and extra-role behavior. Therefore, to enhance organizational performance, an organization should focus on TM practices by means of increasing the intention of employees to stay in the organization.

Prior researches results in different sectors, such as Girma, Erdaw and Habtamu (2015) and Mulu (2014) evidenced employees' TI is influenced by HRM activities in Ethiopian organizations. Even though those researches, conducted earlier, surely able to portrait the factors of employees' TI, as per the researcher's knowledge, there was no ample studies were found, which investigate the impact of TM practices on employees' TI, in Ethiopian context. Simultaneously, though there are plentiful researches worldwide, which focus on the relationship of TM practices and employee retention or TI, there was also a research gap in analyzing the contribution of individual TM practices towards employees' TI.

Additionally, EMI emphasized the need to have and retain competitive workforce who possess the desired talent. Even though retaining talented employees is the issue of the institute and clearly stated in the strategy document, it is not stated that how talent could be retained. In addition, employees' TI, the institute's TM practices and its outcome was not yet researched. Thus, investigating the influence of TM practices towards TI is important and, therefore, the need to conduct this research at EMI is indispensable.

As a result, this research designed in order to answer the following research questions at EMI:

- To what extent TM implemented?
- To what extent TM practices and employees' TI have relationship?
- To what extent does TM practice influence employees' TI?
- Which one of individual TM practice affects employee's TI more?
- How does employees' TI and perceived TM vary between core staffs (Consultants) and support staffs?

## **2. The relationship between TM and employees' TI**

According to the works of Du Plessis (2010), and Narayanan (2016), when perceived level of TM practices increases, TI observed in employees decreases. Accordingly, when organizations employ more TM practices, it signals an organization's interest in investing in its people and it enhances the psychological connection between organization and the employees. These psychological responses, therefore, result in lesser TI.

Researchers also interested in investigating the relationship between single TM practices and TI as they studying the level of their effect of TM practices. In this regard, effective talent review process (TRP), talent acquisition (TA), Strategy (S), talent deployment (TDP), talent engagement (TE), talent development (TD), and talent retention (TR) practices have a significant negative relationship with employees' TI (Chitsaz-Isfahani & Boustani, 2014; Kibui, Gachunga, & Namusonge, 2014; Du Plessis, 2010; and Cappelli & Keller, 2014).

## **3. The Methods**

Explanatory survey research design was employed and quantitative research method was followed to investigate the effect of TM practices on TI. The population, which was used for the research, is all 248 permanent employees and the study draws 151 sample respondents through simple random sampling technique. Subsequently, out of the 151 self-administered

questionnaires distributed, 146 workable data (97%) were used for data analysis. To address the research questions, descriptive, correlation and regression analyses was used. Finally, to test whether there is significant difference between core staff (Consultants) and support staff for both variables, independent samples T test were employed.

To measure TM practices, questionnaire developed by the Human Capital Institute (HCI) and adapted by Du Plessis, (2010) were used. To measure Employees' TI, 6 item scale of TI which was adapted from Roodt's (2004) is employed, since it is evaluated for the reliability, the factorial, criterion-predictive and differential validity and found reliable and valid in measuring employees' TI and predicting actual turnover.

#### 4. Results and discussion

##### Employees perception towards TM and their TI

Table 1: Descriptive statistics for TM and TI

Items	Mean(M)	Std. Deviation(SD)
S	3.2438	.75109
TRP	2.7795	.80060
TA	2.8493	.82964
TE	3.1041	.81273
TD	2.9589	.80650
TDP	2.8712	.90386
TR	2.4863	.76073
Overall TM	2.8990	.67988
Overall employees' TI	3.3153	.93792

*Note: N=146*

As shown from table 1, overall strategy (S) of EMI, as a component of TM practice, scored  $M=3.24$  &  $SD=.75$ . As a primary function of TM, S is not at its intended level. Accordingly, the result signaled that, the remaining components also affected and may follow the same pattern, since, as Slizer and Dowell (2010) coined, the strategy component surely demonstrate top managers' perspective towards TM practice of the institution. It is also observed that TRP scored  $M=2.78$  &  $SD=.80$ ; and it is linked with inability of the institute in segmenting its workforce based on potential, performance and value they created. The current study's result is in line with findings of Barkhuizen, Mogwere & Schutte (2014) on Sub Saharan African countries' government organizations, which gauged below average.

Based on the above statistical data, the overall TA scored  $M=2.85$  &  $SD=.83$ , and the result revealed that, the institute have a lot to do in bringing in talent to the current workforce. Besides, the overall TE score was  $M=3.10$  &  $SD=.81$ ; whereas, the overall TD scored  $M=2.96$  &  $SD=.81$ . Accordingly, it is observed that, TD and TE approaches are not fully introduced and implemented in the institute. This result is fairly similar with the study of Barkhuizen, et al. (2014) and Kekgonegile (2014).

In addition, the overall TDP in the institute scored  $M=2.87$  &  $SD=.90$  and, thus, the effective use of talent and making talented workforce productive remains challenge for the institute. The overall TR also scored far behind the midpoint with  $M= 2.49$  &  $SD=.76$ . This result is similar to the preliminary assessment of this research and the institute's strategic document, as it emphasizes the turnover of talented employees is highlighted problem.

In general, this result reflected the circumstance of African countries, for their level of TM practices, which is coined by the research of Iyria (2013), “there is nationwide weakness to manage talent, thus inefficiency of HRM practices”.

The above table (table 1) also shows that the overall TI of employees at EMI, is slightly above the average (M=3.32 & SD=.94). In this regard, it is learned that if employees at EMI offered another job with the same compensation level from other organizations, they are likely to accept. Moreover, talented people still are searching for other jobs to fulfill their personal need and it hinder to exert their effort for the institute.

### Relationship between TM and TI

Table 2: Relationship between TM TI

	TI
S	-.576**
TRP	-.632**
TA	-.564**
TE	-.637**
TD	-.628**
TDP	-.609**
TR	-.595**
Overall TM	-.722**

\*\**. Correlation is significant at the 0.01 level (2-tailed)*

*Note: N=146 and for both correlations  $p < 0.001$*

As table 2 depicts, the correlation coefficient is strong and represents statistically significant negative relationship between TE and TI ( $r = -.637$ ), TRP and TI ( $r = -.632$ ), TD and TI ( $r = -.628$ ) and TDP and TI ( $r = -.609$ ). This result is similar to the research finding of Takawira, Coetzee, & Schreuder (2014) and Kibui, Gachunga, & Namusonge (2014) who found the same relationship between the variables under study.

Table 2 further shows that, there is statistically moderate negative correlations between TR and TI ( $r = -.595$ ), S and TI ( $r = -.576$ ), and TA and TI ( $r = -.564$ ). These results are also similar with Chitsaz-Isfahani & Boustani (2014) and Kekgonegile (2014) research findings, that found employees’ TI is related with organizations’ effort towards managing their talent focusing on retention, acquisition and strategic allingment of human capital to buisness objectives.

Based on table 2, there is also statistically significant and strong negative association between overall TM and employees’ TI ( $r = -.722$ ) at EMI. Moreover, this result is found similar with the finding of Diseko (2014) who found TM practice and employees’ TI have significant negative relationship. This implies that, the lower percieved application of TM by employees highly related to the low level of their TI.

### Effect of overall TM on TI

Table 3: (Coefficients) TM as predictor to TI

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.
		B	Std. Error	Beta		
		1	(Constant)	6.201		
	TM	-.995	.080	-.722	-12.508	.000

Dependent Variable: TI

R<sup>2</sup>=.521

As shown in table 3, about 52.1% of the variance in employees' TI can be explained by TM practice of the institute. The remaining 47.9 % of the variance is explained by other variables that are not included in this study. Moreover, considering all other factors constant at zero, for every 1 (one) unit increase on TM practice, we expect .995 unit decrease in employees' TI. This implies that, as employees perceive effective TM is in place at the institute, their intention to leave the institute diminishes significantly..

**Table 4: (Coefficients) S, TRP, TA, TE, TD, TDP,TR as Predictor on TI**

Model		Unstandardized Coefficients		Standardized Coefficients	T	Sig.
		B	Std. Error	Beta		
		1	(Constant)	6.095		
	S	-.006	.122	-.005	-.048	.961
	<b>TRP</b>	<b>-.250</b>	<b>.117</b>	<b>-.213</b>	<b>-2.144</b>	<b>.034</b>
	TA	-.099	.104	-.087	-.947	.346
	TE	-.175	.127	-.152	-1.384	.168
	TD	-.120	.123	-.103	-.980	.329
	<b>TDP</b>	<b>-.201</b>	<b>.096</b>	<b>-.193</b>	<b>-2.100</b>	<b>.038</b>
	TR	-.140	.113	-.113	-1.239	.218

Dependent Variable: TI

R<sup>2</sup>=.528

As indicated in table 4, TM components all together account about 52.8% of the variance in the intention of employees for remaining within the institute or leave the institute. From this influence exerted on employees' TI, TRP and TDP have statistically unique contribution for the outcome with Beta Value of -.250 (p=.034) and -.201 (p= .038) respectively. Moreover, TRP have strongest contribution than TDP for the change in TI. Therefore, segmenting employees based on their talent, rewarding them based on their contribution, deploying talented employees on the most important jobs, matching job requirements with competencies, making transition from job to job easy, and giving opportunities for employees to do what they do best highly influence their TI significantly.

## Mean difference of Core and support staff for their perceived TM and TI

Table 5a: T-test for Talent Management and Business Unit  
Group Statistics: TM and business unit)

	Business unit classification	N	M	SD
TM	Core staff (Consultants)	50	2.5703	.66100
	Support staff	96	3.0702	.62742

Table 5b: T-test for Equality of Means for TM

		T	df	Sig. (2-tailed)
TM	Equal variances assumed	-4.486	144	.000
	Equal variances not assumed	-4.412	94.989	.000

As we seen in table 5a and 5b, there is a statistically significant ( $p < .001$ ) mean difference between the core staff ( $M=2.57$ ,  $SD=.66$ ) and support staffs ( $M=3.07$ ,  $SD=.63$ ) for perceived TM practice in EMI. Such statistical evidence support the model developed by Collings and Mellahi (2009); which promotes the “differentiated HR Architecture” concept. According to Collings and Mellahi (2009), HR systems are unlikely to be appropriate in all situations but rather depend on the uniqueness of the human capital and job positions.

Table 6a: T-test for Turnover Intention and Business Unit  
(Group Statistics: TI and business unit)

	Business unit classification	N	M	SD
TI	Core staff (Consultants)	50	3.5367	.83619
	Support staff	96	3.1999	.97098

Table 6b: T-test for Equality of Means for TI

		T	df	Sig. (2-tailed)
TI	Equal variances assumed	2.082	144	.039
	Equal variances not assumed	2.182	113.195	.031

The above table (table 6a and 6b) illustrates that, there is statistically significant ( $p < .05$ ) mean difference between the core staff ( $M=3.54$ ,  $SD=.84$ ) and support staffs ( $M=3.20$ ,  $SD=.97$ ) in their intention to leave the institute. In consequence, the fact that the lesser evaluation of TM practices by core staff (consultants) than support staff results the higher employees’ TI than the support staff.

## 5. Conclusion and Recommendation

### 5.1. Conclusions

Implementing and practicing the strategic intent towards managing talent on the ground is overlooked; and TRP is also not yet fully practiced at EMI. Furthermore, HR practices to bring new talent and to hunt best minds from the market is not at the intended level.

In deploying talented employees, there are limitations on job to job transition and letting best people focus on the most important activities (strategic issues) in EMI. Thus, EMI has limitations on utilizing talented employees towards achieving organizational objectives.

Moreover, the institute is not in a position to retain its best performers. In general, from the descriptive analysis result, it can be concluded as, TM practices are not fully implemented and practiced in EMI with the aim of retaining talented employees.

This study evidenced that, the institute's effort to manage talent and talented employees is highly associated with employees' intention to leave or stay in the institute. Furthermore, the high turnover and turnover intention of employees', at EMI, is highly related to its TM practices. Additionally, this result calls for the introduction of different HR architecture in the institute for core staff (consultants) and support staff, since the TM practice does not satisfied core staff compared to support staff. As well, it is learned that, TI of core staff is higher than support staff, which signaled talented employees in the core process have higher probability in leaving the institute when compared to support staff.

## **5.2. Recommendations**

- Since significant improvement in the practice of TM will lead to significant decrease in employees' TI; if more effort exerted towards in segmentation and identification of who the best performers are in the institute and rewarded according to their contribution, developing majority of talent internally, making best people to focus on the most important jobs, matching employee's competencies with job requirements, giving employees opportunity to do what they do best, and facilitating smooth transitions from job to job within the institute will possibly lead decreased employees' TI. Thus, if there is a need to prioritized TM practices for immediate result, the institute can possibly direct its efforts towards TRP and TDP.
- Furthermore, to treat separately the core (consultants) and support staff towards their TI and perceived TM practice, the following process is recommended.
  - a) First, EMI need to establish TM system; and, the starting point for the system should be the systematic identification of the key positions which differently contribute to the strategic objective.
  - b) Then, EMI must strive to develop a talent pool of high potential and high performing employees to fill those identified roles.
  - c) Afterward, there must be differentiated HR architecture along with policies in place to facilitate the proper flow of competent incumbents for filling key positions within the institute.
  - d) Those different HR practices to manage talent properly must be identified with extra study, considering the nature of the institute and its environment; therefore the institute should follow the contingent school/ approach of HRM.

## **Future Research Directions**

- Researchers may consider other HR outcomes as dependent variable, such as, job satisfaction, organizational commitment and motivation.

- Future researches may consider organizational outcomes as dependent variable such as, organizational performance with HR outcomes as mediating variable.
- Finally, since there is lack of theoretical grounds and models in conceptualizing TM and its relationship with other variables, researches should focus at model specification and theory development.

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# **Inter-Organizational Coordination towards Youth Employment: The Case of Addis Ababa City Administration**

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## **Abstract**

*Youth unemployment is among the challenges in urban centers of Ethiopia that requires coordination among various actors. This study assessed the practice in using certain coordination mechanisms and instruments and their effectiveness in enhancing youth employment in the case of the Addis Ababa City Administration. In assessing the practice, three coordination mechanisms as well as 16 coordination instruments were considered. This study also analyzed the effect of the degree of practice in using the coordination mechanisms on the degree of effectiveness of those mechanisms. To meet the objectives, primary data that were obtained from 230 properly-filled questionnaires by respondents drawn from 16 government entities (Bureaus, Sub-city-level offices and TVET colleges) were analyzed. Certain findings are drawn based on the results. First, the practice in using the coordination instruments under the hierarchy-type, market-type and the network-type mechanisms as well as the effectiveness of the coordination instruments generally ranged from medium to low/very low. Second, the effect of the degree of practice on the degree of effectiveness is found to be positive and significant. Nevertheless, further research that controls for other determinants of effectiveness is required. The overall conclusion is that urban youth employment coordination in the study area is not strong (i.e., there is coordinating problem). As a result, the effectiveness of the coordination instruments has also been limited. To address the coordination problem, certain courses of action are recommended.*

**Key words:** Inter-organizational coordination, youth employment, coordination mechanisms, coordination instruments, coordination effectiveness.

## **1. Introduction**

Youth unemployment is among the challenges in sub-Saharan Africa as well as in urban centers of Ethiopia. A recent report (Africa, 2017) indicated that "youth unemployment across sub-Saharan Africa is four times higher than the region's aggregate unemployment level" (p. 31). Addressing this problem requires effective coordination among various actors. Youth unemployment continues to be a growing concern because Sub-Saharan Africa is largely dominated by the young population and the incidence of migration of the youth (mainly the male youth) from rural to urban area is very high (Sommers, 2010). The youth population (aged 15–24) in sub-Saharan Africa, which constitutes about 20% of the world youth population, is increasing rapidly and will continue to grow at an estimated rate of 42% by 2030 (UN, 2015).

There are at least two views concerning the growing youth population in Sub-Saharan Africa. On the one hand, it is believed that the youthfulness of the continent bears great economic opportunities for Africa (AFDB, 2016) if enough jobs were created for the youth. Nevertheless, youth unemployment among the educated urban youth in the formal sector as well as underemployment in the informal sector is high (Ismail, 2016). Overall, it is argued that "Africa is not creating enough jobs to absorb the young people entering the labour market each year" (Phororo, 2013, p. 3). On the other hand, it is argued that high concentration of unemployed and underemployed youth in urban areas is also likely to be a source of conflict and political instability that comes from the inability of the youth to get adequate jobs and to fulfill the qualification requirements of the formal sector (Sommers, 2010). In a similar vein, the African Development Bank (AfDB) argued that leaving the issue of youth unemployment and underemployment aside increases violence and instability (AFDB, 2016). Currently, job creation and the reduction in youth unemployment are, therefore, among the priority agendas in Africa. For example, the "Youth Decade Plan of Action" of the African Union, (2009-2018) targeted the reduction of youth unemployment by two per cent each year. The AfDB has taken youth employment as one of its priority areas and adopted the 'Jobs for Youth in Africa strategy' (AFDB, 2016).

Similar to the situation in sub-Saharan Africa, the Ethiopian population is dominated by young people and children. In Addis Ababa, the 2014 urban employment/unemployment survey indicated that out of the 3,201,662 people in the city, the youth (i.e., 15-24 years of age) amounts to nearly 25% out of whom 37% are employed, 17% are unemployed and 46% are economically not active (CSA, 2014). However, large proportions of the youth have been either unemployed or have been engaged in temporary low-paying economic activities in the informal sector. Hence, youth unemployment is being recognized as the driving force for the current political unrest in Ethiopia.

Apart from policy interventions such as the introduction of the 2009 National Employment Policy and Strategy (MoLSA, 2009), the Education and Training Policy of Ethiopia (FDRE, 1994), and the National Technical and Vocational Education and Training (TVET) Strategy (MoE, 2008), the Ethiopian government has established a 10-Billion Birr fund for youth employment in response to this pressing challenge of youth unemployment.

The difficult task of creating jobs to the youth in Ethiopia as well as elsewhere in Africa, nevertheless, necessitates coordination among various actors, which is referred in this paper as 'youth employment coordination'. Following Phororo (2013), the concept 'youth employment coordination' is understood in this paper as "the consolidation of all the various efforts to address youth employment, so that the combined outcomes will have a greater impact on reducing youth unemployment rates versus the separate efforts, which will not have the intended impact." (p.1). Though coordination is not a new issue in public administration

for centuries, the emphasis on this issue has escalated in the past few decades (Bouckaert, Peters, & Koen, 2010). This is because governments have increasingly created specialized agencies that specialize on addressing specific issues or problems or that provide specific services. However, social, economic, political and environmental problems have become so complicated over time that agencies cannot function properly or provide services effectively without coordinating with other agencies. Thus, there is a shift towards more coordination through different mechanisms and instruments (Bouckaert et al., 2010). In the context of the public sector, the need for horizontal co-ordination among public organizations is emphasized (Peters, 1998). Though the term 'coordination' is attractive in words and easy to write on paper, its implementation or realization is far from being easy. In fact, the coordination problem is believed to have been one of the oldest challenges to the public sector. It is argued that coordination failures often emanate from “the lack of careful consideration of how the policy reform implementation effort is or should be organized” (Crosby, 1996, p. 1403). Therefore, the issue of youth employment coordination is an important topic for applied research.

Taking the coordination problem as the research problem, this study assessed the practice in using certain coordination mechanisms and instruments and their effectiveness in enhancing youth employment in Ethiopia with special reference to in the case of the Addis Ababa City Administration. It also analyzed the cause-and-effect relationship between the degree of practice and the degree of effectiveness.

Despite the impressive achievements in economic growth and employment creation in absolute terms, enough jobs have not been supplied relative to the growing number of the youth in urban areas of Ethiopia. As a result, a growing number of unemployed youth has been concentrating in the regional capitals and mainly in Addis Ababa. In the Addis Ababa City Administration, creating enough jobs for the youth is beyond the mandate and capacity of a single entity such as the Bureau of Labour and Social Affairs or that of the Bureau of TVET. The various organizations in the Addis Ababa City Administration are also expected to coordinate their activities towards the enhancement of youth employment: Bureau of TVET, Bureau of Labour and Social Affairs, Bureau of Trade, Bureau of Youth and Sports, Bureau of MSEs Development, Addis Credit and Savings, etc. Nevertheless, lack of coordination is likely to be a major source of the youth unemployment problem.

Different studies that were conducted on the issue of youth employment and unemployment emphasized the description or analysis of the labour market, youth employment policy interventions and policy implementation (Betcherman & Khan, 2015; Haji, 2007; Islam, 2014; Omolo, 2012); on challenges and strategies of youth employment (Dekker & Hollander, 2017); and, the social implications or dimensions of youth employment creation. Those studies that focused on Ethiopia described the main characteristics of the youth labour market and youth unemployment in Ethiopia (Broussard & Tekleselassie, 2012) and analyzed the role

of microenterprises in socioeconomic development of the youth (Kidane, Mulugeta, Adera, Yimam, & Molla, 2015a, 2015b). Nevertheless, none of the aforementioned studies investigated the issue of coordination as an instrument to enhance youth employment.

It can be argued, therefore, that the practice so far in using various youth employment coordination mechanisms and instruments as well as their effectiveness in enhancing youth employment has not been systematically investigated in sub-Saharan Africa in general and in Ethiopia in particular. Hence, this paper aims to contribute in filling this gap by attempting to answer the following research questions:

- 1) What is the degree of practice in using different youth employment coordination mechanisms and instruments in the Addis Ababa City Administration?
- 2) To what extent are the youth employment coordination mechanisms and instruments effective in enhancing youth employment in the study area?
- 3) What is the effect of the degree of practice in using the coordination mechanisms on the degree of effectiveness of those mechanisms?

This study is delimited to the assessment of coordination towards youth employment. However, it does not deal with an assessment of the trend in as well as the causes and effects employment/unemployment. The geographic scope of this study is limited to the Addis Ababa City Administration due to limited financial resources. Time-wise, this research relies on primary data that was collected in summer 2017 (i.e., June - August).

The general objective of the study is to analyze the practice of youth employment coordination in the public sector and propose solutions that help enhance coordination among public sector organizations. Specific objectives of the study are:

- 1) To describe the practice in using different youth employment coordination mechanisms and instruments in Addis Ababa City Administration.
- 2) To evaluate the extent to which the youth employment coordination mechanisms and instruments have been effective in enhancing youth employment coordination in the study area.
- 3) To analyze the effect of the degree of practice in using the coordination mechanisms on the degree of effectiveness of those mechanisms.

Empirical research on youth employment coordination in the context of developing countries is limited. Therefore, this study would contribute to the empirical literature by providing fresh evidence pertinent to youth employment coordination in a developing country context as well as propose solutions that can help enhance youth employment coordination. However, this study has its own limitations. The major limitation emanates from the fact that the geographic scope of the study (i.e., the Addis Ababa City) due to financial and time constraints limits the generalizability of the findings to the broader context in Ethiopia and Africa. Nevertheless, this study could serve as a stepping stone for a large-scale study at a later stage and provide some insight regarding coordination problem in the country as Addis Ababa is the most urbanized center in the country.

## **2. Review of the Related Literature**

### **2.1 The meaning of coordination: a multidimensional concept**

Bouckaert et al. (2010, citing Alexander, 1995) indicated that the term coordination has multifaceted aspects. For instance, coordination can be seen both as a process and as an outcome. Bouckaert et al. (2010, citing Hall et al. 1976) also indicated that there are some definition of coordination in the policy and administration literature. Drawing on different literatures (Metcalf 1994; Peters 1998, Alexander 1995; Thompson 1967), Bouckaert et al. (2010, p. 16) defined coordination in the context of the public sector as "the instruments and mechanisms that aim to enhance the voluntary or forced alignment of tasks and efforts of organizations within the public sector".

Based on a review of various literatures (Schermerhorn, 1975; Rogers and Whetten 1985; Mintzberg, 1979; Galbraith, 1977), Geert et al. (2010) differentiated between different terminologies: cooperation, collaboration, coordination and integration. While cooperation is defined as "a more temporary and informal means of creating relationships among organizations for mutual benefit" (pp. 16-17), collaboration understood as a normative voluntary agreement to work together. Coordination and integration are regarded as involving more formal structures and procedures though integration could be more radical than coordination that may involve joint ventures and mergers.

Brinkerhoff (1996) also indicated that coordination could be administrative or technical (citing Alter and Hage, 1993); formal or informal (citing Chisholm, 1989); and, control-oriented or assistance-oriented (citing Leonard and Marshall, 1982; Miller, 1992).

### **2.2 The coordination problem**

Geert et al. (2010) stated that the specialization or division of responsibilities among public organizations creates a coordination problem. It is argued that "the many organizations existing in government create problems of coordination and coherence, and those coordination problems are very troubling for political leaders" (pp. 13-14). The coordination problem occurs because one organization may either not have information about the plans and actions of other organization or may be less interested to have such information. Peters (1998) categorized the coordination problem into three: redundancy, lacunae, and incoherence: (a) redundancy: "when two organizations perform the same task" (p. 303); (b) lacunae: "when no organization performs a necessary task" (p. 303); and, (c) incoherence: "when policies with the same clients (including the entire society as the clients) have different goals and requirements" (p. 303).

### **2.3 Mechanisms of coordination**

In an earlier work, Grandori (1997) provided a description of coordination mechanisms: market (price mechanisms, gaming and negotiation); voting; hierarchy and authority relations

(centralization and control); agency relations (decentralization); and, institutionalization of rules and norms. Drawing on different literatures (Thompson et al. 1991; O'Toole 1997; Kaufmann et al. 1986, Peeters, 2003), Bouckaert et al. (2010, p. 35) provided a more consolidated description of the mechanisms for coordination as a generic analytic tool in the public sector: hierarchy, markets and network. The Hierarchy-type Mechanism (HTM) is defined as a top-down approach to coordination that necessitates the use of legitimate authority and power through the use of law, budgets and coercion as resources for coordination. In the context of the public sector, the Market-type Mechanism (MTM) is understood as involving the creation of incentives (e.g., performance-based incentives) to enhance the performance of public organizations through bargaining and information. The Network-type Mechanism (NTM) is conceptualized as involving the “search for the establishment of common knowledge, common values and common strategies between partners” (pp.49-50) with the help of resources such as information, norms, mutual cooptation and bargaining.

#### **2.4 Instruments of coordination for HTM, MTM and NTM**

Based on an analysis of how youth employment was coordinated in East Africa (with special emphasis on Rwanda, Uganda, Tanzania and Kenya) and specific case studies (South Korea and Burkina Faso), Phororo (2013), developed a model for integrated youth employment coordination at all levels (from national to local). This model suggests certain youth employment coordination elements and structures: (a) the mainstreaming of youth employment in national development plans; (b) the allocation of budgets for employment targets and interventions; (c) the design and implementation of youth employment programmes at local and regional levels; and, (d) the creation of structures at national, regional and local levels with some roles such as the identification, mapping and monitoring of youth employment targets and programmes as well as the collection and compilation of labour market information. Nevertheless, this model is not rigorous enough in indicating the specific coordination mechanisms and instruments that can be utilized to ensure youth employment coordination. Various instruments under the three mechanisms, (i.e., Hierarchy-type, Market-type and Network-type) are proposed by Bouckaert et al. (2010, pp. 52-54). Table 1 summarized the instruments with respect to the three mechanisms.

Table 1: Instruments of coordination for HTM, MTM and NTM

Instrument	HTM	MTM	NTM
<b>A. Management instruments:</b>			
Description	Top-down management, systems, inter-organizational learning, procedural instruments, etc.	Incentive systems, inter-organizational learning	Bottom-up and interactive strategic management for information exchange and consolidation, inter-organizational learning, procedural instruments, etc.
Source of coordination capacity (resources)	Authority, power, bargaining, information, norms, mutual cooperation	Bargaining, Information, norms, mutual cooperation	Bargaining, information, norms, mutual cooperation
<b>B. Structural instruments:</b>			
Description	Reshuffling of competencies: organizational merger or splits; centralization (decentralization)	Market regulation	Systems for information exchange, Advisory bodies and consultative/deliberative bodies, Entities for collective decision-making, Common organizations (partnership organization), Chain-management structures
Source of coordination capacity (resources)	Authority, power	Authority, bargaining information	Bargaining, information, mutual cooperation, norms

*Source:* Adopted from Bouckaert et al. (2010, pp. 52-54).

## 2.5 Empirical literature

Empirical literature on youth employment coordination is scanty. Hence, this sub-section provides a summary of three empirical studies on the topic of coordination in general. Jennings & Krane (1994) carried out a study that assessed coordination in the implementation of a welfare program known as ‘the Job Opportunities and Basic Skills (JOBS) Program’ that was introduced as part of the Family Support Act in 1988. The researchers assessed the coordination practices of managers in implementing the program and identified the barriers to coordination. At the state level, planning, contracting (from one state department to another), and interagency agreement facilitated coordination through information sharing and the recognition of each agency’s contribution. Among the main factors that contributed to effective coordination in program implementation are interpersonal (informal) relationships and the presence of committed leadership. At the local-level, the study reported that the strength of coordination among different agencies varied from community to community (i.e.,

from strong to almost non-existent linkages). Hence, despite formal legislative requirements for coordination, coordination was not guaranteed. To improve the effectiveness of coordination, the respondents suggested some instruments. For example, they suggested: (a) the creation of one-stop shopping arrangements; (b) systems for information sharing (i.e., on-line computer access); (c) giving incentives and nonfinancial recognition for successful collaboration; (d) reducing requirements for targeting and allowing more effort to be devoted to volunteer participants; and, (e) placing greater reliance on employment service estimates of labor market demands” (Jennings & Krane, 1994, p. 345).

Brinkerhoff (1996) analyzed coordination issues in policy implementation networks by illustrating Madagascar's Environmental Action Plan (NEAP). This study indicated that the NEAP sought using hierarchical coordination mechanisms. The main ones are: (a) the centralization of the oversight function by mandating the National Office of Environment to carry out this coordination function; (b) the development of interagency information systems; (c) coordination of the financing from donor through a Multi-donor secretariat.

Concerning the issue of how youth employment is being coordinated in East Africa, an ILO study (Phororo, 2013) indicated that Rwanda, Tanzania and Uganda developed youth employment policies while Rwanda, Tanzania and Kenya also developed National Action Plans for youth employment. Though there was lack of clarity in the policies and plans as to how the task of coordination will be carried out, some of the coordination mechanisms that were stipulated in the policies and plans are: (a) assigning a specific Ministry to mainstream youth employment into national economic policies or to oversee plan implementation (Rwanda, Kenya); (b) requiring the establishment of a steering committee to carryout coordination (Rwanda, Uganda); and, (c) necessitating the establishment of a national youth employment council (Tanzania and Uganda).

## **2.6 Operationalization (conceptual framework)**

Based on the review of the literature and a consideration to the study context, the concepts that are used in this study are operationally defined as follows:

- **Inter-organizational coordination:** a process in which public sector organizations in the Addis Ababa City Administration are organized to work together coherently and minimize redundancy, lacunae and contradictions by using coordination mechanisms and instruments towards to increase youth employment.
- **Coordination mechanisms:** the broader approaches that are used by the Addis Ababa City Administration government to create a favorable environment for public sector organizations to work together to reduce youth unemployment.
- **Hierarchy-Type-Mechanism (HTM):** the use of consciously designed and controlled top-down norms and standards, supervisions, inspections and other interventions under the authority and dominance of the city administration.

- **Market-Type-Mechanism (MTM):** outsourcing some youth employment support services to the private sector to enhance youth employment by (i.e., public-private-partnership).
- **Network-Type-Mechanism (NTM):** the use of shared values, common problem analyses, consensus, loyalty, reciprocity, mutual cooptation, trust, informal evaluation to achieve consciously designed purposes or spontaneously created results.
- **Coordination instruments:** specific tools or arrangements that are used to translate the coordination mechanisms into action to bring about inter-organizational coordination.
- **Coordination practice:** the extent to which the organizations used the coordination mechanisms and instruments to enhance youth employment.
- **Effectiveness of coordination mechanisms and instruments:** the extent to which the coordination mechanisms and instruments have been effective in ensuring youth employment (as measured by the perceptions of the respondents, measured on a five-point Likert scale that is ordered from very high to very low).

The proposed coordination instruments are summarized in Table 2.

Table 2: Potential coordination instruments under HTM, MTM and NTM

Mechanism	Potential youth employment coordination instruments
HTM	The Addis Ababa City Administration Council; the Office of the Mayor of the City Administration; and, the Office of the General Manager of the City Administration.
MTM	Outsourcing some activities or youth employment support services to the private sector (e.g., registration of unemployed youth; providing information on available employment opportunities; individual and group psychological guidance and counseling; vocational guidance and employment advisory service; occupational and life skill development; linking the unemployed youth with employers through job fairs and other links; and, training institutions, etc).
NTM	Memorandum of understanding; joint strategic and annual planning; pooling financial resources; consultative workshops/meetings; common organization (committee, team, office); joint supervision; monitoring and evaluation; jointly managing projects and finance; provision of support services through one-stop-shopping arrangements; and, systems for information sharing.

*Source:* Developed by author based on Bouckaert et al. (2010, pp. 52-54).and taking into account the context in the study area.

### 3. The Methods

This research is a cross-sectional descriptive and explanatory research that employs quantitative data that was obtained by conducting a survey. This research employed primary data that were obtained by administering questionnaires to middle-level and lower-level

managers and experts at various levels that were believed (by the respective sample organizations) to have the necessary information concerning the research topic.

Seven Bureaus that are involved in youth employment were purposively included in the sample: Bureau of Labour and Social Affairs; Bureau of MSEs Development; Bureau of TVET; Bureau of Women and Children Affairs; Bureau of Youth and Sports; Bureau of Industry Development; and, Addis Credit and Savings. Out of the 10 sub-cities of the Addis Ababa City Administration, five Sub-cities were included in the sample on the basis of convenience sampling (i.e., convenience to data collectors): Arada, Bole, Gulele, Kirkos and Yeka. Within the five sample Sub-cities, five offices were purposively selected: TVET, MSEs, Trade, Labour and Social Affairs and Youth and Sports. These entities were selected purposively because they deal with youth employment issues due to their mandates: linking the youth with employers; organizing the youth for self-employment; providing short-term trainings; providing working and selling spaces; providing trade license; etc.

The selection of the questionnaire respondents was non-random/purposive (i.e., in relation to their engagement in youth employment and coordination). Furthermore, the sample contained four sample TVET colleges as TVET institutions/colleges are also expected to provide skills as well as work in collaboration with other bureaus and Sub-cities towards youth employment creation. In total, 340 questionnaires were distributed while 230 were properly filled and returned, yielding 67.7% response rate. Out of the returned questionnaires, 66 (28.7%) were from the city-level entities; 120 (52.2%) were from the five sub-cities; and, 44 (19.1%) were from the TVET Colleges.

In analyzing the primary data pertinent to the first and the second research questions, descriptive statistics (tables, charts, percentages, mean and median) as well as test of proportions (Z-test) were used. Concerning the third research question, Factor Analysis (Principal-Component-Analysis) was carried out to test if the variables that are included in the questionnaire really measured the factors. Furthermore, tests of hypothesis concerning association/correlation and ordinal regression analysis were carried out in analyzing the effect of the degree of practice on the degree of effectiveness of the coordination mechanisms. Three regression models were developed, one for each mechanism:

$$HTM\_Effectiveness = B_0 + B_1HTM\_Practice + error\ term \dots\dots\dots(2)$$

$$MTM\_Effectiveness = B_0 + B_1MTM\_Practice + error\ term \dots\dots\dots(3)$$

$$NTM\_Effectiveness = B_0 + B_1NTM\_Practice + error\ term \dots\dots\dots(4)$$

**4. Results and Discussion**

This section presents the results with respect to the research questions as well as discussion/interpretation of the results. The reliability test statistics (Chronbach's Alpha) for the question items (variables) measuring the degree of practice under the HTM and NTM are:

0.891 and 0.912, respectively. For the degree of effectiveness under the HTM and NTM, the reliability test statistics are 0.923 and 0.957, respectively. Hence, the instrument is reliable.

#### **4.1 Description of respondents' characteristics**

From among the 230 respondents, 24.3% are females and 70.4% are males while the remaining 5.2% are missing values. In terms of job position, 63.5% are in expert; 13% are in middle-level management; 9.6% are in lower-level management; and, 2.6% are in top management positions. The remaining 11.3% are missing values. In terms of education level, 63.5% are bachelor degree holders; 17.4% are master's holders; 7.8% diploma/TVET level certificate holders; and, 1.7% are PhD holders. The remaining (9.6%) are missing values. The average age of the sample respondents is 35.7 years; the average work experience in government is 13.4 years; and, average work experience in leadership/managerial position is 3.6 years.

#### **4.2 The practice in using HTM, MTM and NTM and their instruments**

##### **4.2.1 The practice in using HTM and instruments**

The results concerning the degree of practice in using the hierarchy-type coordination mechanism (HTM) are presented in Table 4. The results indicate that the role played by the Council of the City Administration, the Mayor's Office and the General Manager's Office in coordinating various sectors to enhance youth employment has been average (medium). This is because the Z-values (i.e., in comparing very low+low with high+very high) are all less than 1.96 and the median values for all the three instruments is equal to three, which is medium.

These results (Table 3) point out that the Addis Ababa City Administration Council, the Mayor's Office and The General Manager's Office have made some effort to coordinate different sectors to enhance youth employment but this practice is perceived to be somewhat moderate but not high or very high. In light of the literature (Bouckaert et al., 2010), the findings indicate that the high-level bodies of the City Administration are not adequately using their authoritative power and dominance through top-down norms and standards, routines, supervision, inspection and intervention. That is, they are not adequately playing their role as top-down rule makers and steerers and controllers of the actors under their control. Hence, in the absence of strong coordination by the higher governing bodies of the city administration, youth employment creation is likely to be subjected to less coordinated and fragmented (partial) efforts by individual organizations. Furthermore, the effort made by individual organizations is likely to depend on the will and strength of the top leadership as well as the middle-level management of the individual organizations in the city administration.

Table 3: Implementation status of instruments under the HTM (n=230)

Question item: the extent to which ...	VL+L (a)		Medium (b)		H+VH (c)		Z-test and Median (M)
	F	%	f	%	F	%	
The Addis Ababa City Administration Council has been coordinating various sectors to enhance youth employment is: (missing=6)	68	29.6	88	38.3	68	29.6	Z=0; M=3
The Office of the Mayor of the City Administration has been coordinating various sectors to enhance youth employment is: (missing=4)	72	26.1	92	40.0	74	32.2	Z=-0.81; M=3
The Office of the General Manager of the City Administration has been coordinating various sectors to enhance youth employment is: (missing=8)	72	31.3	88	38.3	62	27.0	Z=0.54; M=3

*Source:* Own field survey (2017).

*Note:* VL=Very Low, L=Low, H=High and VH=Very High. In the Z-test, Ho: P1=P2, where P1=VL+L and P2=H+VH; Z</1.96/ implies that P1=P2; Z>/1.96/ implies that P1>P2.

#### 4.2.2 The practice in using MTM and instruments

From among the 230 respondents, 108 (47%) rated the degree of practice in using the MTM (i.e., outsourcing some activities or youth employment support services to the private sector) as low or very low; 78 (33.9%) rated it as medium; and, 44(19%) rated it as high or very high. As Z=3.2 and the median value is equal to 3, the degree of practice in outsourcing some of the youth employment support services to the private sector varies from medium to Low/Very Low. In light of the literature (Bouckaert et al., 2010), this finding points out that the City Administration is not taking advantage of market mechanisms (i.e., price and competition) towards more efficient provision of some youth employment services.

In the absence of such strong public-private-partnership in enhancing youth employment through the provision of efficient and effective employment support services to the youth, the government is likely to face all the challenges and burdens in providing such support services (e.g., registration of unemployed youth; providing information on available employment opportunities; individual and group psychological guidance and counseling; vocational guidance and employment advisory service; occupational and life skill development; linking the unemployed youth with employers through job fairs and other links; and, training institutions, etc). Yet, most government organizations (if not all) tend to be inefficient in providing such youth employment support services.

### **4.2.3 The practice in using NTM and instruments**

To measure the degree of practice in implementing the coordination instruments under the NTM, 11 question items were included in the questionnaire. Table 4 indicates some results. First, the practice in using seven out of the 11 coordination instruments is generally medium (i.e.,  $Z < 1.96$  and Median=3). These instruments are (a) the signing of memorandum of understanding among various organizations; (b) joint strategic planning; (c) joint annual/operational planning; (d) joint periodic consultative meetings/workshops; (e) the provision of support services to the youth through one-stop-shopping arrangements; (f) creation and use of systems for information sharing; and, (g) creation of common organization (joint committee, team, office, etc). This shows that the cross-cutting nature of youth employment creation and hence the need for coordinated effort is not well recognized by the many government agencies. In the absence of at least a memorandum of understanding to work together towards better youth employment, organizations are less likely to sit and work together at the strategic and annual planning stages as well as to conduct periodic consultative meetings or workshops. In fact, government organizations (bureaus) in the City Administration are attempting to provide one-stop-shopping employment-related services to the youth. However, perceptions of the respondents indicate that this service is not adequate.

Second, the practice in using two other coordination instruments under the NTM (i.e., the joint supervisions and joint monitoring and evaluation of youth employment activities) ranges from Medium to Low/very Low (i.e.,  $Z > 1.96$  and median=3). This finding is not surprising because whether the practice of joint planning is moderate, the practice of jointly supervising, monitoring and evaluating youth employment activities is likely to be either moderate or low/very low. The low/very low practice is likely to be true because even if organizations agree to do joint supervisions as well as joint monitoring and evaluation activities at the planning stage, they may not adequately practice these instruments at the implementation stage due to lack of commitment to strictly follow what is written in the plans.

Finally, when it comes to the practice in pooling financial resources to work together on youth employment as well as in jointly managing youth employment projects and finance, the practice is generally low (i.e., median<3, which is below average). This finding is not surprising as well because in reality government organizations in the Ethiopian case in general tend to design projects and prepare and utilize budgets independently rather than designing joint projects and pooling financial resources for common activities/projects.

Table 4: The practice in using coordination instruments under the NTM (n=230)

Question item: the extent to which ...	VL+L		Medium		H+VH		Z-test & Median (M)
	F	%	f	%	f	%	
The signing of Memorandum of Understanding has been practiced by various actors is: (missing=4)	76	33.	92	40.	5	25.	Z=0.98 M=3
Joint strategic planning has been practiced by various actors is: (missing=2)	82	35.	74	32.	7	31.	Z=0.58; M=3
Joint annual/operational planning has been practiced by various actors is: (missing=2)	74	32.	98	42.	5	24.	Z=0.99; M=3
The various actors have pooled financial resources to work together on youth employment is (missing=100):	66	28.	34	14.	3	13.	Z=1.67; M=2
Joint periodic consultative meetings/workshops have been conducted by various actors is: (missing=0)	82	35.	76	33.	7	31.	Z=0.58; M=3
Joint supervisions have been carried out by various actors is: (missing=0)	88	38.	114	49.	2	12.	Z=2.58 M=3
Joint monitoring and evaluation have been practiced by various actors is: (missing=0)	94	40.	86	37.	5	21.	Z=2.31 M=3
Various actors jointly managed youth employment projects and finance is: (missing=6)	116	50.	80	34.	2	12.	Z=3.66; M=2
Various actors provide support services to the youth through one-stop-shopping arrangements is: (missing=0)	80	34.	98	42.	5	22.	Z=1.49 M=3
Various actors have created and used systems for information sharing is: (missing=4)	70	30.	82	35.	7	32.	Z=-0.23 M=3
Various actors have created common organization (joint committee, team, office, etc) is: (missing=0)	72	31.	98	42.	6	26.	Z=0.66 M=3

Source: Own field survey, 2017.

Overall, the advantage that can be obtained through bargaining, mutual cooperation and solidarity and information sharing among various public organizations through shared objectives, values and agreed upon mechanisms and instruments is not being fully realized. Unlike the findings of the empirical study by Jennings & Krane (1994) on the implementation of a welfare program (see literature review) in the USA, intra-organizational coordination to enhance urban youth employment in the Addis Ababa City Administration is in its early stage

and requires further strengthening. As indicated by Peters (1998), the moderate but not strong enough Network-type intra-organizational coordination among various public sector organizations is highly likely to create the coordination problem: redundancy, lacunae and incoherence.

### 4.3 Effectiveness of youth employment coordination instruments

#### 4.3.1 Effectiveness of instruments under the HTM

In measuring the effectiveness of hierarchy-type mechanisms, results (Table 5) show that while the effectiveness of the City Council and The Mayor's Office has been generally rated by the respondents as medium (i.e.,  $Z < 1.96$  and median=3), the respondents rating concerning the effectiveness of the General Manager's Office as coordinating instrument ranged from medium (Median=3) to Low/Very Low (i.e.,  $Z > 1.96$ ).

Table 5: The practice in using coordination instruments under the MTM (n=230)

Question item: effectiveness of ...	VL+L (a) %	Medium (b) %	H+VH (c) %	Z-test; Median (M)
The Addis Ababa City Administration Council as a coordination instrument is: (missing=8)	34.6	38.1	23.4	Z=1.39 M=3
The Office of the Mayor as a coordination instrument: (missing=6)	29.4	42.4	25.1	Z=0.54 M=3
The General Manager's Office as a coordination instrument: (missing=10)	37.2	39	19	Z=2.12 M=3

Source: Own field survey, 2017.

#### 4.3.2 Effectiveness of instruments under the MTM

From among the 230 respondents, 45.9% rated the effectiveness of the practice of outsourcing some youth employment support services to the private sector (MTM) as low or very low; 35.5% rated it as medium; and, 17.3% rated it s high or very high (0.01% are missing). Overall, the degree of effectiveness is rated from medium to Low/Very Low ( $Z=3.17$ , median=3).

#### 4.3.3 Effectiveness of instruments under the NTM

Concerning the effectiveness of the coordination instruments under the NTM, Table 6 shows two results. First, the respondents have dominantly rated the effectiveness of eight instruments as Medium (Median=3) to Low/Very Low ( $Z > 1.96$ ), but not High/Very High. These instruments are: (a) the signing of Memorandum of Understanding; (b) joint strategic planning; (c) joint annual/operational planning; (d) joint pooling of financial resources; (e) joint periodic meetings/consultative workshops; (f) joint supervisions; (g) joint monitoring and evaluation; and, (h) jointly managing youth employment projects and finance. Second, the respondents have, dominantly (on average) rated the effectiveness of three instruments (i.e.,

providing support services to the youth through one-stop-shopping arrangements, creating and using systems for information sharing as well as creating common organization) as medium (i.e., Median=3,  $Z < 1.96$ ).

Table 6: Effectiveness of instruments under the NTM in enhancing youth employment (n=230)

Question item: the effectiveness of ...	VL+	Mediu	H+VH	Z-test; Median (M)
	L	m		
	%	%	%	
The signing of Memorandum of Understanding: (missing=6)	38.1	39.8	19	Z=2.2, M=3
Joint strategic planning: (missing=4)	40.7	35.5	21.6	Z=2.3, M=3
Joint annual/operational planning: (missing=2)	40.7	39	19	Z=2.5, M=3
Joint pooling of financial resources by the various institutions: (missing=4)	47.6	29.4	20.8	Z=3.2, M=3
Joint periodic meetings/consultative workshops: (missing=2)	40.7	32.9	25.1	Z=1.96, M=3
Joint supervisions: (missing=2)	44.2	34.6	19.9	Z=2.84, M=3
Joint monitoring and evaluation: (missing=2)	39.8	41.6	17.3	Z=2.53, M=3
Jointly managing youth employment projects and finance: (missing=2)	47.6	32	19	Z=3.28, M=3
Providing support services to the youth through one-stop-shopping arrangements: (missing=2)	36.4	39	23.4	Z=1.61, M=3
Using systems for information sharing: (missing=2)	32.9	40.7	25.1	Z=0.98, M=3
Creating common organization (joint committee, team, office, etc): (missing=4)	39.8	33.8	24.2	Z=1.94, M=3

Source: Own field survey, 2017

#### 4.4 The effect of the degree of practice on the degree of effectiveness

Before analyzing the effect of the degree of practice on the degree of effectiveness, factor analysis was carried out to test if the variables that are included in the questionnaire to measure each factor (i.e., the principals) really fall under that factor (i.e., the component).

Based on the factor analysis, three components were generated with respect to the degree of practice (i.e., HTM\_Practice, MTM\_Practice, and NTM\_Practice), each corresponding to the HTM, MTM and NTM. Similarly, three components were generated with respect to the

degree of effectiveness (i.e., HTM\_Effectiveness, MTM\_ Effectiveness, and NTM\_ Effectiveness), each corresponding to the three youth employment coordination mechanisms.

After the factor analysis, the association/correlation between the degree of practice in using the coordination mechanisms and the degree of effectiveness of the mechanisms (i.e., HTM practice versus HTM effectiveness; MTM practice versus MTM effectiveness; and, NTM practice versus NTM effectiveness) was analyzed. Results of the test of association/correlation that are summarized in Table 7 indicate that HTM\_Practice is associated with HTM\_Effectiveness; MTM\_Practice is associated with MTM\_Effectiveness; and, NTM\_Practice is associated with NTM\_Effectiveness.

Table 7: The association between the degree of practice and that of effectiveness

Mechanism	Component-1	Component-2	Pearson Chi-square(Sig)	Spearman Corr. Coef.	Pearson Corr. Coef
HTM	HTM_Practice	HTM_Effectiveness	574.110 (0.000)***	0.725***	0.731** *
MTM	MTM_Practice	MTM_Effectiveness	226.912 (0.000)***	0.866***	0.864** *
NTM	NTM_Practice	NTM_Effectiveness	1344.37 (0.000)***	0.866***	0.868** *

Source: Own field survey, 2017.

Note: \*\*\*Correlation is significant at the 0.01 level (2-tailed).

Finally, to analyze the effect of the degree of practice in using youth employment coordination mechanisms on the degree of effectiveness of those mechanisms in enhancing youth employment, the ordinal regression model was fitted. Results (Table 8) indicate that the degree of practice in using the youth coordination mechanisms has a positive significant effect on the degree of effectiveness of those mechanisms (at one per cent level of significance). That is HTM\_Practice has a significant effect on HTM\_Effectiveness; MTM\_Practice has a significant effect on HTM\_Effectiveness; and, NTM\_Practice has a significant effect on NTM\_Effectiveness. However, this result should be seen with caution as the regression models do not control for other factors that determine effectiveness of youth employment coordination mechanisms.

Table 8: Ordinal regression results

Mechanism	Model 1: HTM	Model 2: MTM	Model 3: NTM
Dependent variable	HTM_ Effectiveness	MTM_ Effectiveness	NTM_ Effectiveness
Independent variable	HTM_Practice	MTM_Practice	NTM_Practice
Parameter Estimate (Sig.)	2.238 (0.000)	2.228(0.000)	4.450(0.000)
Model fitting information: Chi-Square (Sig)	270.393(0.000)	166.693(0.000)	426.814(0.000)
Goodness-of-Fit: Pearson Chi-Square (Sig)	198.251(0.000)	61.156(0.000)	963.399(0.000)
Pseudo R-Square: Nagelkerke	0.554	0.554	0.738

*Source:* Own field survey, 2017.

## 5. Conclusion and Recommendations

### 5.1 Conclusion

This study aimed at assessing the practice in using HTM, MTM and NTM and certain potential instruments under each of these three youth employment coordination mechanisms and their effectiveness in enhancing youth employment in the Addis Ababa City Administration. Based on the findings, it can be concluded that the practice in using various instruments under the HTM, MTM and NTM generally ranges from medium to low or very low. Specifically, it can be concluded that the higher governing bodies of the City Administration (i.e., the City Council, the Mayor's Office and the General Managers' Office) have not played their youth employment coordination role to the fullest extent. The practice in using public-private-partnership(MTM) in providing certain employment services to the youth has been premature. Furthermore, the practice is not well developed (i.e., moderate) in terms of the signing of memorandum of understanding; joint planning; joint consultative meetings/workshops; joint provision of support services through one-stop-shopping arrangements; the creation and use of systems for information sharing; and, the creation of common organizations. The practice in using few other network-type coordination instruments is even less satisfactory: joint supervision; joint monitoring and evaluation; pooling financial resources to work together on youth employment; and, jointly managing youth employment projects and finance.

Concerning the effectiveness of the coordination mechanisms and instruments, it can be concluded that most of the youth coordination instruments (i.e., ten out of fifteen) have not been effective enough in enhancing youth employment. Exceptionally, the coordinating role played by the City Administration Council and the Mayor's Office; the provision of support services to the youth through one-stop-shopping arrangements; the creation and use of systems for information sharing; the creation of common organization are perceived to have a moderate effectiveness in youth employment coordination, but not high or very high. Finally,

with respect to the effect of the degree of practice in using youth employment mechanisms on the degree of effectiveness of those mechanisms in enhancing youth employment, there is an indication that the degree of practice positively and significantly affects the degree of effectiveness.

## **5.2 Recommendations**

Based on the findings of this study and the conclusions, the following actions are recommended:

- Strengthen the hierarchical-type-mechanism to youth employment coordination. The executive body of the City Administration Council, the Mayor and the General Manager should, first, adequately recognize the cross-cutting nature of youth employment creation and hence the need for coordination. Then, the Mayor should put the issue of youth employment coordination as one of the top agendas in the regular sessions of the council. Furthermore, the Mayor should strengthen existing and create new structures, systems and staff under the Mayor's Office and the General Manager's Office for coordinating youth employment activities/projects in line with the decisions of and directions of the City Council.
- Diversify and strengthen public-private-partnerships in providing employment support services to the youth. The higher governing bodies of the Addis Ababa City Administration should involve and work together with the private sector. This could be in the form of outsourcing to private companies some of the youth employment support services that are measurable and that can efficiently and effectively be provided by the private sector as compared to government organizations. Another possibility is the creation of arrangements for joint planning, project design and implementation with the private sector for creating employment opportunities to the youth and subsequent performance-based incentives to private companies.
- Strengthen inter-organizational cooperation. The various actors within the city government should: (a) recognize the need for coordinated efforts and jointly sign a memorandum of understanding to work together; (b) strengthen the practice of joint planning, periodic consultations, provision of employment-related services to the youth through one-stop-shopping arrangements, create and use systems for continuous information sharing and common organizations such as joint committees/team, offices, etc.; (c) strengthen joint supervision practices and joint monitoring and evaluation of the implementation of joint plans; and, (d) pool financial resources and jointly design and manage youth employment projects.
- Intensify the practice in using coordination instruments to enhance the effectiveness in enhancing youth employment.

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# **Urban Land Management Practices, Opportunities and Challenges: The case of Injibara Town, Amhara National Regional State**

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## **Abstract**

*The purpose of the paper is assessing the challenges and opportunities of urban land management in Injibara Town. In line with this, the research looks into account the situational condition of land management practice. In order to achieve the intended objectives of the research, both quantitative and qualitative research approaches were used. Primary data were collected through open-ended questionnaires, semi-structured interviews and observation check list tools. The sources of data were households, and selected governmental officers and experts. Secondary data were also collected written documents. Accordingly, the major challenges of urban land management identified include socio-economic challenges, technical and capacity challenges, rapid growth of population and urbanization, corruption and attitudinal problems, political-legal challenges, social awareness problems, socio-cultural challenges, infrastructural challenges and financial challenges. Besides these, the potential opportunities that exist in the town are: existence of land policy, rules, regulation, and proclamation; existence of political stability, structural plan, land development planning, and existence of high revenue collection opportunities from land which support land management system and provision of infrastructure. In sum, the government should work with all stake holders in order to reduce the challenges of urban land management in the town.*

**Key words:** Challenges, Land, Management, Opportunities, Urban

## **1. Introduction**

Land is fundamental to development, growth and housing delivery in any society. It is a crucial element in property development process and its acquisition is vital to achieving efficient and sustainable housing delivery in urban environment. Ominrin (2002), emphasizes that access to land and property rights is a major key issue in economic growth and development. It is now increasingly being realized that economic development of any country depends on how efficiently the land is distributed among citizenry and competing urban uses. It is pertinent to note that providing the populace with access to land and empowering them to make effective use of it is central to poverty alleviation. Bello (2007) argues that land is not just only basic to life but it also contains all necessities for life to exist and a tool for obtaining social prestige, economic security and political power.

The role of land in the economy of each nation is not always obvious, but is of great significance. Without secure land rights, there can be no sustainable development. Managing land of every nation is mandatory since at least 20% of Gross Domestic Product (GDP) can come from land, property and construction. All countries need to determine the ownership and value of land and property, and to monitor and manage their use so that the value of these assets may be enhanced.

Land is under public ownership in Ethiopia. such policy and the attendant land administration practices have drawn impassioned debates over the years, to the extent of holding it responsible for all failures in the overall socio-economic development of urban centers(Economic Commission for Europe, 1996).

Land management entails all activities concerned with the management of land as a resource both from environment and economic perspectives. From an institutional perspective also, land management includes the formulation of land policies, the legal frameworks, resource management, land administration arrangements and land information management. Therefore, inefficient urban land management can result in uneconomic use of land, uncontrolled informal settlements, urban sprawl, illegal land holdings, weak provision of basic services and infrastructure (Ali, 2009).

In most of African countries, land lies at the heart of social, political and economic life. Agriculture, natural resource use and other land based activities are key issues to livelihoods, income and employment. Land also has major historical and spiritual significance. At one time land seemed, almost in exhaustible asset in Africa, but population growth and market development are creating mounting competition for land resources, especially close to towns and cities, and in productive high value areas customary land management is under pressure, and the coverage of formal land institutions is generally very limited. As a result, land tenure and shelter are insecure for many ordinary Africans in both urban and rural areas (Ali, 2009).

So, land management is the crucial one to bring sustainable development in all dimensions of economic, social, environmental sustainability, and urban land management in which urban land value is by many folds greater than the rural portion, is a key for urban growth and development. Efficiency of urban land management can be determined by institutional capability in terms of implementation of land use planning, technological and financial accessibility, political and legal systems, infrastructural capability and land marketing system ( Bacry, Sileshi and Admit.2009).

It is obvious that the land system requires up to date land information system for proper land management. Moreover, recently Ethiopia has been undertaking urban administration reform that includes federal urban development policy rules, regulations, procedures,

organizational restructuring, and capacity building. But the existing reality of the country as well as the study area witnesses that managing urban land requires great attention more than the existing situation (Bacry, Sileshi and Admit, 2009).

All Ethiopian towns and cities are exhibiting high rate of urbanization and high land demand for different purposes. Injibara is such towns found in Amhara Region whose urban growth rate is very high and urban land demand is increasing at alarming rate.

Land provided to the new comers of the town is pulled from the peripheral farmers' land holdings through compensation. The new stock of urban land needs service provision through the fulfillment of basic physical infrastructures like road, water, electricity and social services. However, the urban administrators are not running up the same phase as the land demand of the people. This implies urban land demand challenge to the administrators and supply challenge to the inhabitants.

One more big issue today is also compensating urban land which could be considered as a headache for urban management. Fearing unsatisfactoriness of the compensation, the peripheral farmers transfer their holdings to the informal developers which lead unplanned development of the area. It is obvious that land compensation for urban expansion is becoming ear seeking issue and problem for urban management (Belachew, 2013).

Studying the challenges of urban land management for highly urbanizing towns and cities is considered as an input to draw policies and other intervention mechanisms. Some studies related to urban land management have been held such as: "An Assessment of Land Management and Administration for Residential in Sebeta Town" (Adane; 2009); "Challenges and Prospects of Urban Land Management in Semera Town" (Ali, 2009) and "Informal Settlements in the Peri-urban Areas of Bahir Dar" (Adam, 2014a).

However, these studies are limited in spatial scope and not directly addressing the extents and types of challenges with related to urban land management. So, the emphasis of the paper is to study the type and extent of urban land management challenges in Injibara Town. Studying this specific issue in Injibara is important since there is high rate of urbanization in the town and supplying serviced land for the population is becoming challenge to the urban administrators and the community at large, and no specific study on this issue conducted.

The opportunities of urban land management is realized when the management practice is getting improved through diminishing the impact of socio economic, political and physical challenges. What is actually observed in Injibara town is that high urbanization rate is activated because of its strategic road junction directing to Bahir Dar, Addis Ababa and Chagni - Renaissance Dam. So the paper emphasizes to explore the type and extent of urban land management challenges and how to exploit the opportunities to off-set the challenges.

The study is aimed to examine the type and extent of challenges and identify the opportunities to off-set the challenges as far as urban land management is concerned in highly urbanizing areas with specific focus of Injibara Town.

The specific objectives are:

1. To examine the situational condition of urban land management in Injibara town.
2. To analyze the challenges of urban land management in the town;
3. To explore the opportunities of urban land management in the town;

In order to attain the stated objectives, the following questions will be answered in the study:

- 1) How is urban land management being practiced in Injibara Town?
- 3) What opportunities are there in Injibara Town to foster management of urban land?
- 4) What are the main urban land management challenges in the own?
- 5) Why and how far the challenges are affecting urban land management system in the town ?

Effective utilization of urban land through maximizing the opportunities and defending the challenges of urban land management is a means to sustain urban growth in the country. Knowing, the nature, type and extent of urban land management challenges is viable input to urban managers.

Accordingly, the study will provide insight about the challenges with related to urban management and curving mechanisms as an opportunity to the urban administrators. In addition to this, since there is lack research works in the town on the same issue, the paper can serve as on additional source of information for those who would like to conduct further study on the problem.

## **2. Review of Related Literature**

### **2.1 Concepts of Urban Land and Urban Land Management**

#### **2.1.1 Urban Land**

Land is defined as a free gift of nature which yields an income (Ali, 2009). This definition includes agricultural land, minerals, water resource and forests with all their natural flora and fauna. From this definition the study establishes that land has a double character both as an economic commodity and as a scarce natural resource since it cannot be produced by human inputs alone.

Urban land is the land portion located within the jurisdiction of an urban area. It may be developed, being developed, and urban land can also be defined as the plant form for all human activities taking place in urban centers and which is very scarce due to rapid urbanization and the natural increase of urban population that it needs efficient management. Urban land comprises only a small part of the earth surface, but it is an important part because it is where almost half of the world's human population lives and where more than half of the world's economic activity occurs.

### **2.1.2 Urban Land Management**

Land management which is under the focus of this study can be defined as a system of land administration concerned with the judicious allocation and use of land to achieve orderly growth and efficient functioning of cities (Ali, 2009).

It is the process by which the resources of land are put into good effect. It is also the system of land administration concerned with the appropriate use of land for different activities, controlling the general performance of urban growth through different measures and the efficient utilization of urban land. Therefore, a clear understanding and application of the concept of urban land management is important to manage urban land properly. This involves establishing procedures with make land for development rapidly available to the public (Ibid).

### **2.1.3 Urban Land Use Planning and Implementation**

Land use planning is the term used for a branch of public policy that encompasses various disciplines which seek to order and regulate the use of land in an efficient and ethical way. An interdisciplinary approach is essential towards reducing the existing inefficiencies and malpractice in urban land use planning and implementation (Aribigbola, 2007).

The land management systems in most developing countries in Africa has been unable to address the inefficiencies as a combined result of (1) the absence of land records, (2) an underdeveloped and non-transparent land registration system, (3) the absence of cadastral index maps, (4) inadequate land laws and procedures, and (5) unclear delineation of state land and (6) the weaknesses of the justice system (Adane, 2002).

### **2.1.4 Cadastral System and Land Registration**

The *cadaster* is an information system consisting of a series of maps or plans showing the size and location of all land parcels (Adane, 2002). The modern cadastre is not primarily concerned with generalized data but rather with detailed information at the individual land parcel level. Any land management system must supply information on land rights and use land transaction, as well as current and planned land use. This require an effective land information and record system (Adane, 2002)

### **2.1.5 Opportunities of Urban Land Management**

Governments around the world pursue urban land policy objectives, and they rely on a vast range of policy tools and institutions to ease land management. Many cities use master plans, zoning, subdivision regulations, building codes, and other public policies to shape development. These regulations are normally adopted to help protect the urban and natural environment, gear infrastructure investments with development, and maintain and enhance property values.

## **2.2 Empirical Literature Review**

### **2.2.1 Urban Land Management in China**

China's economic reforms over the past decades have given rise to the development of a rudimentary urban land market (Jiang, 2005). Although one cannot speak of a land "market" in the strict sense of the word, there is an urban land allocation system in which land lease rights can be acquired through the payment of a land-use fee. If the urban land market is to develop in a sustainable manner, new credible institutions need to be established that can safeguard greater legal security and transparency. For these purposes, it is necessary to establish a Management system that can support the legal (tenure security), economic (leases, taxes) and broader aspects (spatial and environmental land use policies) of land administration. To make an urban land administration system socially credible and functional, land-related information should be registered and structured at a detailed spatial level, such as parcels. There is no parcel-based information system in China, but the country has developed a population registration system at a detailed spatial level that could be a starting point to develop integrated information systems, or a so-called "local spatial data infrastructure". That research reviews addressed in China's population registration system and their spatial units and presents a proposal for an information system that can be expanded or adapted to meet the requirements of an effective land.

### **2.2.2 Urban Land Management Trend in Ethiopia**

Land tenure in Ethiopia has undergone dramatic shifts—from feudalistic systems under the monarchy of Emperor Haile Selassie (1930-1974) to socialist land policies under the Derg military government (1974-1991), to the current system under the Ethiopian People's Revolutionary Democratic Front (EPRDF) who took control in 1991. This has left populations uncertain about their rights (Tetra Tech, 2013). Today, Ethiopia's land administration is seen as a major source of concern given the country's level of poverty and development. Article 40 of the Federal Democratic Republic of Ethiopia (FDRE) Constitution deals with "Right to property", provides details about land rights in Ethiopia. Article 40 (3) of the Constitution answers the core question of land ownership issue in Ethiopia:

*'The right to ownership of rural and urban land, as well as of all natural resources, is exclusively vested in the State and in the peoples of Ethiopia. Land is a common property of the Nations, Nationalities and Peoples of Ethiopia and shall not be subject to sale or to other means of exchange'.*

The lease system was introduced in Ethiopia as a sole means of urban landholding in 1993. Since the lease system was enacted before the adoption of the Constitution, and since the Constitution does not say anything about urban land, it can be argued that this proclamation, and the subsequent lease proclamations for that matter, lacks Constitutional base. This law

was repealed in 2002 (Proc. 272/2002) and it again was replaced by the current proclamation in October 2011 (Proc. 721/2011).

Urban land is provided through a lease system, a perpetual permit system and separate legislation for condominiums. The lease system has terms ranging up to 99 years. It requires payment of the agreed-on lease amount to the relevant government within a period of time to be determined by regions or city government within the lease contract. The permit system predominantly refers to permits granted prior to 1993 under which an annual land rent is paid to the government (World Bank, 2012b).

There were five modalities of urban land acquisition: auction, negotiation, assignment, award, and lot. Since most of them are categorized as bad practices that opened door for corruption, the new law recognizes only tender (auction) and allotment (land lease transfer without auction) as the two basic means of lease transfer from government to citizens (Art.6 of Proc. 721/2011).

Urban land administration is delegated under the federal Constitution to the city governments and municipalities. However, there is no common system to administer land in urban areas. Therefore, the land sector is highly exposed to corruption. According to Federal Ethics and Anti-Corruption Commission (FEACC), in this sector the corruption can take a variety of forms, ranging from petty/bureaucratic corruption and corruption in auctioning processes, to state capture. There are a number of elements in Ethiopia's current urban land administration system that can create potential entry points for corrupt activities to occur. These include: lack of clear policies, weak institutions, lack of transparency, limited public participation, and capacity challenges (World Bank, 2012a).

Land delivery system without normal procedures, no legal framework, bureaucratic, not transparent and inclusive, dishonest and irresponsible to land demanders affect the efficient use of the urban land and delivery system, which in turn, leads to illegal procedures, land speculations, market distribution, illegal and/or squatter settlement, poor infrastructure and service provision, inadequate collection of revenue (Goz, 2005). Moreover, informal settlement emerge due to the failure of the municipality in providing sufficient plots of land for housing and their weak capacity to enforce control regulations, although the problem is further exacerbated by the speculative tendencies on the part of peri-urban farmers, brokers (*Delalas*) and corrupt bureaucrats and administrators.

### **2.3 Conceptual Framework/Diagram**

This conceptual framework explains the research problem. To align the conceptual framework with the research objectives, the land management performance should be based on the technical/ skill, financial, motivational, social awareness, socio-cultural issues, politico-legal, technological, infrastructural, marketing, factors and opportunities exist are all independent variables, While the land management performance is dependent variable. The relationship is expressed and shown under.

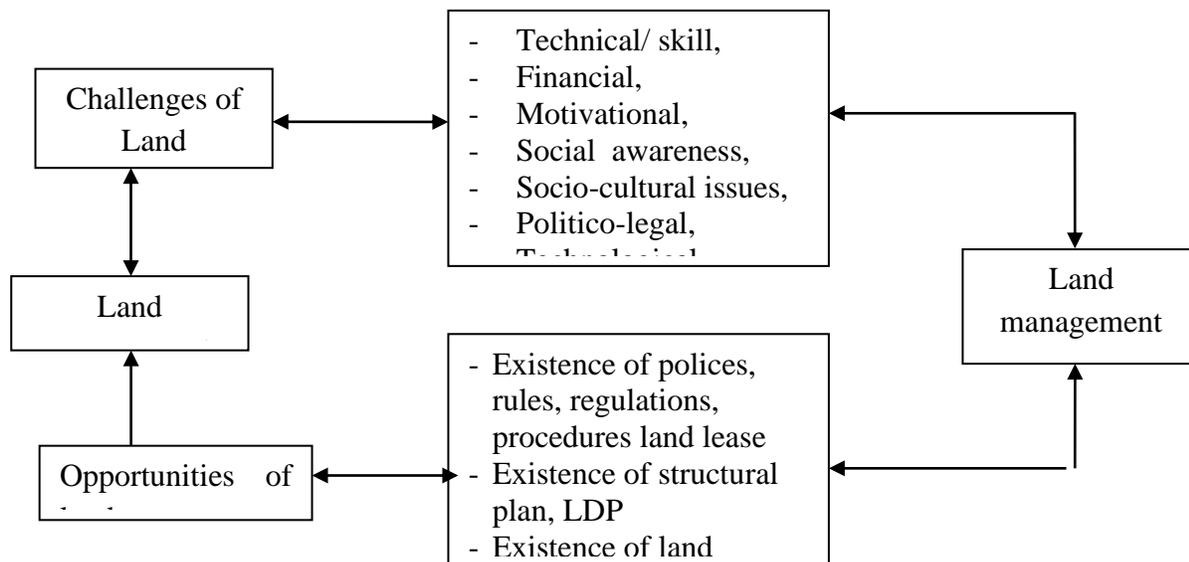


Figure 2.1. Conceptualization diagram of the study model

Source; Own development, 2017

## 2.4 Research Gap

Urban land management challenges and opportunities in general are not well addressed by researchers. Issues related to urban land management such as: lack of integration of plans, ineffective implementation of urban land planning, lack of efficient utilization of scarce land resources, expansion of informal settlement, existence of high demand of land due to high population growth through migration are not addressed. So, the study is to clearly assess the type and extent of challenges and opportunities of urban land management in Injibara Town.

## 3. The Methods

### 3.1 Design and Research Approach

The research design is a plan of the whole research and the blueprint that shows the arrangement of what, where, when and by whom to be collected and analyzed (Kothari, 2004).

Therefore, the research design for this study is descriptive research design with survey research strategy. The study describes the existing conditions or realities that were seen in urban land management practice; the challenges and opportunities in the study area.

To get adequate, reliable and complete data, the study used qualitative and quantitative approach. Quantitative approach is applied to conduct in depth analysis of quantifiable and empirical data with respect to the study area, through questionnaires which are defined and distributed to sample size of the households.

The qualitative one is used in order to generate complete and in depth information using semi structured interviews, focus group discussions and field observation to investigate the empirical evidence from respondents to generate extensive qualitative information about the situational condition of land management, the challenges and opportunities of it.

Moreover, the study utilized cross-sectional time dimension in the sense that all relevant data will be collected at a single point in time. Obtaining information from a cross-section of a population at a single point in time is a reasonable strategy for pursuing many descriptive researches (Admasu 2012).

### **3.2 Sampling Method**

Sampling is a method/plan or a process of selecting sampling units to be included in the study. Under this section population, sampling frame, sample unit, unit of analysis and sampling size of the study were discussed as follows.

Population is a universe from which sample frame, sample unit and unit of analysis are extracted. According to the town's information communication office report (2014), Injibara Town has a total household number of 7021 households. For this study households, government officials, and experts were used as sampling unit.

#### **3.2.1 Sampling Technique**

For this study both probability and non-probability or mixed sampling techniques were used. For probability sampling method, a Stratified Random Sampling (SRS) technique was employed to select/draw units from members of households based on their *kebele*. It was important to draw randomly proportional sample size from each household member. Thus, the samples were selected from the *kebele* document list in which all the target population listed. To select residential units from the target population using systematic random sampling techniques, which is the formula;

$$K=N/n \text{ i.e., } N=7021, n=364 \text{ so, } 7021/364 =19^{\text{th}}$$

Therefore, every 19<sup>th</sup> household on it will be taken from the each *kebele* document list.

Non- probability sampling techniques will also be used to draw sample units from government officials and experts in the town by using purposive sampling techniques to get depth information about study area issue in many directions.

### **3.3 Sample Size**

The study target population is 7021 households. The statically sample size decision making formula to a population size (N) as to Kothari is:

$$n= (z^2pq)/d^2$$

$fn= n/(1+n/N)$  if N is less than 10,000

Whereas n=the desired sample size

Z= Standard normal variable at the required level of confidence

P=the proportion in the target population estimated to have characteristic being measured

q=1-p,

d= the level of tactical significance set

Since there is not estimated proportion of defined population characteristics, 50% is recommend to be used, so P = 0.5 and q = 1- 0.5. Considering 95% level of confidence the corresponding level of significant is e= 0.05 and standard normal deviation is Z = 1.96. Thus the sample size for this study will be;

$$n = \frac{(1.96)^2 \times 0.5(1-0.5)}{(0.05)^2} = 384$$

$$\text{Since the population is } < 10,000 \text{ Then } f_n = \frac{n}{1+n/N} = \frac{384}{1+384/7021} = \frac{384}{1.0546931} = 364$$

### 3.4. Method of Data Collection and Data Sources

#### 3.4.1 Method of Data Collection

In order to achieve the objectives of research study, the data collection instruments include questionnaires, interview, FGD and observation check list were employed for the primary data sources.

Questionnaire, semi-structured interview and FGD were prepared for household sample residents of the town and for the mayor, land management and development office, investment office, design and construction office and municipal administrative office process owners of the town.

In depth interview was held with manager and experts of Mayor of the town, land management and development office, Investment office, design and construction office, *kebele* administrators and municipal administrative office process owners of the town to obtain detailed information about land management related issues, polices, programs, strategies, implementation challenges, opportunities, experience, and future wills.

Focus Group Discussion: In order to collect detailed qualitative information about land management practices, challenges and opportunities, the researchers arranged FGD groups which had 8 participants.

Moreover, a non-participant observation was undertaken through observation check list to gather and strengthen the information collected by questionnaires, interview and FGD.

#### 3.4.2 Data Sources

The data sources of the study were primary and secondary sources of data.

##### Primary Data Source

The Primary data source of the study was the households, government officials and experts response and was collected through structured questionnaires, interview and field observations.

##### Secondary Data Sources

The secondary data source of the study included letters, official published documents, official statistics, town/*kebele* documents and records, Annual/Mid- term plan and reports, minutes, database, books, websites, and Archives.

### 3.5 Data Analysis Method

This was further transformation of the processed data to look for patterns and relationship between and/or among data groups by using descriptive statistics: frequency and percentage analysis. SPSS and excel were used to analyze the data obtained from primary sources. To present the results of the data analysis: Pie chart, tables, diagrams and figures were used.

## 4. Results and Discussions

In order to achieve the study objectives, this section discussed the results of the data collected through different instruments; open ended questionnaires, semi structured interview, FGD and observation. Questionnaires were prepared for households (Kebele residents) of the town and interview was conducted with Mayor of the town, land management and development office, and municipal administrative office process owners of the town. Observation check list was also employed to gather information through observation and strengthen the information collected by questionnaires. In addition to this, secondary data sources were also used to support and further enhance the interpretation and discussion of collected data to reinforce the findings of the study.

### 4.2. Response Rate

364 questionnaires were distributed for households and experts, from these 360 were completed and retrieved successfully, representing 100% response rate. Out of the 360 (98.9%) questionnaires administered. Moreover FGD composed of eight members were held with composing of government experts, municipal leaders, the town elder inhabitants and youth representatives and deeply discuss about the way how the urban land is managed.

### 4.3. Demographic and Socio-Economic Characteristics of Respondents

#### 4.3.1 Characteristics of the Respondents by Kebele

Kebele is the smallest administrative division of Ethiopia similar to a ward, a neighborhood or a localized and delimited group of people consisting maximum population of 5000. Accordingly, Injibara town has 5 Kebeles. All Kebeles were selected for this study purposively.

Table 4.1 Respondents per *kebele*

No	<i>Kebele</i>	Frequency	Percent
1	01	87	24.1
2	02	66	18.32
3	03	61	17.02
4	04	61	17.07
5	05	85	23.52
Total		360	100.0

Source: Household survey, 2017

### 4.3.2. Characteristics of the Respondents by Age and Sex

With perspective of age structure, 115(32%) were aged between 18 and 30 years, 139(38.6 %) were aged between 31 and 40 years, 85 (23.6%) were aged between 41 and 50 years. While only 21(5.8%) respondents were aged above 50 years. The highest proportion of the respondents was within the age between 31 and 40 years followed by age 18-30. With regard to sex, 253(70.3%) of them were males and 107(29.7%) respondents were females

### 4.3.3. Characteristics of Respondents by Level of their Income

As shown in Figure 4.1, the respondents were asked to state about their monthly household income in ETB. Accordingly, out of the total households, 97(27%) earned less than 1000 ETB, 72(20.0%) earned between 1001 to 2000 ETB, 70(19.4%) earned between 2001 to 3000 ETB, 71(19.7%) earns between 3001 and 4000 and 50(13.9%) of them earned above 4000 ETB. The survey result shows that, the majority of the respondents earned less than 1000 ETB.

Therefore, the survey result indicates that income level of the urban residents and challenge of accessing land for different uses have direct relation and impacts one on the other.

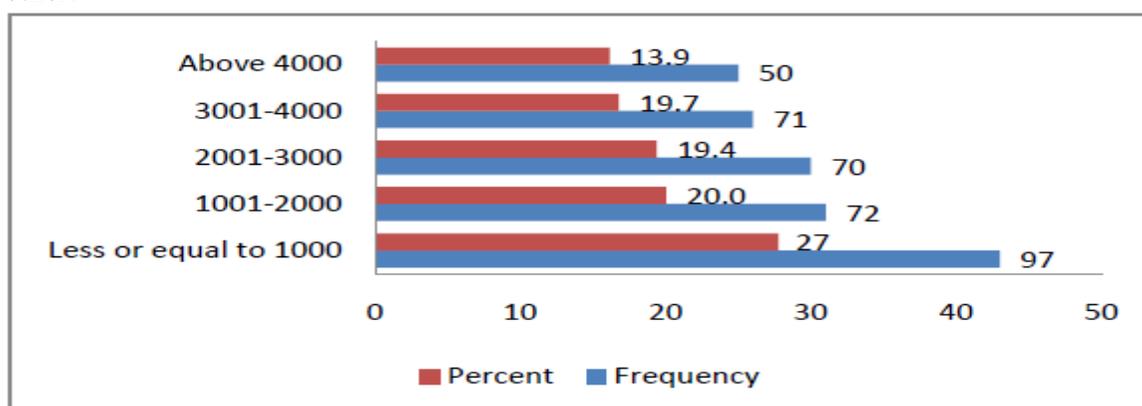


Figure-4.1: The total income of the respondents per month in ETB

## 4.4. Results / Findings

Under this section, the main result of the study which is conducted by data collection instruments from the primary and secondary data sources on the basis of the objectives are identified and discussed one by one.

### 4.4.1 The Scenarios of Urban Land Acquisition in Injibara Town

Injibara town is one of the town recently established urban center. It is one of the fastest growing towns in region in terms of population and areal extension. Like any other urban areas of Ethiopia, the land under the boundary of Injibara town is administered by

lease system and land management system.

As of the EPRDF commenced leading the power since 1991, the land within the administrative boundary of urban centers in Ethiopia is governed by the urban leasehold system since the 1993, then revised in 2002; and finally again re-enacted in 2011. Accordingly, the land holding system of the town became lease holding since 2011. Furthermore, the town is selected as one of the eleven pilot Cadaster project center in Amhara regional state and has a structural plan that was prepared in 2010. But, it was not implemented due to lack of administrative boundary demarcation. Previously the total area covered by the town was 2,154 hectare. Nowadays, it has covered an area of 5,260 hectare (ITMu, 2015).

#### 4.4.1.1 The Common Mode of Land Access in the Town

The data which were being reviewed from the municipality document during data collection period revealed that out of the total land transferred from urban land management unit to individual users, the majority (42.6%) was by purchase with any kind of building on it (37.4%) by lease auction, (1.9%) and (11.6%) respectively through allotment and invasion. The remaining (6.5%) portion of land was acquired in 'other' mode of access. From other side, respondents of FGD and interview argued that inheritance is the most common mode of accessing land in the town. Therefore, the data obtained from the survey result indicates that, the most common mode of access to land for housing development is through purchasing from the informal land market.

In addition, interviews that were conducted with some selected government officials and Kebele administrators revealed that, currently the most common modes of accessing land for housing development are, through lease auctions and allotment method especially through housing cooperatives of the town. Some of the informants stated that, purchasing of land informally was serving as a simplest way of accessing land for most residents of the town. This way of informal land delivery was facilitated by illegal land brokers. On the other hand, the interview held with the peri-urban farmers revealed that, most of the farmers acquire through inheritance modality of accessing land.

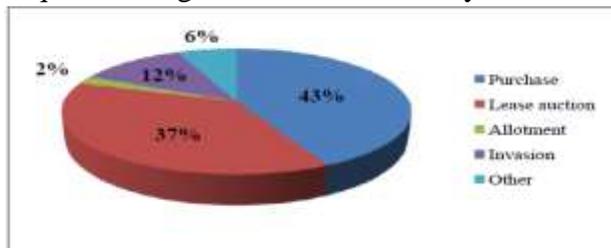


Figure-4.1: The most common mode of access to land for housing in the town  
(Source: Municipality report, 2015)

#### 4.4.2 Challenges of Urban Land Management in Injibara Town

Identifying the main challenges of land management in Injibara Town was one of the specific objectives of study. Thus data gathered from different data sources to address this objective are dealt as follows:

#### 4.4.2.1. Land Management Challenges related to Weak Land Delivery System

One of the discouraging challenges faced urban areas in developing countries in general and in Ethiopia in particular is usually related to land delivery apparent in the way that meet the increasing demand for this service. This challenge is common in Injibara town too.

Figure 4.1 below show that from 360 respondents 256 (71%) had land use ownership, 104 (29%) of them had no land use ownership. This shows that a one third of the respondents demand to have land use ownership i.e. these respondents need land which the city is unable currently to satisfy the demand of land. This high demand of land thus challenges the urban land management and development office. But, land is a scarce resource and a very important for socio-economic development of society and residents highly demanded to get their own land use ownership and they try to get legally if possible otherwise they try to get land illegally and informally through different means. So this issue can be considered as one of the challenges of land management in Injibara Town.

Again, this was further appreciated by information gathered through interview conducted with government office experts and leaders. They addressed that there are informal land transaction and delivery system in the town. Many inhabitants are negotiating with the peripheral farmer land holders and build their residential homes informally. Especially, if such land plots are not in the plan boundary, the urban land administration could not stop the practice unless rural land administrators cooperate. So that, this finding shows the land delivery systems in the town is weak and due to these customers are participating in the informal land delivery and land invasion process.

Table 4.2 Household land use Ownership/Tenure

Did you have a plot of land?		Frequency	Percent
Response	Yes	256	71
	No	104	29
	Total	360	100.0

Source: Sample survey, 2017

The other issue that has a lot to do with the weak land delivery could be associated with the land delivery mechanism pursued in the town.

As shown in table 4.3 below the land delivery mechanism in Injibara Town was by lease 126 (49.2%), by buying from others 45 (17.6%), by inheritance 20 (7.8%) and by others means 65(25.4%). Although the majority of respondents got land use ownership legally from concerned government body by lease until now, there are still illegal land use ownership and occupation in the city through buying the property illegally from other individuals and informal settlement or by others many means which currently is challenging the land administrators and managers of the city.

Table 4.3 Mechanism of acquiring land use ownership by Household Respondents

If you have the land use ownership/			
Response	By lease	126	49.2
	By buying property	45	17.6
	By inheritance	20	7.8
	By others means	65	25.4
	Total	256	100.0

Source: *survey, 2017*

The land management challenges related to land delivery in Injibara Town is thus attributed to less access to formal land acquisition and the proliferation of informal settlements.

#### **4.4.2.3 Land Management Challenges related to Land Expropriation and Compensation**

Nowadays there is high rate of urbanization in Ethiopia. The same is true in Injibara town; many people are influx from rural areas and permanently settle in the town. This situation is becoming a challenge for urban managers to fulfill the land demand of the newly coming inhabitants. The urban land administrators arrange portion of land for different uses by expropriating peripheral land from the farmer land holders. But, the farmers sell the land before being expropriated and this becomes the primary factor for the proliferation of informal settlements in the town.

The interview conducted with governmental office experts also showed that land expropriation and pay fair compensation for land owners was one of the main challenges of land management in the town. Many residents owned legally and illegally from the different land owners. When government needs land for public services based on land expropriation rule and proclamation from these land owners many challenging issues were raised. When the government pays compensation for legally owned land by the land expropriation rule they did not accept the fairness of the compensation. Due to this it leads to many consequences or challenges between the two bodies; private land possessors and the government. Until now they did not accept the land expropriation rule because of unfairness of compensation and it leads conflict and lack of trust to the local government. This gap is also one of the challenges of land management in Injibara Town.

Moreover the land possessors are not happy about the amount and way of compensation while being expropriated their farm land. During the FGD session, the participants raised that the municipality is very weak in terms of awareness creation for land possessors and sometimes delay to pay compensation even after taking the land. For example those urban inhabitants who were expropriating their home for building health station are not getting their compensation yet. Such delays are severing challenges for those who lost their private developments on land.

#### 4.4.2.4 Land Management Challenges Related to Political-Legal Issues

As figure 4.2 below the household response on the implementation of land policy and goals as designed at country and regional level from 360 respondents of households 272(75.6%) of them have responded that the implementation was not as planned. Only the remaining 88(24.4%) of respondents were agreed that the implementation of land policy was as planned. These result had interlink with above findings that were land lease policy implementation which had both weakness and positive side. Since this policy addressed that land were delivered to land owners by free market system and free competition which did not consider the low income groups because they did not compete with high income groups, however, they benefited from tax and revenue collected indirectly from land.

As discussed above land compensation policy for land expropriation from private owners also is not fair because many of the household respondents were not satisfied. In addition land delivery system of the city was not quick and fast and which leads customers to be changed high cost of service. All these together shows the implementation of land management in Injibara town was highly challenged with these issues and could not be that much effective.

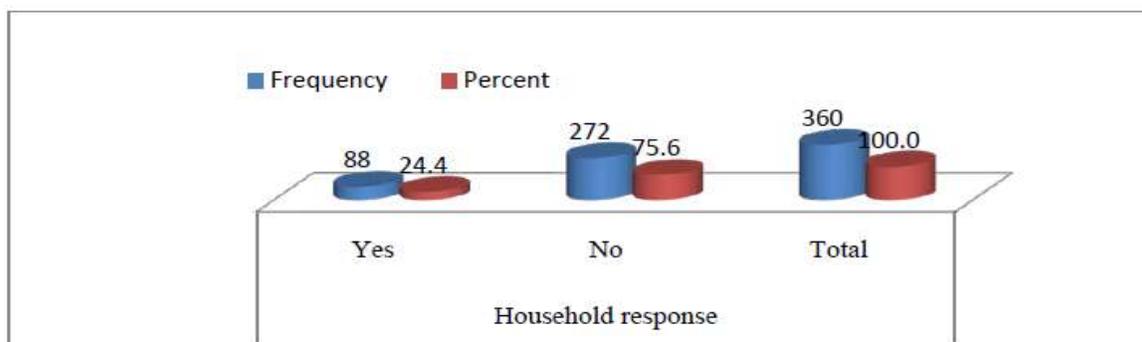


Figure 4.2 Household responses on the implementation of policies as planned  
Source: Sample survey, 2017

#### 4.4.2.5 Land Management Challenges related to Lack of Technical Capacity of Employees

According to the data obtained from FGD, interview with office experts and the observation, in Injibara town there are no enough experts in number and qualification. There is only one graduate in land department and the remaining experts are not trained in line with land professions. In addition to that, there is lack of different equipments necessary to land management like total station and GPS.

The experts also argued that there is no frequent training arranged for them and this negatively affects their efficiency in service delivery. There is no any expert in the land management department who is hired as urban land market expert even if the part is the backbone for urban land management. Such gaps are big challenges to the office to

bring necessary service to the land demanders of the town.

#### 4.4.2.6 Land Management Challenges Related to Corruption and Attitudinal Problems

As shown in table 4.4 below households replied on existence of corruption on land management and development office. That is from 360 of respondents 331(92.1%) of them replied that this office is not free from corruption, whereas only 29(7.9%) of replied that this office is free from corruption. So, this finding shows the corruption level of land management issues in the city is at high level and it hinders the effectiveness and efficiency of land management performance in the town.

Table 4.4 Household Response on the existence of corruption in the Land Management of City

Is land development and management office clear from corruption?		Frequency	Percent
Response	No	331	92.1
	Yes	29	7.9
	Total	360	100.0

Source: Sample survey, 2017

As shown in table 4.5 below the causes of corruption in relation to land management were many. From these causes the major issues which leads the land management and development office to corruption were attitudinal problem 261(72.5%), small salary 42(11.7%), social problems 36(10%) and other 21(5.8%). From all cause the major one which is attitudinal problem is; issues related to seeking of illegal land use ownership income with issues related land. Land related corruption is also known at country level as the corruption area beside with projects and purchasing good and services for public services.

Table 4.6 Households Response on the Causes of Corruption with related to Land Management of City

What is/are the cause/s of corruption with related to land management in the city?		Frequency	Percent
Response	Small salary	42	11.7%
	Attitudinal problem	261	72.5%
	Social problem	36	10%
	Other	21	5.8%
	Total	360	100

Source: Sample survey, 2017

In addition to the above data, during the FGD session, the participants were strongly arguing about the prevalence of expanded corruption in the land sector. Land is transferred from land bank to the individual users illegally, the compensation package is usually delayed to give time for compensation seekers to give for getting service and plots are usually transferred illegally.

#### 4.4.2.7. Summary of Major Challenges of Land Management

As shown in table 4.6 below the household and government offices experts the respondents' response rate on the overall summary of major challenges land management in Injibara Town were identified. Accordingly, first five ranking challenges are socio-

economic challenge, technical and capacity challenges, rapid growth of population and urbanization, corruption and attitudinal problems and political-legal challenges with their order of rank 1<sup>st</sup>, 2<sup>nd</sup>, 3<sup>rd</sup>, 4<sup>th</sup> and 5<sup>th</sup> respectively.

Table 4.7 Summary of Major Challenges of Land Management in Injibara Town

	Land management challenges	Households response		
		Frequency	percent	rank
<b>1. Institutional related challenges</b>				
1.1	Technical and capacity: weak implementation of land use planning	131	36.59	2nd
1.2	Technological challenges	33	9.15	8th
1.3	Financial challenges	18	4.88	11th
1.4	Political-legal challenges	66	18.29	5th
1.5	Corruption and attitudinal challenges	77	21.34	4th
1.6	Infrastructural challenges	22	6.09	10th
1.7	Land market challenges	13	3.65	12th
	<b>Total</b>	<b>360</b>	<b>100</b>	
<b>2.Social related challenges</b>				
2.1	Socio-economic challenges	197	54.88	1st
2.2	Socio-cultural challenges	22	6.098	9th
2.3	Social awareness challenges	42	11.59	6th
2.4	Rapid growth of population and urbanization	98	27.44	3rd
	Total	360	100	
<b>3.Environmental related challenges</b>				
3.1	Geo-physical nature and location of city challenges	15	9.146	7th

Source: Sample survey, 2017

#### 4.4.3. Major Opportunities to Enhance Land Management Performance in Injibara Town

Under this section, major opportunities which reduce the major challenges of urban land management identified above are discussed. These major opportunities were also forwarded to strengthen the effective and efficient utilization of the scarce resources,

land. The findings are extracted from the interviews made with officials of the town.

#### **4.4.3.1 Existence of Land Policy, Regulations, Proclamation and Declaration at National and Regional Level**

After the removal of the Dengue regime in 1991, the present ruling party, the Ethiopian People's Revolutionary Democratic Front (ERPFD), established a transitional government in coalition with the then opposition parties and led the transition for years by realizing the endorsed transitional charter. The charter laid the framework for multi party systems and drafting of a federal constitution. The task of drafting a new constitution was successfully accomplished. The new government promulgated the urban land lease proclamation No. 80 of 1993 (under TGE) which introduced the concept of leasing new land to individuals and investors for a set of period of time (usually between 30 and 99 years), with rights and obligations and the possibility of renewal, yet with ultimate ownership and rights of re-possession retained by the state. The federal constitution of 1995 provides for the state ownership of land. All urban land is still owned by the state as a public property and citizens are to be enabled to access to land. Article 40 of the constitution talks about 'The right to property' sub-article 3 vests the right of ownership of all lands in the state for all peoples of Ethiopia. Article 52 also states that the regional governments have the duty to administer land (FDRE constitution, 1995).

Following nine years of trial and error application of this leasehold system, new legislation repealed the earlier proclamation and re-enacted an improved leasehold system under the re-enactment of urban lands lease holding proclamation No. 272 of 2002 on 14 May 2002.

#### **4.4.4 Land Policy Implementation in Amhara Regional State**

From urban land lease holding proclamation legal framework, the ANRS has been in the forefront of developing regional legislation to codify and regulate the leasehold system for urban lands. It should be noted that the leasehold system applies only to new land, and in ANRS towns the majority of land parcels remain under the older "permit" land rent system. In ANRS legislation has been developed to regulate such older lands and define the rights of its users, and once "permit" parcels are transferred or sold to a third party, such parcels are converted to the leasehold regime.

Regulation No. 1/1987 E.C was the first urban land lease and rent holding regulation for Amhara region regarding the administration of urban land. This regulation was issued in accordance with article 16 of proclamation 80/1993. According to this regulation lease system is applicable to existing possessions utilized for commercial uses and not subject to rent; new holdings to be used for construction of dwelling houses and business premises; holdings that have been transferred from rent system to lease holdings upon approval of the appropriate body; and expansion of existing possessions approved by

appropriate body. Land for private houses of up to 200m.sq plot area; land for public utilities, desirable investments and social services rendering establishments are to be allocated without tender. Following the first regulation, ANRS has developed different regulations and decrees. Some of urban land legislation and regulations in ORS are among others:

Regulation No. 1/1987 E.C: Amhara urban land lease and rent hold regulation

Regulation No. 3/1989 E.C: Amhara urban land lease and rent holding (amendment):

Regulation No. 10/1990 E.C: Regulation to amend the Amhara urban lands lease and rent holding Decree No. 1/1997 E.C: Decree issued for allocation of land for housing areas of Amhara

Regulation No. 114/2000 E.C: Regulation issued for administration of urban land through lease and rent Regulation No. 119/2001 E.C: Regulation issued for administration of urban land through lease and rent.

In summary the major opportunities exist which enhance land management were existence of land policy, rules and regulations, proclamations, declarations at national and regional level, existence legally organized governmental organization which work on the land management from national level to *Woreda* level (land management and development office), existence many supporting institutions like university , existence of structural plan for LDP, existence of conducive topographical and climatic conditions, existence of high demand land and socio-economic development society or residents and voluntary support of residents, and expansion of high education in country wide, high revenue income from land related issue which help the town administration to enhance the expansion of social services and infrastructures that support the land management system in the town.

## **5. Conclusion and Recommendations**

This section attempts to present the conclusions on the findings in the Section four which follow the objectives

### **5.1. Conclusion**

The land management systems in most developing countries in Africa have inefficiencies as a combined result of (1) the absence of land records, (2) an underdeveloped and non-transparent land registration system, (3) the absence of cadastral index maps, (4) inadequate land laws and procedures, and (5) unclear delineation of state land and (6) the weaknesses of the justice system (Molen 2005, cited in Adane 2002).

As Magel (2002), urban land management in most developing countries as well as in countries in transition is influencing sustainable urban development due to: Land administration and urban planning are often over-centralized, the limited enabling capacity of central governments, absence of a clear distinction of responsibilities between sector policies between national, intermediate and local level weak institutional and professional capacity to manage land, lack of adequate financial resources, especially at the local level, complex land regulations and length procedures, lack of adequate land conflict – resolution

procedures and information about land tenure rules regulations and practices which limit transparent land market activities. And also a study conducted by the World Bank (2012) indicated the three main challenges entangled with land management as (a) the technical complexity of land management and administration and the need to make policy trade-offs; (b) the political sensitivity and, in many cases, institutional fragmentation of the land sector; and (c) the country-specific and sometimes local nature of land tenure arrangements that makes simple institutional transplants impossible.

Blak and white Injibara town is under the problems mentioned above. The challenges identified from the findings of Injibara land management has led to expansion of illegal building and informal settlements. These have directly or indirectly enhanced the competition on the land market and speculation for the cost of real property. Generally all these challenges hindered the effectiveness of land management in the city.

## **5.2 Recommendations**

Based on the above conclusions to address the major challenges of urban land management, the following strategies are recommended.

### **5.2.1. Improving Socio-Economic Conditions of Residents**

Many of the residents in Injibara Town were poor and low income groups when compared with the high income groups (figure 4.3). However our country follows free marketing system, the government bodies should work in socio-economic improvement of low income groups directly and indirectly which enhance the capacity of competition in land lease policy of low income groups, developing many strategies and projects which enhance the financial capacity of low income groups with addition to condominium housing projects.

### **5.2.2. Improving Technical and Skill Capacity of Employees**

Building the capacity of government bodies who are currently working on the land management and administration office from national to *woreda* level by assessing skill gap and continuous off-job and on-job training on the land related issues; policies, rules, regulations, new technologies, and through experience sharing, etc. hiring skilled professionals only in the future employment system through check- up COC examinations would be important to land management office, and improving land management system by implementing new advanced technologies. In addition to these, the concerning bodies should work by integration and coordination to reduce skill and information gaps between them.

### **5.2.3. Improving Services and Land Delivery System**

When the technical, skill and attitudinal problems and gaps of the government experts on land management and administration in all level improved through the above means, the services and land delivery system also improved. So, the town government bodies clearly

identify these issues and improve the services and land delivery system of residents. These improvement also has link with the reducing the demand of land and unnecessary costs during the services system, for instance it reducing services time and costs. And the improvement also balanced with increase of land demand from time to time due to population growth and increase urbanization from pulling and pushing factors.

In addition to these governing bodies should address the political-legal challenges; like land delivery system by lease which includes the low income groups and citizens who are unable to compete with those rich ones. Or government should develop others means through which these limited groups are benefited from land marketing system; like free land holding systems.

Besides these the government bodies should improve good governance principles in each level of institutions: participation, transparency, accountability, rule of law, responsiveness/responsibly, effectiveness and efficiency in services and land delivery system.

#### **5.3.4. Controlling the Population Growth and Urbanization**

It is difficult to control directly the growth of population and urbanization; however, the government should work indirectly in these issues through various means like by identifying the growth rate and giving services which balance this growth rate, by reducing pushing factors from rural to urban migration by enhancing services and decentralizing basic infrastructures to rural areas. Giving family education through Medias and direct teach through meeting. All these issues reduce the demand of land in urban areas like Injibara Town.

#### **5.3.5. Reducing Land Related Corruption through Social Awareness Creation and Educations**

As known, land is a very important resource and by its nature it is a scarce and limited resource. The influence of corruption due to lack of central market of land like others goods and services. So, due to its high socio-economic importance, corruption is also highly practiced in this area. Thus, the concerning government bodies should identify the means of this misconduct, and give awareness to citizens in order to reduce land related corruption in the city level. So, government should continuously follow and teach society and work with the integration of residents. Society or residents of the Injibara Town also should participated in land management policy, regulation, and proclamations trainings to improve their capacity in land related issues and work with the government body.

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# Assessing the Causes of Policy Dichotomy Narratives in Ethiopia and its Challenges to Implementation: The Case Of Selected Public Institutions

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## Abstract

*Policy implementation is one of the decisive policy processes where bureaucratic actors, individuals and institutions transform government commitments into action. Policy implementation cannot achieve its intended goals with a single ministry, agency or department; it has to bring all potential stakeholders together with varied interests. This adds to the frequent complexity of implementation unless public managers have the necessary skills or the art of “getting things done”. Challenges in policy implementation have their own causes rooted in lack of knowledge and capacity by policymakers, implementing institutions, ambitious goals, human and material requisites, commitments and personal interests, and lack of policy continuity. The objective of this study was to examine the underlying causes of policy dichotomy narratives in Ethiopian public institutions with a focus to implementation and come up with suggestions for policymakers. The study employed a descriptive – explanatory design in order that what is described may not remain mere factual exhibitions but to be sufficiently explained with their causal-effect relationships. Study data sources (targets) include a purposively selected public institutions (both federal and regional states), members of the parliament and regional states councils, bureau heads, and senior experts. A mixed research approach was also opted to complement each of the data obtained through both quantitative and qualitative instruments. The findings show that the policy dichotomy narrative with due focus to implementation is deeply entrenched among higher government officials and middle level policy actors in a bid to escape accountability as well as maintain policy transcendence which is dictated by party loyalties. In response, it is recommended that the on-going policy dichotomy approach and attitudes need to give way to a shared accountability and timely review of policies before popular grievances pile up and result in irreversible consequences.*

**Key Terms:** policy dichotomy, implementation, top-down/ bottom-up, cognitive constraints, and public institutions.

## 1. Introduction

A look at public policy conceptualization shows that there is no ready- made characterization to soundly explain, represent or define it. But what the famous policy scholar Dye (1979) conceptualizes is actually considered by most policy proponents. One widely quoted but simple definition of public policy by Dye is “what government chooses to do or not to do” (p.1). He further explained:

*Governments do many things, they regulate conflicts within society, they organize society to carry on conflicts within other societies, they distribute a great variety of symbolic rewards and material services to members of the society and extracts money from the society, most at times in the form*

*of taxes. Thus policies may regulate behavior, organize bureaucracies, distribute benefits, extract taxes, or all of these things at once (p. 1).*

The study of policy implementation was pioneered by scholars such as Pressman & Wildavsky during 1970s. To Pressman and Wildavsky (1984), achieving overall policy goals, the completion of both decision paths (policymaking and policy implementation) should be done at a time. Otherwise, it creates a situation where decision makers in one path may not necessarily care about the outcome of the other path. This cardinal statement informs that implementation “should not be divorced from policymaking and must not be conceived as a process that takes place after, and independent of, the design of policy” (Nangpuhan & Brenton, 2011).

The gap between policymaking and its implementation is attributed to a variety of reasons: too ambiguous policy objectives and not giving street-level bureaucrats room for adaptation of objectives to suit to their clients’ or their own preferences (Lipsky, 1980). With vague and ambiguous objectives, it is difficult to measure if they (objectives) are realized through implementation. Implementation gaps also arise from lack of participation of stakeholders or actors including citizens, private businesses or interest groups, each with their own needs and interests and ability to exercise influence on policy implementation and its outcomes at its initial stage (Sabatier, 1999).

Policy implementation is a process “to actualize, apply and utilize policy in the world of practice” (Bhola, 2004:296). To Okoli and Onah (2003), Ikelegbe (2006), Kraft and Furlong (2007), policy implementation is the process of translating a policy into actions and presumptions into results through various projects and programs. Implementation is a step that follows policy approval, and carrying out a basic policy decision (Sabatier & Mazmanian, 1983, 43). In the modern world, policy implementation is considered as the litmus paper of governments through which they test their ability and be able to meet their promise in translating plans and commitments into action to provide goods and services.

Some scholars view causes for implementation deficits from different perspectives. They divide causes for the implementation deficits into conventional and neuro-cognitive accounts. The conventional accounts include factors such as unclear goals, lack of political commitments, governance, centralization, and level of resources allocated (Ali, 2006). Though these factors are partially true, they are not the only ones. Spillane, Reiser and Reimer (2002) further argue that cognitive factors play a critical role in policy implementation. This is observed when implementing agents or stakeholders try to make sense of policy provision before acting on them. For instance, Walshaw & Anthony (2007) believe that personal cognitive aspect heavily weighs on how a given policy is implemented. This mainly refers to implementers’ sense-making of new policy ideas, and their actions based on the ideas they construct together with the human and material resources provided.

As any other developing countries, in Ethiopia, policy implementation faces several bottlenecks. Both policymakers and implementers admit that there is a gap between what is intended and what actually gets implemented. As a result, lamentations are often times heard in public conferences and implementation reports, at parliamentary conventions, ministerial and wider social institutions (Mulugeta, 2005; Biruk, 2014; and Dereje, 2012). There is always a foolhardy argument that policy implementation deficit is the outcome of its implementation, rather than the process of policy making. In the face of such arguments, policymakers fail to see their own design problems and try to maintain that existing policies do “transcend” and are ‘timeless’. Such entrenched beliefs block ways to review policies that are once put in place. Moreover, beyond failing to convince wider stakeholders and targeted beneficiaries, the policy dichotomy also tends to pave ways of shirking responsibility as a result of poor implementation. In consequence, implementation problems are always displaced and projected unfairly to what is known as ‘street-level bureaucracy’ (Horn & Meter 1976; Mazmanian & Sabatier, 1989).

The objective of this research is, therefore, to assess and find out the major causes for policy dichotomy and its challenges to implementation and come up with possible way forward suggestions.

The following research questions were put forward in order to come up with possible answers:

1. What are the causes for policy dichotomy narratives in Ethiopia?
2. What is the level of stakeholders’ participation both at federal and regional states levels?
3. How is implementation commitment and accountability explained at each stage?
4. How can successful policy implementation be achieved?

The general objective of this study is to assess the causes of policy dichotomy and its challenges to implementation in selected public institutions in Ethiopia and forward possible recommendations for the time to come.

The study was delimited to public institutions which are in charge of continuous policymaking and implementation processes at federal and state levels. Geographically, it is delimited to purposely selected federal and state-level public sectors (education, health, agriculture and finance and economic bureaus) which have greater scope of policymaking, implementation, evaluation and revision. The study was designed to cover five regional states (Tigray, Amhara, Oromia, SNNPRS and the Ethiopian Somali Regional States).

Parliament standing committee members at federal level and Speakers of the House in some regional state councils were consulted. Moreover, regional state advisers, heads of sectoral bureaus, main core process heads and deputies were also made to provide their views in light of general and specific to their institutional practice in policy implementation. In consequence, 300 middle-level and senior experts were made to fill in the questionnaires,

while parliamentary standing committees, state council Speakers of the House, bureau heads and senior experts (18) took part in the interviews. This makes the total study respondents to 318.

Conceptually, the study was confined to dealing with policy dichotomy and its challenges to implementation. The delimitation of the study's scope to the aforementioned is due to resource constraints out of which time stands tall. The time for data collection in both selected federal and regional states public institutions is also skewed due to parallel commitments that the researchers have to meet.

## **2. Review of Related Literature**

### **2.1 Introduction**

Public policy is the study of government decisions and actions in order to deal with public concerns. It is what governments choose to do or not to do (Cochran & Malone, 1999; Dye, 2005). Decisions and actions are directed to achieving desired goals or objectives, which in turn amount to solutions of public problems that are of multidimensional nature (Ikelegbe 2006). Public policy is considered as a decision-centric and goal-oriented process. Other than being the point of government decisions and actions, public policy is also a field of study and an academic discipline which brings together many social sciences concepts such as economics, sociology, political economy, program evaluation, policy analysis and public management, all as applied to problems of government administration.

### **2.2 Policy Implementation: Concept and practice**

Policy implementation is one of the core stages where government's commitment is to be realized and the promise given to the public is fulfilled. To Webster's Dictionary and Roget Thesaurus, implementation is "...to carry out, accomplish, fulfill, produce, complete." The concept, "implementation" can also be presented in a formula where, Implementation = F (Intention, Output, Outcome). Owing to its multi-stakeholder interactions and their diverse interests, the implementation world is not without challenges. Such challenges are more prevalent in many of the developing countries than in the developed world. For instance, Nwagboso (2012), Ndah (2010), Suberu and Egonmwan (1991) have found that policy implementation bottlenecks are much common in developing countries and that of Africa in particular, which Ethiopia is a part. In their seminal text, *Implementation*, Pressman and Wildavsky (1973) uncovered many of the unmasked myths about policy implementation. Goggin *et al.*, (1990:9) hold that "the nineties are likely to be the implementation era." However, the scholars did not hide that there was "still some confusions over when implementation begins, when it ends, and how many types of implementation there are." Eugene Bardach (1977) introduced the concept of implementation as a metaphor of 'games' to denote it as "implementation problem" (pp.55-6).

Mazmanian and Sabatier (1980) identified three main variables that affect the achievements of policy goals throughout the entire process: tractability of problems addressed; the ability of

the statute to favorably structure the implementation process and the net effect of a variety of political variables. In contrast, Elmore (1978) identified four major ingredients for effective policy implementation: 1) clearly specified tasks and objectives that accurately reflect the intent of a policy; 2) a management plan that allocates tasks and performance standards to subunits; 3) an objective means of measuring subunit performance; and 4) a system of management controls and social sanctions sufficient to hold subordinates accountable for their performance (p.195). Dye (2005) further argues that implementation is “the continuation of politics by other means” (p. 45), implying that policymaking does not end with the passage of a law by the parliament and its signature by the head of the state; it rather is a shift from the top government house to the bureaucracy (departments, agencies, commissions of the executive branch).

### **2.3 Historical accounts of policy implementation researches and underlying theories**

Until the late 1960s, there were few studies on the subject of policy implementation. One of the initial researches was a case study of an economic development program in Oakland California that had been created to stimulate minority employment, though it failed to achieve what it intended to achieve due to many actors having to work together. As a result, goal achievement has become the dominating standard and dependent variable in the implementation research discourse since 1970s.

In the late 1970s, Michael Lipsky’s “street-level bureaucracy” theory forced political scientists to take a more serious consideration of what happens to policy after it has been created, and the role of individuals employed by government to effect implementation. He came up with what he described as “bottom-up approach” (1980). Michael Lipsky coined the term ‘street-level bureaucrats’ in his book ‘Street-level Bureaucracy: Dilemmas of the Individual in Public Services’ which was published in 1980. He made a compelling case for the role and power that street-level bureaucrats exert in policy implementation. In his model, Lipsky defines street-level bureaucrats as “public service workers who interact directly with citizens in the course of their jobs, and who have substantial discretion in the execution of their work” (P. 3). They include police officers, teachers, principals, public health workers, public lawyers, court officers, social workers, and many other public employees.

As pioneering policy implementation researchers, Pressman and Wildavsky’s work became one of the fads of political science and policy analysis that reached its peak in terms of the number of publications in the mid 1980s. To Paudel (2009), this phase or generation of implementation research ranged from early 1970s to ‘80s, while the second generation continued from 1980s to the 90s. The third generation of research was from 1990s and onwards (Matland, 1995). The initial implementation research approach looked at policy implementation from the goals and strategies: from a single or multiple location or statute and authoritative statement of the policy (Goggin *et al.*, 1990).

Top-down implementation model is most concerned with compliance, while the bottom-up approach values understanding through bargaining modalities. In the absence of potential policy interacting forces from both directions, it only becomes what scholars consider as “policies without publics”, which are developed and implemented with a relatively little or no public inputs (May, 1990). In this model, both policy problems and solutions are dominated by technocratic expert opinions, policy discussions largely take place in the backyards of political institutions ((May 1991, 194).

Contrary to conventional wisdom, however, local implementing agents do not simply go for implementation as though docile instruments. Interpretation and understanding of policy provisions by itself is a cognitive process where “implementing agents must first understand what the implementation directive is all about before any action on it” (Spillane *et al.*, 2002: 389). Consequently, the scope and quality of policy implementation depends on what is known as ‘sense-making’, ‘not a simple decoding of the policy message but an active processes of comprehension and process of interpretation that draws on the individual’s rich knowledge base of understanding, beliefs, and attitudes’ (*Ibid* p. 391).

Policymaking process in many of the developing world, including Africa, is more centralized with greater participatory deficits. Most of the underdeveloped countries opt for a top-down approach as the only realistic way where policies remain highly centralized and elitist where there is limited popular participation that could enhance implementation. On the other hand, policy implementation failure is far-reaching: waste of scarce resources; political frustration; and disruption for ordinary citizens (Rahmat, 2015:310).

The second implementation perspective (“bottom-up”) is a stark contrast with the implicit assumptions of “forward mapping” or top-down approach. Elmore (1979), one of the key prominent scholars of the bottom-up approach, calls this as “backward mapping”, where implementation process and the relevant relationships are mapped backwards. This rejects the top-down approach on the grounds that goals are ambiguous rather than explicit and may conflict not only with other goals in the same policy area, but also with the norms and motivations of the street-level bureaucrats (Birkland, 2009). The third generation of policy implementation research is known as the “combined” (synthesis) approach, which takes into account the relative strengths and weaknesses of the aforementioned two approaches and synthesizes them into a balanced implementation research generation. In this vein, “implementation is considered as much a matter of negotiation and communication as opposed to a matter of command, where it sometimes is resisted on the grounds of unclear or inconsistent goals with receivers’ expectations” (Goggin *et al.*, 1990).

#### **2.4 Policy-implementation Dichotomy: causes and challenges**

Every year, policies are being formulated and implemented. However, there are always concerns and worries of what is known as the “implementation gap”, that implies the difference between what governments promise and their achievements. Failure to implement

public policy properly is the reason most cited by almost all public as well as private institutions and stakeholders at various governance levels. This is attributed to the inability of policymakers to formulate clear policy outcomes, inadequate governance mechanisms, and the failure of implementing agents because of limited capacity and vested interests (Spillane, Reiser, & Reimer, 2002: 309-91). While causes for implementation challenges can be numerous and sometimes country and development-specific, Ali (2006) has come with two main explanations for the issue under discussion: *conventional and cognitive accounts*. Common conventional accounts are related to policy goals: unclear or ambitious policy goals are devised whose targets ultimately fall short of their desired outcomes (Ahsan 2003; The World Bank, 1999).

But Reimer (2002) and Ali (2006) argue that policy implementation cannot solely be explained through conventional constraints. Success of implementation ultimately depends on the way people perceive, make sense out of it and act on policy provisions. Hence, Spillane et al., (2002) argue that cognition precedes action and “implementing agents must first understand what the implementation directive is all about before any action on it” (p.389). Implementation problems are believed to be common in many of the developing countries and Ethiopia is no exception to such challenges. Owing to years of centralized governance tradition that lasted for more than a century, most policymaking processes used to adhere to closed networks practices. In consequence, it’s argued that few elite group who are closer to the inner circle greatly influence the policy with much less popular participation.

Consequently, a top-down policymaking tradition has been the *modus operandi* of the nation until the emergence of the federal system of governance and the formation of the Federal Democratic Republic of Ethiopia (FDRE) in 1995. However, many scholars (Fekadu, 2016; Tiruye, 2015; Habiba, 2015; Omer, 2014; Biruk, 2014; Dereje, 2012; Taye, 2008; Amdissa, 2008; Mulugeta, 2005; Alemayehu, 2004; and Getahun, 2004), have found out that current popular policy participation level in Ethiopia is not commensurate with the political re-engineerings that took place in the country, and the constitutional land mark which assigns roles to all policy actors at all governance levels (Mulugeta 2005; Assefa 2009; and Atsbeha 2012).

### **3. The Methods**

#### **3.1 Research Design and Approaches**

This study aimed at finding out the causes of policy dichotomy narratives and its implementation challenges in Ethiopia. It employed both descriptive and explanatory research designs to describe and explain the underlying causes of the dichotomy between policy and its implementation as a ‘*taken-for-granted*’ administrative position in most of the mainstream media. The study also used a mixed approach to offset the weaknesses inherent within either of the two approaches (quantitative & qualitative) and to triangulate the findings to arrive at sound conclusions.

### 3.2 Methods of Data Collection and Sources

Because of the mixed nature of the study, questionnaires (close and open-ended), interviews and document reviews were employed to gather research data. In addition to the empirical data, secondary data were collected from extensively reviewed books, Journals, research outcomes, official government reports, working procedures of the federal and regional councils, the FDRE Constitution, and relevant documents to help triangulate and expound data obtained by the empirical data.

### 3.3. Population, Sampling Technique, and Sample Size

Policymakers and implementers at both federal and regional levels were part of the population of the study from which samples were drawn. Non-probability sampling technique was applied to purposively select respondents. To this end, relevant federal public institutions, the Parliament, five Regional States (Tigray, Amhara, Oromia, SNNPR and Ethiopia Somali), were purposively selected to explore the extent of policy dichotomy perceptions and the challenges practiced by main policy actors in the country. The selection of four major public sectoral institutions (Education, Health, Agriculture and Finance) was based on the accounts that they have been designing many of the broad national policies that have been cascaded to regional states having nation-wide implications. The Ministry of Finance and Economic Cooperation (MoFEC) was selected as one of the data sources as it serves as a focal public institution to coordinate policy designs and implementation and reports all sectoral performances to the legislature.

### 3.4 Sampling Frame and Sample Size

The following figure portrays the sampling unit and sampling size of the study.

No	Sampling Frame	Sample Size/									Total Participants	
		Number of Participants from Each Sectors										
		Agriculture		Education		Health		MoFEC		Parliament/ Regional Councils		
Federal/Regional States	*M	*E	*M	*E	*M	*E	*M	*E	Chair persons and secretary of Standing Committees <sup>7</sup>			
1	Federal Government	10	10	10	10	10	10	3	3	6	72	
2	Oromia regional State	5	10	5	10	3	10	3	3	6	55	
3	Amhara Regional State	5	10	5	10	3	10	3	3	6	55	
4	Tigray Regional State	5	10	5	10	3	10	3	3	6	55	
5	Ethiopian Somali Regional State	5	10	5	10	3	10	3	3	6	55	
6	SNNPR	5	10	5	10	3	10	3	3	6	55	
	Total										347	

### 3.5 Data Analysis

Empirical data collected through questionnaires, interviews and official government documents were first organized analyzed and summarized using descriptive and thematic analyses. In particular, quantitative data collected through questionnaires were coded, processed and analyzed through a Statistical Package for Social Science Version 21 (SPSS 21) Software. Qualitative data were described and used to substantiate findings arrived at from quantitative data

## 4. Results and Discussiobns

### 4.1 Introduction

This chapter deals with the presentation, discussion and analysis of the data/information/ obtained from respondents and review of official government documents. Questionnaire and interview responses of both federal and regional public sector organizations, parliamentary standing committees, regional states Council Speakers, middle-level public managers, and senior experts have been utilized as source of data presentation, discussion, and analysis. The following Table 1 below shows the demographic characteristics of research respondents.

Table1: Demographic characteristics of respondents

Description		Frequency N=255	Percent 100
Sex of respondents	F	33	12.9
	M	222	87.1
Educational level of respondents	Diploma	3	1.2
	Bachelor	132	51.8
	Masters	119	46.7
	PhD	1	.4
Year of Experience	1-3	63	24.7
	4-7	77	30.2
	8-10	47	18.4
	11 and above	68	26.7
Current Position of Research Participants	Head of Bureau	2	.8
	Director	19	7.5
	Senior Expert	194	76.1
	Junior Expert	28	11.0
	Beginner Expert	12	4.7

Out of the total 330 questionnaires distributed, 255(77.2%) of the respondents filled in the questionnaire and returned. The rest (22.8 %) of papers were not returned mainly due to tight field work and continuous meetings in all of the study public institutions. From the entire respondents, 222(87.1%) of them are male, while 33(12.9%) of them, female. The profile of respondents shows that 1(0.4%) PhD; 119(46.7%) Masters; 132(51.8%) Bachelor degrees; and 3(1.2%) are Diploma holders respectively.

#### 4.2 Issues Related to Policy-Implementation Dichotomy

Table 2: Belief and practice in policy-implementation dichotomy

Description		Frequency N=255	Percent 100
How much do you believe in the argument that the “policy is good if it is not for its implementation...” views?	Fully agree	97	38.0
	partially agree	95	37.3
	don't agree	61	23.9
	don't know	2	.8
Do you agree to thinking that policy and implementation have to be set as two independent entities (activities)?	Yes, I fully agree	71	27.8
	Yes, I partially agree	78	30.6
	I have no thought about it	16	6.3
	I don't agree with the stand	90	35.3
The policy-implementation dichotomy advocates perspective is solely policy- centered and top- down approach.	Strongly Agree	21	8.2
	Agree	51	20
	Neutral	111	43.5
	Disagree	56	22.0
	Strongly Disagree	16	6.3
Policies do not achieve their goals because implementers do not comply with center's implementation guide line	agree	149	58.4
	disagree	106	41.6

As indicated in Table 2, item one respondents were asked if they share the apparent policy dichotomy view of the mainstream in reference to implementation challenges and practice. The response shows that 75.3% (38% and 37.3 %) of them fully and partially agree to the notion respectively. On the other hand, 23.9 % of the respondents confirmed not to agree with the statement, implying that there could also be a problem at the initial stage of the policymaking process in many forms (e.g. not conducting informative policy analysis, unable to make implementation stakeholders on board while making public policies, etc.). The fact that majority of the respondents (75.3%) favorably agreed to the policy dichotomy view under discussion may not be a surprise as it has nowadays become an organizing political as well as administrative principle of the nation. As can be seen in the proceeding part of this study, this deeply-entrenched belief has contributed not only to low level of policy implementation quagmire that the country is grappling with but also blocks ways for critical self-assessment and policy innovations.

On the other hand, whether or not the same dichotomous view is also shared by the federal parliament (HPRs), a participant interview was carried out with members of a three-standing

committee purposively selected on the basis of accessibility to the researchers. Their response confirms that they do not believe in the exclusiveness of policy and its implementation by stating the following: “policy and implementation could not be seen as independent of (distinct) of each other”. However, the parliamentarians at the same time have expressed doubts and reservations that ‘once a policy has been legitimated by the House, it will have to be automatically implemented and the desired results, attained’. This implies that there is still a tacit dichotomous view, though as parliamentarians it may be a risk to admit it for they are responsible in both cases when it comes to implementation. It can, therefore, be inferred from the responses obtained that the implementation end of the scale is left to ‘others’, who would have the desire as well as the power to “make or break” the policy over which the parliament has no power.

Regional state council respondents (Speakers of the House in particular) also have quite similar views, but with only few exceptions. They share more or less the above view that the implementation end and implementers are the ‘causes for policy mal-implementation’. This vividly confirms that the policy-implementation dichotomy appears a settled common understanding among higher government officials and their immediate heads of public institutions. Despite being in such high profile and also relatively closer to policy matters, they subscribe to the entrenched policy dichotomy position spearheaded by the policy and political elites. The view is also a clear manifestation of the traditional top-down approach where policy implementation is looked at from its goal and strategies perspective, from a single location or statute and authoritative statement of the policy (Goggin, *et al.*, 1990).

In the same Table, respondents were also inquired if they agree to the view that policy and implementation are two independent entities, for which majority of the respondents (27, 8% and 30.6%) confirmed with “fully” and “partially” agree respectively. While the dichotomy position still remains strong, 35. 5% of the respondents declined it and 6.3 % of the respondents did not have the idea to comment on the subject under discussion. On the other hand, the fact that about more than half of the “disagree” camp declined the dichotomy view shows that there is at least doubt of the credibility of the belief on the same subject. This latter group of respondents might be those who have witnessed the mismatch between policy and implementation due mainly to the implementation strategy laid out at the outset of the policymaking process.

Some consulted parliamentarians and high profile government officials, who are also staunch supporters of the dichotomy view, argue that “thinking otherwise may be interpreted as ‘betrayal’ (emphasis added), despite policy implementation challenges”. In consequence, most core policy actors, including higher government officials, preferred often to be argumentative, dismissive and at the same time ambivalent about the subject under discussion.

Contrary to the view thus far discussed, however, most policy scholars do not accept the policy-implementation dichotomy theoretical position on the grounds it is not a professional approach; it's a 'traditional' model. According to Parsons (2001), the traditional policy model is a stagist approach which sees policymaking process as moving through a series of rational stages or steps beginning with problems and ending with implementation and evaluation. The scholar further argues that approaching policymaking as series of sequential steps tempts policymakers to 'leave' (emphasis added) thinking about some stages, such as implementation and evaluation until late in the process (emphasis added) whenever they begin thinking of designing a public policy (Cabinet office, 1999).

The point of view of some middle and top-level government officials who were consulted for this study strongly emphasized that it's only the implementation end of the scale that is the main policy challenge. One of the respondents went in defense of the on-going policies as there is no "force majeure" to change them. A similar idea was aired in one of the interview sessions in SNNPR in which the policy dichotomy view was defended against any change as follows:

*The policies so far put in place have brought about fundamental changes in the entire nation including in SNNPR that we see today... changes in the area of education, rural road and electrification, water supply and related infrastructures, etc. are the outcomes of the policies designed for the nation (SNNPR Megabit 29-07-2009).*

The basis of the above argument is crystal clear to imply "what else more do you want?" In doing so, both parliamentarians and executives are inadvertently distancing implementation from their quarters in order not be held accountable in cases where such concerns comes into light. Such beliefs have been boldly reflected by members of the parliament standing committee who participated in the participant interview as follows:

*... in Ethiopia, most policies that are endorsed by the House in the last two and half decades can be said well-designed and bear fruition by changing the life of the people. The problems that arise 'here and there' (emphasis added) are persistently seen during their implementation.*

Hence, what keeps resonating now and again is that it's the implementation stage and the implementers who are both the 'culprits'. Neither the executives who formulate the policies nor the parliamentarians who approve them are "not responsible" for the malimplementation that the larger public is always expressing implicitly and explicitly its resentments in many forms.

Similarly, under Table two, item four, question items were put forward to find out if respondents prove or disprove that implementers have to comply with centrally designed implementation guideline. As can be seen, majority (58.4%) of the respondents made clear

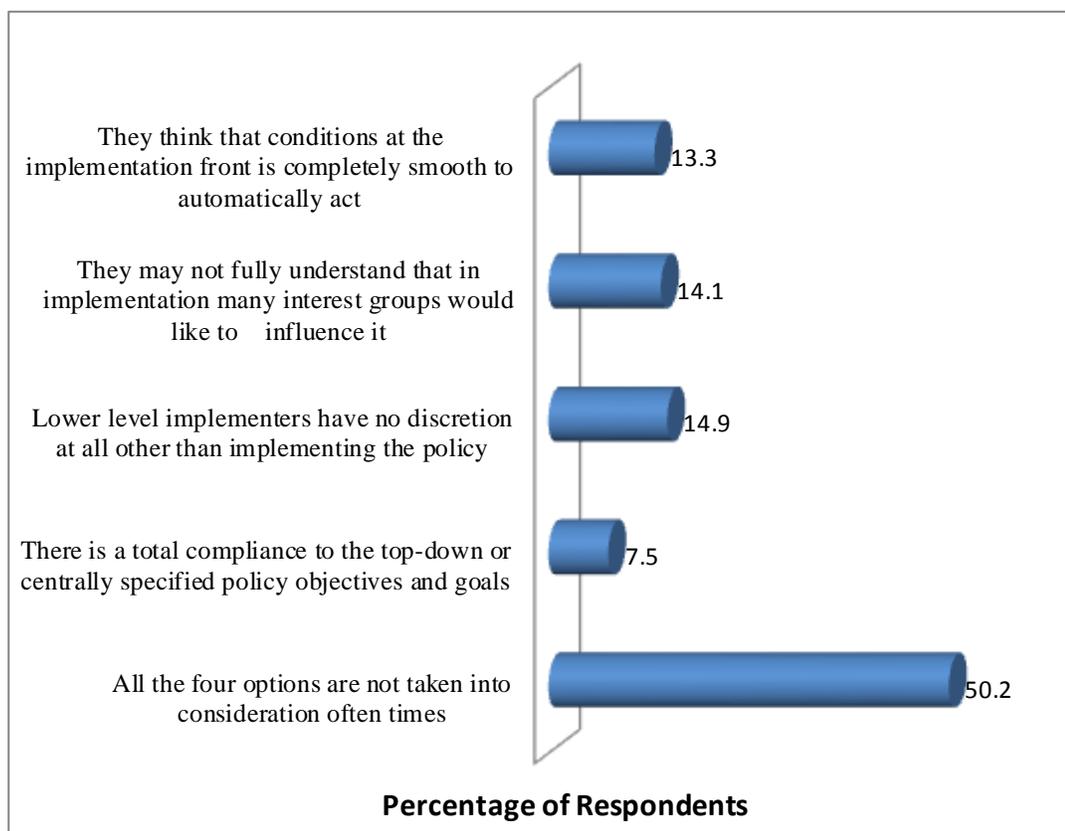
their position and agreed to the proposition, while 41.6% of them disagreed. These two competing views can be explained from the data. One is the fact that many policy actors in the country value to comply with a single centrally implementation guideline regardless of the realities on the ground. Such temptations may originate from long years of centralized public policies and implementation traditions. Despite that, however, federalism is put in place to address diverse needs and policy environments, many policy actors in the country still subscribe to a top-down policymaking approach, including implementation. Such a 'straightjacket' policymaking and implementation approach is not only the antithesis of federalism but its outcome is also that of ineffective implementation.

Furthermore, it undermines the discretion and innovation of the lower level governance to bring about effective policy implementation. Second, a look at the figure also shows that a considerable portion of respondents declined the view that 'it's due to implementers' non-compliance that results in poor implementation outcomes'. Again, this category of respondents seem to oppose such mainstream and gross judgment held that "... it is the implementation..." blame shift without making deeper and sound analysis of the issue as to how the implementation strategy was thought out and designed at the policy inception level.

#### **4.3 Issues Frequently Underrated by Policymakers at the Center**

Whether pursuing federal or unitary governance, most policy locus is at the center. The assumption behind is that the federal (central) or state government has the obligation to fulfill the commitments they entered to deliver to the electorate. Nevertheless, scholars believe that there are issues that policymakers at the center fail to pay attention to while designing public policies. To this end, respondents were made to verify statements to hold true in the next graph 1 given below.

Graph 1: Issues Frequently Underrated by Policymakers at the Center

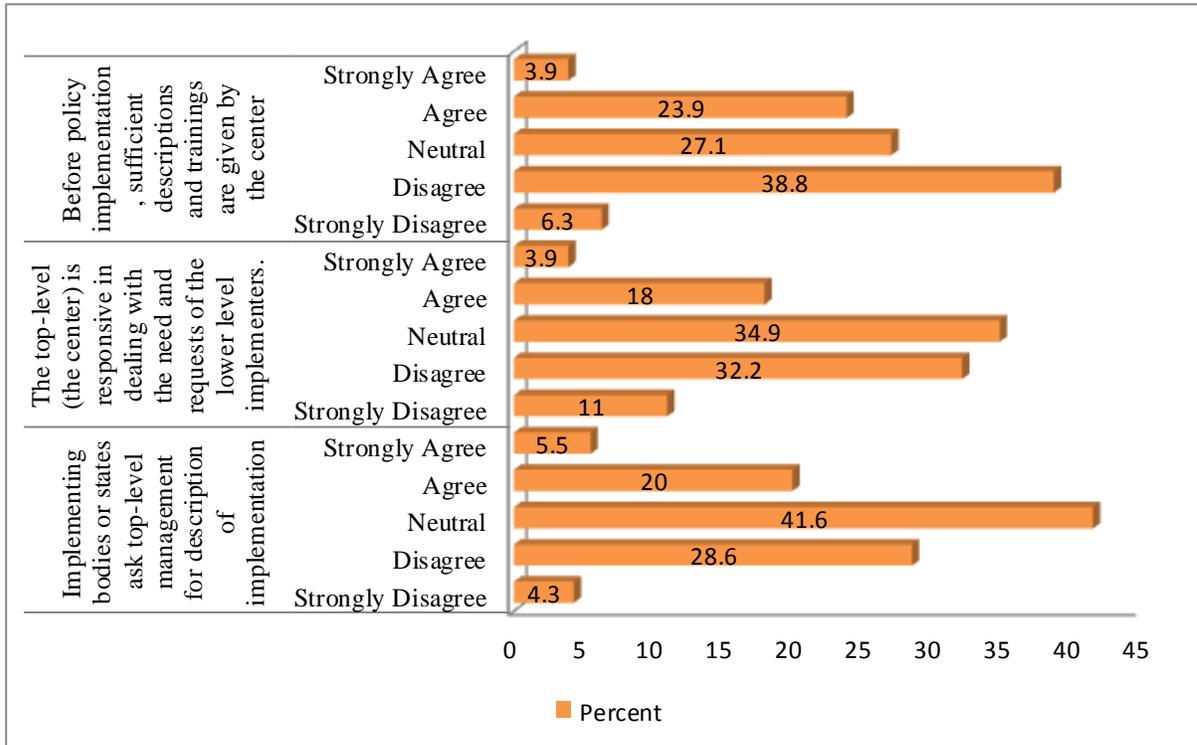


As can be seen in Graph one, there are five descriptive statements to which respondents have to indicate their level of importance. The first statement deals with the assumption that policymakers at the center believe that “conditions at the implementation point (front) are fully smooth and automatic”, for which 13.3% endorsed it. The responses clearly indicate that such assumptions only exist in the minds of unwise or naive policymakers where outcomes are far lower than expected. Moreover, in a bid to know if there is ‘total compliance’ with the top-down or centrally specified policy goals and objectives, only 7.5% of the respondents are attracted to the same.

This response is starkly revealing that a one-sided policy implementation is quite difficult if not totally impossible. However, a little more than half (50.2%) of the respondents confirmed that all of the four statements are commonplace oversights by policymakers. Hence, looking at the first, third and fourth responses together, it can easily be inferred that a number of policymakers in Ethiopia seem to be both naïve and tend to lose sight of the significant factors that affect policy implementation on the ground. In consequence, it can be argued that the frequent policy implementation deficits heard are not without reason.

But for effective implementation, necessary prerequisites have to be put in place. The following Graph (2) depicts how much implementation readiness are put into account.

Graph 1: Implementation readiness



Items stated in Graph 2 require respondents of the degree of their agreement or disagreement as it relates to the practices of providing sufficient descriptions about a policy to be implemented and if it is also accompanied by training program that enhances implementation. To this end, 6.3 % and 38.3% of the respondents confirmed that they strongly disagreed and disagreed respectively. Those who broadly agreed constitute 27.8% of the respondents together, while 27.1% of them remained neutral.

Although one cannot be sure the intentions of the groups who remained neutral, it can be argued that clear and official working guideline, implementation descriptions and training programs are not always the *modus operandi* of policy implementation at least in the study institutions and regional states. This can be considered as one of the causal factors for the frequent policy implementation deficits reports in Ethiopia. According to Weaver (2009), although many implementation challenges can be predicated in advance, the fact that policymakers (legislators) often pay little attention when policies or programs are enacted is the root cause of the implementation plethora.

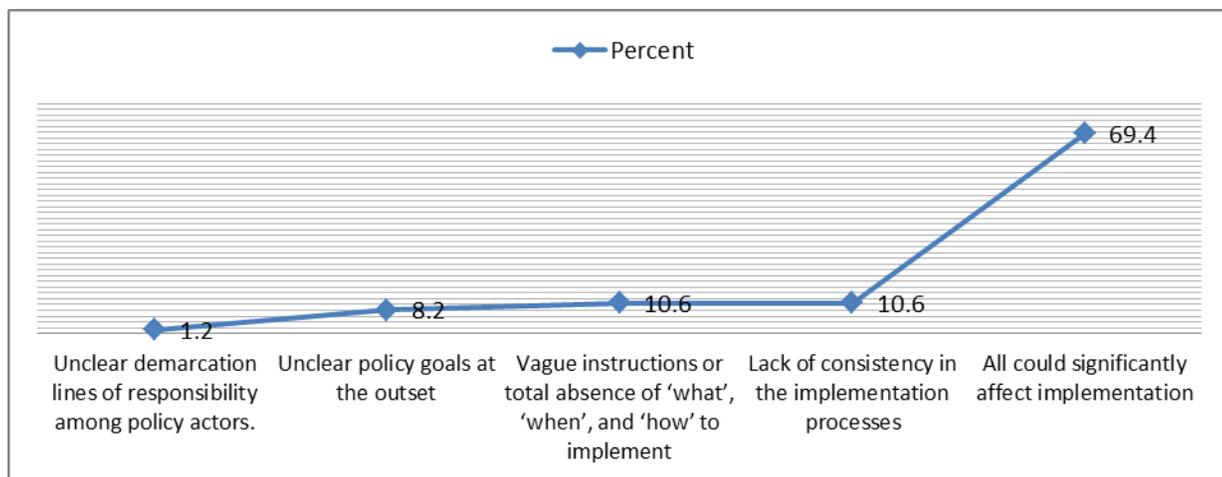
In item 2 of the same graph, 43.2% of the respondents declined or disapproved, while 21.9% of them affirmed. But a considerable number of respondents (34.9%) chose to remain neutral. However, it's clear from the findings that the policy dichotomy is quite dominant by distinctly demarcating the two groups of respondents into policymaking and implementation. Interviews conducted with regional states middle-level managers and senior experts have also confirmed this reality where most of them consented that the relations between the center and

subnational level of conceptualization of policy and its implementation is not to the level desired. Respondents at subnational level characterize their counterparts at center as ‘rigid’ and reflecting a “know all” attitudes rather than attending to practical implementation options proposed by front-line implementers. As a result, instead of forging a cooperative and collegial attitude, inadvertent coercive and confrontational atmosphere seems to dominate their relations.

The third item in the same graph was to find out if lower implementing bodies (states and local) can ask the top-level management bodies for further descriptions as to how to go about implementation. Respondents seem to have been divided along the on-going practices and rule of the game. Similar to item two, a considerable number of respondents (41.6%) chose to remain neutral which is close to half and to be a concern. As these are middle-level public managers and senior experts who are much closer to policy implementation activities, it is difficult to say that it is due to lack of knowledge rather a matter of uncertainty of the subject under consideration. Lack of certainty can be construed as lack of the two essential inputs or services (descriptions and trainings). Moreover, the 32.9% of respondents who proved to disagree to the statement also adds to the lack of attention to the two factors.

Since implementation is unintentionally regarded the duty of the lower level of governance, the center may unintentionally think that it’s the sole duty of the lower level to come up with the ‘beef’, implying the dire obligation to unconditionally comply with what is once said and written. A study by Harrison (2002) shows that the policy-implementation dichotomy in Ethiopia is not only vivid but the center and state level do not have harmonious relationships toward policy implementation. Consequently, the author witnessed a gap between the two levels in her discussion with one policy informant in Addis Ababa whose entrenched views was quoted as follows: “We generate policy, so implementation is not our business” (Harrison, 2002:603). There is no more confirmation than the respondent whose views or attitudes of mutual exclusivity may be shared by others, between policy and its implementation.

Graph 3: Factors greatly affecting policy implementation processes



As can be seen in graph 3, unclear policy goals at the outset, vague instructions such as lack of ‘what’, ‘when’, and ‘how’, inconsistency in the implementation processes were favored by 29.4% of the respondents. However, a great majority of respondents (69.4%) have concluded all of the factors to impede effective implementation. Indeed, almost all implementation scholars have similar views and consensus as clarity of goals is one of the essential elements of effective implementation. Consequently, Keats (2007) is of the view that, “failing to articulate clear and measurable goals for a project is often the first in chain of errors that includes poor information infrastructure, a failure to measure progress, and an inability to demonstrate to funding agencies and policymakers that their money has yielded tangible results”(p.2).

Table 3: Flexibility, duties and accountability, networks and coordination

Descriptions		Frequency	Percent
		N=255	100
Lack of flexible approach is one possible reason for poor policy implementation.	Strongly Disagree	1	.4
	Disagree	31	12.2
	Neutral	40	15.7
	Agree	143	56.1
	Strongly Agree	40	15.7
Implementation challenges are the results of absence of clear and detail duties and accountability guidelines	Strongly Disagree	20	7.8
	Disagree	42	16.5
	Neutral	27	10.6
	Agree	108	42.4
	Strongly Agree	58	22.7
One aspect of policy implementation challenges is lack of creating network governance stakeholders’ consultations and coordinating multiple actors to be on board for implementation	Strongly Disagree	3	1.2
	Disagree	32	12.5
	Neutral	9	3.5
	Agree	89	34.9
	Strongly Agree	122	47.8

In Table 3, item 1, those who confirmed ‘agree’ and ‘strongly agree’ responses comprise of the majority (71.8%), implying that there is lack of implementation flexibility. On the other hand, 12.6% of the respondents generally disagreed, while 15.7% of them remained neutral. The overall implication succinctly shows that policies and their implementation guidelines are designed without implementation alternatives which result in much lower outcomes than expected. This is quite common especially in a top-down policymaking process where rigid implementation guidelines are sent down and implementers are made to adhere, without taking into account of realities operating on the ground. It can, therefore, be inferred that since

policy implementation modality in the country is largely led by such strict “one-size-fits-all” policy, implementation failures are partly attributable to the former.

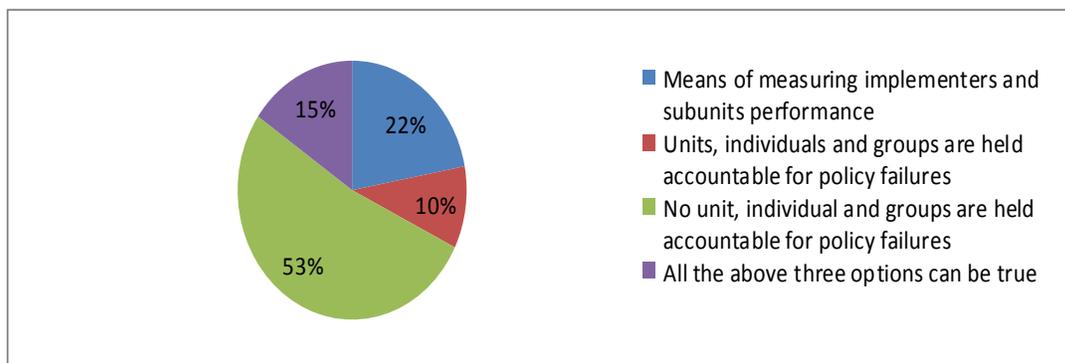
Induced by long centralized traditions, some central public institutions pass strict and water-tight implementation guidelines to be adhered to, regardless of diverse human, geographic and climatic factors in the country. At times, subnational level implementers do not also question the strict top-down guidelines with the fear of “obstruction” (ማደናቀፍ) labels and with the assumption that it is the center’s decision that always “prevails” at the end. As a result, there is no leeway or alternate implementation avenue. On the other hand, scholars argue against such “one-size-fits-all” attitudes. For instance, Payne (2008) argues that looking only for general solutions and not acknowledging particular contexts can lead to incoherent implementation efforts. The scholar further upholds the view that successful implementation can only be achieved when there is coherence, stability, peer support, training, and engagement of all the concerned.

Spillane et al., (2002) argue that contrary to general assumptions, local implementing agencies do not simply act on policy provision by the center like “docile bodies” (p. 389). Rather, they interpret the policy and try to work out the practical demands that the policy puts on them before acting on it (interpretation and understanding of policy provisions which is a cognitive process). This makes cognition or ‘sense-making’ to precede real action (implementation).

On the other hand, policy implementation in a federal system is believed to provide flexible way of dealing with for both center and subnational levels. However, owing to the age-old policy centralization traditions, there is always resentment and half-hearted participation at subnational levels as implementation guidelines sometimes out-step governance jurisdictions. This in turn induces resistance on the part of immediate front-line implementers in a way top-downers may not notice of its final repercussions.

Accountability is one of the principles of good governance. However, common implementation practices in Ethiopia tend to show that there is lack of clear-cut accountability attached to policy implementation and its consequences. Respondents were made to provide their views on the same subject and the following table depicts the response as portrayed in the next graph.

Graph 4: Level of implementation accountability



From the Graph(4) above, 53% of the respondents confirmed absence of mechanism put in place for holding the above units or persons accountable, while 10 % of them affirmed the opposite. Almost all interview participants, including those in higher government echelons, are also of the view that there is no concrete accountability against policy implementation failure or failing to deliver services; it “is not a serious subject and common trend” in the country. The interviewees further explained that the maximum that public managers or political leaders face as a result of implementation failure is “removal from current position”, and the modest explanations are that they are “not able to lead”, “low capacity” (*beaqim manes*), and related attributes instead of being determined and “sharp” to identify persons or institutions to account for their failures. Respondents further added that the dramatic scene seen during such instances is that “after a while, sacked leaders are found to be re-assigned in higher level of governance positions which could be interpreted as a ‘reward’ rather than facing concrete and itching disciplinary measures”.

The response of one of the Speakers of the House, however, emphasized the fact that the people have come to a level where they clearly began to talk about the leadership and their failures as follows:

*As of recent, people have begun to openly speak and are determined not to tolerate the “unfulfilled promises” by some persons in the leadership position on the grounds that they (persons in the leadership) ‘always promise to correct their mistakes but remain in vein’. As a result, people do not want them to continue in the leadership position. This can pave the way for realizing policy accountability in public institutions (an excerpt from a full interview dated 25/07/2009 E. C. in one of the study regional states).*

In the interview conducted with the three standing committees of the FDRE House of People’s Representatives (HPRs), it was revealed that after evaluating the performance of the executive branches, “the only thing it can do is reporting the findings to the Prime Minister. This is communicated through the Speaker of the House”. Though the FDRE constitution stipulates that the executive is accountable to the House, it is not clear why the Prime Minister has to take measures over the executive for its poor implementation records.

## **5. Conclusion and Recommendation**

### **5.1. Conclusion**

The policy dichotomy and its challenges to implementation is largely felt and practiced in Ethiopia. This entrenched outlook has also created two main policy loci which are mutually exclusive. It also nurtured that a policy always transcends and at most ‘eternal’. In the Ethiopian political discourses, such views are also enunciated by top government officials where policies are generously labeled as “*zementeshagari*”, to imply sustain beyond the present, emulated by the mainstream media. This precludes accountability to policy implementation deficits and also closes the window of change in the face of rapid socio-economic and political dynamism to which public policies are subservient.

The policy dichotomy perception has also tacitly created two extreme policy loci (policymaking and policy implementation), where each of them is given a separate package and agency. Unfortunately, such dichotomous notions divide policy actors disregarding policy process as a continuum. Attempts to create dichotomy also pave ways for escaping accountability while as a prime agent, government cannot shirk responsibility when policy goals not are achieved. While most public institutions produce flowery implementation performance reports, it is, however, common to see and hear from the mainstream media that almost all reports presented to the House of People's Representatives (HPRs) are caught between arguments and counter-arguments where institutional performances are either far behind the set goals and some in their beginning stages but millions and billions of public resources have been spent as indicated by the Auditor General Office's financial audit findings featured in bold on the daily Addis Zemen as follows:

*More than 763 million Birr has been found as deficits; more than 5.2 billion Birr accounts are not settled; more than 1 billion Birr revenue has not been collected; and more than 1 billion birr bank interest has been paid for the fertilizer factory whose construction is not complete (Addis Zemen 76<sup>th</sup> Year No. 263, 'Rebui' (Wednesday, 'Ginbot' 23/2009).*

The implication of the above is crystal clear: accountability is loose where policy implementers are not held to account for any failure or short of expectations. One more recent testimonial report by Policy Research Institute (PRI) is presented as follows:

*The level of accountability measures in failing to accomplish entrusted public office is as follows: For the leadership, the punishment made is to remove from one position or place to another... Since the leadership believes that he/she will be assigned in other post or place, he does not mind (fear) of facing accountability (PRI 2016, as translated from Amharic).*

## **5.2. Recommendations**

1. Public policies emanate from prevailing needs and are thought to be purposeful and target-oriented. To respond to target needs, policy goals and objectives have to be clear and understood by stakeholders in order to have receptive targets who can actively take part in the implementation process.
2. Policymakers and implementing agencies at various stages should understand that success of a given policy depends on coherent and conscious consent of groups, coalition of partners within and outside of an agency, ministry or department to ensure the essential principle of "policy with publics".
3. Pursuing a federal system of governance, where diverse needs have to be taken into account, flexibility and discretionary power has to be allowed for innovation and creativity to the implementation process at subnational level. This discourages the

“one-size-fits-all” subnational implementation strategies to the detriment of a policy in question.

4. Moving away from the age-old centralized policy legacies, there is a need to do away with the temptation of failing to consider the present sociopolitical context (federalism) of the country. It is, therefore, recommended to democratize the entire policy process where stakeholders (governmental and non-governmental) at all levels widely take part in order that negotiation and pluralistic policy approach will prevail over the technocratic and elitist approaches now seem to dominate the policy landscape in Ethiopia.
5. From the study, it was concluded that there are instances where policy implementation gaps have been indicated by the respondents. While the causes could vary depending on the existing realities in each governance levels, lack of dedication and accountability were identified in the current policy implementation processes and achieving set goals and objectives. In response, there have to be clear compliance with norms and sound accountability to be realized.
6. Most policy implementation gaps have been attributed to what are known as ‘conventional constraints’, which are related to lack of clarity of goals, governance structures, resources, etc. But the cognitive aspect of implementers has nowadays become clear and integral part of the constraints which call for attending to the neuro-cognitive needs of implementers. To this end, planned and merit-based incentive packages have to be in place to motivate implementers on the front-line (grass-root levels)
7. Many respondents believed that most policies that have been put in place nearly two decades back have not been evaluated and revised. This has led to a situation where popular grievances are brewed up and result in undesirable consequences. It is, therefore, important that the government frequently assess, evaluate and revise public policies to fit for purpose and avoid likely political back lashes due to lack of relevance.

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## **E-Tourism Readiness in Ethiopia: Particular Reference to Federal Institutions**

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### **Abstract**

*Governments around the globe are striving for providing a wider and flexible range of public services tailored for all types of customers in a most efficient manner in terms of cost, time, and convenience. Based on the survey of 137 experts, Ordinal logistic regression model was estimated to identify factors that affect e-tourism readiness in Ethiopia. Expert's subjective assessment was used to measure the status of readiness to implement e-government initiatives. The empirical results show that the level of e-tourism readiness is medium. While organizational commitment, technical capacity, and employees' readiness found to have significant effect on the rank of e-tourism readiness, managerial competence appears to have no association at all. Results indicate that interventions aiming at promoting organizational commitment, enhancing technical capacity, and advancing employees' capacity attitude and initiation will immensely contribute to implement e-government projects. In general, the results of the study provide the implication that improving institutions readiness to implement e-government initiatives in the tourism sector in Ethiopia calls for adoption of diverse strategies and policies.*

**Key words:** e-government, e-tourism, e-readiness, Ethiopia

### **1. Introduction**

Access to information is one of the rights a democratic society aspires to have. More recently, technological advancement made access to information easier and faster. The surprising growth of information and communication technology (ICT) is changing various aspects of our life. Likewise, governments around the globe are striving for providing a wider and flexible range of public services tailored for all types of customers in a most efficient manner in terms of cost, time, and convenience. The advancement of ICT totally changed the way public services are provided. More specifically, the introduction of the internet and World Wide Web (WWW) in the 1990s has improved governments service provision ability. Government activities have been supported by technological developments in different ways.

In more advanced democratic nations, citizens can get public services; complain about services; sign petitions; and pay taxes online. These days, many countries in the developing world are showing progress. As Degryse-Blateau (2012) put it, however, "governments must be more strategic in mobilizing limited resources to effectively respond to citizens' needs, keep them informed and build sustainable bridges between public institutions and citizens."

The term e-government is defined differently by different scholars. In general, e-government is use of information and communication technologies (ICT) as a delivery channel for public services. According to the World Bank (2005), e-government is about:

*the use by government agencies of information technologies (such as Wide Area Networks, the Internet, and mobile computing) that have the ability to transform relations with citizens, businesses, and other arms of government. These technologies can serve a variety of different ends: better delivery of government services to citizens, improved interactions with business and industry, citizen empowerment through access to information, or more efficient government management.*

Similarly, according to United Nations Educational, Scientific and Cultural Organization (2005) e-government is "the use of Information and Communication Technologies to promote more efficient and effective government, and make it more accessible and accountable to the citizens." That is, e-government is about the utilization of ICTs to enhance efficiency and effectiveness of government, make government services accessible, and allow greater public access to information. E-government, as Fountain (2001) calls it 'virtual state', is a digital "government that is organized increasingly in terms of virtual agencies, cross-agency and public-private networks whose structure and capacity depend on the Internet and Web".

Usually, reforms inspired by the New Public Management (NPM) tend to focus on improving the performance of public servants and managers (Andrews, Downe, Guarneros-Meza, Jilke & Van de Walle, 2013). Public sector reforms are expected to craft a system of serving the customers in an efficient manner (Cameron, 2010) by removing bad practices of the old public administration such as red tape and inflexibility. It is argued that information and communication technology plays significant role for the effective and efficient service delivery. Many governments used information and communication technologies (ICTs) to inform their citizens about public policies and to provide public services. The tourism sector is no exception. Such technology-driven administration in the tourism sector is known as e-tourism. These efforts can be considered as the reform efforts with the aim of providing tailored goods or services as opposed to the traditional "one size fits all" approach (Chadwick and May, 2003). According to, Buhalis and Deimezi, (2004) "e-tourism reflects the digitalization of all processes and value chains in the tourism, travel, hospitality and catering industries". It includes business and service delivery aspects to enhance the efficiency of the tourism organization. E-tourism is a multidisciplinary concept. Specifically, disciplines such as business management, management information systems and tourism are intellectual domains of e-tourism (Buhalis, 2003; Buhalis & Jun, 2011).

For the success of the tourism sector, the quick flow of accurate information between the tourist/customer and tourism service providers is vital. Given that tourism is information intensive industry ICT has become increasingly important at every stage in the provision of

tourism services. Information technologies "provide innovative strategic tools for tourism organisation and destinations to improve both their operations and positioning" (Buhalis & Jun, 2011). Of course, there are factors that significantly affect the success of e-tourism initiatives. For example, in an investigation into the Korean small and medium-sized tourism enterprises, Kim (2004) found that system security, Web interface, managerial support, IT infrastructure, and customer acceptance as important success factors.

However, many e-government projects in developing countries are "failing either totally or partially" (Heeks, 2002). This is mainly due to the huge gap between project design and reality (Heeks, 2003). In addition, Guida and Crow (2008) listed other factors that contribute to such failures. Some of the factors include, lack of public participation and transparency; change resistance nature of the bureaucracy; lack of skilled personnel, and corruption and poor governance.

To bring about efficiency, the Ethiopian public administration system has gone through series of reforms on different fronts. The civil service reform program is one of the reform programs that the current government has taken seriously. Recently, Ethiopia has made significant progress in introducing ICT in the public sector, in general, and in the tourism sector, in particular. The country attempts to accrue the benefits of ICT use to transform traditional public administration landscape to a modern, transparent, and citizen-centered one that ensures cost-effective and cost-efficient delivery of public services. Yet, e-government projects in Ethiopia, like many others in developing countries, are not delivering the intended results. For instance, Lessa, Negash and Belachew (2012) analyzed the land management information system in Ethiopia and concluded that the system is failing partially. They identified "large gaps between design and reality" as the main reason for the failure. The more serious gaps are linked to (1) failure to craft organizational structure as intended; (2) levels of competency fell short of expectation, and (3) lack of commitment to the objectives and values of the system among all stakeholders. This study provides important insight that e-government projects are failing because implementing agencies are not ready enough to implement e-government.

In the same vein, Kifle (2016) notes poor leadership commitment and knowledge; poor IT skills; tendency to stick with traditional service delivery mechanisms; poor website design and contents; and unaligned e-service platforms as bottlenecks for successful e-government implementation in Document Authentication and Registration Agency (DARA) in Ethiopia. Overall, these studies outline the need for assessing the level of e-government readiness on the basis of well-defined set of indicators for the successful implementation of e-government initiatives.

This research is, therefore, conducted to answer the following research questions.

1. What is the level of e-tourism readiness in Ethiopia?
2. What are the main factors that affect e-tourism readiness?

3. How do experts perceive of e-government for promotion of good governance in tourism sector?

The primary objective of the study is to identify the factors that affect the level of readiness to implement e-government in the Tourism sector in Ethiopia. Specific objectives of the study are:

1. To examine level of e-tourism readiness in Ethiopia.
2. To identify the factors that affects the level of readiness to implement e-government in the tourism sector in Ethiopia.
3. To assess perception of e-Government for promotion of good governance in tourism sector.

This study is about e-governance readiness in the tourism sector in Ethiopia. It limited in relation to the geographic scope as it focuses on the tourism organization at federal government level, that is, Ministry of Culture Tourism (MoCT), Ethiopian Tourism Organization (ETO), Catering and Tourism Training Institute (CTTI), Ethiopian Wildlife Conservation Authority (EWCA), and Authority for Conservation of Cultural Heritages (ACCH)).

This study is of significance importance in many fronts. First, this study would provide fresh empirical evidence regarding the e-tourism readiness in a developing country context. Second, this research would have policy significance by identifying major factors that affect e-tourism readiness in the country. Accordingly, considering the attention e-tourism is gaining, lessons would be drawn from the findings of this study.

This paper is structured as follows: at the beginning, introductory notes are briefly laid out. Second, the literature on e-government is reviewed. Subsequently, the methodological aspects of the study are laid out. Then, the results of the survey are presented. Lastly, conclusion and policy relevant recommendations are outlined.

## **2. Review of Related Literature**

### **2.1 Reform Trends in Public Administration**

The traditional public administration system has gone through serious of criticisms for being rigid, incompetent and poorly structured (World Economic Forum, 2011). According to Hughes (2003) the problems of traditional public administration are associated with three issues. First, the public sector is too big that consume large portion of the scarce resource. Second, the scope of the public sector is too large as it involves in many activities. Third, the method of governance that solely relays on bureaucratic red tapes.

Early 1990s the New Public Management (NPM) come into sight with the aim of addressing the problems of traditional public administration. NPM reforms mainly focus on improving the flexibility and performance of the public sector (Andrews et al., 2013). That is, post NPM reforms tend to focus on boosting citizen participation, transparency, and good governance. In this era of globalization, with the availability of new technologies the demand from citizens has being increasing dramatically. In this respect," the use of ICT not only improves the

traditional processes of public administration, but also opens up new opportunities" (WEF, 2011).

According to WEF (2011) the future of government will be a FAST - Flatter, Agile, Streamlined, and Tech-enabled. First, future governments will be flatter. That is the gap between citizens and government as well as hierarchies between top management and line personnel will decrease which means higher citizen participation and better administrative efficiency. Second, governments are going to be agile. That is, governments will become innovative and responsive to citizens' demand. Third, they will become streamlined meaning that they will become slim and smooth organization. Finally, future governments will be tech-enabled government, that is, fully technologically enables with a tech-savvy workforce. The integration of enabling tools such as new technologies is vital for successful public sector reforms.

## **2.2 Stages and Classifications of e-Government**

Though different scholars propose different stages through which e-Government should go through, the widely referred one is a five-stage model of e-government development introduced by the United Nations and the American Society for Public Administration (2002). The first stage is the 'emerging' stage. At this stage, the government shows its presence online. In the second 'enhanced' stage, the digital foot print of the government is increased by increasing dynamic government websites. Third, users will be able to interact with government officials via government websites in this 'interactive' stage. The fourth 'transactional' stage allows users to make financial transactions online. In the last 'seamless' stage, government agencies are able to provide services in an integrated manner.

According to Backus (2001), government, citizens and businesses/interest groups are the most important target groups in e-government. Backus (2001) notes that "external strategic objectives focus on citizens and businesses and interest groups, the internal objectives focus on government itself". E-government is about the interaction between governments and citizens (G2C), businesses (G2B), and government agencies at different levels (G2G).

### **Government to Citizen – G2C**

This form of e-government allows governments to provide information and efficient and transparent services to citizens. That is, citizens will be able to access information regarding government agencies (the mission, vision, organizational structure, opening hours, contact information etc), make inquiries, make appointments, and receive public services.

### **G2B – Government to Business**

G2B refers to the online interaction between governments and businesses. It is a two-way interaction: government-to-business and business-to-government. The former deals with how the government interacts with businesses. The later, on the other hand, focuses on how businesses provide goods and services to government.

### **G2G – Government to Government**

In G2G, governments deal with their own agencies in an effort to boost the efficiency and effectiveness of public service delivery and other government operations. G2G is also known

as Government Controllershship. It is about putting in place different mechanisms to keep an eye on various organizational activities.

## **2.4 E-Government in Ethiopia**

More recently, the political agenda of the Government of Ethiopia (GoE) is to digitize the country for the successful realization of Ethiopian development goals. In this section, complex set of issues concerning policy frameworks for e-government in Ethiopia are discussed so as to understand the overall situation.

The national ICT policy of Ethiopia envisions life of very Ethiopian to be "ICT assisted". The policy has identified major thematic areas including e-government. E-government anticipates an efficient and effective delivery of public services through the implementation ICT. Accordingly, the GoE drafted national e-government strategy and implementation plan in association with Pricewaterhouse Coopers Pvt. Ltd. (Ministry of Communication and Information Technology, 2011).

Ethiopian e-government Strategy proposes the realization of 219 e-services composed of informational (79) and transactional services (140). Twelve priority projects were proposed among which is e-Tourism. Moreover, portals, call centers, mobile devices, and common service centers are the main channels through which the services are planned to be delivered. To facilitate service delivery projects such as, National Data Set, Enterprise Architecture framework, National Payment Gateway, Public Key Infrastructure, National Enterprise Service Bus, and National integrated Authentication Framework are proposed. Furthermore, e-Procurement, Human Resource Management System, and e-Office are some of the common applications which are expected to serve all government agencies horizontally (MoCIT, 2011).

According to MoCIT (2011), the Strategy is designed to keep on the guiding principles of e-Government. The guiding principles include, promoting e-democracy, transforming processes, building capacity, integrating government agencies, enabling citizen-centric services, providing multi-channel public services delivery, providing well-situated access of information to all, and enabling development through participation of all segments of population.

According to the United Nations e-government Survey, Ethiopia is the second best performer in online service delivery among low income countries next to Rwanda was and followed by Kenya in 2014. In the words of the United Nations (2014), "Ethiopia is one of the best performing LDCs in online service delivery, ahead of many wealthier countries, including a number of European nations." This global survey report has ranked Ethiopia 72 among 189 countries with an online service delivery index value of 0.4567. That makes the East African nation one of 74 countries that have a medium e-government development index (EGDI) with the value of 0.2589. The latest e-government survey (UN, 2016) reported that Ethiopia has shown significant progress in e-government development over the past decade.

### **3. The Methods**

To address the core research objective of this study, this chapter provides a suitable research methodology. This chapter is organized as follows. The first section deals with the research approach to research design. The second section describes data collection technique and instrument. The third section provides a brief description of the sampling technique followed. Then, methods of data analysis and specifications of analysis models is described in the fourth section. Finally, section five provides descriptions of dependent and explanatory variables.

#### **3.1 Approach to Research Design**

This study makes use of both descriptive and explanatory types of research. Descriptive research, as the name indicates, tends to describe the phenomena in its present form on the basis of observations, surveys, etc. (Kothari, 2004). Like many descriptive researches this study describes the level of readiness to implement e-government in the tourism sector in Ethiopia. Explanatory research types, on the other hand, tend to focus on explaining why and how the phenomena occur by examining the cause-and-effect relationships (Sharma, 2000). Accordingly, this paper examines the main factors that affect the level of readiness to implement e-government in the tourism sector in Ethiopia. It explains how each factor affect the level of readiness. To do so, this study utilizes a quantitative research approaches.

#### **3.2 Data collection technique and instrument**

Questionnaire is one of the instruments used to gather data for quantitative analysis. Particularly, it is an ideal tool for large sample size as it is easy and relatively cheap to administer. Accordingly, questionnaire was administered to experts working in the tourism sector in Ethiopia.

#### **3.3 Sampling technique and Sample Size**

Using the appropriate sampling formula (Kothari, 2004) sample size is determined.

$$n = z^2 / \delta^2 [ p(1- p)] \quad (1)$$

Where n = desired sample size

Z = critical standard score (Z statistic = 1.96)

P = population proportion (0.5)

$\delta^2$  = level of significance (0.08)

Given these inputs, we can find the sample size n that provide the required level of significance. Hence, the desired sample size was 192. Experts working for five federal institutions in tourism sector are selected at random. Therefore, questionnaires were distributed to experts working for Ministry of Culture Tourism (MoCT), Ethiopian Tourism Organization (ETO), Catering and Tourism Training Institute (CTTI), Ethiopian Wildlife Conservation Authority (EWCA), and Authority for Conservation of Cultural Heritages (ACCH). Finally, 137 questionnaires are returned with return rate of 71.35%.

### **3.4 Operationalization**

#### ***Dependent variable***

In this study, e-government readiness, is taken as dependent variable. e-government readiness refers to "the existence of policies, funding and capability for e-Government" (Fitsilis, Anthopoulos & Gerogiannis, 2009).

#### ***Independent variables***

Before the logistic regression model is fitted, there is a need to conduct Exploratory Factor Analysis (EFA) to construct independent variables. EFA is a statistical method that is ideal to reduce data into a smaller set variables. Such kind of analysis is vital to "determine if a series of dimensions or factors exist in the data and whether they are interpretable in a theoretical sense" (Hooper, 2012). Hence, to evaluate whether series of dimensions exist, 17 items were analyzed on the basis of principal axis factoring method of extraction. Kaiser Normalization rotation method was employed as this method is ideal in cases where factors are expected to be interrelated with each other (Costello & Osborne, 2005; Hooper, 2012).

The Kaiser-Meyer-Olkin (KMO=0.886) value produced is higher than the adequate value 0.7 and the Bartlett's Test of Sphericity is statistically significant. Both the scree test criteria and the Eigenvalue criteria confirmed the extraction of the above mentioned factors. Furthermore, based on cumulative variance criterion the four factors extracted captures 64.768% of the variance which meets the 60% threshold. Moreover, the Pattern Matrix, one of the most interesting results of the EFA, indicates that the items are grouped into four dimensions.

Table 1 Pattern Matrix for Coefficients

No.	Item	Factor			
		1	2	3	4
1	Commitment to implement e-government projects	<b>0.998</b>	-0.099	-0.139	0.077
2	Commitment to spread projects across admin. units	<b>0.955</b>	-0.205	-0.021	0.116
3	Commitment to act upon e-government plan	<b>0.752</b>	0.038	0.079	-0.015
4	Support for the maintenance of e-government system	<b>0.642</b>	0.235	0.165	-0.164
5	Support for new e-government initiatives	<b>0.639</b>	0.291	0.078	-0.119
6	Reliable infrastructure to sustain e-government projects	<b>0.460</b>	0.285	0.256	-0.104
7	Systematic assessment of quality standards of e-services	-0.056	<b>0.939</b>	-0.015	-0.007
8	Coordination of local, state and national e-government initiatives	-0.085	<b>0.747</b>	0.010	-0.015
9	Quick and timely decision making	0.128	<b>0.702</b>	0.104	0.089
10	Quality management system	0.009	<b>0.648</b>	-0.272	0.317
11	Use of application software	0.109	-0.014	<b>0.799</b>	0.051
12	Integration of online and offline applications	-0.074	0.083	<b>0.711</b>	0.069
13	Availability of sufficient hardware equipments	0.196	-0.348	<b>0.639</b>	0.133
14	Provision of remote access of services	-0.110	0.274	<b>0.601</b>	0.041
15	Attitude of employees towards e-government projects	0.113	-0.040	0.108	<b>0.791</b>
16	Computer knowledge and skill among employees	-0.184	0.133	0.230	<b>0.565</b>
17	Employees initiative to implement e-government projects	0.205	0.262	-0.061	<b>0.425</b>
Variance Explained		47.23%	7.69%	5.99%	3.85%

**Note:** Extraction Method: Principal Axis Factoring.

Rotation Method: Promax with Kaiser Normalization.

Source: Field Survey, 2017

The Cronbach's alpha ( $\alpha$ ) value, a reliability test that assesses if items in each scale measure the same attribute, is well above the 0.7 threshold. The first dimension contains six items ( $\alpha = 0.932$ ). This measures the *organizational commitment* to implement e-government initiatives. This component indicates the extent to which institutions are ready to successfully implement of e-government programs. The second dimension consisted of four items ( $\alpha = 0.842$ ) which measures *managerial competence* indicating public managers readiness to convert public policies into administrative actions. The third factor captures the *technical* aspect on the basis of four items ( $\alpha = 0.824$ ). *Technical capacity* indicates the extent to which technical indicators such as software and hardware equipments are available, and the online and offline application are integrated. Finally, the fourth factor captures *employees' readiness*.

This factor is constructed from three items ( $\alpha = 0.731$ ). This component contains knowledge, skill, and attitude of employees on e-government as a proxy indicator on how ready the employees are to implement e-government programs.

As indicated earlier, from the Exploratory Factor Analysis it is decided four factors to be extracted. These factors would be used as explanatory variables in forthcoming regression analysis. Hence there is a need to combine items in each the component and create a single index (factor score). There are multiple ways to do so. They are ranging from the simplest methods that adds together scores on all items that have factor loading to the most complex ones (i.e. Regression Scores, Bartlett Scores, and Anderson-Rubin Scores) that offer linear estimates of the factor scores (DiStefano, Zhu & Mîndrilă, 2009; Uluman & Doğan, 2016). Bartlett factor scores is believed to produce unbiased result. In the view of DiStefano *et al.* (2009), using Bartlett method has advantages due to the fact that "factor scores only correlate with their own factor in an orthogonal solution [...] resulting coefficients are unbiased and, therefore, more accurate reflections of the cases' location on the latent continuum in the population". Accordingly, factor scores generated on the basis of Bartlett method are ready for regression analysis.

### 3.5 Data Analysis Method

The data obtained by administering questionnaires are analyzed using descriptive and inferential statistics techniques. For the first and third questions, the tools for quantitative data analysis are descriptive in nature, that is, percentages, frequencies, and test of proportion.

The second research of this study involves sophisticated method of analysis, namely Explanatory Factor Analysis (EFA) and Ordinal Logistic regression. Explanatory Factor Analysis "allows the researcher to determine the underlying dimensions or factors that exist in a set of data" (Hooper, 2012). This method is instrumental to determine if variables are structured in a way to reproduce another a 'latent variable'(Beaumont, 2012).

#### *Model Specification*

In this study, the dependent variable is ordinal, that is, the rank can be determined but the true distance between groups cannot be identified. In this case, ordinal regression analysis, an ordinal dependent variable explained by other independent variables (nominal, ordinal or continuous), is ideal (Agresti, 2007).

Next, the logistic regression can be modeled following Norušis (2012). Logistic regression focuses on modeling the outcome  $\log[p/(1-p)]$ . The function can be defined:

$$\text{logit}(p) = \log[p/(1-p)] \quad (2)$$

A binary logistic regression model can be express in the model below.

$$\log [p/(1-p)] = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \dots + \beta_k X_k \quad (3)$$

An ordinal logistic regression can be modeled by modifying the above binary logistic regression model to fit in the ordinal nature of a dependent variable. Here, instead of considering the probability of an event, cumulative probability of events is considered. In

other words, , the outcome of interest in ordinal logistic regression is the probability of observing a certain score or less. It can be expressed in following odds:

$$\ln(\theta_1) = p(\text{score of } 1) / p(\text{score greater than } 1)$$

$$\ln(\theta_2) = p(\text{score of } 1 \text{ or } 2) / p(\text{score greater than } 2)$$

$$\ln(\theta_3) = p(\text{score of } 1, 2, \text{ or } 3) / p(\text{score greater than } 3)$$

The odds can be organized in the following form:

$$\ln(\theta_j) = p(\text{score} \leq j) / p(\text{score} > j) \quad (4)$$

The equation (4) can also be written as:

$$\ln(\theta_j) = p(\text{score} \leq j) / [1 - p(\text{score} \leq j)] \quad (5)$$

The ordinal logistic model for multiple independent variable is then :

$$\ln(\theta_j) = \alpha_j - \beta_1 X_1 - \beta_2 X_2 - \dots - \beta_k X_k \quad (6)$$

Where  $\alpha_j$  are the threshold values and  $\beta_{1-k}$  are coefficients (Location)

$$\ln(\text{READY}_j) = \alpha_j - \beta_1 \text{ORGCOM} - \beta_2 \text{MANCOM} - \beta_3 \text{TECHCAP} - \beta_4 \text{EMPREAD} \quad (7)$$

Here the negative signs are put deliberately. As Norušis (2012, p71) puts it .

*It is not a typo that there is a minus sign before the coefficients for the predictor variables, instead of the customary plus sign. That is done so that larger coefficients indicate an association with larger scores. When you see a positive coefficient for a dichotomous factor, you know that higher scores are more likely for the first category. A negative coefficient tells you that lower scores are more likely. For a continuous variable, a positive coefficient tells you that as the values of the variable increase, the likelihood of larger scores increases. An association with higher scores means smaller cumulative probabilities for lower scores, since they are less likely to occur.* Subsequently, in the next chapter, an ordinal logistic regression is run on the basis of equation (7).

## 4. Results and Discussions

This chapter is composed of three sections. The first section presents a description of characteristics of the respondents. Factors that affect e-Tourism Readiness is presented in section two. Section three presents the study results with respect to perception on e-government to promoting good governance in the tourism sector in Ethiopia.

### 4.1 Description of respondents

The average age of the participants in this study is 37 years (SD=8.8), ranging from 23 to 60. As can be seen in figure 1, Male respondents comprised of 75% compared to 25% female respondents. Marital status is categorized in two groups as married and non-married. The non-married category includes those who are single, widowed, divorced or separated. Out of the total 134 civil servants who responded the questionnaire 80 (60%) are married and the remaining 54 (40%) non-married.

Furthermore, the vast majority of the respondents, 95.5%, have a minimum educational level of bachelor degree, whilst 4.5 % possess an educational level of diploma. This indicates that that most of the respondents are well educated.

According to the survey, 57.5% of experts rated the e-tourism readiness in Ethiopia as moderate. This indicated that there is a room for improvement as e-tourism initiatives require higher level of commitment and readiness. Subsequently, major determinants of e-government readiness in the tourism sector in Ethiopia will be identified on the basis of logistic regression model.

### 4.3 Factors that affect e-Tourism Readiness

To identify major determinants of e-tourism readiness in Ethiopia logistic regression model was used. At this juncture, there is need to verify whether the model is fit enough to the outcome by comparing the -2 log-likelihood (-2LL) of the empty model ( $X^2=246.318$ ) and final model ( $X^2= 212.221$ ). Accordingly, the model fitting information indicates that the Final model provides statically significant improvement over the intercept-only model ( $X^2=34.098$ ,  $p=0.000$ ). The pseudo  $R^2$  values (Nagelkerke = 0.267) indicates that the model explains 26.7% of the variation between experts assessment about e-government readiness in the tourism sector. Furthermore, the test of Parallel Lines indicates that proportional odds (PO) assumption is not violated ( $X^2=12.585$ ,  $p=0.053$ ) as we are failing to reject the null hypothesis which states that the slope coefficients are the same across response categories.

Another assumption of ordinal regression is that the independent variables must not be highly correlated with each (i.e. no multi-collinearity). These assumptions are tested on using the technique of variance inflation factor (VIF). It is found that all the explanatory variables have no multi-collinearity problem as VIF value does not exceed 10. After confirmed that all of the assumptions are not violated the ordinal regression is run. Subsequently, the effects of each factor on e-government readiness are presented.

Table 2 Summary of ordinal logistic regression analysis for variables predicting e-tourism readiness

Predictor	B	SE	$e^B$
Organizational commitment	0.500*	0.240	1.65
Managerial competence	-0.139	0.213	
Technical capacity	0.527*	0.229	
Employees' readiness	0.426*	0.173	
N	134		
Pseudo $R^2$ (Nagelkerke)	0.267		
Chi-Square (Model)	34.098***		

**Note:** \*, \*\*, and \*\*\*  $P < 0.05$ ,  $P < 0.01$ , and  $P < 0.001$  respectively.

B= Coefficients;  $e^B$  = exponentiation of B; SE = Standard errors

Source: Field Survey, 2017

### 4.3.1 Organizational Commitment

As indicated in table 2, organizational commitment is found to be one of the significant factors that affect the level of readiness e-government initiatives. If organizational commitment, as measured by experts subjective assessment, increases by one point, the ordered log-odds of being in a higher e-tourism readiness score category would increase by 0.5 while the other variables in the model are held constant. In other words, as organizational commitment increases by one unit the odds ratio for scoring higher e-government readiness point increase by 1.65 times, holding other factors constant.

**Table 3 :** Organizational Capacity

No.	Item	Very Low (a)	Low (b)	Medium (c)	High (d)	Very High (e)	Z-test a+b versus d+e
1	Commitment to implement e-tourism projects	8(5.8%)	23(16.8%)	41(29.9%)	45(32.8%)	20(14.6%)	<b>2.325</b>
2	Commitment to spread e-tourism projects	16(11.7%)	24(17.5%)	43(31.4%)	38(27.7%)	16(11.7%)	1.025
3	Commitment to act upon the plan	13(9.5%)	31(22.6%)	53(38.7%)	30(21.9%)	10(7.3%)	-0.288
4	Support for the maintenance of e-g tourism t system	19(13.9%)	33(24.1%)	45(32.8%)	31(22.6%)	9(6.6%)	-0.882
5	Adequate and timely fund for new e-tourism	18(13.1%)	41(29.9%)	44(32.1%)	26(19.0%)	8(5.8%)	-1.757
6	Reliable infrastructure to sustain e-government system	18(13.1%)	30(21.9%)	51(37.2%)	26(19.0%)	12(8.8%)	-0.712

Source: Field Survey, 2017

Table 3 displays the level of institutional readiness in Ethiopian tourism sector. It is revealed that there is high commitment from the government to implement e-governance programmes and spread e-government initiative to entire administrative units. On the other hand, allocation of adequate and timely fund for new e-tourism initiatives as well as support for the maintenance of e-government system is rated as average.

### 4.3.2 Managerial Competence

One of the main roles of public managers is to convert public policies into administrative actions. To do so, they are required to have a better coordination of local, state and national e-government initiatives, systematic assessment of quality standards, and quick and timely decision making. Since the Wald test statistic (cf Table 2) for the predictor managerial competence is 0.423 ( $p=0.515$ ), the null hypothesis can be rejected indicating that the

regression coefficient for managerial competence has not been found to be statistically different from zero in estimating e-government readiness score given other factors held fixed.

Coordination is an important aspect of administrative competence for effective implementation of e-government initiatives as it establishes a link between different stakeholders at different levels of the government. Table 4 reveals that the coordination between local, state and national government agencies engaged in tourism sector is very low. To be exact, vast majority of respondents (75.5%) indicates that there is low coordination of local, state and national e-government initiatives.

Table 6: Managerial competence

No.	Item	Very Low (a)	Low (b)	Medium (c)	High (d)	Very High (e)	Z-test a+b versus d+e
1	Coordination of local, state and national e- tourism initiatives	34(25%)	70(51.5%)	22(16.2%)	10(7.4%)	0(0.0%)	<b>-4.573</b>
2	Systematic assessment of quality standards e-services	18(13.1%)	56(40.9%)	40(29.2%)	23(16.8%)	0(0.0%)	<b>-3.131</b>
3	Quick and timely decision making	16(11.8%)	44(32.4%)	53(38.7%)	23(16.8%)	0(0.0%)	<b>-2.319</b>

*Source: Field Survey, 2017*

Likewise, sizable amount, (44.2%) of the respondents indicated that decisions making to sort out issues relating to e-governance are slow and untimely. As indicated in the table above, the availability of systematic assessment of quality standards of e-governance services at regular intervals is rated as very poor by more than half of the respondents (54%).

### 4.3.3 Technical Capacity

Technical capacity is one of the remarkable factors that affects the implementation of e-government programs. In the model parameter shown in table 2, sizes of technical capacity become a significant factor to predict the likelihood of belonging among higher level of e-government readiness category. That is, as the value of technical capacity increases by one unit the odds ratio increases by 1.69. The more technically capable the institution is the higher the level of e-government readiness.

Table 7 Technical Capacity

No.	Item	Very Low (a)	Low (b)	Medium (c)	High (d)	Very High (e)	Z-test a+b versus d+e
1	Availability of sufficient hardware equipments	5(3.6%)	4 (2.9%)	37 (27%)	67(48.9%)	24(17.5%)	<b>3.515</b>
2	Use of application software	14(10.2%)	31 (22.6%)	52 (38%)	32(23.4%)	8(5.8%)	-0.358
3	Provision of remote services	25(18.2%)	54(39.4%)	41(29.9%)	15(10.9%)	2(1.5%)	<b>-3.359</b>
4	Integration of online and offline applications	31(23%)	49(36.3%)	30(22.2%)	24(17.8%)	1(0.7%)	<b>-3.561</b>

Source: Field Survey, 2017

Table 5 reveal that vast majority of respondents (66.4%) indicated that hardware equipments such as computers and printers are highly available to support the e-government initiatives. This indicates that equipments that contribute for effective implementation of e-Government initiatives are highly available. Furthermore, this study reveals that software application is moderately available. However, majority of the respondents (57.6%) claim that remote access of services are not being provided through e-governance. The integration of online applications with offline (office) applications is also low. This finding indicate that though the use of software applications and availability of hardware equipments are shows potential, most services are not accessible online.

#### 4.3.4 Employees' Readiness

Let alone the public servant who are the main performers of e-government "every citizen must be equipped with the skills needed to live and work in this new information society" (European Commission, 2006). In other words, employees as a actual public service providers play crucial role for successful implementation of e-Government programs. Knowledge and skill employees on computer and other applications as well as attitude of employees towards e-governance initiatives are vital factors that indicate how ready the employees are to implement e-government programs.

The regression analysis indicates that a one unit increase experts' valuation on employees proficiency scores would result in a 0.426 unit increase in the ordered log-odds of being in a higher e-government readiness score category while the other variables in the model are held constant. This indicates that, competencies in computers and management information systems are the necessary conditions for the development and successful implementation of the e-tourism initiatives. Accordingly, public service providers need to have necessary knowledge and skills of MIS.

Table 6: Employees' Proficiency

No.	Item	Very Low (a)	Low (b)	Medium (c)	High (d)	Very High (e)	Z-test a+b versus d+e
1	Computer knowledge and skill among employees	4(2.9%)	13(9.5%)	82(59.9%)	37(27%)	1(0.7%)	1.247
2	Attitude of employees towards e-tourism projects	6(4.4%)	27(19.9%)	40(29.2%)	50(36.5%)	14(10.2%)	<b>2.142</b>
3	Employees initiative to implement e-tourism projects	8(5.8%)	23(16.8%)	57(41.6%)	45(32.8%)	4(2.9%)	1.239

*Source: Field Survey, 2017*

Table 6 reveals that vast majority of the respondents (75.9%) there is the positive attitude of employees towards e-governance initiatives is medium or high. Most of the respondents claim that employees in the tourism sector have at least average knowledge and skill in computer. To implement e-government initiatives in best way possible, employees need above average computer knowledge and skills. Similarly, Lessa *et al.* (2012) claim competency levels of staff working in land management system in Ethiopia "fell short of the design".

#### 4.4 Perception on e-Government for Promoting Good Governance

Often times e-government schemes are instigated to promote efficiency in public institutions service delivery. E-government is expected to play major role in promoting good governance. Scholars argue on the positive effects of e-government to transform public sectors and policy making processes (See e.g. Hammond (2001)).

Respondents were asked if they agree with the above assertion, majority of the respondents (88.2%) believe that e-government has a potential to reduce problems associated with service delivery. In other words, according to most of the respondents, the computerized services would bring a larger improvement in service quality. Moreover, most of the respondents believe that e-government have the potential for the reduction in corruption in service delivery. That is, with improved service quality, the number of customers paying bribes would decline significantly.

The advantages of e-government include "less corruption, increased transparency, greater convenience, revenue growth, and/or cost reductions" (WB, 2005). It is, therefore, believed that with the help of new information and communication technologies governments can transform themselves towards good governance by weeding out corruption and creating better relationships between government and citizens.

## **5. Conclusion**

In this chapter, the findings are summarized taking into consideration related theoretical and empirical studies. In addition, this chapter draws the implications and recommendations for policy change.

The main purpose of this research is to identify factors that affect e-Tourism readiness in Ethiopia. The study also analyzes the perception and knowledge of public servants in tourism sector about e-Tourism. Overall, the empirical results show that the level of readiness is medium. Overall, while organizational commitment, technical capacity, and employees' readiness found to have significant effect on the rank of readiness, managerial competence appears to have no association at all with e-tourism readiness.

This paper shows that the level of readiness to successfully implement e-tourism projects is moderate. Though there is high institutional commitment to initiate, implement e-Tourism initiatives, the level of organizational capacity seems to be average. That is to say, the decision on e-tourism plan, commitment to spread e-tourism, fund for new e-tourism, support for the maintenance of e-tourism system, and support e-Tourism initiatives found to be modest.

Regarding technical readiness of public organizations, this study reveal that remote access of services are not being provided through e-governance and the integration of online applications with back-office applications is low. Moreover, with respect to administrative readiness, it is found that there is low coordination of local, state and national e-government initiatives. Similarly, decision making to sort out issues relating to e-governance are slow and untimely and availability of systematic assessment of quality standards of e-governance services at regular intervals is rated as very poor. Concerning employees readiness, though there is the positive attitude of employees towards e-tourism initiatives is medium or high, the degree to which employees are trained in management information system is low.

Good governance is vital for successful economic development. More recently, countries are striving to address governance problems with the help of e- government programs. That is, countries across the globe are making use of internet technologies to deliver public services. Ethiopia is no exception. e-Government initiatives pave the way for the introduction of new methods that improve the interaction between citizens and government.

Finally, results indicate that interventions aiming at promoting organizational commitment, enhancing technical capacity, and increasing employees' capacity will immensely contribute to effectively implement e-government projects. In general, the results of the study provide the implication that improving e-government readiness in the Tourism sector in Ethiopia calls for adoption of diverse strategies and policies.

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# **Influence of Culture on Females' Political Leadership Participation: The Case of Gambella and Ethiopia Somali Regional States of Ethiopia**

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## **Abstract**

*The problem addressed in this research is the influence of culture on females' political leadership participation in Gambella and Ethiopia Somali Regional States of Ethiopia. In many countries, traditions continue to emphasize women's primary roles as mothers and housewives and to restrict them to those roles. A traditional strong patriarchal value system favors sexually segregated roles, and traditional cultural values militate against the advancement, progress and participation of women in any political process. Societies all over the world are dominated by an ideology of a women's place. This research is mixed research type. The data were collected using questionnaire, interview, and focus groups discussion. The study was conducted in Gambella and Ethiopia Somali regional states. The sample size was 300, but only 259 questionnaires were returned. The sampling technique was purposive. The data were analyzed, described, discussed and qualified using explanatory means, interpretation, and logical arguments. The results of the study revealed that females lack educational qualification, and are primarily responsible to take care for the whole family. The study results discovered that the strong patriarchal system, being housewife, considering girls as sources of income, ignorance of females' capacity in leadership, and religious influences are the hindrances to females' political participation in two regions. The findings also showed that bringing development to community, girls' education, bringing attitude change through training, eliminating dowry pays for marriage, and giving quota to females in political posts can help in reducing the cultural negative influences to females' political participation in both regions. Therefore, the government should mobilize the community to send their daughters to school; promoting the development in the areas; and should give quota to females to increase their participation in politics.*

**Key words:** traditional culture, dowry, influence, participation, political leadership

## **1. Introduction**

Women around the world at every socio-political level find themselves under-represented in parliament and far removed from decision-making levels (Falch, 2010). Patriarchal structures continue to exclude women from aspects of political life and women often encounter prejudice based on assumptions that women lack "masculine" traits, such as leadership and levelheadedness, necessary to succeed in politics. Women themselves are not a homogeneous group; there are major differences between them, based on class, race, ethnicity, cultural background and education. The exclusion of women from decision-making bodies limits the possibilities for entrenching the principles of democracy in a society, hindering economic development and discouraging the attainment of gender equality. If men monopolize the

political process, passing laws which affect society at large, the decision-making process does not always balance the interests of the male and female populations. Women who want to enter politics find that the political, public, cultural and social environment is often unfriendly or even hostile to them. Even a quick glance at the current composition of political decision makers in any region provides evidence that women still face numerous obstacles in articulating and shaping their own interests (Matland, 1998a).

At the beginning of the 21st century, over 95 percent of all countries in the world have granted women the two most fundamental democratic rights: the right to vote and the right to stand for election. New Zealand was the first country to give women the right to vote, in 1893; and Finland was the first to adopt both fundamental democratic rights in 1906. There are still a few countries that deny women both the right to vote and the right to stand for elections (Matland, 1998a).

Ethiopian women are economically, socially, culturally and politically disadvantaged in the enjoyment of equal rights, in accessing opportunities, decision-making processes, and basic resources/services (UNDP, 2010). Although a number of policies are emerging that support and encourage women's participation in development, women's access to and control of productive resources, information, training and education, employment and in decision-making is limited (UNDP, 2010). They also experience multiple forms of other deprivations such as longer working days, women specific ill health, low levels of education relative to men, and lack of adequate representation in leadership and decision making positions (United Nations, 2002). Ethiopia has been taking policy measures towards empowering women in sustainable development and poverty reduction endeavors. The government has taken remarkable measure towards alleviating gender issues since 1993 (United Nations, 2002).

The purpose of this study is to assess the influence of culture on females' political leadership participation in Gambella and Somali Regional States of Ethiopia. The desire is to learn how culture affects the women's participation in politics and determine the type of culture practices those affect their participation in politic.

This research has five chapters. Chapter one introduces the study, chapter two present the literature reviews, chapter three presents the research methodology, chapter four is all about findings and the last chapter present the conclusions and recommendations. At the end, it contents references and annex for questionnaire.

The problem addressed in this research is the influence of culture on females' political participation in Gambella and Ethiopia Somali Regional States of Ethiopia. In many countries, traditions continue to emphasize women's primary roles as mothers and housewives and to restrict them to those roles. A traditional strong patriarchal value system favors sexually segregated roles, and 'traditional cultural values' militate against the advancement, progress and participation of women in any political process. Societies all over the world are dominated by an ideology of 'a women's place' (Matland, 1998a). According to

this ideology, women should only play the role of ‘working mother’, which is generally low-paid and apolitical. In addition, in some countries, men even tell women how to vote. This is the environment, in which a certain collective image of women in traditional, apolitical roles continues to dominate, which many women face. The ability to make decisions and implement them is not a gender-specific trait, but a common human one; in other words, it is as natural for a woman to hold power as for a man to hold power (ibid).

Among politicians and citizens alike, an increased awareness of gender inequality and a willingness to accept new ideas about gender roles are essential conditions for women’s meaningful political participation. Women throughout the world face many social or cultural constraints to political empowerment and many are discouraged from engaging in public decision-making processes. Patriarchal structures continue to exclude women from aspects of political life and women often encounter prejudice based on assumptions that women lack “masculine” traits, such as leadership and levelheadedness, necessary to succeed in politics (Falch, 2010). These stereotypical gender biases and roles often lead women away from work in the public sphere and reinforce the cultural norm of women as caregivers. Moreover, for women working outside of the private sphere, the largely female phenomenon of the double burden of professional and family life can keep women from playing a greater role in politics and leadership. Time constraints are a challenge for any elected official or activist, but these disproportionately impact women who are implicitly or explicitly tasked with home and family care obligations in addition to professional or political commitments. According to Matland (1998a) these informal and formal barriers to women’s participation in politics must be acknowledged and addressed by legislators, party members and citizens in order for women to succeed in politics.

The Federal Democratic Republic Government of Ethiopia has declared its unequivocal commitment to the development of women with the announcement of the National Policy on Women in 1993 (referred to as women’s policy), and the promulgation of the new constitution in 1995. In other words, Ethiopia has demonstrated its firm commitment to the equitable socio-economic development of women. The women’s policy primarily aims to institutionalize the political, economic and social rights of women by creating an appropriate structure in government offices and institutions so that the public policies and interventions are gender-sensitive and can ensure equitable development for all Ethiopian men and women (UNDP, 2010).

Political empowerment involves the rights and abilities of people to participate as equals in decision making processes (Ogato, 2013). According to Longwe (2000) women are grossly under-represented in parliaments in most countries worldwide, and in the political administrative levels of government despite increased international calls for women’s political empowerment. For instance, in Africa, the proportion of women in decision-making positions is very low (Longwe, 2000; Ogato, 2013). Therefore, there is a need for giving more attention to culture as hindrance of political participation of women.

The general objective of the research is to assess the influence of culture on females' participation in political leadership and to determine the type of cultural practices those affect their participation in politics in Gambella and Ethiopia Somali Regional States of Ethiopia. The specific objectives of the study are:

- To determine the cultural practices those affected the females' participation in political leadership;
- To explain how the culture affects the females' participation in politics; and
- To assess how the participation of women in the political leadership be improved.

### **1.1. Research Questions**

This research answers the following research questions.

1. What are the cultural practices those influences the females' participation in political leadership?
2. How the culture affects the females' participation in political leadership?
3. How can the participation of women in the political leadership be improved?

## **2 Review of Related Literature**

### **2.1. Theories and Conceptual Framework**

Political participation has been defined by Verba and Nie (1972) as legal activities which directly or indirectly points to influencing the selection of and the actions of government officials. In addition, it involves partaking in the formulation, passage and implementation of public policies with more emphasis on representative democracy (Allah-Mensah, 2003). It is therefore an empowering process that allows people to do their own analysis. Thus, true democracy would need to ascribe to the more radical conceptualization of participation as a transformative process. The women's participation or involvement in the democratic and decision-making process is critical for the survival and legitimating of the entire process. Meintjes noted this in very clear terms when she wrote about the prospects for democracy, citizenship and equality for South African Women. To her,

*“If the new democratic dispensation simply adopts procedural and conventional liberal constitutional, legal and political forms which underpin western systems of government, an influenceive democracy which includes the participation on equal basis of all its citizens will elude South Africa... Unless these rights are accompanied by access to property, educational institutions and empowerment opportunities, empowered citizenship will remain a dream...” (Meintjes, 1995: 7).*

Bauzon (1992) stated that, the meaning of democracy has been altered to surpass the expansion of political rights and popular participation in government and politics to embrace the empowerment of people in the pursuit of their own economic and social well-being.

Empowerment is thus concerned with the processes by which people become aware of their own interests and how those relate to the interests of others, in order to both participate from a strong decision making position and to actually influence such decisions. It therefore goes

beyond participation in decision-making to include the processes that make people to perceive themselves as being able and entitled to make decisions (Rowland, 1997). Empowerment is vital for poor and marginalized people if they are to change their situation. With particular reference to women, empowerment is considered as a process and the capacity of women to organize themselves in order to increase their own self-reliance and internal strength, assert their independent right to determine and make choices in life, influence the direction of change through control over material and non-material resources which will then challenge and eliminate their own subordination (ibid). On a more political front, women's empowerment involves gaining a voice, having mobility and establishing a public presence and gaining control over power structures or being a vital part of the power structure and power relations. Substantiating this further, it is stated that "empowerment equals measures aimed at creating the conditions for wider representation of women in all important decision making processes and bodies like governmental bodies and decision-making positions in the public administration and by making full use of their talents and experience (UNDP, 1997). Promoting women in political life requires attention to facilitate links and dialogue between women inside and outside political structures in order to build accountability, especially in periods of legislative change (Baden, 1999).

Mainwaring makes a challenging statement that, in spite of citizen's dissatisfaction with political parties in many countries, parties continue to be the main agents of representation and are virtually the only actors with access to elected positions in democratic politics (Mainwaring, 1999).

## **2.2. Global Conventions on Women's Political Participation**

At the beginning of the 21st century, over 95 percent of all countries in the world have granted women the two most fundamental democratic rights: the right to vote and the right to stand for election. New Zealand was the first country to give women the right to vote, in 1893; and Finland was the first to adopt both fundamental democratic rights in 1906. There are still a few countries that deny women both the right to vote and the right to stand for elections. In theory, the right to stand for election, to become a candidate and to get elected is based on the right to vote (Falch, 2010). The reality is, however, that women's right to vote remains restricted, principally because the candidates are mostly male. This is true not only for partial and developing democracies, but for established democracies as well. The low level of women's representation in some European parliaments should be considered a violation of women's fundamental democratic right and, as such, a violation of their basic human rights. This unequal rate of representation in legislative bodies signifies that women's representation, rather than being a consequence of democratization, is more a reflection of a status quo. To achieve gender balance in political life, it is necessary to ensure that commitment to equality is reflected in laws and national policies (Markham, nd).

The rights of women to participate in political decision-making are enshrined in many international treaties and laws. Resolution 1325 on Women, Peace and Security is heralded as

being the first Security Council resolution that officially recognizes the importance of women's inclusion in decision-making in peace and post-conflict processes (Falch, 2010). Yet, Resolution 1325 followed on from decades of earlier milestones and political advances that recognized the need for a global strategy to advance women's rights. The equal participation of women and men in public and political life was one of the cornerstones of the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW), which was adopted by the UN General Assembly in 1979 and came into force in 1981. Today, 186 countries are parties to CEDAW, and hence bound to take appropriate measures to promote women's participation in decision making and leadership positions. In 1995, the UN Fourth World Conference on Women, held in Beijing engendered renewed pressure for the implementation of the CEDAW provisions (Falch, 2010).

The conference resulted in a non-binding document, the Beijing Declaration and Platform for Action, which emphasized the need to improve women's access to and full participation in power structures and decision-making, and exhorted all governments to adopt affirmative-action measures to ensure that women made up at least 30% of all representatives in national parliaments (Falch, 2010).

What makes Resolution 1325 distinct from these previous advances is that it provides the first legal and political international framework that recognizes the role of women in armed conflict and peacebuilding. The resolution goes beyond the historical image of women as exclusively victims of war, and acknowledges women's role as participating peacemakers, peace builders and negotiators. Accordingly, Resolution 1325 provides an important step in advancing women's rights to participation in politics and decision-making. The resolution recognizes not only the important role of women in the prevention and resolution of conflicts and in peace-building but also stresses the importance of their equal participation and full involvement in all efforts for the maintenance and promotion of peace and security, and the need to increase their role in decision-making with regard to conflict prevention and resolution (Falch, 2010).

For the avoidance of being accused of being gender insensitive and for not encouraging women into the political party fold, almost all political parties have women wings as part of their structural organization. The creation of women's wings of political parties is based on certain reasons. Chigudu and Tchigwa (1995) note among other things that, they are created as a way of legitimizing the existence of political parties and serve as the party's leadership acknowledgement of the need to secure electoral victories by capturing women's votes. In addition, some political parties perceive the creation of women's wings as part of the call for women's empowerment and therefore make them appear gender sensitive enough in the eyes of the general public. However, Allah-Mensah (2005) argues that, the creation of women's wings of political parties does not necessarily make the later gender sensitive and gender-friendly.

In Burundi and Nepal, as in many other developing countries, deeply entrenched patriarchal norms and practices continue to subjugate women to men, leaving them with a feeling of inferiority, which places them at a disadvantage vis-a-vis their male counterparts in the political sphere. While political parties in both countries for the most part have complied with required minimum levels for female candidates, women's representation in decision-making committees inside the political parties is almost negligible. Women appear as subordinate to the male-dominated political leadership, and a persistent patriarchal political culture, which to a large extent is also internalized by women, makes it difficult for women to demand space and bring forward initiatives related to women's particular interests and needs (Falch, 2010).

### **2.3. Ethiopia Instruments on Women's Political Participation**

The Ethiopian government is a signatory to most international instruments, conventions and declarations, and adopted international instruments such as; the Convention on the Elimination of All Forms of Discrimination Against Women /CEDAW (1979), the Declaration on the Elimination of Violence Against Women/DEVAW (1993), the Beijing Platform for Action/BPA (1995) including the domestication of the international instruments (UNDP, 2010).

Ethiopia ratified and adopted the UN charter on Human Rights and other conventions, such as the Convention on the Elimination of All Forms of Discrimination against Women (CEDAW) in 1981. Its outline addresses political, social, economic and legislative issues. The convention stipulates that signatories need to work for eliminating discrimination against women, and creating equality between women and men (UNDP, 2010).

A legal, administrative and policy environment conducive to promote gender equality was created over the past two decades. The most important gender and development measures taken by the government include the issuance of: The National Policy on Women (1993), relevant passages in the most recent version of the Constitution of Ethiopia (1995), the Revised Family Law (2000) and the Revised Criminal Code (2005), Ethiopian Women Development and Change Package (2006) and the National Action Plan (NAP-EG) and adoption of MDGs as guiding framework for planning (UNDP, 2010).

### **2.4. Development as Factor to Cultural Change on Women's Political Participation**

One of the most important characteristics of society that correlate with women's representation levels is a country's state of development. Development leads to a weakening of traditional values, decreased fertility rates, increased urbanization, greater education and labor force participation for women, and attitudinal changes in perceptions regarding the appropriate role for women. Development promotes all factors that increase women's political resources and reduces existing barriers to political activity.

Culture is related to development, and as development increases women's standing in society relative to men becomes more equal. On the other hand, two countries could be quite similar in terms of development, but women may have come substantially further in terms of equality

in one country than in the other. While culture consistently has been believed to be important, it has been difficult to test directly for an influence. The assumption was that when women approach men in levels of literacy, workforce participation, and university education and thus become men's equals in the social spheres, they are more likely to be seen as men's equals in the political sphere, and therefore their representation will increase. This hypothesis holds, as the cultural measures described correlate very strongly with women's representation. It is important to note that, while research tracking women's representation in established democracies has been quite successful at identifying causes for variations, attempts to model women's representation in developing countries have been much less successful (Matland, 1998a).

### **2.5. Education as Factor to Cultural Change on Women's Political Participation**

One of the outstanding recommendations by many literatures was the importance of education as an enhancement tool for women's self-upgrading for political and high public offices. Education in all its facets has long been accepted as one of the most influenceive instruments through which the behavior of an individual is redefined to conform to societal expectations. Functionally, education can be said to be necessary because it contributes to the survival of society whilst its technical function is to integrate and manage tension in society. The implication is that education prepares people to play societal roles without which there is the probability of societal disintegration (Ayensah, 2001). According to UNESCO (1998), education is a contributory factor in changing individuals in the managerial sense of developing human capital and in a much deeper sense; education makes new persons out of individuals. It therefore acts as a force that leads to the empowerment of human beings (UN, 2003).

The education of women is needed for the development, sustenance and consolidation of democracy. Education is fundamental to influenceive participation in national politics (Allah-Mensah, 1998 and 2001). In fact, in some African Countries like Malawi, all women Members of Parliament had to pass an English competency test (Hirschman, 1991). Research has certainly indicated that one of the militating factors against women's involvement in politics and therefore their ordinary presence in decision making is the lack of education, which has directly affected their level of self-confidence and limited their self-acceptance and assertiveness.

It has been argued that participation by women in politics is not only a means to realizing the broad agenda of good governance but also emphasizes the point that without their involvement, progress in other areas of development is likely to be halted because women's exclusion from politics deprives government of half of its citizen's talents and contributions. The implication here is that, when women are educated and gain the skills and qualities needed to participate in political decision-making, they contribute immensely to the development of the nation since politics is the arena for authoritatively allocating societal

values; that is, taking decisions on the basis of available resources to influence the direction of the nation (Allah-Mensah, 2005).

## **2.6. Traditional Roles on Women's Participation in Politics**

In many countries, traditions continue to emphasize women's primary roles as mothers and housewives and to restrict them to those roles. A traditional strong, patriarchal value system favors sexually segregated roles, and traditional cultural values militate against the advancement, progress and participation of women in any political process. Societies all over the world are dominated by an ideology of 'a woman's place. According to this ideology, women should only play the role of 'working mother', which is generally low-paid and apolitical. In addition, in some countries, men even tell women how to vote. This is the environment, in which a certain collective image of women in traditional, apolitical roles continues to dominate, which many women face (Falch, 2010). Some women politicians in general have to overcome the difficulty of feeling uncomfortable in the political field, as though they are somewhere where they do not belong, behaving in ways that are not natural to them. Often women internalize many of these ideas and end up frustrated when they cannot match this almost impossible image. This sense of frustration is inextricably tied to a woman's sense of having to be apologetic either for her own womanhood or for betraying her sense of womanhood. Until they reconcile certain collective images, dominant stereotypes, and their own feminine nature, their lives will be difficult and it will be hard for them to accommodate these clashing expectations. A woman should be prepared for the fact that when she becomes a politician she does not cease to be a woman. It is this womanhood which should be placed first, since it contains different creative potentials and intellectual strength. The ability to make decisions and implement them is not a gender-specific trait, but a common human one; in other words, it is as natural for a woman to hold power as for a man to hold power (Markham, 2013).

## **3.The Methods**

The purpose of this study is to assess the influence of culture on females' political participation in Gambella and Ethiopia Somali Regional States of Ethiopia. The research methodology is a science to studying how research is done scientifically (Kothari, 1996). The researcher used the purposive sampling. The purposive sampling is a second type of non-probability sampling, sometime called judgment sampling (O'Sullivan, Russel and Berner, 2003). It is used for selecting items which researcher considers as representative of the population and used frequently in qualitative research where the desire is to develop hypotheses (Kothari, 1996).

The researcher selected the investigators from the area under study. Their education levels were degree and above, who speaks and write English and local language. The researcher trained enumerators for one day.

The researcher collected data from regional offices in Gambella and Ethiopia Somali. Thus, the population of the study comprises all government offices in Gambella and Ethiopia Somalis Regional States. The sample size was 300, but only 259 respondents returned their questionnaire. In order to achieve the objectives of the research, the researcher collected primary data directly from the field. The methods of data collection involved focus group discussion, interview and questionnaire to procure primary data directly from respondents.

In dealing with any real life problem it is necessary to collect data that are appropriate, since it is often found that the data at hand are inadequate (Kothari, 1996). The primary data can be collected in one of the two ways through experiment or survey (ibid). For this study the researcher used survey techniques to collect primary data.

The researcher used structure close-ended and open-ended questions for this study. Structured questionnaires are those questionnaires in which there are definite, concrete and pre-determined questions (Kothari, 1996). The questions are presented with exactly the same wording and in the same order to all respondents. Structured questionnaires may also have fixed alternative questions in which responses of the informants are limited to the stated alternatives (ibid). This type of data collection helped to procure quantitative data.

The researcher used face-to-face interview method of data collection to maintain the confidentiality and to avoid interruption that may occur using the telephone interview. The researcher applied the intensive interviewing techniques to collect data. In intensive interviewing techniques, the questions asked, their wording, and order vary from interview to interview and the questions ask are more general and open-ended (O'Sullivan, Russel and Berner, 2003). The researcher used semi-structured and unstructured interviews techniques of data collection. Using this technique of data collection helped to get in-depth information about these cultural influences those are qualitative data.

A focus group consists of a small group of unacquainted people, mostly ranging from 4 to 15 members, who share some characteristics, but who usually do not know each other (O'Sullivan, Russel and Berner, 2003). The researcher used two focus group discussions each group having 10 members. The information that was gathered was analyzed and presented in different forms. The researcher analyzed, described, discussed, coded and qualified the primary data using explanatory means, comparisons and interpretation logical arguments.

## **4. Results and Discussions**

### **4.1. Demographic Information of the Respondents**

This section deals with demographic data. During the fieldwork, the researcher collected the information from the regional governments' officials relevant to the study. The data were collected from 259 respondents in public sector those included Regional Council, Regional Administrative Council, Women and Children Affairs Bureau, Work and Urban Bureau,

Investment Office, Education Bureau and Healthy Bureau in Gambella and Ethiopia Somali regional states.

The composition of respondents who filled the survey questions, as indicated in table 1 below, basing on their sex, 86 (33.2%) were females and 173 (66.8%) were males. Basing on their region, 125 (48.3%) respondents were from Gambella region and 134 (51.7%) respondents were from Ethiopia Somali.

Table 3: Composition of respondents basing on sex and region

		Respondents' Region		Total
		Gambella	Ethiopia Somali	
Respondent s' Sex	Female	28	58	86
	Male	97	76	173
Total		125	134	259

*Source: field survey data*

#### **4.2. The Cultural Practices those Affected the Females' Participation in Politics**

This section presented the cultural practices those affected the females' participation in politics in Gambella and Ethiopia Somali Regions of Ethiopia in order to answer the research question one: What are the cultural practices those affected the females' participation in politics?

Many issues have been raised by respondents from the two regions to explain the nationalities behind the fewer females' participation in political leadership and the issues are all similar. Almost all respondents indicated that the females' participation in politics is less because most of them are not qualified or educated, especially they lack higher level education starting form certificate and above. The second reason mentioned by informants was women are primarily responsible to take care for the whole family, children and old age care, cooking food and watching of clothes. Third hindrance raised was related to cultural influences which were stated as women are serving as mothers and housewives at their homes, there exist a cultural influence that look women as politically inferior to males, cultural influences that see girls as sources of income and cultural influences that ignore the female capacity in leadership.

Other reasons those the study revealed were females lack awareness of their rights, lack of empowerment, lack of interest in politics, lack of encouragement and confident, early marriage, and lack of awareness about policies of the government. From Ethiopia Somali, many stated that the religion is one of the factors those limited the women participation in politics, especially Islamic religion.

The respondents were also asked to show their level of agreement on some variables namely strong patriarchal system, being housewife, girls as sources of income (dowry paid for marriage), ignorance of females' capacity in leadership, and religious influences. The respondents' rate was as follow.

### 1. Strong Patriarchal System

The responses of the survey questionnaire from the two regions, table 2 below, revealed that 77.6% of respondents from both Gambella and Ethiopia Somali regions approved that the strong patriarchal system is one of the cultural practices that affect the females' participation in politics. From this table 50.2% of the respondents strongly agreed and 27.4% of the respondents agreed from both regions. Thus, majority showed their agreement that the strong patriarchal system in both regions has contribution to the negative females' participation in politics.

Table 4: Strong Patriarchal System Affects Females' Participation in Politics

Strong patriarchal system					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	130	50.2	50.2	50.2
	Agree	71	27.4	27.4	77.6
	No Comment	26	10.0	10.0	87.6
	Disagree	19	7.3	7.3	95.0
	Strongly Disagree	13	5.0	5.0	100.0
	Total	259	100.0	100.0	

Source: field survey data

When comparing the responses on strong patriarchal system basing on respondents' sex, from the table 3 below, 69 (80.2%) of 86 females and 132 (73.3%) of 173 males agreed that the strong patriarchal system in Gambella and Ethiopia Somali regional states is one of the cultural practices that affect the females' participation in political leadership. Thus, majority of both females and males believed that the strong patriarchal system in Gambella and Ethiopia Somali regional states is one of the cultural practices those negatively affect the females' participation in political leadership.

Table 5: Strong Patriarchal System Basing on Respondents' Sex

		Strong patriarchal system					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	43	26	5	9	3	86
	Male	87	45	21	10	10	173
Total		130	71	26	19	13	259

Source: field survey data

Statistical test of attitude of females and males respondents toward the negative influence of strong patriarchal system on the females' participation in political leadership had been made using Pearson Chi-Square Tests. The tested hypothesis is that females and males have differing attitude toward the negative influence of strong patriarchal system on the females' participation in political leadership. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.289$ . This indicated that it is very likely that females and males respondents have differing attitude toward the negative influence of strong patriarchal system on the females' participation in political leadership. Thus, it is concluded there is differing attitude between females and males respondents toward the negative influence of strong patriarchal system on the females' political leadership participation at the 5% level of significance.

When comparing the responses on strong patriarchal system basing on respondents' region, from the table4 below, 94 (75.2%) of 125 respondents from Gambella and 107 (79.9%) of 134 respondents from Ethiopia Somali agreed that the strong patriarchal system is one of the cultural practices that affect the females' participation in politics. From the findings one can see that majority of the respondents from both regions believe that strong patriarchal system contributes to the less participation of females in political leadership.

Table 6: Strong Patriarchal System Basing on Respondents' Region

		Strong patriarchal system					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	51	43	12	7	12	125
	Ethiopia Somali	79	28	14	12	1	134
Total		130	71	26	19	13	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward the negative influence of strong patriarchal system on the females' participation in political leadership was done using Pearson Chi-Square Tests. The output provides a statistical hypothesis test for the hypothesis that the two regions have differing attitude toward the negative influence of strong patriarchal system on the females' participation in political leadership. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.001$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward the negative influence of strong patriarchal system on the females' participation in political leadership. Thus, it is concluded the respondents from the two regions have similar attitude toward the negative influence of strong patriarchal system on the females' political leadership participation at the 5% level of significance.

The data obtained from interviews and focus group discussions still support that the strong patriarchal system is one of the hindrance of females' political leadership participation. Still, from the findings there were some informants who believe the influence of the strong patriarchal system is not more as before. Some respondents stated that now there is change and the strong patriarchal system is no more a problem to the females' political leadership participation.

## 2. Being Housewife

The findings from the table 5 below revealed that 83.8% of respondents agreed that being housewife is the hindrance to females' political participation in Gambella and Ethiopia Somali regional states. From this table 46.3% of the respondents strongly agreed and 37.5% of the respondents agreed from both regions. Thus, majority showed their agreement that being housewife has contribution to the negative females' participation in politics.

Table 7: Being Housewife Affects Females' Participation in Politics

Being housewife					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	120	46.3	46.3	46.3
	Agree	97	37.5	37.5	83.8
	No Comment	22	8.5	8.5	92.3
	Disagree	15	5.8	5.8	98.1
	Strongly Disagree	5	1.9	1.9	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing the responses in sex wide from the table 6 below, 65 (75.6%) of 86 females and 152 (87.9%) of 173 males agreed that being housewife contribute to less participation of females in politics in Gambella and Ethiopia Somali regions. Thus, majority of both females and males have feeling that being housewife is one of the cultural practices those negatively affect the females' participation in political leadership.

Table 8: Being Housewife Basing on Respondents' Sex

		Being housewife					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	36	29	9	9	3	86
	Male	84	68	13	6	2	173
Total		120	97	22	15	5	259

Source: field survey data

Statistical test of attitude of females and males respondents toward being housewife contribute to less participation of females in political leadership had been made using Pearson Chi-Square Tests. The output provides a statistical hypothesis test for the hypothesis that females and males have differing attitude toward being housewife contribute to less participation of females in political leadership. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.088$ . This indicated that it is very likely that females and males respondents have differing attitude toward being housewife contribute to less participation of females in political leadership. Therefore, it is concluded females and males respondents have differing attitude toward being housewife contribute to less participation of females in political leadership at the 5% level of significance.

Comparing the responses in region wide from the table 7 below, 120 (96%) of 125 respondents from Gambella and 97 (72.4%) of 134 respondents from Ethiopia Somali agreed that being housewife contribute to less participation of females in political leadership. Thus, majority of respondents from both regions believed that being housewife lessen the females' participation in political leadership.

Table 9: Being Housewife Basing on Respondents' Region

		Being housewife					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	75	45	0	3	2	125
	Ethiopia Somali	45	52	22	12	3	134
Total		120	97	22	15	5	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward being housewife contribute to less participation of females in political leadership was done using Pearson Chi-Square Tests. The output provides a statistical hypothesis test for the hypothesis that the two regions have differing attitude toward being housewife contribute to less participation of females in political leadership. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward being housewife contribute to less participation of females in political leadership. Thus, it is concluded that the respondents from the two regions have similar attitude toward being housewife contribute to less participation of females in political leadership at the 5% level of significance.

The findings obtained from interviews and focus group discussions still support that the being housewife is one of the hindrance of females' political leadership participation in two regions. Very few informants think that there is no influence of being housewife to the females' political leadership participation.

### 3. Girls as Sources of Income (Dowry Paid for Marriage)

The findings from the table 8 below revealed that 73% of respondents agreed girls as sources of income (dowry paid for marriage) is the hindrance to females' political participation in Gambella and Ethiopia Somali regional states. From this table 43.2% of the respondents strongly agreed and 29.7% of the respondents agreed from both regions. Thus, a good number of respondents accepted that seeing girls as sources of income (dowry paid for marriage) is the hindrance to females' political participation.

Table 10: Girls as Sources of Income (Dowry) Affects Females' Participation in Politics

Girls as sources of income (dowry)					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	112	43.2	43.2	43.2
	Agree	77	29.7	29.7	73.0
	No Comment	40	15.4	15.4	88.4
	Disagree	14	5.4	5.4	93.8
	Strongly Disagree	16	6.2	6.2	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing the responses in sex wide from the table 9 below, 56 (65.1%) of 86 females and 133 (76.9%) of 173 males agreed that seeing girls as sources of income (dowry) contribute to less participation of females in political leadership in Gambella and Ethiopia Somali regions. Thus, many respondents from both females and males accepted that seeing girls as sources of

income (dowry paid for marriage) is the hindrance to females' political participation in Gambella and Ethiopia Somali regional states.

Table 11: Girls as Sources of Income (Dowry) Basing on Respondents' Sex

		Girls as sources of income (dowry)					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	27	29	18	5	7	86
	Male	85	48	22	9	9	173
Total		112	77	40	14	16	259

Source: field survey data

Statistical test of attitude of females and males respondents toward seeing girls as sources of income (dowry) contribute to less participation of females in political leadership had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward seeing girls as sources of income (dowry paid for marriage) contribute to less participation of females in political leadership. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.084$ . This indicated that it is very likely that females and males respondents have differing attitude toward seeing girls as sources of income (dowry paid for marriage) contribute to less participation of females in political leadership. Thus, it is concluded that females and males respondents have differing attitude toward seeing girls as sources of income (dowry) contribute to less participation of females in political leadership at the 5% level of significance.

Comparing the responses in region wide from the table 10 below, 120 (96%) of 125 respondents' from Gambella and 69 (51.5%) of 134 respondents from Ethiopia Somali agreed that seeing girls as sources of income (dowry) contribute to less participation of females in political leadership in Gambella and Ethiopia Somali regions. In Ethiopia Somali region only 51.5% agreed that seeing girls as sources of income (dowry) contribute to less participation of females in political leadership, while in Gambella region 96% agreed to the statement.

Table 12: Girls as Sources of Income (Dowry) Basing on Respondents' Region

		Girls as sources of income (dowry)					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	73	47	3	0	2	125
	Ethiopia Somali	39	30	37	14	14	134
Total		112	77	40	14	16	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward seeing girls as sources of income (dowry) contribute to less participation of females in political leadership was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward seeing girls as sources of income (dowry paid for marriage) contribute to less participation of females in political leadership. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward seeing girls as sources of income (dowry) contribute to less participation of females in political leadership. Therefore, it is concluded that the respondents from the two regions have similar attitude toward seeing girls as sources of income (dowry) contribute to less participation of females in political leadership at the 5% level of significance.

The results obtained from using interviews and focus group discussions still support that seeing girls as sources of income or dowry paid for marriage is one of the hindrance of females' political leadership participation in two regions. Still a good number of informants, especially in Ethiopia Somali, believe that there is no much influence of dowry paid for marriage in the females' political leadership participation.

#### **4. Ignorance of Females' Capacity in Leadership**

The respondents' responses, from the table 11 below, revealed that 65.6% of respondents agreed ignorance of females' capacity in leadership is the hindrance to females' political participation in Gambella and Ethiopia Somali regions. From this table 38.6% of the respondents strongly agreed and 27% of the respondents agreed from both regions. Thus, many of respondents accepted that ignorance of females' capacity in leadership is the hindrance to females' political participation in two regions.

Table 13: Ignorance of Females' Capacity in Leadership Affects Females' Participation in Politics

Ignorance of females' capacity in leadership					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	100	38.6	38.6	38.6
	Agree	70	27.0	27.0	65.6
	No Comment	52	20.1	20.1	85.7
	Disagree	29	11.2	11.2	96.9
	Strongly Disagree	8	3.1	3.1	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing their responses basing on sex, from the table 12 below, 51 (59.3%) of 86 females and 119 (68.8%) of 173 males accepted that ignorance of females' capacity in leadership negatively affects participation of females in political leadership in both regions. Thus, above average of both females and males showed their agreement that ignorance of females' capacity in leadership negatively affects participation of females in political leadership.

Table 14: Ignorance of Females' Capacity in Leadership Basing on Respondents' Sex

		Ignorance of females' capacity in leadership					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	25	26	15	17	3	86
	Male	75	44	37	12	5	173
Total		100	70	52	29	8	259

Source: field survey data

Statistical test of attitude of females and males respondents toward ignorance of females' capacity in leadership negatively affects participation of females in political leadership had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward ignorance of females' capacity in leadership negatively affects participation of females in political leadership. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.014$ . This indicated that it is very unlikely that females and males respondents have differing attitude toward ignorance of females' capacity in leadership negatively affects participation of females in political leadership. As a result, it is concluded that females and males respondents have similar attitude toward ignorance of females' capacity in leadership negatively affects participation of females in political leadership at the 5% level of significance.

Comparing their responses basing on region, from the table 13 below, 102 (81.6%) of 125 respondents from Gambella region and 68 (50.7%) of 134 respondents from Ethiopia Somali region accepted that ignorance of females’ capacity in leadership negatively affects the participation of females in political leadership in both regions. In Ethiopia Somali region only 50.7% of the respondents agreed that ignorance of females’ capacity in leadership negatively affects the participation of females in political leadership, while in Gambella region 81.6% of the respondents agreed to the statement.

Table 15: Ignorance of Females’ Capacity in Leadership Basing on Respondents’ Region

		Ignorance of females’ capacity in leadership					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	69	33	17	3	3	125
	Ethiopia Somali	31	37	35	26	5	134
Total		100	70	52	29	8	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward ignorance of females’ capacity in leadership negatively affects participation of females in political leadership was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward ignorance of females’ capacity in leadership negatively affects participation of females in political leadership. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward ignorance of females’ capacity in leadership negatively affects participation of females in political leadership. Thus, it is concluded that the respondents from the two regions have similar attitude toward ignorance of females’ capacity in leadership negatively affects participation of females in political leadership at the 5% level of significance.

The findings obtained from using interviews and focus group discussions still support that ignorance of females’ capacity in leadership is the hindrance to females’ political participation in two regions. Still few key informants think that females’ capacity in leadership is not ignored and is not the hindrance to females’ political participation.

## 5. Religious Influences

The respondents’ responses, from the table 14 below, revealed that 44.2% of respondents agreed religious influences is the hindrance to females’ political participation in Gambella and Ethiopia Somali regions. From this table 24.4% of the respondents strongly agreed and 19.8%

of the respondents agreed from both regions. Thus, few respondents admitted that religious influence is the hindrance to females' political participation in these regions.

Table 16: Religious Influences Affects Females' Participation in Politics

Religious influences					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	63	24.3	24.3	24.3
	Agree	52	20.1	20.1	44.4
	No Comment	35	13.5	13.5	57.9
	Disagree	49	18.9	18.9	76.8
	Strongly Disagree	60	23.2	23.2	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing their responses basing on sex, from the table 15 below, 39 (45.3%) of 86 females and 76 (43.9%) of 173 males accepted that religious influences is the hindrance to females' political participation in Gambella and Ethiopia Somali regions. Thus, few respondents from females and males acknowledged that religious influence is the hindrance to females' political participation in these regions.

Table 17: Religious Influences Basing on Respondents' Sex

		Religious influences					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	23	16	8	14	25	86
	Male	40	36	27	35	35	173
Total		63	52	35	49	60	259

Source: field survey data

Statistical test of attitude of females and males respondents toward religious influences is the hindrance to females' political participation had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward religious influences is the hindrance to females' political participation. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.337$ . This indicated that it is very likely that females and males respondents have differing attitude toward religious influences is the hindrance to females' political participation. Hence, it is concluded that females and males respondents have differing attitude toward religious influences is the hindrance to females' political participation at the 5% level of significance.

Comparing their responses basing on region, from the table 16 below, 73 (58.4%) of 125 respondents from Gambella region and 42 (31.3%) of 134 respondents from Ethiopia Somali region accepted that ignorance of females’ capacity in leadership negatively affects the participation of females in political leadership in both regions. In Ethiopia Somali region only 31.3% of the respondents agreed that ignorance of females’ capacity in leadership negatively affects the participation of females in political leadership, while in Gambella region 58.4% of the respondents agreed to the statement.

Table 18: Religious Influences Basing on Respondents’ Region

		Religious influences					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	47	26	16	26	10	125
	Ethiopia Somali	16	26	19	23	50	134
Total		63	52	35	49	60	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward religious influences is the hindrance to females’ political participation was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward religious influences is the hindrance to females’ political leadership participation. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward religious influences is the hindrance to females’ political participation. Thus, it is concluded that the respondents from the two regions have similar attitude toward religious influences is the hindrance to females’ political participation at the 5% level of significance.

### 4.3. Ways the Culture Affects the Females’ Participation in Politics

This section presented the finding on the ways culture affects the females’ participation in political leadership in Gambella region. It answers the research question two: How the culture does affect the females’ participation in politics?

The respondents presented their evaluations on ways the following cultural categories such as strong patriarchal system, being housewife, girls as sources of income (dowry paid for marriage), ignorance of females’ capacity in leadership, and religious influences affected females’ political leadership participation.

#### **a. Reasons Patriarchal System Affects the Females' Participation in Politics**

The findings explained that the patriarchal system affects the females' participation in politics because it is the father and sons not daughters given privilege in the social system. Since childhood boys and girls are given different roles the boy is sent to school while the girl stays at home. She cooks food and takes care of family. The informants revealed that girls are seen as sources of income because of the dowry pay for marriage and also marriage women are not allowed by their husband to participate in politics.

The many respondents from Gambella region revealed that patriarchal system affects female participation in politics in that male superiority still exists in the community in Gambella region and women are having inferiority ideology. Because of cultural practices, the respondents from the two regions explained that women believe they are under men in political, economic and social life which exists in the past centuries to present. One of the respondents from Gambella said, "Women are restricted by their husbands to care only for home activities and children rather than engaging in other activities, since they are under the control of men as their own assets/property." The findings also showed that women are not given a chance to participate in public meeting, because of this they develop shyness and fear among their group and believe politics is only a male activity. To respondents from these regions, women choice is dominated and prevented by their husbands and parents.

Some respondents in Ethiopia Somali expressed that there is no more influence of patriarchal system in females' political participation. For many respondents from the two regions, man is the head of the house and controls the economic resources of the house. This leads to thinking that women are less than men or discrimination for women.

One of the respondents from Ethiopia Somali explained, "By religion female and male not same. Women lack stress, poor management and decision making. If we see as a cultural and ability or hard work really the women can't do the hard work but the men can make hard work."

As to many respondents men deny the women to challenge them and stand behind them. As stated by one of the respondents, "Most people consider women as mother and housewife and as store keepers while women have critical role in political participation."

#### **b. Reasons Being Housewife is A Hindrance to Females' Participation in Politics**

The study results revealed that wife is considered to prepare anything in a house every day from the care of children to food cooking and clothes watching. The informants explained that being housewife leads to less participation in politics because without husband permission wife cannot do anything by her own interest, otherwise it can create conflict between the two couples. The findings also indicated that caring for whole family make it difficult for her to have adequate time for politics and she is afraid that her husband may not allow her to participate.

One of the respondents Gambella region expressed:

*Women have less participation in politics because women are busy at home executing their day to day and endless job at home so they did not have spare time to take political participation. Also husbands do not allow their wives to the public, they though if his wife go to participate in public she will be going to another man.*

Some of the respondents explained that women do not have time to think about politics rather than the family. Many respondents stated that women are always under stress because they think that husbands' suspicious may to divorce between them.

Some respondents from Ethiopia Somali also explained that their religion, Islamic, demand females to stay as housewife than participating in politics. One of the respondents from Ethiopia Somali complained, "Housewife and politic are not good to go together."

Majority of the respondents believed women are much busy (cook every day in the night and day) thus they do not have time to participate in politics. As to one of the respondents from Ethiopia Somali, "Because she is mother, she can't participate in politics. She is looking after children and other problems of house, so it's not necessary to participate in politic. Housewife cannot adapt to participate in politics for a long time."

The respondent from Ethiopia Somali told me that "You know when women become a housewives they only remain doing homework rather than working in government office and also their negative attitudes towards political participation are the cases limiting their participation in politics."

### **c. Reasons Dowry Pay for Marriage is Hindrance to Females' Participation in Politics**

The results showed that because girls are seen as sources of income and when she divorced the dowry is paid back to the husband. The informants explained a family of the female took dowry and left everything for the females' husband which in turn becomes the one to decide about the females' fate. The findings showed that dowry contributes to female suppression.

The respondents revealed that existence of dowry leads to patriarchal system and because this without husband permission wife cannot do anything by her own interest. The results also made it clear that dowry exposes girls to early marriage, which negatively affects the political participation. Parent chooses marriage of a daughter so that they are paid with dowry which is an income for them.

From early time they are not allowed to have educational participation, like sharing experiences with their since the family believe they may engage in sexual activities

The respondents indicated that the dowry paid for marriage caused a forced early marriage as it seen as source of income. Because of this girls are not sent to school as they are considered

as sources of income. As to respondents the dowries are also used as general tools for preventing women from participating in political Leadership.

Still there some who explained that dowry affected in the past not now. Some believed is culture and they do think dowry pay for marriage can be a hindrance to female participation in politics.

**d. Reasons the Females' Capacity in Leadership is Ignored**

The respondents explained that is strong cultural believe that female cannot give correct decision. The females' capacity in leadership is ignored simply because of the attitude that they cannot do so. The findings revealed females' capacity in leadership is ignored because of lack of awareness of women's contribution in leadership.

As from the findings, basing on the culture women put themselves inferior when men are playing different roles such as sovereignty/protection or depend of the land to fight against invader, peace reconciliation or other factors. Results showed that females consider themselves as if they have no power physically or mentally and this leads men to have a negative ideology towards women.

The findings also explained that lack of education and backwardness makes people to think that women are weak in their activities. Culture undermines women and past attitudes are still retained that females are not good leaders.

Some state that women do not try to complain about their right and they lack awareness in politics. The respondents also explained that most of the time much attention is giving to educate boys and uneducated women are marginalize from having capacity building in leadership. One of the respondents explained angrily, "Here in Gambella males do not consider women as people. They undermined them as simply are people who serve children and husband at home."

As to many respondents women do not show their capacity practically and they lack confident. They also explained the cultural attitude that women do not have capacity to lead is hindrance to their political leadership participation. The respondents added that women are not empowered to participate in community gathering and discuss problem from grass root level. Superiority complex from men, negative attitude that women have no potential to lead, organize and plan are the problem those limited the females' political leadership participation. Many respondents from Ethiopia Somali commented "Our religion, Islamic, does not allow them."

One of the respondent stated, "Because they cannot work as men example she cannot go around many places, she is mother and she does not have a lot of times to work every time in office. So women cannot be in leadership anyway."

In general some respondents said women are not good as leader because they are mothers; some said they lack understanding leadership; still some said women do not understand the advantage of the politic; some complained male dominating nature of politics in the most country; and yet few said women are not ignored in political leadership participation.

**e. How the Religion affects the women's political leadership participation?**

Many respondents from Gambella explained that the religion does not have influence in females' political leadership participation. As to respondents the problem could be women devote their much time in church. One respondent stated, "The religion and the politic are not related."

Many respondents said there is no religious influence but culture is every affecting negatively the political participation of females. Still in Ethiopia Somali many respondents believed in Muslim society female are not allowed to participate in politic. Some respondents explained that there are some articles in religion that order to women not to have any role in political leadership participation.

One the respondents from Ethiopia Somali stated,

*Our religion of Islamic does not allowed females to participate in politic. In Muslim society women should stay at their home better than to go with society meetings. There are some articles in religion that order to women not to have any role in political but I do not know how much negative impact it has to them (women).*

**4.4. Improving Females' Participation in the Political Leadership**

This section presented the findings on the ways the participation of women in the politics can be improved in Gambella and Ethiopia Somali regions. The section answers the research question three: How the participation of women in the politics can be improved?

The study revealed different ways to enhance the females' participation in politics in Gambella and Ethiopia Somali regions. First of all, educating girls was raised almost by all respondents as easy way of improving females' participation in politics in the two regions. Secondly, alerting women through training of their rights to participate in politics and empowering them were mentioned as another way to make women participate in all political activities.

Thirdly, the respondents stated that making communities aware about the importance of women participation in the politics and affirmative action must be applied to make women participate in politics in Gambella and Ethiopia Somali regions. The respondents explained that there is need to bring attitudinal change to community to eliminate the cultural practices those do not allow women to participate in politics. Lastly but not the least, respondents raised the development as one of the important issues that has potential to reduce the cultural

influences those hindered the participation of females in politics in Gambella and Ethiopia Somali regions.

Some comments that empowering women in economic, social and political activities; freeing them to learn in higher education; setting law that can challenges social custom and culture; avoiding paying dowry; and volunteer marriage should be introduce to increase the political participation of women. They commented that making capacity building to women and encourage them about politics can help in promoting women’s political participation. One of the respondents stated, “We have to balance both cultural and political, political empowerment.”

Quantitatively, the respondents were asked to show their agreement on bringing development to community, girls’ education, bringing attitude change through training, eliminating dowry pays for marriage, and giving quota to females in political post can help in reducing the cultural negative influences to females’ political participation in both regions.

**a. Bringing Development to Community**

The survey findings from the table 17 below revealed that 93.8% of respondents accepted that bringing development to community can help in reducing the cultural negative influences to females’ political participation in Gambella and Ethiopia Somali regions. From this table 69.1% of the respondents strongly agreed and 24.7% of the respondents agreed from both regions. Thus, majority of the respondents believed that bringing development to community can lessen the negative influences of culture to females’ political participation in two regions.

Table 19: Bringing Development to Community can help in Reducing Cultural Influences

Bringing development to communities					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	179	69.1	69.1	69.1
	Agree	64	24.7	24.7	93.8
	No Comment	4	1.5	1.5	95.4
	Disagree	7	2.7	2.7	98.1
	Strongly Disagree	5	1.9	1.9	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing their responses basing on sex, from the table 18 below, 75 (87.2%) of 86 females and 168 (97.1%) of 172 males accepted that bringing development to community can help in reducing the cultural negative influences to females’ political participation in Gambella and Ethiopia Somali regions. Thus, many of females and males respondents accepted that bringing

development to community can help in promoting females’ political leadership participation in both regions.

**Table 20: Bringing Development to Community Basing on Respondents’ Sex**

		Bringing development to communities					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	53	22	1	7	3	86
	Male	126	42	3	0	2	173
Total		179	64	4	7	5	259

*Source: field survey data*

Statistical test of attitude of females and males respondents toward bringing development to community can help in reducing the cultural negative influences to females’ political participation had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward bringing development to community can help in reducing the cultural negative influences to females’ political participation. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.002$ . This indicated that it is very unlikely that females and males respondents have differing attitude toward bringing development to community can help in reducing the cultural negative influences to females’ political participation. Thus, it is concluded that females and males respondents have similar attitude toward bringing development to community can help in reducing the cultural negative influences to females’ political participation at the 5% level of significance.

Comparing the responses in region wide from the table 19 below, all (100%) respondents from Gambella region and 118 (88.1%) of 134 respondents from Ethiopia Somalis agreed that bringing development to community can help in reducing the cultural negative influences to females’ political participation in Gambella and Ethiopia Somali regions. Thus, majority of respondents from these regions accepted that bringing development to community can reduce the cultural negative influences to females’ political participation in the study areas.

**Table 21: Bringing Development to Community Basing on Respondents’ Region**

		Bringing development to communities					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	87	38	0	0	0	125
	Ethiopia Somali	92	26	4	7	5	134
Total		179	64	4	7	5	259

*Source: field survey data*

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward bringing development to community can help in reducing the cultural negative influences to females' political participation was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward bringing development to community can help in reducing the cultural negative influences to females' political participation. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.001$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward bringing development to community can help in reducing the cultural negative influences to females' political participation. Thus, it is concluded that the respondents from the two regions have similar attitude toward bringing development to community can help in reducing the cultural negative influences to females' political participation at the 5% level of significance.

### b. Girls Education

The respondents' responses, from the table 20 below, showed that 87.3% of respondents indicated their agreement that girls' education can play positive roles to females' political leadership participation in both regions. From this table 58.3% of the respondents strongly agreed and 29% of the respondents agreed from both regions. Thus, a good number of respondents showed their agreement that girls' education can play positive roles to females' political leadership participation in both regions.

Table 22: Girls' Education can help in Reducing Cultural Influences

		Girls' education			
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	151	58.3	58.3	58.3
	Agree	75	29.0	29.0	87.3
	No Comment	17	6.6	6.6	93.8
	Disagree	5	1.9	1.9	95.8
	Strongly Disagree	11	4.2	4.2	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing their responses basing on sex, from the table 21 below, 69 (80.2%) of 86 females and 157 (90.6%) of 173 males accepted that girls' education can play positive roles to females' political leadership participation in both regions. Thus, a good number of females and males have a faith that girls' education has positive roles to females' political leadership participation.

Table 23: Girls' Education Basing on Respondents' Sex

		Girls' education					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	43	26	8	3	6	86
	Male	108	49	9	2	5	173
Total		151	75	17	5	11	259

Source: field survey data

Statistical test of attitude of females and males respondents toward girls' education can play positive roles to females' political participation had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward girls' education can play positive roles to females' political participation. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.139$ . This indicated that it is very likely that females and males respondents have differing attitude toward girls' education can play positive roles to females' political leadership participation. Hence, it is concluded that females and males respondents have differing attitude toward girls' education can play positive roles to females' political leadership participation at the 5% level of significance.

Comparing the responses in region wide from the table 22 below, all (100%) respondents from Gambella region and 101 (75.4%) of 134 respondents from Ethiopia Somalis agreed that girls' education can play positive roles to females' political participation in both regions. Thus, nearly every one of respondents from two regions showed their agreement that girls' education can play positive roles to females' political leadership participation.

Table 24: Girls' Education Basing on Respondents' Region

		Girls' education					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	100	25	0	0	0	125
	Ethiopia Somali	51	50	17	5	11	134
Total		151	75	17	5	11	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward girls' education can play positive roles to females' political leadership participation was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward girls' education can play positive roles to females' political leadership participation. The Pearson Chi-Square Tests showed the significance level is equal

to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward girls' education can play positive roles to females' political leadership participation. Therefore, it is concluded that respondents from the two regions have similar attitude toward girls' education can play positive roles to females' political leadership participation at the 5% level of significance.

**c. Bringing Attitude Change through Trainings**

The findings from the table 23 below revealed that 73.7% of respondents agreed bringing attitude change through training can enhance females' political leadership participation in Gambella and Ethiopia Somali regions. From this table 51.7% of the respondents strongly agreed and 22% of the respondents agreed from both regions. Thus, many respondents accepted that bringing attitude change through training can enhance females' political leadership participation in these regions.

Table25: Bringing Attitude Change through Trainings can help in Reducing Cultural Influences

Bringing attitude change through training					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	134	51.7	51.7	51.7
	Agree	57	22.0	22.0	73.7
	No Comment	40	15.4	15.4	89.2
	Disagree	20	7.7	7.7	96.9
	Strongly Disagree	8	3.1	3.1	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing their responses basing on sex, from the table 24 below, 56 (65.1%) of 86 females and 135 (78%) of 173 males accepted that bringing attitude change through training can enhance females' political leadership participation in Gambella and Ethiopia Somali regions. Thus, more than average of the respondents from both females and males believed that bringing attitude change through training can improve females' political leadership participation in the study areas.

Table 26: Bringing Attitude Change through Trainings Basing on Respondents' Sex

		Bringing attitude change through training					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	35	21	19	7	4	86
	Male	99	36	21	13	4	173
Total		134	57	40	20	8	259

Source: field survey data

Statistical test of attitude of females and males respondents toward bringing attitude change through training can improve females' political leadership participation had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward bringing attitudinal change through training can improve females' political leadership participation. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.088$ . This indicated that it is very likely that females and males respondents have differing attitude toward bringing attitude change through training can improve females' political leadership participation. Therefore, it is concluded females and males respondents have differing attitude toward bringing attitude change through training can improve females' political leadership participation at the 5% level of significance.

Comparing the responses in region wide from the table 25 below, all respondents from Gambella region and 66 (49.3%) of 134 respondents from Ethiopia Somali agreed that bringing attitude change through training can enhance females' political leadership participation in Gambella and Ethiopia Somali regions. In Ethiopia Somali region only 49.3% of the respondents confirmed that bringing attitude change through training can increase females' political leadership participation, while in Gambella region 100% of the respondents agreed to the statement.

Table 27: Bringing Attitude Change through Trainings Basing on Respondents' Region

		Bringing attitude change through training					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	94	31	0	0	0	125
	Ethiopia Somali	40	26	40	20	8	134
Total		134	57	40	20	8	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward bringing attitude change through training can improve females' political leadership participation was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward bringing attitudinal change through training can improve females' political leadership participation. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward bringing attitude change through training can improve females' political leadership participation. Therefore, it is concluded that the respondents from the two regions have similar attitude toward bringing attitude change through training can improve females' political leadership participation at the 5% level of significance.

#### d. Giving Quota to Females in Political Posts

The findings from the table 26 below indicated that 71% of respondents agreed giving quota to females in political post can improve females' political participation in Gambella region. From this table 40.2% of the respondents strongly agreed and 30.9% of the respondents agreed from both regions. Thus, majority of the respondents showed their agreement that giving quota to females in political post can improve females' political participation in these regions.

Table 28: Giving Quota to Females in Political Post can help in Reducing Cultural Influences

Giving quota to women in political post					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	104	40.2	40.2	40.2
	Agree	80	30.9	30.9	71.0
	No Comment	36	13.9	13.9	84.9
	Disagree	30	11.6	11.6	96.5
	Strongly Disagree	9	3.5	3.5	100.0
	Total	259	100.0	100.0	

Source: field survey data

Comparing the respondents' responses in sex wide, from the table 27 below, 60 (69.8%) of 86 females and 125 (72.3%) of 173 males accepted that giving quota to females in political posts can improve the females' participation in politics both in Gambella and Ethiopia Somali regions. Thus, majority of the respondents, both females and males, supported that giving quota to females in political post can enhance females' political participation.

Table 29: Giving Quota to Females in Political Post Basing on Respondents' Sex

		Giving quota to women in political post					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	35	25	12	12	2	86
	Male	69	55	24	18	7	173
Total		104	80	36	30	9	259

Source: field survey data

Statistical test of attitude of females and males respondents toward giving quota to females in political posts can improve the females' participation in political leadership had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing

attitude toward giving quota to females in political posts can improve the females' participation in political leadership. The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.868$ . This indicated that it is very likely that females and males respondents have differing attitude toward giving quota to females in political posts can improve the females' participation in politics. Therefore, it is concluded that females and males respondents have differing attitude toward giving quota to females in political posts can improve the females' participation in politics at the 5% level of significance.

Comparing the responses in region wide from the table 28 below, 111 (88.8%) of 125 respondents from Gambella region and 73 (54.5%) of 134 respondents from Ethiopia Somalis agreed that giving quota to females in political posts can improve the females' participation in politics both in Gambella and Ethiopia Somali regions. Thus, more than average of the respondents from two regions confirmed that giving quota to females in political post can improve females' political participation in these regions.

Table 30: Giving Quota to Females in Political Post Basing on Respondents' Region

		Giving quota to women in political post					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	67	44	6	3	5	125
	Ethiopia Somali	37	36	30	27	4	134
Total		104	80	36	30	9	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward giving quota to females in political posts can improve the females' participation in politics was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward giving quota to females in political posts can improve the females' participation in political leadership. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward giving quota to females in political posts can improve the females' participation in politics. Therefore, it is concluded that the respondents from the two regions have similar attitude toward giving quota to females in political posts can improve the females' participation in politics at the 5% level of significance.

#### e. Eliminating Dowry Pay for Marriage

The findings from the table 29 below revealed that 58.7% of respondents supported eliminating dowry pay for marriage can have influence in increasing females' political participation in Gambella and Ethiopia Somali regions. From the respondents, 12% of

respondents remained with no comment and 29.4% of respondents did not accept that eliminating dowry pay for marriage can improve females' participation in politics in Gambella region. From this table 35.5% of the respondents strongly agreed and 23.2% of the respondents agreed from both regions. Thus, more than average of the respondents reinforced that eliminating dowry pay for marriage can have influence in increasing females' political participation in both regions.

Table 31: Eliminating Dowry Pays for Marriage can help in Reducing Cultural Influences

Eliminating dowry pay for marriage					
		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Agree	92	35.5	35.5	35.5
	Agree	60	23.2	23.2	58.7
	No Comment	31	12.0	12.0	70.7
	Disagree	37	14.3	14.3	84.9
	Strongly Disagree	39	15.1	15.1	100.0
	Total	259	100.0	100.0	

Source: field survey data

When comparing the responses in sex base, from the table 30 below, 43 (50%) of 86 females and 109 (63%) of 173 males agreed that eliminating dowry pay for marriage can improve females' political leadership participation in Gambella and Ethiopia Somali regions. Thus, above average of both females and males accepted that eliminating dowry pay for marriage can improve females' political participation in the study areas.

Table 32: Eliminating Dowry Pays for Marriage Basing on Respondents' Sex

		Eliminating dowry pay for marriage					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Sex	Female	23	20	12	12	19	86
	Male	69	40	19	25	20	173
Total		92	60	31	37	39	259

Source: field survey data

Statistical test of attitude of females and males respondents toward eliminating dowry pay for marriage can improve females' political leadership participation had been made using Pearson Chi-Square Tests. The hypothesis is that females and males have differing attitude toward eliminating dowry pay for marriage can improve females' political leadership participation.

The Pearson Chi-Square Tests showed significance level is equal to Sig. (2-sided) or  $p = 0.114$ . This indicated that it is very likely that females and males respondents have differing attitude toward eliminating dowry pay for marriage can improve females' political leadership participation. Therefore, it is concluded that females and males respondents have differing attitude toward eliminating dowry pay for marriage can improve females' political leadership participation at the 5% level of significance.

Comparing the responses in region wide from the table 31 below, 90 (72%) of 125 respondents from Gambella region and 62 (46.3%) of 134 respondents from Ethiopia Somalis agreed that eliminating dowry pay for marriage can improve females' political participation in Gambella and Ethiopia Somali regions. In Ethiopia Somali region only 46.3% of the respondents confirmed that eliminating dowry pay for marriage can improve females' political participation, while in Gambella region 72% of the respondents agreed to the statement.

Table 33: Eliminating Dowry Pays for Marriage Basing on Respondents' Region

		Eliminating dowry pay for marriage					Total
		Strongly Agree	Agree	No Comment	Disagree	Strongly Disagree	
Respondent Region	Gambella	59	31	16	14	5	125
	Ethiopia Somali	33	29	15	23	34	134
Total		92	60	31	37	39	259

Source: field survey data

Statistical test between attitude of respondents from Gambella and Ethiopia Somali regions toward eliminating dowry pay for marriage can improve females' political leadership participation was done using Pearson Chi-Square Tests. The hypothesis is that the two regions have differing attitude toward eliminating dowry pay for marriage can improve females' political leadership participation. The Pearson Chi-Square Tests showed the significance level is equal to Sig. (2-sided) or  $p = 0.000$ . This indicated that it is very unlikely that the respondents from the two regions have differing attitude toward eliminating dowry pay for marriage can improve females' political leadership participation. Therefore, it is concluded that the respondents from the two regions have similar attitude toward eliminating dowry pay for marriage can improve females' political leadership participation at the 5% level of significance.

## **5. Conclusion and Recommendations**

### **5.1. Discussions and Conclusions of the Findings**

It became clear from the findings that the females' participation in political leadership is less because most of them are not qualified or educated, especially they lack higher level education starting from certificate and above. Many informants supported that women are primarily responsible to take care for the whole family, children and old age care, cooking food and watching of clothes which give them fewer times to participate in politics. From the findings, their less participation in political leadership stems from cultural influences which were stated as women are serving as mothers and housewives at their homes, cultural influences that look women as politically inferior to males, cultural influences that see girls as sources of income and cultural influences that ignore the female capacity in leadership. The study also revealed lack awareness of their rights, lack of empowerment, lack of interest in politics, lack of encouragement and confidence, early marriage, and lack of awareness about policies of the government are the hindrances of females' political leadership participation. The religion has been identified as one of the factors that limited the women participation in politics, especially Islamic religion, as well. One can see that only religious influences have been supported by few respondents (44.4%) among the other factors that affect females' political leadership participation. The good news is that, from the findings, still there were some informants who believe the influence of the strong patriarchal system is not much severe as before. There is a change in two regions.

The findings explained that the strong patriarchal system affects the females' participation in politics because the father and sons not daughters given privilege in the social system. Since childhood boys and girls are given different roles the boy is sent to school while the girl stays at home. She cooks food and takes care of family. The many respondents from Gambella region revealed that patriarchal system affects female participation in politics in that male superiority still exists in the community in Gambella region and women are having inferiority ideology. Because of cultural practices, the respondents from the two regions explained that women believe they are under men in politics, economic and in others social life which exists in the past centuries to present. One can learn from the findings that until now patriarchal system which is also supported by religion, especially Islamic, is hindrance to females' political leadership participation.

Being housewife is obstruction to females' political leadership participation. The study results revealed that wife is considered to prepare anything in a house every day from the care of children to food cooking and clothes watching. Thus, caring for whole family make it difficult for her to have adequate time for politics and the afraid that her husband may not allow her to participate. Some respondents from Ethiopia Somali also explained that their religion, Islamic, demand females to stay as housewife than participating in politics. Therefore, one can conclude that being housewife is one of the hindrances to females' political leadership participation in these two regions for the above reasons.

The results showed dowry paid for marriage is one of the barriers to females' political leadership participation because girls are seen as sources of income and when she divorced the dowry is paid back to the husband. The informants explained a family of the female took dowry and left everything for the females' husband which in turn becomes the one to decide about the females' fate. The respondents revealed that existence of dowry leads to patriarchal system, because this without husband permission wife cannot do anything by her own interest. The results also made it clear that dowry exposes girls to early marriage, which negatively affects their education and political participation. Parent chooses marriage of a daughter so that they are paid with dowry which is an income for them. Thus, it is concluded that dowry is one of the factors preventing women from participating in political Leadership.

The results showed different reasons why the females' capacity in leadership is ignored. The respondents explained that is strong culturally believe that female cannot give correct decision. There is lack of awareness of women's contribution in leadership. Results showed that females consider themselves as if they have no power physically or mentally and this leads men to have a negative ideology towards women. Lack of education was also mentioned to be the reason why the females' capacity in leadership is ignored and past attitudes are still retained that females are not good leaders. The results also explained superiority complex from men, negative attitude that women have no potential to lead, organize and plan are the problem those limited the females' political leadership participation. Therefore, the negative attitude toward females' leadership capacity, male dominating nature of politics and women inferiority have led to ignorance of females' capability in political leadership.

Religion has been identified as one of hindrances to females' political leadership participation. Many respondents from Gambella explained that the religion does not have influence in females' political leadership participation. As to respondents the problem could be women devote their much time in church. But in Ethiopia Somali many respondents believed in Muslim society female are not allowed to participate in politics. Some respondents explained that there are some articles in religion that order to women not to have any role in political leadership participation. We can learn that though there is change, still the influence of religion in females' political leadership participation is much pronounce.

The study revealed different ways to enhance the females' participation in politics in Gambella and Ethiopia Somali regions which included educating girls, alerting women through training of their rights to participate in politics and empowering them were mentioned as another way to make women participate in all political activities.

The results showed making communities aware about the importance of women participation in the politics and affirmative action must be applied to make women participate in politics in Gambella and Ethiopia Somali regions. The respondents explained that there is need to bring attitudinal change to community to eliminate the cultural practices those do not allow women to participate in politics. Lastly but not the least, respondents raised the development as one of

the important issues that has potential to reduce the cultural influences those hindered the participation of females in politics in Gambella region.

## **5.2. Recommendations for Action**

The females are facing number of challenges in political leadership participation in Gambella and Ethiopia Somali regions. Though culture influent females' political leadership participation, most of the females lack education that can enable them to participate in politics.

The findings showed since childhood boys and girls are given different roles, the boy is sent to school while the girl stays at home. Women are restricted by their husbands to care only for home activities and children rather than engaging in other activities, politics. The results also made it clear that dowry exposes girls to early marriage, which negatively affects their education and political participation. Therefore, the following recommendations need to be considered.

### **1. Recommendations to Government**

- ✓ Lack of access to education turn to be the problem which prevents females to participate in politics in Gambella and Ethiopia Somali regions. Therefore, the government should mobilize the community to send their daughters to school. The government should have special female education program.
- ✓ The government should promote the development in the area as the development can help to eliminate the negative cultural activities.
- ✓ The government should give quota to females to increase their participation in politics.
- ✓ The government should have massive trainings to aware the community to eliminate cultural practices those hinder the females' political leadership participation.

### **2. Recommendations to Communities**

- ✓ The existence of cultural influences which see women are serving as mothers and housewives at their homes, and girls as sources of income have badly affected the females' political leadership participation in the two regions. Thus, communities of the regions have to understand that the women have much contribution in the regional development beyond serving as mothers and housewives at their homes. The communities should understand that girls can bring more income to the family if educated and participated in government activities than the dowry receives from marriage.
- ✓ The communities should know that early marriage is one of the harmful traditions which affect healthy of girls as well as their education.
- ✓ The communities have to learn that the religion has contradiction with the women's education and political participation. If any even men would not be free from that.

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# **The Practice of Green Infrastructure Development & Management in Addis Ababa:the Case Of Three Selected Sub-Cities**

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## **Abstract**

*Ethiopia has already set a vision to join middle income country status by the year 2025. This vision has inspired with hope the country to transform from agrarian economy to Industrialization and this vibrant growth has also started to shift rural life to urbanization. The Government of Ethiopia's Climate Resilient Green Economy (CRGE) vision has also set the goal of reaching middle-income country status by the year 2025 with net-zero greenhouse gas (GHG) emissions.*

*This research is aimed to analyze and explore the development and management practices of green infrastructure in Addis Ababa so as to contribute to a better understanding of the essence of urban green infrastructure and its amenities in creating resilient city to cope the challenges as the result of climate change. Hence, the study employed multiple data sources for investigation comprising aerial photos/Satellite-Images, Measurements of Green Spaces through line maps along with on-site block and neighborhood level measurements in three selected case study areas, Interview with municipal authorities, questionnaire surveys with inhabitants and experts, field observation, FGD and other related sources through quantitative and qualitative (mixed imbedded approaches) (Triangulation). Accordingly, three different case study areas were selected to analyze the management and development practices of green infrastructure in Addis Ababa.*

*Finally, the research ended with arriving at answers for research questions through both statistical and non statistical techniques. The research result has highly addressed and concluded that there are serious limitations of development as well as management practices in Addis Ababa. Hence, it is possible to conclude that very less emphasis has been given for green development, even for the existing green infrastructures with poor stakeholder's involvement. Finally, it concludes with an overview of emerging thinking/implications where further efforts are required in the future.*

**Keywords:** Green, Infrastructure, Practice, Planning, Development, Green-Spaces, Management, Addis Ababa.

## 1 Introduction

Urban communities across the country including cities such as Addis Ababa want to protect their environment while also getting the greatest possible benefit out of every investment they make. Many are conserving, restoring, or enhancing natural areas while incorporating trees, rain gardens, vegetated roofs, greeneries along the right of ways and other practices that mimic natural systems. Using these types of approaches, known as “urban green development,” to reduce carbon emission and pollution is a way of protecting urban environment, while achieving benefits that can include improved public health, better quality of life, and economic development through green development. This study provides information on the costs and benefits of “Urban green development” solutions for bolstering local adaptation to climate change in Addis Ababa. It is strongly believed that Pioneering cities and towns have used green practices to increase community resilience by planning for, and adapting to, emerging climate change impacts by proper planning and management of urban green Infrastructure.

It is hoped that this study might disclose the existing situation, performance and benefits of a selection of urban green development solutions in Addis Ababa, using its range of technological, managerial, institutional, and financial innovations as a proxy for its value for climate change adaptation through urban green development Planning and management. It is also important to note that actions affecting land-use and spatial development are among the most critical in achieving low-carbon growth. Once cities and towns grow and define their urban form, it is almost impossible to retrofit them as the built environment is largely irreversible and very costly to modify. Therefore, this urban green development planning and management study in Addis Ababa is expected to contribute for developing strategies so as to install urban resilience system to climate change.

Addis Ababa is the capital city of Ethiopia with a population of 3.5 million in (2015). As a chartered city, Addis Ababa has the status of both a city and a state. It is where the African Union and its predecessor the OAU are based. It also hosts the Headquarters of the United Nations Economic Commission for Africa (UN-ECA) and numerous other continental and international organizations. Addis Ababa is therefore often referred to as the political capital of Africa due to its historical, diplomatic and political significance for the continent.

Despite the fact that Addis Ababa is organically/biologically grown rather than technically grown that calls for proper urban design and planning interventions along the strong consideration of *green infrastructure* with proper pattern of built-forms in order to design quality urban spaces in built-environments. So, it is also important to note that the growth of Addis Ababa is without thorough planning intervention as the city is composed of poor spatial qualities and high percentage of ground coverage by dense commercial and mixed use built-forms. Built-up area ratio/BAR/ in the old and central part of the city may exceed 90% coverage. It is also strongly believed that Urban Green infrastructure is very well known to provide environmental, social and economic benefits to communities internationally. However, the current situation in many cities and towns including Addis Ababa indicates that municipalities and city administration have given little attention that leads to climate changes.

Urban green in Addis Ababa is not well designed, developed, managed and protected very well to fulfill the environmental, social and economic benefits of urban green development to

the community. But, it is still facing tremendous environmental, social and economic problems associated with lack of appropriate green infrastructure development, management and planning. Beyond this general statement, the status and overall challenges faced by the urban green development in the city is not clearly known. Thus, this study is expected to identify the use, state and challenges for the low level or, no development of urban green development in the City Administration. Besides, the study would facilitate and paves the way to come up with proper solutions and strategies to cope up the challenges as the result of climate change by installing resilience in the city.

The general objective of the study is to examine the practice of *Urban Green Infrastructure development and management* in Addis Ababa city administration, there by realizing the impact of green infrastructure development on resilience to climate change.

## **2. Review of Related Literature**

### **2.1. The Concept of green infrastructure**

Urban green infrastructure refers to spaces that are located in the urban web which include urban forest, river buffer vegetation, recreational parks, urban agriculture, avenues of trees and other garden area. Green infrastructure is defined in different ways by different authors. Benedict and McMahon (2006) defined green infrastructure as an inter-connected network of water ways, wetlands, woodlands, wild life habitats and other natural areas: greenways, parks and other conservation lands, working farms, maintain natural ecological processes, sustain air and water resources and contribute to the health and quality of life for communities and the people at large.

More recently Davies et al (2012) defined green infrastructure as parts of urban areas with a mix of street trees, parks, cultivated land, wetlands, lakes and streams. Similarly, urban forest is defined as trees, forests, green spaces, and related biotic, abiotic and cultural components in and around cities (Carter, 1995). Therefore, green infrastructure and urban forest are regarded as being similar land use types. Hence, in this study, the terms green infrastructure, green areas and urban forest are used interchangeably. The European Commission (EU, 2010) defines green infrastructure as “the use of ecosystems, green spaces and water in strategic land use planning to deliver environmental and quality of life benefits. It includes parks, open spaces, playing fields, wetlands, road verges, allotments and private gardens.

### **2.2. International Norms and standards for Urban Green Space**

The issue of required green spaces per capita in urban systems has remained controversial. In 20<sup>th</sup> century, experts in Germany, Japan and other countries proposed a standard of 40 square meters (m<sup>2</sup>) urban green space in high quality or 140 m<sup>2</sup> suburb forest area per capita for reaching a balance between carbon dioxide and oxygen, to meet the ecological balance of human well-being. Currently, developed countries have tended to adopt a general standard of green space of 20 m<sup>2</sup> park area per capita (Wang 2009). International minimum standard suggested by World Health Organization (WHO) and adopted by the publications of United Nations Food and Agriculture Organization (FAO) is a minimum availability of 9 m<sup>2</sup> green open space per city dweller (Kuchelmeister 1998). There is yet another yardstick, which refers to London but has relevance to any city. Abercrombie (1943) prepared a plan in 1943-1944 suggesting that 1.62 ha (four acres) open space per 1000 population was a reasonable

figure to adopt for London. The plan also explains that all forms of open space need to be considered as a whole, and to be coordinated into a closely-linked park system, with parkways along existing and new roads forming the links between the larger parks.

There are city-specific local guidelines that may provide us useful guidance. For instance, Aarhus, with a population of 0.3 million is the second largest city in Denmark. The Green Structure Plan was prepared as part of the planning reforms of the 1970s. The political vision of 'Aarhus surrounded by forest', had strong public support. It is used to control urban growth and to set standards: no dwelling should be more than 500 metres from a green area of at least 6,000 m<sup>2</sup> (Carmona et al. 2003). In terms of structural diversity, green spaces in urban systems should essentially be developed as networks (Cook 2002, Thompson 2002). Three main components of urban forest and green spaces are: Patch (urban domestic gardens, public and private parks, gardens, urban forest patches etc.), Corridor (roadside avenues, walkways and urban greenways etc.), and Network structure (layout of all the patches and the corridors connecting the patches).

### **2.3 Green Infrastructure Development Policy Issues in Ethiopia**

The consideration of urban greens in urban planning and other social and economic development endeavors of a country has paramount importance for sustainable development. In this regard the urban planning process of Ethiopia has been incorporating the issue of urban planning process exercise since the introduction of modern urban planning (Fetsum 2003:106 in Gebrye; 2012). He also indicated as this is reflected in the incorporation of green areas and parks in urban plans, considerations of the compatibility of various land use activities, incorporation of generalized environmental objectives and identification of hazardous areas. In spite of this effort, the facilities of urban greens even in the capital city of Ethiopia hardly meet the standards provided by other competitive African cities (AAPCCO, 2015).

In order to respond these problems: the government of Ethiopia is forced to design various supporting guidelines, policies and proclamations. Concerning this, the Ethiopian constitution of 1995, the *Ethiopian environmental policy of 1997*, the Ethiopian urban development policy of 2006, and *urban planning proclamations No 574/2008c* can be mentioned as stated above. The Ethiopian constitution provides general principles that urge all peoples the right to live in a clean and healthy environment. The concept of sustainable development and environmental rights are also enshrined in Article 43, 44 and 92 of the constitution of FDRE. As different interventions strategies and proclamations are designed in line with the constitution, Federal, regional and local governments can design and execute supporting proclamation and various intervention strategies and manage urban green infrastructure areas.

Moreover, environmental policy of Ethiopia has recognized the importance of planning and creating green spaces with in urban areas. This opportunity helps for various stakeholders to develop and manage urban forests, street trees etc. as elements of urban green areas. Besides, the urban development policy, Ethiopia has recognized cities as entities that strive to work

towards minimizing serious causes and consequences that endanger the urban environment. The policy document also declared city and town governments to work towards: The development and protection of urban greens, designing and developing Environmental friendly development projects, planting and protecting Institutional, parks, residential green areas, street tree and informal green areas, ensuring that an exemplary and leading role as played by the government and ensuring the participation of the private sector in environmental protection selecting and adapting best practices, experiences and technologies sustainable for urban environmental Protection (MoFA,2006:21, 28). Furthermore, urban planning proclamation No574/2008c has made chartered cities and urban administrations one of the institutional areas for environmental protections in Ethiopia. It also prohibits any kind of urban development projects which cannot consider its detrimental impacts on urban environment in general and urban greens in particular. All these are very important steps in advancing the efforts of urban greens development and management in the country.

On the other hand, Ministry of Urban Development and Housing has been issued the first “*Ethiopia National Urban Green Infrastructure Standard*” in 2015 aims at setting the basic minimum standard requirements for Urban Green Infrastructure (UGI) development and management. This UGI standard development has done based on international and national cities experiences in UGI development and management. For this reason, Ministry of Urban Development and Housing (MUDHo) in collaboration with (GIZ) has developed the UGI standard. The standard has been evaluated and commented by Urban Plan, Sanitation and Beautification technical committee that could also use as foundation in developing green infrastructure planning in our town and cities. This is being taken as good start for the development of urban green infrastructures in creating resilient towns to climate change.

### **3. The Methods**

#### **3.1. Research Design**

In this study both quantitative and qualitative methods were applied. The quantitative methods comprised of measurements, analysis of documents, empirical studies, maps and aerial photographs, questionnaire surveys. On the other hand, the qualitative sources comprised of theoretical literatures, observations/Visual Survey as well as discussions, analysis of documents and previous observation. The data collection methods were conducted in two phases. First, the classification and identification of *green infrastructure development in the study areas* from inner to suburbs were done. Then, the residents and experts’ opinion were assessed through questionnaire survey and interview. The identification, usability and classification of green spaces were carried out in the same phase. After that the observation and official documents regarding the study areas were analyzed to explore the background information on green infrastructure practices of the case study areas in Addis Ababa. Multiple Mechanisms of data collection were adopted in the field including customers (Questionnaire Survey) at Woreda and Neighbourhood level, Physical Survey (Measurements) along with support of Google Earth & GIS/Line/Nortek Maps at (plot, block), Semi-Structured and Unstructured Interview (Key Informants), Visual Observation/Visual Survey at all scales, Focus Group Discussion and Secondary Data (GIS maps, Google Images, Line maps, Nortek

and Master Plan documents and Related Documents).

### 3.2. Method of Data Analysis

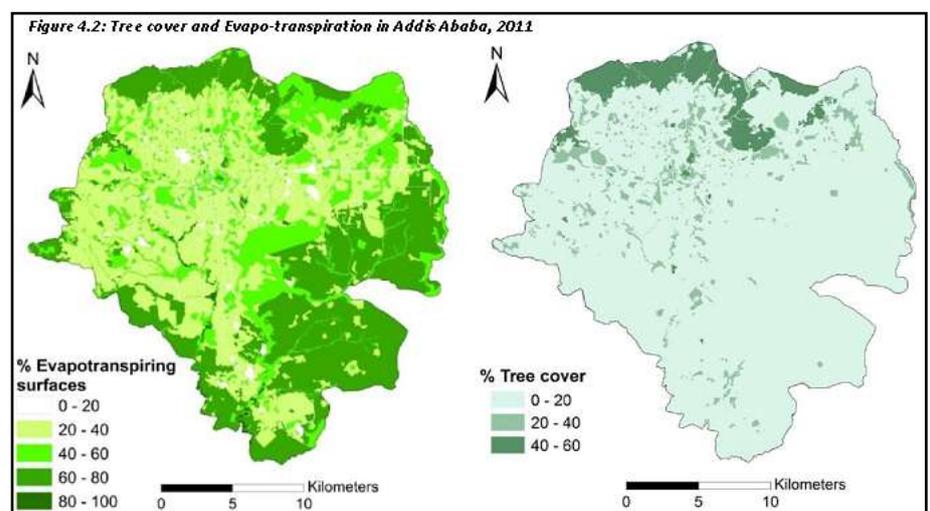
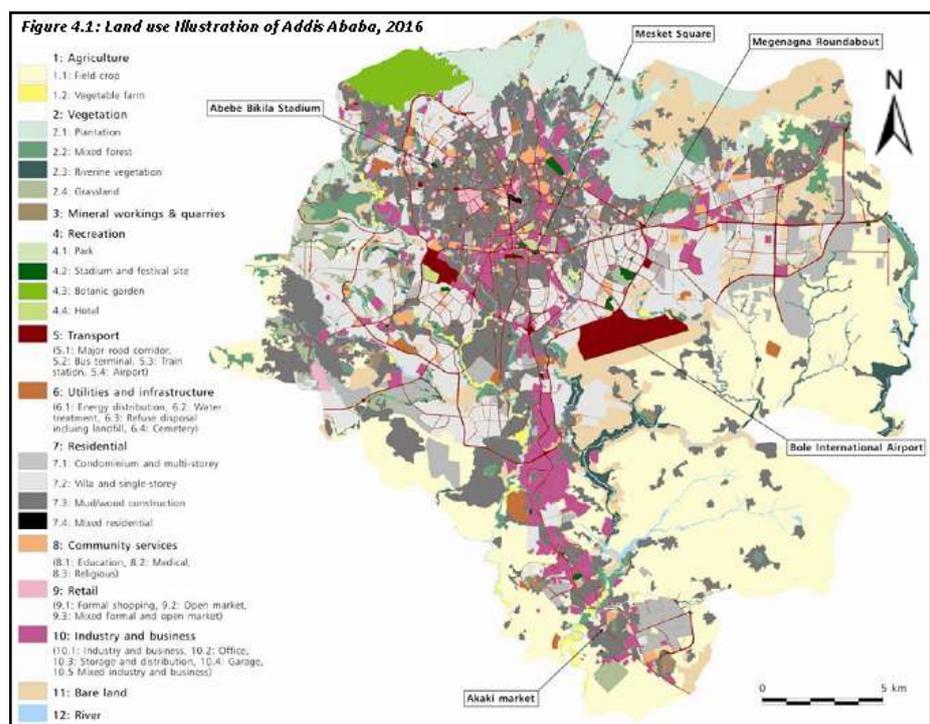
The purpose of data analysis, in this study, is to make wise use out of the bulk of data from the fieldwork amenable to the need of addressing the research questions. This involves the examination, categorization and tabulation of the evidence - both of the qualitative and quantitative data. With regard to the questionnaire and measurements data, it was first entered in SPSS program, version-22. In addition to the analysis of *interviews and questionnaires; line maps, GIS and Nortek maps, photographs, aerial photos and secondary written documents* were interpreted in relation to the key issues of the research questions and will be incorporated as part of the case reports.

## 4. Results and Discussion

Addis Ababa is a seat for FDRE, African Union, and many International organizations. It has total population of about 3.5 million (AACA, 2016). The ever growing population and the size of city; the city's importance as the center for political, economic, cultural and diplomatic activities; and the global nature of inter-city competition put greater pressure on the development agenda of Addis Ababa.

In this regard, the issues of Green-Urban Infrastructure Development, Environment and beautification may come third to peace and security maintenance and political stability at the ladder of importance for building competitive city at global level as well as combating against the challenges of Climate change. The opportunities of globalization can easily be harvested if the city gets ready by making itself a suitable place for its residents, investors and visitors. The green infrastructure development and management to this end, contributes vitally.

Accordingly, this research is aimed at addressing the major problems in relation to urban green infrastructure development and management practices that can be solved simultaneously. The first is the urban green infrastructure poor



management practices, quality deterioration and consequent lack of aesthetic value of the city. The second one is the problem of urban greening that leads the city to microclimate imbalance. Solving these interrelated problems in sustainable way and making the city competitive calls for an integrated approach and pulled finance from multiple sources. This research, thus, is aimed to set strategies whereby urban green infrastructures are going to be properly planned and designed for an integrated beautification, resilience to climate change so as to ensure sustainability.

This section comprise the situational analysis of urban green infrastructure development and management practices in Addis Ababa through the gathered data by adopting diversified methods of data collection and analysis techniques. Hence, the detail analysis of the issues are discussed and interpreted as follows.

#### 4.1. Existing Situation of Urban Green Infrastructure in Addis Ababa

Different efforts were made to assess the situation of 3 selected case study areas by devising various data gathering tools as per the nature of green infrastructure types. Accordingly, the gathered data were analyzed by adopting different analysis tools including SPSS, maps, sketches, tables, figures, diagrams etc. Each analysis result is interpreted explicitly in the following sub sections.

##### 4.1.1. Green Infrastructure Spaces of Addis Ababa

Addis Ababa is by nature sloppy in which 7 major; 6 medium rivers which are fed by 75

Small river tributaries. These rivers cross the city from; north; north south; northwest and northeast. This general landscape of the city and specially the escarpment of; Yeka, Entoto, Ankorcha, Wechecha; Gullele and other mountains contribute to its beauty. As time passes; the population increases which results in the expansion of the city. The increasing of urbanization without



pre-planned clear and implementable urban development guide has caused pollution of the surface and underground water; severe deforestation of the green; flooding of the city center that causes the loss of human and animal lives and the damage of the city’s physical infrastructure. It is at this stage that intervention is needed to guide the healthy development and management of Green Infrastructure. Some attempts were made to address these problems by AFCo and JICA that remained unimplemented. This study will never replace the study of JICA. Considering the above mentioned major and other problems the city administration has decided to prepare the spatial study and delineate map of the Green Infrastructure Development and Management Practices in the city based on the revised structure plan.

Different sources clearly indicate that the development and management practices of a hierarchy of parks for public recreation and green spaces. Following the administrative structure of the city (i.e. city, sub-city, and woreda), four hierarchical levels have been identified for the management of recreational parks as one of the major Green Infrastructure. These are: city park (>10 ha in size; to be managed at city level), sub-city park (1-10 ha; to be managed by sub-city administration), woreda park (0.3-1 ha; to be managed by woreda administration) and neighborhood park (<0.3 ha; to be managed by communities). These will provide recreation, temperature regulation, and flood mitigation services. Accordingly, the development and management of street tree and corridor plantation to create ecological networks and provide multiple ecosystem services such as shade, reduction of air temperature, air pollution mitigation, improved aesthetics, and recreation would be under Woreda tier, however, the development and management practices has got very weak and poor. The analysis results unveil that the case areas poorly planned to accommodate standardized recreation, green spaces in the built-environment.

#### 4.1.2. Green Infrastructure Development and management Practices

There are institutions that are developed recreational parks and street trees in their compound and nearby area in the study Woredas. Among the government institutions beautification, park, cemetery development and management officers (BPCDMO) took the initiative in the management and development of green infrastructures. Below is the size of plots used by BPCDMO for green infrastructure development. It is worth mentioning to note that the analysis results of sample survey being conducted with respect to experts and inhabitants quantitatively are more or less similar. Therefore, authors have decided to take inhabitants questionnaire survey analysis results as being discussed and interpreted below. Similarly, the results associated with three case study areas analysis results are similar and hence, the authors have also decided to discuss and interpret two case study areas out of three, namely Kirkos Sub-City Woreda 7 and Bole Sub-City Woreda 7. Furthermore, we have also analyzed the spatial and non-spatial secondary data from the city administration from all three case study areas, spatially more emphasis has been given for Yeka Sub-City Woreda 13 in relation to zoning changes as illustrated below.

Table 4.1: Responses about the study area officials give attention to green infrastructure development (Bole)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid				
strongly agree	5	8.2	8.2	8.2
agree	10	16.4	16.4	24.6
neutral	15	24.6	24.6	49.2
disagree	20	32.8	32.8	82.0
strongly disagree	11	18.0	18.0	100.0
Total	61	100.0	100.0	

Source: Survey Result, 2017

Table 4.1 above depicts that the study area or Woreda officials are not giving attention to green infrastructure development and management of the existing greeneries and open spaces. Majority of the respondents exceeding 50% disagree about paying attention for proper green infrastructure development and management. On the other hand, table 4.2 below also reveals that the inhabitants in the study area of Bole Woreda 7 hardly participating the development and management of green infrastructure as being indicated in the table about 57% disagree about the involvement and participation of communities in green infrastructure management and development practices.

As being addressed in the literature review and analysis result strongly show that community and inhabitants' participation in green infrastructure development and management is quite essential to make sure sustainability.

Figure 4.4: Illustrating bare land, without tree, 2017



Table 4.2 Responses, about the inhabitants of the study area actively participating in green infrastructure in the study (Bole):

	Frequency	Percent	Valid Percent	Cumulative Percent
strongly agree	6	9.8	9.8	9.8
agree	11	18.0	18.0	27.9
neutral	9	14.8	14.8	42.6
disagree	25	41.0	41.0	83.6
strongly disagree	10	16.4	16.4	100.0
Total	61	100.0	100.0	

Source: Survey Result, 2017

No exception with Kirkos sub city Woreda 7, as illustrated in the figure, there is no any remarkable green infrastructure development in the area existing. Even the existing street trees are poorly organized and managed; the analysis result unveils that major proportion of the respondents witnessed, poor development and management of green infrastructure in the study area.

Figure 4.5: Illustrating absence of vegetation, 2017



Similarly, the elite informants and the survey results indicate that there is no or hardly developed greenery and recreational spaces in the study area. Table 5.3 below clearly shows that the study area officials (Kirkos) are hardly coordinating local communities to promote green infrastructure development and management. As it is shown in the table, 55% of the respondents were disagreeing about the

official's coordination of local communities to enhance the development and management of Green Infrastructure in the study area.

Table 4.3: Responses, the Study area Officials Are Coordination Local Communities to Promote Green Infrastructure Development In Study Area (Kirkos)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid strongly agree	3	5.0	5.0	5.0
Agree	10	16.7	16.7	21.7
Neutral	14	23.3	23.3	45.0
Disagree	22	36.7	36.7	81.7
strongly disagree	11	18.3	18.3	100.0
Total	60	100.0	100.0	

Source: Survey Result, 2017

It is crystal clear that well developed Green infrastructure would play a key role in achieving sustainability, especially when using nature based solutions to preserve natural capital. Creating and improving the knowledge base remains one of the strategic developments for the implementation of the green infrastructure strategies. However, the facts and figures clearly manifest that the current situation in the study areas are getting worse. Even, the management practices of the existing limited green infrastructure facilities are in very poor circumstances. On the other hand one of serious problem in the management practices in the study areas commonly are less awareness creation for the inhabitants to participate in the green infrastructure development and management. *Table 4.4*, depicts that the majority of the respondents, 65% were disagreeing about the awareness creation mechanisms made by local officials. They are failed to coordinate and lead the communities to mobilize to contribute in various ways so as to enhance green infrastructure development and management in the study area.

Table 4.4: Responses, the study area officials conduct awareness creation workshop with respect green and open space development (Kirkos)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid strongly agree	2	3.3	3.3	3.3
Agree	6	10.0	10.0	13.3
Neutral	13	21.7	21.7	35.0
Disagree	31	51.7	51.7	86.7
strongly disagree	8	13.3	13.3	100.0
Total	60	100.0	100.0	

Source: Survey Result, 2017

Different analysis results also strongly addressed that many of the existing the recreational parks and street side greeneries and spaces lack adequate amenities from which the customers, inhabitants and communities are benefiting from. As being explained in the

literature review as well as the analyses results unveil that amenities in the greenery and recreation parks as green infrastructure are vital components associated with health and comforts, so, its absence has an adverse effects on the communities and inhabitants. The presences of adequate amenities are prime indicators of quality recreational parks and greeneries so as to make the perfect place to play and stay active. However, the current situation clearly manifests that the study area is composed of hardly adequate amenities in the existing green infrastructure facilities. Table 4.5 indicates that more than 66% of the respondents were witnessed the inadequacy of amenities in the existing recreational parks and greeneries

Table 4.5: Responses about Greeneries and open space are composed of adequate amenities (Kirkos)

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid strongly agree	7	11.7	11.7	11.7
Agree	7	11.7	11.7	23.3
Neutral	6	10.0	10.0	33.3
Disagree	23	38.3	38.3	71.7
strongly disagree	17	28.3	28.3	100.0
Total	60	100.0	100.0	

Source: Survey Result, 2017

Actually, the analysis results and observation show that there are no publicly funded recreation facilities, community halls, playgrounds/sports fields, parks, well organized greeneries, etc in the study area. Residents have to leave their neighborhoods to access recreational parks shops, services, and recreation facilities. Even if the lack of park and other amenity sites constitutes an insurmountable challenge, the amenity provision issues cannot be ignored. New courses should be charted to pursue other outdoor opportunities unique to this study area as potential park alternatives. Omission or inaction would only jeopardize the livability and viability of the Bole sub-city Woreda 7 as a community. This study explores the amenity implications of two population scenarios based on traditional parkland standards, and identifies Local Park and other outdoor recreation opportunities.

Therefore, Community-wide objectives for green infrastructure development must be established in the Official Community Plan and Parks and Recreation Services Strategic Plan for the study area communities. They aim to ensure adequate park and recreation facilities and services for diverse community needs. Local Officials stress that delivering a variety of parks, and improving their accessibility through equitable distribution are of leisure facilities throughout the study areas.

#### 4.1.3. Green infrastructures around housing structures

The table below shows that the present state of green infrastructure developed by Beautification, Park, Cemetery Development and Management officer in the study Woredas of Bole sub-city. Greeneries within and around building structures and frontages are another

components of green infrastructure dimensions that could determine the quality, development and management of green infrastructure in the built environment. For instance, the wider the building frontage, the higher the possibilities to design the better fit green spaces. However, the building frontage or the width of the building might be also determined by size of the plot. The analyzed data from Bole Sub-city Woreda 7 unveils that most of the plots are composed of housing structures with building frontage of 2m to 3m as the plots are relatively smaller and accommodated low-rise building structures. Therefore, the neighborhood is composed of almost closer dimensions of building frontage that could negatively influence the green spaces and would facilitate for ineffective provision of green infrastructure networks in the built environment. It is also worth mentioning that there is no strong integration with the contiguous building structures as well as the building frontage.

Table 4.6: The compounds and surroundings of individual residencies

	Frequency	Percent	Valid Percent	Cumulative Percent
strongly agree	5	8.3	8.3	8.3
Agree	10	16.7	16.7	25.0
Neutral	12	20.0	20.0	45.0
Disagree	25	41.7	41.7	86.7
strongly disagree	8	13.3	13.3	100.0
Total	60	100.0	100.0	

Source: Survey Results, 2017

The above table 4.6 depicts that majority (55%) of the respondents and informants disagreeing that there is no more greenery spaces around the residential buildings and within buildings. It is strongly believed that properly managed and developed Green Infrastructure is prime indicator of spatial qualities of study areas as well as the city as the whole. They are the result of careful planning and thoughtful design that creates places that are sustainable, recreational, and green as quality of life for residents of all ages. A Field observation and analysis result indicates the inadequacy green spaces with residential environment.

#### 4.1.4. Zoning Changes of Urban Green Spaces in the study areas

Zoning change of various categories of urban green spaces is one of the major factors which directly affect the coverage of green spaces in Addis Ababa that can lay down negative impacts on the environmental sustainability of the city. As clearly stated above the number of sub cities are claiming to change urban greeneries for various land use types like residential, mixed use and others so as to respond the appeals of the community those who may occupy the public land illegally through invasion or encroachments. The following



maps illustrate the changes approved by the city Administration in 2010 to different urban functions (*See fig 4.6 above*). This green development map in Yeka Sub-city shows the existing Green area is decided to be changed to mixed use that clearly shows that urban greening is declining by the local Administration itself at the sub-city level. As shown above, about 2.6 hectare of the green area is decided to be mixed use by clearing various plant species in the area. At the left of the map, anyone can perceive that the urban green area is sparsely occupied by the building structures almost in the western center as well as south-eastern parts of the area. Actually, in the structure plan, the area has been proposed for urban greeneries particularly for urban forest and recreational areas as being illustrated on the fig 4.6 above.

On the other hand, Riverside buffer is one of the typology of urban green infrastructure and or green spaces Addis Ababa which were identified by revised structure plan prepared in 2016/17. However, major riverside greeneries are highly occupied by informal settlers as shown above on the Nortek map located in Bole Sub-City Woreda 7 Goro neighborhood. The map shows that the residence (Informal Settlements) on riverside suggested to be repotted and regularized through the decision the city Administration by changing the structure plan proposal of riverside buffer. This boldly unveils that the comprehensive benefits of urban green infrastructure has got underestimated by the concerned Agencies rather than preserving the existing urban green spaces.

Addis Ababa Revised Structure Plan has been proposed various types of urban green spaces as shown above on the above environment map 5.1. However, currently most of the proposed riverside buffer strips are highly abusing and occupying by squatters and informal settlers as the city administration is forced to change the land uses of greeneries to residences by repotting and regularizing the informal settlements. This has exacerbating the situation to occupy more spaces from green infrastructure other functions in the city as clear manifestations of poor management and development of Green Infrastructure. The same is true for other green spaces like park lands, forests occupied the informal and illegal settlements and for different investments and so on.

This map on the other hand illustrates that the larger hectares forest has been taken and changed to another urban functions through deforestation of the existing urban forest surrounding the city as green belt. This decision would create an adverse effect on the microclimate balance of the environment. Therefore, it is a paramount challenge in the process of combating the climate changes that can influence environmental sustainability. For instance, the above area is located at the periphery of Addis Ababa in Yeka Sub-City Woreda 13. In the same manner the above map is clearly showing that the riverside buffers proposed by the structure plan are officially changed to residences through regularization. Hence, the issues of urban greeneries are losing their attention so that spatial dimensions of urban green spaces are declining and directly influencing the urban environmental sustainability.

Table 4.7: Zoning change of green space to other urban function is observed in the area (Kirkos)

	Frequency	Percent	Valid Percent	Cumulative Percent
strongly agree	11	18.3	18.3	18.3
Agree	12	20.0	20.0	38.3
Neutral	21	35.0	35.0	73.3
Disagree	9	15.0	15.0	88.3
strongly disagree	7	11.7	11.7	100.0
Total	60	100.0	100.0	

Source: Survey Result, 2017

The table 4.7 also indicates that green infrastructures in the study areas are declining due the zoning changes of green spaces. Majority of the respondents also have made sure that the local officials and city administration has give less attention for the protection of recreational and green infrastructures.

#### 4.1.5. Less Attention in LDP Proposals of Urban Green Spaces

As stated and analyzed in Chapter 4 in central parts of the city particularly in Cherkos, Yeka, sub-Cities have no properly designed urban green spaces. Table 4.4 clearly addresses that especially Kirkos, Woreda 7 and Bile Sub-city Woreda 7 have no Public greeneries. Even in the newly designed LDP proposal, one can understand that no more emphasis has given for urban greeneries with the neighborhood.

#### 4.1.6. Challenges to the Development and Management of Green Infrastructure

In this section we focus on factors which contributed for the low level of development and management practices of Green Infrastructure in the study Woredas:

Table 4.8: Perceptions of residents on constraints and their rank in seriousness assessed by Woreda 7

Rank	Constraints	Frequencies	Percentage
1	Lack of public awareness	115	93
2	Low level of community participation	104	85
3	Poor implementation of government policies	101	82
4	Lack of budget	100	81
5	Lack of skilled man power	95	77
6	Shortage of land in urban areas	85	69
7	Illegal Settlement	80	65
8	Lack of regular follow-up	75	60
9	Problem of pollution from different sources	30	24
10	Lack of coordination from different stake holders	25	20

Source: Own survey Bole Sub-City Woreda 7, 2016

Therefore, according to the information from the table 4.8 above; lack of public awareness, low level of community participation, poor implementation of government policies, lack of budget, lack of skilled man power, shortage of land in urban areas, illegal settlement, problem

of regular follow-up, and problem of pollution from different sources and lack of cooperation among different stakeholders are the major factors. Some of these problems are discussed briefly below.

#### **4.1.7. Lack of Public Awareness**

Recreational parks and street trees have different values, both direct and indirect uses. Among the values of recreational parks and street trees including : For recreation and leisure, For economic benefits through job opportunities, For environmental benefits: reducing run off, For ecological value: conservation of biodiversity, For socio-cultural cohesion: green areas have a power of attraction as a center of meeting for different age, culture and sex groups and helps to integrate and discuss about their localities, politics, religion, economy etc and For practical education of students about nature, environment, flora and fauna and about their interaction and relationship.

In spite of the above uses and other related values, the community, civil servants, the officials and even professionals are not well aware of these values or simply ignored them. Because of these low levels of awareness, the community has the habit of using green spaces for unwanted or illegal purpose like for dumping solid wastes, letting domestic animals in the area, cutting for some other purposes, stealing metal fences and storing and selling construction materials. Lack of awareness is not only a problem of the people but also that of officials as well. The woreda officers' plants seedlings at the beginning of each summer, but none of the seedlings had developed well because they are not taken care of and maintained regularly. The officers at woreda level should provide environmental education and discuss clearly the values of green spaces to the community as a whole with different social Medias. The respondents also pointed out that, they want to use the green spaces for: Meeting purposes, Dumping solid wastes, Storing and selling construction materials and Building houses not found in the woreda plan.

From the responses given in table 4.7 above, one can infer that the awareness of the people about the real and intrinsic benefits is very poor .The non use of green spaces for social gathering or other good purposes lead to weak cultural cohesion and loss of the ecosystem and aggravate environmental degradations. This loss of socio-cultural cohesion brings about total loss of the culture of the society due to lack of transitivity from generation to generation and also create unwanted habits in the society like chewing chat and addiction to other alcoholic drinks.

## **4.2. Findings**

### **4.2.1. Zoning changes on green Spaces (Changing Green areas to other functions)**

The city Administration is officially deciding to change various urban green space categories like parks, forests and riverside greeneries to mixed use and residences as attached herewith this research report. A lot of zoning changes for spacious areas of various city green spaces occupied with informal settlements, Micro and small scale enterprises, etc to mixed use and residential Land uses. As illustrated above, many sub-cities have been responded positively as per their zoning change requests from various urban green spaces to mixed uses,

residences and so on. Therefore, these trends of decisions are continuing and highly declining the current status of greening the city that lead to poor environmental sustainability.

#### **4.2.2. Absence of Integration in the development and management of Green Infrastructures**

This study result unveils that there is a big ambiguity among the concerned agencies like in between Environmental protection Authority and Beautification, parks development and Cemetery administration agency as well as Urban planning Institute and other responsible bodies at the sub-city level. The study reveals that while changing the land uses of urban green spaces to mixed use and residences, no clear discussions were held among the officially concerned institutions like Urban Planning Institute , Environmental protection Authority and so on. Environmental protection authority experts have informed us that they have no information at all while the institute was changing green spaces to various urban functions. On the other hand, the administration and development of some categories of urban green spaces like urban agriculture, greeneries along the river sides have no clear delineation to maintain proper management of them.

#### **4.2.3. Lack of awareness**

Lack of awareness is not only a problem of the people but also that of officials as well. The woreda officers' plants seedlings at the beginning of each summer, but none of the seedlings had developed well because they are not taken care of and maintained regularly. The officers at woreda level should provide environmental education and discuss clearly the values of green spaces to the community as a whole with different social Medias.

#### **4.2.4. Lack of Skilled Man power and Poor Financial Management**

The other important findings of this study are that, if cities are livable, clean, suitable and attractive for residents & tourists, it will increase its competitiveness. The attractiveness and competitiveness of cities results from qualified & committed officials as well as professionals. The nature of green infrastructures are multifunctional which requires multidisciplinary professionals like urban planners, land administrator, environmental protection authority officer, BPCDMO etc without qualified and committed professionals, better awareness & sufficient budget development and management of green infrastructures cannot be achieved. Therefore, professionals have irreplaceable role for green spaces development and management. It is observed that BPCDM officers at woreda level are one or two indicating the poor availability of man power.

This research has investigated thoroughly the problem of budget scarcity for proper green space development so as to bring about urban environmental sustainability. Due to the financial constraints the city government is facing, existing greeneries are not sustainably managed by the concerned agencies. Particularly, in the rainy season they get green and aesthetically pleasing, however, in the dry season they get dry and lose their aesthetic value. So, to keep the greeneries green and to develop adequate green spaces sustainably, adequate budget allocation is quite indispensable.

#### **4.2.5. Lack of co-operation among different stakeholders**

One important analysis result is that the integrated effort of government, non-governmental institutions and community based organizations can help ensure achievements of a goal set to address a particular problem. The same is true for green infrastructures development, management and maintenance in the study woreda. As the level of stakeholder's participation increases, the level of contribution for development and sense of ownership increases. From governmental institutions urban planner, BPCDMO, land administrator, environmental protection officer, water and sewerage authority are some of them and from the nongovernmental and community based organizations like Idir, Iqub, youth association, environmental club, NGO's and business men and many others had an opportunity to participate in consulting, monitoring and evaluation of development activities. Generally, integration of different stakeholders is making the development and management of green areas too easy.

#### **4.2.6. Poor Implementation of Government Policies**

The analysis result shows that Policies refer to rules and regulations formulated for the implementation of the intended objectives. Policies related with the development and management of recreational parks and street trees in the study woredas suffer from implementation problem. Government institutions should therefore enforce rules and regulations for the development and management of green areas in the areas.

#### **4.2.7. Poor Landscaping**

Landscape planning and Design in terms of soft landscaping is poorly designed and even in some parts of the city administration is bare that clearly contribute for microclimate imbalance. As we observed in the field, most of the parking lots are not provided with appropriate plant species. We are actually in the tropical area with high solar power that it has direct impact on the cars that help to facilitate climate change. Therefore, parking lots should be landscaped by appropriate canopy and evergreen trees to have shades for cars. Most of the rivers have no retaining walls together with proper landscape design whether hard or soft landscaping. Due to this problem riverside greeneries are highly destructing and vulnerable for erosion.

#### **4.2.8. Inaccessibility of green spaces**

Most of green spaces in Addis Ababa are not accessible for the public at large. There is strong evidence from research in the city that residents and workers with easy access to green spaces tend to exercise more; furthermore there are also direct correlations between green access for young people and their mental health and socialisation. It is therefore not surprising that well used and much loved public greeneries are invariably those that are easily accessible to all members of the community. However, most of greeneries in the city are not accessible in terms of their location. Green spaces in Addis are haphazardly distributed in the city, as per the literature the maximum distance to the green spaces is 400 to 500m. ECA park is not affordable for all levels of the community. Planning and design of green spaces play a crucial role in conserving and enhancing the uniqueness, diversity and accessibility.

#### **4.2.9. The problem of street dwellers**

The problem of street dwellers is not yet addressed and these people (who use the street medians, green areas as sleeping places) are still damaging the environment by destroying the

green coverage on open road side and park areas defecation, and other wastes dumping as well as chasing for food left over with their dogs.

#### **4.2.8. Less Attention for Green Spaces in LDP proposals**

For instance, the proportion of green spaces in Sanga-Tera LDP is only about 0.90% which clearly addresses that it has given less attention for urban green spaces in the process of redeveloping central areas of the city. As we all know that particularly the central old of Addis Ababa is organically grown and has not adequately provided with properly designed and planned green public spaces. From this it has become very clear that the LDP didn't consider green open spaces as the integral part of its proposal.

#### **4.2.9. Community Engagement**

It is important for local authorities to communicate with the public why they are making changes relating to climate change. Grass in parks might become expensive to maintain and usual species of vegetation might disappear. However, this has to be balanced with the conclusions of public consultations which often reveal that people do not want parks to change in any fundamental way (James, R, 2006). The wider the buy-in for adaptation methods within green spaces by various sectional interests in the community, the greater the opportunities to ensure greater community responsibility.

#### **Green Infrastructure Management**

The analysis results clearly show that Green Infrastructure Green Infrastructure has gained importance as a planning tool for urban sustainability. Attention must also be given to the environmental services provided by Green Infrastructure in the context of *city resilience and climate change adaptation and mitigation*. Urban green infrastructure create opportunities for recreational activities which contribute to people's health, well-being and quality of life, particularly in relation to their capacity to provide environments which help to alleviate stress..

Similarly, the analysis result also unveils that the *design and planning of urban landscapes* strongly influences the well-being and behavior of users and nearby inhabitants. The aesthetic qualities they bring to spaces can help improve the sense of place and make the city more appealing to live in. It has also been suggested that Green Infrastructure can have a positive impact on social interaction and inclusion, providing spaces for use by the whole community. Furthermore, Urban Green Spaces are valuable in terms of education and learning, helping people to 're-connect' with nature and educating them about its continued relevance in their lives.

### **5. Conclusion and Recommendations**

#### **5.1. Conclusion**

This research strongly addressed and concluded that urban green infrastructures are the most critical elements to keep the ecological balance of urban environments so as to make sure environmental sustainability. Thus, in order to respond to the idea of sustainability, urban areas have to maintain an internal equilibrium balance between socioeconomic and environmental conditions in such a way that the urban system and its dynamics evolve in harmony, internally limiting, and as much as possible low impacts on the natural environment as intensively discussed and interpreted in the preceding parts. As far as the roles of urban

green infrastructure in urban environment are considered, they are recognized as key ecological service providers to urban dwellers with multiple functions and also important pillars of sustainable development. As it has pointed out in the analysis and review parts that the multiple functions of urban green infrastructures are not reasonably well developed, these are also not well integrated into the urban planning, design and management processes.

This final report of the Urban Green infrastructures management and development practices research in Addis Ababa has a simple message: now is the time for an urban renaissance with parks and diverse green spaces. The report sets out a programme for City Administration and local government to work in partnership with local communities, business, voluntary organizations and others to revitalize parks and green spaces as green infrastructure as well as designing the new ones by identifying deficiency areas and opportunities for redressing them. It summarizes our consideration of the issues, and sets out our conclusions and recommendations for reversing the well documented decline of urban parks and green spaces to regenerate these priceless urban assets, and creating new and different ones which are attractive, accessible, safe and sustainable. Finally, it has been concluded that,

*“The measure of any great civilization is in its cities, and a measure of a city’s greatness is to be found in the quality of its Green Infrastructures as well as public green spaces. Thus, planners and designers are supposed to start design and planning with proper Green Infrastructure components.*

## **5.2. Recommendations**

The research Result Highly addresses that Sustainable communities are places that people like living in, and want to stay in, neighborhoods with real character and sense of place. These successful places should have well-designed green infrastructures that people will want to use and respect. All residents of a city should have access to good quality parks and green spaces close to where they live, work, and play. The study underlines the following recommendations to be taken by the city administration and other concerning body so as to bring about standardized green infrastructures and create climate resilient city of Addis Ababa to maintain international standards.

- The city Administration has to give emphasis officially to stop changing various urban green space categories like parks, forests and riverside greeneries to other land uses like mixed use etc,
- Create strong integration among the concerned stakeholders, agencies and institutions as well as other related stakeholders.
- Allocating adequate budget to enhance the proper development of urban green spaces as per the categories of green urban spaces..
- Working with nature and the application of ecosystem based approaches to climate change adaptation and mitigation bring multiple benefits at comparatively low costs. Investments in green infrastructure provide jobs as well as business opportunities and help to build partnerships.
- Green spaces must be considered as oases of cool air, and outdoor spaces that are likely to be used more for recreational activities including events.

- Clear guidance is needed for local authorities and other practitioners on how best to manage public urban green spaces in order to respond to climate change.
- Starting Design & planning of Built environment with adequate Green Spaces by at least maintaining the minimum standard which is sated by FAO which is 9 m2 green spaces per urban resident.
- Fairly distributed urban Green Spaces (about 25% minimum) are recommended for previously allocated 1% greenery in Lideta LDP project area.
- Select the appropriate plant species for the proper greenery and type/ character of spaces.
- Provide flexible policy framework that enhance the development & protection of the green frame.

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# **The Effect of Disclosure on Adherence to Anti-Retroviral Therapy among Adult People Living with Human Immunodeficiency Virus in Ethiopia: A Systematic Review and Meta-Analysis.**

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## **Abstract**

**Background:** Although Ethiopia initiated Anti-retro viral therapy service and has declined mortality among human immune deficiency syndrome infections significantly over the past decade, the level of adherence remains unacceptably high and continues to be one of the country's most pressing public health challenges in controlling the diseases. As established by numerous studies in developing countries several factors were identified to anti-retroviral therapy adherence. Disclosure was the most dynamic and difficult factor that affects the overall health service activities concerning with anti-retroviral drug therapy adherence. However, the few studies conducted on the factors associated with adherence to anti-retroviral drug therapy in particular the disclosure as contributing factor presented

inconsistency and inconclusive finding. Therefore, the objective of this systematic review and meta-analysis was to estimate the pooled effect of disclosure on adherence to antiretroviral drug therapy among adult people living with Human Immunodeficiency Virus in Ethiopia.

**Methods:** Studies were accessed through electronic web-based search through PUBMED/Medline, Hinary, Google Scholar and Cochrane Library. Unpublished studies were also accessed through institutional record shelves and international conferences. Meta-analysis was conducted using STATA software version 14. The Random effects model was used to estimate the pooled effect of disclosure on adult antiretroviral therapy adherence at 95% CI. Funnel plot asymmetry and Egger's test of the intercept in Random effects model were used to check publication bias.

**Result:** The abstract searches resulted in 179 references of which 7 studies were eligible and included in the final meta-analysis. These seven included studies were conducted from 2010 to 2015. As the analysis indicated significant of effect of disclosure on the adherence to anti-retroviral drug therapy of adult patients living with HIV. Adult patients living with HIV who disclose their sero-status to others were 1.64 time more likely to have good adherence to anti-retroviral drug therapy compared with those who did not disclose their sero-status (OR: 1.64, 95% CI: 1.11, 2.42).

**Conclusion:** Generally, this review found, the statistically significant effect of disclosure status on the adherence to anti-retroviral drug therapy of adult patients living with HIV. Therefore, HIV control and prevention intervention should give due emphasis to patient education and information provision to address issues related disclosure of sero-status and to encourage their self-disclosure.

**Keywords:** adherence, antiretroviral, association, disclosure, therapy, Ethiopia

## 1. Introduction

With the aim of ending the AIDS epidemic by the year 2030, in the last two years the number of people living with human immunodeficiency virus (HIV) on antiretroviral therapy has increased by about a third(1). Since the first global treatment target was set in 2003, annual AIDS-related deaths have decreased by 43. In the world's most affected region, eastern and southern Africa, the number of people on treatment has more than doubled since 2010, reaching nearly 10.3 million people. In 2015 there were 2.1 million new HIV infections worldwide, adding up to a total of 36.7 million people living with HIV(2, 3).

Scale-up of antiretroviral therapy is on a Fast-Track trajectory that was exceeded from expectations. Globally, by the end of 2013 about 12.9 million people were receiving antiretroviral therapy (ART) and its coverage reached 46% at the end of 2015. Gains were greatest in the world's most affected region, eastern and southern Africa. South Africa alone had nearly 3.4 million people on treatment, more than any other country in the world. Botswana, Eritrea, Kenya, Malawi, Mozambique, Rwanda, South Africa, Swaziland, Uganda, the Republic of Tanzania, Zambia and Zimbabwe all increased treatment coverage by more than 25 percentage points between 2010 and 2015 (2, 4-6). In Ethiopia by the year 2015, of the total HIV patients about 368,140 (58%) adults received ART (7).

Despite relatively high coverage, adherence to antiretroviral therapy is not well established in the region due to different contributing factors. Studies in developing countries identified several factors that affect adherence to antiretroviral therapy of which disclosure of patient sero-status was the most dynamic and difficult contributing factor. Social support, internalized shame, access to care to depression, family support, counselling, educational interventions, encouragement and good nutrition which realized after disclosure were considered as a positive factor for adherence to ART medications(8-11).

The existence of high levels of employment discrimination, exclusion in the workplace, refusals to hire or promote, termination of a job because of HIV status, fear of being abandoned by family members, fear of divorce and abandonment by family members , communication difficulties and fear of divorce were the prominent reasons that hinder patients to disclose their sero-status (12-15).

The disclosure of one's HIV status to relatives, friends and sexual partner have a significant health implication. Studies indicated patients who disclosed their sero-status have got high quality social support, stronger family cohesion and relationships, reductions in anxiety and depression, improvements in physical health, emotional support, financial support and they were able to use their antiretroviral drug freely and improve their drug adherence (14, 16, 17).

The few studies conducted to identify the association between disclosure and adherence to antiretroviral therapy among adult living with HIV in Ethiopia present inconsistency and inconclusive findings. That means, when some of them present significant positive

association, others present lack of association (18, 19) . In contrast, some of the studies indicated the absence of significant association(20-23).

Therefore, the objective of this systematic review and meta-analysis was to estimate the pooled effect of disclosure status on adherence to antiretroviral drug therapy among adults patient living with HIV in Ethiopia. The findings would be useful to stakeholders to design of appropriate interventions to improve the patient sero-status disclosure.

#### **4. The Methods**

##### **Search strategy**

We conducted systematic review and meta-analysis estimate the pooled effect of disclosure status on adherence to antiretroviral drug therapy among adult patients living with HIV. All the studies available online were accessed through PUBMED/Medline, Hinary, Google Scholar and Cochrane Library. For PUBMED advance search, Medical Subject Headings (MeSH terms) were used to help expand the search strategy. We built a search strategy by using the Boolean operator separately and/or in combination of keywords such as (adherence OR antiretroviral OR association OR disclosure OR therapy and Ethiopia) and (adherence OR antiretroviral) AND (association OR disclosure) and (therapy and Ethiopia). Unpublished studies were also accessed through local institutions record shelves and international conferences. The reference lists of identified studies were also reviewed to retrieve additional studies. The Cochrane library were explored in an effort to confirm whether systematic review or meta-analysis exists and to check the availability of ongoing projects related to the current systematic review and Meta-analysis.

##### **Study selection and eligibility criteria**

The review included studies conducted on the association between sero-status disclosure and adherence to antiretroviral drug therapy among adult patients living with HIV. The participants were adult living with HIV antiretroviral therapy with age greater than 18 years regardless of other characteristics. The variables of interest in this review was adherence to antiretroviral drug therapy and patient sero-status disclosure. All observational studies (case control, cross sectional study) studies that were published in English language in peer-reviewed journals concerning ART adherence and disclosure included in the review. We excluded the studies conducted on pediatric age, review articles and with methodological

problem after reviewed by two authors based quality assessment with Newcastle-Ottawa Scale (NOS) criteria and whose score greater than 7.

### **Data Abstraction and Quality Assessment**

Six reviewers (AN, CT, DJ, FW, GD & HM) were critically reviewed the downloaded abstracts against the criteria. When there was unclear abstract whether a citation relevant or not, it was included for retrieval. Six reviewers (AN, CT, DJ, FW, GD & HM) then assessed the full text of potentially eligible papers against the inclusion criteria. The relevance of the reviewed studies were checked based on their topic, objectives, and methodology. Preliminary assessment was made and some articles were excluded from the first step based on their topic. After reviewing the full article, score was given based on Newcastle-Ottawa Scale (NOS)(24) criteria by two individuals . The average of two independent reviewer's score was used to determine whether the articles include or not for the final analysis. Discrepancies resolved with a third reviewer whenever appropriate.

### **Data Analysis and Synthesis**

Data were extracted from each original studies by using a format prepared in Microsoft Excel spreadsheet and exported to STATA software version 14 for further analysis. Heterogeneity was checked by using  $I^2$  test statistic(25). We used Forest plot to visualize the presence of heterogeneity. Since there was relatively moderate heterogeneity, we used a random effects model for analysis to estimate pooled effect. We also used funnel plot asymmetry and Egger's test of the intercept  $d$  to check publication bias (26). As the results of the test suggested absence of a significant publication bias ( $p > 0.05$  in Egger's test and  $p < 0.05$  in begg's test). To verify the results, two researchers independently computed main statistical analysis and checked for consistency. The effect size estimates were converted to odds ratio, ever since all studies compared two groups and reported dichotomous outcomes.

## **Result**

### **Selection and Identification of original studies**

In our search from December 2017 to January 30, 2018, we identified 179 published articles of which 148 articles were found in web search from PubMed, Hinary and google scholar, and the remaining were found from different sources. Of the total identified, 154 articles were excluded at initial assessment after reviewing their title based on the inclusion criteria. The abstracts and full text of the remaining 25 studies were assessed and screened for eligibility criteria and whether they report outcome variable. Of which 18 articles were excluded due to

they failed to meet inclusion criteria. Finally, 7 studies were met the eligibility criteria and included in the analysis. Two articles were exclude due to poor quality based on the selection criteria(18, 27). Four articles were excluded as their regression table did not include disclosure as variable(28-31). Two articles were excluded as their result is not incorporate the needed information(32, 33). Owing to the above listed facts from the total searched articles, seven of the articles were eligible for the final analysis in order to get the random pooled effect (Fig 1).

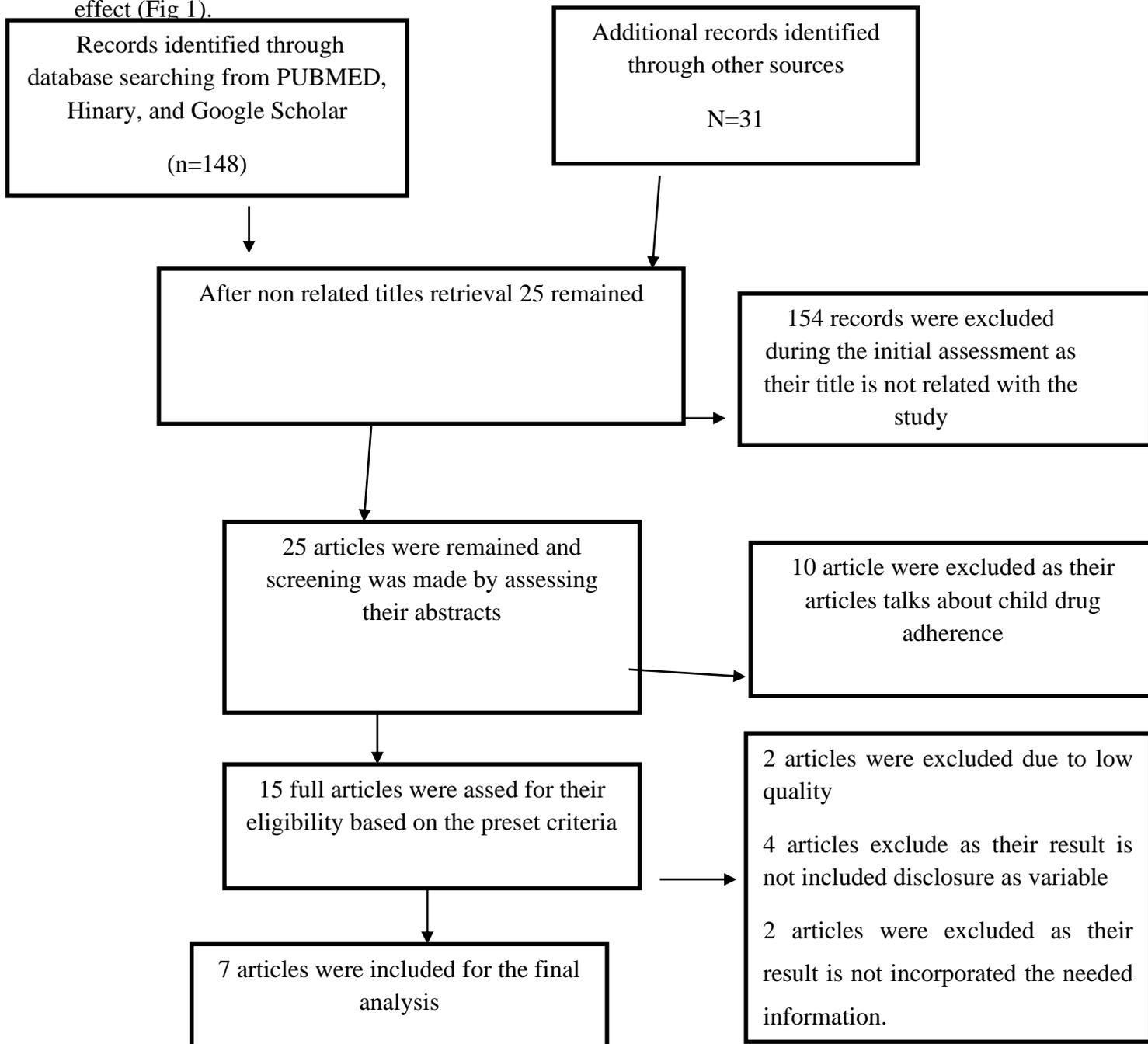


Fig1.Flow diagram showing the procedure of selecting studies for meta-analysis,2010–2015, Ethiopia.

### Characteristics of included studies

All the 7(17-21, 32, 33)) included studies in the review were cross sectional studies with a total of sample of 2260 adults living with in Ethiopia. The range of sample size was between 237 and 422 participants in the studies conducted in Oromia Region (34) and Amhara Region(22) respectively. Of the seven studies included in the final analysis three studies were conducted in Amhara region(19, 20, 22), two studies were conducted in Southern Nations Nationalities and People region(23, 35). The remaining two studies were conducted in Oromia(34) and Harari region(21) respectively. The highest odds ratio (3.41) was reported on a finding which conducted in Oromia region(34), whereas the small odds ratio (0.85) was reported in study conducted in Amhara region(20). The studies were conducted from 2010 to 2015 in different regions of the country. (Table 1).

Table 1: Characteristics of included studies for meta-analysis,2010–2015, Ethiopia.

S no	Author	Publication year	Region	Study design	Sample size	Good adherence		OR
						Among disclose	Among non-disclose	
1	Habtamu Mitiku et al.(21)	2013	Harari	cross sectional	239	164	44	1.09
2	Ahmed Yasin Mohammed.et al.(34).	2015	Oromia	cross sectional	237	175	22	3.41
3	Ketema and Shewangizaw Weret(22).	2015	Amhara	cross sectional	422	357	65	1.96
4	Alagaw et al.(23)	2013	SNNPR	cross sectional	357	281	31	2.59
5	Tsega .et al.(19)	2015	Amhara	cross sectional	351	265	19	1.13
6	Zegeye Gelan(35) .	2010	SNNPR	cross sectional	277	86	96	1.85
7	Asmare et al(20)	2014	Amhara	cross sectional	377	37	18	0.85

### The Effect of disclosure on adult anti-retroviral therapy adherence

Our analysis indicated significant heterogeneity across studies ( $I^2=42.9%$ ,  $p =0.105$ ) in which use of fixed effect model may lead to unreliable estimate. Therefore, we used random effects model to estimate the pooled effect of disclosure on the adherence to ART drug reported by

the 7 studies with inverse variance. Funnel plot of asymmetry and Egger’s test were used to check publication bias. There was no statistical evidence of publication bias. Despite on visual examination, the funnel plot looks like asymmetric, Egger’s test of the intercept (B0) was found to be 0.47(95%CI: -5.16, 6.11 P>0.05). In this model, seven studies were included in the analysis in order to estimate pooled effect of disclosure on the adherence to ART drug. Our meta-analysis found that sero-status disclosure of adults living with HIV had statistical significant effects on adherence to ART drug. Adults living with HIV whose disclosed their sero-status were 1.64 times more likely to have good adherence to ART drug compared to those patient who hid their sero status (OR: 1.64, 95% CI: 1.11, 2.42) (Figure 2).

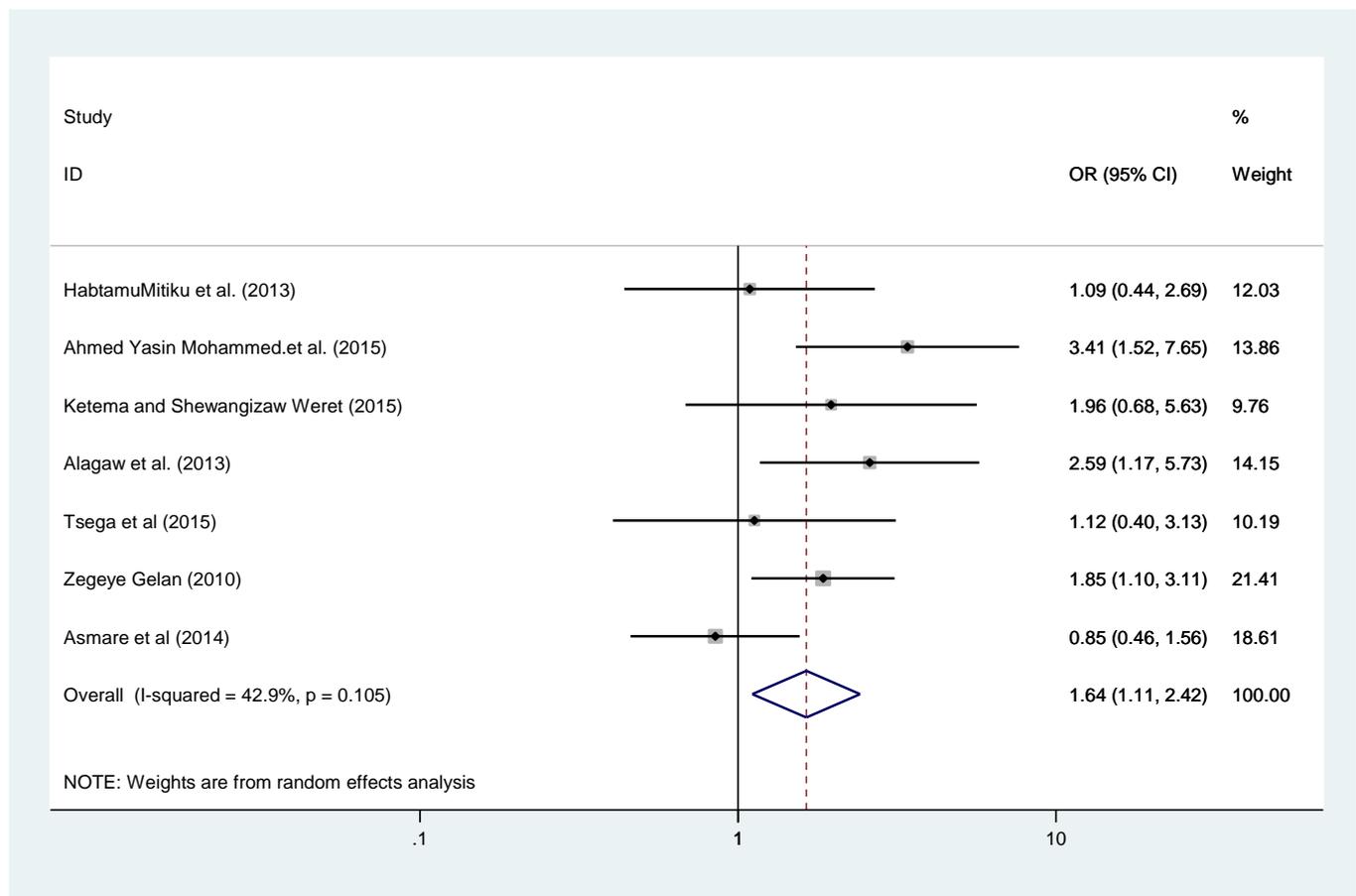


Fig 2. Shows forest plot of seven studies to show the effect of disclosure on ART drug adherence among adult HIV patients,2010–2015, Ethiopia.

## Discussion

This systemic review and meta-analysis attempted to estimate the pooled effect of disclosure on adherence to ART drug among adults living with HIV in Ethiopia. The Analysis indicated that disclosure of sero-status of the adults living with HIV found to have strong statistically significant effect on adherence to ART drug. The probability of having good adherence

among adults living with HIV and who disclosed their sero-status were 64% higher than who did not disclose their sero-status with (OR=1.64 (95% CI: 1.11, 2.42). The finding of this analysis can be an important reminder for policy makers and program planners to strengthen existing strategies and commence different strategies to address the problem of adherence.

The positive relationship between HIV disclosure status and adherence to ART in our analysis is consistent with the findings of other studies on the disclosure status and adherence to ART among people living with HIV. This meta-analysis which assured the presence of direct relationship of good ART drug adherence and disclosure was supported by different body of knowledge. Findings prove that HIV status disclosure was strongly correlated with ART drug adherence(36, 37).

Evidences prove that there is apposite relationship between social support and self-disclosure. That make realized the impact of social support which comes after self-disclosure for good ART drug adherence (38, 39). One the other hand depression, and poor social support were negative factors for ART drug adherence(10, 40).This indicated that to be advantages from self-disclosure and for sustainable health maintenance, it is better to promote HIV patients to disclose their status to their relatives.

The sighting of this review and meta-analysis can be also explained with two major factors; inadequate social support and fear of taking drugs in front of family members. As pointed from evidences lack of adequate social support and fear of taking drugs in front of family members which are related with obscure serostatus, challenges HIV patients to take drugs in appropriate time and place(41)

The finding of this review and meta-analysis is also in line with systematic review in sub-Saharan Africa which indicated that active disclosure among people living with HIV was demonstrated as Promoter of adherence(10).

We used comprehensive search strategies for this review. The search for studies was through different database and used random effects model to address the issues of heterogeneity across studies. More than one assessors were used in the quality assessment process using Newcastle-Ottawa Scale (NOS). However, the findings of this meta-analysis was the pooled effect of a cross-sectional study design which is limited to draw causal inferences and our findings may be affected by reverse causation bias. Moreover, in this review used only articles which were written in English were included that may limit the number of included studies.

## **Conclusion**

The systematic review and meta-analysis demonstrated that disclosure of HIV sero-status found to have statistically significant effect on adherence to ART drug among adults living with HIV in Ethiopia. Therefore, policy makers, planners and program managers of the country should strengthen and design a program that give due attention to the patient education to initiate and promote adult self-disclosure. Health professionals who work on the

unit of HIV testing and counseling should give emphasize for disclosure. Future research should focus on identifying factors that initiate and hinder adult patients for self-disclosure.

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## **Implementation of Evidence-Based Medicine and Associated Factors among Health Care Providers Working in Public Hospitals, Northwest Ethiopia, 2017.**

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### **Abstract**

**Introduction:** Evidence-based medicine practice is defined as “the conscientious, explicit, and judicious use of current best evidence for decision making”. Despite the fact that evidence-based approach practice results in a multitude of improved health, safety, and cost outcomes studies continue to prove that medical practice is still not based on the best available evidence due to different challenging factors.

**Objective:** To assess implementation of evidence based Medicine and associated factors among health care providers working in public hospitals, Northwest Ethiopia, 2017.

**Method:** we conducted a cross sectional study across 13 hospitals in east and west Gojjam zones among 415 randomly sampled health care providers using stratified sampling technique from February 01-30, 2017. Data were collected using structured self-administered questionnaire which was developed self-reported developed by reviewing literatures and by adapting Melnyk and Fineout-Overholt evidence based practice implementation scale. The collected data were analyzed using SPSS version 23. We used bivariate and multivariate logistic regression models to identify associated factors for evidence based practice implementation.

**Result:** Study revealed that 45% of health professionals were found to have low level of evidence based Medicine implementation. The factors found to be significantly associated with low level of evidence based practice included the health care providers' marital status (AOR 2.25, 95%CI: 1.16, 4.36), longer health care providers' work experience (AOR 2.72, 95%CI: 1.31, 5.67), and poor health care providers' skill (AOR 2.91, 95%CI: 1.70-3.00).

**Conclusion:** We found that significant proportion of health professionals have low evidence based Medicine implementation. The longer the Work experiences with increasing age, the poor health professional skill were the major contributing factors for low evidence based practice implementation. Therefore, multi- sectorial approaches are needed to increase the level of evidence based practice implementation and address the major contributing factors.

**Keywords:** *-Evidence based medicine; health; care providers; implementation*

## **1. Introduction**

Evidence based medicine (EBM) is defined as the conscientious, explicit, and judicious use of current best evidence for decision making(1). It is a systematic approach to clinical problem solving which allows the integration of the best available research evidence with clinical expertise and patient values. Evidence-based practice is not only research utilization, quality improvement, or medical research, rather than it is the way which related to each of these processes (2-4).

Promotion and adoption of evidence based practice is to create better informed practitioners, to enable consistency care across professional boundaries and to adapt client-focused care pathways. Patients outcome had been shown to be 28% better when clinical care is based on evidence rather than tradition or common sense (5, 6).

Evidence-based medicine results in a multitude of improved health, safety, and cost outcomes, including a decrease in patient morbidity and mortality. Although there is an explosion of scientific evidence available to guide clinical practice, implementation of evidence-based care by health professionals is typically not the norm across the globe (3-5).

Despite the uptake of evidence in practice remains a challenge to healthcare professionals, there are several reasons for the sudden interest in evidence based practice. It enabled clinicians to sharpen the clinical skills and improve clinical judgment. Moreover changes in patient's level of knowledge, changes in the types of clinicians and settings needed, advances in medicine, advances in information technology, changes in reimbursement, reinforce the need to use an evidence-based approach (3, 7).

Even though evidence based medicine is the central point for quality of patient care, there are possible challenges to professionals to adopt EBM. This are unavailability of technology and online information, lack of time, EBM needs skills for accessing and validate the medical literature and literatures may be viewed as static rather than recent useful clinical information for clinical decision making. This challenges enforce health care providers to use out-of-date guidelines which result decreased quality of care ,increase care cost and increase duration of hospital admission (7-9).

Particularly in developing country two difficult challenges; standardization and limited evidence , make medical practice based on professionals experienced based knowledge, which demand high cost in term of time, money and personal resources which leads to poor patient prognosis (10).

To ensure high quality and timely care, use of the most up-to-date information for clinical decision making is considered as a tool. Studies indicated that governmental agencies and institutions were heavily in favor of Evidence-based practice to improve quality of service including health service. In contrary to this current literature indicated there is still huge gap to utilize best current evidence among health professionals. Despite of few studies conducted abroad on evidence utilization, there are no sufficient studies that explore associated factors for low evidence utilization in low and middle income country like Ethiopia particularly in the study area(11-13). Therefore, this study is aimed to assess implementation of evidence-based practice and associated factors among health care providers to improve the problem related with evidence utilization

### **3. Methods and materials**

#### **Study setting**

The study was conducted from February 01-30, 2017 across 13 public hospitals which are located in the Northwest, Ethiopia. The total health care providers in these hospitals are 1010 of which 716 were nurses, 140 were midwives, and 154 were physicians.

#### **Study design and Population**

The Institutional based cross-sectional study design was used to assess EBM among physicians, nurses and midwives. The professionals with work experience six months and above were eligible for recruitment. We excluded health care providers who are ill or at annual leave during data collection, guest physicians, free service provider nurses and free service provider midwives.

#### **Sample size and sampling procedure**

The sample size of this study was determined considering both research objectives using single population proportion formula and double population proportion formula. The sample size for the first objective was calculated with the assumption of 57% of health care providers apply current best evidence at clinical practice which was taken from previous study(12) and for the second objective sample was calculated by taking the proportion of major factors, that is, lack of time and managerial support among factor affecting evidence based practice from previous study(12). Finally, we considered the largest of three calculated sample size as optimal and final sample of this study which was 415. Stratified sampling technique was used to select study participants based on their professional category. Taking the total number of physicians, nurses and midwives in 13 hospitals into consideration proportional allocation was implemented to determine the number of participants from each hospitals and profession within the hospitals. Then Simple Random sampling with lottery method was implemented to get the study unit.

## **Study Variables and measurement**

The dependent variable of the study was evidence based medicine implementation. The independent variables were socio-demographic variables, work characteristics variables, healthcare providers related variables, patient related variables, organizational related variables, and resource availability related variables. We considered the High level of Evidence Based medicine implementation for those participants who score median level and above the scale of asked questions. For attitude Respondents who score median and above score considered as having favorable attitude.

## **Data collection and Quality Control Methods**

Data were collected by using self reported structured questionnaire. Socio-demographic, work related, organizational related, patient related, and health care provider related variables were measured with questionnaire which developed by reviewing literatures (13-17) and evidence based practice implementation was measured by 19 unidimensional item questionnaire which adapting from Melnyk and Fineout-Overholt evidence based medicine implementation scale which was validated previously with Cronbach  $\alpha$  of 0.96 (4, 18). Then possible modification was made to bring towards Ethiopian context. The content validity of the questionnaire was examined by seven experts who had more than four-year research experience of which three of them from nursing department, three of them from public health department, and one of them from midwifery department of Debre Markos university. The internal consistency of outcome indexes was calculated with the Cronbach's alpha coefficient of 0.89. The internal consistency of knowledge, attitude and skill indexes were calculated with the Cronbach's alpha coefficient of 0.81, 0.72, and 0.71 respectively. Questionnaire was translated to Amharic and then back to English by language experts in order to check for consistency and comparability of the finding. We recruited 13 BSc health professionals from laboratory and pharmacy department to act as data collectors. Training was given to data collectors and supervisors by principal investigator to create common understanding and to maintain quality of the data. Then, the questionnaire was pre-tested in Dangila hospital located in Awi zone with 42 health care providers (10% of the sample size). The possible modification was made in terms of language and contextualization to make clear for respondents. The pre-tested self-administered structured questionnaire was hand delivered to respondents in their working environments. Written information sheet with a section of informed consent was attached to the questionnaire to ensure all participants get the same directions and information. Questionnaire was checked for completeness on daily basis by the principal investigator to maintain the quality of data.

## **Data processing and analysis**

The collected data were checked for completeness, consistency and entered using EPI-data software; then the data were exported to SPSS version 23 for analysis. Descriptive statistics was used to describe variables of the study. A logistic regression model was fitted to identify factors associated with level of evidence based medicine implementation. All predictors that were associated with the dependent variable in bivariate analysis at p-values of 0.25 or lower were included in our multivariable logistic regression model. Crude and adjusted odds ratio

with their corresponding 95% confidence intervals were computed. Variables with p-values < 0.05 were considered statistically significant associated factors in this study.

#### 4. Results and Discussions

##### Socio-Demographic and Work characteristics of respondents

A total of 415 health professionals were recruited from 13 hospitals located in northwest, Ethiopia. Of the total, 405 respondents were able and willing to participate with overall response rate of 97.6%.

Out of 405, 254 (62.7%) of respondents were males. Majority, 237 (58.3%) of respondents were belong to age group 26-30 years of age with median age of 27 (IQR=25-29) years. From the respondents, 208 (51.4%) were single and 115 (28.4 %) were married. In addition, 375 (92.6%) were Orthodox Christian followers.

Study revealed that 307 (75.8%) of them had 1-5 years of work experience. From all participants, 90 (22.2%) participants were working in surgical ward. Majority, 286 (70.6%) were nurses and 336(83.0%) of health professional were working 8 hours per day (Table 1).

Table 1: Socio demographic characteristics of health care providers in Northwest Ethiopia public hospitals, 2017.

Variable	Number (%)
Sex	
Male	254(62.7)
Female	151(37.3)
Age	
20-25 years	116(28.6)
26-30 years	237(58.5)
31-35 years	36(8.9)
>=36 years	16(4.0)
Marital status	
Single	208(51.4)
Married	115(28.4)
Separated	82(20.2)
Religion	
Orthodox	375(92.6)
Muslim	19(4.7)
Protestant	11(2.7)
Work experience	
≤ 5 years	307(75.8)
>5 years	98(24.2)
Profession	
Nurse	286(70.6)
Midwife	56(13.8)
Physician	63(15.6)

Working unit	
Adult OPD	67(16.6)
Pediatrics OPD	22(5.4)
Medical ward	60(14.8)
Surgical ward	90(22.2)
Gynecology and obstetrics ward	68(16.8)
Pediatrics ward	54(13.3)
Anti retroviral therapy	10(2.5)
Emergency	34(8.4)
Working hour	
8 hours	336(83.0)
>8 hours	69(17.0)

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#### Health professional's knowledge about evidence based medicine

The significant proportion, 130(32.1%) of health professionals had overall adequate knowledge concerning with EBM. Majority, 357 (88.1%) of the health professionals heard about evidence-based medicine and 261(64.4%) of them reported as they can identify a site where clinical related journals, articles and guidelines published. From the participants who reported as they know steps of evidence based practice 35(35.7%) of them correctly identify the steps of evidence based practice. But from the total participants it is only 8.7%. Two hundred thirty-six (58.3%) of health professional were reported as they knew how to implement evidence-based medicine. However, 177(43.7%) of health professionals were reported as they face difficulty to understand research reports (Table 2).

Table 2: knowledge towards evidence based medicine among health care providers in Northwest Ethiopia public hospitals, 2017.

Variables	Number (%)
Difficult to understand research reports	
Yes	177(43.7)
No	228(56.3)
Reasons for difficulty	
Understand statistical data	29(14.2)
Understand epidemiological terms	66(32.4)
Language problem	109(53.4)
Know steps for evidence based practice	
Yes	98(24.2)
No	307(75.8)
Steps for evidence based practice	
3	33(33.7)
4	30(30.6)
5	35(35.7)
Know the implications of research information	
Yes	381(94.1)
No	24(5.9)
Important of research information for clinical practice	
It can improve patient outcome	342(33.3)
It increase quality of care	345(33.7)
I can get recent best types of patient care	338(33.0)
Know how to implement evidence-based medicine	
Yes	236(58.3)
No	169(41.7)

The health professionals were also asked about the most important sites for health information. Accordingly, 256(23.8%) of health professional considered and identify PubMed and Medscape as a source of health information (Figure1).

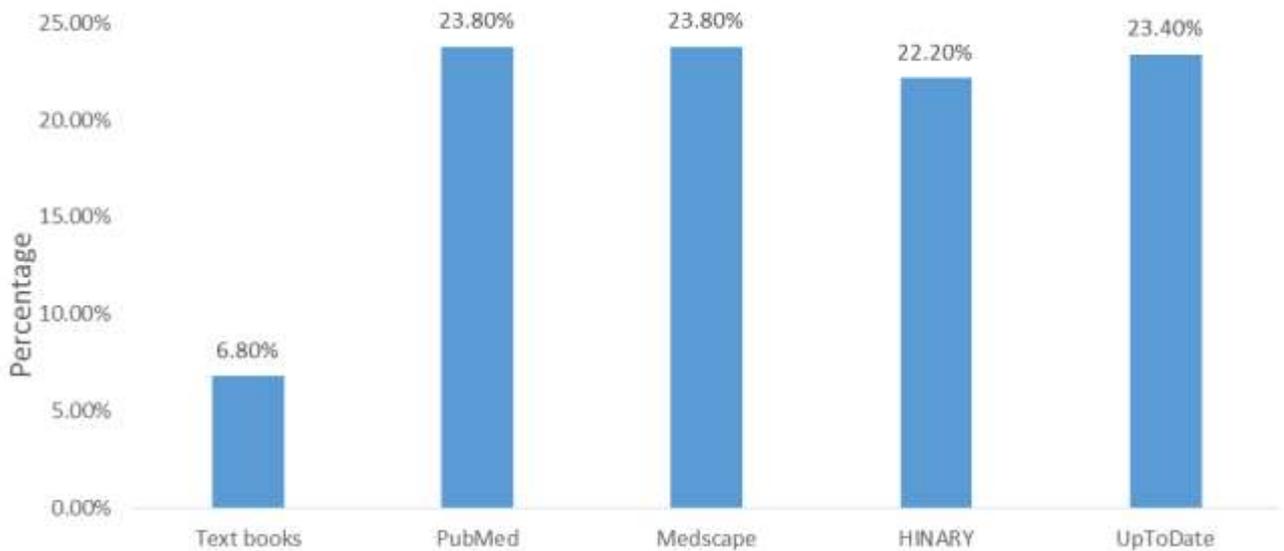


Figure 1: Websites considered as source of health information by health care providers in Northwest Ethiopia public hospitals, 2017.

### Health care provider's attitude towards evidence based medicine

Majority, 261(64.4%) of health professionals had favorable attitude about evidence based medicine and 346(85.4%) of the health professionals were strongly agree with the idea of implementing evidence based medicine will improve the care that delivered to the patients. Regarding to the relevance of evidence based medicine to their profession, 289(71.4%) of health professionals were considered it as relevant and 102(25.2%) of the health professionals were strongly agree on difficultness of Evidence based medicine implementation since it takes too much time (Table 3).

Table 3: Attitude towards evidence based medicine among health care providers in Northwest Ethiopia public hospitals, 2017.

Variables	Strongly disagree (N (%))	Disagree (N (%))	Neutral (N (%))	Agree (N (%))	Strongly agree (N (%))
Evidence based practice implementation improve patient care.	1(0.2)	3(0.7)	3(0.7)	52(12.8)	346(85.4)
Irelevant for profession.	18(4.4)	22(5.4)	22(5.4)	54(13.3)	289(71.4)
Importance of critical appraisal	2(0.5)	4(1.0)	12(3)	104(25.7)	283(69.8)
Training importance	2(0.5)	3(0.7)	5(1.2)	82(20.2)	313(77.4)
National guidelines importance to improve clinical care.	7(1.7)	9(2.2)	19(4.7)	118(29.2)	252(62.2)
Difficulty to implement	65(16.0)	131(32.3)	52(12.8)	55(13.6)	102(25.2)

### Health care provider's skills on evidence based medicine implementation

According to the score of questions asked on skill, about three fourth of the health professionals (70%) were found to have good skill and 260(64.2%) of health professional's found to have poor skill regarding of evidence based medicine implementation. Health professionals were asked whether they can search for the best evidence to answer clinical questions in a time efficient way. From the health professionals, 347(85.7%) of them were responded as they can to implement evidence based medicine (Table 4).

Table 4: skill on evidence based medicine implementation among health care providers in Northwest Ethiopia hospitals, 2017.

<b>Variables</b>	<b>Yes N (%)</b>	<b>No N (%)</b>
Ability to search Evidence	347(85.7)	58(14.3)
Ability to Formulate search question	320(79)	85(21)
Access to best resources	202(49.9)	203(50.1)
Ability to implement research recommendations	309(76.3)	96(23.7)
Ability to find appropriate research reports	212(52.3)	193(47.7)
Confident to judging the quality of research reports.	161(39.8)	244(60.2)

### Level of Evidence Based medicine implementation

The responses of health professionals were categorized in to two categories based on measurement, those who score median level and above score were considered as they had high level of evidence based medicine implementation. Accordingly, 183(45.2%) of health professionals were found to have low level of evidence based medicine implementation with (95% CI 39.5-50.4). Majority, 161(39.7%) of health professionals were reported as they collect data from the patient and formulate clinical question 1-3 times in the past two months and 175(43.2%) of health professionals were search relevant evidence from recent national guidelines and literatures to solve clinical question 1-3 times in the past two months.

Regarding the questions whether they apply the finding of literature for clinical practice, half of the health professional (52.8%) were never apply the finding of literatures for their daily clinical practice. Concerning with the use recent national guidelines and new treatment protocols in the past two months, 161(39.8%) of health professionals were referred 1-3 times as evidence to provide care for the patient. Most health professionals had never used recent information for practice change. We found a significant proportion, 253(62.5%) of the health professionals had never used recent clinical studies to change clinical practice (Table 5)

Table 5: Health care provider's evidence based practice implementation status in Northwest Ethiopia public hospitals, 2017.

Variables	None (N (%))	1-3 times (N (%))	4-5 times (N (%))	6-7 times (N (%))	8 and more times (N (%))
Collect data and formulate clinical question	10(2.5)	161(39.7)	117(28.9)	47(11.6)	70(17.3)
Search relevant evidence from recent national guidelines and literatures	11(2.7)	175(43.2)	113(27.9)	41(10.1)	65(16.1)
Read and critically appraised a clinical research study	201(49.6)	146(36.1)	28(6.9)	7(1.7)	23(5.7)
Apply the findings of clinical literatures into clinical practice	214(52.8)	148(36.5)	24(5.9)	1(0.3)	18(4.4)
Look recent national guidelines, new treatment protocols to give care	15(3.7)	161(39.8)	116(28.6)	63(15.6)	50(12.3)
Share evidence from a study/ies in the form of report or presentation to hospital staffs	361(89.2)	32(7.9)	6(1.5)	3(0.7)	3(0.7)
Share new national guideline or treatment protocols with a colleague	104(25.7)	231(57.0)	35(8.6)	14(3.5)	21(5.2)
Use a recent guideline to change existed clinical practice	58(14.3)	213(52.6)	73(18.0)	27(6.7)	34(8.4)
Change existed clinical practice based on recent clinical studies	253(62.5)	111(27.4)	28(6.9)	4(1.0)	9(2.2)
Evaluate practice based on recent studies	239(59.0)	117(28.9)	28(6.9)	10(2.5)	11(2.7)
Add new types of health care based on literatures	224(55.3)	141(34.8)	24(5.9)	9(2.2)	7(1.7)
discussing with patient/family member to change new types of care	101(24.9)	207(51.1)	51(12.6)	17(4.2)	29(7.2)
Evaluate the patient outcome after practice change	66(16.3)	217(53.6)	67(16.5)	22(5.4)	33(8.1)
Access and read health related national policies and regulations.	21(5.2)	117(28.9)	118(29.1)	77(19.0)	72(17.8)

Concerned with practice change after attending training/conferences, of the total respondents, 203(50.1%) of them change practice 1-3 times in the past two months. However, 96(23.7%) of them never change practice based on information that got from training and conference (Figure 2).

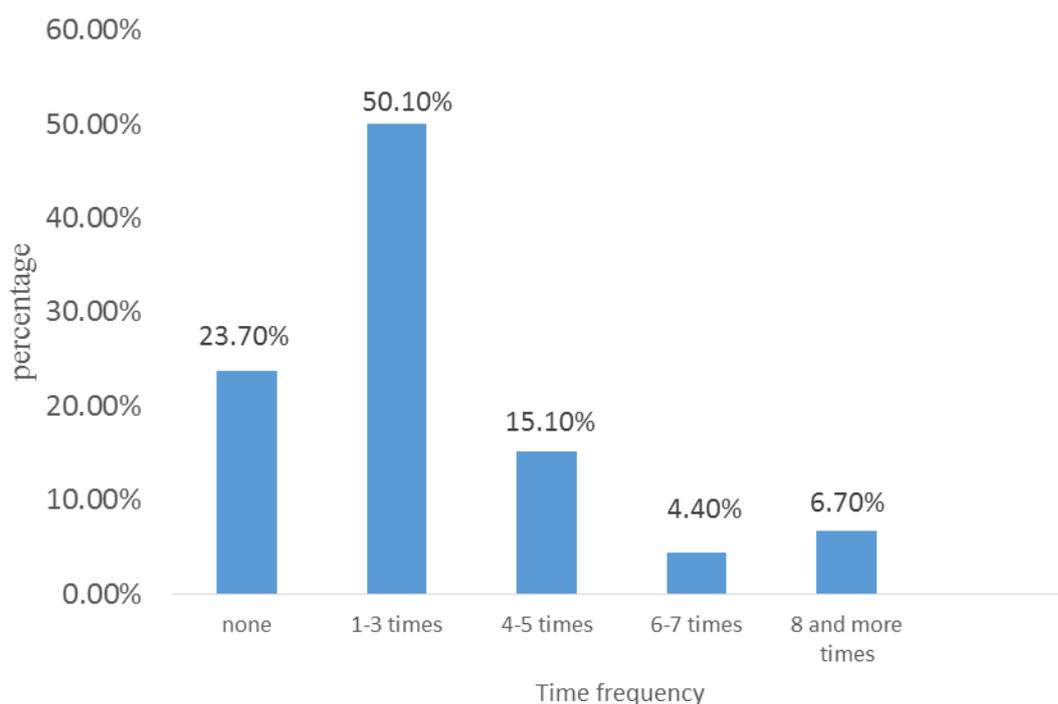


Figure 2: Percent of health care providers who Change their clinical practice based on in-service training, in East and West Gojjam zones public Hospitals, Northwest Ethiopia, 2017.

### Clinical websites visited by health care providers

From clinical websites health care providers frequently accessed UpToDate and Medscape, but they rarely access PubMed and HINARY. Out of the total respondents, 123(30.4%) and 75(18.5%) of them accessed UpToDate and Medscape respectively with frequency of 4-5 times for the last two months. Contrary, 369(91.1%) and 399(98.5%) of the study participants never search health related information from PubMed and HINARY respectively (Table 6).

Table 6: Percent of clinical websites which accessed by health care providers in the past two months in public Hospitals, Northwest Ethiopia, 2017.

Websites	None (N (%))	1-3 times (N (%))	4-5 times (N (%))	6-7 times (N (%))	8 and more times. (N (%))
UpToDate	38(9.4)	120(29.6)	123(30.4)	42(10.4)	82(20.2)
PubMed	369(91.2)	23(5.7)	7(1.7)	1(0.2)	5(1.2)
Medscape	110(27.2)	143(35.3)	75(18.5)	19(4.7)	58(14.3)
HINARY	399(98.5)	2(0.5)	2(0.5)		2(0.5)

### Organizational, patient, and health care provider related characteristics

Health professionals were asked questions about environmental, professional and personal factors for evidence based practice. Accordingly, 321(79.3%) of health professional were said that hospital facilities such as computers, Internet, and new treatment guidelines are not

adequate for implementation of evidence based practice and 329(81.2%) of health professionals were reported as there is lack of training about evidence based practice make them difficult to implement evidence based practice. Regarding to the availability of recent guidelines, 311(76.8%) of health professionals were said that organizational information (protocols, guidelines) are difficult to find and 201(49.6%) of health professionals were said that available national treatment guidelines and protocols are difficult to understand. Majority, 341(84.2%) of the health professionals were said that absence of interdisciplinary discussion during patient management make them difficult to apply evidences into practice

### **Factors associated with evidence based practice implementation**

In order to identify variables for our multivariate regression models we run bivariate logistic regressions containing variables that had been shown to be associated factors for evidence based medicine implimentation in past studies. We retained all variables that were found to be statistically significant at the 25% level or lower. We then run a multivariate logistic regression model containing all of these variables and retained the variables that were associated with evidence based medicine implimentation in health professionals at 5% level of significance. The ten variables remained to be significantly and independently associated with evidence based medicine implementation. These ten variables were: age, sex, marital status, work experience, profession, working unit, knowledege, attitude and skill of health professionals.

Health professional age was significantly associated with evidence based medicine implimentation. Health professionals who belong to age group 31-35 years were 77% times less likely to have low evidence based medicine implementation as compared with the health professional who belong to age group 20-25 years (AOR=0.23, 95% CI: 0.07, 0.73). Female health professionals were 1.82 times more likely to have low evidence based medicine implementation as compared to males (AOR=1.82, 95% CI:1.06, 3.11). Married health professionals were 2.25 times more likely to have low evidence based medicine implementation as compared to singles health professionals (AOR=2.25, 95% CI: 1.16, 4.36). health professional with five years and more work experience were 2.72 times more likely to have low evidence based medicine implementation as compared with health professional with less than five years work experience (AOR=2.72, 95% CI: 1.31, 5.67). Health professional profession was significantly associated with evidence based medicine implimentation. Physicians were 83% less likely to have low evidence based medicine implementation as compared with nurses (AOR=0.17, 95% CI: 0.06, 0.45) and Midwives were 80% less likely to have low evidence based medicine implementation as compared with nurses (AOR=0.20, 95% CI: 0.05, 0.80).

Working unit of health professional was significantly associated with evidence based medicine implementation. Health professional who work at adult OPD were 64% less likely to have low evidence based medicine implementation as compared with health professional who work at surgical ward (AOR=0.36, 95% CI: 0.15, 0.90).

Health professional who had inadequate knowledge were 1.83 times more likely to have low evidence based medicine implementation as compared with health professional who had adequate knowledge (AOR=1.83, 95% CI: 1.06, 3.13). Health professionals who had

unfavorable Attitude were 1.78 times more likely to have low evidence based medicine implementation as compared with health professionals who had favorable Attitude (AOR=1.78, 95% CI: 1.06, 2.97). Health professionals who had poor skill about evidence based medicine implementation were 2.91 more likely to have low evidence based medicine implementation as compared with those who had good skill about evidence based medicine (AOR=2.90, 95% CI: 1.79, 3.00). In the same way, health professionals who lack regular orientation about priority health issues were 1.7 times more likely to have low evidence based medicine implementation as compared with those who get regular orientation about priority health issues (AOR=1.70, 95% CI: 1.01, 2.82) (Table 7).

Table 7: Analysis of factors associated with evidence based medicine implementation among health professionals working in public hospitals in Northwest Ethiopia, 2017.

Variables	Evidence based medicine implementation		Crude OR 95% C.I	Adjusted OR(95%CI)	p- valu e
	Low	High			
	No (%)	No (%)			
<b>Age</b>					
21-25 years	55(30.1%)	61(27.5%)	1	1	
26-30 years	100(54.6%)	137(61.7%)	0.81(0.52,1.27)	0.53(0.3,0.96)	0.035
31-35 years	17(9.3%)	19(8.6%)	0.99(0.47,2.1)	0.23(0.07,0.73)	0.012
≥ 36 years	11(6.0%)	5(2.3%)	2.44(0.8,7.47)	0.43(0.07,2.78)	0.374
<b>Sex</b>					
Male	96(52.5%)	158(71.2%)	1		
Female	87(47.5%)	64(28.8%)	2.24(1.48,3.37)	1.82(1.06,3.11)	0.029
<b>Marital status</b>					
Single	87(47.5%)	121(54.5%)	1	1	
Married	69(37.7%)	46(20.7%)	2.09(1.31,3.32)	2.25(1.16,4.36)	0.017
Separated	27(14.8%)	55(24.8%)	0.68(0.4,1.17)	0.39(0.2,0.76)	0.06
<b>Work experience</b>					
≤5 years	121(66.1%)	186(83.8%)	1	1	
>5 years	62(33.9%)	36(16.2%)	2.65(1.65,4.24)	2.72(1.31,5.67)	0.008
<b>Profession</b>					
Nurse	153(83.6%)	133(59.9%)	1	1	

Midwife	24(13.1%)	32(14.4%)	0.65(0.37,1.16)	0.2(0.05,0.82)	0.025
Physician	6(3.3%)	57(25.7%)	0.09(0.04,0.22)	0.17(0.06,0.45)	0.001
Working unit					
Adult OPD	14(7.7%)	53(23.9%)	3.16(1.13,8.8)	0.36(0.15,0.9)	0.028
Pediatrics ward	10(5.5%)	12(5.4%)	3.31(1.52,7.21)	1.39(.43,4.45)	0.583
Medical ward	28(15.3%)	32(14.4%)	3.99(1.91,8.33)	0.73(0.32,1.65)	0.449
Surgical ward	45(24.6%)	45(20.3%)	1	1	
Gynacology and obstetrics ward	34(18.6%)	34(15.3%)	3.79(1.78,8.07)	3.95(0.96,16.23)	0.057
Pediatrics ward	33(18.0%)	21(9.5%)	5.95(2.66,13.29)	1.6(0.69,3.72)	0.277
Anti retroviral therapy	5(2.7%)	5(2.3%)	3.16(1.13,8.8)	0.7(0.14,3.53)	0.665
Emergency	14(7.7%)	20(9.0%)	2.65(1.08,6.53)	0.93(0.36,2.45)	0.889
Knowledge					
Adequate knowledge	41(22.4%)	89(40.1%)	1	1	
Inadequate knowledge	142(77.6%)	133(59.9%)	2.32(1.49,3.6)	1.83(1.06,3.13)	0.029
Attitude					
Favorable Attitude	103(56.3%)	158(71.2%)	1	1	
Unfavorable Attitude	80(43.7%)	64(28.8%)	1.92(1.27,2.9)	1.78(1.06,2.97)	0.028
Skill					
poor skill	147(80.3%)	113(50.9%)	3.94(2.5,6.17)	2.91(1.70,30)	0.001
good skill	36(19.7%)	109(49.1%)	1	1	
Lack of organized patient education department					
Yes	154(84.2%)	162(73.0%)	1	1	
No	29(15.8%)	60(27.0%)	0.51(0.31,0.83)	0.56(0.3,1.03)	0.064
Lack of regular orientation about priority health issues					
Yes	129(70.5%)	117(52.7%)	2.14(1.42,3.24)	1.7(1.01,2.82)	0.04

No	54(29.5%)	105(47.3%)	1	1	
The importance of evidence not made clear					
Yes	96(52.5%)	80(36.0%)	1	1	
No	87(47.5%)	142(64.0%)	0.51(0.34,0.76)	0.64(0.39,1.06)	0.84

## Discussion

This study conducted to assess the level of evidence based medicine implementation and associated factors among health professionals. We found that 45.2 % of health professionals had low evidence based medicine implementation. This finding is lower than finding of the survey conducted in regional hospitals throughout Taiwan in which 58.1% of health professionals not implemented EBM for clinical decision-making(16). This finding also lower than another finding of study conducted in 2012 across United States health care setting which indicated 65.5% of health professionals not consistently used EBM in their clinical practice(19). These discrepancies may be due to the difference in educational status of health professional's like Physical therapist, Technician who have only two-year university education and only nurses were involved in previous studies. On the other hand, in the current study professionals who has three years and above college or university education were involved. In addition, in the current finding physicians who participate in different conferences and who implement evidence based medicine more were participated.

The finding of this study is consistent with the finding of study conducted in black lion 42.4% of nurses were not integrated evidence based practice in their clinical practice(12) and with the finding of the survey conducted in Yemen in which 50 % of the respondents never used EBM resources in their clinical decision making (20).

However the finding of this study is higher than cross sectional study conducted in United States healthcare setting, that indicated 33% of health professionals were not used current research information during their treatment plans (21). This discrepancy may be due to the difference in study setting in which the pervious study was conducted in the area where there is enough electronic resource. But the second study includes areas where there is limited computers and internet accesses.

The finding of this study revealed that 90.6% and 72.8% health professional accessed UpToDate and Medscape respectively. This finding is inconsistent with the finding of the study conducted in Nigeria the database most recently searched was Medline/PubMed in 99% of cases and only 15.7% of the respondents had ever searched UpToDate (22). This discrepancy may be due to the fact that in our study area the habit of using upToDate and Medscape is increased due to their accessibility. Especially UpToDate can be accessed in the absence of internet connection.

The finding of this survey indicated that 59% of the health professionals were never evaluate their practice based on current updated clinical information. This finding is higher than the finding study conducted in Dubi that indicated that 19.8% of the health professionals were not evaluate their practice based on the recent clinical information(15). The discrepancy may be due to their education experience in which the health professional in preveiou study were attended evidence based medicine courses. However, the psarticipants in the current study were not got training opportunity concerning to EBM.

The finding of this study indicated there were different factors that contributed for low evidence based medicine implementation. Health professionals who belong to age group 20-25 years were more likely to have low evidence based medicine implementation. This finding is consistnt with the finding of previous study which conducted in black lion hospital in which health professionals age less than 30 year were implement evidence based practice less(12). But, in contrary to finding of survey conducted in black lion hospital (12) being female was contributing factor for low evidence based medicine implementation. This discrepancy may be due to disproportional sample of the study in previous study in which majority were male physicans who have more knoledege and skill on evidence based medicine implementation.

The finding of this study showed that health professional who had more than five years work experience were less likely implement evidence based medicine. This finding is not supported by the finding of survey conducted in black lion hospital which showed that the absence of siginificant association between experience and evidence based practice implementation(12). This may be due to unlike the current study area, black lion hospital is educational hospital and found in capital city of Ethiopia where most training takes place and where thre is better electronic resource. Therefore, staff might have access to different training opportunities and intrnet.

Health professional's profession was significantd associated with outcome variable. This finding is consistent with study conducted in regional hospitals throughout Taiwan which showed that nurses had low evidence based practice implementation when they compered with physicians(16).

The knowledge of health professionals was significantly associated with eveidence based medicine implementation. This finding was consistent with survey conducted in regional hospitals throughout Taiwan which indicated low EBM implementation was associated with inadequate knowledge of the respondents (16). Similarly, poor skill to retrieve evidence was siginificantly associated between with low evidence based medicine implementation. This is inline with the finding of study conducted by Norwegian and study conducted in Taiwan which showed that poor personal skills to find and manage research evidence were significantly associated with low evidence based medicine implementation(14, 16, 20).

In the same way those health professionals who have unfavorable attitude toward the issue were more likely to have low evidence based medicine implementation. This finding was consistent with the finding of cross sectional study conducted in Iran, Malaysia and Taiwan

which showed that unfavorable attitude significantly associated with low evidence based practice implementation(16, 23, 24). Moreover, health professionals who lack regular orientation about priority health problems were more likely to have low level of evidence based medicine. This is may be due to regular orientation about priority health issue can make health professional concentrated and give due emphasis to information retrieval.

### **Conclusion**

The study revealed that the significant proportion of health professionals found to have low evidence based medicine implementation. Age, sex, marital status, work experience, profession, working unit, knowledge, attitude, skill, regular orientation about priority health problems were contributing factors for low evidence based medicine implementation. It suggests that the Fedral ministry of health should give training for health proffessionals to enhance their knowledge, skill and practice towards evidence based medicine implementation and should be give especial attention for femal and nursing proffessionals. Hospital manageres and team managers should initiate and support health care providers to use current best evidence for patient care. Staffs who had more than 5 years work experience should be trained about recent health information.

### **Abbreviations**

AOR:	Adejested Odds Ratio
CI	Confidence Intrval
COR	Crude Odds Ratio
EBM:	Evidence Based medicine
IT	Information Techinology
OPD	Out Patient Department
SPSS:	Statistical Package for Social Science

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# Personal, Social and Environmental Risks of Problematic Gambling Disorder among Preparatory School Adolescence in Wollega Zonal Town

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## Abstract

*This study explored personal, social, and environmental risk factors of problematic gambling in six schools in Wollega zonal town, West Ethiopia, among students (N = 300) ranging from 14 to 22 years of age and methods was snowball sampling used. The researcher was used questionnaire to gather standardized tools to assess the extent of adolescence gambling disorder. Data analyzed by using statistical methods descriptive, Pearson Correlation regression and variance were used. Results from the cross-sectional survey showed that personal feelings (self-esteem, false perceptions about winning, drug abuse), social factors (peer influence, parental gambling), and environmental factors (accessibility of gambling venues, advertisements) were significant correlates of gambling disorder. Regression analysis show significant univariate correlates explained that 34.9 % of the variance in problematic gambling disorder with significant unique predictions for drug abuse, psychological impacts, and social impacts. The study also revealed that most frequently playing reasons for gambling were entertainment, killing time, and peer influence. Among the identified types of gambling activities, the most prevalent ones were playing cards followed by flipping coin and pool gambling while quick drawing was among the least reported gambling activities. There exist high rates of risk taking behavior during adolescence, including with behavior like gambling that have addictive potential and carry associated risks factors. By doing so it provides invaluable information for the systematic design and evaluation of evidence-based educational interventions to prevent gambling disorder during adolescents. For further researcher needs to focus on understanding of the students gambling disorder (involvement and addiction), providing intervention targets for the evidence-based design of educational interventions to prevent gambling disorder.*

**Key Word:** Gambling, Adolescence, problematic gambling, disorder, Behavior

## 1. Introduction

Gambling disorder is a psychiatric condition characterized by persistent and recurrent maladaptive patterns of gambling behavior, leading to impaired functioning. It is associated with reduced quality of life, and high rates of bankruptcy, divorce, and incarceration (Grant, 2001). Although most people who engage in one or more forms of gambling do so responsibly and without undue negative impact on life, some individuals find that they become preoccupied with gambling and it has multiple negative consequences. For these people, their gambling behavior has devastating consequences that impact the individual, his or her family, and society (Hodgins, Stea, and Grant., 2011).

**Prevalence of Adolescent Problem Gambling:** Gambling-related problems experienced by adolescent gambling disorder Derevensky and Gupta (2000) performed an item analysis on the endorsement rates using the DSM-IV-J gambling screen. Their results revealed that 91% of adolescent and young adult pathological gamblers reported a preoccupation with gambling; 85% indicated chasing their losses; 70% lied to family members, peers and friends about their gambling behavior; 61% used their lunch money and/or allowance for gambling; 61% became tense and restless when trying to reduce their gambling; 57% reported spending increasing amounts of money gambling; 52% indicated gambling as a way of escaping problems; 27% reported missing school (more than 5 times) to gamble; 24% stole money from a family member to gamble without their knowledge; 24% sought help for serious financial concerns resulting from their gambling; 21% developed familial problems resulting from their gambling behavior; and 12% reported having stolen money from outside the family to gamble.

With the expansion of gambling venues, including the Internet, adolescents are widely engaging in gambling activities. Gambling disorder affects only a small minority of individuals, the negative consequences are usually widespread with serious psychological, social, and economic implications not only for the individual gambler, but also bearing severe personal and economic costs for family members and the wider community and society (Derevensky et al. 2004; Ellenbogen et al. 2007; Lesieur 1998; Shaffer and Korn, 2002). In adolescents, gambling disorder has been shown to result in increased delinquency and crime, the disruption of relationships with family and peers, and the impairment of academic performance and work activities (Derevensky and Gupta, 1998).

However, Problem gambling in the Ethiopia is becoming a not serious public health issue for Adolescence. Gambling is not inherently pathological, immoral, or associated with any psychological problem even if some cultural, economic, racial and ethnic groups may be at higher risk of developing pathological gambling behavior or disorder (Blume, 2005). Gambling in Ethiopia is not technically illegal and formal big business. However, the National Lottery Administration (NLA) Ethiopia has the role of regulating and controlling the activities related to gambling NLA Ethiopia, 1961). Though the regulation and controlling is not very effective to prevent adolescents from engagement in gambling and indulge themselves. Yet, Abdi (2011,) indicates, about 6.43% of adolescents at high schools among 73% reported that they had participated or are currently participating in gambling activities. Generally, this study researcher was surveyed the social and environmental risk factors of problematic gambling in Ethiopia with a specific focus on adolescents as these are most vulnerable to getting involved in gambling due to the high unemployment rates.

With respect to the context of Ethiopia, gambling is not technically illegal. Studies indicate that gambling is increasingly becoming one of the most popular leisure activities among adolescents worldwide, with rates of gambling disorder being higher in adolescents than in adults (Derevensky et al. 2004; Dickson and Derevensky 2006; Winters et al. 2002). While gambling is widely accepted as a form of entertainment, gambling disorder remains a social

and public health issue. In the streets of the Ethiopia, there are plenty of gambling activities played for money with state-owned lotteries, play stations, pool houses, and table football being the most prevalent ones. To date, there is no scientific research conducted on gambling in Wollega, even in Ethiopian in my knowledge. Therefore, it is imperative to have cultural specific research findings on gambling in order to deal with the risk factors and other psychosocial and behavioral correlates of problematic gambling. In this research study was surveyed the social and environmental risk factors of problematic gambling disorder in Ethiopia with a specific focus on adolescents as these are most vulnerable to getting involved in gambling due to the high unemployment rates.

The general objective of this study was to determine the relationship between personal, social, and environmental risks of gambling disorder and to explore the casual factors to contributing to adolescent gambling behavior of high school students. The research questions are: What are the risk factors lead adolescence to gambling disorder behavior?; Is there a significant relationship between personal, social, environmental risk and gambling disorder? And to what extent do personal, social, environmental risk and gambling disorder among high school adolescence?

## **The Methods**

### **Design the research**

This study adopted a survey research design in order to explore risks factors of gambling disorder from Social and Environmental risks of preparatory school adolescence students in Wollega Zonal towns.

### **Population and Sampling**

The population of this study was consisting of in-school adolescents who are in government preparatory schools in the four Wollega Zones in the year 2016/17. Two preparatory schools from Nekemte, two preparatory school from Gihmbi, and One preparatory school from Dambi Dollo and Shambu town were purposively selected from each zone; hence, 6 schools was included in the study. Fifty students were snowball sampling from each school and a total of 300 students were participating in the study.

### **Data Gathering Instruments:**

The researcher was basically use questionnaire to capture data on the Social and Environmental Risk of gambling. The researcher was using standardized tools to assess the extent of adolescent gambling disorder in sample. The tool was the Diagnostic and Statistical Manual of Mental Health Fourth-Version Adapted from Juveniles (DSM-IV-J) checklist which was developed by Fisher and was taken from Rainone and Gallati (2007). The DSM-IV-J is a 12-item checklist which assesses nine dimensions of problematic gambling: progression and preoccupation, tolerance, withdrawal and loss of control, escape, chasing, lies and deception, illegal acts, family and academic disruptions, and financial bailout.

## **Participants and Procedures**

A cross-sectional survey study was conducted among regularly attending preparatory school adolescents in Wollega Zonal town. At the time, in three Wollega zone there were about 6 preparatory schools with a total of 8432 students, 2017). In each of the schools, the researcher contacted classroom teachers for their willingness to cooperate in data collection by devoting a one period (50 min) class meeting. Following the permission of the schools and with the help of the teachers, the researcher approached the students. The researcher explained the objectives of the study for the students and assured them about the confidentiality of their responses. Students did not provide their names and were not asked any other personal identification. Only students who had played any game in money or betted on unknown results were eligible to fill in the questionnaires. But students who did not play any game in money or bet on unknown results were also counted in order to assess the frequency of gambling in the target population. The students were instructed to finish the questionnaire in the class within the 50 min class meeting and return the questionnaire to their classroom teachers or researcher before they left the class. Out of the 300 target population, 244 (about 71 % with males 41 % and females 30 %) reported that they have gambled or have been gambling and willing to fill in the questionnaire. In the data processing and reporting, 56 questionnaires were excluded due to incomplete completion and non-return.

## **Data Analysis**

After the necessary data was collected and coded, statistical data was computed using the Statistical Package for Social Sciences (SPSS), version 20. Statistical methods including descriptive statistics, Pearson correlation, Regression, and variances were used in the analysis.

## **4. Results and Discussions**

### **Socio-Demographic Characteristics of Participants**

This study result, out of the 300 responses, 56 responses were discarded due to incomplete filled-out questionnaires and the responses of 244 students of grade 11 (150 or 60.5 %) and grade 12 (94 or 34.2 %) were analyzed. The number of males in the current study was 162 (66.39 %) and females 82 (33.61 %). The ages of the adolescents ranged from 12 to 22 years with mode 17, mean 16.39, standard deviation 1.42, and median 16.30. Regarding the ethnic and religious background aspect of the students, most of the participants were from the Oromo and Amhara ethnic groups with Christianity and Islamic religions being the most reported religious backgrounds of the participants. See Table 1 for complete summary of the socio-demographic characteristics of the participants.

Table 1: Socio-demographic variables of the participants

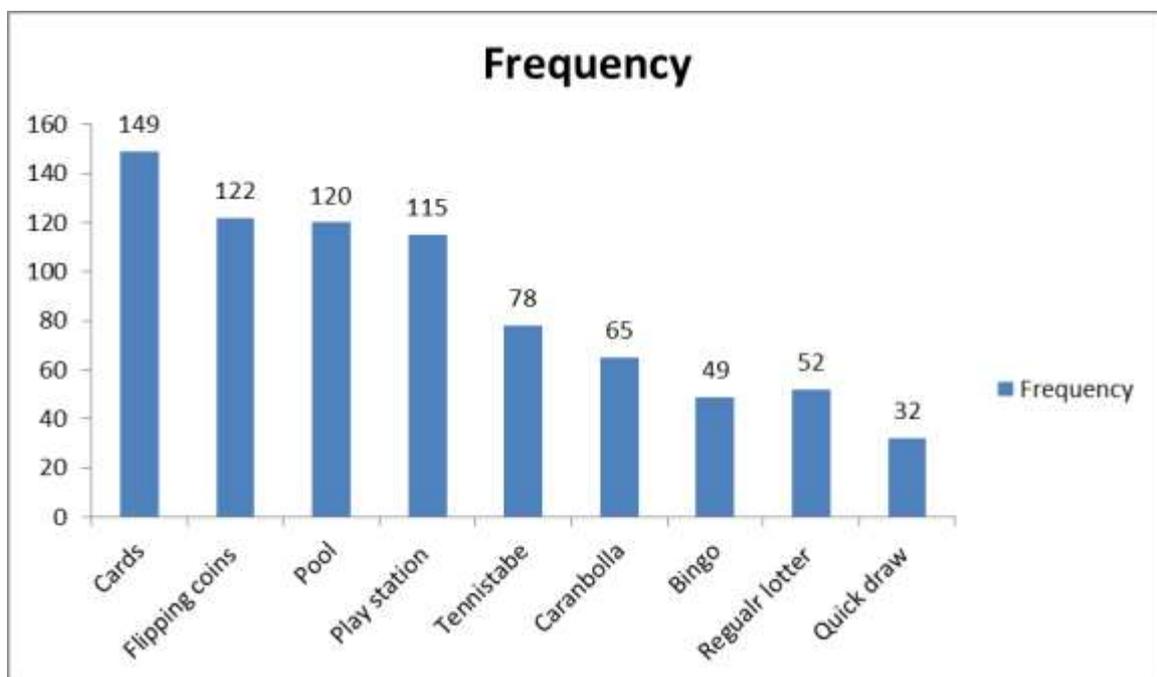
Variable	Frequency (%)
Gender	
Male	162 (66.39)
Female	82 (33.61)
Age	
12–15	70 (28.69)
16–18	156 (63.94)
19–21	18 (7.37)
Grade	
11	150 (61.47)
12	94 (38.53)
Ethnicity	
Amhara	79 (32.37)
Oromo	110(45.10)
Tigre	25 (10.24)
SNNP	20 (8.196)
Other	10 (4.10)
Religion	
Orthodox	115 (47.13)
Protestant	97 (39.75)
Islam	24 (9.83)
Catholic	6 (2.46)
Other	2 (0.82)
Family type	
Intact	225 (86.2)
Separated/divorced	15 (5.7)
Remarried	4 (1.5)
Institutionalized	1 (0.4)
Lives with relatives	16 (6.1)
Family monthly income	
700–1,000	40 (16.39)
1,001–1,500	44 (18.08)
1,500–2,000	32 (13.11)
2,000–2,500	53 (21.72)
2,500–3,000	50 (20.49)

Variable	Frequency (%)
3000–3,5000	20 (8.19)
>4,000	22 (9.01)
Highest educational level	
Illiterate	23 (9.42.0)
1–8 grades	29 (11.88)
High school completed or grades 10/12 completed	74 (30.32)
College diploma	90 (36.88)
Degree and post-graduate courses	28 (11.47)

### Forms of Gambling Activities among the Adolescents

Adolescents engaged in various forms of gambling activities. The questionnaire identified 10 forms of local gambling activities. In figure, 1 reveals that the most frequently reported form of gambling activity is playing cards followed by flipping coins and pool gambling while quick drawing is among the least reported forms.

Figure1: Forms of gambling activities among the Adolescence



### Risky Gambling Behavior

The researcher was used the DSM-IV-J tools to assess the extent to which adolescents were at risk for gambling disorder or were indeed problematic gamblers and non-compulsive or compulsive gamblers. Table 3 shows the distribution of respondents across the continuum of gambling behaviors (from social/non-problematic gambling to at risk for severe problematic gambling and problematic gambling) on the DSM-IV-J tools.

Table 3: The distribution of respondents across the continuum of gambling categories of on DSM-IV-J and GA-20 for males and females

Tools	Category	Total (%)	Frequency (%)	
			Male	Female
DSM-IV-J	Social gamblers	143 (58.64)	81 (33.19)	62 (25.4)
	At risk for severe problematic gambling	83 (34)	69 (28.27)	14 (5.73)
	Probable problematic gambler	18 (7.37)	12 (4.91)	6 (2.45)
	Total	244 (100)	154 (100)	109 (100)

\* Significant at  $p = 0.05$

According to the DSM-IV-J checklist, the majority of our samples (58.6 %) were non-problematic or social gamblers, while 34 % were at risk for severe problematic gambling and 7.3 % were probable problematic/pathological.

### Bivariate Correlation

The bivariate correlations between the study variables, including the univariate associations between the personal, social and environmental factors and the two measures of problematic gambling are presented (see Table 4).

Table 4: Bivariate correlations among the gambling variables

Measures	DSM-IV-J	Social factors	Environmental factors	Drug abuse	Psychological impacts	Social impacts	Economic impacts
DSM-IV-J	1						
Personal feelings	.190**	0.244**	1				
Environmental factors	0.297**	0.549**	1				
Drug abuse	0.389**	0.089	0.203**	1			
Psychological impacts	0.417**	0.439**	0.462**	0.218**	1		
Social impacts	0.502**	0.370**	0.469**	0.295**	0.554**	1	
Economic impacts	0.477**	0.383**	0.411**	0.341**	0.548**	0.699**	1

\*\* Correlation is significant at the 0.01 level (2-tailed)

According to table 4 shows that correlated to see social factor .25 were approximately weak and positive association with DSM-IV-J gambling disorder. This is for the social risk factors,

positive associations with measures of gambling disorder were found for personal feelings, drug abuse and perceived psychological, social and economic impacts. In addition, social risk factors and availability of gambling venues were positively correlated with both measures of gambling disorder.

Table 5: Regression analysis of gambling variables on the DSM-IV-J

Variable	B	Std. error	Beta	t.	Sig
(Constant)	0.445	0.207		2.148	0.033*
personal	0.002	0.014	0.10	0.17	0.865
Social factors	0.005	0.011	0.027	0.407	0.684
Environmental factors	-0.002	0.012	-0.010	-0.150	0.881
Drug abuse	0.093	0.021	0.237	4.332	0.000**
Psychological impacts	0.045	0.021	0.141	2.117	0.035*
Social impacts	0.058	0.017	0.261	3.439	0.001**
Economic impacts	0.050	0.030	0.127	1.670	0.096

$$R^2 = 0.349, F(7, 253) = 19.398, p < 0.01, ** = p < 0.01, * = p = 0.05$$

Based on above table, researcher was employed regression analysis to explore the unique contribution of the univariate correlates in explaining gambling disorder for both dependent measures separately. Gambling disorder were associated to DSM-IV-J was analysis that, significant and positive relationship. For the measure of gambling disorder using the DSM-IV-J, the set of significant univariate correlates explained 34.9 % of the variance in problematic gambling disorder with significant unique predictions for drug abuse, psychological impacts, and social impacts.

## Discussion

The study showed that social factors (peer and family risk factors), and environmental factors (media advertisement and availability of gambling venues) contribute to problematic gambling among high school students in Wollega town. International studies on gambling disorder reveal similar risk factors for problematic gambling, among which risk seeking tendencies, low self-esteem, depression and suicide ideation; social factors including peer influences and parental gambling; and environmental factors like advertisement on gambling have been found to be positively associated with problematic gambling continuum (e.g., Carlson and Moore 1998; Dane et al. 2004; Delfabbro et al. 2005; Lambos et al. 2007; Winters et al. 2002). The research findings indicated that the most frequently played gambling forms among the preparatory school adolescence are playing cards, flipping coins, pool gambling and play station, while quick drawing is among the least reported. Delfabbro et al. (2005) in their study of adolescent gambling in Australian Capital Territory (ACT) of students of ages between 7 and 12 years revealed that private card games (39.8 %) and bingo/scratchies (40.5 %) were the most frequently reported gambling activities while betting

on racing and sporting events were also popular (32 and 26 % respectively). In another study conducted among adolescents in Oregon (Carlson and Moore, 1998) purchasing raffle tickets (41 %) was the most frequently cited gambling activity, followed by betting on sports with friends or relatives (32 %); playing cards (31 %), and betting on games of skill, such as pool or bowling (25 %). A game typical to wollega town is pool, which ranked 3<sup>rd</sup> among the identified 9 gambling activities and about 1 out of 4 gamblers play pool. Pool is very closely similar with the Italian game of Bocette ([http:// billiard traveler. blogspot. com/2011/ 10/ billiards-in-hottest-inhabited-village.html](http://billiardtraveler.blogspot.com/2011/10/billiards-in-hottest-inhabited-village.html)). The variations in the prevalence of gambling activities may also be related to the differences in cultural backgrounds, age, legal and other social aspects of the adolescent gamblers.

## 5. Conclusion and Recommendation

While adolescence is only a short period of one's life, it is a time of critical developmental change and growth. There exist high rates of risk taking behavior during adolescence, including with behavior like gambling that have addictive potential and carry associated risks factors (personal, drug abuse, perceived psychological, social risk factors and availabilities of gambling venue positively correlated with gambling disorder and are significant unique contribution as well predictions for drug abuse, psychological impacts, & social impacts). By doing so it provides invaluable information for the systematic design and evaluation of evidence-based educational interventions to prevent gambling disorder in school adolescents. For further researcher needs to focus on understanding of the students gambling disorder (involvement and addiction), providing intervention targets for the evidence-based design of educational interventions to prevent gambling disorder.

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# **Review on the Dynamics of Biodiversity Conservation and Sustainable Utilization in Ethiopia: Synergies with Global Environmental and Sustainability Issues**

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## **Abstract**

*Dynamics of environmental and sustainability issues, particularly the biodiversity conservation and sustainable utilization of the last twenty years of the country with synergies of ratified multilateral environmental agreements is not well analyzed and summarized. The main aim of this paper is to systematic review of the dynamics of Ethiopian in-situ and ex-situ biodiversity conservation and sustainable utilization of the past two decades and synergies with ratified MEAs. In order to achieve this desk appraisal of different journal articles, UNEP reports, CBD biodiversity outlooks and 20 years Ethiopia national biodiversity report to the CBD (2<sup>nd</sup> -5<sup>th</sup>) and two National Biodiversity Strategic Action Plan of Ethiopia were used as data source. The trend analysis were revealed that the forest coverage, protected area numbers and agro-biodiversity landrace conservation status is in good progress. The forest coverage of the country is shows that oscillated increasing form 3% to fifteen percent, the number of parks also increased from 9 to twenty one with the past two decades. Furthermore, ex-situ conservation of seed accession of endangered, endemic and economically important plant species in gene bank was increased from 45,000 to 75,000. Moreover, plant species have been accessed for a foreign commercial company to implement the Nagoya protocol of access and benefit sharing and interlinked socioeconomic and environmental sustainability. In line with this view, the present review showed that the commitments of the government of Ethiopia in ratification of MEAs, gave guarantees by incorporating its constitution and adopting policies, enacting different laws, establish and re-establishing implementing organs (MEFCC, EBI and EWCA) to enforce the provisions of those laws and policies. However, there is a gape in summarized and tangible document which show the dynamicity due to this researchers and academics were the inventory and map made before three decades. So the government of Ethiopia especially, Minister of Environment, Forest and Climate Change, Ethiopia Biodiversity Institute and Ethiopia wildlife conservation authority should reconsider the problem, plan and take action for inventory and documentation, mapping the biodiversity. In addition, MEAs needs strong negotiation and consultation of expertise, unless it might repeat the history of teff bankruptcy.*

**Key words:** biodiversity, dynamics, MEAs, synergies, bankruptcy

## **1. Introduction**

The concept of environmental and sustainability issue grow from different disciplines, events and debate of parties or actors (Ciegis, 2004). However, the issue come up on the international level debate in the Stockholm United Nations Conference on Human

Environment for the first time (UN, 1972). An eminent provision of the Stockholm Declaration is Principle 21, which stresses the concept of the sovereign right of states to exploit their own resources pursuant to their own environmental policies. After decade the concept is reviewed and properly addressed in the Brundtland Report (WCED, 1987) and stated as “the development that meets the needs of the present without compromising the ability of future generations to meet their own needs” (WCED, 1987). According to Sisay Asefa (2005) the idea has two issues such as the concept of 'needs', in particular the essential needs of the world's poor, to whom overriding priority should be given and the concept of limitations imposed by the change of technology and social organization on the environment's ability to meet present and future needs.

The next core environmental issue conference was held in Rio de Janeiro in June 1992. This declaration describes sustainable development as long term continuous development of the society aimed at the satisfaction of humanity's need at present and in the future via rational usage and replenishment of natural resources, preserving the Earth for future generations (UN, 1992). The key outcome of the Rio Declaration on Environment and Development were Agenda 21 (a blueprint for managing the environment in the 21<sup>st</sup> century), the United Nations Framework Convention on Climate Change, the Convention on Biological Diversity and the Statement of Forest Principles which stated a set of principles to underlie the sustainable management of forests worldwide (UN, 1992).

In September 2000 at the Millennium Summit held in New York, world leaders agreed on the Millennium Development Goals, most of which have the year 2015 as a time frame and use 1990 as a benchmark. This declaration has 8 goals, among of this goal 7 was directly enforced, and parties to ensure environmental sustainability at the end of 2015. After two years the World Summit on Sustainable Development (WSSD) held in Johannesburg, then reviewed the strength and weakness of agenda 21 implementation and strengthen global commitment to sustainable development. Recently, the world shift to end poverty by setting sustainable development goals of for next 15 years, beginning with a historic pledge on 25 September 2015.

Ethiopia is one of the top twenty five biodiversity-rich countries in the world, and hosts two of the World's thirty-four biodiversity hotspots, namely: the Eastern Afromontane and the Horn of Africa hotspots (WCMC, 1994; EBI, 2014). On the other hand, the country faces numerous environmental challenges such as deforestation, soil erosion, loss of biodiversity, and declines in soil fertility and water quality (Bekele, 2008; EPE, 1997; Teklu Gebretsadik, 2016) and these problems pose significant risks, since natural resources are the foundation of the economy (Alemayehu et al., 2013; Abayineh Amare and Simon Belay, 2015).

Due to these paradoxes, Ethiopia is an active member of the international community and is involved in the formulation, ratification and adoption of international environmental soft laws (IBC, 2004; EBI, 2014). Among of those Convention on Biological Diversity, Convention on the Conservation of Migratory Species of Wild Animals, International Treaty on Plant Genetic Resources for Food and Agriculture, Nagoya protocol of access and benefit share of

biological resources, United Nations Framework Convention on Climate Change, and United Nations Convention to Combat Desertification were the most prominent and ratified multilateral environmental agreements by government of Ethiopia that related to biodiversity conservation and sustainable development (Sisay Asefa, 2005; Mulugeta Getu, 2010).

Subsequently, the government of Ethiopia guarantees an environmental and natural resources issues by incorporating into its constitution (FDRE, 1995) and created an enabling situation by establishment of different organizational bodies, like, Minister of Environmental, Forest and Climate Change (the former EPA), Ethiopian Biodiversity Institute (the former IBC), and Ethiopian Wildlife Conservation Authority with its fully mandates and duties to act and implements the endorsed international conventions, treaty and laws (EPA, 1997; Sisay Asefa, 2005; Mulugeta Getu, 2010; EBI, 2015).

However, the dynamics of environmental and sustainability issues, particularly the biodiversity conservation and sustainable utilization of the last twenty years of the country is not well studied and analyzed. Thus, this work is initiated to review the dynamics of Ethiopian *in-situ* and *ex-situ* biodiversity conservation and sustainable utilization of the past two decades and synergies with ratified multilateral environmental agreements.

## **2. The Methods**

In order to achieve the aim of the review on the dynamics of biodiversity conservation and sustainable utilization in Ethiopia: Synergies with global environmental and sustainability issues of the past 20 years, secondary data were collected from desk appraisal of different journal articles, UNEP reports, CBD biodiversity outlooks and 20 years Ethiopia country biodiversity report for CBD (2<sup>nd</sup> -5<sup>th</sup>) and two National Biodiversity Strategic Action Plan of Ethiopia. In addition to this, primary data were collected from purposefully selected key informants of the Ethiopia Biodiversity Institute by conducting interviews through DPSIR analysis. Finally, quantitative and qualitative data were analyzed and reviewed biodiversity conservation dynamics and sustainable utilization of the past two decades and synergies with global environmental and sustainability issues.

## **3. Result and Discussion**

### **3.1 The Core Elements of Global Environmental and Sustainable Regimes**

#### **3.1.1 Concepts of Sustainable Development**

A brief history of the concept, along with the interpretive differences and the common ground in definitions, goals, indicators, values, and practice follows. Taken together, these help explain what is meant by sustainable development (Robert et al., 2005). The concept of sustainable development thinking is widely recognized to have its origins in the 1972 UN conference on the human environment (UN, 1972). While, the essence of the concept of it is clear enough, the exact analysis and definition of sustainable development has caused strong discussions (Ciegis, 2004). According to Ciegis (2004) the definition problem occurs in the dual nature of the sustainable development concept, covering development as well as sustainability. For instance: the World Bank described it with a concise phrase “sustainable development is development that continues” (World Development Report, 1992). The Rio

declaration described it as a long term continuous development of the society aimed the satisfaction of humanity's need at present and in the future via rational usage and replenishment of natural resources, preserving the Earth for future generations (UN, 1992).

Moreover, the well-known and mostly accepted definition of sustainable development was created in Brundtland commission's report "Our Common Future" (WCED, 1987). It postulates that "development that meets the needs of the present without compromising the ability of future generations to meet their own needs" (WCED, 1987). Ciegis et al., (2009) indicated that the principle of Brundtland's statement is fair distribution of natural resources, both among different generations and among the present generation of people from the first, the second, and the third world, and finding a positive consensus between the environmental, social, and economic dimensions of environmental. The definition presented in the report of the Brundtland commission contains two essential concepts (Sisay Asefa, 2005).

- The concept of needs, especially the needs of the world's poor, which should be given priority;
- The idea of limitations arising from the effect of technologies and social structures on the ability of the environment to satisfy present and future needs.

In broad sense sustainability is an integrative concept which considers environmental, social, and economic aspects as the three fundamental dimensions (WCED, 1987). These three dimensions have been symbolized as pillars of sustainability, which reflect that responsible development requires consideration of natural, human and economic capital of the planet, people, and profits (Schoolman et al., 2012). However, approaches aiming to balance these three pillars have been criticized since, controversial interests and priority of different stakeholders, governments, donors frequently conflict within a single pillar or integration ratio of sustainability (i.e., Social conflicts; economic conflicts; conflicts over environmental issues; or preferences), and therefore balancing their interests regarding one pillar is sometimes more in the foreground than to balance social, economic, and environmental aspects (Kyburz et al., 2006).

### 3.1.2 Multilateral Environmental Agreements

The foundation for global environmental governance was laid down at the Stockholm conference on the Human Environment (1972). This was the first international forum addressed global environmental challenges. Before this developmental issues raised separately and controversy (Sisay Asefa, 2005). The Stockholm Conference was set the phase of global environmental assessment, and for addressing the links between environment and development (UN, 1972). It was therefore an important milestone in drawing attention to the need for holistic and integrated development planning as well as addressing inter-generational equity issues. Another landmark in the history of environment and sustainable development is the World Conservation Strategy (IUCN, 1980). This strategy asserts that conservation cannot be achieved without developing that will alleviate the unhappiness of the hundreds of millions of people living in poverty (IUCN, 1980) and gained worldwide attention through the report of the World Commission on Environment and Development

(WCED) entitled “Our Common Future”, then known as the “Brundtland Report”(WCED, 1987).

Furthermore, the Rio conference was turning point in the global environment and development discourse due to the facts of its outcomes (UN, 1992). The Rio Declaration has a set of 27 principles on the environment and development agenda. Agenda 21 (a global plan of action addressing environment and development concerns in 21<sup>th</sup> century), the Forest Principles (a non-binding statement of 15 principles for the sustainable management of forests), The United Nations Framework Convention on Climate Change (UNFCCC) and The Convention on Biological Diversity were the most important environmental and natural resource management stratagem outcomes of the 1992 Rio Earth Summit (UN, 1992).

Three decades later of the Stockholm Conference, in 2002 World Summit on Sustainable Development held in Johannesburg, South Africa. The declarations was summarized the path taken from the earth summit to the WSSD, highlights present challenges, underlines the importance of multilateralism, stressing the need for implementation, and reaffirms the international commitment to the goal of sustainability that was made in the earth summit ten years earliest (WSSD, 2002). Furthermore, the issues of sustainable development were more emphasized through the integrity of three pillars, economic, social, and environmental protection at local, regional and global level. It also outlined the characteristics of sustainable development as multilevel policy action, a long term perspective and broad participation it simultaneously gave key points to building a sustainable further, such as decreasing world poverty, empowering women and mainstreaming biodiversity (WSSD, 2002).

The path is shifted to the holistic approach of development in September, 2015 world leaders and parties were fixed new development aims to end poverty and hunger by 2030 and named it Sustainable Development Goals. SDG has seventeen goals, build on the successes of the Millennium Development Goals, while including new areas such as climate change, economic inequality, innovative, sustainable consumption, peace and justice, among other priorities. The goals have interconnected one another. The new Goals are unique in that they call for action by all countries, poor, rich and middle-income to promote prosperity while protecting the planet. They recognize that ending poverty must go hand-in-hand with strategies that build economic growth and addresses a range of social needs, including education, health, social protection, and job opportunities, while tackling climate change and environmental protection (UNDP, 2016).

Ethiopia is an active member of the international community and it involves in the formulation and adoption of international environmental soft laws and multilateral environment agreements. Hence, Ethiopia is one of the eight world’s centers of origin and diversity of agricultural products (Vavilov, 1951) mega-biodiversity country. As the result of this Ethiopia has been ratified many multilateral environmental agreements, among of those the most biodiversity conservation and sustainable use related are shown in Table 1.

Table 1. Biodiversity conservation related MEA

<b>Multilateral Environmental Agreements</b>	<b>Year of ratified</b>	<b>Implementing organ</b>
Convention on Biological Diversity	1994	EBI
International Treaty on Plant Genetic Resources for Food and Agriculture	2003	EBI
Cartagena Protocol on Biosafety	2004	MEFCC
Nagoya Protocol on ABS	2014	EBI

### **3.3 Trend of Biodiversity and Sustainable Use in Ethiopia for the Past Two Decades**

#### **3.3.1 Legal Framework and Institutional Development**

A number of biodiversity conservation initiatives have arisen as a result of long standing concerns over environmental degradation and observed losses in biodiversity, including the Ramsar Convention in 1971, World Heritage Convention in 1972, Convention on Migratory Species (Bonn Convention) in 1979, and the Convention on Biological Diversity (CBD) in 1992, Nagoya Protocol on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits (UN, 1972; CBD, 1972; Nagoya Protocol, 2011) and others.

From the Stockholm Conference on the Human Environment (1972) up to the present, Ethiopia ratified many multilateral environmental agreements and give guarantees by incorporating the principles and objectives of international soft laws in its constitution (FDRE, 1995). Article 44 promises “the right to a clean and healthy environment,” while, Article 43 initiates “the right to sustainable development.” (Constitution of FDRE, 1995). Additionally, Articles 89 and 92 states about requiring national policy and government activities to be compatible with environmental health. Article 89 further obliges the government to ensure sustainable development, work for the common benefit of the community, and promote the participation of the people, including women, in the creation of national development policies and programs (Constitution of FDRE, 1995). Moreover, according to Article 91, the government is duty-bound to protect and support cultures, traditions, natural endowments, and historical sites and objects (Constitution of FDRE, 1995).

Like the constitution, the Environmental Policy of Ethiopia prioritizes improving the well-being and quality of life of Ethiopians and the promotion of sustainable development. Implementation strategy is the effective management of natural and environmental resources from the federal level down to the wordas and community levels (EPA, 1997). The overall goal of environmental policy of Ethiopia is "to improve and enhance the health and quality of life of all Ethiopians and to promote sustainable social and economic development through sound management and use of natural, human-made and cultural resources and the environment as a whole so as to meet the needs of the present generation without compromising the ability of future generations to meet their own needs" (EPA, 1997).

Subsequently, other environmentally related policies, laws, organizational institutions were adopted and established (Sisay Asefa, 2005; Mulugeta Getu, 2010; A.N. Ayana et al., 2012).

### **3.3.2 Ministry of Environment Forest and Climate Change**

The concern of the implementation of international environmental law may be fall on to those of three branches of the government (Sisay Asefa, 2005), however; immediate responsibilities will rely on the executive branch. Presumably, the Ministry of Environment Forest Climate Change (the former EPA) is the primary one and also other institutions those are by their very nature auxiliary of environmental matter expected to have an intrinsic responsibility regarding implementation (Mulugeta Getu, 2010).

In the past two decades the government of Ethiopia has been established different environmental organs with their responsibility (Ayana et al., 2012). The most concerned about this issue are Ministry of Environment, Forest and Climate Change the previously named Environment Protection Authority (EPA, 1997), is a leading national environmental protection and climate change issues of the country. According to the proclamation (803/2013) the original mandate it has a number of responsibilities and functions in cooperation with other sectoral institutions.

Furthermore, the proclamation (803/2013) stated that MEFCC has powers and responsibilities to take part in negotiations of international environmental agreements and, as appropriate, initiate a process of their ratification and formulates and initiate and coordinate the formulation of policies, strategies, laws and programs to implement international environmental agreements to which Ethiopia is a party; and upon approval, ensure their implementation.

With this frame MEFCC is sharing some objectives in different sectors with specific responsibility (MEF, 2013). For instance: Ministry of Agriculture and Natural Resource (function in relation to natural resource conservation vis-a-vis agricultural practice which mean it has certain extent in connection with biodiversity conservation and regulating seed and grant Plant breeding rights, regulating hazardous chemicals in connection with agricultural practice), Ministry of Tourism and Cultures especially- Ethiopia wildlife Conservation Authority (EBI, 2015).

### **3.3.3 Ethiopia Biodiversity Institute**

Ethiopia Biodiversity Institute previously Institute of Biodiversity Conservation is one of semi-autonomous institution authorized to implement the Convention on Biological Diversity, the International Treaty on Plant and Genetic Resources for Food and Agriculture and the Nagoya protocol (Proclamation No. 381/2004; IBC, 2009; EBI, 2015) to ensure that country's biodiversity and the associated community knowledge and are properly conserved and sustainably utilized, and the country and its communities get a fair and equitable share of the benefits arising from utilization. The institute has 27 duties and responsibilities. Besides the conservation and sustainable use of biodiversity, EBI have a mandate to manage the annually allocated recurrent and capital budgets for biodiversity conservation and ecosystem

rehabilitation, find funding and coordinate the implementation of Global Environmental Facility small grant projects fund with collaborating GEF partner's (EBI establishment, regulation No 291/2013).

Furthermore, to implement the national and international duties and responsibility effectively the institute was rearranged and reorganize the internal process differ time. Currently, the Institute consists of five key processes (Directorates), namely: Crop and horticulture Biodiversity directorate, Animal Biodiversity directorate, Microbial Biodiversity directorate, Forest and rangeland plants Biodiversity directorate and Genetic Resources access and benefit sharing directorate at the headquarters and the Institute establishes seven additional biodiversity centers in Malta, Hawasa, Harare, Mekele, Goba, Bahirdar and Asosa to enhance the accessibility of biodiversity conservation and research (EBI, 2014).

### 3.4 Trends in Change in Forest Cover and Conservation

The trends of forest cover of Ethiopia are highly related to the history of the country and the population dynamics of the country (A.N. Ayana et al., 2012; Keenan et al., 2015). The forest cover of Ethiopia has been diminishing continued from time to time. About 35 - 40% of Ethiopia's land area was covered with high forests before 1950, and it was estimated to be 16% in the early 1950's, 3.6% in 1980's, 2.7% in 1989 and less than 2. 3% in 1990 (EFAP, 1994). According to EBI (2014) and MDG (2001) as a result of the activities conducted by the government of Ethiopia, there is possibility to reverse the declining trend of forest cover and increase forest cover to 15 per cent by 2014 as indicated in Figure 3.

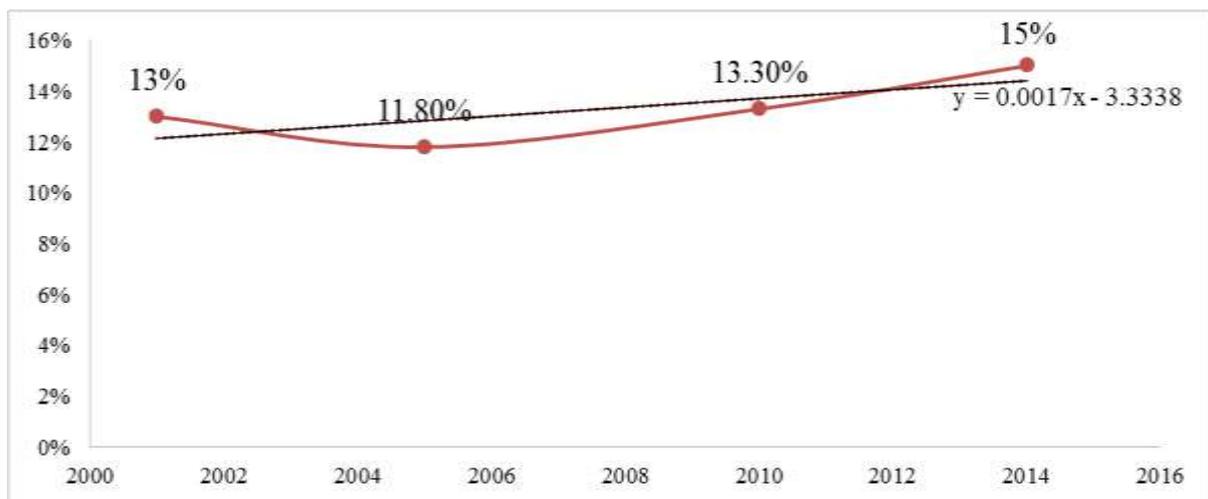


Figure 3. Trends in change of forest covered of Ethiopia in the past 20 years

### 3.5 Trend of *ex-situ* and *in-situ* of Biodiversity Conservation in Ethiopia

Biodiversity is the variety of life forms of the earth globe (Leadley et al., 2010). It encompasses the whole range of mammals, birds, reptiles, amphibians, fish, insects and other invertebrates, plants, fungi and micro-organisms. It includes the genetic and morphological variability within a species and the assemblages of plants, animals and microorganisms which together form their ecosystems and natural habitats (CBD, 1992). In Ethiopia, activities linked to conservation and sustainable use of biodiversity and safeguarding fair and equitable

sharing of the benefits accrued from the use of the country's genetic resources are being conducted aggressively *in-situ* and *ex-situ* approaches (IBC, 2009; EBI, 2014).

The *Ex-situ* conservation as complementary to the rehabilitation and restoration of degraded ecosystems and the recovery of threatened species was started 1976 with the establishment of IBC the former plant genetic resource center (IBC, 2005). *Ex-situ* conservation activities, typically focus on high socioeconomic value and internationally important crop types that are considered to be facing immediate danger of genetic erosion (IBC, 2007). The collections held at EBI the former IBC gene bank is mostly of indigenous landraces some of which are not seen today in farmlands (IBC, 2005; Bayuse Tsegaye and Trygave, 2006). The collections of root crops, medicinal plants, weedy species, and wild relatives of cultivated species are still relatively inadequate within the existing *ex-situ* collections (IBC, 2009; Hintum et al., 2000; EBI, 2014).

The desk review of four Ethiopia country biodiversity report (2<sup>nd</sup>- 5<sup>th</sup>) for CBD showed that the *ex-situ* conservation trend of Ethiopia in the past 20 years were increased (IBCR, 1999; IBC, 2004, 2009; EBI, 2014). Currently, about 74,000 seed accessions of more than 200 plant species of crops, medicines, forage and pasture plants were collected from different agroecological zone of Ethiopia and conserved in the cold room gene bank and conservation status of plant accession has been changed from 45,000m and 74,000 within twenty years. About 90% of the total germplasm holdings in the gene bank consist of field crops. The total collection is composed of cereal seeds, pulses, oil crops, spices, and species of medicinal and industrial value (EBI, 2014). Aside from the plant accession the gene bank also hold 381 species of microbial genetic resources, and 375 semen of threatened breeds of domestic animals is illustrated in Figure 4 & 5 respectively. The type and nature of collection missions and number and lists of plant species and landraces collected have been documented in manuals and reports. Regular monitoring activities are performed for seed viability (EBI, 2014).

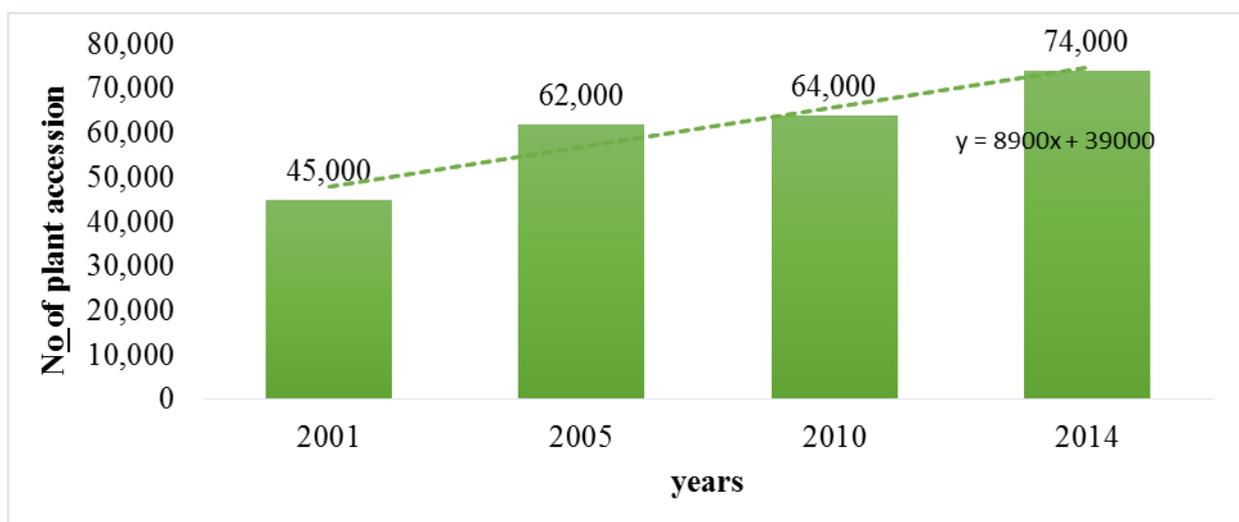


Figure 4. Trend of accession of plant genetic resource conservation in gene bank of EBI

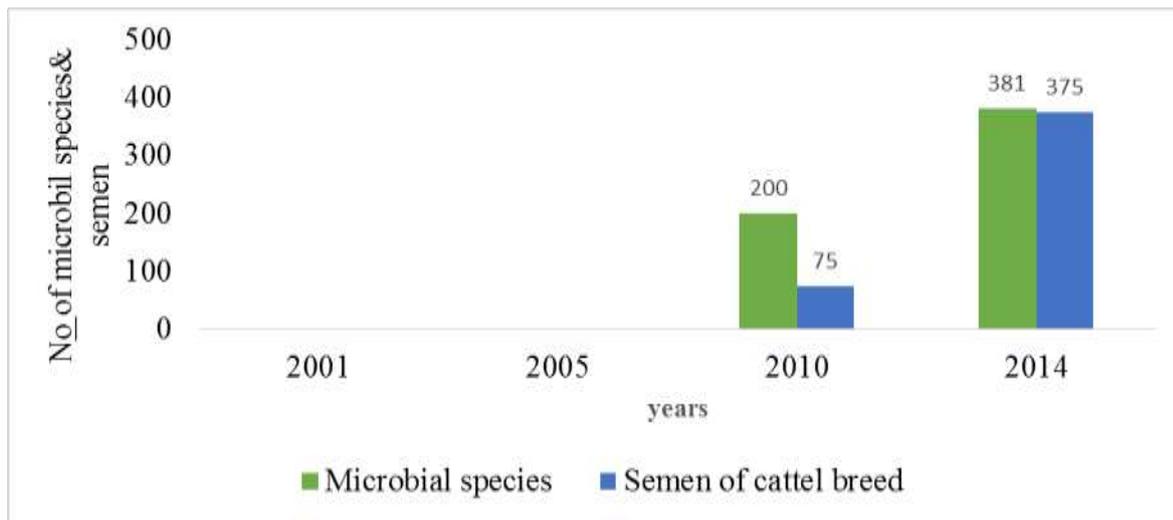


Figure 5. Trends of the past two decades microbial and semen of cattle breed conservation in EBI gene bank

Regarding *in-situ* conservation status the second report was not clearly stated rather it was focused on the inventory and survey of the biodiversity (IBCR, 2001). However the third report gives more emphasis and stated within the period of the report twelve *in situ* conservation sites were established, followed an inventory and eco-geographic survey research of second report and about 400 farmers' variety comprising 22 crops have been conserved in the 12 *in-situ* conservation sites. Whereas, the fourth country report was more stressed on *ex-situ* conservation and NPSAP achievement (IBC, 2009)

On the other hand the recent fifth report revealed that 8 *in-situ* conservation sites were established to conserve enset, durum wheat, teff, coffee, medicinal plants and forest plant species (Amberber et al., 2014). In addition, six community gene banks, botanical gardens and bio-parks have been established in different parts of the country (EBI, 2014). In addition to these three *in situ* sites have been established to conserve alkaline water ecosystems which contain unique micro-algal biodiversity at Lakes Chitu, Arenguade and Killole within this report time. Similarly, thirteen *in-situ* conservation sites have been established for cattle, sheep, goat and chicken breeds (EBI, 2015).

### 3.6 Trends of Protected Area in Ethiopia

The trend analysis of protected area indicated that in the past two decades, Ethiopia has been established 21 national parks, two sanctuaries, three wildlife reserves, twenty control hunting areas, six open hunting areas and six community conservation areas as indicated in Figure 6. According to Alemneh Amare (2015) only 11 national parks and one Wildlife Sanctuaries are managed and governed by the federal government, the other types of protected area are managed and governed by regional governments.

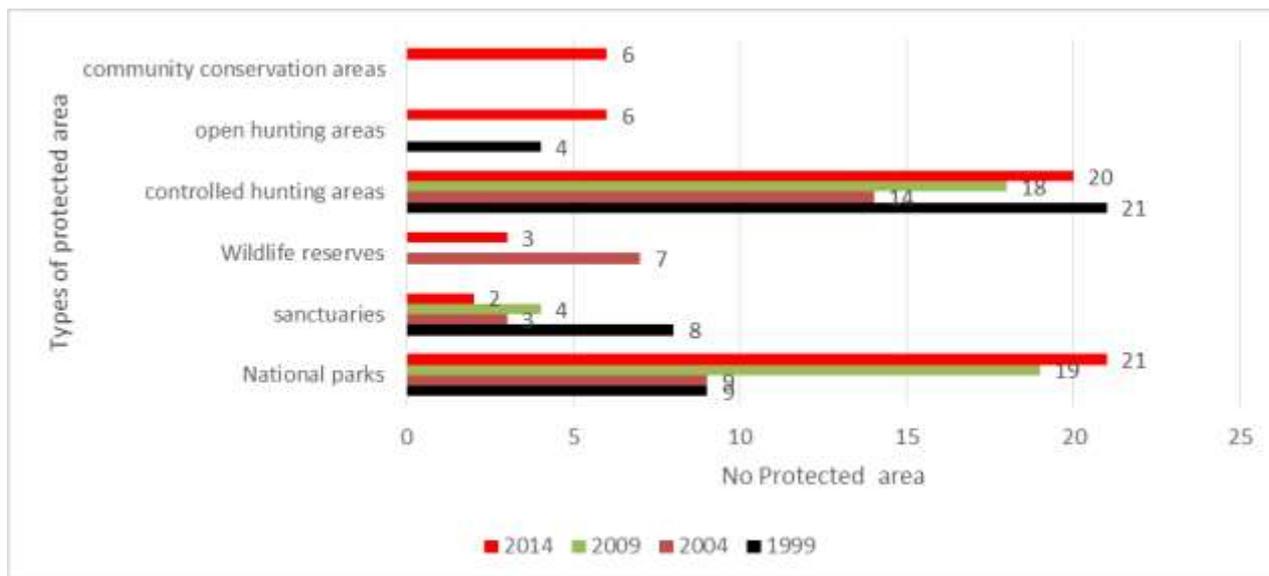


Figure 6. Trends of the past two decades change of protected area in Ethiopia

### 3.6 Globally SDG Goals, Targets & Indicators of Biodiversity Conservation

The Sustainable Development Goals are a new entrant in the policy space aimed at contributing to the objectives of the multilateral environmental agreements in general and the biodiversity agenda in particular (UN, 2016). Of the 17 sustainable development goals, two goals are state about biodiversity: Goal 14 (conserve and sustainably use the oceans, seas and marine resources for sustainable development) and Goal 15 (protect, restore and promote sustainable use of terrestrial ecosystems, sustainably manage forests, combat desertification, halt and reverse land degradation and halt biodiversity loss) (UN, 2016). However, all goals are interlinked and interdependent (**Appendix 1**). Even though, convention on biological diversity is mentioned in the preamble to the 2030 Agenda the wording of Goals 14 and 15 reveals the need to link with a large number multilateral environmental agreements and other goals and targets as illustrated in Appendix 1. On the other hand, interlinking of those goals with Aichi biodiversity targets provides an opportunity to bring biodiversity into the mainstream of decision making (CBD, 2014).

The NBSAP of Ethiopia was incorporated Convention on Biological Diversity and International Treaty on Plant Genetic Resources for Food and Agriculture principles and objective. By giving more emphasis for Aichi 2020 biodiversity targets (EBI, 2015). Aichi Biodiversity Targets developed from five strategic goals, such as: Strategic Goal A: Address the underlying causes of biodiversity loss by mainstreaming biodiversity across government and society, Strategic Goal B: Reduce the direct pressures on biodiversity and promote sustainable use, Strategic Goal C: To improve the status of biodiversity by safeguarding ecosystems, species and genetic diversity, Strategic Goal D: Enhance the benefits to all from biodiversity and ecosystem services and Strategic Goal E: Enhance implementation through

participatory planning, knowledge management and capacity building. Each strategic goal has its own targets (CBD, 2013).

However, **the** current National Biodiversity Strategic Action Plan was prepared based on after detail discussion of different stakeholders and analysis of the existing situation of the country biodiversity conservation, level of threats, government priorities (CRGE, GTP), existing capacity, lessons from the previous implementation experience on the pillars of the CBD, and associated global provisions of the Aichi biodiversity targets on 2011-2020. Furthermore 18 national biodiversity targets, 41 indicators, 59 actions, implementing period and implementer agency based on the CRGE and GTP.

### **3.7 Success and Challenges of Environmental and Sustainability Regime in Ethiopia**

Historical evidences indicated that the reasons for century-old lack of sustainable environmental management tradition is mainly related to the instability of successive governments, their rapidly changing political economy and non-participatory top down development programs. However, in the past two decades the history was changed and Ethiopia was ratified most of the multilateral environment agriments and tried to implement by enacting the law of land. It is in line with Sisay Asefa (2005). Starting from the constitution, it is true that environmental rights are protected and the country has tried to establish a system in all environmental aspects such as adopting policies, enacting different laws and re-establishing institutions to enforce the provisions in those laws and policies. Despite of these efforts, the present review asserted that environmental protection in Ethiopia remains in its infancy due to a focus on short-term economic gain, lack of commitment, under-staffing and lack of capacity in many offices, lack of effective enforcement mechanisms, duplication of objective and tasks and loose coordination among responsible agencies. Bekele (2008); Mulugeta Getu (2012) and Teklu Gebretsadik, (2016) were reported similar result.

The DPSIR analysis result asserted that political obstacle, institutional barriers, socioeconomic and cultural problem and policy related impediment were the major deriving factors to exhibit a dynamic of biodiversity conservation and sustainable utilization in Ethiopia. Abayineh Amare and Simon Belay (2015) also reported that the institutionalization and deinstitutionalization process was co-shaped by a complex interplay of structural factors such as national political orientation and economic priorities, environmental calamities; and the dynamics in the global environment and biodiversity related discourses. Georgina et.al., (2007) suggested that Deriving force, Pressure, State, Impact and Response analysis before the Institutions and Ministers were established and objectives are set, since DPSIR analysis helpfully to ensure the overall goal is being considered fully and help to understand the integration and coordination among concerned environmental organs; simultaneously international and national issues.

The interview discussion with EBI experts result indicated that the main pressures of biodiversity conservation of Ethiopia are habitat conversion, unsustainable utilization of biodiversity, climate change, pollution, replacement of local variation and breeds,

encroachment of invasive species and population density as indicated Figure 2. This result is in line with Wangchuk (2002); Abayineh Amare and Simon Belay (2015). Gabrielsen and Bosch (2003) also describe, pressures are factors inducing environmental change by the release of substances (emissions), physical and biological agents, the use of resources and the use of land by human activities. In addition, in agriculture sector alone, the growth achieved between the years 2005 and 2010 was due to 40% yield increment and 15% agricultural land expansion (EBI, 2014).

Moreover, this scenario will continue to affect ecosystems and biodiversity of the country (EBI, 2014) particularly the biodiversity of protected area highly affected and reduce its sustainability because the condition will favor encroachments of intensive alien species (*Prosopis juliflora*), parthenium weed (*Parthenium hysterophorus*), water hyacinth (*Eichhornia crassipes*), Lantana weed (*Lantana camara*), Acacia species) into the protected area in addition to expansion of the community to protected area. The similar case was reported by Mengistu et al., 2017 specifically the eastern part of Ethiopia protected area; Awash and Yangudi Rassa National Park and Aledoghi wildlife reservoir were highly affected and stressed by disturbance of the local community.

The DPSIR analysis indicated that currently the government of Ethiopia has different responses (decision maker and socioeconomically based) to conserve and sustain utilization of biodiversity of the country by synergies the global environmental and sustainable issues. The prominent are restoration of ecosystem, reforestation, *In-situ* and *ex-situ* biodiversity conservation, develop and implementing of CRGE, NBSAP, GTP and ratification of different MEAs like Nagoya protocol. Maxim et al., (2009) reported that if countries planned with synergies of global scenarios can reverse the adverse impacts.

### **3.8 Sustainability Goals, Targets and Indicator of Biodiversity Conservation in Ethiopia**

The present review asserted that Ethiopia was developed different national development plans with its goals, targets, and indicators for different sectors for the past two decades by aligning with national regimes and county police. Environmental protection and biodiversity conservation has been given due priority in Ethiopia's development plans, including the SDPRP, PASDEP and the GTP I & II because it plays a key role in ensuring sustainable development. Subsequently, the Ethiopian biodiversity institute was prepared 2 NBSAPS aligns with CBD and Aichi Biodiversity Targets of 2010-2020 (IBC, 2009; EBI, 2015). However, the efficiency and effectiveness of the plans had its own successes and failures. It agrees with the result of A.N. Ayana et al., (2012). The major achievements of the past two decades plans were mobilizing communities, large-scale soil and water conservation activities and tree planting. While, absence of coordination among implement organs in federal and regional levels and duplication of objectives and lack of exclusions of mandate were the major challenges. It line with many studies (Abayineh Amare and Simon Belay, 2015; A.N. Ayana et al., 2012).

Regarding the inter-linkage and interconnection of the goals with targets and indicators the present review revealed that the first national biodiversity strategic action plan was prepared to achieve Millennium Development Goal seven (Ensure Environmental Sustainability development) and targets 7. A: integrate the principles of sustainable development into country policies and programmes and reverse the loss of environmental resources. Subsequently, IBC/EBI teams were set four priority strategic goals and 23 main actions and 85 indicators, but the main gap of this plan was an absence of target in each goal. Bowen et al., (2017) state targets can refer to multiple goals and needs mechanisms for accountability to ensure that actions are fulfilled and targets are met.

On the other hand, the current NBSAP is incorporated the existing situation of the country biodiversity conservation, government priorities (CRGE, GTP I&II), the lessons of the previous NBSAP implementation and associated with global provisions of the Aichi Biodiversity Targets on 2011-2020. The prepared document has five strategic goals which aligning with goal 14 and 15, target 15.5 of SDG (Agenda 2030) and Aichi Biodiversity Targets of 2010-2020. It is indicated that interlinking and interconnecting of national goals with global biodiversity and sustainability issue goals and targets.

Furthermore, the NBSAP encompasses 18 targets, 41 indicators, 59 actions, implementing period and responsible bodies as indicated. It is in line with Aichi Biodiversity Targets on 2011-2020 set 20 targets (CBD, 2010). However, the current NBSAP missed the setting of separate goals, targets and indicators of agro-biodiversity conservation through a mix of *in-situ* and *ex-situ* programs and the issue of biopiracy nexus bioprospecting.

## **4. Conclusion and Recommendation**

### **4.1. Conclusion**

Reviewing the trend of biodiversity conservation history, dynamics and its synergies with global sustainable development issue is important to know the status and develop conservation and sustainable utilization strategies of the country. In line with this view, the present review showed that the commitments of the government of Ethiopia in ratification of MEAs, gave guarantees by incorporating its constitution and adopting policies, enacting different laws, establish and re-establishing implementing organs (MEFCC, EBI and EWCA) to enforce the provisions of those laws and policies.

The trend analysis of Ethiopia biodiversity conservation and sustainable utilization, specifically the forest, protected area and agro-biodiversity indicated that there is good progress in *ex-situ* gene bank crop landrace conservation and number wise of parks. The forest coverage of the country is currently increased to fifteen percent, the number of protected areas increased from 9 to twenty one with the past two decades. Furthermore, *ex-situ* conservation of seed accession of endangered, endemic and economically important plant species in gene bank is increased from 45,000 to 75,000. About 160, 000 accessions of various crop species have been distributed to users for the purpose of sustainable utilization by crop improvement and researches.

Moreover, three plant species (*Dichrostachys cinerea*, *Osyris quadripartitum* and *Withania somnifera*) have been accessed for a foreign commercial company for the purpose of producing essential oils, cosmetics and herbal medicine to implement the Nagoya protocol of access and benefit sharing and interlinked socioeconomic and environmental sustainability. However, multilateral environmental agreement needs strong negotiation and consultation of expertise, unless it might repeat the history of teff bankruptcy.

Despite conservation efforts, the biodiversity of Ethiopia continues to decline due to increased population growth, increased consumption, and unsustainable utilization of ecosystem, drought, land degradation, invasive alien species and climate change. Besides, to reverse the impact of the decline of biodiversity and achieving sustainable development in 2030 the government of Ethiopia restructured and re-institutionalized the sector, prepared and starting implementing of CRGE, GTP and NBSAP. The prepared NBSAP has five strategic goals which aligning with goal 14 and 15, target 15.5 of SDG (Agenda 2030) and Aichi Biodiversity Targets of 2010-2020. Furthermore, it has 18 national biodiversity targets, 41 indicators, 59 actions, implementing period and implementer agency based on the CRGE and GTP. However, the prepared document was missing the issue of agro-biodiversity conservation, biopiracy and bioprospecting as goal, target and indicators.

#### **4.2. Recommendations**

The following main recommendations are drawn from the review are:

- Due to the mega-biodiversity, nature of the country should develop plans and incorporate into NBSAP to the control of biopiracy and promoting bioprospecting to ensuring sustainable development and equitable benefit sharing.
- The trend analysis of biodiversity needs tangible data, however, biodiversity inventory and mapping was made before three decades. So the government of Ethiopia especially, Minister of Environment, Forest and Climate Change, Ethiopia Biodiversity Institute and Ethiopia wildlife conservation authority should reconsider the problem and plan and to take action for inventory and documentation, mapping the biodiversity.
- The trend of decentralizing the management of protected areas is good. However, the federal government should work on capacity building and integrating the three pillars of sustainable development and participate the local community in ecosystem management and benefit sharing programs

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# Networked Governance for Policy Implementation in selected Sectors of Oromia Regional State, Ethiopia

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## Abstract

*Policy implementation is the process of conducting government decisions and it should lead to policy outcomes that largely benefit the society. Network coordination is important since it helps the organizations achieve their goals. The objective of the study was therefore, to assess the role of the networked governance for policy implementation in bureau-level sectors of Oromia Regional state. In this survey study, sectors at the Oromia regional state administration-level were selected using purposive sampling technique and 110 civil servants were also selected from the sectors using simple random sampling technique. The analysis of the study was descriptive that combined both qualitative and quantitative data. The study identified that coordination among the regional sectors has not been properly established though there are efforts. It was learnt that the sectors' performance is poor in terms of both the interaction frequency and quality of coordination and that the sectors are not responsive in issues related to collaboration. The few networks that existed in the sectors were also created top-down, formal and closed. So, there is poor coordination among the sectors to implement policies. Finally this paper recommends that coordination and collaboration strategies need to be strengthened through a daily, weekly, monthly, quarterly and yearly monitoring and evaluation efforts of experts in various sectors of the regional state; informal and open type of networks aimed at innovation and improvement of public services could be encouraged and due attention should be given for interactive governance of networks.*

**Key words:** Networked governance, Policy implementation, Coordination, Oromia, Ethiopia

## 1. Introduction

Policy implementation can be thought as the process of conducting government decisions. Policy implementation process should also lead to policy outcomes that largely benefit the society. The policy implementation process comprises deeds on behalf of the policy, whereas policy outcomes refer to the final consequence on the policy problems. Ottoson and Green (1987) in DeGroff and Cargo (2009) suggest that “implementation is an iterative process in which ideas, expressed as policy, are transformed into behavior, expressed as social action” (p. 362). According to Paudel (2009) policy implementation can be conceptualized as carrying out, accomplishing, fulfilling, producing or completing some activity.

Pressman and Wildavsky (1973) in Paudel (2009) explain it as a relationship to policy as laid down in official documents. According to them, implementation of policy could be viewed as

a method of interaction between the setting of goals and actions geared to achieve them. Policy implementation also encompasses those actions by public and private individuals or groups that are directed at the achievement of objectives set forth in policy decisions. The social action transformed from the policy is typically aimed at social betterment and most frequently manifests as programs, procedures, regulations, or practices (DeGroff and Cargo, 2009).

Lewis et.al (2007) states that coordination between organizations and different parts of an organization help the organizations achieve their goals. Coordination should also be done without interfering with other organization's internal operations. Its cost should not exceed the benefits it offers. Integrating the actions of an organization comprises controlling and coordinating the exchange of information, funds, and activities among members of organizations and teams. Organizational structures usually separate staff members of an organization into diverse departments but integration plays the role of coordinating the activities of different teams, departments and organizations. Networked governance is considered as a mechanism of coordination between different sectors. Policy scientists know that implementation entails coordinating action across various institutional actors and implementers (O'Toole, 2000) in DeGroff and Cargo (2009).

Oromia regional state is implementing different policies, programs, projects and initiatives in all its public institutions. The regional state implements the policies, programs, projects and initiatives to satisfy the increasing demand of the public in the regional state by improving the performances of public institutions. In the contemporary world, public organizations need to improve the performance of their organizations by implementing public policies and programs being coordinated and networked. They must provide services with more value added by applying benchmarking and organizational learning. In this study, the intention is to bring together the major insights presently available from policy implementation and networked governance theories.

Studies on networked governance and public policy implementation are scanty. Steinkamp (2013) focused on governance models of international networks. Other local studies (example, Abebe, 2015; Wassie and Butterfield, 2016; Fenta, 2007; and Abenezer, 2015) focused on networking at community level and at local governments. This study focuses on the practice of networked governance for implementation of policies in regional-level sectors in Oromia regional state. Hence, there is no any comprehensive research conducted concerning the implementation of policies and networked governance in Oromia regional state. This study, therefore, seeks to examine the role of the networked governance in policy implementation in bureau-level sectors of regional state of Oromia. The specific objectives of the study are:

- To examine the status of policy coordination in public sector of the bureau-level sectors of the regional state.
- To assess the perception of employees about the team work and trust in their organizations in the region.

- To examine the link between policy coordination and implementation.
- To identify the major factors that affect networked governance and policy implementation in the bureau-level sectors in the regional state.

## **2. Review of Related Literature**

### **2.1. Theories of Policy Implementation**

Policy implementation is identified as a separate phase in the policy process. It is also considered as a sole chapter that represents the alteration of a policy proposals and anticipations to deeds that are directed at solving societal problems. According to DeGroff and Cargo (2009), implementation could also be described as the activities of many echelons of bureaus, institutions, organizations, and their members and is affected by different circumstances all the way through. Fullan (2007) in Cerna (2013) remarks that various efforts of governments to bring about change in their respective organizations are unsuccessful due to absence of distinction between sources of change and means of influencing the causes of change.

Mazmanian and Sabatier (1983: 20) in Cerna (2013:17) and Pressman and Wildavsky (1973) cited in Paudel (2009) explained implementation as “the carrying out of a basic policy decision. They explicated it in connection with the set in authorized government documents and as an approach of interaction between the laying down of objectives and activities geared to attain them. We cannot promise success of public policies only by formulating on them on the paper unless they are properly implemented on the ground. According to Burke, Morris and McGarrigle (2012), some implementation enablers are needed all the way through varied phases in the way to impel policy implementation. The assimilation of the enabling issues is very important for the success of policy implementation. The comparative significance of all of the implementation enablers will vary depending on the policy being executed, and the situation and setting in which it is put into practice.

Van Meter and Van Horn in Hill and Hupe (2002) presented their hypothetical viewpoint that begins with a concern of the need to categorize policies in conditions that could show policy implementation intricacies. They proposed to consider the level of alteration needed and the degree of consensus. Hence, they theorize that policy implementation could be most effective where only minor change is needed and consensus on goal is high. However, high consensus could create high level of change to be realized in terms of an interrelationship. The authors also proposed a model in which six variables are associated vigorously to the attainment of an outcome performance. The six variables identified by Van Meter and Van Horn are policy standards and objectives, the resources and incentives made available, the quality of inter-organizational relationships, the characteristics of the implementation agencies, the economic, social and political environment, and the disposition or response of the implementers.

## **2.2. Networked Governance and Collaboration**

Though the practice of managing hierarchical organizations was given high attention by practitioners and academicians in the twentieth century, such a focus does not match today's organizations. According to Agranoff and McGuire (2003), collaborative management is needed to complement and even to replace traditional bureaucracy. They argue that an environment where boundaries between organizations and sectors are becoming more theoretical than real in the twenty first century. This is due to the need for interdependence and the salience of information in this knowledge age.

Collaboration among different public sectors at all levels of government, and private-sector security firms, business and industry, civic associations, and many others is very important. Even within the global economy, public sectors at different levels dwell in a more and more critical strategic position. As intergovernmental programs evolve, nongovernmental organizations expand their scope of operations, and policymaking resources are held by entities other than the government, collaboration is becoming a tool that public sectors can use to strategically pursue their political and economic objectives (O'Flynn and Wanna, 2008). The belief that administrators frequently need to work across organizations and in hierarchies is becoming an accepted part of modern management theory. It involves the linking activities of different governments and with the non- state sectors. This could be done by creating partnerships, networks, contractual dealings, coalitions, committees, associations, consortia, and councils. Public administrators and business managers can design strategies together and produce goods and services for their institutions (Agranoff and McGuire, 2003). Networks are broadly accepted as significant type of multi-organizational governance by policy implementers and academics. Network coordination has substantial advantages in both public and private sectors. It is helpful for getting better knowledge, to be well-organized in using resources, to develop superior planning, problem identification and solving skills, to be competent, and to enhance service delivery system (Provan and Kenis, 2008). The success of a network is described by Provan and Kenis (2007) as the achievement of constructive network level results. According to the authors, such outcomes may not usually be attained by individual network members if they act separately. Links in a social network tend to be collected with the effect that well-built ties might be simply vanished without much effect on the overall structure. According to Considine, Lewis and Alexander (2009), power may be taken as a property of relations and the ultimate attribute of a network.

A high degree of overlapping policy field minimizes the horizontal autonomy of sectors. However, it may help to enlarge their vertical influence. When there is little overlap in the jurisdiction, sectors have very limited means of shaping policy, however they are not inhibited from developing horizontal governance (Torfing, et.al.,2012). Addressing complex issues that demand multilateral coordination requires more than just achieving the goals of individual organizations (O'Toole 1997). According to Dijk and Beek (2008), network and networking have come into view in line with the existing and prospective management and

policy of contemporary governance systems. This is caused by both societal or organizational and technological developments.

They enhance organizational learning, promote more efficient use of resources, increase capacity to plan for and address complex problems, greater competitiveness, and better services for clients and customers. Network functioning is the process by which certain network conditions lead to various network-level outcomes. Understanding the functioning of networks is important since only then can we better understand why networks produce certain outcomes, irrespective of whether networks result from bottom-up processes or are the product of strategic decisions made by network participants or government officials (Provan and Kenis, 2007; Provan and Kenis, 2008; Dedeurwaerdere, 2005; and Dijk and Beek, 2008).

### **2.3. Policy Network**

The term policy network connotes a cluster of actors, each of which has an interest, or stake in a given policy sector and the capacity to help determine policy success or failure. Analysts of modern governance frequently seek to explain policy outcomes by investigating how networks, which facilitate bargaining between stakeholders over policy design and detail, are structured in a particular sector (Considine, Lewis and Alexander, 2009). Policy network is the set of political actors inside and outside government who are involved in, or take an interest in, the making of public policy, and/or the relations between these actors. However political scientists have also used the term in more specific ways based on defining it more precisely, and a literature has grown up in which it is one of the most central concepts.

Policy network is also explained as an array of somewhat constant interaction that are not hierarchical but mutually supporting character connecting a multiplicity of actors (Compston, 2009). Such networks also have common interests in relation with a policy and they share resources to satisfy these shared interests. Those who are motivated to participate in a network recognize that collaboration is the preferred means to attain shared objectives. Each constituent of the network is also ready to share some kind of resource of his own in order to get another.

## **3. The Methods**

### **3.1. Research Approach**

Mixed research approach (both quantitative and qualitative research approaches) was employed in the study. Explanatory sequential mixed method was also made use of in the study. First quantitative data were collected and analyzed, and then built on the findings to give details with qualitative data. The primary quantitative findings were clarified further with the qualitative information that followed in the next step. In this study, both primary and secondary data sources were used. Primary data were collected using questionnaires, and interviews and focus group discussions (FGDs). The secondary data were collected from unpublished documents, statistical documents, minutes, and official work performance

reports from the selected sectors related to networked governance, public policies and programs.

### **3.2. Sampling Techniques**

In this study, five sectors at the Oromia regional state administration-level were selected using purposive sampling technique. The sectors include public service and human resource development, finance and economic development, education, agriculture, housing and urban development, trade and market development and government communication. Then, employees from each sector were also selected by using simple random sampling technique. To determine the sample size (n) of the respondents who respond to the questionnaire, the following Kothari (2004) formula was applied.

$$n = \frac{z^2 \cdot p \cdot q \cdot N}{e^2 (N-1) + Z^2 \cdot p \cdot q}$$

Where, p = stands for sample proportion, q = 1 – p; z = stands for the value of the standard variance at a given confidence level. In this case at 95% confidence interval, 1.96 was taken as the value of z; e = stands for acceptable error (the precision) in which 8% (0.08) was taken (Kothari, 2004). N = stands for total number of bureau-level civil servants and public sector managers in the regional state which were 32724 and n = stands for size of sample. By taking the value of p = 0.5 using the most conservative sample size, in which case ‘n’ was the maximum and the sample yields the desired precision (ibid). By substituting these values in the above formula, it gives:

$$n = \frac{(1.96)^2 * 0.5 * 0.5 * 32724}{(0.08)^2 (32724-1) + (1.96)^2 * 0.5 * 0.5} = 151$$

In addition, five senior experts and managers from the selected sectors were interviewed, and two focus group discussions (FGDs) were also conducted. Out of the distributed 151 questionnaires, 121 of them were filled and returned. Hence, the response rate was 80%.

### **3.3 Data Sources and Data Collection Methods**

This study employed in-depth interviews, focus group discussion and survey questionnaires in order to get sufficient information about public policy implementation and networked governance in the bureau-level sectors of regional state. The analysis of the study was descriptive that combined both qualitative and quantitative data. The quantitative data were also analyzed by using descriptive statistics. Statistical package for social scientists (SPSS) was used to generate percentages, tables and graphs to critically assess and explore the role of networked governance for policy implementation in the sectors of the regional state. Besides, the data that were collected from interviews, FGD and open ended questionnaires were coded and transcribed into texts and analyzed by content analysis or exploratory means. Besides, respondents’ assertions were validated with relevant documentary evidences. Subsequently, results obtained both from qualitative and quantitative data were triangulated.

## **4. Results and Discussion**

### **4.1. Coordination among Public Sector Organizations**

According to Fenta (2007) and Gebre and Nigussie (2016), different government structures can help politicians and public sector employees share power with other segments of a

society. Interaction frequency is means of measuring coordination intensity amongst sectors and can be used as an indicator of challenge encountered in organizational fragmentation derived from New Public Management (Hammerschmid, et.al., 2013; Osborne, Radnor and Nasi, 2012).

**Table 4.1:** Coordination among public sectors

<b>Coordination among organizations</b>	<b>N</b>	<b>Very low</b>	<b>Low</b>	<b>Medium</b>	<b>High</b>	<b>Very high</b>
Cooperation of organizations	110	18.6%	23.7%	33.9%	17.8%	5.9%
Identifying problems together	110	23.7%	28.8%	28%	11.9%	7.6%
Solving problems together	110	24.6%	33.1%	25.4%	10.2%	6.8%
Monitoring implementation together	110	21.2%	28.8%	28.8%	15.3%	5.9%
Interest of institutions to share data	110	21.2%	26.3%	26.3%	16.1%	10.2%
Collaboration with non-state actors	110	28.8%	32.2%	21.2%	14.4%	3.4%
Presence of inter-sectoral coordination	110	16.9%	33.1%	28.8%	11%	10.2%
Sharing experience among sectors	110	22.9%	37.3%	26.3%	7.6%	5.9%
Interactions among the institutions	110	16.1%	37.3%	28.8%	12.7%	5.1%
Coordination at regional level bureaus	110	18.6%	40.7%	22%	13.6%	5.1%

Source: own survey, 2017

Questions on the significance and implementation of different coordination efforts among sectors of the Oromia regional state were forwarded to the civil servants and middle level managers of the sectors and the results are in Table 1 above. Table 4.1 above reveals that there was a low and a very low cooperation among the regional level sectors (42.3%), a low and a very low coordination between regional level sectors (59.3%), poor inter-sectoral coordination in the region (50%), poor coordination between government and non-state actors (61%), and weak interaction among the institutions (43.4%). One can infer from the data that sectors at the regional level are poorly coordinated and collaborated, and the government sectors also do not work and collaborate with non-state actors such as civil society organizations and non-governmental organizations.

As Table 4.1 illustrates, identifying problems together, solving problems together, monitoring implementation together and sharing experience among each other are rated as low and very low by majority i.e. (52.5%, 57.7%, 50% and 60.2% respectively) of the respondents. A significant number of respondents also rated regional level coordination at medium level: cooperation of organizations (33.9%), identifying problems together (28%), monitoring implementation together (28.8%), interest of institutions to share data (26.3%), presence of inter-sectoral coordination (28.8%), sharing experience among sectors (26.3%) and interactions among the institutions (28.8%). We can deduce from this information that

coordination among the sectors has not been properly established as needed though there are some efforts.

This finding has also been supported by data from the participants in the interview and review of secondary reports where it was learnt that the sectors' performance is poor in terms of both the interaction frequency and quality of coordination and that the sectors are not responsive in issues related to collaboration. According to the informants and review of secondary sources, problems observed in coordination of the four offices, i.e., Technical and Vocational Education and Training Bureau, Urban Food Security and Job Creation Agency, Housing and Urban Development Bureau and Agency for Professional Competence are: awareness problem about way of coordination and weak motivation for coordination on the part of the sectors, weak monitoring and evaluation, absence of regular discussion time to identify strengths and weaknesses, lack of clear schedule to work together beyond signing the agreement, and lack of common understanding to mobilize the community for more coordination. According to the information, these problems resulted in fragmentation of the coordination activities, poor implementation of the reform programs and poor mechanism of data management and sharing.

However, there are some efforts to create networked and integrated system. For example, these four offices have integrated and common plan though there are implementation problems. In addition, public service and human resource development bureau also prepared a manual to integrate the reform programs and the good governance packages that are implemented in the regional sectors. This indicates that the sectors in the Oromia regional state are not very good at collaborating with one another or other actors in different fields within and outside government bodies. However, coordination, interaction and experience sharing among sectors at regional level are relatively improving to a medium level as reflected in frequent interactions among the civil servants. Hence, fragmentation and a hierarchical work culture are still quite present in the regional state's sectors. This finding confirms a study by O'Flynn and Wanna (2008) indicating that there is a mismatch between the rhetoric and the reality though governments today in many parts of the world advocate collaboration, cooperation and coordination.

#### **4.2. Teamwork and Trust among Public sectors**

Though the practice of managing hierarchical organizations was given high attention by practitioners and academicians in the twentieth century, such a focus does not match the organizations these days. According to Agranoff and McGuire (2003), collaborative management is needed to complement and even to replace traditional bureaucracy. Hence, coordinated and networked organizations need to be created and improved through technology oriented interactions among employees in the modern organizations. To look into the levels of interaction and trust among employees and level of teamwork, respondents were asked to share their experiences.

Table 4.2: Teamwork and Trust among public sectors

Team work and trust	N	Very low	Low	Medium	High	Very high
Relationship and trust among offices	110	23.7%	25.4%	33.9%	11%	5.1%
Self-criticism	110	20.3%	30.5%	28.8%	11%	9.3%
Institutions' confidence on each other	110	26.3%	28.8%	24.6%	11.9%	8.5%
Practice of team work in the sectors	110	21.2%	32.2%	24.6%	11%	11%
Relationship created through discussion	110	24.6%	34.7%	26.3%	9.3%	5.1%
Presence of common vision in sectors	110	17.8%	33.9%	20.3%	16.1%	11.9%
Feeling having similar objectives & mis.	110	22.9%	30.5%	28%	11.9%	6.8%
Feeling as partners among offices	110	20.3%	36.4%	25.4%	11%	6.8%
Relationship b/n stakeholders	110	27.1%	27.1%	33.1%	7.6%	5.1%

Source: own survey of 2017

As indicated in Table 4.2, the relationship and trust among the offices was rated as medium by 33.9%, low and very low by 49.1% of the respondents. Self-criticism was also rated by 50.8% of the respondents as low and very low while 28.8% of them have the view that it was at a medium level. Institutions' confidence on each other was also reported to be at a very low and low level by 55.1% of the respondents and medium by 24.6% of them. About 53.4% of the respondents also evaluated the practice of team work in the sectors as very low and low while 24.6% of them ranked it at a medium level.

Relationship created through discussion was rated by 59.3% of the respondents as low and very low while 26.3% of them are of the view that it was at a medium level. About 51.7% of the respondents believe that common vision for the sectors existed at a very low and low level while 53.7% of them feel that pursuing collective objectives and mission by the sectors was at a low and very low level and 28% of them believe that it was at a medium level. The employees also viewed themselves as partners to a low and very low level because 56.7% of them rated it as low and very low. About 54.2% of them also indicated that the relationship between policy makers and stakeholders was found at a very low and low level while 33.1% of them rated it at a medium level.

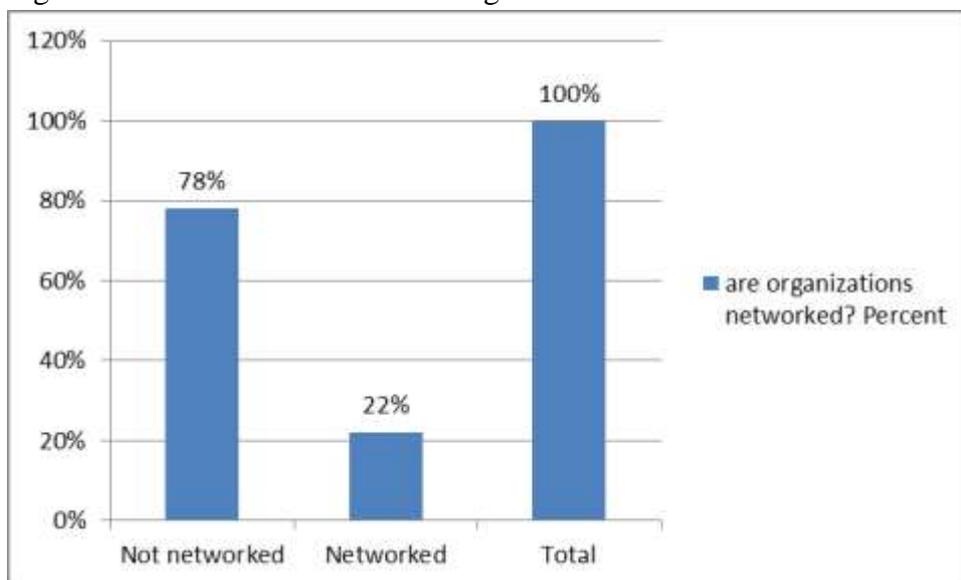
Overall, civil servants in the Oromia regional state agreed with almost all statements listed in Table 4.2 opting for low and very low levels, but somewhat a medium level was also reflected. In other words, relationship and trustworthiness among sectors, and employees'

view about themselves, sharing and acceptance of criticism, confidence, trustworthiness, team spirit, willingness to share information, sharing the same ambition and vision, and pursuing collective goals and mission seem to be at a lower level. It can also be inferred from the data that for the regional public sectors, teamwork and trust have not properly built. Thus, more concerted and scientific efforts need to be exerted by concerned bodies to improve the social cohesion and trust among the employees of the public sector in the Oromia region.

Civil servants were also asked to share their experience and figure 4.1 below depicts the reality. Accordingly, majority (78%) of the respondents opined that public sectors are not networked. Interviewees and information obtained from integrated plan of the four sectors (Technical and Vocational Education and Training Bureau, Urban Food Security and Job Creation Agency, Housing and Urban Development Bureau and Agency for Professional Competence) reveal that weak team work practice, lack of ownership on the part of the leadership at different levels and low level of trust and relationship among employees were the problems that negatively affected the coordination effort among the sectors.

So, there needs a focus towards networked governance in the public sectors as the emerging interactive governance paradigm challenges the long-established government role and role differentiations by introducing role fragments and new ambiguities and conflicts that further complicate and transform the traditional ideal typical roles. Networks also may be present with varying levels of form. According to Manna (2010), non-chartered networks are the least formal. Bylaws, constitutions, or other documents of incorporation do not tie constituents of non-chartered networks. Nevertheless, records of the members' communications, meetings, and joint actions give confirmation that the network does indeed exist. Chartered networks are more formal and require cases where constituents of the network have crafted a written founding document, or several, to guide their collaboration. Such documents can describe the network's purpose, the conditions of network membership, member roles and responsibilities, and the process by which new members might join.

Figure 4.1: Presence of networked organizations

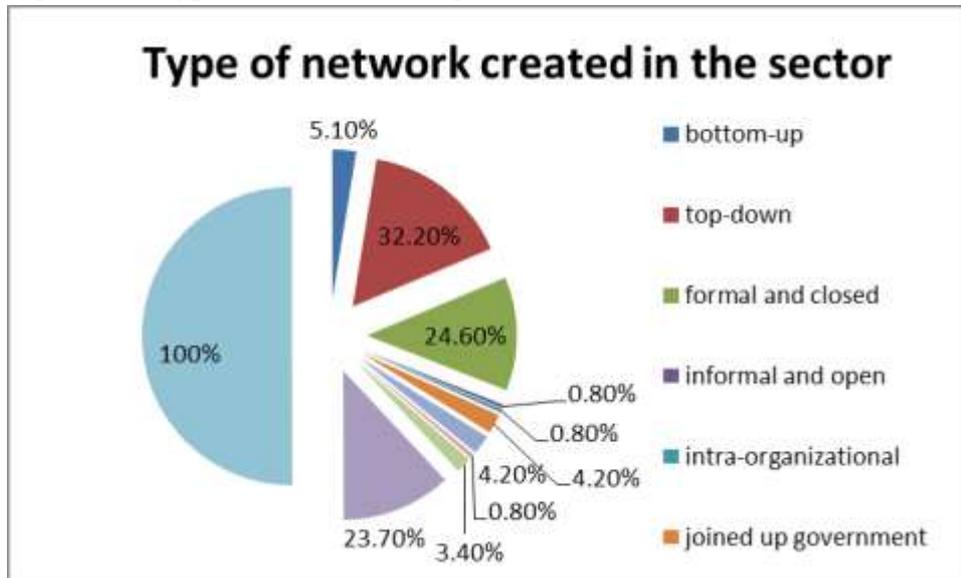


Source: own survey of 2017

Those who believed the existence of networked governance in the public sectors of the region were also asked to mention the type of network that existed in the sectors and figure 4.6 below portrays the results. According to the information on the figure, majority of the respondents (32.2%) believe that the networks are created top-down and 24.6% of them also argue that the networks are formal and closed. In addition, 23.7% of the respondents also confirmed the existence of informal and open networks.

According to Torfing et. al. (2012), public administrators need to know the nature of network they manage and its rationale before its implementation for its effective management. According to the authors, networks could be knowledge sharing, problem-solving, implementation networks, and capacity building networks. Hence, informal and open type of networks aimed at innovation and improvement of public services could be encouraged in the public sectors. A combination of goal-oriented project management and process-oriented network management could also help in governing of public and none state partnerships effectively.

Figure 4.2: Type of networks in organizations



Source: own survey of 2017

Interactive governance involves a very different approach of leading than those related to more conventional, state-centric and top-down structures of governance. While traditional forms of governance rely on top-down imposition of authority, interactive governance assumes that decisions will be made either from the bottom-up or through interactive processes, and empowered participation is coordinated, and even at times commenced, by government agencies.

This form of network governance is believed to be both a more effective and a more democratic since it involves individuals and groups who have adequate knowledge about the policies in question and who can solve policy problems. Therefore, due attention should be given for interactive governance of networks.

### 4.3. Factors Affecting Collaboration in Public Sectors

Through there exists collaboration among networked agencies, many interferences and strategies could be synchronized to tackle the multitude of factors contributing to the problem. Policy implementation in a networked governance environment could create many challenges. This is because difficult social problems are addressed, accountability becomes fragmented, and the performance of the network itself is critical to the success of policy implementation (DeGroff and Cargo, 2009). The following table summarizes the results of the responses on factors affecting the success of collaborative setting.

Table 4.3: Factors Affecting the Success of Collaborative Setting

Factors	N	Very low	Low	Medium	High	Very high
Absence of adequate human resource	110	6.8%	6.8%	22.9%	30.5%	32.5%
Poor utilization of human resource	110	5.1%	5.1%	14.5%	35%	40.2%
Poor utilization of best practice	110	3.4%	6%	13.7%	43.6%	33.3%
Lack of critical skills in the sector	110	2.6%	9.4%	13.7%	36.8%	37.5%
Lack conflict resolution mechanisms	110	10.3%	4.3%	18.8%	34.2%	32.5%
Existence of resource asymmetry	110	7.7%	3.4%	22.2%	29.9%	36.8%
Overlapping of tasks in the sector	110	7.7%	10.3%	16.2%	40.2%	25.6%
Existence of power imbalance	110	7.7%	12%	13.7%	32.5%	34.2%
Effective communication	110	6.8%	6.8%	21.4%	35.9%	29.1%
Budget	110	10.3%	6.8%	17.9%	35.9%	29.1%

Source: own survey, 2017

The results in Table 4.3 above confirm absence of adequate human resource (63%), poor utilization of human resource (75.2%), poor utilization of best practices (76.9%), lack of critical skills in the sectors (74.3%), lack of conflict resolution mechanisms (66.7%), existence of resource asymmetry among the sectors (66.7%), overlapping of tasks in the institutions in the sectors (65.8%), existence of power imbalance among the organizations in the sectors (66.7%) and shortage of budget (65%) are the factors that affect the success of the collaborative situations among the Oromia regional sectors at a high and very high levels.

It is possible to infer that collaboration among the sectors is not up to the expectation of the respondents. Collaborative governance is about collective and cooperative decision-making in organizations. Therefore plurality of actors and imbalance of power, resources and strategies are constantly affianced in conflicts in organizations and lead to power struggles (Torfing, et.al.,2012). The struggles may ultimately influence the policy outputs in the public organizations and this may also have direct or indirect pressure on the final outcome of the sector. Therefore, improving the above factors could be a mechanism of solving the problem. Policy decisions need evidence-based, and be implemented in a coordinated and democratic way to be effective. Questions were forwarded to the civil servants of the region concerning the policy decisions and the responses are summarized in the following table.

Table 4.4: Policy Decisions

Issues	N	Very low	Low	Medium	High	Very low
Knowledge based decision	110	29.7%	28%	20.3%	16.1%	5.9%
Existence of innovative policy decis.	110	27.1%	32.2%	28%	7.6%	5.1%
Implementing policy coordinated w.	110	19.5%	39%	19.5%	13.6%	8.5%
Democratic ideals about inclusion	110	28%	31.4%	20.3%	16.1%	4.2%
Hierarchical government	110	9.3%	15.3%	30.5%	31.4%	13.6%
Information exchange for feedback	110	15.3%	41.5%	26.3%	10.2%	6.8%

Source: own survey, 2017

As shown in Table 4.4 above, 57.7% of the respondents believe that decisions made by politicians were not knowledge-based. About 59.3% of the them also opined that policy decisions made by policy makers were not innovative while 28% of them argued that policy decisions made were innovative at medium level. On the other hand, implementation of policies in a coordinated way was rated by 58.5% of the respondents as low and very low. Democratic ideals about inclusion, empowerment and ownership was rated as very low and low by 59.4% of the respondents. About 30.5% of the survey participants rated the existence of the hierarchical government at medium level while 45% of the them believed that hierarchical government exists in the sectors at high and very high level.

#### 4.4. Coordination and Policy Implementation

Contemporary democratic governance frequently bears modest similarity with conventional Weberian thinking of hierarchy. Modern governance also reveals a move towards a sharing of tasks and responsibilities and towards doing things together instead of doing them alone (Peterson, 2003). Questions related to coordination and policy implementation were raised for respondents and the responses are summarized as follows.

Table 4.5: Coordination and Policy Implementation

Issues	N	Very low	Low	Medium	High	Very high
Effect of coordination on implementation	110	21.2%	39.8%	20.3%	15.3%	3.4%
Effect of coordination gap on implement	110	5.9%	9.3%	22%	33.9%	28.8%
Existence of corruption practice	110	7.6%	5.9%	15.3%	34.7%	36.4%
Role of intersectoral bodies & committee	110	17.8%	42.4%	25.4%	10.2%	4.2%
Interdependence between actors and area	110	13.6%	49.2%	22.9%	7.6%	6.8%
Cooperation for knowledge sharing	110	14.4%	48.3%	21.2%	13.6%	2.5%
Coordination for improving joint efforts	110	28.8%	31.4%	26.3%	6.8%	6.8%
Networks for joint problem solving	110	29.7%	33.1%	22.9%	9.3%	5.1%

Source: own survey, 2017

When asked about the effect of coordination on policy implementation, a clear majority (61%) of the respondents strongly argued that it brought low and very low effect while majority (62.7%) of them confirmed that there was high and very high effect of coordination gap on policy implementation. This shows poor coordination among the sectors to implement policies. Corruption practices were also rated by 71.1% of the respondents as high and very high. The role of inter-sectoral bodies and different committee was also found to be weak as reported by majority (60.2%) of the respondents.

Interdependence between policy actors and policy areas was also rated as weak and very weak by (62.8%). In addition, cooperation for knowledge sharing, coordination for improving joint efforts and networks for joint problems solving were ranked low and very low by 62.7%, 60.2% and 60.8% respectively. Networked approaches necessitate diverse techniques and means that consider the bigger social system. Network analysis and case studies may help policy makers and practitioners to get enhanced understanding about those who involved in policy implementation, their motivation for participation, and the nature and strength of the links (DeGroff and Cargo, 2009).

In understanding policy implementation in a networked setting, managers and practitioners may confront more complicated social problems and different implementation structures imply that they hold not only strong methodological competencies but a rational considerate of the specific social problem. With regard to the Oromia regional state's public sector civil servants and managers emerging from these answers, we find a poor coordination among public sectors which also resulted in poor accomplishment of policies and directives.

#### 4.5. Coordination Gaps in Public Sectors

Although networks more and more signify further suitable structures to successfully and synergistically execute public policy, the implementation process itself turns out to be more complex due to the mutual support among institutions. Specifically, accountability happens to be a fundamental challenge of networked governance when policy implementation is decentralized, conventional hierarchical bureaucracy is compromised, political resources are shared, and monitoring channels are diffused and made unreliable (Peters, 2001).

Table 4.6: Coordination Gaps

Issues	N	Very low	Low	Medium	High	Very high
Information related gaps	110	14.4%	11.9%	18.6%	34.7%	20.3%
Policy related gaps	110	10.2%	16.1%	22.9%	33.1%	17.8%
Finance related gaps	110	13.6%	15.3%	16.1%	33.9%	21.2%
Capacity related gaps	110	6.8%	14.4%	24.6%	34.7%	19.5%
Administration related problems	110	15.3%	10.2%	14.4%	33.9%	26.3%
Objectives and goals related problems	110	7.6%	15.3%	19.5%	34.7%	22.9%
Conflict resolution related gaps	110	10.2%	13.6%	22%	33.9%	20.3%
Accountability related gaps	110	16.9%	10.2%	11%	33.1%	28.8%

Source: own survey, 2017

As a result, when policy implementation entails networks, issues of accountability are to be expected to come out as a challenge. In particular, when longer-term outcomes reflect the actions of several interventions or activities, it becomes difficult to taunt apart the exceptional role of individual programs and make claims of attribution (DeGroff and Cargo, 2009). The results on Table 4.6 above show that, in general, the coordination gaps are identified as high and very high by respondents: information related gaps (55%), policy related gaps (50.9%), finance related gaps (55.1%), capacity related gaps (54.2%), administration related gaps (60.2%), objectives and goals related problems (57.6%), conflict resolution mechanisms related gaps (54.2%) and accountability related gaps (61.9%).

Reports from secondary sources and interview results also indicate that information related gaps such as poor mechanism of data management and sharing, untimely reports, and

ambiguity of roles of each participant sector were observed. In addition, implementation (administration) related gaps, decision making related problems in the form of delay and indecision, finance related gaps, accountability related problems and weak monitoring and evaluation system were the challenges observed in procurement and property administration, human resource management and development and training and development areas.

The importance of network approaches to policy implementation has emerged in part due to the complexity of today's social problems that require trans-disciplinary and inter-sectoral responses (Stokols, 2006 cited in DeGroff and Cargo, 2009). One can infer that policy implementation in a networked governance situation causes numerous challenges because multifaceted social problems are typically tackled, accountability becomes fragmented, and the performance of the network itself is essential for achievement of the goal.

## **5. Conclusion and Recommendations**

### **5.1. Conclusion**

The study identified that coordination among the public sectors in the Oromia regional state has not been properly established as needed though there are some efforts. It was learnt that the sectors' performance is poor in terms of both the interaction frequency and quality of coordination and that the sectors are not responsive in issues related to collaboration. However, coordination, interaction and experience sharing among sectors at regional level are relatively improving to a medium level as reflected in frequent interactions among the civil servants.

It can also be inferred from the data that for the regional public sectors, teamwork and trust have not properly built. Public sectors are not properly networked as needed. So, there needs a focus towards networked governance in the public sectors as the emerging interactive governance paradigm challenges the long-established government role and role differentiations by introducing role fragments and new ambiguities and conflicts that further complicate and transform the traditional ideal typical roles. The few networks that existed in the sectors were also created top-down, formal and closed though there are also few networks which are informal and open.

Poor utilization and shortage of adequate human resource, poor utilization of best practices, lack of critical skills in the sectors, lack of conflict resolution mechanisms, existence of resource asymmetry among the sectors, overlapping of tasks in the institutions in the sectors, existence of power imbalance among the organizations in the sectors and shortage of budget were the identified factors that affect the success of the collaborative situations among the regional sectors at a high and very high levels. Policies were not also implemented in a coordinated way and hierarchical government exists in the sectors at high and very high level. So, there is poor coordination among the sectors to implement policies.

Interdependence between policy actors and policy areas was found to be weak. In addition, cooperation and networks for knowledge sharing, for improving joint efforts and for joint problems solving were found to be at a low level in the sectors. Hence, a poor coordination among public sectors resulted in poor implementation of policies. The coordination gaps were also identified as information related gaps, policy related gaps, finance related gaps, capacity related gaps, administration related gaps, objectives and goals related problems, conflict resolution mechanisms related gaps and accountability related gaps.

## **5.2. Recommendations**

Coordination and collaboration strategies need to be strengthened through a daily, weekly, monthly, quarterly and yearly monitoring and evaluation efforts of experts in various sectors of the regional state. More concerted and scientific efforts need to be exerted by concerned bodies to improve the social cohesion and trust among the employees of the public sector in the Oromia region. Informal and open type of networks aimed at innovation and improvement of public services could be encouraged in the public sectors and due attention should be given for interactive governance of networks. There is a need to focus on filling the coordination gaps to enhance policy implementation through strong coordination across the public sectors.

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## **Job satisfaction and organizational commitment at Ethiopian Civil Service University as correlates of turnover intentions**

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### **Abstract**

*Higher productivity and excellent performance cannot be realized without the support of the employees. Organizational goals are unattainable without the enduring commitment of members of the organization. Hence, awareness on employee turnover in any organization has become a phenomenon across the globe. With this, developing and retaining employees in the organization will now be the biggest challenge particularly in the education industry where labor turnover is getting high. Turnover can have a negative impact on the functioning of an organization. A Knowledge as to what causes an employee to leave an organization gives managers the opportunity to curtail turnover more effectively. It is in this context that this research was conceptualized, to determine how job satisfaction and organizational commitment influence turnover intentions among the staff of Ethiopian Civil Service University. The study made use of descriptive-correlation research design, with 146 academic and 261 administrative respondents randomly selected. For an in-depth analysis of data, the researchers engaged also in qualitative research. Phenomenological research design in particular was used to support as accurate as possible the results of the correlation study. Results of the study show that a correlation exists between career development, job relationship and commitment. Similarly, these variables also influence turnover intentions. On the other hand, affective and normative commitment was found out to be predictors of turnover intentions. Results also indicate that no significant differences exist between the perceptions of the staff on job relation and recognition dimensions.*

**Keywords:** Job Satisfaction, Organizational Commitment, Turnover Intentions, ECSU

## **1. Introduction**

Manpower is very instrumental in the success of any service industry. For any organization to have a competitive advantage, it needs a highly committed, dedicated, focused and well-engaged workforce. Higher productivity and excellent performance cannot be realized without the support of the employees. Hence, developing and retaining them in the organization will now be the biggest challenge for any industry. It will require true skills and knowledge on the part of the administration to attract and retain employees especially that change is almost apparent daily brought about by technology and competitive environment. In this regard, employees must be treasured and taken cared off.

In US, survey shows that the turnover in the education sector is about 18.7% as of 2006. (Nobscot.com. 2006). NCTAF (2010) on the other hand, reports that almost a third of all new teachers in US leave the classroom after three years and close to fifty percent leave after five years. Over a quarter of a million teachers stop teaching every year.

Obviously, employees have their own goals in life and they tend to leave if their needs are not met by the organization. This tendency is very basic to everybody, especially if they are shielded by the skills and competencies needed by the industry. More so, their decision to leave the organization is further influenced by fast changing environment, growing needs of the family, dissatisfaction, seeking for better lives, old age and sickness. In this regard, the organization should recognize that job satisfaction is so important that its absence often leads to lethargy, reduced organizational commitment and increased turnover intentions.

It must be kept in mind that organizational goals are unattainable without the enduring commitment of members of the organization. Commitment can be seen from people who are satisfied with their jobs. This job satisfaction usually comes from compensation which consists of cash rewards, such as the base salary, bonus, incentive payments, and allowances, which the employees receive. These are important in motivating employees and reinforcing their behaviour. With this in mind, the human resource managers play a very crucial role in an organization. Theoretical and empirical literature indicates the importance of human resource in an organization; hence, emphasis must be given to them.

There are many challenges facing organizations today. The better our organizations work, the easier it is for society to meet the present and future threats and opportunities. It can be said that the central challenge we face in society is to continually improve the performance of our organisations in both the private and public sectors. Part of this improvement will come from organizations becoming more efficient and effective.

The Ethiopian Civil Service University (ECSU) is no exception to this challenge. For the past several years, it has experienced a quite number of employees turn over in almost all divisions. It is in this premise that the study was conducted, not to encourage the leavers to return but on how to retain the employees. The Ethiopian Civil Service University (ECSU) believes that the management of people at work is an integral part of the management process and understands the importance of people in the organization; hence, it tries its best

to ensure that employees are well taken cared off in terms of compensation, benefits, training etc.

The researchers seek to determine the job satisfaction among the employees of the Ethiopian Civil Service University (ECSU) Addis Ababa, Ethiopia, their level of commitment and its correlation to turnover intentions. Specifically, the researchers answered the following research questions:

1. What is the status of the job satisfaction in Ethiopian Civil Service University as perceived by the employees?
2. What is the level of commitment of the employees to Ethiopian Civil Service University?
3. To what extent does a job satisfaction affect the turnover intentions of the employees of Ethiopian Civil Service University?
4. To what extent does the level of commitment influence turnover intentions of the employees of Ethiopian Civil Service University.
5. Is there a correlation between job satisfaction and organizational commitment?
6. Is there a correlation between job satisfaction and labor turnover intentions?
7. How significant is the correlation between organizational commitment and turnover intentions?
8. Are there significant differences in the perceptions of the respondents in terms of job satisfaction?

## **2. Review of Related Literatures**

This chapter presents the related literature, theoretical framework and empirical studies written by different scholars on the subject of job satisfaction, organizational commitment and turnover intentions. Likewise, the conceptual model is presented.

### **2.1 Concepts**

**Job Satisfaction** - It is defined as a collection of numerous attitudes of individuals toward various aspects of jobs which represent the general attitude ( Hellriegel& Slocum, 2004; Robins, 2005; Boles, et al., 2007; Sangroengrob & Techachaicherdchoo, 2010). It is a collection of attitudes that workers have about their jobs which may be derived from a facet of satisfaction or as an overall aspect of the job (Johns & Saks, 2001). For Demir (2002:167), job satisfaction of employees refers to the "feel of contentment and discontentment for a job. On the other hand, job satisfaction according to Weiss (2002), is an attitude but points out that researchers should clearly distinguish the objects of cognitive evaluation that affect emotion, beliefs and behaviors. It is multi-dimensional which includes several domains such as satisfaction with pay, promotion opportunities, fringe benefits, job security and challenge of the job.

**Organizational Commitment** - Since the development of the three-component model, commitment is now a well-recognized multidimensional construct (Meyer et al., 2002) and a leading model in various organizational commitment researches like that of Cohen (2003);

Bentein et al.; (2005) and Bergman (2006). Meyer et al. (2002), broadly defined commitment as a force that guides a course of action towards one or more targets. It has been theorized that commitment is a multidimensional construct and that the antecedents, correlates and consequences of commitment vary across dimension. The three-component model focuses on normative commitment (employee's perception of their obligation to the organization); continuance (employee's perception of the cost associated with leaving the organization); and affective (emotional attachment to or identification with their organization) (Meyer et al., 2002).

Robbins and Judge (2009) support the concept of Meyer et al. (2002) about organizational commitment. They identified and broadly defined the three dimensions of organizational commitment. The first dimension is affective which they defined as an emotional attachment to the organization and belief in its values. Secondly, continuance commitment which is the perceived economic value of remaining in the organization compared to leaving it. Lastly, normative commitment which is viewed by a person as an obligation to remain in the organization for moral or ethical reasons.

**Turnover Intentions** - Various researches indicate that there is a moderately strong linkage between job satisfaction and turnover especially with less satisfied employees (Hom & Griffeth, 1995; cited in Johns & Saks, 2011). A turnover intention according to Tett and Meyer (1993) as cited in Samad (2006) is a conscious willfulness to seek for other alternatives in other organization. Actual turnover as suggested by Price (2001) can be measured using turnover intentions constructs. This is because study shows that there is a significant relationship between these variables (Lambert et al., 2001)

## **2.2 Theoretical Framework of the Study**

The research would refer to five of those theories that are linked to research variables. The first theory which is very significant to the study is Maslow's hierarchy of needs. In the study conducted by Li, Lam and Fu (2000), they analyzed deeply the most fundamental and basic four layers of the pyramid contain what Maslow called "deficiency needs" or "d-needs": esteem, friendship and love, security, and physical needs. With the exception of the most fundamental (physiological) needs, if these "deficiency needs" are not met, the body gives no physical indication but the individual feels anxious and tense. Maslow's theory suggests that the most basic level of needs must be met before the individual will strongly desire (or focus motivation upon) the secondary or higher level needs.

Congruently, Herzberg theory of motivation identified a two-dimensional paradigm of factors affecting people's attitudes about work. According to this theory, factors such as company policy, supervision, interpersonal relations, working conditions and salary are hygiene factors rather than motivators. The absence of these can create job dissatisfaction, but their presences do not motivate satisfaction. In contrast, Herzberg also identified five factors that are strong determinants of job satisfaction such as achievement, recognition, work itself, responsibility and advancement (Gawel, 1997).

Another theory which is very relevant to the present study and also supports Maslow's and Herzberg theories is self-determination. It is a macro theory of human motivation and personality, concerning people inherent growth tendencies and their innate psychological needs. It is concerned with the motivation behind the choices that people make without any external influence and interference. Self-determination theory focuses on the degree to which an individual's behavior is self-motivated and self-determined (Deci & Ryan, 2002).

Equity theory on the other hand, asserts that workers compare the inputs that they invest in their jobs and the outcomes that they receive against the inputs and outcomes of other groups. When these ratios are equal, the worker will feel that a fair and equitable exchange exists with the employing organization. Such fair exchange contributes to job satisfaction (Johns & Saks, 2011).

The last theory that is of equal importance to the study is the social exchange theory. According to (Cropanzano, Byrne, Bobocel, & Rupp (2001), this theory stipulates that certain workplace antecedents lead to interpersonal connections, referred to as social exchange relationships. Social exchange relationships evolve when employers "take care of employees," which thereby engenders beneficial consequences.

### **2.3 Review of Empirical Studies**

The study of Klaus et al. (2003) cited in Sangroengrob and Techachaicherdchoo (2010), discovered that a challenging work has an impact on affective commitment. However, employees with continuance commitment partially stay with the organization.

Similar studies were conducted by Pool and Pool (2007) among executives in learning institutions and Boles et al. (2007) among the salespersons. Both researchers established that job satisfaction is associated with organizational commitment. In an exploratory study made by Selvarajan and Slattery (2005) among temporary employees, results revealed that there was a positive association between job satisfaction and organization commitment. A negative association exists between job satisfaction and turnover intentions and organizational commitment and turnover intentions.

Studies showed that job satisfaction is one of the reasons for employees' intentions to leave the organization (Price 2001). Many studies were conducted in different settings to support the claim of Price. Meland et al. (2005) pointed out that there is a relationship between employees' job satisfaction and turnover. Khatri and Fern (2001) concluded that a modest relationship existed between job satisfaction and turnover intentions. Likewise, Samad (2006) cited in Ali (2008) found a moderate relationship between job satisfaction and turnover intentions. Korunka et al. (2005) and Rahman et al. (2008) cited in Ali (2008) found a negative association between job satisfaction and turnover intentions.

Along with job satisfaction and turnover intentions, organizational commitment is also very important to study because it might have an effect on the turnover intentions of the employees. A study among the flight attendants of a Taiwanese Airline Company was conducted by Chen (2006). Results of logistic regression analysis showed that two aspects of organizational commitment, the normative and continuance, as well as the job-itself

satisfaction were found to have significantly negative impact on the flight attendants' turnover intentions. On the other hand, Lacity et al. (2008) concluded in their study that organization commitment is one of the significant factors which have an impact on turnover intentions.

### 2.4 Conceptual Framework of the Study

Figure 1 shows the conceptual framework of the study. The framework illustrates that the independent variables of the study are the job satisfaction and level of organizational commitment. Job satisfaction includes compensation, recognition, career development, and job nature and job relationship. On the other hand, the level of organizational commitment will be measured in terms of three dimensions such as affective, continuance and normative commitment. The dependent variable of the study is turnover intentions.

The single headed arrows show the correlation between job satisfaction and organizational commitment; job satisfaction and turnover intentions; and organizational commitment and turnover intentions. The double headed arrows show the differences among the perceptions of the respondents with job satisfaction.

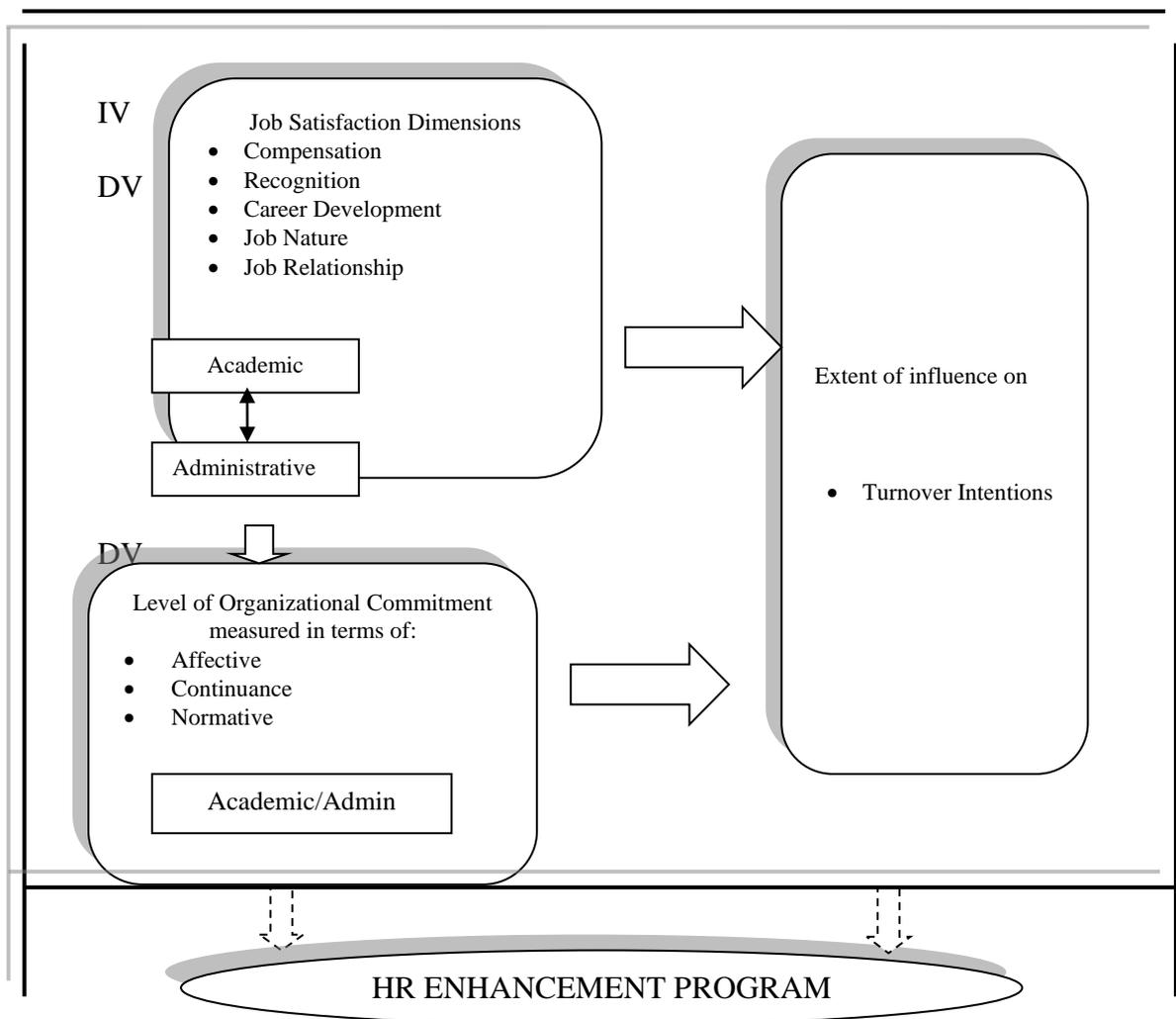


Figure 1 Conceptual Framework

### **3. The Methods**

The study made use of the descriptive-correlational research design since the researchers believe that this method yield data sufficient enough to give a clear picture of the job satisfaction dimensions, organizational commitment and turnover intentions. The descriptive method was used to answer research questions 1-4 while the correlational research was utilized to explain the relationship among variables. Test of difference was used to explain the differences in perceptions

For an in-depth analysis of data, the researcher engaged also in qualitative research. Phenomenological research design in particular was used to support as accurate as possible the results of the correlation study. Phenomenological approach seeks to illuminate the specific, identifies the phenomena as perceived by the actors in the situation.

The researchers conducted also a focus group discussion from sixteen (16) respondents of which eight (8) were from the academic group and another eight (8) respondents from the administrative group, to get the real experiences of the people involved. All respondents were selected on the basis of experience and length of service to get more plausible responses. The field texts were transcribed, and thematized using a repertory grid. Each variable was given a theme.

For the quantitative part, the first groups of respondents are the academic staff of Ethiopian Civil Service University totaling to one hundred forty six (146). The second group is the two hundred sixty one (261) administrative staffs who are giving support services to the academic division. Only employees with one (1) year and above length of service were taken as respondents to be able to get a more plausible response and minimize biases for the university.

The researchers made use of a six-page survey questionnaire to gather the information needed to achieve the desired objectives of the study. To determine the level of organizational commitment, the researchers adapted the Organizational Commitment Questionnaire developed by Meyer & Allens (1997) cited in Brown (2003). However, few modifications were made to fit in to the research questions. On the other hand, an interview guide was developed by the researchers. Responses were encoded using a repertory grid.

A reliability test was conducted because some questions were modified to fit the needs of the research. Ten respondents who were not part of the sample size were taken to answer the questions over a week interval. Questions were evaluated using Pearson's R. Questions which are not clear were modified. The five-point Likert numerical scale (Burns & Burns, 2008) with 5 as the highest and 1 as lowest was used. Each numerical scale had its corresponding statistical limits and verbal descriptions. The reliability of the scale was assessed using the Cronbach's Alpha method.

Descriptive statistics like mean and percentages were used to answer questions one to four. On the other hand, to test the relationship among variables and reliability of the

questionnaire, Pearson’s chi-square was utilized. To test the differences in the responses, the researchers used Student’s two-tailed t-test.

#### 4. Results and Discussions

This chapter presents, analyzes and interprets the data gathered from the respondents. Data were analyzed using descriptive and inferential statistics.

##### 4.1 Perceptions on Job Satisfaction

The academic staff rated the salary scheme of ECSU as satisfactory. However, they are only fairly satisfied with the health benefits and compensation package as indicated by mean scores of 2.45 and 1.70 respectively. The overall mean score of 2.20 reveals that the academic staff is to some extent satisfied only with the compensation given to them by the University.

Table 1. Perception of the Respondents on the Job Satisfaction Dimension-Compensation

Job Satisfaction Dimensions	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1.The compensation package in the University is fair and equitable.	2.45	FS	2.11	FS
2. The salary scheme of ECSU is competitive.	2.64	FS	2.35	FS
3. Employees enjoy health benefits other than those mandated by law.	1.70	FS	1.51	FS
4.Compensation is not only based on qualifications but performance as well.	2.03	FS	2.13	FS
Overall Mean	<b>2.20</b>	FS	<b>2.03</b>	FS

Source: Research Field Data (2017) FS-fairly satisfactory

The overall mean scores of 2.03 imply that the administrative staff are only fairly satisfied with the compensation program of the University. With these ratings, it is very evident that both groups of respondents have almost similar perceptions on the status of compensation which is at the moment not competitive except for the salary scheme where academic staffs are satisfied.

Table 2. Frequency Distribution- Compensation

Respondents	VHS +HS		S		FS +NS	
	Freq.	%	Freq.	%	Freq.	%
Academic (N=146)	8	5.5	53	36.3	58.2	85
Admin(N=261)	9	3.4	66	25.5	186	71.31

Source: Research Field Data (2017)

Analyzing the responses, it could be gleaned from table 2 that 85% of the academic staff and 71.31% of the administrative staff are not satisfied to fairly satisfied with the compensation program of the university. It is very clear that based on the results, the academic staff demands for an equitable compensation which is competitive, just and fair. This claim is

supported by the statement from the respondent during the focus group discussion. *“Competitive compensation package is still lacking for instructors. Teachers in other organizations are given housing allowances and are paid higher.*

On one side, the administrative staff shared the same sentiments with that of the academic staff. They also want competitive, just and equitable compensation package which was manifested from their responses as follows; *“The salary is not as high as what is given by the other organizations. Thus, I am not satisfied.”* The administrative staff also asks for reasonable benefits other than those mandated by the law. These may be in a form of housing, medical, transportation, trainings and scholarships.

Table 3. Perception of the Respondents on the Job Satisfaction Dimension-Recognition

Job Satisfaction Dimension	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1. The university recognizes the employees for their exemplary performance.	2.40	FS	2.41	FS
2. Incentives are given for good performance.	2.14	FS	2.12	FS
3. Recognition is a criterion for promotion.	2.30	FS	2.15	FS
4. Recognition is done on a regular basis.	2.00	FS	1.99	FS
Overall Mean	<b>2.21</b>	FS	<b>2.21</b>	FS

Source: Research Field Data (2017) FS-Fairly Satisfactory

Both groups of respondents rated all statements as fairly satisfactory. The overall mean of 2.21 implies that the academic and administrative staffs are moderately recognized by the management. This can be presumed that recognition is not given much attention. The results also imply that the recognition received by the staff is on an agreeable level which means it does not exceed their expectations.

Table 4. Frequency Distribution- Recognition

Respondents	VHS +HS		S		FS +NS	
	Freq.	%	Freq.	%	Freq.	%
Academic (N=146)	18	12.3	40	27.4	88	60.3
Admin(N=261)	32	12.3	62	23.7	167	64

Source: Research Field Data (2017)

It can be seen that 60.3% of the academic staff and 64% of the administrative staff are not satisfied or fairly satisfied only on the recognition given by the university. They envisage that excellent performance will be rewarded through promotion, salary increment, educational and training privileges and non-monetary rewards which may include simple personal appreciation through plaques, letters, emails etc. These expectations were

manifested in their statements as follows: *“Employees should be acknowledged through promotion. The school should recognize employees for good performance.”*

Table 5. Perception of the Respondents on the Job Satisfaction Dimension-Career Development

Job Satisfaction Dimension	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1. The seminars and training by the university are effective since these enhance the skills of the staff.	3.00	S	2.09	FS
2. The university supports conferences and other development programs.	3.00	S	2.45	FS
3. The university encourages the staff to pursue post-graduate studies.	2.90	S	2.29	FS
4. The university training and development progs. care conducted on a semester basis.	2.60	S	2.29	FS
Overall Mean	<b>2.80</b>	<b>S</b>	<b>2.28</b>	FS

Source: Research Field Data (2017) FS- Fairly Satisfactory S- Satisfactory

The overall mean score of 2.80 (academic) interpreted as satisfactory indicates that the career development program of the university is somewhat weak and still needs some improvement which could be in the area of implementation and budget allocation. A weak career development program affects the performance of the employees.

As reflected on the table also, the administrative staff affirmed that seminars and training are provided by the management every semester (2.29), the school supports conferences and other development programs (2.45) and encourages the staff to pursue further studies. (2.29). conversely, they have different perception with that of the academic staff on item number 1 as reflected on the rating of 2.09.

Table 6. Frequency Distribution- Career Development

Respondents	VHS +HS		S		FS +NS	
	Freq.	%	Freq.	%	Freq.	%
Academic N=146)	40	27.4	58	39.7	48	32.9
Admin(N=261)	31	11.9	80	30.6	150	57.5

Source: Research Field Data (2017)

It can be noted that only 32.9% of the academic staff are not satisfied to fairly satisfied with the career development program of the university. On the other hand, 57.5 % or about 150 administrative staff shared the same opinion with the academic staff.

The result of the study shows that the academic staffs are partly satisfied only on the career development program of the university. Like any other employees in an organization, the administrative staff also anticipate that the university can provide them a career motivation that will perk up their performance and job satisfaction.

Table 7. Perception of the Respondents on the Job Satisfaction Dimension-Job Nature

Job Satisfaction Dimension	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1.Positions are based on individual qualification	3.10	S	2.87	S
2. Nature of work provides balance between work and family life.	2.70	S	2.16	FS
3. Employees' nature of work gives them opportunities to show their skills and talents.	2.80	S	2.35	FS
4. Employees are well-oriented about their nature of work.	3.00	S	2.43	FS
<b>Overall Mean</b>	<b>2.90</b>	<b>S</b>	<b>2.45</b>	<b>FS</b>

Source: Research Field Data (2017) FS-Fairly Satisfactory S-Satisfactory

As shown on the table, the academic staff has satisfactory rating on all dimensions. The results are clear indication that the staff are only to some extent satisfied. Moreover, they believe that positions are not only based on qualifications but other prerogative decisions of the management. The overall mean score of 2.90 described as satisfactory is an indication that there is still a need for the school to improve the nature of work of the academic staff perhaps through proper work loading.

Comparably, the administrative staff gave almost all items a rating of fairly satisfactory except for no. 1. This was given a mean of 2.87 described as satisfactory. It only shows that the administrative staff positions are filled based on individual qualifications.

Table 8. Frequency distribution-Job nature

Respondents	VHS +HS		S		FS +NS	
	Freq.	%	Freq.	%	Freq.	%
Academic (N=146)	45	30.8	66	45.2	35	24
Admin(N=261)	44	16.9	93	35.6	124	47.5

Source: Research Field Data (2017)

It could be gleaned from the table that a total of 76% or 111 out of 146 academic staff are satisfied to very highly satisfied with the nature of their work. Similarly, about 52.5% or 137 of the administrative staff shared the same experience.

Table 9 Perception of the Respondents on the Job Satisfaction Dimension-Job Relationship

Job Satisfaction Dimension	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1. A harmonious relationship exists between the administration and staff.	2.70	S	2.56	S
2. Co-workers are supportive of one another.	3.30	S	3.09	S
3. Superiors are appreciative and supportive of the opinions & ideas of the subordinates.	2.80	S	2.72	S
4. A good working relationship exists among the staff.	3.30	S	3.35	S
<b>Overall Mean</b>	<b>3.03</b>	<b>S</b>	<b>2.91</b>	<b>S</b>

Source: Research Field Data (2017) S- Satisfactory

The overall rating of 3.03 manifests only a satisfactory evaluation of the job relationship in the Ethiopian Civil Service University. This denotes that the job relationship still has to be improved through appreciation of opinions by the superiors and good rapport between the staff and administration.

It can be observed also from table 9 that the administrative staff have the same perceptions with that of the academic staff. This only suggests that this dimension must be improved by the superiors to create a satisfying and productive atmosphere that encourages others to reach their potentials.

Table 10. Frequency Distribution-Job Relationship

Respondents	VHS +HS		S		FS +NS	
	Freq.	%	Freq.	%	Freq.	%
Academic (N=146)	46	31.5	67	45.9	33	22.6
Admin(N=261)	78	29.9	104	39.8	79	30.3

Source: Research Field Data (2017)

Table 10 shows the frequency distribution of the responses of the staff on the status of job relationship at ECSU. It is very noticeable that almost 77.4% of the academic staff and about 69.7% of the administrative staff are highly satisfied with their relationship in the organization. The academic staff considers job relationship as a very important dimension. They disclosed their feelings during the focus group discussion as follows; *“Lines of communication between top management and employees must be opened. On the other hand, I have a very good relationship with my colleagues.”*

Building goodwill among co-workers contributes to the feelings of well-being on the job. The following revelations of the administrative staff show how important are job relationship; *“My relationship with my colleagues is excellent. However, there is a gap between the top management and staff.”*

## 4.2 Level of Commitment of the Respondents

Table 11. Level of Affective Commitment of the Respondents

Affective Commitment	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1. I really feel as if the organization problems are my own.	3.59	MA	3.23	Agree
2. I really care about the fate of ECSU	3.76	MA	3.34	Agree
3. I feel like “part of the family” in ECSU	3.42	Agree	3.30	Agree
4. This organization has a great deal of personal meaning to me.	3.40	Agree	3.08	Agree
Overall Mean	<b>3.54</b>	MA/ Highly committed	<b>3.24</b>	Agree/MC

Source: Research Field Data (2017) MA-Moderately agree; MC-moderately committed

The overall mean scores of 3.54 and 3.24 for academic and administrative staff reflect that they have different levels of commitment to the organization. The academic staff are highly committed while the administrative staff are only moderately committed. The results also imply that both groups personal value system are not that strong because though they are moderately to highly committed to the university, the mean scores obtained are still low. This may also mean that emotional attachment and involvement of the respondents in the organization is to some extent moderately satisfactory.

Table 12. Level of Continuance Commitment of the Respondents

Continuance Commitment	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1. It will be very hard for me to leave ECSU right now, even if I want to.	2.83	Agree	2.23	MD
2. Right now, staying with ECSU is a matter of necessity as much as desire.	2.79	Agree	2.09	MD
3. I feel that I have too few options to consider leaving the org.	2.53	Agree	1.83	MD
4. There is too much to be gained by sticking with this organization indefinitely.	2.47	MD	1.93	MD
Overall Mean	<b>2.66</b>	Agree/Moderately committed	<b>2.02</b>	MD/FC

Source: Research Field Data (2017) MD –Moderately disagree FC-Fairly Committed

It can be noted also that the academic staff agree that they have too few options to consider leaving the organization as reflected by a mean score of 2.53. Meanwhile, they moderately disagree that too much will be gained by sticking to the organization indefinitely (2.47). Continuance commitment as perceived by the academic and administrative staff is associated with life-long security, culture of trust and responsive environment.

On one hand, the administrative staff in terms of continuance commitment are fairly committed. The level of continuance commitment of the respondents is cost based because it

depends most likely on specific extrinsic rewards. This assessment is manifested in their statements as follows: *“I will stay in ECSU because this is my comfort zone and will not leave until I finish my studies.”*

Table 13 Level of Normative Commitment of the Respondents

Normative Commitment	Academic Staff		Administrative Staff	
	Mean	Description	Mean	Description
1. I believe that a person must be loyal to his organization	4.34	MA	4.30	MA
2. Moving from organization to another org. very often is unethical to me.	2.75	Agree	2.60	Agree
3. Things are better when people stayed in one organization for most of their career.	3.29	Agree	2.80	Agree
4. Deciding to work for this organization is a good decision on my part.	3.25	Agree	2.36	Moderately disagree
Overall Mean	<b>3.41</b>	Agree/MC	<b>3.01</b>	Agree/MC

Source: Research Field Data (2017) MC-Moderately committed; MA- Moderately agree

The academic and administrative staffs moderately agree that a person must be loyal to the organization as revealed by the mean scores of 4.34 and 4.30 respectively. Both groups agree also that moving to another organization is unethical (Academic 2.75; Administrative 2.60) and things are better when people stay in one organization for the rest of their career (Academic 3.29; Administrative 2.80). The results may also imply that the respondents consider only ECSU as the best training ground for them.

#### 4.3 Job Satisfaction Dimensions’ Influence on Turnover Intentions of the Respondents.

Table 14. Frequency Distribution – Job satisfaction influences to turnover intentions

Respondents	VHE +HE		ME		LE +VLE	
	Freq.	%	Freq.	%	Freq.	%
Academic (N=146)	71	48.6	51	35	24	16.4
Admin(N=261)	34	13	77	29.5	150	57.5

Source: Research Field Data (2017) Academic  $\mu=3.28$  (moderate extent; Admin.  $\mu=2.33$ (low extent)

The results indicate that there is a higher probability for the administrative staff (87%) than the academic staff (83.6%) to leave the organization due to dissatisfaction if they can find a better opportunity outside. An employee who is not satisfied with the job tends to be unproductive, unmotivated to work and plans to leave the job if there is an opportunity. It is manifested in the statements of some staff as follows: *“Feeling of being recognized will boost my morale.”*

#### 4.4 Organizational Commitment Influences to Turnover Intentions

Table 15. Frequency Distribution – Commitment influences to turnover intentions

Respondents	VHE +HE		ME		LE +VLE	
	Freq.	%	Freq.	%	Freq.	%
Academic (N=146)	50	34.2	68	46.6	28	19.2
Admin (N=261)	74	28.4	134	51.3	53	20.3

Academic  $\mu = 2.99$  (moderate extent); Admin.  $\mu = 2.98$  (moderate extent)

Majority of them, about 80.8% of the academic staff and 79.7% of the administrative staff are moderately to a high extent committed to the university. This can be interpreted that the staff have only a 25% to 50% chances of leaving the organization. According to the respondents, they may only be tempted to leave ECSU if better opportunities will knock their doors.

#### 4.5 Correlation Between Job Satisfaction and Organizational Commitment

Table 16. Correlation Table for Job Satisfaction and Organizational Commitment - Academic

	$X^2$	Asymp. Sig.	Interpretation
Compensation	484.57	.163	Not Significant
Recognition	466.59	.344	Not Significant
Career Development	641.81	.009	Significant
Job Nature	615.49	.052	Not Significant
Job Relationship	620.09	.003	Significant

Level of significance = .05

It can be gleaned from the table that there exists a correlation between job satisfaction dimensions and commitment measured in terms of career development and job relationship. These are reflected on the computed asymptotic significance of .009 for career development and .003 for job relationship at .05 level of significance. Thus, the null hypotheses were rejected. It only implies that career development and job relationship are predictors of commitment for the academic staff. On the other hand, compensation (.163), recognition (.344) and job nature (.052) do not influence their commitment to the university; hence, the null hypotheses were accepted.

Table 17. Correlation Table for Job Satisfaction and Organizational Commitment – Admin

	$X^2$	Asymp. Sig.	Interpretation
Compensation	1049.15	.073	Not Significant
Recognition	1476.82	.001	Significant
Career Development	1732.99	.001	Significant
Job Nature	1317.03	.042	Significant
Job Relationship	1555.91	.002	Significant

Level of significance = .05

As shown in table 17, a correlation exists between job satisfaction and organizational commitment. This is exhibited in the computed asymptotic significance of .001 for

recognition, .001 for career development, .042 for job nature and .002 for job relationship which are all less than the .05 level of significance. In this case, the null hypotheses were rejected. It was only compensation (.073) which was not significant for them.

#### 4.6 Correlation between Job Satisfaction Dimension and Turnover Intentions

Table 18. Correlation Table for Job Satisfaction and Turnover Intentions - Academic Staff

	$X^2$	Asymp. Sig.	Interpretation
Compensation	490.07	.124	Not Significant
Recognition	452.41	.525	Not Significant
Career Development	624.66	.030	Significant
Job Nature	657.17	.003	Significant
Job Relationship	610.70	.006	Significant

As shown in table 18, job satisfaction dimensions such as career development, job nature and job relationship are indicators of turnover intentions as revealed by the computed asymptotic significance of .030, .003 and .006 are all less than the .05 level of significance. Thus, the null hypotheses were rejected. This indicates that if the university has good policies about these three dimensions under study. On the other hand, compensation and recognition do not influence the turnover intentions of the academic staff. Hence, the null hypotheses were accepted.

Table 19. Correlation Table for Job Satisfaction and Turnover Intentions - Administrative

	$X^2$	df	Asymp. Sig.	Interpretation
Compensation	642.58	420	.001	Significant
Recognition	885.89	560	.001	Significant
Career Development	839.74	595	.001	Significant
Job Nature	745.10	525	.001	Significant
Job Relationship	851.07	595	.001	Significant

Level of significance = .05

It can be gleaned that job satisfaction influences turnover intentions among the administrative staff; hence, the null hypotheses were all rejected. All asymptotic significance was less than the .05 level of significance. Congruently, the administrative staff shared the same perceptions with that of the academic staff in terms of career development, job nature and job relationship. This only implies that satisfaction dimensions must be improved particularly the employee-management relationship, fair treatment among the employees must be visible, biases and inconsistencies in policy implementation must be checked.

#### 4.7 Correlation Between Organizational Commitment and Turnover Intentions

Table 20. Correlation Table for Organizational Commitment and Turnover Intentions – Acad.

	$X^2$	df	Asymp. Sig.	Interpretation
Affective	664.14	525	.001	Significant
Continuous	528.87	525	.444	Not Significant
Normative	775.96	560	.001	Significant

Level of significance = .05

Table 20 shows the correlation between organizational commitment and turnover intentions. It can be observed that the asymptotic significance of .001 (affective), and .001 (normative) are less than the .05 level of significance. Figures imply that these two dimensions are predictors of turnover intentions among the academic staff. Thus, the null hypotheses were rejected. It was only continuance commitment (.444) which is not an indicator of turnover intentions.

Table 21. Correlation Table for Organizational Commitment and Turnover Intention- Admin

	$X^2$	df	Asymp. Sig.	Interpretation
Affective	692.58	560	.001	Significant
Continuous	840.37	560	.001	Significant
Normative	748.53	630	.001	Significant

Table 21 reports that organizational commitment significantly influences the turnover intentions for the administrative staff. It can be noted that the administrative staff have similar views with that of the academic staff. Figures imply that organizational commitment can influence their intentions to leave or stay in the organization. Again, results may indicate that they are committed in their work but still wanting to leave the organization if opportunity comes along their way.

#### 4.8 Differences in the Perceptions of the Respondents on Job Satisfaction Dimensions

Table 22. T-Test Results for Job Satisfaction Dimensions between Academic and Admin.

Job Satisfaction Dimensions	Computed T-Values	Sig. (2-tailed)	Interpretation
Compensation	.834	.020	H <sub>0</sub> rejected
Recognition	.615	.539	H <sub>0</sub> accepted
Career Development	4.053	.001	H <sub>0</sub> rejected
Job Nature	4.928	.001	H <sub>0</sub> rejected
Job Relationship	1.159	.247	H <sub>0</sub> accepted

Level of significance = .05

No differences exist in the perceptions of the respondents on job satisfaction dimensions measured in terms of job relationship and recognition. Since the p-values for recognition is .539 and for job relationship .247 which are greater than the .05 level of significance, thus, the null hypotheses were accepted. Both groups validate that they have the same perceptions on the dimensions under study. On the other hand, since the p-values for compensation (.020),

career development (.001) and job nature (.001) are smaller than .05 level of significance, hence the null hypotheses were rejected.

## **5. Conclusions and Recommendations**

### **5.1. Conclusions**

The academic staff only considered job relationship, job nature and career development as satisfactory. On the other hand, the administrative staff perceived all job satisfaction dimensions as fairly satisfactory except for job relationship.

Affectively, the academic staffs are highly committed to the organization while the administrative staffs are moderately committed. On one hand, both are moderately committed in terms of normative dimension.

Academic and administrative staffs are open to 50% to 75% chances of leaving the organization.

For the academic staff, a correlation exists between career development, job relationship and organizational commitment. Likewise, a significant association exists between recognition, career development, job nature, job relationship and organizational commitment for the administrative staff.

Career development, job nature and job relationship influenced the turnover intentions of the academic staff. On the other hand, for the administrative staff all job satisfaction dimensions are predictors of turnover intentions.

Affective and normative commitment influenced the turnover intentions of the academic staff. On the other hand, the three commitment dimensions are significantly related to turnover intentions for the administrative staff.

No significant differences exist between the perceptions of the academic and administrative staff on job relation and recognition. Conversely, significant differences exist in compensation, career development and job nature.

### **5.2. Recommendations**

Based on the conclusions drawn, the following are highly recommended:

- The management should review the existing compensation package to determine its competitiveness. In the process, it is also suggested that a review committee be formed comprising of representatives from each group to avoid biases. The school should still envision creating an intensive employee development program which may include skills training and values formation. Monetary and non-monetary rewards must be given for a job well-done to motivate the performers to excel. The Human Resource officer in collaboration with the chief of offices should review the existing job descriptions and provide the staff a copy so that everybody will be aware of their role in the organization

- The university can maintain its present practices. However, in terms of continuance dimension, the management should manifest concern through immediate actions on the clamor of the respondents. Change army meetings are not enough.
- To address the issue of 50-75% turnover intentions among the academic and administrative staff, it is recommended that the university: be open to the suggestions and opinions of the employees. Since the salary is standardized across nations, then it is suggested that policies on benefits be reviewed, review the policy on career development programs and provide opportunities to all staff to learn new skills, create policies on merit increases for exemplary performance to further motivate the staff to improve productivity.
- Recruit and select well-experienced professors, not merely Ph.D holders only. As much as possible, from diverse countries. For the administrative staff, greater attention should be given to policies pertaining to recognition, career development, job nature and job relationship since these are predictors of organizational commitment.
- It is recommended that the management should look into the following areas for consideration: current management practices particularly in the selection, promotion and retention of employees and existing management style with focus on the leadership styles of management.
- Establish a culture that encourages communication and is directed towards quality of work. Reshape the communication systems to build more teams and create more leaders.

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# Assessment of Tax Audit Practice and Its Challenges: A Case Study of Ethiopian Revenue and Custom Authority Large Taxpayers'

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## Abstract

*Tax audit is an activity or a set of activities performed by tax auditors to determine taxpayer's correct tax liabilities for a particular accounting or tax period. Many countries have adopted a self-assessment system (SAS) including Ethiopia; The main objective of this study was to assess the tax audit practice and its challenge in the case of large taxpayers' office and tries to assess the application of automation in audit, the proficiency of auditors, functions of audit in the reduction of tax evasions and avoidances and how it is exercised to increase the compliance level of taxpayers. Descriptive method was used to analyze the collected data. To achieve these objectives, both quantitative and qualitative research approach were used and data were collected from primary and secondary sources. Primary data were collected by using survey method from the tax audit staff and large taxpayers'. Well-structured questionnaires distributed to 48 tax audit staff respondents and out of these 40 were returned, and, to 588 taxpayers' respondents and 426 were returned. The analysis provided the tax audit had problems in the application of automation in tax audit to its maximum capacities, incompetent auditors to tackle tax evasion and avoidance, weak taxpayers' education program which cannot improve the compliance level of taxpayers. The study concluded that if tax audit were conducted by competent auditors, and supported by automation, it would have resulted in effective tax administration, improved compliance level and increased tax revenue. The study recommended that the tax authority /ERCA/ should improve the capabilities of tax auditors, and apply automation, in its audit to its maximum.*

**Key words:** *tax audit, SIGTAS, evasion, avoidance and compliance.*

## 1. Introduction

Taxation provides governments with the funds needed to invest in development, relieve poverty and deliver public services. It offers an antidote to aid dependence in developing countries and provides fiscal reliance and sustainability that is needed to promote growth. Significant progress has been made by many developing countries but weak capacity, corruption and the missing reciprocal link between tax and public and social expenditures remain as challenges (IMF, OECD, UN & World Bank, 2011).

Many countries have adopted a self-assessment system (SAS) including Ethiopia. The tax return furnished by the taxpayers is deemed as final and accepted at face value. Tax compliance under the SAS is highly dependent on voluntary compliance i.e. honesty of the taxpayers in computing their tax payable. Another significant aspect of the SAS is tax audits. Tax audits are an examination of taxpayers' business records and financial affairs to ensure taxpayers have computed their tax payable in accordance with the current tax laws and

regulations (Isa and Pope, 2011). In a self-assessment system, taxpayers should be induced to comply by being: (1) provided with information and assistance to enable them assess themselves; (2) informed that not everyone will be audited but rather that cases will be selected for audit on the basis of risk; (3) convinced that if they understate their tax liability there is a high probability that they will be audited; and (4) convinced that if they do not meet their basic obligations they will be Penalized(East AFRITAC, n.d.).

Following the increasing cases of tax noncompliance, especially tax evasion and its consequences on the capacity of government to raise public revenue, great amount of attentions have been paid to the issue of tax compliance globally by public policy makers and researchers for the past few decades now. However, bulk of the researches on tax compliance is on developed countries especially the US; it is limited on developing countries (Alabede, Ariffin & Idris, 2011).

The audit programme of a revenue body performs a number of important roles that, effectively carried out, can make a significant contribution to improved administration of the tax system. A tax audit is an investigation into the background of tax returns submitted by an individual or business to a tax agency. The idea of a tax audit normally conjures up feelings of anxiety even in persons who believe their tax documents are perfectly in order. While it is true that a tax audit may be called due to some perceived irregularity in one or more returns, it is also true that an audit may be done simply as part of a random sampling. Most governments around the world include an agency that is charged with overseeing the process of tax collection from individuals and companies that reside within the jurisdiction (OECD, 2006).

According to ERCA (2010), Tax audit is an activity or a set of activities performed by Tax auditors to determine at taxpayer's correct tax liabilities for a particular accounting or tax period, by examine of a taxpayer's organization procedures and financial records in order to assess compliance to tax laws and verifying the true, fair, reliable, and accuracy of tax returns, and financial statements. Conducting an audit, various types of information will be reviewed namely, tax returns, financial statements, accounting records, customs declaration and other source documents. Despite the fact that people need to pay taxes based on rationales of vertical and horizontal equities, it is not always the case that tax systems are comprehensible and transparent for tax payers especially for less literate business operators. Tax systems are usually not elaborated after proper consultation with the business community. The business owners complain that the tax assessment method is based on subjective estimation as a result of which they are frequently subjected to over-taxation. Since the business owners do not have simplified access to and clarification on information of the tax laws, they lack awareness on tax rules and regulations and this has an impact on the practicability of the regulations (ECC, 2005).

Tax audit has dual benefits for the tax authority: Through direct assessment of additional taxes and indirectly through awareness creation of taxpayers to comply with tax law, thus tax audit play invaluable role in both increasing the government revenue and improving the

compliance of tax payer. Thus the researcher tried to assess the tax audit practice and its challenges by collecting and analyzing data from the tax audit staffs and taxpayers of large taxpayers' office.

Governments finance their expenditures through the fund acquired from the service given by the government agencies, tax, loan and external assistance. Tax is the major source; however, in most developing countries, like Ethiopia it is a common phenomenon to notice serious problems in developing adequate tax systems that permit governments to sufficiently finance their expenditures.

According to Tanzi & Zee,( 2000, as cited by kayaga,2007), explanation In developing countries where market forces are increasingly important in allocating resources; the design of the tax system should be as neutral as possible so as to minimize interference in the allocation process. The system should also have simple and transparent administrative procedures so that it is clear if the system is not being enforced as designed, Developing countries would like to increase their tax-to-GDP ratios in order to reduce budget deficits, improve the services they provide, and optimize the effectiveness of their tax structures. Although it is commonly said that the only things certain in life are death and taxes, it is unmistakable that taxes are in fact far from inevitable. Individuals do not like paying taxes, and they take a variety of actions to reduce their tax liabilities. Some of these actions can be classified as tax avoidance or the legal reduction in tax liabilities by practices that take full advantages of the tax codes, such as income splitting, postponement of taxes and tax arbitrage across income that faces different tax treatment. Evasion consists of illegal and intentional actions taken by individuals to reduce their legally due tax obligation. Individuals and firms can evade taxes by underreporting income, sales or wealth, by over stating deductions, exemptions, or credits or by failing to file appropriate tax returns. For its part government must take actions to ensure compliance with the tax laws (Alm, 1999).

According to ERCA (2010),Ethiopian tax policy geared towards promoting investment, supporting industrial development; and broadening the tax base and decreasing the tax rate, at least maintaining the current reduced tax rates compared to most other countries, in view of financing the ever-growing needs of the government expenditure. On the other hand the policy is designed towards discouraging certain production and consumption activities, which had /and will have bad effects on health, moral, economic and social settings of the community.

ERCA was established in 2008 (by proclamation number 587/2008) through the merger of the former Ministry of Revenues, Federal Inland Revenue Authority and the Ethiopian Customs Authority. The formation of ERCA signals the Ethiopian Government's commitment to establishing a modern tax and customs administration dedicated to meeting the requirements of the business community, encouraging voluntary compliance, combating smuggling, tax evasion and fraud as well as other illegal activities, thereby, contributing to the economic and social development(ERCA,2010).

In Ethiopia the economy continued to grow rapidly for the eighth consecutive year registering in 2010/11 a real GDP growth rate of 11.4%. Particularly tax revenue exhibited an impressive performance becoming 11.5% of GDP compared to what it was in 2009/10 (11.3%); after showing a declining trend for the past five years (MoFED, 2011). However, even if there is an increase in the tax to GDP ratio for last few years, it is still low as compare to the Sub Saharan countries tax to GDP ratio 18% where as the Ethiopia tax to GDP ratio is 11.6% for the fiscal year 2004E.C (ERCA, 2012).ERCA planned to collect (30.5Billion, 45.5 Billion, 70Billion, and 87 Billion)birr for the fiscal year 2002-2005 E.C and the actual collected tax was (35.7 Billion,50.82 Billion,70.75billion and 84.41billion)birr respectively there was progress for the fiscal year 2002-2004 E.C and for 2005E.C it only achieves 95% its targeted plan. Tax administration is an extremely important area for public sector reform in Ethiopia as it is a key issue raising domestic revenue to support the delivery of Ethiopia's public services.

Tax audit is an activity or a set of activities performed by Tax auditors to determine at taxpayer's correct tax liabilities for a particular accounting or tax period, by examine of a taxpayer's organization procedures and financial records in order to assess compliance to tax laws and verifying the true, fair, reliable, and accuracy of tax returns, and financial statements (ERCA, 2010).ERCA has given attentions to taxpayers' segmentation that is large taxpayers, medium and small and micro, to provide fast taxpayers service and to handle their tax affairs in a manageable manner.

Accordingly large taxpayers' office is established by the tax authority to provide service for customer/taxpayers whose Annual turnover is above 15,000,000 and this branch office contributes the largest portion of the total domestic tax revenue collected by the tax authority for instance ERCA's plan for the fiscal year 2006 E.C from domestic tax revenue is 60,236,140,000 and out of this 44,680,770,000 or (74.18%) is to be collected by LTO branch office, (ERCA, 2012). If tax evasions and avoidances take place/occur in this branch it adversely affects the government's revenue, To mitigate such problems, therefore, a successful audit program should be implemented which is capable to investigate, detect and prevent loss of tax revenue, and to improve its tax administration and tax potential.

Thus the researcher believes that researches on this area will have invaluable contribution in identifying weak areas and recommending possible solutions to the tax authority to achieve its objectives and to improve its tax administration. Hence, the researcher becomes interested to assess the tax audit practice and its challenge in the case of large taxpayers' office and the study is limited to the tax audit.

The main objective of this study is to assess the tax audit practice and its challenge in the large taxpayers' office.

The specific objectives of the study focus on the following:

1. To assess the challenges in the application of automation in the tax audit.
2. To evaluate the function of tax audit in improving the compliance level of taxpayers

3. To examine the tax auditors' proficiency, integrity and competence
4. To assess how tax audit is exercised in the reduction of tax avoidance and evasion.

The study helps in identifying the existing challenges posed on the successful tax audit practice. By identifying the major constraints, the findings of the study are expected to indicate the strategic intervention areas that might improve the audit practice, and will show those areas that need corrective measures to improve the tax administration. In addition the study will provide information related with tax audit practice and its challenges for different stakeholders such as government, and the society.

The study also provides information for policy makers to make legal amendments to improve the current tax administration in order to collect potential tax and improve voluntary compliance, by making the tax laws simple and understandable for taxpayers.

Finally, for those who are interested to make further study on the related issues/areas may be used as indication.

The research covered the Ethiopian revenue and custom authority large tax-payers that are residence of Addis Ababa, excluding regional tax authorities. The study assessed the tax audit practice and its challenges in the branch office, the application of standard integrated government tax administration system (SIGTAS), and the tax audit functions to tackle evasions and avoidance, to improve the compliance level of taxpayers and examine the proficiency and experience of tax auditors in the branch office.

Thus the study had some limitations; the major limitations were it only focused on the audit practice of LTO without including other branches and regional tax authorities, to conclude country wide it has limitation, unable to held an interview with the tax audit director and to get data from the taxpayers due to the current situation in ERCA financial and resource limitation impedes the study to be bound to a survey of small samples.

## **2. Review of Related Literature**

This section presents a brief review of existing theoretical and empirical literature of tax audit practices and has three sections. The First section presents theoretical review of tax audit; the second section presents the empirical evidence on tax audits and related issues and the third section deals with conclusion of the chapter and the knowledge gaps that motivate this study.

### **2.1. Tax related literature reviews**

#### **2.1.1. Definition of Tax**

A tax is a compulsory levy by government through its agencies on the income, consumption and capital of its subjects. These levies are made on personal income such as salaries, business profit, interest, dividend, discount or royalties to obtain revenue. Taxation is a compulsory payment or transfer of resources from private to public sector levied on the basis of the determined criterion and without reference to specific benefits received in order to

accomplish some of the nation's economic and social objectives. Taxation is primarily aimed at generating revenue for government in order to cater for its expenditure (Saidu, 2012).

## **Tax Administration**

Reaping revenue from tax requires effective tax administration. Raising revenue from base expansion requires even better administration. The best tax policy in the world is worth little if it cannot be implemented effectively. How a tax system is administered affects its yield, incidence and its efficiency. Unfair and capricious administration brings the system into disrepute and weakens the legitimacy of government (ECSU, 2012).

### **2.1.2. Definitions of tax audit**

A tax audit is an examination of whether a taxpayer has correctly assessed and reported their tax liability and fulfilled other obligations. Tax audits are often more detailed and extensive than other types of examination, such as general desk checks, compliance visits/ reviews or document matching programmes. There are, of course, exceptions to this rule. Conditions and approaches vary from country to country (OECD, October 2006). Generally, an audit will examine the issues seen as most significant to achieving an accurate assessment of a taxpayer's tax liability. Typically, these issues will include any indications of significant unreported income (for example, as may be suggested by a very low ratio of net/gross business income ratio computed from a taxpayer's return) or potentially over-claimed deduction items that may be apparent from an examination of a taxpayer's tax return and other information. As well as income tax returns and other reporting, this includes supporting documents, which the taxpayer should normally have. In the case of business audits, national law often requires a business to obey certain bookkeeping and accounting standards. The audit may also involve physical enquiries, such as the inspection and examination of goods in stock, premises etc (OECD, October 2006).

According to ERCA (2010), Audit is defined as the structured examination of a business' relevant commercial systems, financial and non-financial records, physical stock and other assets, internally generated data and that produced independently of the business. Tax audit is an activity or a set of activities performed by Tax auditors to determine at taxpayer's correct tax liabilities for a particular accounting or tax period, by examine of a taxpayer's organization procedures and financial records in order to assess compliance to tax laws and verifying the true, fair, reliable, and accuracy of tax returns, and financial statements.

### **2.1.3. Types of Audits**

**Audit scope and intensity:** Audits can vary in their scope and the level of intensity to which they are conducted. OECD (2006) noted that, various terminologies have evolved to describe different types of audit activity:

**Full audits** – The scope of a full audit is all-encompassing. It typically entails a comprehensive examination of all information relevant to the calculation of a taxpayer's tax liability for a given period. The objective is to determine the correct tax liability for a tax

return as a whole. In some countries full audits are carried out as part of random audit programs that are used to gather data on the extent, nature and specific features of tax compliance risks, for compliance research purposes and/or the development of computerized audit selection formulae. Given their broad scope, full audits are typically costly to undertake a substantial program of full audits will require considerable resources and reduce the rate coverage of taxpayers that could otherwise be achieved by a more varied mix of audit types.

**Limited scope audits** – Limited scope audits are confined to specific issues on the tax return and/or a particular tax scheme arrangement employed by the taxpayer. The objective is to examine key potential risk areas of noncompliance. These audits consume relatively fewer resources than full audits and allow for an increased coverage of the taxpayer population.

**Single issue audits** – Single issue audits are confined to one item of potential non-compliance that may be apparent from examination of a taxpayer's return. Given their narrow scope, single issue audits typically take less time to perform and can be used to review large numbers of taxpayers involved in similar schemes to conceal non-compliance.

#### **2.1.4. Audit case selection methods /techniques**

As Gupta and Nagadevara (n.d), noted tax audit is a detailed exploration into the activities of a taxpayer to determine whether he/she has been correctly declaring the tax liabilities. Audits indirectly drive voluntary compliance and directly generate additional tax collections, both of which help tax agencies to reduce the 'tax gap' between the tax due and tax collected. Audit plays the pivotal role in the administration of tax and achieving the revenue objectives, ensuring the fiscal health of country and ensures a level playing field for an honest taxpayer. On the other hand, being an intrusive method, audit is not a very welcome procedure both for the taxpayers as well as the economy. Conducting of audits involves costs to the tax department as well as to the taxpayer. Tax administration agencies must therefore use their limited resources very judiciously to achieve maximal taxpayer compliance, minimum intrusion and minimum costs. Planning an adequate audit strategy therefore, is a key success factor in a posteriori fraud detection (where audits are intended to detect tax evasion and fraudulent claims) as well as proactively preventing frauds and tax evasions.

Selecting returns for Audits is like looking for a needle in a haystack. Every year, a large number of taxpayers fail to declare their tax liabilities correctly, and the Tax Administration is forced to tackle a tough task to detect them (and enforce compliance from them) without increasing the compliance costs of the tax compliant taxpayers. It is not possible to identify the likely tax-evaders by simple query and reporting tools. Tax departments have access to enormous amounts of taxpayer data. However, it is impossible to ascertain the legitimacy of and intention behind a claim or a declaration in the tax return by simply looking at the return or a profile of a taxpayer (Gupta & Nagadevara, n.d).

### **2.1.5. Risk Based Audit Selection**

ERCA is required to audit some or all its taxpayers to verify if customers are paying the right tax at the right time. Conducting audits involves costs to the tax department as well as to the taxpayer. To make audit more efficient and effective and to maximize resources, audit selection based on establish risk criteria will be used to select a particular taxpayer for audit (ERCA, 2010).

## **3. The Methods**

Research methodology is the way that shows how the researchers systematically arrive at the solution of the research problems (Kothari, 2004). It is a scientific way of solving these problems. Accordingly, the research design of the study includes research approach, sample design, data source, data collection instruments, and data analysis and interpretation techniques as indicated below:

### **3.1. Research approach**

There are two basic approaches to research, viz., quantitative approach and the qualitative approach. The former involves the generation of data in quantitative form which can be subjected to rigorous quantitative analysis in a formal and rigid fashion. Qualitative approach to research is concerned with subjective assessment of attitudes, opinions and behavior. Research in such a situation is a function of researcher's insights and impressions. Such an approach to research generates results either in non-quantitative form or in the form which are not subjected to rigorous quantitative analysis (kothari2004).

In this study, both qualitative and quantitative approaches were used through questionnaire and interview.

Research methods are all those methods/techniques that are used to conduct a research (Kothari 2004). In this study, the researcher adopted survey methods, it attempt to capture attitude or patterns of past behavior. There are different tools available for the researcher to collect data these are questionnaires, observation, and interview.

The research type implemented for this study was descriptive method, because the researcher has no control or effect on the variables of the study. Where data obtained from the respondents were recorded, analyzed, and interpreted by conducting field survey. Thus, the researcher described the audit practice and its challenge in the Ethiopian revenue and custom authority large tax-payers office based on the data collected from the respondents using questioners and interview.

### **3.2. Sample Design**

Conducting a study on the complete enumeration of all population or census survey is difficult to cover due to different constraints especially if the inquiry is large (Kothari, 2004). Sample design is a definite plan for obtaining a sample from a given population, Therefore, The research population, sample size, the procedure that was used in selecting sample and collecting data is explained below.

### **3.2.1. Population size**

The population or universe under targeted for the study was the Large Tax payers Office branch registrant taxpayers and tax audit staffs at Large Tax payers Office branch. These are: The 1116 Large Tax payers Office registrant taxpayers (LTO tax payer's service database, 2009 E.C) and 48 tax audit staff members 1 process owner, 9 tax audit team coordinators, and 20 senior auditors, 2 auditors and 2 are junior auditor of the audit department of LTO branch (ERCAs' human resource).

### **3.2.2. Sample Frame**

Sample frame is the source of list of the universe from which sample was drawn. It contains the names of all items of a universe (Kothari, 2004) .Accordingly; the sample frame of the study will be the list of LTO branch taxpayers and tax audit staffs at LTO branch.

### **3.2.3. Sampling Techniques**

An optimum sample is one which fulfills the requirements of efficiency, representativeness, reliability and flexibility. Non-probability sampling is that sampling procedure which does not afford any basis for estimating the probability that each item in the population has of being included in the sample whereas probability sampling is a procedure which affords equal chance of being included in the sample. In this study both probability and non-probability sampling techniques were employed. The non-probability /Purposive sampling were used in deciding the Addis Ababa residents' sample respondents from the Large Tax payers Office registrant taxpayers in the country, and audit staffs of Large Tax payers Office branch. The selection of non probability sampling accounted for the difficulty to access/contact the tax payers' because they are not located in one specific area, and the tax audits staff are small in size and taking survey response from all the tax audit staff was possible and manageable and increases the response rate because tax auditors go for field audit frequently so that the response rate could have been low. The Simple random probability sampling was used to select from the residents of Addis Ababa taxpayers, in order to have an equal chance of being selected and included in the sample. Since taxpayers are segmented according to their annual turnover applying simple random sampling technique was appropriate.

### **3.2.4. Sampling size**

In order to determine the desired sample size Yamane (1967) provides a simplified formula to calculate sample sizes. This formula was used to calculate the sample sizes at 95% confidence level and  $P = 0.5$  is assumed =  $N / [1 + N (e)^2]$

Where

n= is the sample size,

N= is the population size, and

e= is the level of precision/allowable error.

When this formula is applied to the above population, we get

$$n = N / [1 + N (e)^2]$$

$$n=1116/ [1+1116(0.05)^2]$$

n=294 taxpayers (PLC) on average 2 questioners will be distributed for each taxpayers or PLC. (588) questioners, and 48 questioners to the tax audit staffs, so the number of questioners distributed were totally 636 questioners. Most of LOT taxpayers are established in the form of PLC. So, on average 2 questioners to be distributed for each PLC therefore, total number of questioners to be distributed will be 588. But in the case of tax auditors since the number was small (48), the study assumes the data of all Tax Auditors will be taken as a sample. Or there is no need of taking sample from the frame. Therefore, the sampling frame and the sample will be the same.

### **3.3. Source of Data and Data Type**

To conduct a reliable and accurate research it is advisable to use primary and secondary data source (Kothari, 2004). In this study both the primary and secondary data were used.

#### **3.3.1. Primary Data Source**

Primary data was collected by using a sample survey/questioner and interview/, questioners were distributed to the branch office audit staffs and LTO taxpayers' resident of Addis Ababa. Tax audit process owner, tax audit team leader and senior tax auditor were interviewed from the audit staff and tax payers were also interviewed so as to fill the gap of the questionnaires.

**Questionnaires:** were developed for the sample taxpayer respondents and tax auditors /officials in a way that can achieve the objective of the study. The questionnaires were designed in structured open and close ended manner (See Appendix 1).

**Interview:** The interview questions were prepared to collect data on the overall audit activities. The interview questions were both structured and unstructured way that enable to extract the knowledge of the audit staff and taxpayers about the issue (See Appendix 3).

#### **3.3.2. Secondary data**

The secondary sources of data were collected from various internet sources, proclamations, magazines, journals, from ERCAs tax audit policies and ERCA's different published reports.

### **3.4. Data presentation**

After collecting the primary and secondary data, it was edited, coded and tabulated and then it is presented using tables, figures, charts and graphs in a way easily understandable and suitable for analysis.

### **3.5. Data Analysis**

The data was collected using the above methods and was organized, analyzed and interpreted in order to make it sensible. Computer applications of SPSS (16version) software package in combination with excel spreadsheets were used as a tools for the analysis purpose; the data was analyzed according to parts presented in questioner classification in the form of graphs, tables, and descriptive form.

## **4. Results and Discussions**

This study was designed to assess tax audit practice and its challenges in Ethiopian revenue and custom authority large taxpayers' Office. The results obtained based on the data collected from respondents are presented and discussed in this chapter. It shows general characteristic of the respondents, the response rate and findings of the study.

The questionnaires were distributed to both Addis Ababa residents' large tax payers' office registrant taxpayers and LTO tax audit employee respondents. The questioners distributed to the taxpayers were prepared in Amharic version so as to avoid language barriers and minimize response biases due to misunderstanding.

### **4.1. Response Rate Analysis**

The field survey result indicates that from 588 questionnaires distributed to LTO registrant taxpayers and 426 were returned representing 72.44 percent and from 48 questionnaires distributed to the tax audit staffs, 40 questionnaires were returned and represent 83.33 percent. In addition structured interviews were held with the tax audit process the owner, tax audit team leader and senior tax auditor and unstructured interview from LTO tax payers.

### **4.2. Demographic Data**

In the following tables, and charts information related to sample respondents' gender, Age, educational background, work experience and current occupation of tax audit staffs and gender, Age, education and business sector of tax payers were presented and analyzed. To get these information respondents were provided with structured questions.

The primary focus of this study is to assess the challenges and prospects of tax audit in the Ethiopian revenue and customs of large taxpayers' office. Two different types of questionnaires were prepared and distributed to collect primary data from the two groups of the respondents: tax auditors and taxpayers. The target population for this study was tax auditors and taxpayers of the branch office. Questionnaires were distributed to 48 tax audit staffs and 588 taxpayers of the branch office participants that met this criterion, based on list compiled by the revenue office.

Table 1: Profile of Large Tax payers Office Tax Auditor Staff's Respondents

Level of education	Frequency	Valid Percent	Cumulative Percent
Degree	30	75.0	75
masters and above	10	25.0	100
field of study	Frequency	Valid Percent	Cumulative Percent
Accounting and finance	32	80.0	80
Management	6	15.0	95
Economics	2	5.0	100
Current position	Frequency	Valid Percent	Cumulative Percent
Junior auditor	8	20.0	20
Auditor	2	5.0	25
Senior auditor	20	50.0	75
team leader	9	22.5	97.5
Process owner	1	2.5	100
Work experience	Frequency	Valid Percent	Cumulative Percent
Less than two years	8	20	20
2-5 years	19	47.5	67.5
Greater or equal to six years	13	32.5	100
Did you attended any special training with your current position	Frequency	Valid Percent	Cumulative Percent
Investigation and intelligence	7	22.5	22.5
Preparation of audit findings	20	50	72.5
Audit selection techniques	7	17.5	90
Others	4	10	100
How long have you been taking in training	Frequency	Valid Percent	Cumulative Percent
Less than 16 days	30	75	75
16-30 days	8	20	95
31-60 days	1	2.5	97.5
More than 60 days	1	2.5	100
Are you satisfied with your current salary			
Yes	34	85	85
No	6	15	100

As shown in table 1 the educational background of the tax audit staffs respondents,30(75%) are of the respondents are bachelor degree holders, whereas 10(25%) of them are master's degree or above holders, this figure shows that the tax auditors' educational qualification is seem to be adequate to perform audit tasks. As audit standards majority 75% of auditors should have a university and college graduated, therefore it can be concluded that educational qualification is important to understand the tax laws and regulation and other international auditing standards, as a result of this is the branch office will achieve its audit objective.

Although, most of the audit staffs are bachelor degree holders, not only this but also auditors should have more professionalism to do best audit practices, activities and responsibilities in order to enhance audit efficiency, gain audit effectiveness, receive audit performance, and audit success. Regarding their field of study majority of the respondents are specialized in Accounting and Finance which accounts for 80% of the total sample and remaining 20 % were specialized in management and Economics. The international audit standard requires an auditor to have the knowledge of accounting, investigation and management, it can be concluded that the auditors have the required knowledge. The organizational structure of the audit staff shows that 8(20%) are junior auditors, 2(5%) auditor position, 20(50%) of the respondents are senior auditors, 9(22.5%) are team leaders and 1(2.5%) is processor owner, from this it can be seen that the composition of the audit staff is good it has positive implication in improving the tax administration.

As it can be seen from the above the work experience in the current position of tax auditors/officials 8 (20%) have less than two years, 19(47.5%) respondents have 2-5 years, and the remaining 13(32.5%) have more than 10 years work experience. Well experienced tax auditors/officials can tackle tax avoidance and evasions committed by non compliant taxpayers in a better way. Tax audit staffs were asked whether they taken any special training and the their responses shows that 7(22.5%) of them have taken Investigation and intelligence, 20(50%) of them have taken Preparation of audit findings, 7(17.5%) of them have taken Audit selection techniques and the remaining 4(10%) of the respondents have other types of training, the international audit standards recommended that the above three areas of trainings are very important for tax auditors from this it can be concluded that the tax authority has provided the necessary trainings for tax audit staffs. The audit staffs were also asked whether they are satisfied with their current salary or not accordingly, 34(85%) of them responded that they are satisfied and 6(15%) of them are not, from this it can be concluded that most of them are satisfied, and it has positive contribution to the success of the branch office.

Table 2. Survey response regarding reason for auditors' dissatisfaction

Measures	Frequency	Percent
Missed	5	12.5
Lack of job security	10	25
The salary scale/payment packages	9	22.5
Working environment/condition	3	7.5
due to the riskiness	8	20
due to the work load	5	12.5
Total	40	100.0

Source: Field Survey Result 2017

As it can be observed from the above table 2 Audit staff Respondents were asked to list their reasons for their dissatisfaction, and out of the 35 respondents who are dissatisfied 10(25%) are due to lack of job security, 9(22.5%) are because of the salary scale/payment

packages,3(7.5%) are due to the working environment/conditions and 8(20%) are dissatisfied because of the riskiness of the job and the remaining 5(12.5%) are due to the work load.

This question was also supplemented with interviews with the team leaders and senior auditors as to why they were satisfied or not those who respond we are satisfied said that it is the audit section where they can apply the theories and principles they learnt in their field of study/discipline and having the knowledge and experience in auditing increases their demand in the labor market. They didn't denied its riskiness, exposure to corrupt practices and the challenges they face, however these are scarifies they are paying now for the betterment their future life. The interviewees who were dissatisfied with their current job justify their reasons by stating the challenges they faced. Some of these are the risk of being fired without any concrete evidence if they are suspected in corruption, lack of support from top management in providing different facilities like transport, and there is also uniform payment system without considering the risk, the work load and other factors for instance an auditor and a human resource officer earns equal salary but the risk and the work load is incomparable, in addition to these they raise an example of our neighbor country Kenya an auditor is paid some percent of the amount he/she audit in excess of to his/her salary, and the code of conduct article 37 says that the general director has full power to fire an employee if suspected in corruption without any evidences and an employee who is fired will not have the chance to get back his job even if his innocent is proved by the court these and others makes them to dissatisfy with their current job.

To evaluate the tax auditors' capabilities, The survey response of the tax auditors was very important to know whether the tax auditors have got adequate training that enable them to work independently, according to the above table 4.7 Data obtained From respondents revealed that most of the respondents 33(82.5%) respond that they didn't get adequate training on tax laws and audit to carry out audit independently and 6(15%) responds got training on tax laws and audit that enable them to work independently and the remaining 1(2.5%) didn't respond his position. Majority of the tax auditors/officials didn't get enough training.

To supplement the questioner an interview was held with team leaders, According to the outcomes of the interviews training is important to update auditors with tax laws and new regulations and directives; however ERCA has weakness on this aspect. At the beginning of the budget years training need is filled but the training given to auditors is not directly related with audit. Auditors are forced to update themselves by reading auditing materials developed by ERCA, The interviewees also pointed that the authority should provide trainings to its employees so that the regulations and directives can be applied in a uniformly manner. Trainings in the area of investigation audit, intelligence and IT are very important for auditors to work independently.

Table 3. Survey response regarding tax avoidance and evasion

Do you think that tax audit in LTO is playing vital role in the reduction of tax evasion and avoidance?	Frequency	Percent
Yes	35	87.5
No	5	12.5
Total	40	100.0

Source: Field Survey Result (2017)

Regarding the role of tax audit in the reduction of tax evasion and avoidance out of the 45 respondents 35(87.5%) respondents said that tax audit play vital role in the reduction of tax evasion and avoidance while the remaining 5(12.5%) of the respondents respond tax audit does not play vital role in the reduction of evasion and avoidance. To supplement the questioner an interview with team a leader was held and he mentioned that if tax audit is done with well experienced auditors the probability to detect tax evasion and avoidance is high, however, it needs high intelligence and investigation support. Advanced technologies are used to manipulate tax liabilities for instance duplication of receipts, transact without any source document, and making business using E-commerce/on line marketing, the interviewee has doubt about the professional competency of ERCA’s auditors to discover the avoidances and evasions committed by the tax payers because most private companies have employees with better skills and knowledge of auditing than the branch office auditors have, private companies provide different incentive packages to attract highly qualified labor from the market and well experienced auditors from the authority itself and as a result they manipulate the tax laws and regulation in a way that understates the taxpayers’ tax liability. Another question was suggestion about the measures that has to be taken by the tax authority to avoid the loop wholes of the laws. ERCA needs continuous amendment of the tax law when it is believed that it has loop hole. When the tax law is developed it should include expertises that have experience in the tax administration.

Table 4. Survey response regarding role of tax audit

The ultimate goal of tax audit program	Frequency	Percent
To increase the government tax revenue /direct effect/.	33	82.5
To increase the compliance level taxpayers’ to the tax laws.	26	65
To create deterrent effect on non-compliant taxpayers/indirect effect/.	5	12.5
To detect tax evasion and avoidances	14	35

Source: Field Survey Result 2017

N.B. Figures do not sum up and multiple answers were possible

As indicated in the above table 33(82.5%) responses reveal that the ultimate goal of tax audit is to increase the government revenue, 26(65%) responses to increase compliance level of

taxpayers, 5(12.5%) responses to create deterrent effect on non-compliant taxpayers/indirect effect/ and ,14(35%)response reveals to detect tax evasion and avoidances. In summary the significant responses indicate the ultimate goal of tax audit is to increase the government revenue and to increase the compliance level of taxpayers.

Table 5. Survey response regarding audited businesses

How many times does your business audited by ERCA auditors?	Frequency	Percent
Two time	22	5.2
Three time	97	22.7
more than 3	307	72.1
Total	426	100.0

Source: Field Survey Result 2017

As indicated in the above table 5, out of 58 taxpayers respondents 22(5.2%) respondent were audited two times, 97(22.7%) taxpayers were audited three times and 307(72.1%) of the taxpayer were audited more than three times. In summary majority of the taxpayers who fill the questioner were audited more than three times.

## 5. Conclusion and Recommendations

### 5.1 Conclusion

Continuous training and development for tax auditors are necessary to improve their technical knowledge, communication, and audit skills; however, from the above findings the researcher concludes that lack of training and development makes tax auditors incompetent. As discussed in the ligature part Technology may make tax administrations more effective by improving information flow, facilitating coordination, and improving their allocation of resources. Technological changes may reduce taxpayer compliance costs by improving information and services to taxpayers, has significant role in improving the tax administration. Technology may reduce opportunities for corruption by reducing the face-to-face interaction between taxpayers and taxing authorities. The study concluded that the tax authority has weakness in the application of IT in its tax audit to its maximum capacity to get the above stated benefits.

Literatures on tax compliance indicate that taxpayers' education is mandatory to promote voluntary compliance and Taxpayer education is among the major tax audit policy and strategy of ERCA to improve the compliance level of taxpayers; however, the audit department is not effective in providing tax payers education. Furthermore, it was evident from the findings that Penalties were viewed as ineffective in influencing compliance behavior, unless supported by taxpayers' education.

Studies on tax audit show that it plays greater role to increase tax revenue, to create deterrence effect, to improve compliance level and to detect tax evasion and avoidances, however, from the above findings of the study concludes the tax audit is not organized in the way to address these.

From the findings the researcher realized that the tax laws have vagueness, the payment system is lengthy and the filling is complex.

## **5.2. Recommendations**

From the discussion and conclusion the researcher learnt that tax audit needs competent audit work force and high IT supported to deal with tax avoidance and evasion, to improve the tax compliance level and to increase the tax revenue. Therefore, based on the findings of the study the following recommendations are provided to achieve an effective and efficient tax audit:

- ✚ ERCA should improve the standard of tax audit personnel and strengthen the capabilities' of its tax auditors by providing different trainings on the areas of tax laws, auditing, investigation and IT so that they can undertake their duties without difficulties and can tackle tax avoidance and evasions problems in a better way.
- ✚ The tax authority should improve the public awareness of the importance of tax payment and the effect of non-tax payment, so that the level of compliance can be improved and non-compliance will be minimized in addition to this intensive training and awareness creation programs should be prepared.
- ✚ Tax audit should aimed at reducing the problems of tax evasion, tax avoidance and other tax irregularities for standardization to improve the level of filing, payment and reporting compliance.
- ✚ Tax audit should get support from the intelligence and investigation department when needed so that audit could be done based on risk management.
- ✚ Penalties should be used in combination with other measures such as taxpayers' education and services in order to achieve greater compliance.
- ✚ There should be strong commitments from top management to support the tax audit to operate independently.
- ✚ ERCA should improve the net work quality which is the serious problem in providing fast services to its customers and case for audit should be selected using data from SIGTAS rather than screening committees so that biasness can be minimized.
- ✚ Tax authority should continuously review the tax laws so that the loop hole of the laws can be addressed without adversely affect the tax revenue of the government.

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# **Practices, Challenges and Prospects of Social Security Management in Public Servants Social Security Agency in Addis Ababa**

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## **Abstract**

*The major purpose of the study was to assess the current practices, challenges and prospects of social security management in public servants' social security agency in Addis Ababa. To this end, the study adopts a mixed methods research approach by combining questionnaire, focus group discussion and in-depth interviews. Both proportionate stratified random sampling and purposive sampling methods were used in this study to obtain data from employees and top management respectively. A sample of 230 out of 539 employees of the agency and 3 top management officials were drawn. The findings of the study show that, there is lack of promoting saving, lack of awareness creation programs to employees, poor measurement of actual performance with the desired goals, financial sustainability of the agency is at risk, extension of social security coverage is still less, lack of proper implementation of the strategic plan, low continues supervision and follow-up system and the application of the management functions of the agency is very low. The study suggests that the agency should design device mechanisms for financial sustainability and governance of social security, integrate social security into a comprehensive strategy for decent work and strictly follow and apply the management functions.*

**Keywords:** Social Security, awareness, financial sustainability, investment, extension of social security

## **1. Introduction**

Social security is a result achieved through gradual stages and measures taken by governments for protecting their people from economic distress. But the practice of social security becomes popular at the end of the eighteenth century and the beginning of the nineteenth century in the perspective of rapid industrialization, particularly in developed countries. Under industrialization, appropriate legislations have been formulated to provide compensation to those workers who were engaged in different productive units (Yadav, 2004).

According to ILO (2004), social security programs of Ethiopian are undeveloped and are essentially limited to, public pension programs for civil servants and members of the armed

forces and which also apply to employees of public or government undertaking many which are being progressively privatized. But now, since the end of 2003 Ethiopian fiscal year, the coverage of social protection has been expanded to private sector employees after the Private Organization Employees Social Security Agency has been established with the Proclamation No. 715/2011. Even though the above-mentioned efforts have been made by the Ethiopian government it has been observed that there are several citizens which are not being covered by any form of social security services.

Globally, there are a lot of people who need help to sustain their life and to fulfill their basic necessity. Especially, as they become old in age and their ability to generate income weaken the reliance of citizens on government increases. Government on the other hand should prepare a way to help the citizens. In essence, unless one takes a libertarian view, it is the role of the government to ensure that people do not reach old age being poor (Aaron and Reischauer, 1998; Diamond 1995).

In Ethiopia, the pension plan is taken as part of the nation's social security program, gives income security in old age, disability or death to employees who were serving in public organization or offices. This was performed by the Ethiopia social security agency until it has been established in two forms. These are the private organizations employees' social security agency and the public servants' social security agency (Proclamation No. 715 / 2011 and Proclamation No. 714/2011 respectively).

Since the aim of social security is to ensure that persons who (either temporarily or permanently) are unable to obtain an income, or who are facing exceptional financial responsibilities, are enabled to continue to meet their needs by providing them with financial resources or certain goods or services. In this regard, a country is expected to have a meaningful plan of action to try to meet the minimum standards set by the (ILO, 2016).

However, on the basis of the practical observation of researchers, the Ethiopian Pension system does not address the living conditions of beneficiaries to ensure their survival. Though the proclamation No. 714/2011 stated that, the system greatly contributes to social justices, industrial peace and poverty reduction and development, the reality on the ground is not as promised.

According to Alemu (2015), the agency performance is like sort term solvency and saves up to 50% of its income from being expensed, this indicated that the agency focused on meeting its short term obligations rather than generating income through investment.

The aim of this study is, therefore, to study the existing practices, challenges and prospects that pertain to social security and suggest recommendations after analyzing the data obtained. To this end, this study is aimed at searching answers to the following questions, In light of this; the researchers answered the following basic research questions;

The specific objectives of the research are:

- To assess the practices of social security management in Public Servants Social Security Agency in Addis Ababa.
- To investigate the challenges of social security management in Public Servants Social Security Agency in Addis Ababa.
- To investigate the prospects of social security management in Public Servants Social Security Agency in Addis Ababa.

## **2. Reviews of Related Literatures**

### **2.1. Social Security Concept**

Kaseke (1977) as cited in Nhede (2014) the concept of social security has different meanings for different people. Social security is defined variously by different people, hence there is no total agreement on what constitutes social security. The scope and provisions of social protection have not been static due to the effects of civilization and globalization. As a result, defining social security has been difficult.

Social security can be defined as an individual's possibility to lead a life in human dignity based on a reliable live basis. Some authors regard social security as referring to protection against situations of hardship or needs, to provide protection for the foundations of life (Riedel, 2006).

For effective and efficient social security pension fund management requires the investment of assets to achieve the long-term provision of funding for retirement (Woods, C., & Urwin, R. (2012). Institutional social security, in some measures or another, exists in almost all countries today. However, there is much variation between countries with regard to the levels of protection, scope, coverage and effectiveness of the system in place. As a group, the developed countries have the most advanced social security and pension fund management systems. With very few exceptions, institutionalized social security and pension fund management in the developing world is of relatively recent origin, having appeared only after the Second World War, following the emergence of several independent states at the end of the colonial era (Catala, 2004).

### **2.2. Challenges of Social Security and Sustainable Financing for Social Security**

Bailey and Turner (2002) as cited in Nhede (2014) argue that by nature formal social security schemes tend to cater for those people employed in modern enterprises mostly located in urban areas. As a result, in most cases, those people working in small rural based enterprises and domestic workers are not social security beneficiaries.

Von Braun, et al. (2009:293) as cited in Nhede (2014) argues that some programs suffer notoriously from graft, corruption and capture of benefits from the non-poor. Thus, there is the need for transparency and accountability. With the increasing need for better benefits and higher running expenses, there is greater need for better investment of social security funds and good governance of the institutions in order to ensure that they attain their objectives and

make the funds sustainable.

Contemporary social protection financing systems face three major challenges. They are said to be ill-equipped to deal with the ageing of the population and with globalization, and the financial burden placed on contributors and taxpayers in all countries is said to have reached the limits of affordability (ILO, 2001).

According to Nhede (2014), there are a number of factors that influence the adoption of social security policies and social security schemes. Some of the determinants of social security policies or schemes include poverty, limited availability of financial resources, inequality, prevailing political situations as well as political will and the national ideology of individual countries.

The extension of social protection will require improved national financing as well as new forms of financing at the local and global levels. At the national level, financing could be enhanced through better collection of existing social security contributions and taxes. The pay-as-you-go (PAYG) form of financing would probably be most appropriate for short-term benefits, such as health insurance and maternity benefits. In the case of old-age benefits, it is shown that PAYG and advance funding are both vulnerable to demographic change. At the local level, more emphasis could be put on resources available to local governments as well as on tapping the contributory capacity of workers in the informal economy for micro-insurance schemes. The financial sustainability of such schemes can be enhanced through various mechanisms, such as pooling, reinsurance and some form of affiliation with statutory social insurance schemes. At the global level, new sources might be found for financing some form of basic social protection for all, as well as measures to cope with the consequences of crises (ILO, 2001, p.11) The constitutive elements of a social security scheme consist of coverage, benefits, financing and administration.

### **2.3. Prospects of Social Security**

In view of the fact that many social security schemes in Africa do not provide adequate benefits and coverage, African countries need to transform their social security systems to enable them to cover vulnerable groups. The challenges and constraints facing the continent are a result of the changing global trends. The most important and promising development for Africa, though; is that in recent years, researchers have been writing on the global perspective of social protection. With such comparative literature available to inform African governments on the prospects, challenges and constraints of social security, the foundation for improvements has already been laid. The fact that some governments in Africa have made social security a constitutional right enshrined in their national constitutions bear testimony to the importance being attached to the social welfare of the African people. Through the relevant institutions, governments have embarked on public awareness campaigns. Globalization has also facilitated social security reforms due to the unlimited flow of information (Nhede, 2014).

The international context is today, especially favorable for the extension of social security. The fight against poverty has become the integrative framework for development aid, through the Millennium Development Goals (MDGs) and the Poverty Reduction Strategy Papers (PRSPs) approach supported by the World Bank and the IMF. Social security has a major role to play in that undertaking. Historical experience in industrialized countries shows that it is a powerful tool to prevent and alleviate poverty as well as an instrument for sustainable social and economic development. The ILO is currently working on a new mechanism that will provide to member countries a framework and a methodology to define and implement a national strategy for extending social security (Zarka & Guichard, 2007).

### 3. Research Methods

#### 3.1. Research Approach

In this study, a mixed research approach, i.e. case study of qualitative research and descriptive survey research of quantitative research were deployed.

#### 3.2. Research Design

The fact that this research project was used concurrent triangulation design because the quantitative and qualitative data were collected at the same time in the research procedure to compare the results of the data analysis after analyzes the quantitative and qualitative data separately.

#### 3.3. Target Population

The population of this study is the public servants social security agency employees in Addis who have the know-how of social security concepts and they are direct working on it. Accordingly, the data are obtained from the agency employees in Addis Ababa regional office, central regional office and head office. Therefore, the total population of the study was 539 employees (which are officers) of PSSSA and 3 higher officials in three branches.

#### 3.4. Sample Size and Sample Size Determination

The sampling frames of this study include Addis Ababa regional office, central regional office and head office. The sample size was determined by using the Slovin's Formula.

$$n = \frac{N}{1 + N(e^2)}$$

Where;

N = Total number of population

n = number of sample size

e<sup>2</sup> = levels of precision (Israel 1992, cited by Binyam 2013)

Therefore, N = 539, e = 5%

$$\text{Sample size (n)} = \frac{39}{1 + 539 (0.05)^2} = 229.60, \text{ i.e., } n= 230$$

### **3.5. Sampling Techniques**

Both proportionate stratified random sampling and purposive sampling methods were used. On top of this, purposive sampling technique was used to be deliberately included some key research informants such as leaders at different levels in the Agency in focus group discussions and higher officials for interviews. Proportionate stratified random sampling and random ms-excel was used for selecting employees (officers) of the agency, as this sampling method helps to ensure randomness, with a view to increasing the credibility of the research result.

### **3.6. Data Sources and Methods of Data Collection**

Both primary and secondary data were collected. Primary data refer to information obtained firsthand by the researchers on the topic of interest for the purpose of the study through questionnaire, interview and focus group discussions. On the other hand, the secondary data was procured from documents, such as official publications, archives, and periodic reports of the study units pertinent to their social security management practice and prospects.

### **3.7. Methods of Data Analysis**

The collected data were analyzed using both quantitative and qualitative analysis tools and techniques. Therefore, the quantitative data analyzed by means of SPSS 21.0 and Microsoft Excel spreadsheet programs so as to produce various measures such as frequency counts and percentages that are displayed through tables and charts. The qualitative data were analyzed via content analysis techniques, namely discussions, explanations, and narrations along with quantitative data source.

## **4. Results and Discussions**

To know the real gaps and devise mechanisms to fill those gaps a questionnaire composed of closed and open-ended questions was distributed to employees of public servants social security agency. 230 questionnaires were distributed and collected from social security experts in the organization. In addition, key informants interview and focus group were held with the aim of drawing upon individuals and group attitudes, beliefs, feelings and experiences to enrich information collected by means of a questionnaire.

Table 4. 1: Constitutional and Legal guarantees

S/ No.	Questions	SA*		A*		I*		DA*		SDA*	
		Freq.	%								
1	The country defined the social security rights clearly	48	20.9	96	41.7	11	4.8	75	32.6	0	0
2	The rules and regulations of social security are clear.	56	24.3	130	56.5	16	7	15	6.5	13	5.7
3	The potential threats are clearly indicated in the agreement.	22	9.6	101	43.9	65	28.3	42	18.3	0	0
4	The social security procedures are simple.	28	12.2	16	7	27	11.7	80	34.8	79	34.3
5	The Social Security Agency takes actions so as to enforce the law.	24	10.4	109	47.4	43	18.7	36	15.7	18	7.8
6	The scheme always operates by the rule of law.	40	17.4	78	33.9	30	13	61	26.5	21	9.1
7	The existing pension laws and regulations are uniform.	38	16.5	87	37.8	23	10	74	32.2	8	3.5
8	The social security beneficiaries are aware of their rights under the legislation.	20	8.7	8	3.5	36	15.7	94	40.9	72	31.3

Source: Survey Questionnaire, 2017

\* SA- Strongly agree, A- Agree, I- Indifferent, DA- Disagree and SDA- Strongly disagree.

As can be seen in the table 4.1 which shows constitutional and legal guarantees in the case study agency. The first question looked whether the country has defined the social security rights clearly or not, the responses confirmed that 48(20.9%) replied strongly agree, 96(41.7%), agree and the remaining respondents replied indifferently, and disagree. This clearly shows that the majority of the respondents indicated that the country has clearly defined social security rights. In addition, the focus group discussants and interviewed confirmed that the country has clearly defined social security policy.

As far as the clarity of the rules and regulation of social security, 56 (24.3) of the respondents strongly agree, 130 (56.5%) agree, and the remaining few respondents replied indifferently, disagree and strongly disagree. This shows that there exists clear rules and regulation of social security in the country.

In connection with whether the potential threats are clearly indicated in the agreement or not, 22 (9.6%) of the respondents strongly agree, 101 (43.9%) agree, 65 (28.3%) indifferent, and the remaining 42 (18.3%) replied disagree. This shows that the organization has identified and clearly indicated the potential threats in the agreement.

Survey respondents were also asked to indicate their level of agreement on the simplicity of the social security procedures. Accordingly, 28 (12.2%) strongly agree, 16 (7%) agree, 27 (11.7%) indifferent, 80 (34.8%) disagree and 79 (34.3%) strongly disagree. Taken together, these results suggested that the social security procedures are not simple.

Concerning whether the social security agency takes actions so as to enforce the law, 24 (10.4%) strongly agree, 109 (47.4%) agree, 43 (18.7%) indifferent, 36 (15.7%) disagree and the remaining 18 (7.8%) strongly disagree. This shows that the agency has taken actions to enforce the law.

Regarding the operation of the scheme by the rule of law, 40 (17.4%) strongly agree, 78 (33.9%) agree, 30 (13%) indifferent, 61(26.5%) disagree, and the remaining 21 (9.1%) strongly disagree. This clearly indicates that the scheme is operating by the rule of law.

Concerning the uniformity of the existing laws and regulations, 38 (16.5%) strongly agree, 87 (37.8%) agree, 23 (10%) indifferent, 74 (32.2%) disagree and the remaining 8 (3.5%) strongly agree. This clearly indicates that there are some irregularities regarding the pension laws.

In connection with the awareness of the social security beneficiaries about their rights under the legislation, 20 (8.7%) strongly agree, 8 (3.5%) agree, 36 (15.7%) indifferent, 94 (40.9%) disagree and the remaining 72 (31.3%) strongly disagree. These results indicate that the social security beneficiaries are not aware of their rights under the legislation.

Table 4.2: Financial Sustainability and Governance of Social Security

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%								
1	The agency social security finance is sufficient to finance its operation.	26	11.3	19	8.3	36	15.7	82	35.7	67	29.1
2	The benefit paid to the pensioners is enough to ensure sufficient replacement of previous salary.	1	0.4	12	5.2	22	9.6	174	75.7	21	9.1
3	The benefit paid to the pensioners is adjusted for inflation so as to maintain the purchasing power.	2	0.9	29	12.6	10	4.3	167	72.6	22	9.6
4	The agency is financially viable to protect the social security fund.	26	11.3	64	27.8	40	17.4	54	23.5	46	20
5	There is proper administration and supervision of social security issues in the agency.	12	5.2	76	33	51	22.2	73	31.7	18	7.8
6	The agency has a strategy to mitigate the global financial and economic crisis.	12	5.2	26	11.3	98	42.6	57	24.8	37	16.1
7	Social Security pension benefit promotes saving.	24	10.4	72	31.3	28	12.2	63	27.4	43	17.7
8	Social security has access to productive assets, employment guarantee, minimum wages and food security.	8	3.5	36	15.7	46	20	80	34.8	60	26.1
9	The social security beneficiaries find an application easily to submit for the benefit, as procedures are often simple and timely manner.	32	13.9	88	38.3	46	20	42	18.3	22	9.6
10	Social security helps to make people capable of earning an income and to increase their productive potential.	40	17.4	103	44.8	43	18.7	36	15.7	8	3.5

Source: Survey Questionnaire, 2017

Table 4.2 shows the financial sustainability and governance of social security. Respondents indicate their level of agreement on the agency's social security finance sufficiency to finance its operations. Accordingly, 26 (11.3%), 19 (8.3%) agree, 36 (15.7%) indifferent, 82 (35.7%) disagree and the remaining 67 (29.1%) strongly disagree. This clearly shows that the agency social security finance is not sufficient to finance its operations.

Regarding the adequacy of the benefit paid to the pensioners to replace their previous salary, 1 (0.4%) of the respondent strongly agree, 12 (5.2%) of the respondents agree, 22 (9.6%)

indifferent, 174 (75.7%) disagree and the remaining 21 (9.1%) strongly disagree. This results show that the benefit paid to the pensioners is not enough. The interviewees and focus group discussants also indicated that the benefit paid to the pensioners is not enough.

Regarding the adjustment of the benefit paid to the pensioners to inflation rates so as to maintain the purchasing power, 2(0.9%) strongly agree, 29 (12.6%) agree, 10 (4.3%) indifferent, 167 (72.6%) disagree and 22 (9.6%) strongly disagree. The result clearly indicates that there is no as such significant adjustment of benefit payment to the pensioners. The focus group discussants also confirmed that the benefit paid to the beneficiaries does not consider market fluctuations.

In connection to the financial viability of the agency to protect the social security fund, 26 (11.3%) strongly agree, 64 (27.8%) agree, 40 (17.4%) indifferent, 54 (23.5%) disagree and 46 (20%) strongly disagree. This shows that the respondents are fifty-fifty regarding the viability of the finance.

Concerning the proper administration and supervision of the social security issues in the agency, 12 (5.2%) strongly agree, 76 (33%) agree, 51 (22.2%) indifferent, 73 (31.7%) disagree and the remaining 18 (7.8%) strongly disagree. This shows that the respondents are fifty-fifty regarding the proper administration and supervision of the social security issues in the agency. However, the interviewees and focus group discussants indicated that the supervision of the social security issues in the agency is not enough.

Regarding the existence of a strategy to mitigate the global financial and economic crisis, 12 (5.2%) strongly agree, 26 (11.3%) agree, 98 (42.6%) indifferent, 57 (24.8%) disagree and the remaining 37 (16.1%) strongly disagree. This clearly shows that the agency has not as such clear strategy to mitigate the global financial and economic crisis.

To check whether the social security pension benefit promotes saving or not, respondents were questioned to show their level of agreement. Accordingly, 24 (10.4%) strongly agree, 72 (31.3%) agree, 28 (12.2%) indifferent, 63 (27.4%) disagree and the remaining 43 (17.7%) strongly disagree. This result indicates that the social security pension benefit does not promote saving.

Concerning the access of social security to productive assets, employment guarantee, minimum wages and food security, 8 (3.5%) strongly agree, 36 (15.7%) agree, 46 (20%) indifferent, 80 (34.8%) disagree and the remaining 60 (26.1%) strongly disagree. This result shows that the access to productive assets, employment, minimum wages and food security is limited.

Regarding the easy access to find an application and submit for benefits, 32 (13.9%) strongly agree, 88 (38.3%) agree, 46 (20%) indifferent, 42 (18.3%) disagree and the remaining 22 (9.6%) strongly disagree. This result indicates that the social security beneficiaries find an application easily to submit for benefit in a simple and timely manner.

Concerning the level of agreement whether social security helps to make people capable of earning an income and to increase their productive potential, 40 (17.4%) strongly agree, 103 (44.8%) agree, 43 (18.7%) indifferent, 36 (15.7%) disagree and the remaining few 8 (3.5%) strongly disagree. This clearly indicates that the respondents have a strong belief towards the benefits of social security.

Table 4.3: Extension of Social Security Coverage

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%	Freq.	%	Freq.	%	Freq.	%	Freq.	%
1	The scheme covers a sufficient portion of the population.	8	3.5	56	24.3	73	31.7	75	32.6	18	7.8
2	There is a plan to extend the social security coverage to unprotected category, such as a house servant of workers.	30	13	64	27.8	84	36	46	20	6	2.6
3	The social security agency has established a set of basic guarantees for income security, access to health care and basic social services.	18	7.8	125	54.3	45	19.6	38	16.5	4	1.7
4	The agency organized awareness creation to employees about social security.	12	5.2	22	9.6	32	13.9	105	45.7	59	25.7
5	The agency conducts research for policy development and problem solving.	8	3.5	27	11.7	68	29.6	78	33.9	49	21.3

Source: Survey Questionnaire, 2017

Table 4.3 shows the extension of social security coverage. Concerning the sufficient coverage of the scheme, 8 (3.5%) strongly agree, 56 (24.3%) agree, 73 (31.7%) indifferent, 75 (32.6%) disagree and the remaining 18 (7.8%) strongly disagree. This shows that the scheme does not cover a sufficient portion of the population.

In connection with the existence of a plan to extend the social security coverage to unprotected category, such as a house servant of workers, 30 (13%) strongly agree, 64 (27.8%) agree, 84 (36%) indifferent, 46 (20%) disagree, and the remaining 6 (2.6%) strongly

disagree. This result shows that there is still a fifty-fifty probability to extend the social security coverage to unprotected category such as a house servant of workers.

To check whether the social security agency has established a set of basic guarantees for income security, access to health care and basic social services, 18 (7.8%) strongly agree, 125 (54.3%) agree, 45 (19.6%) indifferent, 38 (16.5%) disagree and the remaining few 4 (1.7%) strongly disagrees. This result indicates that the agency has established a set of basic guarantees for income security.

Concerning the organization of awareness creation programs to employees about social security, 12 (5.2%) strongly agree, 22 (9.6%) agree, 32 (13.9%) indifferent, 105 (45.7%) disagree and the remaining 59 (25.7%) strongly disagree. This shows that there is a big gap in organization of awareness creation programs to employees.

In connection with research works carried out for policy development and problem solving by the agency, 8 (3.5%) strongly agree, 27 (11.7%) agree, 68 (29.6%) indifferent, 78 (33.9%) disagree and the remaining 49 (21.3%) strongly disagree. This shows that the research practice in the agency to develop policy and problem solving are at a very low level. In addition, the focus group discussants and interviewees indicated that, the social security coverage has been supporting the poor people, elderly people, children, and housewife, farmers, disabled and mentally disordered people but the extension of social security coverage is suffering from the following problems. There is not investment at the agency level; rather they deposit in the bank, do not collect the pension amount from employer organizations properly; beneficiaries have not organized profiles, and lacks internal control system.

Table 4.4: Integrating Social Security into a Comprehensive Strategy for Decent Work

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%								
1	The agency is applying the basic principles of equality of treatment and non-discrimination to the pensioners.	58	25.2	123	53.5	22	9.6	18	7.8	9	3.9
2	Social security contributes to economic growth by raising labor productivity and enhancing social stability.	40	17.4	52	22.6	40	17.4	59	25.7	39	17
3	Social security is promoting social cohesion and a general feeling of security among its members.	28	12.2	76	33	40	17.4	63	27.4	23	10
4	Social security influences socioeconomic developments involve the behavior of individuals as workers.	10	4.3	42	18.3	54	23.5	76	33	48	20.9

Source: Survey Questionnaire, 2017

Table 4.4 encompasses issues related to integration of social security into a comprehensive strategy for decent work.

Concerning the application of basic principles of equality of treatment and non-discrimination to the pensioners, 58 (25.2%) strongly agree, 123 (53.5%) agree, 22 (9.6%) indifferent, 18 (7.8%) disagree, and the remaining 9 (3.9%) strongly disagree. This result shows that the agency is in a good condition in the application of basic principles of equality of treatment and non-discrimination to the pensioners.

Regarding the contribution of social security for economic growth via labor productivity and enhancing social stability, 40 (17.4) of the respondents replied strongly agree, 52 (22.6%) agree, 40 (17.4%) indifferent, 59 (25.7%) disagree, and 39 (17%) strongly disagree. This result shows that the respondent's agreement on the contribution of social security for economic growth through labor productivity and enhancing social stability is fifty- fifty.

So as to check the agreement level of respondents whether social security is promoting social cohesion and a general feeling of security among its members, 28 (12.2%) strongly agree, 76 (33%) agree, 40 (17.4%) indifferent, 63 (27.4%) disagree and 23 (10%) strongly disagree. This clearly shows that the respondents do not have a common understanding about the role of social security in promoting social cohesion and general feeling of security among its members.

Concerning the socioeconomic development influence of social security 10 (4.3%) strongly agree, 42 (18.3%) agree, 54 (23.5%) indifferent, 76 (33%) disagree and the remaining 48 (20.9%) strongly disagree. This result indicates that the majority of the respondents does not have a clear awareness about the socioeconomic development contribution of social security.

Table 4.5: Planning

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%								
1	The organization follows a defined set of procedures in its strategic planning process.	32	13.9	81	35.2	49	21.3	60	26.1	8	3.5
2	All management and staff are aware of the mission of the agency.	32	13.9	81	35.2	49	21.3	60	26.1	8	3.5
3	The organization systematically measures actual performance with the desired goals.	18	7.8	20	8.7	32	13.9	83	36.1	77	33.5
4	The organization makes implementation action plans based upon the strategic plan.	13	5.7	38	16.5	40	17.4	61	26.5	78	33.9
5	The organization clearly assigns lead responsibility for action plan implementation to a person or, to a team.	4	1.7	56	24.3	31	13.5	91	39.6	48	20.9
6	Sufficient resources allocated for implementation of an activity.	8	3.5	24	10.4	51	22.2	109	47.4	38	16.5

Source: Survey Questionnaire, 2017

As can be seen in the table 4.5, in connection with whether the organization follows a defined set of procedures in its strategic planning process, 32 (13.9%) strongly agree, 81 (35.2%) agree, 49 (21.3%) indifferent, 60 (26.1%) disagree, and the remaining 8 (3.5%) strongly disagree. This result shows that there exists irregularity in following a predefined set of procedures in the planning process. The focus group discussants and interviewees indicated that the agency has been preparing its plan using Balanced Scorecard since 2003 E.C. They also added that the planning practice is participatory in nature.

To check whether the staff of the agency is aware of its mission or not, 32 (13.9) strongly agree, 81 (35.2%) agree, 49 (21.3%) indifferent, 60 (26.1%) disagree and 8 (3.5%) strongly disagree. This result indicates that though the majority of the staffs is aware of the mission of the agency there is still a gap to be filled.

Regarding the actual performance measurement practices against the desired goals, 18 (7.8%) strongly agree, 20 (8.7%) agree, 32 (13.9%) indifferent, 83 (36.1%) disagree, 77 (33.5%) strongly disagree. This result indicates that the agency is not measuring actual performance with the desired goals.

Concerning the implementation of action plans based upon the strategic plan, 13 (5.7%) strongly agree, 38 (16.5%) agree, 40 (17.4%) indifferent, 61 (26.5%) disagree, 78 (33.9%) strongly disagree. This shows that there exists a big gap in the implementation of the strategic plan.

In connection with assignment of responsibility to carry out the action plan, 4 (1.7%) strongly agree, 56 (24.3%) agree, 31 (13.5%) indifferent, 91 (39.6%) disagree, 48 (20.9%) strongly disagree. This clearly shows that there is a problem of assignment of responsibility for action plan implementation to a person or to a team.

Regarding the allocation of sufficient resources for implementation of activities, 8 (3.5%) strongly agree, 24 (10.4%) agree, 51 (22.2%) indifferent, 109 (47.4%) disagree, and the remaining 38 (16.5%) strongly disagree. This result indicates that there is no sufficient resource allocation for implementation of activities.

Table 4.6: Organizing

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%								
1	Creating accountability and responsibility of maintaining accurate records, and follow up continuously in the agency	28	12.2	71	30.9	10	4.3	87	37.8	34	14.8
2	Established an effective human resource department in the agency.	13	5.7	43	18.7	8	3.5	136	59.1	30	13
3	The stakeholders have been involving in the management of agency fund administration.	8	3.5	60	26.1	31	13.5	107	46.5	24	10.4
4	The level of government and community support to the agency.	12	5.2	44	19.1	49	21.3	105	45.7	20	8.7
5	There is good and effective interaction between the beneficiaries and employees of the agency.	34	14.8	102	44.3	38	16.5	32	13.9	24	10.4
6	The agency organizational structure is appropriate for the size and complexity of the entity.	16	7	72	31.3	12	5.2	61	26.5	69	30

Source: Survey Questionnaire, 2017

Regarding the accountability and responsibility created in the agency to maintain accurate records and follow up continuously in the agency, 28 (12.2%) strongly agree, 71 (30.9%) agree, 10 (4.3%), 87 (37.8%) and the remaining 34 (14.8%) strongly disagree. This result shows that the existence of accountability and responsibility in maintaining accurate records and flow up is fifty-fifty. The interviewees indicated that the agency has not clear filing system. They pointed out that the agency does not have a clear profile of the beneficiaries. This result also confirmed by the interviewees.

In connection with the establishment of an effective human resource department in the agency, 13 (5.7%) strongly agree, 43 (18.7%) agree, 8 (3.5%), 136 (59.1%) disagree, and the remaining 30 (13%) strongly disagree. This result shows that there is a lack of effective human resource department in the agency. This result also supported by the interviewees.

To check the involvement of stakeholders in the management of agency's fund administration, respondents were asked to show the level of their agreement. Accordingly, 8 (3.5%) strongly agree, 60 (26.1%) agree, 31 (13.5%) indifferent, 107 (46.5%) disagree and the remaining 24 (10.4%) strongly disagree. This result reflects that the participation of stakeholders is below half percent.

Regarding the level of government and community support to the agency, 12 (5.2%) strongly agrees, 44 (19.1%) agree, 49 (21.3%) indifferent, 105 (45.7%) disagree, and the remaining 20 (8.7%) strongly disagree. This clearly shows that the level of government and community support to the agency is at minimum level.

In connection with the existence of good and effective interaction between the beneficiaries and employees of the agency, 34 (14.8%), strongly agree, 102 (44.3%) agree, 38 (16.5%) indifferent, 32 (13.9%) disagree, and the remaining 24 (10.4%). This result shows that the interaction between beneficiaries and employees in the agency is in a better condition.

Regarding the appropriateness of the agency organizational structure for the size and complexity of the entity, 16 (7%) strongly agree, 72 (31.3%) agree, 12 (5.2%) indifferent, 61 (26.5%) disagree, and 69 (30%) strongly disagree. This shows that there is a gap in organizational structure for the size and complexity of the entity. The interviewees and focus group discussants indicated that the organizational structure is not appropriate and fails to consider the nature of the agency, which leads to lack of proper organization and coordination.

Table 4.7: Staffing

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%								
1	Using skilled worker in the agency	32	13.9	58	25.2	18	7.8	73	31.7	49	21.7
2	There is adequate training and development program for employees in the agency	4	1.7	24	10.4	34	14.8	116	50.4	52	22.6
3	There are clear criteria for hiring and promoting of the agency employees.	39	25.7	78	33.9	5	2.2	62	27	26	11.3

Source: Survey Questionnaire, 2017

Regarding the utilization of skilled workers in the agency, 32 (13.9%) agree, 58 (25.2%) agree, 18 (7.8%) indifferent, 73 (31.7%) disagree, and the remaining 49 (21.7%) strongly disagree. This result clearly indicates that the agency is not good at in using skilled worker. In this regard, the interviewees highlighted that the agency is undergoing Job Evaluation and Grading (JEG) so as to assign the right person in the right place. Hence, this would help solve the problem in the future.

Regarding the existence of adequate training and development program for employees in the agency, the agreed level of respondents is as follows; 4 (1.7%) strongly agree, 24 (10.4%) agree, 34 (14.8%) indifferent, 116 (50.4%) disagree and the remaining 52 (22.6%) strongly disagree. This shows that there is no adequate training and development program for employees in the agency.

In connection with the existence of clear criteria for hiring and promoting the agency employees, 39 (25.7%) strongly agree, 78 (33.9%) agree, 5 (2.2%) indifferent, 62 (27%) disagree, and the remaining 26 (11.3%) strongly disagree. This shows that the agency has clear criteria for hiring and promoting employees.

Table 4.8: Directing

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%								
1	There is a continuing supervision and follow up system in your agency	5	2.2	43	18.7	36	15.7	62	27	84	36.5
2	There is a good governance and leadership in the agency	5	2.2	36	15.7	43	18.7	62	27	84	36.5
3	The agency recognizes and acknowledges your work	16	7	18	7.8	41	17.8	79	34.3	76	33
4	There is an effective promotional opportunities in the agency	26	11.3	5	2.2	59	27	62	25.7	78	33.9

Source: Survey Questionnaire, 2017

To check the existence of continuing supervision and follow up system in the agency respondents was asked to reflect their level of agreement. Accordingly, 5 (2.2%) replied strongly agree, 43 (18.7%) agree, 36 (15.7%) indifferent, 62 (27%) disagree, 84 (36.5%) strongly disagree. This indicates that there is a gap in continuing supervision and follows up system in the agency.

In connection with the existence of good governance and leadership in the agency, 5 (2.2%) strongly agree, 36 (15.7%) agree, 43 (18.7%) indifferent, 62 (27%) disagree, and the remaining 84 (36.5%) strongly agree. This result shows that there is an existing problem of good governance and leadership in the agency.

To check whether the agency recognized and acknowledges the employees work, the respondents were asked to show their level of agreement. Accordingly, 16 (7%), 18 (7.8%) agree, 41 (17.8%) indifferent, 79 (34.3%) disagree, and the remaining 76 (33%) strongly disagree. This clearly indicates that the agency has a low level of recognizing and acknowledging employees' work.

In connection with the existence of an effective promotional opportunities in the agency, 26 (11.3%) strongly agree, 5 (2.2%) agree, 59 (27%) indifferent, 62 (25.7%) disagree, and 78 (33.9%) strongly agree. This result shows that there is no effective promotional opportunity in the agency.

Table 4.9: Controlling

S/ No.	Questions	SA		A		I		DA		SDA	
		Freq.	%	Freq.	%	Freq.	%	Freq.	%	Freq.	%
1	The pension funds are efficiently administered by the Social Security Agency	8	3.5	56	24.3	12	5.2	115	50	39	17
2	The pension funds are effectively administered by the Social Security Agency	8	3.5	30	13	17	7.4	103	44.8	72	31.3
3	The management of agency has established internal control for developing and modifying accounting systems and control activities.	28	12.2	32	13.9	13	5.6	86	37.4	71	30.9

Source: Survey Questionnaire, 2017

In connection with the efficient administration of social security funds, 8(3.5%) strongly agree, 56 (24.3%) agree, 12 (5.2%) indifferent, 115 (50%) disagree and the remaining 39 (17%) strongly disagree. This clearly shows that there is a big gap in the efficient pension fund administration of the social security agency.

Regarding the effective administration of pension funds, 8 (3.5%) strongly agree, 30 (13%) agree, 17 (7.4%) indifferent, 103 (44.8%) disagree and the remaining 72 (31.3%) strongly disagree. This clearly shows that the agency is not managing the pension fund effectively. Regarding the establishment of internal control for developing and modifying accounting system and control activities, 28 (12.2%) strongly agree, 32 (13.9%) agree, 13 (5.6%) indifferent, 86 (37.4%) disagree and 71 (30.9%) strongly disagree. This clearly shows that the agency does not have a full-fledged internal control system for developing and modifying accounting systems and control activities.

## 5. Conclusion and Recommendations

### 5.1. Conclusion

Based on the findings and analysis of the study, the following conclusions were drawn. Social security management is an all-encompassing activity, which is one of the vital aspects of organizations in the 21<sup>st</sup> century. The findings of this research revealed that the social security management practices in the study agency were at a low level, which is manifested in its traditional way of managing pension funds and beneficiaries.

- The agency has a better legal framework which has clearly stipulated the do and doesn't in its activities which helps the agency to carry out its activities based on the rules and regulations stipulated.
- The financial sustainability and guarantee of social security in the agency is not well organized and proactive.
- The extension of social security coverage in the agency is limited to a particular group of the society. This makes its operation incomplete.
- Integration of social security into a comprehensive decent work strategy for decent work is a recent phenomenon, which every organization is expected to obey. There are gaps in creating comprehensive decent work strategy in the agency.
- There is a low level of the application of the management functions (planning, organizing, staffing, directing and controlling) in the agency.
- The major challenges of the agency are; lack of adequate workforce, high employee turnover and graduates in the field of social security management left the organization after they completed their education sponsored by the agency.
- Additional challenges in the agency a lack of professionals of financial administration to manage the collected money, the agency does not have an attractive benefit package for employees, the profile of beneficiaries is not clearly organized.
- For extension of social security, the constitution guaranty and global opportunity are good for more efficient and effective social security management.

## **5.2. Recommendations**

The various issues that surfaced during the study have prompted the researchers to put forward the following recommendations that they think could further strengthen the social security management practices of the study agency in particular.

- Financial sustainability and governance of social security is an essential aspect of social security management. Hence the agency should also devise mechanisms for financial sustainability and governance of social security.
- Although the concept of social security management itself is a recent development, people should adhere to it and expand it to household servant level let alone employees in organizations.
- The agency should devise a mechanism to integrate social security into a comprehensive strategy for decent work.

- Employees should be free from doubt when doing their jobs, or when looking for opportunities for improvement, such as asking them the knowledge required to perform well in their jobs, or to get training, to develop them.
- The agency should develop beneficiaries' database so as to easily serve them and get information when required.
- The agency should strictly follow and apply the management functions (planning, organizing, staffing, directing and controlling) so as to be effective, efficient.
- The agency should continue the expansion of office to address the entire of the societies.

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# **Assessment of Customer Satisfaction on Public Employees Transport Service Delivery: In Case of Public Service Employees' Transport Service Enterprise (PSETSE)**

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## **Abstract**

*Public enterprises are organizations established and owned by government to provide different services to the public. Most of the time these enterprises give their services to the public by collecting some amount of money which is less than the market price of the goods or services provided by them and sometimes with subsidy. Their customers are important stakeholders in organizations and their satisfaction is a priority to management. Most of these enterprises apply different types of activities to improve their service provision capacity and customers' satisfaction. Currently Public Service Employees Transport Service Enterprise (PSETSE) implemented different activities to improve its service delivery and maximizing customers' satisfaction. This study was conducted to assess the service delivery performance and customers' satisfaction of PSETSE. To achieve the objectives of this study, data was collected through questionnaire from a sample of 605 north direction customers of the Enterprise. These respondents were selected using simple random sampling method. Additional data was collected through interview from the transport service core process manager of the Enterprise. The data collected using the questionnaire were analyzed using statistical tools such as percentage and frequency analysis. Service delivery of the Enterprise was evaluated by using the four factors which is safety, comfort, performance and reliability, driver's behavior and condition of the vehicle and facilities. The results of this evaluation indicate that, almost all factors used to measure the service delivery of Enterprise rated as good and customers are satisfied except some factors within the dimensions. Generally, the finding of this study indicates that customers were satisfied by overall service provision of the Enterprise. Based on the findings of the study, the researcher forwards some recommendations like increase the number of bus in the crowded routes, supporting the service delivery by IT, modify the design of the buses by considering the disable passengers and pregnant women's, and others which help to improve the Enterprise service delivery performance.*

**Key words:** *Public enterprise, customer satisfaction, public transport*

## **1. Introduction**

Service is often seen as a complex phenomenon. Words have meaning service ranging from service to personal service as a product. So far, many experts express opinions about the definition of a service are: a service is an activity or a series of activities which take place in interactions with a contact person or physical machine and which provides consumer satisfaction (Lehtinen 1983). According to Zeithaml & Bitner (2000) service is all economic activities whose output is not a physical product or construction is generally consumed at that

time it is produced, and provides added value in forms (such as convenience, amusement, comfort or health). According to Robert and Graham (2005) service concept is a shared understanding of the nature of the service provided and received. Service concept is a key tool that can communicate the set of benefit: outcome, experience, and operation together with the psychological benefits to the customer in order to demonstrate the potential value of the service. Turban et al. (2002) stated that customer service is a series of activities designed to enhance the level of customer satisfaction, that is, the feeling that a product or service has met the customer expectations.

Transport service plays a crucial role in urban development by providing access for people to education, markets, employment, recreation, health care and other key services. Especially in cities of the developing world, enhanced mobility for the poor and vulnerable groups is one of the most important preconditions for achieving Developmental goals. Those cities with transport modes in an integrated system are more likely to evolve and prosper as centers for trade, commerce, industry, education, tourism and services. It is common that cities ranking at the top of surveys measuring urban quality of life have high quality urban transport systems that prioritize public transport and non motorized modes. Providing service transportation which is adequate and appropriate is the challenges that encountered in almost all cities in the world. Cities will always have a new problem, which arise due to transportation system. In general, large cities in developing countries are highly dependent to the road transport.

Currently, in Addis Ababa the demand for transport service has been increasing from time to time. Demand and supply of transport services could not be reconciled. Therefore, to reconcile the transportation service the government taken different actions one of the action taken by the city administration of Addis Ababa is the establishment of Public Service Employees' Transportation Service Enterprise (PSETSE) on September 5, 2007 E.C under the council of minister regulation number 298/2006 to provide transportation service to the public service employees at the time of work entrance and exist. Public enterprises are organizations established and owned by government to provide different services to the public. Most of the time these enterprises give their services to the public by collecting some amount of money which is less than the market price of the goods or services provided by them and sometimes with subsidy. Their customers are important stakeholders in organizations and their satisfaction is a priority to management.

Tse & Wilton (1997) customer satisfaction or dissatisfaction is a response to the evaluation of the perceived discrepancy between expectations and service performance. Customer satisfaction is a function of expectations and service quality performance. Engel (1997) explains that customer satisfaction as the evaluation of alternative selected and provides results of equal or exceeds customer expectations. Dissatisfaction arises when the results do not meet customer expectations. Therefore, measuring customer satisfaction with public transportation service has always been an important topic both in transportation research and practice. Several public transport service aspects were examined in the literature and the most important items identified varied accordingly. Lai and Chen (2011) believed service quality

and perceived value should receive greatest attention to improve customer satisfaction. Tyrinopoulos and Antoniou (2008) nonetheless emphasized the differences of customer perception between different transit operators due to their specific characteristics and service conditions. In general the most important satisfaction attributes across transit operators are service frequency, vehicle cleanliness, waiting conditions, transfer distance and network coverage. However the results are varied among the transit systems. In the study of customer satisfaction with public transport in Indonesia, Budiono (2009) identified two groups of service attribute. The soft quality factor includes security issues and comfort while the functionality quality comprises frequency, travel time, punctuality and time. The author believed that the functional factor is more influential and thus should receive more attention to improve the customer satisfaction.

In this perspective, PSETSE must focus on customer satisfaction, studying and determining as soon as possible the customer satisfaction level, to adjust its service delivery as per the customer needs. Indeed, customer satisfaction has great significance role for the achievement of the institution's objectives. Therefore, this study attempts to assess the level of customer satisfaction in case of Public Service Employees' Transportation Service Enterprise.

The transportation industry has a huge share to the contribution of growth of one country and can make an economy strong and it is just in economy as there is backbone in human body. Modern and fast transportation system plays lots of new roles and making life of common consumer as well as business men easy.

Currently Addis Ababa is in a rapid change and growth and this growth creates high mobility of the public from place to place in the city. This movement demand efficient transportation system which helps to attain the growth and transformation plan of the city.

Establishing an enterprise which gives public transport service or licensing private sectors to participate in the public transportation market by itself is not mean that it fulfilled the need of the public who lack a transport service. Current Addis Ababa's situation regarding with public transport access indicates that there is a problem to get transport service. The city government took different corrective actions one of the corrective action is establishing new public employees transport service provider enterprise which is PSETSE. Before establishing the enterprise the employees of the public service suffers different problems especially during peak hours, the demand extremely exceeds the supply of service. At this time, many people are waiting for transport service for long time and there is hard struggle to get the service. Hence, this research has assessed the overall level of satisfaction of customers on the service provided by PSETSE. Customer satisfaction is considered to be the most important factor whether it is meant for a product or a service. In case of failure to satisfy customers, company will be replaced by others and when industries offering various services, have to be more vigilant because there is a special attitude that plays an important role attracting and retaining the customers. Precise and timely information on a wide range of customer needs and expectations become critically important nowadays since a negative customer service

experience often leads to a dissatisfied or disgruntled customer; and an unhappy customer can tarnish the name and reputation of a company by generating negative feedback.

Thus, this research sought to evaluate the extent of customer satisfaction on Public Service Employees Transportation Service Enterprise (PSETSE) ensuring efficiency and effectiveness of the quality of service delivery using the appropriate and approved mechanisms.

The general objective of this study is to examine the level of customer satisfaction on transport service delivery provided by PSETSE.

The following are the specific objectives of this study:

- To evaluate whether PSETSE meets the demands of customers,
- To identify major challenges of PSETSE to meet the demands of customers,
- To create awareness to those concerned bodies by portraying the intensity of the problems
- To provide hints as to how the problems can be resolved.

## **2. Reviews of Related Literatures**

### **2.1. Service Concept**

Services have become the focus of increasing managerial attention for several reasons. They have experienced significant growth over the past several decades; they now represent a major portion of the economies of the world's more industrialized countries. Even in lesser developed countries; services still represent a significant portion of their economies (Davis and Heineke, 2003). As they pointed out further, there are three elements or forces that managers need to recognize in this rapidly changing environment. These are: speed or quick delivery, intangibility or less focus on goods, and connectivity or electronic communications between organizations and individuals and even within organizations.

Unlike business organization in which their ultimate goal is obtaining profit, customer service in public service organizations shall create initiative and commitment to management and employees and enables to properly address the rights of service users to get public services in a fair and equitable manner (EMI, 2011). Thus, public services are those services provided by government service organizations to the public implying the implementation of a service framework that will insure the provision of such services in a sustainable manner to the public (EMI, 2011). The Federal Democratic Republic Ethiopia (FDRE) Service Delivery Policy defines public service as those activities of government institutions aimed at satisfying the needs and insuring the well-being of the society as well as enforcing laws, regulation and activities of the government (FDRE, 2001).

### **2.2. Public Transport Bus Service**

Transportation is a major component in the system of life and the life, the government system, and social system. The government conducted a public transport means that the government make policy for the procurement of transport is seen from a technical,

sociological and political, such as the procurement of land, spatial and capital. This continues on the interaction government with the capital strength. To build a sustainable public transport system need of revitalization in all aspects related to public transport. Government plays an important role in the process of planning and implementation of public transport policy. Various policies that affect the transportation problems should be harmonized, so that can be run over, for example, a program to encourage the use of mass transit and reduce private vehicle (Peñalosa, 2005).

Reliability of transportation as a public service to be reviewed from the aspect of social justice should be focused on the development of public transport that is convenient, safe and cheap in order to optimize the accessibility of society. Inside is this is including the development of public transport that is integrated between each other and with the other modes. Still associated with the development of public transport as a public service in the transportation sector, have become imperative repairing in the public transport sector, especially in terms of increasing the quantity and quality of services (Peñalosa, 2005).

As a sector that serves many people, the type of public transport vehicles must be operated in compliance with the road hierarchy, capacity, and transportation demand that it served. The creation of a reliable public transport as one of the form of increased public services in the transportation sector and it is believed to decrease the number of private vehicle use. This in turn will provide benefits in addition to the economy - because of reduced congestion, waste fuel and time losses - also provide benefits in terms of public health and the environment. The travelling public has demands for transport. It is expected to be convenient, efficient, affordable and of high quality. The car meets some of these demands and will continue to do so but its impact can lead to a reduction in efficiency and convenience, journeys become longer and journey time more uncertain, and start to erode the beauty and opportunity that the city has to offer (Peñalosa, 2005).

Bus transport is a vehicle that has more than 8 (eight) seats not including the four drivers to sit, either with or without baggage transportation equipment. Bus transport in most parts of the world at this time is not on the desire to encourage good services. Bus services are often not reliable, not comfortable, and dangerous. Bus services play a major role in the provision of public transport. These services can take many forms, varying in distance covered or types of vehicle used, and can operate with fixed or flexible routes and schedules. Services may be operated by public or private companies, and be provided using bus fleets of various sizes. Conversely, the transportation plan and public officials sometimes even turn on the alternative public transport such as city trains. However, there is an alternative service to the community that does not cause a high burden on the city (Giannopoulos, 1989).

In a broad term given to a variety of transportation system, through improvements to infrastructure, vehicles and scheduling, attempt to use buses to provide a service that is of a higher quality than an ordinary bus line, many countries start to implement the Bus Rapid Transit (BRT) system. BRT can provide high-quality transportation services. BRT systems are designed around the consumer-based needs of speed, comfort, convenience, cost and

safety rather than around a specific technology. In fact, BRT is really just a collection of best practice traits from a range of mass transit options (Wright, 2004).

### **2.3. Standards of Transport Service Quality**

The quality of transport service refers to the level of comfort the service offer during travel/ride. According to Armstrong-Wright et al. (1987) and Armstrong-Wright (1986) indicates that standards for quality of service are:-

1. **Waiting time:**-is the time passengers have to wait at bus stop for buses. Longer waiting times indicate poor adequacy. In developing countries to achieve a reasonable level of service, the average waiting time should be in the average of 5 to 10 minutes, with a maximum waiting time of 10 to 20 minutes under the prevailing conditions (Armstrong-Wright et al 1987).
2. **Walking distance to bus stop:** is the distance that passengers have to walk to and from bus stops. It is an indicator of the coverage. For well-served urban areas it should be in the range of 300 to 500m from home to work place. Distance in excess of 500m may be acceptable in low-density area but the maximum should not exceed 1000m (Armstrong-Wright et al 1987).
3. **Journey time:** is the total time spent to reach a destination from a given origin. It includes the walking time, waiting time, on vehicle time and walking to the destination. It should not be more than two to three hours per a day. Excessive journey time reflects inadequate bus supply or poor scheduling or routing (Armstrong-Wright et al 1987).

### **2.4. Customer expectation and satisfaction**

The customer is an input resource for many service operations and thus not only do we need to know how to manage the customer but also we need to understand what they expect from the operation. Most importantly, they are in most cases the final judge as to how well the quality of the service matches up to the requirement, and by their continuous suggest determines its long-term success. The major focus of the management is to satisfy their customers. This should be more than sufficient motivation for operations managers to insure that there is a match between expectation and service delivery in order to satisfy or even delight their customers.

#### **2.4.1. Customer Expectation**

Customer expectations according to Davis and Heineke (2003, p.402) is the customer's preconceived notions of what level of service they should receive from a particular service. It is also viewed as what customers feel a service provider should offer rather than would offer (Simon and Foresight, 2009). Expectations can be derived from several sources; advertising, word of mouth, and previous experiences with similar types of operations Davis and Heineke (2003).

As Johnston and Clark (2008) described the customer is an input resource for many service operations and thus not only do we need to know how to manage customers but also we need

to understand what they expect from the operation. The purpose of understanding customer's expectations is to try to insure that service can be designed and delivered in order to meet those expectations. Thus expectations and indeed perceptions are key components in delivering a quality service. Customer expectations about service delivery vary from person to person, product to product, service to service, culture to culture, etc. and failure to meet adequate service delivery expectations results in customer dissatisfaction (Fogli, 2006). He further explained that when customers experience long wait times, late deliveries, incompetent service, or complicated procedures, they respond with dissatisfaction in various ways.

#### **2.4.2. Customer Satisfaction**

According to Jonson and Clark (2005: 134), "Customer satisfaction is the result of a customer's assessment of a service, based on a comparison of their perceptions of service delivery with their prior expectations". The level of satisfaction of customers depends on their perceptions and expectations of the service. Customer's satisfaction occurred when the requirements of customers are exactly fulfilled by the service; i.e. to satisfy customers, service providers are required to deliver a service that can at least meet or exceed their expectations. If customers perception of the actual service is below their expectation, service gap is said happened and their satisfaction level is rated as poor (Baron and Harris, 2003). Hence, in order for achieving customer satisfaction service providers are essentially demanded to know customer's expectations and periodically assess their level of satisfaction. According to Denton (1989: 17), "Customer satisfaction is the backbone of service organization and the organization gets more than money". Gaining competitive advantage for a service organization is dependent up on the level of satisfaction of customer. To satisfy customers, accurate understanding of their expectation has invaluable importance for those engaged in the provision of service. A service organization that understood the expected service in the mind of the customer has better chance of satisfying that expectation and getting competitive advantage over other (Palmer and Cole, 1995). In-depth understanding and fulfillment of customer's requirements and expectations enables service providers to retain their customer by improving their satisfaction (McDonald, et al, 2001).

As stated by Davis and Heineke (2003), researchers have identified four common themes as the source of customer Satisfaction/Dissatisfaction: Recovery, Adaptability, Spontaneity, and Coping as described below.

- The recovery theme involves incidents in which there have been failures in the service delivery system and an employee must respond in some way to the customer's frustration, disappointment or complaint.
- The adaptability theme relates to the service systems ability to deal with a customer's special needs or requests.
- The spontaneity theme relates to the unprompted or unsolicited actions by service workers.

- The coping theme relates to how service employees interact with problem customers. These incidents were related by service employees themselves rather than customers, but they illustrate how customer behavior can be the cause of customer dissatisfaction. A positive example of coping might be the service employee who, when confronted by an angry and verbally abusive customer, acknowledges the customer's frustration and thereby "diffuse" the situation.

Because these four themes seem to be major drivers of satisfaction or dissatisfaction with the service encounters that customers consider being memorable, it is important that service organizations train their workers to deal with them properly. Formal training, including role-playing of challenging situations, can help workers prepare for these kinds of situations so that they are not taken by surprise and consequently unable to meet the customer's needs.

### **3. The Methods**

#### **3.1. Research Design**

John A.H. et al., (2007) noted that research design is the blueprint for fulfilling research objectives and answering research questions. In other words, it is a master plan specifying the methods and procedures for collecting and analyzing the needed information. It ensures that the study would be relevant to the problem and that it uses economical procedures. The same authors discuss three types of research design, namely exploratory (emphasizes discovery of ideas and insights), descriptive (concerned with determining the frequency with which an event occurs) and explanatory (concerned with determining the cause and effect relationships). Therefore, the types of research to be employed under this study would be descriptive research design.

#### **3.2. Research Approach**

There are three approaches to conduct any research: Qualitative, Quantitative and Mixed approaches. According to Saunders et. al. (2009) mixed method approach is the general term for when both qualitative and quantitative data collection techniques and analysis procedures are used in research design. In this study mixed-method approach were employed to ensure effectiveness of the research process as the findings of the qualitative data enhance the findings of quantitative one and the vice versa. Mixing the datasets, the researcher provides a better understanding of the problem than if either dataset had been used alone. In addition mixed methods research approach provides strengths that offset the weaknesses of both quantitative and qualitative research.

Mixed method research approach has three general strategies that is sequential mixed method, Concurrent mixed method and transformative mixed methods. From those strategies the researcher was used sequential mixed method. The researcher collects and analyze of quantitative data followed by a collection and analysis of qualitative data.

### 3.3. Target population

On average the enterprise has 75,000 daily customers which move in the four directions (north, south, east and west) of Addis Ababa using 410 buses. Therefore, because of budget and time constraint the target populations of the study were only considered the north direction daily customers which are 19,238 in number.

### 3.4. Sampling Techniques

In selecting sample, three factors determine the size of an adequate sample includes: nature of population, types of sampling design and degree of precision desired (Salant and Dillman, 1994). Using a sample that is too large is a waste of resources while using a sample that is too small means getting results that are likely to be lacking in validity. In light of this, to select adequate sample size, the following procedures were employed.

The enterprise serves the customers in to four directions which is north direction, south direction, east direction and west direction of Addis Ababa. Due to budget and time constraint and the number of customers is too large the researcher purposively selected only one direction which is north direction customers which have 19, 238 average daily customer. The rationale for the selection of this direction it is more convenient for the researcher and the large number of customers are move in this direction next to east direction. In order to take a sample from this number the researcher were used Seloven sampling formula

$$n = \frac{N}{1 + N(e^2)}$$

$$n = \frac{19238}{1 + 19238(0.04)^2}$$

$$n = \frac{19238}{31.7808}$$

$$n = \underline{605}$$

where the n=sample size  
N=target population  
e=margin of error

**Note:** Due to the number of the populations is large and to make the sample more representative of the population researcher were use the margin of error 4%.

Finally, the researcher was distributed questionnaires for 605 respondents randomly because the respondents are homogeneous according to the service obtained. In addition to this the researcher will administer interview with the top level management of PSETSE.

## 4. Results and Discussion

### 4.1. The Customer Satisfaction

A total of 600 questionnaires were distributed and the IBM SPSS is used for analysis. After the elimination of incomplete and invalid questionnaires, there is the total of 467 valid questionnaires, which covered for 77.8% of all distributed questionnaires. The questionnaire

is distributed with five factors and 24 items. The five factors were safety, comfort, performance and reliability, driver's behavior, condition of vehicles and facilities. Each factor was assessed for reliability using Cronbach's  $\alpha$ . The reliability coefficients of the factors, along with the measures of satisfaction, exceeded the value of 0.5 recommended by (Nunnally, 1978). Each of the factors and the related items are analyzed and interpreted below.

#### **4.1.1. Safety as Customer Satisfaction Factor**

For the analysis of safety, six measuring items are distributed to passengers and the responses are analyzed and interpreted according to the values of the frequencies and percentage.

In case of safety in the board and safety related to the behavior of other persons the passengers are satisfied on the service rendered by the enterprise. For the item the buses are good in their technical capacity and free from technical failure during journey, feel secure while traveling in public employees transport and safety on the bus stair. In case of the above four safety measuring items respondents are satisfied on the service given by PSETSE. But feel safety on the bus satire 18.2% of the respondents did not agree on this because some of the respondents sated on the open ended questions the stair of the bus is too long and it is not safe for pregnant women's and disable Passenger's.

#### **4.1.2. Performance and Reliability as Customer Satisfaction Factor**

For the analysis of performance and reliability, four measuring items are distributed to passengers and the responses are analyzed and interpreted according to the values of the frequency and percentage. 71.9% of the respondents agree that the waiting time for the bus service is acceptable, 86.1% of the respondents agreed that the enterprise provide continues services at the schedule time table and 51.6% of the respondents agree that the enterprise announces any delay of buses a head of time, for item No.4 60.2% of the respondents agreed that mostly chairs are available during travel time, but 39.8% of the respondents did not agreed on this. So the analysis of item No. 4 indicates that majority of the respondents are moderately satisfied.

#### **4.1.3. Drivers' Behavior as Customer Satisfaction Factor**

For the analysis of drivers' behavior, seven measuring items are distributed to passengers and the responses are analyzed and interpreted according to the values of the frequency and percentage. The driver obedience the traffic regulations, drivers drive safely, drivers are consistently polite, drivers have sufficient driving skills, drop the passengers at their destination (fermata) and the drivers are willing to help passenger. In these six cases of customers satisfaction parameters customers are satisfied on the service given by the enterprise.

#### **4.1.4. Condition of the Vehicle and Facilities as Customer Satisfaction Factor**

For the analysis of condition of the vehicle and facilities, four measuring items are distributed to passengers and the responses are analyzed and interpreted according to the values of the frequency and percentage. The bus has modern looking facilities and equipment, cleanliness of the bus interior, cleanliness of the bus exterior. Therefore; from this four items analysis most the respondents are satisfied.

#### **4.2. For the Improvement of the Service Delivery**

##### **4.2.2. Inside factors rank**

The respondents are rank the inside factors for the improvement of the service delivery of the enterprise 1. Crowdedness, 2. Lack of seat, 3. Lack of comfortable temperature, 4. Safety.

##### **4.2.3. Outside factors rank**

The respondents are ranking the outside factors for the improvement of the service delivery of the enterprise 1. Lack of bus shade, 2. Long- waiting, 3. Lack of announcing any delay of buses a head of time, 4. Lack of security.

##### **4.2.4. Preference Rank**

The preference ranks of the respondents are 1. Getting seat, 2. Good quality of bus, 3. Punctuality, 4. Air condition, 5. Safety, 6. Improvement of driver's behavior, 7. Less walking distance.

##### **4.2.5. Overall Satisfaction**

The overall 220 (47.5 %) customers are satisfied on the service provided by the enterprise. For this satisfaction customers are stated different reasons in the open ended question which include good drivers' behavior, punctuality, free cost, relief from the transport problem and security.

#### **4.3. Interview Results**

In this study one of the methodologies was interviewing the top management member. The responses from the transport service core process manager on the 12 interview questions are summarized below.

According to the interview made with the transport service core process manager of PSETSE on different questions regarding with the Enterprise, the enterprise was established in September 5, 2007 E.C with the major objective to resolve the transport problem of the public service employees in Addis Ababa. Currently the enterprise have 410 buses which serves 75, 000 average daily customers in the four direction (north, south, east and west) of Addis Ababa.

For the question do you have a schedule for the buses departing and arrival time the interviewee answered yes they have scheduled time for the buses departing and arrival time. The buses departing time schedules at the morning are (12:30, 12:45, 1:00, 1:15 and 1:30

local time) and all buses are arrived before 2:30 local time. The major mechanism to control the service it has supervisor for each directions which is daily supervised the service delivery.

The interviewee acquire information if the service being provided is good or not through telephone, in person and there is quarterly meeting with the representative of each organization and by conducting yearly satisfaction survey.

According to the information the major mechanisms employed to reduce customer complaints are increasing the number of buses on routes, when service failure occur due to bus failures are repairing the malfunctioning buses immediately and get it serve customers or substituting the bus in cases where the bus cannot be repaired immediately. When the service failure is due to the drivers' corrective measures are taken if employees have no justifiable reason and providing the necessary trainings.

For the question what improvements have been made to increase customer satisfaction the Manager answered that the Enterprise applied various activities to increase customer satisfaction. For instance, increase the number of buses, plan to modify the design of newly procure buses by considering disable persons and pregnant women's, to make the IT facilities fully functional, establish electronic ID for the passengers, website development and strong supervision.

Finally the researcher raised a question about the feeling of the manager on customers' satisfaction by service of the Enterprise; he replied that the assessment made on customer's satisfaction by the Enterprise indicates that customers are satisfied by the service. According to him even if this result indicates that customers are satisfied, there are many problems in service provision process that leads customers dissatisfied. Among these problems, the total number of buses is not enough for effective service provision. So this gap between demand and supply by itself may results dissatisfaction of customers.

## **5. Conclusion and Recommendations**

### **5.1. Conclusion**

The aim of this study is measuring customer satisfaction using the five factors like: safety, comfort, performance and reliability, driver's behavior and condition of the vehicle and facilities on the public employees transport service.

In this competitive global business environment, the consumer expectations are ever increasing, the service providers can meet the expectations only if they are sensitive to customer issues. Thus, the public employees transport service must understand the core responsibility of providing reliable services to the customers consistently, which will yield better results in terms of service quality. From the questionnaires distributed the researcher has used five factors with 24 passengers' satisfaction items. It is found that five of the factors are reliable for measuring passengers' service satisfaction, and all of the factors of gap measuring are reliable using Cronbach's alpha ( $\alpha$ ).

A questionnaire survey is conducted to tabulate the passenger's demographic and the finding indicates that majority of public employees transport users are degree graduates with combined percentage of (54.3%), majority of age range 26 to 35 years (51.2%) and majority of the respondents are male (58.1%).

This paper is basically to assess the customer satisfaction on the public employees transport service delivery. From the interview, it is found that the public employees transport service serves the customers with the four directions (north, south, east and west direction) of Addis Ababa consists of 410 buses with an average daily customers of 75,000.

The problems perceived by passengers, like: crowdedness, the enterprise have no comfortable bus stop which protects customers from sun and rain, the enterprise not announce any delay of buses a head of time, the gap between demand and supply, limited number of communication infrastructures for the customers to give suggestion about the service and less supervision are the major ones that make the PSETSE service become unsatisfied.

In this research paper to solve the problems found in PSETSE service operations, a solution are plan to make the service is good enough .These are increase the number of buses the in the crowded routes , establish electronic ID for the passengers, communication infrastructures development , improving the buses stand facilities and make the IT facilities fully functional.

## **5.2. Recommendation**

Since, Public Service Employees Transport Service Enterprise (PSETSE) is a service giving organization it should focus on the improvement of service delivery.

- Increase the comfort of passengers by improving the inside condition of buses and allowing only the given standard number of passengers in a given single trip;
- Introduce controlling mechanism in order the bus drivers should not pass (skip) the bus stops so that the waiting time at stops will be reduced;
- Install cameras or any other controlling mechanism especially at the crowded stations and terminals in order to keep the passengers secured;
- Increase the number of busses to transport passengers at peak hours;
- Improve the bus stand facilities enough and clean area, enough shelter and enough seating arrangement
- The Enterprise shall regularly review the network of bus services and implement modifications as appropriate.
- Improve the communication infrastructure
- Modify the design of newly procured buses by considering the disable passengers and pregnant women's
- Access the transport service to neighboring town of Addis Ababa
- The enterprise shall introduce electronics identification card for the customers.

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# The Influence of Eritrean Migration to Urbanization in Tigray Region: The Case of Shire Endaselasie

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## Abstract

*Migration is a multifaceted and complex global issue which today involves every country in the world. All sovereign states of the world are now points, origins, transits or destinations for migrants. Hence, it can be said that movement has increasingly become an integral part of human existence. The Main objective of the study is to explore the causes, problem, and challenges encountered by Eritrean migrants' and further attempts to examine the influence refugee to Urbanization: the case of Shire Endaselasie, Tigray Regional State. The study was based on data obtained from primary and secondary source and this study use a combination of qualitative and quantitative approaches in the collection and analysis of data. Thus A total of 105 interviews were conducted during the data collection phase, consisting of five professionals working in the field and 100 refugee and migrants from Eritrea currently living in Tigray National Region State accommodating Eritrean refugees Shimelba, Mai-Aini, Adi-Haroush and Hitsatse camps in addition four FDG and document review and personal observation was conducted. Structured and unstructured interviews, personal observation, and FGD were used as data collection instrument. The data gathered through interview were analyzed through descriptive statements. Major findings of the study prove that open ended National Service, freedom of movement and religious persecution, the perception of the outside modern world and the general lack of economic development hampering socioeconomic development, especially employment and career opportunities motivate especially young people to leave Eritrea. The movement of these migrants entails various challenges the major once identified are the Border Crossing from Eritrean to Ethiopia, the Incidence of Human Traffickers and Livelihood in the Refugee Camps. And the Large-scale and protracted refugee influxes have socio-economic influence. It is highly recommended that to enhance the capacity of the national asylum system and expand the possibilities of generating income to raise the living standards of refugees.*

**Key Words:** Migration, Urbanization, Eritrean Refugee

## 1. Introduction

The state of Eritrea covers approximately 121,114 square kilometers and is situated at the Horn of Africa, bordered by Ethiopia, Sudan and Djibouti. The population is estimated to be somewhere between 4-6 million but there is great uncertainty about the figure. Asmara is the capital. In 1952, after 10 years of British colonial rule, Eritrea was federated with Ethiopia. A decade later, Ethiopia annexed Eritrea as one of its provinces which led to the Eritrean struggle and a destructive war lasting from 1961 to 1991. After its *de facto* secession from Ethiopia in May 1991 (ratified in a referendum held in 1993 in which 99.8 percent of its inhabitants opted for full independence from Ethiopia) the Eritrean Government has remained

in power since that time and has indefinitely suspended presidential and legislative elections (Rachel H, 2013). Population mobility in and from the Horn of Africa has a longstanding tradition. However, conflict, environmental deterioration and economic decline paired with growing economically active populations have increased labor and forced migration both in the region and beyond. These migration flows are generally of a heterogeneous nature, comprising traditional trans-border mobility, labor migration, asylum migration and irregular migration. Like most countries in the Horn of Africa, Ethiopia is both a sending and receiving country of migration, while inward migration is marked by refugee movements, mainly from South Sudan, Somalia and Eritrea. The refugee flows into Ethiopia are primarily the result of political and civil unrest and recurring natural disasters in the neighboring countries. Ethiopia's land border extends over 5328 km and is difficult to control. Not only its length, but also the topography, border conflicts and violence among trans-boundary pastoralist groups pose particular challenges to border management. Placed at a central location along the East African migration route, which leads from the Horn of Africa via Sudan and Libya to the Mediterranean Sea, Ethiopia has developed into a place of transit migration (ICMPD, 2008). Of the five countries neighboring Ethiopia, Sudan shares the longest borderline of about; 725 km. Somalia comes second with a frontier length of 1,600km, while Ethiopia's margins with Kenya cover a distance of 861 km and 912 km with Eritrea. Djibouti has the shortest borderline with Ethiopia, which is 349 km. Ethiopia's borders are said to be very porous, which is due to the length of the overall borderline, as well as to the diverse topography, which make border control particularly difficult. Furthermore, the Ethiopian borders have seen recurrent competition for scarce resources between trans-boundary pastoralist groups. In addition, much of Ethiopia's border areas are patrolled by the military forces, particularly at the border with Eritrea, Somalia and in the Gambella region at the border with South Sudan, where recurring inter-community violence poses security threats for the larger region (ICMPD, 2008). One major push factor that explains the exodus of young Eritreans is the national service that has become open-ended. At the same time pull factors such as the image of a prosperous life in the West play an important role. In addition; there is basically no organized political opposition in Eritrea and to most people human rights and political freedom are limited (DIS, 2014). Eritrean refugees entered Ethiopia following the Ethio-Eritrean border conflict between 1998 and 2000. They were initially just over 4,000 refugees settled in Wala'nhibi and were later moved to Shimelba camp in May 2004 (WFP/UNHCR/ARRA, 2010). As of April 2014, Ethiopia hosts 135,665 Eritrean refugees and migrants, including 33,000 arrivals in 2014. There was a spike in daily arrivals in 2014 about 8,588 refugees arrived in October and November. Close to Shire Endaselasie New refugees are transferred to the recently opened Hitsatse camp, which hosts about 27,560 people (Mixed Migration HUB, 2015). There are four camps in the Tigray Region Northern Ethiopia accommodating Eritrean refugees. The camps are more like youth camps; only very few families live in the camps. Majority of the Eritreans go to camps in the Tigray Region in Northern Ethiopia i.e. Shimelba, Mai-Aini, Adi-Haroush and Hitsat while Afar-speaking Eritreans go to camps in the Afar-speaking areas.

## **2. Review of Related Literature**

### **2.1 The Changing Dynamics of Mixed Migration**

The Central Mediterranean route refers to mixed migration from North Africa toward Italy and Malta. A combination of push and pull factors fuels migration across the Mediterranean Sea, illustrating the dynamic and highly adaptive nature of migratory movements. The Office of the UN High Commissioner for Refugees (UNHCR) estimates that 153,947 refugees and migrants arrived by sea to Italy and Malta in 2015, with the majority of people coming from Eritrea, Nigeria, Somalia, Sudan, Gambia, and Syria . In 2016 the number increased to 181,436, with most refugees and migrants arriving from Nigeria, Eritrea, Guinea, Côte d'Ivoire, and the Gambia. This movement is heavily influenced by a variety of interconnected factors, including immigration policies and border control in North Africa and Europe; shifts in the main countries of origin of refugees and migrants; changing social, political, economic, and environmental conditions in countries of origin, transit, and destination; weather and seasonal patterns; and the adaptability of smuggling networks. This increase occurred as new border control measures around the Spanish exclaves of Ceuta and Melilla were implemented and Spanish and Moroccan authorities signed bilateral return agreements that pushed refugees and migrants away from the Western Mediterranean route and toward the Central Mediterranean route. The fast-changing dynamics of migration create fluidity in the labeling of a country as one of “origin,” “transit,” or “destination.” For example, Sudan is considered a country of origin, transit, and destination. Libya, which has historically been a major destination for sub-Saharan migrants, has recently become a major transit country along the Central Mediterranean route for refugees and migrants fleeing violence and instability in the Middle East, Eritrea, Nigeria, and Sudan. The increase in the number of refugees and migrants using Libya as a departure point into Europe can partly be explained by the country’s security and political environment, which has created fertile ground for human smuggling and trafficking (Liska, 2017).

#### **2.1.1. Push Factors**

Factors pushing refugees and migrants from countries of origin toward the Central Mediterranean route include armed conflicts and situations of generalized violence, fear of political or religious persecution, political instability, human rights violations, chronic poverty, lack of economic opportunity, and natural or human made disasters. Conditions in countries of first asylum, including lack of legal protection, lack of economic opportunities, and violence, also contribute to the onward movement of refugees and migrants toward Europe (Liska, 2017).

#### **2.1.2. Pull Factors**

In addition to being “pushed” out of their countries of origin, migrants and refugees are often “pulled” toward Europe to pursue increased opportunities for long-term employment, to reunite with their family, or to gain improved access to education. But with refugees fleeing violence, persecution, and instability increasingly following the same routes as migrants seeking greater livelihood opportunities, the importance of these pull factors has diminished in relation to the factors pushing people out of their countries. Moreover, some countries that

migrant once sought out as attractive destinations notably Libya no longer exert the pull they once did. Increased opportunity for movement through greater access to smuggling networks has also influenced the nexus of push and pulls factors (Liska, 2017).

## **2.2 Why People Choose to Migrate**

A refugee is a person who is outside their home country because they have suffered (or feared) persecution on account of race, religion, nationality, or political opinion; because they are a member of a persecuted social category of persons; or because they are fleeing a war. Such a person may be called an "asylum seeker" until recognized by the state where they make a claim. There are a number of reasons why people choose to migrate to another country. Globalization has increased the demand for workers from other countries in order to sustain national economies. Known as "economic migrants," these individuals are generally from impoverished developing countries migrating to obtain sufficient income for survival. This income is usually sent home to family members in the form of remittances and has become an economic staple in a number of developing countries. People also move or are forced to move as a result of conflict, human rights violations, violence, or to escape persecution. In 2013, it was estimated that around 51.2 million people fell into this category. Another reason people move is to gain access to opportunities and services or to escape extreme weather. This type of movement is usually from rural to urban areas and is known as "internal migration. Socio-cultural and geo-historical factors also play a major role. In North Africa, for example, being an immigrant in Europe is considered a sign of social prestige. Moreover, there are many countries which were former European colonies. This means that many have relatives that live legally in Europe, who often constitute an important help for immigrants who have just arrived in a European country. Relatives might help for job researchers and accommodations. The geographical proximity of Africa to Europe and the long historical connection between Northern and Southern Mediterranean countries also prompt many to migrate (UNDSA, 2013).

## **2.3 Levels and trends in international migrant**

### **2.3.1 International migrants by development group**

Globally, there were 232 million international migrants in 2013. Of these, nearly 59 per cent lived in the developed regions, while the developing regions hosted 41 per cent of the world's total. Of the 136 million international migrants living in the North in 2013, 82 million, or 60 per cent, originated from a developing country, while 54 million, or 40 per cent, were born in the North. Further, 82 million or 86 per cent of the 96 million international migrants residing in the developing world in 2013 originated from the South, while 14 million or 14 per cent were born in the North. Between 1990 and 2013, the number of international migrants worldwide rose by over 77 million or by 50 per cent. Much of this growth occurred between 2000 and 2010. During this period, some 4.6 million migrants were added annually, compared to an average of 2 million per annum during the period 1990-2000 and 3.6 million per annum during the period 2010-2013. The developed regions gained 53 million or 69 per cent of the 77 million international migrants added worldwide between 1990 and 2013, whereas the developing regions added 24 million or 31 per cent. While the North gained the

largest absolute number of migrants between 1990 and 2013, since 2000 the average annual growth rate in international migrant stock in the South outpaced the growth rate in the North: 2.3 per cent per annum versus 2.1 per cent per annum, respectively. Since 2010, the annual growth rate slowed in both the North and the South: to 1.5 per cent in the developed regions and 1.8 per cent in the developing regions (UNDSA, 2013).

### **2.3.2 International migrants by major area**

Europe and Asia combined hosted nearly two thirds of all international migrants worldwide in 2013: 72 million international migrants in Europe and 71 million in Asia. Northern America hosted the third largest number of international migrants in 2013 (53 million), followed by Africa (19 million), Latin America and the Caribbean (9 million), and Oceania (8 million). Between 1990 and 2013, Northern America recorded the largest gain in the absolute number of international migrants, adding 25 million migrants, equal to 1.1 million additional migrants per year. Of the 25 million international migrants added in Northern America during this period, 14 million or 57 per cent were born in the Latin America and the Caribbean, 9 million or 35 per cent originated from Asia, while 1 million or 6 per cent were born in Africa (UNDSA, 2013).

### **2.3.3 International migrants by age and sex**

In 2013, three-quarters of all international migrants were of between the ages of 20 and 64. Of the 171 million international migrants of working age, the majority (61 per cent) resided in the developed regions. The proportion of young migrants was significantly higher in the developing regions (23 per cent) than in the developed regions (less than 10 per cent). In 2013, women comprised 48 per cent of all international migrants worldwide. Yet there were considerable differences across regions. In the North, women constituted 52 per cent of all migrants in 2013, while in the South they accounted for 43 per cent. Between 1990 and 2013, the South witnessed (UNDSA, 2013).

## **2.4 Motivations to flee Eritrea**

Large numbers of Eritreans are forced to flee and seek a life outside their country of origin. The Eritrean Government has remained in power since independence and has indefinitely suspended presidential and legislative elections (Rachel H, 2013). According to an official UNHCR position paper in 2004 ‘the human rights situation in Eritrea has seriously deteriorated...with regard to the treatment of opposition political groups and movements, freedom of expression, freedom of religion, arbitrary detention and the treatment of draft evaders. There is an absence of civil society, political opposition or independent media’ (UNHCR, 2004). Conscription is also a major component of the Government’s policy under the 1999 National Service Proclamation (NSP) which was extended in May 2002 under the Warsai-Yikaalo Development Campaign (WYDC). There is no specific definition of this campaign and no official figures regarding how many people are in active service. However high school children must undertake one year of military school at the Sawa training camp to be able to complete their course of studies. Those formally demobilized remain members of the National Reserve Army and are frequently called up for military duty, training or work

service (Rachel H, 2013). There are a number of recurring reasons provided by asylum seekers to explain why they left the country. Many state the lack of political freedom, educational opportunities or freedom of movement. The most common motivation recorded by Müller in her study of Eritreans in Tel Aviv was ‘being free’ (Müller 2012, 455). This seems to refer to the restrictive and difficult conditions that many Eritreans face in their everyday lives and particularly the stipulations imposed by WYDC (Rachel H, 2013).

## **2.5 Protection Concerns and Other Challenges**

Eritrean youth cling to the hope, and genuine belief, that if only they can reach that other world (Europe, America, Canada, Israel, and the Arab States) they, too, can live in places where democracy is respected, and where they can work and earn to support their families back home. Though the Ethiopian government is relatively welcoming towards Eritrean youth coming across the border, the country’s economic climate cannot sustain the needs of Ethiopian nationals, let alone Eritrean refugees. Eritrean refugees in Ethiopia are granted *prima facie* refugee status; though, in light of the Ethiopian government’s reservation to the right to gainful employment, guaranteed in the 1951 Refugee Convention, options remain limited. Refugees are required to register with the government at Endabaguna Reception Center, close to Shire in northern Ethiopia, and then must stay in the camps for six months. Thereafter, if they meet the out-of-camp policy criteria and are able to join relatives or provide for themselves, they are free to leave: some might find work in the informal sector, others join family and friends in the urban centers, the majority move on (WRC, 2013). In Sudan, a less receptive environment meets newly arrived refugees. The Sudanese Commissioner for Refugees (COR) is responsible for refugee status determination (RSD), and while this is granted in almost all cases, the process takes time and involves scrutinizing checks by the Sudanese national security. Few individuals stay long enough to receive their yellow refugee ID card. An estimated 80 percent of persons entering Shagarab camp do not stay for more than a matter of months, at most. Some move on quickly to Khartoum and then pursue secondary movement onto another country. At the same time, while work might be found in the capital, regular police round-ups, reported deportations and general harassment from the Sudanese community mean that if means are available, the refugees move on (Women’s Refugee Commission, 2013). Eritrean migration often depends upon the money and resources available to each individual refugee. Those from families in destitute situations in Eritrea are often forced to stay in the camps, while others with relatives abroad may be assisted with their movement to the urban centers. Again, movement from one country to the next will depend upon access to money, filtering out those without access to the necessary means for onward travel. Along the way, the Eritrean population often becomes stuck in a transient state, trying to find work to earn enough to pay for either the last or the next leg of their route. They are unable to turn back or to return to Eritrea for fear of punishment for having left the country illegally and concerns for the safety of the family members back home (WRC, 2013).

## **2.6 Spike in the number of Eritrean migrant arrivals in Ethiopia**

Northern Ethiopia continues to receive large numbers of Eritrean refugees, including unaccompanied minors. The number of daily refugee arrivals spiked since the first week of September. At present, more than 200 Eritreans cross the Ethiopian border each day. The sudden spike in arrivals causes congestion at the reception centre. Unaccompanied minors and separated children are spending more than one week at the centre, adding to protection concerns. UNHCR and the Government refugee agency, ARRA, are trying to address this gap. Some 19,000 refugees were registered in 2014, including 1,836 in September and 1,700 in October. As of 16 October, Ethiopia hosted 104,343 Eritrean refugees. The arrival figures for refugees from Eritrea remained elevated in 2014 which led to the opening of Hitsatse, a new camp in Shire, which currently hosts over 4,000 refugees. Of particular concern in this group is the presence of a large number of unaccompanied and separated children in need of basic services such as guardianship/care, food, shelter and education. Most of them are not only victims of sexual exploitation but also secondary migration and human trafficking that continue unabated in the Eritrean refugee camps (NRC, 2014).

## **2.7 Effects of the Rapid Urban Population Growth to the Urban Areas**

Urbanization and migration are among the greatest global phenomena. Most African countries are undergoing unprecedented urban growth partly as a result of rural-urban migration since the rapid population growth due to rapid urbanization is directly associated with the increase of urban problems such as shortage of services like housing, health, water, street children, child labor, increase of social crimes such as gambling, smoking of marijuana, prostitution and robbery (Josephine, 2013).

## **3 The Methods**

### **3.1 Research Design and Approach**

The study was conducted to explore the influence of Eritrean migration to Urbanization, the reason of Eritrean migrant and to gain understanding of their decision to come to Ethiopia and the problem and challenges encountered. The research was based on qualitative methods and included in-depth interview with migrants, key informant interviews, FGD, document review, and personal observation. Therefore, in this study, explanatory and descriptive research design was used. In considering the most appropriate approach for the purposes of the study, it was decided that the methods used were primarily qualitative, with a quantitative element. The study was based on data obtained from primary and secondary sources. A qualitative and quantitative approach of data gathering and analysis was used, including an analysis of documents that discuss the perspective of international migration. The research methodology articulates several methods, sources and perspectives. The complex and less accessible nature of the migration networks need to be approached systematically.

### **3.2 Sampling and sample size**

Simple random sampling technique was used as a means to identify and select the refugees, asylum-seekers and migrants interviewed. Whilst efforts were made to ensure that a wide variety of different characteristics were present in the sample. The researcher tried, as far as

possible, to achieve a gender balance and to seek out, where possible, individuals who fell under different categories, namely: a range of different background and ages; a balance of married and single men and women and families. The sample is limited to key informant's interview and in-depth interview with refugee and migrants from Eritrea currently living in Tigray National Region State Northern Ethiopia accommodating Eritrean refugees Shimelba, Mai-Aini, Adi-Haroush and Hitsatse camps. However, as the purposes of this study is not to extrapolate and produce generalized conclusions, but rather to investigate a number of information rich cases. A total of 105 interviews were conducted during the data collection phase, consisting of five professionals working in the field and 100 refugee/migrants (in Shimelba, Mai-Aini, Adi-Haroush and Hitsatse camps) in addition four FDG and document review and personal observation was conducted.

### **3.3 Source of Data**

Primary and secondary source of data was used. The primary data were collected through unstructured and semi-structured interviews with refugee and migrants from Eritrea currently residing in four camps in Tigray National Region State Northern Ethiopia Shimelba, Mai-Aini, Adi-Haroush and Hitsatse, FGD, professionals working in the field and personal observation. Secondary data were collected from various sources both published and unpublished books , including reports from UNHCR, IOM, Government, NGO and international organization , official publications by ARRA, UNHCR, official statistical data pertaining to refugee and migrants. In addition guidelines, report related to migration, manuals and internet source were used and analyzed.

### **3.4 Method of Data Collection**

Following an extensive a desk review of literatures; FGD, in-depth interview, key informant interviews, document review and personal observation were used. The primary data was collected through interviews and FGD. Secondary data was collected from various sources both published and unpublished books, including reports to address the study objectives.

#### **3.4.1 Interview**

This instrument provides in-depth information and the researcher have the chance to ask questions for clarification as well as observing it. Unstructured and semi-structured Interviews were conducted in Shimelba, Mai-Aini, Adi-Haroush and Hitsatse with Eritrean Migrant and five professionals working in the field. Great cares were made to provide a relaxed atmosphere for the interviewees, so that they may feel comfortable when talking about themselves. Moreover, the flexibility of allowing the interviewees to choose the location and time for the interviews, proved advantageous, because it caused the least disruption in their livelihoods. Respondents were also be given the option of not answering any given question and stopping the interview at any point. The interviews were recorded by means of taking notes. The researcher made it clear at the outset of each interview that the information would be treated confidentially and explained the purpose of the research.

### **3.4.2 Focus Group Discussion**

The researcher had made a total of four focus group discussions one in each camp i.e. in Shimelba, Mai-Aini, Adi-Haroush and Hitsatse and was done with purposively selected young refugee/migrants, elders, refugee representatives and camp administrators and made detail discussion with the 36 invites. All the discussions were conducted peacefully and helpful for gathering detailed and reliable data.

### **3.4.3 Personal observation**

The Personal Observation made was focused, systematic and selective way of watching and listening to an interaction or occurrence as it takes place in the field. Therefore the researcher supplements the data gathering through interview using personal observation or direct observation in order to gather primary data which are accurate, timely and more helpful in the interpretations and discussions.

### **3.4.4 Document Review**

Secondary data were obtained from documents such as published and unpublished books, newspapers; journal articles; research reports and official records including reports from Government, UNHCR, IOM, DRC, NGO and international organization In addition guidelines, report related to urbanization and migration, manuals and internet source were used and analyzed.

### **3.5 Data analysis**

Qualitative data were analyzed through thematic code frame, where issues emerging from data elicited by various themes related to objectives and FDG, guiding Interview questions of the study were structured. Quantitative data were entered and analyzed by using excel and presented by frequencies and percentage.

## **4. Results and Discussions**

### **4.1 The Cause of Eritrean Migration to Ethiopia**

The drivers for the increasing arrival of Eritreans leaving their country combine several political, social and economic factors that constrain citizen's welfare. Women and men in different age range were interviewed on the factors within Eritrea that forced them to leave their home. The outflows of Eritreans are not limited to the National Service program in Eritrea but also inadequate employment opportunity, lack or Poor education opportunity as well as poverty, Pressure from the Diaspora combined with the hope for a better future abroad are the major reasons why Eritreans decide to go abroad. The young aspirant Eritrean men are looking for a better life in Europe or North America because the options they have in Eritrea for the moment are very limited. According to the reports from a number of interviewed refugees and FGD in four camps the major issues raised by the refugees are highlighted below:

#### **4.1.1 The National Service in Eritrea**

The National Service program in Eritrea by law, each Eritrean is obliged to serve 18 months in national service starting at 18 but in practice recruits serve indefinitely, many for over a decade. Endless conscription remains a principal driver of migration. The uncertainty concerning the duration of the service together with the low salary make many young people look for alternatives to spending several years working for an inadequate pay. Currently, all secondary school students in Eritrea are required to take their final year of secondary school at Sawa. The students are automatically transferred to Sawa where all young Eritreans are expected to finish their last year of secondary schooling at the Sawa facility where they also receive six months of military training. The school at Sawa is located adjacent to a military facility where the Eritrean Defense Forces train recruits. Those who pass their matriculation exam at Sawa may continue their education in various higher education institutions and they are exempted from further National Service until they complete their higher education. Those who do not pass the exams continue in the National Service as civilians or in the military. Penalties for evading and/or deserting National Service were not logical but would most likely include detention. And others said that evaders and runaway were routinely subjected to severe punishment including torture and detention under severe conditions.

Box 1: Of those interviewed Eden's witness not her real name

“My name is Eden, an Eritrean of 22 years of age and from Dekemehare Town living with my mother. My father died when I was young and I grew up only with my mother. When I reached 11th grade I decided to stop my education to avoid going to SAWA. I started working as a waitress in one of the cafeteria in Dekemehare to support my mother financially and worked for about one year. One day while walking home members of the military suddenly came to me and asked if I have served my national service requirements. I said no, so they took me with them to a place called WIA for military training. I completed the military training and after two years of service I got a leave to visit my home and went back to my home town Dekemehare. I decided when I reached home that I would not go back to the army and I started looking for ways out. I got a friend to introduce me to a person who was smuggling out people to the Ethiopia. After staying with my mother for one month I left without telling her and left with the smuggler to escape the military. The smuggler demanded his money and my uncle from Europe send the money to pay the smuggler. After about three weeks I was able to cross the border to Ethiopia and after registration in Endabaguna went to Mai-Aini camp and I am staying here as an asylum seeker”.

Source: Interview Survey Hitsatse camp, 2017

#### **4.1.2 Freedom of Movement**

As been witnessed by the FGD by asylum seekers to explain why they left the country. Many state the lack of political freedom and freedom of movement; freedom of expression, freedom of religion, arbitrary detention and the treatment of evaders. There is an absence of civil

society, political opposition or independent media. In addition from the discussion many state Eritreans' ability to move freely / mobility right both domestically and internationally are severely restricted. Eritrean nationals need permission from the state to move between provinces as well as to leave the country. For the vast majority this permission is not granted and as a result, people are forced to leave illegally and often resort to using smugglers, exposing them to the risks of trafficking-related abuses. The government owns all media. In September 2001, the government closed all independent newspapers and arrested its leading journalists. None were brought to trial. They remain in solitary detention, with no access to family members. Former guards have reported about half have died in detention. Eleven former high-level officials who criticized Isaias's rule were also arrested and detained since 2001. Eritrean authorities have ignored calls, including by the African Commission on Human and Peoples' Rights and the UN special rapporteur for Eritrea, for their release or at least a judicial hearing (HRW, 2017).

#### **4.1.3 Religious Persecution**

According to the responses from interviews and detail focus group discussion stated that the government declared that only four religions, Orthodox Tawahedo, Catholic, Lutherite Christianity and Islam are allowed to be practiced while believer to other faiths for example Pentecostals and Jehovah's Witnesses are mistreated. They are arrested and imprisoned and often asked to denounce their religion before they are released. Security personnel raid private homes where believer of unrecognized religions meet for prayers, arresting and detaining them.

*Box 2: Of those interviewed Robel's witness not his real name*

*"I am an Eritrean citizen named Robel, born and raised in Eritrea. I went to SAWA for the final year of high school in 2015. One day I was caught praying in Sawa camp and put me in jail for a month. My friend was also jailed for three months along with several others for reading the Bible together. When he left prison they asked him to sign a paper saying we caught you preaching and he signed it. It is not just Evangelical Christian worshippers who face restrictions in Sawa military camp believer of all faiths face problems. Later I didn't qualify to join the university so I was assigned to one of the battalions. While I was serving in the battalion I was always in fear of being caught and imprisoned then I started looking for ways out. I got a friend who introduces me to a person who was smuggling out people to Ethiopia. I make it my journey to Ethiopia and am staying here as an asylum seeker".*

Source: Interview Survey Adi-Harus camp, 2017

Protestant Evangelical and Pentecostal communities has characterized as being part of a foreign campaign to infiltrate the country, engaging in aggressive evangelism alien to Eritrea's cultural traditions, and causing social divisions. Security forces arrest followers of these faiths for participating in secret prayer meetings and religious ceremonies. Jehovah's Witnesses are also mistreated for their political neutrality and conscientious objection to military service, their refusal to take part in the referendum on independence or to participate

in national service which are aspects of their faith. Thus; since 1994, Jehovah's Witnesses have been banned from obtaining government issued identity and travel documents, government jobs, and business licenses. And from the FGD Reported that Jehovah's Witnesses who have refused to serve in the military have been imprisoned without trial.

#### **4.1.4 The Economic Situation in Eritrea**

The poor economic situation in Eritrea has led many to look to Europe for a better life. The young generation is looking for opportunities such as education and jobs, but this is what is missing in today's Eritrea. Lack of opportunities and the prospect of living a decent life is what make the young generation look to Europe or USA via Ethiopia. The living conditions are worsening in Eritrea, and the economy is not doing well there is scarcity of water and electricity. Lack or Poor education prospects as well as poverty combined with the hope for a better future abroad are the major reasons why Eritreans decide to go abroad.

Box 3: Of those interviewed Feven's witness not her real name

*“My name is Feven and I am 28 years old. I went to SAWA for the final year of high school in 2008 but didn't qualify to join the university so I was assigned to one of the battalions in Keren. I served in that battalion for two years. When I got my annual leave to visit my family in Asmara I decided not to go back to my unit. I tried to support my family and myself doing some work in my home town. But I was always in fear of being caught and imprisoned as I was considered a runaway. In 2012 the check points were tight making it impossible to move around even within the city. I couldn't work any longer and had to spend my days at home. With the growing inflation and no income, added to the fact that I couldn't move out of my home, it felt like a total prisoner and life became intolerable. If I caught at the check points I would be imprisoned at my battalion to a military prison term that might even extend to three years. My economic situation had worsened and I had no money so I decided to leave Eritrea in search of better life and personal security. Along with two men from my neighborhood we made it to Ethiopia with the help of smugglers”.*

Source: Interview Survey Mai-Aini camp, 2017

Young Eritreans are frequently called to undertake forced labor for the government. This labor can include construction works, afforesting, mining, digging, building government offices, teaching and other efficiently any tasks deemed necessary by the state. Payment is not satisfactory often less.

#### **4.1.5 The perception of the outside modern world**

Diaspora plays an important role in encouraging migration, as some may provide refugees in the region with a good life in Europe. There is a perceived sense of hopelessness amongst many of the Eritrean refugee youth, which encourages movements out of their country. Individual's desire in the global industrialist, the perceived associated lifestyles and the perception of the outside modern world and the likelihood to participate in it is among the factors in prospective migrant and/or refugee decision making from Eritrea. Social networks,

social media and flows of information are key factors in forming and influencing migrant decision-making on an individual level, as well as larger migration systems. This aspiration is beyond the mere material value or comfort modern societies may provide, but also represent a possibility to fulfill unmet desires of freedom and connectivity with the larger world. Most Eritreans cross the border into Sudan or Ethiopia, from where they travel south to other parts of sub-Saharan Africa, especially South Africa, further west into Libya then north towards Europe, or north towards Israel and through resettlement program to Australia, USA and Canada. Various Eritrean families have relatives outside the country and there is a strong perception of how life is in Europe and North America. By the end of the day many youngsters ignore the risks involved in travelling to Europe. It is a precarious journey from Eritrea to Sudan, Egypt, Israel, Ethiopia and Libya. However; to estimate the number of Eritreans leaving their country for Europe each month is very difficult.

## **4.2 Challenge Faced by Eritrean Migrants**

### **4.2.1 The Border Crossing from Eritrea to Ethiopia**

The border crossing from Eritrea to Ethiopia is the most difficult and dangerous part of their journey and maybe the most difficult and dangerous one among all the journeys via Sudan, Libya up to Europe. The border between Eritrea and Ethiopia is known to be very militarized with minefields in some areas; However Hundreds of Eritreans are fleeing their country daily to Ethiopia. It is very likely that in order for a person to cross the border some smuggler/guides must be involved. On the other hand it must be assumed that the border between the two countries in certain areas is quite porous. Most of the people, who live relatively close to the border, trek the whole distance until they reach the Ethiopian territories. Some of them may have the travel permit to travel by bus/vehicle closer to the border areas, while others trek the whole distance even from distant areas such as Keren, Asmara, Ghindae, massawa etc. The journeys are made on their own without payments to guides/smugglers; in contrast, others are arranged through guides/smugglers involve payments of huge amounts of money to the smugglers and their agents. Usually there are two categories of escapees: one category includes those people who have access to travel permits to reach areas near the border thus reducing the costs of smuggling, and the inhabitants of the border areas with the capability to afford to escape by vehicle; and the other category constitutes those people who escape by vehicles even from areas far from the border but, as mentioned above, can afford to pay the huge costs. Most of the time whole families, or children and women, are part of the journey.

### **4.2.2 The Incidence of Human Traffickers**

Italian police have claimed that dozens of African migrants on a boat, which sank near Italy's coast in October with the loss of 366 lives, were raped and tortured before starting their journey. People traffickers allegedly held a group of 130 migrants from Eritrea for ransom in a desert area in southwest Libya before allowing them to travel further, even after they had already paid for a boat journey. Survivors from the boat-sinking said they had been forced by the traffickers to pay for their freedom and their onward journey to the Libyan coast and then onto a boat to Europe. Eritrean women and girls were allegedly raped while men were

tortured with various methods including electric shocks and beatings. Many of the asylum seekers were tied up to stop them from protesting. An estimated 20,000 people have lost their lives in unsafe boats on the Mediterranean over the past 20 years (BNN, 2013).

Box 4: Of those interviewed Sara witness not her real name

*“My name is Sara and I am 23 years old. My livelihood situation in Eritrea had worsened and so I decided to leave Eritrea in 2015. Along with two men and three women we made it to Kassala and kept hostage for over a month by some people of the Rashaida clan. We were kept in an unknown place by the kidnappers. While there, I was badly beaten regularly, tortured and raped several times. One of the men whom accompanied me on the trip was beaten to death at some point. We were pressured by the captors to phone our families back in Eritrea and ask for the money. I was released in a relatively short time as my families were able to secure the funds quickly. I began my journey to Khartoum in a lorry. In Khartoum, after about three weeks I met an Eritrean girl who also came there and was there for some months. We made friends and made plans to flee that area to go to the Ethiopian camp. With the help of this girl, we were able to reach in Ethiopia. At Mai-Aini camp I met people to help me register and I am staying here as an asylum seeker”.*

Source: Interview Survey Mai-Aini camp, 2017

#### **i. Livelihood in the Refugee Camps**

Refugees are not allowed to work outside the camp, and as a result, fewer are employed. A few have businesses begun from funds sent to them by their relatives abroad. These businesses have been set up in the central part of the camps and there are beauty salons, restaurants, and retail shops and some refugees have been hired to work at these places. Other refugees have found employment with UNHCR’s implementing partners. As so few are able to work, boredom governs the refugees’ daily life. Most spend their time playing cards, drinking coffee, chatting in small groups, or watching DSTV transmitted football (soccer) games and movies. Camp life is especially difficult for women.

Al-most all of those Eritrean refugees in Ethiopia have no intention of staying in the camps for an extended period of time. Upon arrival in the camps the vast majority of the refugees readily state that they will be moving on as soon as suitable for them. However, international organizations are assisting refugees staying in the camps with number of interventions including the Youth Education pack that contains vocational training, life skills, literacy and numeracy subjects. Most often the young refugees are unaware of the hardships that they will encounter during their long journey through Sudan and Libya, and across the Mediterranean Sea to Italy. The food ration provided is the main source of food and income for most refugees and interviews with refugees revealed that the ration lasts for an average of two to three weeks for single household. In order to cover the food gap, the main coping mechanisms reported were borrowing food or money from traders and friends, only consuming two meals a day, a small number of refugee receives remittances or assistance from abroad, run small businesses or is employed as daily laborers .

#### Box 5: Of those interviewed Abel witness not his real name

*“My name is Abel 18 years old. A relative of mine who was looking for a way out as well connected me to a smuggler. We started our journey from Mendefera through Hazemo and entered the town of Gerhu Sernay of Tigray after a three night journey. We couldn’t travel in day light as the soldiers guarding the border might catch or even shoot at us, as there is a shoot to kill order from the government to whoever is trying to escape. At a place called Aba Guna we registered and sought asylum from there we were assigned to Adi Harush Camp in Ethiopia. Fortunately for me I travelled all the way with my cousin safely. The living conditions at the camp were harsh but we were relieved that we had made it out of Eritrea safe. Every refugee there was given 15 KG of maize, a litre of oil, a blanket and 30 Birr for milling the maize. We were not free to move out of the camp freely as the process to get your papers to move out of the camp takes very long. I do not feel the livelihood here are fine at all and want to proceed to another country”.*

Source: Interview Survey Adi-Harus camp, 2017

The study found that access to income-generating activities in the camp was low, especially for young refugees. Activities available entail casual and irregular labor. The level of dependency on external assistance is very high demonstrating the very low level of self-reliance of refugees living in the camps. Hence; a secondary movement to Europe, and no solution to the problem. Most Eritreans who flee from Eritrea are influenced by the Diaspora in Europe and North America. They are being told what to do and they will move on, even though they will face horrendous challenges during their journey. Although Eritrean refugees are informed about the risks involved in the journey to Europe secondary movement still continues.

### **4.3 The Influence of Eritrean Migration to Urbanization**

#### **4.3.1 Living outside of Refugee Camp**

The people and government of Ethiopia have always been kind in welcoming refugees. Refugees are not just welcomed at the border but they are supported and escorted to Endabaguna reception centre, located 20 kilometers west of Shire, refugees are being registered by the Administration of Refugee and Returnee Affairs (ARRA) and the UN refugee agency UNHCR. Then, they are assigned to one of four refugee camps in the Tigray region. In 2010, the Ethiopian Government with the support of the United Nations High Commissioner for Refugees (UNHCR), introduced an Out of Camp policy (OCP), permitting Eritrean refugees to reside outside of camps as long as they could support themselves financially or were sponsored by a relative or friend (UNHCR, 2010). Thus; few Eritrean benefit from the OCP in Addis Ababa and in the various cities of the Tigray region in particular Axum, Mekele and Shire. However, that access to the urban refugee scheme is limited which accounts for the low number of participants. Despite retaining resettlement eligibility while living outside the camp, many Eritreans in Refugee Camps stated that they

prefer to remain in the camp until their resettlement process is complete. Living outside the camp and accessing resettlement can be difficult often; the notification for an interview may not give the refugee enough time to return to the camp from towns like Addis Ababa, which require more than one day of travel by bus. Rather than risk of being absent for a resettlement interview, most refugees choose to remain in the camp. Additionally, since the Out of Camp Scheme does not grant refugees the right to work, many fear becoming a burden to their family from abroad or friends who sponsor them. If a refugee leaves the camp to join a relative who later is not able to support him or her, the refugee has the option to return to the camp. However; Thousands more Eritreans live in the country outside the asylum system. The government of Ethiopia reaffirms its commitment to continue availing the necessary protection to refugees and is dedicated to the implementation of the internationally set refugee protection and assistance principles and other provisions as per the standards.

#### **4.3.2 Economic Influences**

Countries like Ethiopia that host refugees for protracted periods experience long-term economic, social, political, and environmental influences. Large-scale and protracted refugee influxes can have economic influence. The study found that influences on urbanization are complex and have both negative and positive aspects. The positive and negative impacts of the refugee presence will play out differently. From the moment of arrival, refugees may compete with local citizens for scarce resources such as water, food, housing, and medical services. Their presence increases the demands for education, health services, infrastructure such as water supply, sanitation, and transportation, and also for natural resources such as firewood. On the other hand one of the positive contributions found that refugees can bring to the city are remittances and this increase in the size of the local markets also business and trade activities conducted by refugees. It is important to mention that in general remittances can also enhance business and trade activities. Based on the field observation and interviews made, some of the Eritrean refugees were participating in small business activities. As a result they created a market for pursuing their livelihood. These created businesses and income generating opportunities for themselves in particular and for the host communities in general. In addition Due to the influx of different humanitarian agencies and international organizations accompanying the refugee's presence has contributed for the increased number of aid agencies operating in the town which in turn leads to employment and income added to local population directly or indirectly through assistance project for refugees.

#### **4.3.3 Social Impacts**

The socio-cultural impact of refugees on the host community may occur simply because of their presence. Fortunately, in the study area refugee from Eritrea share the same culture and language. Consequently, some of the Eritrean refugees in the town get married.

Box 6: Of those interviewed Simon witness not his real name

*“My name is Simon 34 years of age I came to Ethiopia seeking peace and freedom. While I was in the camp frequently my brother from USA sends me money thus; occasionally I went to Shire to meet friends in the town. Through time I developed close relations with an Ethiopian woman called Ruta and we get married and God blessed us with a baby girl. With the help of my wife I was able to establish a small business in Shire town. The camp policies allow me to come and go relatively easily to visit my family and this freedom facilitate me to grow up my business in the town. Eventually my intension was to leave Ethiopia and have a better life in another country through the resettlement program”.*

Source: Interview Survey Shimelba Camp, 2017

## **5. Conclusions and Recommendations**

### **5.1 Conclusion**

Every year, thousands of refugees and migrants become victims of illegal smuggling and trafficking networks operating across the East and Horn of Africa to the Middle East, North Africa and Europe. A significant number of the victims are from Eritrea, who report abuse suffered from traffickers as well as exploitation by smugglers. Eritrean refugees primarily flee to Ethiopia and Sudan as their first country of asylum; concerning the emigration from Eritrea several pull factors as well as push factors are identified. Important push factors are the open ended National Service, freedom of movement and religious persecution and the general lack of economic development hampering socioeconomic development, especially employment and career opportunities. These factors motivate especially young people to leave Eritrea. The pull factors are above all the prospect of a better life in Europe and USA, the perception of the outside modern world and the hope to replace the very low salary in Eritrea for years to come with a better socio-economic prospect. The movement of these migrants entails enormous challenges. The distinctiveness of such type of migration lies in the irregularity of the journeys undertaken by the migrants. In the case of Eritrean Migrants in Ethiopia Obviously, there are various challenges the major once identified are the Border Crossing from Eritrean to Ethiopia, the Incidence of Human Traffickers and Livelihood in the Refugee Camps. And the Large-scale and protracted refugee influxes can have socio-economic influence. The people and government of Ethiopia have always been kind in hosting refugees. Migrants and refugees are welcomed at the border. Asylum seekers are often received with warm welcome upon arrival. However; As a result of these unstoppable exodus of the refugees from Eritrea has resulted in socio-economic impacts. Even though, the government is the key to the success in minimizing and preventing the negative impacts to determine the role of other stake holders is imperative.

### **5.2 Recommendation**

Although this study has elaborated somewhat on the migrants Situation and influences there remains a need for ongoing research to inform planning and economic development

interventions and policy recommendations are believed to be considered important. Therefore there are certain issues that could be considered and developed further .Based on the study the researcher recommend the following points.

- Expand the possibilities of generating income to raise the living standards of refugees and ensure that asylum-seekers receive protection, appropriate services and adequate material assistance.
- Enhance the capacity of the national asylum system through providing further financial and expertise assistance, the availability of up-to-date country of origin information and trainings to the government organ in charge of refugee status determination.
- The government should use all its mechanisms to prevent human trafficking from refugee camps and to ensure safe movement of African people within and across borders according to their aspirations.
- Address secondary movement by raising awareness among their respective societies and faith communities on the tragedies of migration and to build awareness among the young people about the realities and dangers of Migration.
- The national ,Regional and local government of Ethiopia should consider the negative socio-economic impacts that a refugee concentration has brought to the local host communities and allocate resources and police force for ensuring the security and employment opportunity of the host community.
- The international organization and refugee agencies like UNHCR and others should allocate some of their budget to host community in the provision of health, educational services and the environment.

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# Transparency, Accountability and Integrity in Public Procurement

## The case of Federal Public Organizations of Ethiopia

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### **Abstract**

*This study has emphasized transparency, accountability, and integrity in procurement of the federal public organizations. Transparency is related to performing procurement activities openly and exposing malpractices and reporting procurement performance. Accountability is related to being answerable to what has been planned, implemented, and achieved, and how the decisions have been made. Moreover, integrity is related to the commitment and honesty of individuals and teams in performing their assignment. Thus, the basic objective of the study is to examine procurement related accountability, transparency, and integrity in public procurement process. Research questions have been designed to examine the major factors that influence transparency, accountability and integrity in public procurement, and how they could be maintained in public procurement. Accordingly, the data show that accountability in control of efficiency and effectiveness, ensuring value for money, and professionalism and experiences are not created well to establish a strong accountability. Moreover, transparent communications, disseminations of information, and debates and investigations of information haven't been ensured in the organizations considered in this study. The integrity of employees in performing their duty and having honest discussions to solve existing as well as potential risks have not been created well. It has been suggested that it is good to rediscover the transparency and accountability issues in ensuring value for money and communicating procurement information to the respective authority as well as to the general public. Procurement system has to do with the integrity of team members and team leaders to enhance commitment of individuals and honest discussions on the problems and opportunities, mission, vision, and common goals of the organizations.*

**Key Words:** Accountability, Transparency, Integrity

### **1. Introduction**

Public procurement plays an important role in economic, political and social dimensions in any country. It is estimated that public procurement represents a significant percentage of the gross domestic product (GDP) generating huge financial flows, estimated on average at 10-15 percent of GDP across the world (OECD, 2009). It enables public organizations to obtain goods, works, and services for public goals (Ban Ki-moon, 2012).

Transparency is considered to be a prerequisite for ensuring the accountability of public officials as well as each party involved in public procurement. In this regard, there is broad agreement that without transparency, open competition cannot prevail, corrupt dealings can proliferate, and other failings in the procurement process may be covered up weakening accountability (Lea and Andrew, 2012).

In Ethiopia, it is approximated that the government procurement as a percentage of GDP was 14 while government procurement as a percentage of total government budget was approximated at 64 percent (PPA, 2015). The federal public procurement is guided by the Procurement and Property Administration Proclamation 649/2009 and the Procurement Directive issued in 2010. Article 5 of Proclamation 649/2009 states principles of procurement in that it has to ensure value for money when public resources are spent; ensure transparency and fairness in procurement process, accountability for the decisions made, and careful use and handling of public properties. These principles basically indicate the characteristics of a good procurement system.

The procurement directive also elaborates transparency as an essential requirement in making procurement decisions transparent to all concerned parties. In relation to these, procurement duties and responsibilities are defined to different actors and comprehensively other documents such as procurement manuals and standard bidding documents (SBDs) have been developed to promote transparency and accountability. Procurement integrity is not a basic issue in policy document of Ethiopia. However, it is very critical from the view point of commitment and honesty of employees in implementing procurement policies and ensuring value for money in their respective organizations.

Accountability, transparency and integrity are recognized as the key requirements to carry out public procurement in compliance with relevant laws and regulations, and protect procurement processes from secret agreement between parties to commit fraud. Furthermore, they keep public procurement from demands of something of value in return for assisting an organization to win a bid (Susanne and Laura, 2014).

Accountability is central to the governance of modern state (Ma and Huo, 2009). It is the most important agenda of a government for reasons that have to do with issues such as the recent economic, environmental and other related problems resulting from government operations (Greiling and Halachmi, 2011).

Providing clear and consistent information to the general public, the potential suppliers, the contractors, and other relevant stakeholders about entire procurement cycle will enable transparency in use of funds for organizational purposes and in line with public interest (OECD, 2007). There are a lot of struggles in making government accountable to its people although there are many questions with regard to designing and addressing the ways of ensuring it (Ma and Hu, 2009). To establish and maintain answerability and responsibility in public procurement

actions and decisions, clear level of authority for approval of key stages based on appropriate segregation of duties and reporting is essential (OECD, 2009).

As Palaniski and Yammarino (2011) state, transparency is characterized by openness, availability or disclosure of information. OECD (2007) also states that transparency can be ensured through making information readily available to interested parties, making administration decisions and ruling clear, providing equal opportunities to bidders, provision of equal information to competitors consistently. In addition, enabling civil society organizations, media and the wider public to scrutinize public procurement through disclosure of public information is required (OECD, 2009).

Boardman and Klum (2013) state integrity in that it will be ensured when an organization's operational systems, corruption prevention strategies, and ethical standards are fully integrated to achieve its purposes. They further state that the ethical standards should include integrity being honest, open, accountable, objective and courageous. From this, it can be understood that integrity is linked to accountability and transparency. Moreover, Pope (2011) states that a person can control monopoly not being accountable and still exercising discretion without being influenced by corruption.

Accountability, transparency and integrity in public procurement are not a new agenda from the international point of view. Many researches have been conducted on these particular areas as some of them have been discussed in this section and in the literature sections as well. However, no researches have been observed in the study area where this research has addressed.

This study has attempted to find transparency, accountability, and integrity issues in public procurement in federal public organizations. To this end, the following research questions have been designed to seek appropriate answers:

1. What are the major factors that influence transparency, accountability and integrity in public procurement?
2. How can transparency, accountability, and integrity be maintained in public procurement system?

The overall objectives of this study is to identify the strengths and weakness in maintaining transparency and accountability in public procurement of federal public organizations of the Ethiopia and thereby effects. The specific objectives are to:

- Identify the major factors that influence transparency, accountability, and integrity of public procurement;

- Examine the areas that need to be considered in maintaining transparency, accountability, and integrity in public procurement.

## **2. Review of Related Literature**

### **2.1. Introduction**

Public procurement is a complex business and requires due attention to make the system efficient and effective (Thai, 2009; Arrowsmith, 2010; Bolton, 2006; Eyaa & Oluka, 2011). To ensure value for money and avoid risks, the procurement system and process must be transparent, and participants in the process must be accountable to the decisions (NAO-URT, 2013; Alban, 2013). Procurement processes must be carried out in line with a set of moral or ethical principles and standards (CIPS, 2011). In a procurement system that promotes transparency, efficiency, economy, fairness and accountability, the occurrence of corruptive practices will be more difficult (Anne, 2005).

### **2.2. Accountability**

In view point of procurement, accountability means that governments, officials, and business firms are accountable to the execution of their duties and decisions (OECD, 2015; Armstrong, 2005) and it can be promoted through effective record-keeping of decisions made and justifying reasons for those decisions. Accountability makes the occurrence of malpractices less likely (OECD, 2009; Vasantasingh, 2008, PPAA, 2011).

Accountability is an important requirement from both administrative and economic perspectives. An administrative perspective is related to the law that the procuring organization must respect, whereas economic implications of public procurement are seen from additional costs or inefficiencies (Greiling & Halahmi, 2010). In line with this, it can be explained by two connotations - answerability and enforcement. Answerability is justifying what has been done or what is to be done and enforcement is related to the capacity to enforce sanctions on officials who have violated their public duties (Jun & Huo, 2009).

Having effective accountability increases the chance of deterring malpractices (Kuhn & Sherman, 2014). In a system where there is weak accountability, there is a diminishing trust in government to its operation (Greiling and Halachmi, 2010). Public trust can be ensured when public accountability such as legality, integrity, efficiency, effectiveness, involvement, fairness, and transparency are ensured.

In public procurement decision-making, the quality of control mechanisms are weak (Bishop, 1990; Ogus, 1994; cited in Greiling & Halahmi, 2010). This is because control over the agent is more complicated than private procurement as there are diverse collection of principals with different interests and influences.

According to Hansen (2003), contracting out government services will be accountable to the agency's relevant constituency, and to the officials' formal and informal controls surrounding the contract and management processes. Legal structures and government contracting can be seen from agency regulation, legislative pronouncement, contract enforcement, and justice review structure.

Hansen (2003) further states that limited competition, lack of professionalism at the government level as well as at the suppliers' level, lack of public awareness, weak hierarchical structure, multiple overlapping structure, and weak political oversight and access are the major problems in creating weak accountability to government contracts.

In relation to performance measurement that is linked to accountability and transparency, Terman and Yang (2016) examine transparency and accountability issues with regard to contracting out and performance measurement. They note that a performance measurement tool is viewed as performances that can be manipulated so that it will be difficult whether it will enhance transparency. Their findings indicate that performance measurement scores are politicized as they can be manipulated in evaluating accountability and transparency.

Table 2.1: Framework of Accountability

<b>Types of Accountability</b>	<b>For What?</b>	<b>With What Process?</b>	<b>To Whom?</b>
Competition	Efficiency; innovation	Competitive bidding; ongoing monitoring	Everyone
Legal Oversight	Fair process; no corruption; transparency; reasonable decisions; effective outcomes	Statutory/ regulatory reporting requirements; appeals; contract standards	Officers; legislators; public; bidders; clients
Hierarchical Controls	Fair process; no corruption; transparency; reasonable decisions	Government and agency review processes	Executive officers
Professional Accountability	No corruption; reasonable decisions; effective outcomes; fairness	Informal professional contacts; formal board or donor review; training	Colleagues; staff volunteers; boards; donors
Public/Client Input	Transparency; openness; reasonable decisions; effective outcomes	Notices; hearings; appeals; media; security	Public; client
Political Accountability	No corruption; reasonable decisions; effective outcomes	Elections	Public
	Particular stakeholders interests	Informal contracts with public/stakeholders; formal mandated review	Special interests or public interest
	Efficiency; speed	Informal contracts with executive	Agency

Source: Hansen, 2003

### 2.3. Transparency

In modern public procurement system, transparency is a key requirement because it gives access to laws, regulations, policies and practices of procurement by government organizations to the

public (Armstrong, 2005). Transparency means that laws, regulations, institutions, processes, plans, and decisions are accessible to all potential bidders and the public at large (Kuhn & Sherman, 2014; NIGP, 2013). Transparency in procurement requires openness of the proceedings, protection against corruption-induced manipulation of the procurement method, fair prequalification procedures, and transparent and fair selection of the winning tenderer (Kaspar & Puddephatt, 2012). Moreover, as stated by National Institute of Governmental Purchasing (NIGP, 2013), transparency requires clearly defined procurement conditions for participation in procurement proceedings, eligibility of suppliers, timelines, technical specifications for goods, work, or services, criteria for the acceptance/rejection of a bid.

Transparency has the capability to facilitate the detection and prevention of malpractices, and can be enhanced through wide publicity of potential procurement contracts and publications (Greiling & Halahmi, 2010). An efficiency gain is enhanced in transparency procedure as an increased competition results in budgetary savings for government. Transparency is also created through creating a review board for complaints arising from procurement operations. Another essential component in procurement transparency is political will. This encourages more parties such as private sectors, civil society, media, and other individuals to engage themselves in exposing misconducts (Anne, 2005). Transparency is characterized by availability and openness with regard to operation and disclosure of timely, thorough, and considerate information at an organization level. At a team level, transparency can be ensured through sharing enough information among the team members (Palanski et al, 2010). Transparency can also be enhanced through electronic procurement as it reduces face-to-face contacts and informal discussions of the parties (Myrish & Antonio, 2007).

The presence of transparent procurement system and procedure is an essential precondition for controlling corruption and renders abuse difficult and increases the likelihood of detection of malpractices in procurement process (BPPON, 2008; Kuhn & Sherman, 2014). Lack of transparency in public procurement is a major obstacle to sustain economic growth and leads to corruption (Ban Ki-moon, 2012).

#### **2.4. Integrity**

As defined by Kuhn & Sherman (2014) and Prevenslik & Kostyo (2006), integrity refers to behavior and action consistent with a set of moral or ethical principles and standards, embraced by individuals as well as institutions that create a barrier to corruption. It is related to soundness of moral character, having sense of honesty and truthfulness, consistency between words and actions, and moral/ethical behavior (Palanski and Yammarino, 2007). When there is integrity that can consistently seen in words and actions by individuals, it avoids any behavior that may be against fairness and equity (UNOPS, 2010).

The integrity principle applies to the procurement process and its participants and in which the procurement is carried out in compliance with the relevant laws and regulations (OECD, 2007;

2009). Lack of integrity in procurement decreases the validity of organization and/or government decisions and diminishes trust in procurement processes (OECD, 2007).

Having transparency and accountability laws by themselves are not the only remedies for effective execution of procurement processes but also they need to be properly investigated by those who have power to oversee their application and take corrective and sanctioning actions (OECD, 2015; Vasantasinh, 2008).

### **3.The Methods**

The study has been conducted through a descriptive and explanatory type survey research. The research particularly focused on whether procurement operation of the federal public organizations is being implemented accountably, transparently, and with high level of integrity.

#### **3.1. Population, Sample Size and Sampling Technique**

For the purpose of this study, the population of interest is the federal public organizations (ministries, agencies and commissions). The selected organizations have been identified purposively assuming that they make large and complex procurements. After deciding the organizations, the researchers have included all of the procurement officers who are directly connected to procurement operations. The entire procurement officers have been requested to respond to the questionnaires. Federal organizations considered in this study are Ethiopian Road Authority, Ethiopian Revenue and Customs Authority, Public Procurement and Property Disposal Service, Federal Procurement and Property Administration Agency, Ministry of Finance and Economic Cooperation, Ministry of Transport, Ministry of Water and Energy, Ministry of Urban Development and Housing, Ministry of Health, Ministry of Trade, Ethiopian Investment Commission, and Ministry of Industry.

#### **3.2. Data Collection Instruments**

The data have been collected from federal organizations through questionnaires and focus group discussions, and document reviews. Three different questionnaires on accountability, transparency, and integrity have been prepared and distributed to the respondents. The focus group discussion has been made in three organizations included in the sample. Moreover, secondary data have been obtained from review of procurement policy documents.

#### **3.3. Variables**

The variables that have been used in the study are identified from various articles on accountability, transparency, and integrity in public procurement. These variables have been included in the questionnaire in a five-level likert scale form and respondents responded their level of agreement indicating on the questionnaire, and during analysis, these questionnaires were transformed to the data. Descriptive discussions have been made based on the respondents' perception on accountability, transparency, and integrity, and later these data were regressed to evaluate their significance to the defined dependent variable.

### 3.4. Data Analysis, Presentation and Interpretation

The researchers have applied both descriptive and inferential analyses. Under descriptive statistics, frequencies, and percentages have been used to analyze the data. Regression analysis has been made using linear regression model to measure the significance of identified variables to the dependent variable. Both descriptive and inferential results have been presented, analyzed, and interpreted to have information about the identified variables.

### 3.5. Validity of Questionnaire

To arrive at reasonable conclusion, it is imperative to collect valid, reliable, and timely data that can be processed to give meaningful information. The internal consistency of questionnaires was tested and the results indicate that the questionnaires are valid for analysis. Accountability is measured in terms of internal control, public accountability, accountability to efficiency and effectiveness, reporting accountability, and selection accountability. The reliability tests of these respective variables are 0.862, 0.732, 0.877, 0.737, and 0.880. Transparency is also measured in terms decision, information, and policy framework. The reliability tests of these respective variables are 0.885, 0.878, and 0.916. Moreover, behavioral integrity is factored into six groups due to its large contents in questionnaire. When the entire questionnaire's reliability test was measured, it is internally consistent to measure the behavioral integrity of the employees (i.e., 0.934).

## 4. Results and Discussion

This research mainly focuses on accountability, transparency and integrity in public procurement that determine the quality and performance of the organizations with regard to procurement tasks and responsibilities.

### 2.5. Demographic Profile of the Respondents

The data have been collected from 78 respondents in the form of questionnaire from federal public organizations (ministries, agencies, and commissions). With regard to this, table 4.1 indicates the experiences of the respondents.

Table 4.1: Year of Experience

Year of Experience	Frequency	Percent	Valid Percent	Cumulative Percent
Below 2 Years	14	17.9	17.9	17.9
2-4 Years	13	16.7	16.7	34.6
4-6 Years	15	19.2	19.2	53.8
Above 6 Years	36	46.2	46.2	100.0
Total	78	100.0	100.0	

Table 4.1 shows that more than 82 percent of the respondents have two or more than two years of experience. The researchers thus assume that the respondents have sufficient knowledge of procurement transparency, accountability and integrity.

Table 4.2: Level of Education

Level of Education	Frequency	Percent	Valid Percent	Cumulative Percent
Certificate	4	5.1	5.1	5.1
Diploma	11	14.1	14.1	19.2
Valid First Degree	48	61.5	61.5	80.8
Masters Degree	15	19.2	19.2	100.0
Total	78	100.0	100.0	

Table 4.2 also shows the level of education of the respondents of the federal public organizations considered in this study. About 95 percent of the respondents are diploma and above.

Table 4.3 gives some essential insights about the respondents' ability to understand what they have been asked. Accordingly, 91 percent of the respondents are currently working in procurement related areas.

Table 4.3: Position of the Respondents

Current Assignment of the Respondents	Frequency	Percent	Cumulative Percent
Procurement Officer	22	28.2	28.2
Senior Procurement Officer	29	37.2	65.4
Head of Procurement Department	9	11.5	76.9
Property Administrator	1	1.3	78.2
Purchaser	2	2.6	80.8
Valid Procurement Training and Professional Support Officer	1	1.3	82.1
Procurement and Procurement Affairs Expert	2	2.6	84.6
Property Administrator	1	1.3	85.9
Procurement Complaint Resolution Officer	4	5.1	91.0
Other	7	9.0	100.0
Total	78	100.0	

Source: from field survey, 2017

## 2.6. Accountability

Accountability is very important requirement in public procurement as it demands an answer for plan, action, and outcome for the tasks assigned. The federal public organizations assume that it is enhanced as a result of transparent plan, action and result achieved, and majority of the respondents agree on this.

Table 4.4: Accountability to the General Public and the Government

There is a mechanism that ensures accountability of your procurement officials to the government and the general public		Freq.	Percent	Cumulative %
Valid	Strongly Disagree	24	30.8	30.8
	Disagree	18	23.1	53.8
	Neutral	9	11.5	65.4
	Agree	25	32.1	97.4
	Strongly Agree	2	2.6	100.0
	Total	78	100.0	

Source: from field survey, 2017

Public accountability is to the organizations in which public officials work and to the society in general (Greiling and Halachmi, 2011). With regard to this, the data in table 4.4 indicate that there is a rare practice that the society are aware of to whom procurement officials are accountable and that public hearings and investigations have facilitated disclosure of information, and the mechanisms of ensuring accountability to the government and the general public at an organization level are not well established.

The data in table 4.5 show that more than 46 percent of the respondents have concerns over the procurement efficiency and effectiveness, and 35.89 percent agree that their organization ensures efficiency and effectiveness and hence value for money. The rest 14.10 percent respondents remained neutral with regard to it.

Table 4.5: Efficiency and Effectiveness of Procurement

Government procurement is done in a manner guaranteeing that expenditures are made in the most economically rational way (Value for Money)		Freq.	Percent	Cum. %
Valid	Strongly Disagree	7	8.97	8.97
	Disagree	29	37.18	46.15
	Neutral	11	14.10	60.25
	Agree	28	35.89	96.14
	Strongly Agree	3	3.86	100.0
	Total	78	100.0	

Source: from field survey, 2017

This gives some clue that public procurement gives less emphasis to costs and benefits as well as achieving procurement goals. It was responded that public officials will be accountable if problems of inefficiency and ineffectiveness are seen (i.e., 34.6 percent), while others responded that the practices of penalizing inefficiencies and ineffectiveness are not noticeable on the

ground (34.6 percent). The remaining respondents (30.8 percent) replied neutral on this issue. This shows that the accountability concern is almost equally responded "agree" or "disagree".

Table 4.6: Accountability with Regard to Efficiency and Effectiveness

Procurement procedure ensures accountability when they are not efficient and effective in allocation of public resources		Freq.	Percent	Cumulative Percent
Valid	Strongly Disagree	15	19.2	19.2
	Disagree	12	15.4	34.6
	Neutral	24	30.8	65.4
	Agree	21	26.9	92.3
	Strongly Agree	6	7.7	100.0
	Total	78	100.0	

Source: from field survey, 2017

Managing procurement processes requires knowledge and skill of public officials. With regard to this, more than 43 percent of the respondents disagree that the procurement operation is based on sufficient knowledge and skill. More than 38 percent of the respondents agree that their organization is equipped with sufficient knowledge and skill to manage procurement activities, and the remaining 17.9 percent responded neutral. This injects some concerns that there are gaps in professionalization on procurement areas.

Table 4.7: Professionalism and Delegation

Professionalism is achieved through the delegation of decision-making authority from elected representatives to procurement officials		Freq.	Percent	Cum. Percent
Valid	Strongly Disagree	26	33.3	33.3
	Disagree	8	10.3	43.6
	Neutral	14	17.9	61.5
	Agree	20	25.6	87.2
	Strongly Agree	10	12.8	100.0
	Total	78	100.0	

Source: from field survey, 2017

In relation to knowledge and experience, the respondents also agree (50 percent) that procurement officials do not have experience and knowledge to justify the best suited acquisition methods, while 30.7 percent agree that the experience and knowledge are there to ensure the best acquisition. Even with no malpractices, procurement procedures may not ensure value for money due to the knowledge and experience gaps of the organizations.

Table 4.8: Knowledge and Experience

Procurement officials have knowledge and experience as to what kind of acquisitions are best suited for the public purposes		Freq.	Percent	Cum. Percent
Valid	Strongly Disagree	19	24.4	24.4
	Disagree	20	25.6	50.0
	Neutral	15	19.2	69.2
	Agree	20	25.6	94.9
	Strongly Agree	4	5.1	100.0
	Total	78	100.0	

Source: from field survey, 2017

A strong control over public procurement process promotes accountability through identifying unethical practices. With regard to this, 35.9 percent of the respondents disagree on this issue and 42.3 agree. On the other hand, 21.8 percent of respondents remained neutral. It is not easy to conclude that the quality of control is strong or weak based on this information. But, this information indicates that about 36 percent (35.9) of the respondents don't agree or strongly agree that they have a high quality control mechanism in the course of ensuring value for public money. Moreover, concerns on efficiency and effectiveness and low accountability issues are the consequences of control among other things. In contrast, the respondents' discussions indicate that there are mechanisms of monitoring and imposing sanctions and using budget restrictions to limit discretions of procurement officials. These are methods of control of procurement procedures so that there are indications that control over procurement operations exists although these sanctions and budget restrictions are not well established.

Table 4.9: Control Mechanisms of Procurement Operations to Ensure Accountability

There is a high degree of quality control mechanism in ensuring value for money and hence accountability		Frequency	Percent	Cum. Percent
Valid	Strongly Disagree	14	17.9	17.9
	Disagree	14	17.9	35.9
	Neutral	17	21.8	57.7
	Agree	28	35.9	93.6
	Strongly Agree	5	6.4	100.0
	Total	78	100.0	

Source: from field survey, 2017

The effectiveness of public procurement is not only determined by the procurement processes up to award to the best offer, but also by post-contract award management. Control over public procurement contract is not simple and doesn't ensure value for money (i.e., 56.4%) although

28.2 percent responded that control over procurement implementation after the award of a contract is easy and to the level expected.

Table 4.10: Control of Procurement Contract Awarded

Simplicity of control after the contract has been made		Frequency	Percent	Cum. Percent
Valid	Strongly Disagree	9	11.5	11.5
	Disagree	35	44.9	56.4
	Neutral	12	15.4	71.8
	Agree	16	20.5	92.3
	Strongly Agree	6	7.7	100.0
	Total	78	100.0	

Source: from field survey, 2017

In public procurement, quality is the main issue after the contract has been awarded. It is very essential for public organizations to assure whether goods, works, and services are being supplied or rendered as per the agreed standard. 42.3 percent of the respondents agree and disagree that the actual acquisition is/is not as per the defined, specified and agreed quality standard.

Table 4.11: Quality versus Accountability

Quality is not compromised in ensuring value for public money		Frequency	Percent	Cum. Percent
Valid	Strongly Disagree	11	14.1	14.1
	Disagree	22	28.2	42.3
	Neutral	12	15.4	57.7
	Agree	21	26.9	84.6
	Strongly Agree	12	15.4	100.0
	Total	78	100.0	

Source: from field survey, 2017

The standard bidding document of the Ethiopian government states that public organizations have to consider the "*lowest evaluated responsive bid*". The concept of the lowest evaluated responsive bid has its own limitation as it emphasizes the least price while other requirements meet the minimum standard (i.e., specification). Regarding this, more than forty seven percent of the respondents agree that the best offer is not ensured and accountability is not linked to the best offer, whereas about forty five percent of them agree that those who do not award best offer are accountable for the decisions they make on public resource.

Table 4.12: Awarding the Best Offer

Due to accountability award is always provided to those who proposed the best offer		Freq.	Percent	Cum. %
Valid	Strongly Disagree	20	25.6	25.6
	Disagree	17	21.8	47.4
	Neutral	6	7.7	55.1
	Agree	10	12.8	67.9
	Strongly Agree	25	32.1	100.0
	Total	78	100.0	

Source: from field survey, 2017

According to the respondents, suppliers do not respect their contract agreed and fail to supply goods as per the specification.

Accountability has to consider reward and/or penalty. Practices of awarding or penalizing individuals or organizations for their plan, action, or result are not visible (i.e., 50 percent), while a few respondents (20.6 percent) indicate that there is a penalty or reward for procurement performance in their respective organization.

Table 4.13: Measures, Rewards, and Penalties

In procurement operations, there are measure, rewards and penalties for performances		Freq.	Percent	Cum. Percent
Valid	Strongly Disagree	24	30.8	30.8
	Disagree	15	19.2	50.0
	Neutral	23	29.5	79.5
	Agree	8	10.3	89.7
	Strongly Agree	8	10.3	100.0
	Total	78	100.0	

Source: from field survey, 2017

The systematic examination and control of auditing discourages weak and irresponsible decisions. Most of the respondents (i.e., 48.7 percent) agree that their internal control system is not strong enough to ensure value for money, whereas 39.7 percent of the respondents disagree indicating that their organization's internal control system is strong and discourages malpractices.

Table 4.14: Quality of Internal Auditing System

To identify malpractices there is a strong internal auditing system		Freq.	Percent	Cum. Percent
Valid	Strongly Disagree	9	11.5	11.5
	Disagree	29	37.2	48.7
	Neutral	9	11.5	60.3
	Agree	22	28.2	88.5
	Strongly Agree	9	11.5	100.0
	Total	78	100.0	

Source: from field survey, 2017

## 2.7. Transparency

Procurement officials or departments need to give an answer through reporting what they have achieved, among other things. This indicates that transparency and accountability are linked and the quality of accountability determines the quality of transparency.

The requirements in procurement transparency are related to the transparency of legal framework, dissemination of information of what has been achieved through timely reporting, etc. With regard to transparency of procurement law, respondents agree that legal frameworks of procurement are transparent, accessible, certain, and reliable (i.e., 69.9 percent of the respondents agree on this idea).

Table 4.15: Transparency of Legal Framework

Procurement laws are transparent, certain & reliable for implementation		Freq.	Percent	Cum. %
Valid	Strongly Disagree	7	9.6	9.6
	Disagree	7	9.6	19.2
	Neutral	8	11.0	30.1
	Agree	38	52.1	82.2
	Strongly Agree	13	17.8	100.0
	Total	73	100.0	

Source: from field survey, 2017

However, with regard to reporting malpractices, the respondents have concerns over simplicity of exposing malpractices as easily as the law states. The following table 4.16 indicates the respondents' view with regard to reporting malpractices.

Table 4.16: Simplicity of Reporting Malpractices

Reporting malpractices to the respective authority is simple and reachable		Freq.	Percent	Cum. Percent
Valid	Strongly Disagree	8	11.0	11.0
	Disagree	25	34.2	45.2
	Neutral	17	23.3	68.5
	Agree	17	23.3	91.8
	Strongly Agree	6	8.2	100.0
	Total	73	100.0	

Source: from field survey, 2017

Table 4.16 shows that reporting malpractices is not as easy as the law permits. From theoretical and empirical points of view, creating a system that tracks malpractices and discouraging them are more important and make the law more practical. However, the regression analysis shows that this is not statistically significant.

Procurement transparency is also determined by disclosing information to the general public, to the media, and to the other organizations such as the anticorruption agencies and the ombudsman. With regard to this, respondents disagree on the existence of a strong system that works on this at an organization level.

Table 4.17: Disclosure of Information the General Public

There is a strong system that provides information to the general public		Frequency	Percent	Cum. Percent
Valid	Strongly Disagree	15	20.5	20.5
	Disagree	16	21.9	42.5
	Neutral	21	28.8	71.2
	Agree	15	20.5	91.8
	Strongly Agree	6	8.2	100.0
	Total	73	100.0	

Source: from field survey, 2017

It doesn't mean that there is no system that handles malpractices at the organization level in the selected federal organizations. There are accounting and reporting systems that facilitate communications and create accountability when malpractices prevail, and the data show that there are systems that criminalize the bribery acts as well.

Regarding the commitment of the organizations in disclosing information when needed, majority of the respondents don't agree that the willingness to disclose procurement information to the level expected as indicated in the following table 4.18.

Table 4.18: Willingness to Disclose Procurement Information

There is willingness to disclose procurement information		Frequency	Percent	Cumulative Percent
Valid	Strongly Disagree	3	3.9	3.9
	Disagree	30	39.0	42.9
	Neutral	18	23.4	66.3
	Agree	18	23.4	89.7
	Strongly Agree	8	10.3	100.0
	Total	77	100.0	

Source: from field survey, 2017

According to the respondents however, information to the potential suppliers is equally accessible and there are insignificant problems of discouraging the potential suppliers in prohibiting information which has been provided to some other eligible suppliers.

One of the pillars of the procurement law is making information available to all eligible bidders. The Ethiopian law also underscores equal access of information to eligible bidders. According to the respondents, procurement information will be made available equally to all potential suppliers and will be clarified to all when they need to know more about what was disclosed.

## 2.8. Integrity

Policymakers crafting a sound procurement system must balance a number of goals. Of those goals transparency and integrity are probably the most important (Yukins, 2007). Palanski and

Yammarino (2007) define the behavioral integrity as wholeness, authenticity, consistency in adversity, and consistency in words and actions.

The description indicated in table 4.19 shows that greater portion of the respondents disagree that words and actions are not similar in many cases. Further explanations of the respondents in this issue show that the procurement plan is prepared in public organizations, but the actual implementation of procurement activities doesn't go in line with initially prepared plan. Moreover, there are cases that what was required to be done and what was initially stated differ in many cases.

Table 4.19: Integrity with Regard to Words and Actions

In procurement implementation, what is stated in words & what is being done are similar		Freq.	Percent	Cum. %
Valid	Strongly Disagree	14	18.7	18.7
	Disagree	20	26.7	45.4
	Neutral	6	8.0	53.4
	Agree	31	41.3	94.7
	Strongly Agree	4	5.3	100.0
	Total	75	100.0	

Source: from field survey, 2017

Palanski and Yammarino (2007) indicate that integrity is related to work moral and ethics. The data obtained from the respondents indicate that the higher share of respondents disagreed that the moral and ethics are not installed well. Further explanations indicate that procurement is not considered as the most important function of the organizations and professionalism, motivations, and rewards are less considered.

Table 4.20: Integrity with Regard to Moral and Ethics

Procurement staff work their procurement duties with high moral and ethics		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Strongly Disagree	8	10.7	10.7	10.7
	Disagree	29	38.7	38.7	49.3
	Neutral	8	10.7	10.7	60.0
	Agree	25	33.3	33.3	93.3
	Strongly Agree	5	6.7	6.7	100.0
	Total	75	100.0	100.0	

Source: from field survey, 2017

Integrity is also related to readiness for changes and new approaches that benefit their organization. With regard to this, the respondents highly agree that individuals or team members are highly responsive to changes. It is clear that the Ethiopian government has taken a lot of

actions in procurement policy reform periodically reviewing strengths and weaknesses. This can be witnessed by the reform actions of proclamations and directives as well as manuals and standard bidding documents to improve and enhance procurement operations.

Integrity extends to trust among team members. Palanski and Yammarino (2007) state that trust among the team enhances team spirit, strong bond among team members, and helps them identify problems and come up with solutions.

Table 4.21: Trust among Team Members

There is trust among the team members in their assigned tasks		Frequency	Percent	Cum. Percent
Valid	Strongly Disagree	14	18.7	18.7
	Disagree	22	29.3	48.0
	Neutral	14	18.7	66.7
	Agree	23	30.7	97.3
	Strongly Agree	2	2.7	100.0
	Total	75	100.0	

Source: from field survey, 2017

As table 4.21 indicates, more shares of the respondents judge that team trust is not strong among members. The question was extended to know more about trust among team members and their team leader as a result of his/her good conduct and quality of decisions on procurement issues, and their response indicates that the trust is not strong enough.

## 2.9. Regression Analysis

### 2.9.1. Accountability

The questions responded are many in number so that they were factored to reduce the dimension of the questions. The average values of the factors of likert-scale questionnaires were later grouped into variables (covariates).

Linear regression has to pass some assumptions such as normality test, multicollinearity test, heteroscedasticity test, and autocorrelation test before applied to the analysis. The model summary indicated below in table 4.23 indicates that it can measure the dependent variables well.

Table 4. 23: Model Summary<sup>b</sup>

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R Square Change	F Change	df1	df2	Sig. F Change	
1	.909 <sup>a</sup>	.827	.810	.43607598	.827	47.845	7	70	.000	2.166

- a. Predictors: (Constant); Emphasis to Value for Money; Clarity of Procurement Policies and Guidelines; Measures, Rewards, and Penalties; Political Will and Oversight Mechanisms; External Pressure; Administrative Procedure; Capacity and Professionalism in Ensuring Effective Competition
- b. Dependent Variable: Accountability

Table 4.24: ANOVA<sup>a</sup>

Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	63.689	7	9.098	47.845	.000 <sup>b</sup>
Residual	13.311	70	.190		
Total	77.000	77			

- a. Dependent Variable: Accountability
- b. Predictors: (Constant); Emphasis to Value for Money; Clarity of Procurement Policies and Guidelines; Measures, Rewards, and Penalties; Political Will and Oversight Mechanisms; External Pressure; Administrative Procedure; Capacity and Professionalism in Ensuring Effective Competition

Table 4.25: Coefficients<sup>a</sup>

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
	B	Std. Error	Beta			Tolerance	VIF
(Constant)	1.835E-017	.049		.000	1.000		
Emphasis to Value for Money	.828	.052	.828	15.865	.000	.907	1.103
Clarity of Procurement Policies and Guidelines	.357	.060	.357	5.925	.000	.680	1.470
Measures, Rewards, and Penalties	.189	.050	.189	3.769	.000	.983	1.017
1 Political Will and Oversight Mechanisms	.007	.064	.007	.109	.913	.597	1.676
External Pressure	-.034	.051	-.034	-.671	.504	.960	1.042
Administrative Procedure	-.104	.061	-.104	-1.697	.094	.655	1.526
Capacity and Professionalism in Ensuring Effective Competition	-.076	.066	-.076	-1.154	.252	.564	1.772

- a. Dependent Variable: Accountability

The result in table 4.25 shows that value for money is significantly related to accountability (i.e., p-value < 1 percent). It can be concluded that an emphasis to value for money such as quality, time, quantity, and source of supply in addition to price and requesting the procurement officials to ensure value for money in procurement process creates more accountability in procurement process. Similarly, clarity of procurement policies and guidelines will contribute to the enhancement of accountability in public procurement (p-value <1%). Accountability is also related to the availability of measures, rewards, and penalties for the plans, actions, and results of procurement operations. The result with respect to this shows that availability of procurement measures and corrective actions, rewards to good performances, and penalties for poor achievements will enhance accountability (see the significance level, i.e., p-value < 1%).

## 2.9.2. Transparency

Normality, autocorrelation, multicollinearity, and heteroscedasticity tests are essential checks before proceeding to the conclusion of the result. Durbin-Watson value indicates that there is no autocorrelation in the independent variables (see table 4.26), and the VIF value indicates that there is no multicollinearity problem as well (see table 4.28). With regard to transparency, heteroscedasticity problem has further been checked after computing Kolmogorov-Smirnov test. The Glejser test value indicates that there is no heteroscedasticity problem in the variables identified.

**Table 4.26: Model Summary<sup>b</sup>**

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R Square Change	F Change	df1	df2	Sig. Change	
1	.962 <sup>a</sup>	.925	.919	.28538343	.925	143.860	6	70	.000	1.692

a. Predictors: (Constant); Willingness and Commitment to Ensure Information Justice; Non-Discrimination and Explanation for Decisions; Policy Loopholes; Independent Oversight Mechanism; Political Will; Dependency of Internal Control Mechanism

b. Dependent Variable: Transparency

**Table 4.27: ANOVA<sup>a</sup>**

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	70.299	6	11.716	143.860	.000 <sup>b</sup>
	Residual	5.701	70	.081		
	Total	76.000	76			

a. Dependent Variable: Transparency

b. Predictors: (Constant); Willingness and Commitment to Ensure Information Justice; Non-Discrimination and Explanation for Decisions; Policy Loopholes; Independent Oversight Mechanism; Political Will; Dependency of Internal Control Mechanism

**Table 4.28: Coefficients<sup>a</sup>**

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	-1.803E-016	.033		.000	1.000		

Willingness and Commitment to Ensure Information Justice	.965	.037	.965	26.001	.000	.777	1.286
Non-Discrimination and Explanation for Decisions	.165	.043	.165	3.852	.000	.582	1.719
Policy Loopholes	-.098	.039	-.098	-2.533	.014	.716	1.397
Independent Oversight Mechanism	-.009	.035	-.009	-.243	.809	.861	1.161
Political Will	-.049	.034	-.049	-1.436	.155	.939	1.065
Dependency of Internal Control Mechanism	-.128	.038	-.128	-3.337	.001	.725	1.380

a. Dependent Variable: Transparency

Table 4.28 indicates that willingness and commitment of an organization to ensure information justice is significantly related to transparency (i.e., p-value < 1%). Another essential variable that is significantly related to transparency is non-discrimination and explanations for decisions made (p-value<10%). This variable is explained in terms of not favoring or disfavoring suppliers through procurement decisions.

Policy, policy loopholes give opportunities for corrupt and fraudulent practices. With regard to this, the variable "policy loopholes" is significantly related at p-value less than 5 percent. This indicates that the existence of policy loopholes in procurement decisions reduces transparency and results in corrupt and fraudulent practices.

The centralized approach of procurement operation limits decisions of lower level management and makes them dependent of the decisions of top management. Moreover, audit investigation should be independent of the procurement process and successfully investigate compliance as well as performance of the organization. With regard to this, the statistical result indicates that the "dependency of internal control mechanism" is significant at p-value less than 5 percent. It can be concluded that the more dependent the control and audit mechanisms are, the less the possibility of the procurement is transparent.

### 2.9.3. Integrity

In this section also normality test, autocorrelation test, heteroscedasticity test, and multicollinearity test have been made.

Table 4.29: Model Summary<sup>b</sup>

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R Square Change	F Change	df1	df2	Sig. Change	
1	.943 <sup>a</sup>	.889	.881	.34425888	.889	111.080	5	69	.000	2.008

a. Predictors: (Constant), Explaining feelings freely; Access and flow of information; Teamwork for common goals of the organization; Consistency of words and actions; Resolving differences honestly.

b. Dependent Variable: Integrity

Table 4.30: ANOVA<sup>a</sup>

Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	65.823	5	13.165	111.080	.000 <sup>b</sup>
Residual	8.177	69	.119		
Total	74.000	74			

a. Dependent Variable: Integrity

b. Predictors: (Constant); Explaining feelings freely; Access and flow of information; Teamwork for common goals of the organization; Consistency of words and actions; Resolving differences honestly.

Table 4.31: Coefficients<sup>a</sup>

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
	B	Std. Error	Beta			Tolerance	VIF
(Constant)	1.353E-017	.040		.000	1.000		
Explaining feelings freely	-.049	.040	-.049	-1.229	.223	1.000	1.000
Access and flow of information	.180	.040	.180	4.510	.000	1.000	1.000
Teamwork for common goals of the organization	.482	.040	.482	12.041	.000	1.000	1.000
Consistency of words and actions	.688	.040	.688	17.188	.000	1.000	1.000
Resolving differences honestly	.386	.040	.386	9.651	.000	1.000	1.000

a. Dependent Variable: Integrity

As can be seen from table 4.31 above, "access and flow of information" is significantly related to integrity at p-value less than 1 percent. Moreover, teamwork for common goals of the organization is significantly related to integrity at p-value less than 1%. Similarly, the term "consistency of words and actions" enhances team integrity significantly at p-value < 1 percent.

Lastly, resolving differences honestly is one of the factors considered for integrity, which is statistically significant at p-value less than 1 percent. This indicates that resolving differences and misunderstandings honestly will enhance team integrity in the organization.

### 3. Conclusion and Recommendations

#### 3.1. Conclusion

Accountability to the general public in addition to the government enhances public procurement answerability and hence the procurement processes will achieve their goals and objectives. Efficiency and effectiveness with regard to value for money are the major problems of public

procurement in many countries of the world and in this study in particular as well. Enhancing efficiency and effectiveness and discouraging inefficient behaviors of public officials and public organizations ensure value of public money. Procurement control requires policy compliance, quality of acquisition and performance of the organization in ensuring value for public money. Award of the best offer and monitoring and evaluation of policy, internal operations and contracts will ensure accountability to public procurement operations.

A transparent procurement procedure enhances public trust and confidence and provides timely and reliable information to the government as well as to the general public. Disclosure of information also discourages malpractices and enhances public debates and investigations.

Public procurement requires a high level of integrity to the procurement team and leaders as it demands the attitude of individuals and leaders in addition to knowledge and skills. Consistency of words and actions, honest discussions of problems and opportunities, etc. in procurement related tasks essentially buffers team performance and contributes its part to the successful spending of public resources.

## **5.2 Recommendations**

Hence, the recommendations of this study are indicated hereunder.

- Procurement may follow certain procedures to meet compliance to public procurement frameworks, but may not ensure value for money due to inefficient control. Thus, public organizations should balance the policy compliance and value for public resources discouraging inefficient spending and accidental acquisitions.
- The government has to work on clear policy guidelines that would specifically create accountability to the plan, action and results.
- Transparent procurement operations and reporting systems are required for dissemination of information to the government as well as to the general public that would lead to public debate.
- Government should work on minimizing policy loopholes and promoting continuous policy reviews and addressing and filling procedural gaps of public organizations.
- It is very essential to make internal control mechanisms including audit system independent of any pressure from top of the organization.
- Integrity is required from both procurement team members and the team leaders, and honest discussions on plans, mission, vision and common goals of the organization will enhance the commitment of the team members as well as the leaders. Discussions on problems and opportunities, on requirements for changes, and unethical practices should not create anxieties and frustrations to the team members and the leaders of the organization.

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## **The Paradox of Ethiopian Youth Emigrants to Gulf Countries: Human Rights Violation**

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### **Abstract**

*The objective of this research is to provide an account of the causation of the Ethiopian youth emigrants to Gulf countries since 2007/8 onwards in relating to human rights violation. The research has attempted to address the driving forces of emigrants and their perceptions and experiences of emigration and forms of human rights violations. For this purpose, qualitative method was mainly employed; and to collect primary data, guided interview was held with thirty-four respondents who were drawn from returnee emigrants, Private Employment Agencies, Ethiopian government and Kuwaiti embassy officials. To select the key informants, purposive and snowball sampling techniques were employed. Hence, the research discovered, for the last five years, while over 400,000 Ethiopians immigrated to Kingdom of Saudi Arabia and Kuwait regularly, equal or greater number of emigrants entered Gulf countries using different irregular routes. Of the total number of regular emigrants, most of them were youth, females, single and non-educated, who came from Oromia, Amhara, Addis Ababa, SNNPR and Tigray, in decreasing order of their contribution to the emigration toll. Finding of this research revealed that culture of migration and wage differences were the major driving forces. Despite reports of repeated violations of human rights, hundreds of thousands of Ethiopian youth continue to flood eagerly into Gulf countries every year. Many Ethiopians lost their lives, arbitrarily arrested and detained, tortured and humiliated, resold for profit and exposed to forced labor, raped and sexually abused, denied their rest and leisure time, banned from their salaries, and exposed to an excessive workloads. Needless to say, lack of legal frameworks, weak Ethiopian missions in Gulf*

*countries, lack of skill on the part of emigrants are also the aggravating factors for the Ethiopian emigrants' poor human rights conditions when compared with other nationalities that are subjected to similar situations. Generally, this research strongly argues that although Ethiopian youth emigrants witnessed all forms of violation of human rights, the influx of emigrants to the Gulf countries is remains to be paradox.*

**Key Terms:** Ethiopian Youth, International Migration, Human Rights, Human Rights Violation.

## **1. Introduction**

Migration is not a new phenomenon; rather it has been practiced as old as the existence of human beings. It is the movement of people from one place to another within a country or outside of the sovereign territory. Migration could be permanent or temporal; step or chain; regular or irregular; and voluntary or involuntary. Some peoples emigrate for work and better life while others because of fear of persecution, horrors of war, natural calamity, or just because they want to live somewhere else. International Organization for Migration (IOM) (2005:15) cited, "The movement of people across borders is an important feature of today's global political, social and economic life."

Labor migration is also not a new experience though its means, process and purpose have been changing from time to time. As one aspect and part of globalization; labor emigrants are crossing international borders, with or without the consent of their host or their origin country. The same is true, employers are looking for cheap labor forces, with or without the consent of their or employees' governments. In the due process, there is a gross human rights violation from departures to destinations. Governments are often challenged by labor migrants as the world economy has become interdependent and interconnected each other. And, they opt to encourage legal migration through proper channel with view to avoid maltreatment of migrants. Yet, an atrocious human rights violation, which could be called "*Modern Salve Trade*", appears to take place around the globe even if it varies from country to other country.

As a matter of fact, East African and South and South East Asian nationals are pulling into Middle East and in particular into Gulf countries (GC). Likewise, Middle East region has become common destination of many Ethiopian low skilled emigrants. Hundreds of thousands Ethiopians leave annually to these countries using regular and irregular routes. Incidentally, Animaw (2011: vii) pointed out, "Practice has increased recently and the youth are deceived and sometimes coerced into migrating to the Middle East countries and the Sudan without adequate protection from abuse and exploitation."

Generally, there are four controversial and paradoxical issues with regard to the Ethiopian Youth Emigrants (EYEs) to the Middle East in general and GC in particular. First, the driving force behind the EYEs is one contentious and blurred. Second, EYEs have used different routes to arrive at GC. Thirdly, emigrants argued that the difference between regular versus irregular

emigration is negligible. Fourthly, the remedial action for the human rights violation, either in Ethiopia or in GC, is too late, weak and fragile.

Hence, this research aimed to examine the causation of the influx of EYEs, youth whose ages are ranged in between 15-29 years<sup>i</sup>, to GC from the human rights perspective. More specifically, this research intends to uncover five questions. Thus, what were the driving forces behind the EYEs to GC? What problems did EYEs experience during their emigration process? What were the major forms of human rights violations concerning EYEs? Why EYEs did experience such human rights violation in GC? And, what were the possible corrective measures concerning the human rights violations of EYEs?

To address these major questions, qualitative approach equipped with purposive and snowball sampling methods were utilized. For this reason, while primary data was collected by guided interview from returnee emigrants and secondary data was reviewed from relevant documents.

## **2. Literature Review**

### **2.1 International Migration**

Origin, transit and destination countries have defined the term migration based on their experiences and national interests. Due to such variety of reasons, migration does not seem to have one universally accepted definition. However, for this research purpose, migration is stated only in view of international migrants and it defined as the movement of people who crossed their border or left their country either through regular or irregular routes for the purpose of searching job, better livelihood and security. Further, migration remains an ambiguous concept, especially when we look at its taxonomies and features. In this sense, migration could be classified based on legal frameworks<sup>ii</sup> (LFWs) as regular or irregular (Smuggling and trafficking).

As Bohning (1984:1) noted that “Regular migrants are non-nationals who possess the authorizations of the state in whose territory they are that required by law in respect of entry, stay or work and who fulfill the conditions to which their entry, stay or work are subject.” In reverse, emigrants or other than citizens who enter or remain in the host countries with breach of national laws are called irregular emigrants. In this regard, to comprehend the concept and practices of international migration, dealing with human rights is imperative.

### **2.2 Human Rights**

The major dilemma which faced the international community is the ambiguity of human right by itself. Due to this uncertainty, scholars have intended to define migrants’ human rights from the natural right perspectives due to two fundamental reasons. First, defining human rights in terms of domestic politics or in culturally contextualized situation is inappropriate to international migrants. Second, it is plausible that governments with their multiple laws, treaties and organizations are a watchdog of human rights rather than considered as a right providers. Every state has the obligation to respect, protect and fulfill all human rights regardless of nationality,

sex, age and religion of the human being. Therefore, since there are international norms and standards which almost all states are consented; human rights are universal, inalienable and interdependent. Before the international law, any labor immigrant shall be treated as equal as the national of the destination country.

Having understood the above two points; of all human rights, some of them are directly related to issue of international migration. Remarkably, the right to life; freedom from torture and inhuman treatment; free from slavery and forced labor; freedom from Arbitrary arrest and detention; right to non-discrimination; freedom of movement and religion; right to just and favorable conditions of work and enough leisure with fair remuneration are considered as the basic human rights of any labor emigrant. On the reverse, the researcher assumed that human rights violation is the denial of human rights which provided in the international bill of rights. It includes: life deprivation; torture, rape and sexual abuse; arbitrary arrest and detention; slavery and forced labor; discrimination; religious violence; unfair and substandard working conditions; denial of leisure and salary.

### **2.3 Contending Theories**

Although there are many theories of international migration, the researcher confers Massey's classification, mainly because; it is relatively contemporary and comprehensive. Massey (2005) classified the entire theories into initiation of international migration (neo-classical economic, dual labor market, new economics and world systems); and perpetuation of international movement (network, institutional and cumulative causation). While the first groups try to explain the beginning of migration; the second groups attempt to elucidate the possible sustainability of international emigrants flows.

Of the seven theories, the following portion was only dealt with rational choice, network, and cumulative causation theories. Seeing as the contradictory perspectives on the driving force of EYEs, these theories are presupposed to explain the Ethio-GC emigration system in different outlooks.

**Rational Choice Theory:** Massey (2011:432) supposed that “[Rational Choice Theory] focuses on differentials in wages and employment conditions between countries, and on migration costs; it generally conceives of movement as an individual decision for income maximization.” But, as revisionist of this school of thought, the new economic theory assumed that international migration is gone beyond neoclassical economics assumptions and it includes “family decision making” and “risk diversification” schemes.

Rational Choice theory argued that the flows of labor and capital are in opposite direction. Emigration is constantly increased until both flow reached at their respective equilibrium. In the process of international migration and capital movements, while one state characterizes by labor surplus; the other state should be in the position of capital surplus. Bijak (2006:8) concluded, “Migration is a disequilibrium phenomenon, which ceases as soon as the equilibrium is reached.”

**Network Theory:** Network theory is a new international migration concept. As Massey (2011:448) has explained that the basic assumption of Network theory is grounded on “interpersonal ties that connect migrants, former migrants, and non-migrants in origin and destination areas through ties of kinship, friendship, and shared community origin.” It underlines that the inter-personal or social bond among the emigrants and their origins has strong role in sustaining the migration process.

De Haas (2008:19) also summed, “The often coincidental choices made by pioneer migrants or labor recruiting employers tend to have a great influence on subsequent migration patterns.” As networks facilitate the flow of information, it helps to reduce costs and risks of the potential emigrants.

**Cumulative Causation Theory:** Cumulative causation theory perceived international migration as a process of development and essential for both sending and receiving nations. According to Massey (2011), the distribution of income and land, agricultural structure, culture of migration, regional distribution of human capital, and social labeling of work are proposed as major factors of international migration.

Advocators stated that remittance create a difference within a given community. Emigrant-families’ income, motivation, status and prestige increase; own better land and utilize modern production technologies as compared to their neighbors who did not engage in emigration. Hence, based on the successful experiences, culture of migration inculcates in the local communities and they considered it as their norms. Massey (2011:453) has further illustrated that “for young men, and in many settings young women as well, migration becomes a rite of passage, and those who do not attempt to elevate their status through international movement are considered lazy, un-enterprising, and undesirable”. Again, Cumulative causation theory reasserted that as of certain jobs are social labeling and left for immigrants, migration is mandatory to fill the gap of labor forces at the destination countries.

## **2.4 The Link between International Migration and Human Rights**

Unlike the past, in 21<sup>st</sup> century, the issue of human right is not only assumed the issue of domestic politics and International Organizations (IOs) are engaging in protecting and promoting of human rights on the basis of agreed LFWs. At this juxtaposition, human security links international migration and human rights at the international level. IOs and LFWs are designed to advance the wellbeing of humankind. More specifically, the right of labor emigrants is one of a front issue for international community. Hence, the next part aspired to discuss IOs and LFWs concerning with labor emigrants’ rights.

### **2.4.1 International Organizations**

Since sovereign states are member of the formal organizations, dealing with them in connection to IOs is essential. Thus, the Charter of UN in its preamble declared, “We the peoples of the

United Nations determined to reaffirm faith in fundamental human rights, in the dignity and worth of the human person.<sup>iii</sup> UN has also a mandate to insist member states in order to ratify and enforce international instruments. Similarly, ILO, the UN specialized agency for international labor migration issues, is mandated constitutionally. It is responsible to protect migrant labors' rights, guide policies, and develop standards, principles and guidelines. IOM is as well another vanguard inter-governmental organization that advocates migrants' human rights.<sup>iv</sup>

#### **2.4.2 International LFWs**

UN, cooperating with its member states and other international inter-governmental organizations, has developed a lot of international LFWs which promote and protect human rights. These international norms and principles are critically important in regularizing of the international migration. Many international documents are incorporated international labor migrant issues. Thus, the law of international migration appears across various branches of law; such as human rights law, humanitarian law, labor law, consular law and trade law. Nonetheless, this paper is focused on the International Bill of Human Rights' LFWs only.

Therefore, according to UDHR, ICCPR and ICESCR, every individual human being has the right to life, liberty and security<sup>v</sup>; the freedom from slavery and the slave trade;<sup>vi</sup> free from to torture;<sup>vii</sup> the right to freedom of religion<sup>viii</sup>, freedom of movement and residence within the borders of each member state;<sup>ix</sup> equal pay for equal work;<sup>x</sup> reasonable limitation of working hours and periodic holidays with pay;<sup>xi</sup> free from forced or compulsory labor.<sup>xii</sup> Generally, the practices and concept of international migration is highly intertwined with the issue of human rights as stated in the basic bills of human rights.

### **3. Major Findings: Explaining Causes and Consequences of the EYEs to GC**

#### **3.1 Demographic Structure and Patterns**

According to the MoLSA's report, from 2007/8 to May 2013, over 400,000 regular emigrants had left to the GC. In between these years, about 1,000 to 1,500 people were immigrated daily to Kingdom of Saudi Arabia (KSA) via regular route.<sup>xiii</sup> As Respondent 29<sup>xiv</sup>, despite MoLSA endorsed nearly 1,000 visas per day, KSA's Embassy in Addis Ababa also provided from 2,500 to 5,000 visas and so many emigrants were left without the approval of MoLSA. Further Respondent 29 estimated, over 300,000 regular Ethiopians were entered into KSA every year. Besides, Respondent 34<sup>xv</sup> assumed that from 200 to 300 Ethiopians were arrived at Kuwait daily and so nearly 100,000 regular Ethiopian emigrants were lived in Kuwait.

On the other hand, although there is no available data concerning irregular emigrants, their size is estimated to be a large number. Eye witness Respondent 25<sup>xvi</sup> as well assumed that about 4,000 to 5,000 Ethiopians were believed to have crossed daily the Ethio-Djibouti border. Likewise, Respondent 30<sup>xvii</sup> said, "When I was working in Jeddah Consulate; 3,000 irregular emigrants, on average, were returned back monthly to Ethiopia." General Khalid, who is the leader of the KSA territory keeper, affirmed in his report that 338,000 irregular Ethiopians

caught by police where they crossing into KSA in 2012. In addition, on the Sha'ban (8<sup>th</sup>) and Ramadan (9<sup>th</sup>) months, 107,000 Ethiopians entered KSA in 2011 and of the 36,000 pilgrims in 2012 umrah, only 997 peoples returned back to Ethiopia.<sup>xviii</sup>

The important question here is, of the mentioned numbers, how many of emigrants did catch or deport? Obviously, what we can guess from these figures is, by far greater numbers are either detained or successfully smuggled to the destination countries. Generally speaking, Respondent 29 estimated, "The number of irregular emigrants is twice greater than the regular emigrants." Based on all these facts, it is possible to estimate that over a million Ethiopians were immigrated into GC either via regular or irregular routes since 2007/8 onwards.

Generally, to examine the demographic structure of emigrants; the research took five year data (2007/8-2012/13). Since the irregular emigrants' data is unavailable, it only includes the regular emigrants' data who have emigrated previously for in search of jobs as discussed below.

### **3.1.1 Age**

Out of 397, 262 regular emigrants (MoLSA, March 2013) report, 76.33% were youth whose age ranging from 15 to 29. The age category, from 30 to 34, comprised 15.7% and the rest 8% were emigrants whose age were above 40 years. Of the EYEs again, while the 20 to 24 age group covered 21%, the 25 to 29 age group shared 79%. All in all, the trend of emigrants had shown that while age increased from 15 to 29, the number of emigrants raised steeply. However, after the age of 30, the number of emigrants fallen sharply as the age increased. Therefore, youth who were active labor force and ready for social responsibility were highly exposed to migration due to different reasons.

### **3.1.2 Sex**

The regular Ethio-GC emigration is basically dominated by female housemaids. According to the MoLSA March 2013 report, out of 307,027 youth who emigrated regularly within the five years, approximately 97% were youth female emigrants and the remaining 3% were youth male. With regard to irregular emigrants, while females mostly trafficked, male used smuggling to arrive at their respective destinations.

### **3.1.3 Marital Status**

One year sample population (July 8/2009 to July 7/2010) indicated that out of the 153,323 labor emigrants who left regularly (MoLSA, LMI Bulletin 2009/10), 82% of them were single and 16% married and the remaining 2% were divorced and widowed emigrants.

### **3.1.4 Education Level**

Trends show that the number of emigrants' who attended secondary and tertiary level has been increasing since 2011/12. Nevertheless, out of 360,137 regular emigrants (MoLSA report, December 2013), nearly 84% of them, except few of them who learnt up to grade eight, were either attended below grade four or cannot read and write. Only 16% of the emigrants, almost all

of them attended high school, were left to GC with better educational level and probably they could speak English as well as might have better awareness. Generally, immigration to GC and education has inverse relations and it is non-selective in terms of human power.

### **3.1.5 Regional Distribution**

As MoLSA May 2013 report noted that out of 426,272 regular emigrants, nearly 99% of the Ethiopian emigrants to GC came from Oromiya, Amhara, Addis Ababa City Administration, SNNPR and Tigray, in decreasing order accordingly their share of emigrants. Both Oromiya and Amhara regions, almost equally, contributed the lion's shares (64%). Afar, Somali, Harari, Gambella and Benshangul-Gumuz regions as well as Dire-dawa City Administration added the rest 1% only. However, in all the regions and the two city administrations, the trend of emigration was increased since 2008/9 onwards. Surprisingly, in 2011/12, the data increased by 4.7 % aggregately from the previous year.

### **3.1.6 Destination Countries**

Five years ago, the Ethiopian government has provided work permit for its citizens to work in KSA and Kuwait. Out of the 387,068 regular emigrants (MoLSA, March 2013) who made contract agreement at MoLSA with the facilitation of legal PEAs, 99% of them were entered into KSA (78%) and Kuwait (21%). The remaining 1% of the emigrants has left by their own with PES into different countries. However, beyond the regular migration, Ethiopians have immigrated irregularly into GC other than KSA and Kuwait. Thus, of the 26 interviewed returnee emigrants, 8 respondents were trafficked into Qatar, Oman, Bahrain and UAE.

## **3.2 Driving Forces, Routes and Costs**

Respondents who were interviewed by the researcher mentioned that unemployment, lack of job opportunity, need for better improvement, wage difference, failure in education, misperception, culture of migration and chain migration as the causes for their migration. For the purpose of this research, all of these reflections are categorized into unemployment, wage difference, misperception and culture of emigration.

On the other hand, EYEs used various routes to arrive at their respective destination countries. Whereas some of them leave through Bole International Airport, others emigrate on their foot with the help of vehicles when crossing Ethiopian borders. All these routes could be classified into three depending on their nature of emigration routes and the finance that incurred for. These are: emigration by Private Employment Agency (PEA), Public Employment Service (PES) i.e. partially trafficking, and Smuggling.

## **3.3 Theoretical Reflections on the EYEs**

Broadly speaking, as revealed in the previous section, the driving forces behind EYEs are grouped under unemployment, wage difference, misperception and culture of emigration. Hence, these four driving forces are attempted to analyze in light of rational choice, network, and cumulative causation theories.

**Rational Choice Theory:** Seen through the lens of this theory, the Ethio-GC emigration is characterized by closed geographical location and wage difference. Many families perceived emigration as risk diversification package as well. Unlike the rational choice theory, intermediates like culture, psychology and the skill level have insignificant attribution for the driving forces behind EYEs. Furthermore, emigrants did not leave based on their rational decision making. In addition, the emigration is non-selective in terms of human power rather most emigrants did not attend class or attended under grade four.

Moreover, unemployment has not been considered as a driving force because of two reasons. Firstly, as the respondents stated, most of the emigrants left without searching jobs in domestic market either due to wage difference or reluctant to work in lower occupations. Secondly, according to the Women and Youth Development Index that was surveyed in 2012, youth unemployment rate observed in different parts of Ethiopia was in such a way as Addis Ababa 29%, Dire Dawa 26%, Afar 11%, Harari 10%, Tigray 8%, Somali 4%, Oromiya 3%, SNNPR 3%, Gambella 3%, Amhara 2% and Benshangul-Gumuz 1%.<sup>xix</sup>

Nevertheless, most of the emigrants originated from Oromiya and Amhara; despite the unemployment rate in both regions was lower as compared to Dire dawa City Administration, Afar, and Harari and Somali regions. Therefore, unless other factors such as the level of awareness with regard to emigration, the need for better improvement and so on are included, unemployment could not merely be taken as driving forces.

However, wage difference and the proximity of the land mass between Ethiopia and GC as well as the perception of risk diversification explain the cause for Ethio-GC emigration. According to the respondents, many of them were left Ethiopia because of wage difference even though they did not look for jobs in domestic markets. In addition, many families have been sent their sons and daughters to get relief their economic problems.

**Network Theory:** as the theory states, the interpersonal ties holds true on the Ethiopian emigrants and their emigration has been facilitated by their sisters, brothers, friends and neighbors. Because of the network opportunities, several emigrants have accessed information and increased their motivation. However, unlike the theory's assumption, the relationship between the former emigrants and new emigrants did not usually minimize the risk and transport cost. In contrast, many emigrants entered into the human trafficking due to PES that commonly processed through the assistance of the former immigrants who live in GC. When we considered at the perpetuation of migration, the kinship and friendship has significance. Thus, most of the emigrants originated from certain regions and again from a particular Zones and Woredas. Hence, the tie between the previous emigrants and potential emigrants is crucial behind the Ethio-GC emigration.

**Cumulative Causation Theory:** Distribution of income, culture of migration, regional distribution of human capital and social labeling has causal correlation to the Ethio-GC

emigration pattern. To begin with the income distribution, the remittance makes differences in the livelihood of the community. Because, some families built better house, wear better cloth, improve their diet due to the remittance which sent from emigrants. So, it matters for initiation of new emigrants. The culture of migration is basically the dominant driving force. The society is perceived emigration as a coping strategy to get relief from poverty and to improve livelihood. Families are pushing their sons and daughters to emigrate; friends and relatives influence or pressure their counterparts so as to emigrate; the community tends to appreciate emigration and demote domestic work. Hence, since all of these issues are prevailed in the society, the culture of migration has encouraged peoples to emigrate outside their country.

Both human capital distribution and social labeling has also correlation with Ethio-GC emigration structure. The labor jobs in Gulf countries are covered by immigrant workers. This is mainly; the population size of GC is undersize as compared to their per capital income. On the other hand, Ethiopian population is estimated to be over 100 million. Hence, peoples are naturally diffusing from the dense and low income to the spares and high income regions. Beyond this, the notion of social labeling is a very critical factor in pulling Ethiopian emigrants. Since all of the lower jobs like housemaid, driver, cleaner, garden man, guard etc. do not attract the citizens' of GC, employers are forced to sponsor Ethiopian immigrants, especially female housemaids.

Generally, as discussed earlier, both the culture of emigration and wage difference are taken as major driving forces behind the EYEs. Yet, of the three international migration theories, none of them is fully explains the Ethio-GC emigration model. It could only explain with synergy of all the three theories. Therefore, these theories are not mutually exclusive rather than they are interlinked and inter-related to each other. Nevertheless, the Cumulative Causation Theory slightly describes the Ethio-GC emigration system in a better way as compared to the rest two theories.

### **3.4 Aggravating Factors for Human Rights Violations**

**Lack of Coordination:** Respondents believed that the existing institutions could not manage the emigration system. Services that were provided for emigrants were inaccessible and time consuming as well. Hence, emigrants were exposed to extra payment and other problems. Respondents also argued that the interface among government institutions was almost none existent. MoFA was authenticated regular and irregular emigrants' document without MoLSA's confirmation and Main Department for Immigration and Nationality Affairs (MDINA) gave passport for all applicants without the spirit of 632/2009 proclamation. Regular and irregular emigrants left from Bole International Airport too. Unfortunately, all are the governmental body.

As a consequence of the ineffective coordination and interface among governmental institutions and lack of enough LFWs, many citizens leave their country irregularly and the contract agreement has become meaningless. In dedeed, many victims questioned the difference between the regular and irregular emigration particularly when they stay in GC.

**Weak Ethiopian Missions in GC:** Normally, defending national interest including the right of citizens is one of the main purposes of a given diplomatic mission that is opened in any host country. On the contrary, almost all the respondents condemned the Ethiopian missions in GC and they supposed that the missions did not discharge their mandates in a responsible manner. Respondents believed that the Ethiopian embassies have not the capacity to deliver all services what the citizens look for. They said that Ethiopian missions in GC have not labor attaché and attorney though the Embassies tried to deliver shelter services for victims inside of their premises.

**Poor Control and Follow-up:** Respondents criticized the Ethiopian government because for neither controlling the illegal brokers nor properly managing the legal PEAs. Due to the failure to enforce proclamation 632/2009, some of PEAs are also twisted to semi-illegal services to rescue their business from loss. On the other hand, let alone the illegal brokers, many returnee respondents pointed out the poor assistance of the legal PEA.

**Lack of Skill and Awareness:** Many respondents listed out a lot of reasons for the emigrants' human rights violations. Beyond the skill and language gap, a large number of Ethiopian emigrants have not enough awareness about their rights as well as the culture of GC.

### **3.5 Human Rights Violations in GC**

Different Medias have broadcasted; victims and eye witnesses have also admitted the human rights violations in GC in spite of the fact that different perspectives have been persisted. As many international instruments stated, human rights are inherited, indispensable and indivisible. For that matter, being an immigrant does not disgrace the status of human rights. Every state has the obligation to respect, protect and fulfill all the human rights regardless of once nationality. Contrary to this, respondents argued that many Ethiopian emigrants have violated their human rights. So, to justify all the claims and critics, the views of respondents is attempted to triangulate against UDHR, ICCPR and ICESCR as discussed below.

First, ICCPR Art.6 (1) declared, "Every human being has the inherent right to life. This right shall be protected by law. No one shall be arbitrarily deprived of his or her life." Pursuant to this article, the life of every human kind is shall be protected and promoted elsewhere irrespective of boundary. The right of any individual is assumed to be treated equally in accordance with the international laws. The lives of emigrants are expected to be respected either in the transit or destination countries, regardless of their citizenship status. In spite of this fact, many Ethiopian emigrants died across different routes as well as in GC. Hence, Ethiopians were deprived their rights due to lack of protection and treatment of responsible bodies.

Second, both UDHR Art.5 and ICCPR Art.7 read, "No one shall be subjected to torture or to cruel, inhuman or degrading treatment or punishment." In accordance with these articles, by no means, whether the regular or the irregular emigrants shall not be tortured or treated inhumanly. Against this backdrop, however, many Ethiopian emigrants were humiliated their personality and

tortured physically while they cross the routes and work in GC. Evidently, emigrants were insulted, intimidated, threatened, beaten, thrown from floor and had their organs removed. Generally, these perpetrations are inconsistent of the UDHR and ICCPR.

Third, UDHR, in its Art.9, states that “No one shall be subjected to arbitrary arrest, detention or exile.” Accordingly, any emigrants shall not be arrested and detained without justice. Incidentally, the experience of victims could be judged in two aspects. On the one hand, regular immigrants in GC were arbitrarily arrested sometimes to their employers’ advantage.

As some respondents argued, innocent victims were sent to jail by their employers. In this regard, emigrants’ human rights have been violated. On the other hand, some respondents said that they were detained arbitrarily on the transit routes and after entering into GC though this is subjected to an allegation. Since emigrants entered the border of a given country clandestinely and without having authorized documents, it raised the security concerns. Responsible governmental organs might arrest or detain until the presume person is proved innocent. Similarly, the cases of victims have shown that as they were smuggled to Yemen, the government arrested them until they returned to Ethiopia. So, it is difficult to consider it as a human rights violation.

Fourth, rape and sexual abuse is part of many human rights which are stated in the UDHR. For instance, it could fold either under the right to liberty and security or the right to freedom from torture. Quite the opposite, especially female emigrants were raped and sexually abused during their stay in GC. Many returnee respondents gave their testimony; while some of them were attempted to be raped by their employers, others were abused verbally.

Although the respondents admitted the prevalence of rape both in the emigration routes and GC, all of them declined to confess on themselves. Victims have not courage to speak either due to shame or in order to keep ones secret though rape and sexual abuse was undoubtedly and frequently observed in GC. What is more, rape and sexual abuse has implicated torture, throwing from floor, arrest, interruption of contracts and deportation.

Fifth, UDHR Art.4 and ICCPR Art.8 (1&2) summoned, “No one shall be held in slavery; slavery and the slave-trade in all their forms shall be prohibited and no one shall be held in servitude.” In contradiction with these articles, emigrants were resold for the purpose of profit; worked forcefully without their permission and payment; and emigrants kidnapped for the sake of money.

Remarkably, since the Kafil (sponsorship) system permits imbalance power to employers, employees are submitted completely to their master like slavery system. Emigrants have been restricted from their freedom to movement and communication and their passport are also confiscated. More specifically peoples who went by PES, they were resold and transferred to other employers and countries. In a business terms; since it is considered as a lucrative business,

many Kafils were trading human beings for profits. In this case, the crime of modern slave trade and forced labor was perpetrated on Ethiopian Emigrants.

Sixth, like other basic human rights; discrimination based on sex, ethnicity, nation, language, religion and political affiliation is prohibited pursuant to UDHR. In deed, UDHR Art.23 (1-3) and ICESCR Art.6 stated that everyone has the right to equal payment for equal work without any discrimination. In this regard, there are two basic issues that need to be explored before examining whether the action is a human right violation or not.

On the one hand, salary is determined by skill and experiences of the employees. Besides, as many respondents accepted, Ethiopian emigrants were unqualified as compared to other citizens. On the other hand, the international employment service needs bilateral agreements between the sending and receiving nations. Hence, the bilateral agreement of a country affects the salary of its respective citizens. All in all, although it is unfair and unethical to pay different salaries for those who work the same job, it might be correct in legal perspective. In other words, the problem is not with the employers. Instead, the problem is with Ethiopian government and Ethiopian emigrants. Due to this reason, the salary of Ethiopian emigrants was not discriminated based on their nationality.

Seventh, pursuant to UDHR and ICCPR Art.18, everyone has the right to exercise his or her religion without any pressure. Nevertheless, it is difficult to practice this in GC because; all of them are fanatic Islamic states. Moreover, in some of them, practicing of other religion is hardly allowed. Pursuant to the Constitution of KSA Art.41, residents of the state “shall observe the values of Saudi society and respect its traditions and feelings.”

Hence, every Christian emigrant could not practice his or her religion why because, it contradicts with the constitution. Instead, everybody is expected to adapt or adopt him or herself with the values of the Saudi society. Since emigrants obviously perceive the cultural anxiety before their departure, they were determined to accept the negative externalities. Thus, many returnees did not consider the religious intrusion as a problem though it is well known that practicing ones religion is impossible.

Last but not least, in accordance with UDHR Art.24 and ICESCR Art.7 (d), everyone has the right to rest and leisure, including reasonable limitation of working hours and periodic holidays with payment. ICESCR Art.7 reaffirmed that there should be fair wages and equal payments.

On the contrary, almost all returnee female respondents emphasized that let alone leisure, they had neither reasonable rest time nor their salary had paid properly. Surprisingly, these three issues are included in the contract agreements between the employer and employee which were approved by MoLSA. Hence, due to the weak assistances from the part of Ethiopian government and PEAs as well as the cruelty of the employers, many returnee respondents did not get their

wage; they had no rest time and leisure; they were working more than 15-18 hours a day with extended overloaded work. In this regard, emigrants' human rights have been violated.

To conclude, the ineffective institutions and LFWs, weak assistances from the part of Ethiopian missions, poor follow-ups and control of PEAs, lack of skills and awareness on the side of emigrants are accentuated on their human rights violations. However, in view of international human rights LFWs, every state need to protect, respect and fulfill everybody's human rights. Similarly, every individual shall refrain from any act of degrading of human rights, and every person shall have the responsibility to promote and respect these rights. Whatever the case, human rights shall not be violated everywhere in the world. Against this rule, however, except the right to discrimination (salary), the right to life, freedom from torture and inhuman treatment, freedom from arbitrary arrest and detention, freedom from forced labor and slavery, the right to religion, right to rest, leisure and remuneration have been violated in the GC.

#### **4. Conclusion and Recommendations**

##### **4.1 Conclusion**

In the 21st century, as the socio-economic and political affairs of the globe have increasingly integrated ever before, international migration has become one of the top global agendas. IOs (UN, ILO, and IOM) and international LFWs (UDHR, ICCPR and ICESCR) are also prevailing for the sake of human security as well as to esteem the mutual interest of each actor. In spite the fact that the meaning, purpose and theory of international migration is diverse, whatever the case, emigrants' human rights have been violated.

Similarly, as emigration is becoming one of the top agenda of Ethiopian politics. The Ethio-GCC Migration dominated by youth, female, single from highland of the country who were not only active labor force but also active reproductive force. Consequently, the influx emigration could more likely to pose sex disparity and labor gap in the Ethiopia. Thus, unless serious measures are taken, mate mismatch and other social disorders could possibly to emerge in the near future. Moreover, since most of the emigrants are youth who are the active labor force that determine the present fate of the nation, it has its own negative impact on the development of the socio-economic and political systems of the country.

The research also addressed the driving forces, routes and transport cost of emigrants. According to the respondents, culture of emigration and wage difference are the major driving forces. Most of the time, irregular emigrants used smuggling, trafficking and semi-legal like PES routes. In terms of cost, emigrants have incurred more money in PES than PEA services. Apart from this, the total cost of smuggling is dependent on the chance of emigrants and it has no estimated value.

The research has found out that the institutions and LFWs, the Ethiopian Missions in GC and the legal PEAs have lack of competence to respect and promote the Ethiopian emigrants' human rights. In addition, the poor skill and language difficulties faced by emigrants, lack of awareness

about their human rights and the culture of GC are among the aggravating factors which have worsened the maltreatment of Ethiopians as compared to the other citizens.

As a major finding, the research observed the human rights violations which perpetrated in both transit and destination countries. More specifically in GC, Ethiopian emigrants lost their lives, tortured and have their organs removed. In addition to this, innocent emigrants are arbitrary arrested and detained in favor of their employers. Females are raped and sexually abused. Housemaids are resold without their permission and knowledge, forced to work in other houses without payment, denied rest and leisure, banned their salary and made to work for more than 15 hours.

#### **4.2 Recommendations**

Ethiopian communities, in certain areas, have developed the culture of emigration (emigration syndrome mentality) and migration is considered as coping strategy to solve their prevailing economic problems. In order to curve this problem, intervention on youth and societal attitude should be done. Similarly, sine wage difference is the second driving force for EYEs, the Ethiopian government shall expand the ongoing youth oriented programs which promote entrepreneurship with demand driven support and coordinated services.

In view of the fact that most of the emigrants were the youth who were economically active labor force, the Ethiopian government shall develop certain programs to retain and utilize this economic resource. Likewise, to avoid the mate mismatch and other social disorders, the regular emigration shall be proportional in terms of sex.

Since the stakeholders which were engaged in emigration have lacked of interface among themselves and the LFWs were insufficient and ineffective, it requires urgent response. To reverse the problem, coordination and interaction as well as bilateral agreements between Ethiopia and the GC shall be given priority. Furthermore, since we have a great deal of national interest in GC, our missions shall be equipped with enough personnel (labor attaché and attorney), finance and material.

Given that Ethiopian emigrants have skill and communication gaps and have not awareness about their rights and responsibilities, relevant trainings shall be provided before their departure. In addition, emigrants have not proper financial management system. Many of them are sending their salaries directly to family for consumption purposes. Hence, to engage in investment or generally to secure their future aspirations, it needs to develop a package which helps to save the emigrants earned income.

#### **Notes**

UDHR, Art.3 & ICCPR, Art.8(1)& Art.9(1)  
UDHR, Art.5 & ICCPR, Art.7 and See also CAT  
UDHR, Art.23(1-3) & ICESCR, Art.6 &7

He is an Owner and General Manager of PEA as well as the Secretary of Ethiopian PEAs Association. Interview held with him in his office on April 12/2013, Addis Ababa.

Mr. Abdulwahib is the 3<sup>rd</sup> Secretary and acting Deputy Ambassador in Kuwait Embassy. Interview held with him in his office on April 11/2013, Addis Ababa.

He is from Wollo/Amhara and he was attempted to emigrate to KSA irregularly. Now, he is processing regularly to immigrate into KSA by incurring 65,000 birr. Interview held with him at MoLSA when he attended pre-departure orientation on April 2/2013, Addis Ababa.

He had served for 20 years in the Ethiopian Consulate in Jeddah. Now, he is an owner and General Manager of PEA and interview conducted with him in his office on April 20/2013, Addis Ababa.

Sendek Newspaper, 8<sup>th</sup> year no.393 Wednesday march 11, 2005 E.C, page 7 & 22(Amharic version), Interview with Mr. Adem Kamil who is the Ethio- Middle East relation researcher.

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## **Effects of Training on Employee Job Satisfaction at Ethiopian Management Institute**

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**Abstract:** *This research work examined the effects of training on employee job satisfaction in Ethiopian Management Institute with special reference selected employees. Structured questionnaire was used to collect data from one hundred eighty one (181) respondents through stratified sampling technique then; simple random sampling method has been used to select sample respondents from each stratum. Accordingly, Out of 181 respondents, workable data were obtained from 173 respondents. Data from the respondents was analyzed through descriptive and inferential statistics through independent samples T-test, Pearson product moment correlation coefficient was employed to know the relationship between training and employees job satisfaction, while Linear regressions was used to determine the effect of training on employee job satisfaction. The result showed that training has positive significant relationship with employees' job satisfaction. The study also revealed that the combined influence of Gender, age, working experience and qualification have a strong association with job satisfaction of EMI employees. Various facets of overall job satisfaction were found to have a significant positive association with each other those results in a significant association between overall training aspects of job satisfaction. The Research highlights the needs of business to concentrate on building employee capacity and focusing on Employee training to attain employees' job satisfaction and creation of Competitive advantage for the organization. EMI needs to evaluate its training strategy with respect to employees' job satisfaction to ensure that the effects of training attained across the Institute.*

**Keywords:** Effects of training, Employees job satisfaction, Employee Training, Job satisfaction, Training process

## 1. Introduction

Training has been recognized as one of managerial tools that enhanced job satisfaction globally. Training is basically a practical education through which knowledge and skills develop and inefficiencies are overcome and closer approximation can be achieved (Atif A.N., Ijaz R. & Nadeem S., 2011). Human resource specialists who realize the value of training have taken deliberate decisions to encourage management of organizations to give their employees significant autonomy to develop their skills and have made a wide range of training available across their organizations tailored to meet the needs of employees. Sajuyigbe & Amusat (2012) reported that training have enhanced personal job satisfaction. Grund (2001) also agreed that training has improved employees performance in terms of increased in productivity and higher levels of personal job satisfaction. Higher productivity and improved employee performance will rely on employees having the right skills. Historical data from the employee job satisfaction survey report over the past few years show that employee job satisfaction has begun to depend more on issues like job security and the opportunity to use skills and abilities (Asaju, 2008). Jones *et al* (2008) also agreed that training deals with the efforts made to bring improvement in the performance of employees. Results of a 2000 survey of 271 network professionals conducted by Lucent Care showed that the most important factor in job satisfaction was the opportunity to learn new skills (Blum & Kaplan, 2000).

Different organizations design and implement different training strategies to enhance their employees' career and professionals' development. However, in the think-tank organization of Africa, EMI, training is one of the pillars in professional and social development. Though its effectiveness in filling the gap of professional is not yet researched. Even there is no any ample evidence to refer to the effects of training to employee job satisfaction in the aforementioned organizations, therefore the aim of this research is to fill those gaps in relation to training and job satisfaction in Ethiopian Management Institute. From the annual report of EMI during 2014-2016, sound progress was made under the professional development towards it's aspires to be a world class center for management development that flourishes the efficient and effective services delivery of clients. Therefore, to play such pivotal role at the national level, the institute emphasized the need to have competitive workforce with job satisfaction. To this end, when the institute formulates its strategic plan, one of the four strategic pillars focus on its HR development and it is imperative to be a world class management development center in the long run (EMI, 2015).

Accordingly, to attain the objectives developed for the strategic year, the institute needs to build its employees capacity. In this regard, the institute also has an objective to improve the employee job satisfaction from 75% to 90% at the end of the strategic year (EMI, 2015).

The above explained facts how far the Human Resource Department of EMI is focused on execution of training and its effects on employees job satisfaction. Improving job satisfaction of employees by using employee training is the issue of the institute. But the job satisfaction of

employees of EMI related to training is not yet studied. Hence, to understand the above issues of the institute scientifically, this study has attempted to investigate the effects of training on employee job satisfaction at Ethiopian Management Institute. As a result, this research designed to addresses the following basic research questions:

1. What is the perception of employees towards the training practice of the institute?
2. Is there a relationship between employees training and employee job satisfaction in Ethiopia Management Institute?
3. What is the effect of training on employees' job satisfaction?

## **2. Literature Review**

Most of the literature in this area has focused on the impact of education and skills on job satisfaction rather than the effect of training as such. One exception is (Siebern-Thomas, 2005) who, analyzing 13 countries in the European Community Household Panel (ECHP) 1994-2001, found that job satisfaction tended to be higher where there was access to workplace training. The relationship between skill acquisition and job satisfaction is not straightforward. First, there is the distinction between general and specific skills. The portability of general skills may raise job satisfaction as it is easier to move to other jobs where satisfaction is higher. In contrast, specific skills bind the worker to the firm and may reduce satisfaction by creating a barrier to exit as workers will lose a portion of the return on such skills if they move. This leads on to the question of the matching of individual skills and levels of education with job requirements. If workers are mismatched in terms of skill and education requirements, this may lower job satisfaction, as evidenced in the earlier literature.

In fact, most studies have focused on over and under education rather than over skilling and under skilling. Thus, Hersch (1991) found for the US that over-educated workers were less satisfied than adequately educated workers. Over-educated workers received less on-the-job training, but were more likely to be promoted. He found a negative relationship between over-education and promotion for UK graduates and no evidence of employers upgrading tasks given to the over-educated. The same authors in 1999 found that over-educated graduates had significantly lower job satisfaction than those who were in graduate-level jobs. Green & Tsitsianis (2005) likewise found for a cross-section of workers that job satisfaction was lower for both over-educated and under-educated workers in their British sample, while for Belgium, that after controlling for educational attainment over-educated workers were less satisfied than adequately educated workers. In contrast, they found no significant difference in job satisfaction between over educated and adequately educated employees in his study of German firms.

In one of the few studies to focus on skilling, (Allen & van der Velden, 2001) differentiated between education and skill mismatches, finding only a weak relationship between the two. Importantly, they found a significant negative relationship between skill mismatch and job

satisfaction, while the link between education-mismatch and job satisfaction was insignificant. Bauer (2004) using the European Survey on Working Conditions covering all EU member states, found that involvement of workers in High Performance Work Organizations (HPWOs) was associated with higher job satisfaction. Further a skill index derived from information on the number of days of training paid for or provided by the employer had with the UK being an exception, a positive and significant effect on the 15 countries overall.

### 2.1. Conceptual Framework

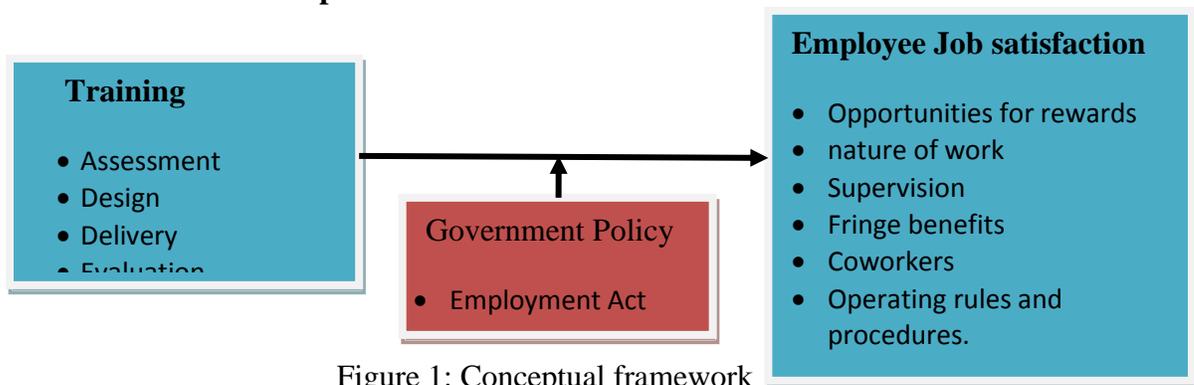


Figure 1: Conceptual framework

Source: Adapted from ADDIE Model (Field, 2008)

### 3. The Methods

The study used explanatory research design, Survey with mainly quantitative approach with the support qualitative approach (mixed). The target population for this study is all 262 Ethiopian Management Institute employees Head office & Debreziti Management training center in Bishoftu. Stratified sampling technique was used to make sure all kinds of staff are fully take part in the study. Then simple random sampling method has been used to select sample respondents from each stratum. Purposive Sampling method also used the head of training & development was contacted in order to collect primary data.

Table 1: Sample Size Determination

Source: Adopted from Krejcie and Morgan, 1970

No.	Employee's Stratum	Population	Sample Size	
			No.	%
1	Core staff	47	42	89.36%
2	Support staff	215	139	64.65%
<i>Total</i>		262	181	69%

The tool is adopted from East Carolina University Job Training and Job Satisfaction Survey tool. The questionnaire is in Likert scale, interview was made with the head of training & development. Secondary sources also reviewed. Out of the 181 questionnaires distributed, 173 workable data (95.6%) were collected and used for data analysis. Reliability and validity of the questionnaire- when pilot testing the reliability of the data whether the results would be reliable or not, the conclusion is that the data is reliable. The Cronbach's Alpha was used to test for reliability and the result is.

Quantitative & Qualitative analysis is employed to analyze the data that is gathered through questionnaire, interview and the secondary sources. The study used simple descriptive analysis including percentages and central tendency measures such as mean & standard deviation. Pearson correlation & linear regression is used to analyze the relationship between training & employee job satisfaction. An independent sample t-test was used to determine the significance difference of different categories of employees' response

#### 4. Results and Discussions

Data collected from questionnaires were analyzed using different statistical methods. Interview data were presented intermingling with the quantitative data. Data collected from the respondents were presented and analyzed using frequency counts, descriptive statistics and Pearson moment correlation. An independent sample t-test was used to determine the significance difference of different categories of employees' response.

The first research question is the perception of employees towards the training practice of the institute. Based on the result of the descriptive statistics employees have a good perception about training practice of the institute, It is represented by the average mean 4.38. This implies that the training practice of the institute it is valuable by the employees from different perspectives. To determine the significance difference of different categories of employees' response T-Test result presented as follows.

Table 2: T- test for employee perception about training practice

		P-value (95% Confidence)			
		Gender	education	Age	Experience
employee	perception	.466	.900	.282	.572

about training practice				
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Source: Own sources, July 2017

The T-test results in Table 2 show that all the p values are greater than 0.05 which is the significant point. This means that there lacks statistically significance in the difference in the opinions held by the various employee categories. The second research question is the relationship between employee training and employee job satisfaction. The results of correlation showed a significantly positive association between training and Employee Job satisfaction ( $r = 0.704^{**}$ ). Table 3 shows that training has strong positive relation with employee job satisfaction. This implies that trained employees are more satisfy with their job.

Table 3: The Relationship between Effects of training and employees' JS

		Average score of Training	Average score job satisfaction
Average score of Training	Pearson Correlation	1	.704 <sup>**</sup>
	Sig. (1-tailed)		.000
	N	173	173
Average score of job satisfaction	Pearson Correlation	.704 <sup>**</sup>	1
	Sig. (1-tailed)	.000	
	N	173	173

\*\* . Correlation is significant at the 0.01 level (1-tailed).

Source: Own sources, July 2017

The last research question is the effect of training on employees' job satisfaction, to answer this research question regression analysis conducted to examine the effects of training on employee

job satisfaction. The simple linear regression analysis evidenced that, 49.5% the variation in employees' JS at EMI is explained by its training.

Table 4: (Model Summary) Training as predictor to JS

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate
1	.704 <sup>a</sup>	.495	.492	.73858

a. Predictors: (Constant), Training

Source: Own sources, July 2017

Considering all other factors constant at zero, for every 1 unit increase on training, expect .753 unit increase in employees' job satisfaction or 1 unit change in Training will bring 75.3% units change in JS.

The multiple linear regression also revealed that training have an effect on employees' job satisfaction components like understanding operating rules & procedures, comfortable supervision, enhancing opportunities for rewards & nature of work in EMI.

Table 5: (Coefficients) Training as predictor to JS

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.	
	B	Std. Error	Beta			
1	(Constant)	1.126	.252		4.462	.000
	Training	.753	.058	.704	12.947	.000

a. Dependent Variable: JS

Source: Own sources, July 2017

The ANOVA table below (table 6), help us to make sure the above model (on model summary table) statistically significant predictor of the outcome (employees' JS) and it is evidenced that the model is statistically predictor of employees' JS because the p value is less than .001.

Table 6: (ANOVA), EF, OS as Predictor on JS

Model	Sum of Squares	df	Mean Square	F	Sig.
1 Regression	91.680	2	45.840	83.764	.000 <sup>b</sup>
Residual	93.034	170	.547		
Total	184.714	172			

a. Dependent Variable: JS      b. Predictors: (Constant), EF, OS

Source: Own sources, July 2017

Therefore, a significant amount of employees' JS is influenced by the institute's training which constitutes OS and EF. Thus, components of Effects of training found statistically and significantly predict employees' JS; and it can be concluded as, the overall regression model is significant,  $F(2, 170) = 83.764$ ,  $p < .001$ ,  $R^2 = .496$  (i.e., the regression model is a good fit of the data).

Table 7: (Coefficients), EF, OS as Predictor on JS

Model	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
1 (Constant)	1.093	.257		4.257	.000
OS	.186	.064	.212	2.906	.004
EF	.569	.076	.545	7.469	.000

Dependent Variable: JS

Based on the statistical data obtained from the above model summary table (table 4, both Effects of training (components) together explain about 49% the variance in employees' JS

## 5. Conclusion and Recommendations

### 5.1. Conclusion

The aim of this study was to assess the effects of training on employee job satisfaction the researchers raised and addressed specific research questions, which are: - what is the perception of employees on training practice of the institute? What is the relationship between employee

training and employee job satisfaction in Ethiopia Management Institute? What is the effect of training on employees' job satisfaction? Accordingly, at the center of these enquiries, the result is discussed under each sub headings; and it is clear that, the research objectives of this study have been met and the research questions have been answered. Thus, based on the analysis, the following conclusions were drawn.

When we look Employee perception on training practice of the institute, the study draws conclusion that majority of employees have a good perception about training practice of the institute. This implies that the training practice of the institute it is valuable by the employees.

The employee perception about employee training practice of the institute there is no significance difference between core staff (consultants) & administrative staff of the institute. This means the institute has not special training opportunities to consultants based on their gap & to fill the work requirements because personal analysis is not being used in determining training needs.

The study has shown that training enhances employee job satisfaction. This study evidenced through correlation analysis that, the institute's employees training is highly associated with employee job satisfaction. Furthermore, there is a cause-effect relationship between training and employees' JS in the institute.

The employee job satisfaction related to training there is no significance difference between core staff (consultants) & administrative staff of the institute. This means the institute training opportunities to consultants & support staffs is the same. Because of that there is no significance difference on various categories of employees' job satisfaction.

When we look the effect of training on employees' job satisfaction the study draws conclusion that, training have an effects on employees' job satisfaction components like understanding operating rules & procedures, comfortable supervision, enhancing opportunities for rewards & nature of work in EMI.

## **5.2. Recommendations**

### **5.2.1. Recommendation for EMI**

Based on the conclusion drawn from the study the researchers forwarded the following recommendations:

- The training strategy must align employee trainings with attainment of the institute's objectives.
- Longer-tenured employees have different training needs than inexperienced employees. They may require more advanced or in-depth training. Strategies should be developed that ensure that all employees continuously learn and grow throughout their careers. This research study showed no significant differences in satisfaction with job training among employees of diverse populations.

- The institute needs to give more attention to core staffs (consultants) because their job needs enough training & development because they contact with different kinds of institute customers.
- Training should be given based on the benefit and the way training will be conducted and it should be followed by appropriate promotion and incentive. The Training also should provide based on the needs of the employees to feel the gap of the employees
- The Institute Training & development team have a great deal of influence regarding the job training of their employees related to job satisfaction.
- EMI needs to evaluate its training strategy with respect to job satisfaction to ensure that the effects of training attained across the Institute.

### 5.2.2 Recommendations for Further Research

- The study only focused on Ethiopian Management Institute. Other studies on different populations and at different time zones would be welcome to ensure strong empirical conclusions on how training effects on employee job satisfaction. Future researches may conduct the research in industry wide or nationwide by increasing the sample size.
- Finally, as indicated in the literature, there is lack of theoretical grounds and models in conceptualizing training and its relationship with job satisfaction variables. In this regard, researches should be conducted aiming at model specification and theory development. To this end, future researches should consider different employee job satisfaction dimensions based on industry, business strategy, business nature and sector.

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# **Industrial Development and Environmental Laws in Ethiopia: The Case of Manufacturing Investment in Addis Ababa**

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## **Abstract**

*Environmental law that is applicable to Addis Ababa is intended to protect the environment. One of the mechanisms we can protect the environment is by requiring the manufacturing investor to submit environmental impact assessment (EIA). However, the investment law does not require environmental clearance that shows the intended manufacturing activity will not adversely affect the environment. Thus there is a contradiction between environmental law and investment law. Qualitative comparative legal research methodology with quantitative research method is employed to investigate the problem. In the research, it is found that the implementation of investment law in manufacturing in Lemi I Industrial Park, though there are some problems, is encouraging in general, while the implementation in Jacross is adversely affecting the environment. In conclusion, the manufacturing law, in Addis Ababa, as development law is attempting to integrate environmental protection. However, in practice the development is not integrated with environmental protection since more attention is given to development. No minimum wage is implemented. Waste disposal problem is prevalent; no laboratory is installed in the study area. Thus, it is recommended that the Addis Ababa City Government manufacturing corporation should work to integrate environmental protection in the manufacturing Development to promote sustainable development in the sector.*

**Key Words:** Environmental law, Investment law, manufacturing law, integration principle, sustainable development law

## **1. Introduction**

This paper investigates the relations between industrial development and environmental laws in Addis Ababa. The paper focuses on the role of law in promoting manufacturing development in Addis Ababa. It also deals with the issue of the role of law in protecting the environment. The issue of integrating environmental protection into development is considered under the fourth section of the paper. Finally, conclusion and recommendations are given.

Today, the issue of development and environmental protection receives due attention. Development activities should not adversely affect the environment. This research considers how the laws help to make a balance between development aspirations and environmental protection in Addis Ababa in the case of manufacturing investment.

Ethiopia has shown its commitment to develop manufacturing industries by implementing industrial parks. Ethiopia has enacted law to promote and attract investors in this sector [Proc. No. 886/2015, first Preamble]. GTP II focuses on development of industrial parks. Ethiopia has planned to develop ten industrial parks in the nation, and *Bole Lemi I* industrial park, in Addis Ababa, is one that has begun operation. However, this industrial park has been facing several challenges including repeated power cuts, erratic water supply and poor custom procedures [Tsfahun: 3].

It is important to ensure that industrial developments do not adversely affect the environment. However, environmental pollution is a problem in industrial locations in Addis Ababa. No research on the role of law has been done on this issue in the study area. Therefore, it is imperative to undertake this research in Addis Ababa.

Ethiopia is working for development and manufacturing industry is considered as one of the strategies to bring about the intended development in the country. This development is regulated by development law of Ethiopia. The basic purpose of development law is to accelerate development though the process pollutes the environment.

Environmental law, on the other hand, protects environment. Thus there is potential conflict between development law and environmental law. Development enhances the integration of national power and improves the life of the society. However, it causes environmental problems such as air pollution, water pollution, soil degradation, and desertification [Longlong and Hongbo; 2008: 91].

Ethiopia has enacted national laws in addition to ratifying international instruments to protect the environment. Environmental protection laws aimed at mitigating the negative impacts of developmental activities and they ban in an extreme case to protect the environment. On the other hand requires the nation to undertake investments to bring about development [Investment Proclamation No. 769/2012; 1<sup>st</sup> paragraph of the preamble; Art. 5(1),(6) and (7)]. The basic purpose of Addis Ababa environmental law is to protect the environment, particularly by ensuring that investment projects do not significantly and negatively affect the environment [Reg. No. 21; Art, 6]. To protect the environment, the Addis Ababa Environmental regulations requires environmental clearance certificate or the Environmental Protection Authority should give a written statement that the development of manufacturing industry will not require impact assessment before work permit is issued [Reg. No. 21; Art, 5(2)]. However, the investment law, which is applicable to Addis Ababa, provides that an investor in the manufacturing industry may obtain investment permit without environmental clearance [Investment Proc. No. 769/2012, Arts. 13, 14 and 15], because environmental clearance or letter from the Environmental Authority is not a requirement to obtain investment permit [Proc. No. 769/2012, Arts. 12 and 16]. Thus, the laws of environment and manufacturing industries in general and Addis Ababa in particular contradict each other.

The Research Questions are; what is the role of law to promote manufacturing development in Addis Ababa? How do the laws of development and environment promote manufacturing development and protect the environment in Addis Ababa?

So far, no sufficient researches are conducted in the field of the relationship between manufacturing investment and environmental protection laws in Addis Ababa. Therefore, the research adds something to solve this deficiency. This research can be used as a reference material for readers and researchers. In addition, the recommendations made by this research would be of helpful to the government in the policymaking and enacting laws in the field.

This research focuses on investigating the relevant laws that apply to promote manufacturing development in Addis Ababa. In addition, it considers how the laws are applying to protect the environment in Addis Ababa. Thus, the practice of manufacturing development in Bole Lemi I and Jacross are considered.

## **2. Review of Related Literature**

### **Industrial Development and Environmental Laws in Addis Ababa**

#### **2.1 Role of Law to Promote Manufacturing Development in Addis Ababa**

##### **2.1.1 Definition and Nature of Development**

We do not find one and universally acceptable definition for the term “development”[ Blanke *Yale Human Rights and Development L.J.* 165]. From the society or socio-economic point of view, development means “improvement either in the general situation of the system or in some of its constituent elements”[Bellu *Development and Development paradigms* 2]. The term 'development' may also be defined as "a planned process of social change"[Tsoako; 1978: 76] which would enable to show the role of law in development because law is considered as a tool of social change [Ibid]. Sen defines development as freedom, and argues that development can be considered as “a process of expanding the real freedoms that people enjoy.”[Sen, *Development and Freedom*: 3].

Today development is accepted as a human right [Ibhawoh; 2011: 81-2]. Development has become a right of peoples and individuals in Ethiopia. The right to development has both internal and external dimensions. The internal dimension of the right to development addresses the duties of each state to ensure domestic policies, and laws to realize the right to development to all its peoples. The external dimension considers disparities of the international political economy. In this regard, states have responsibilities acting individually or collectively at the international level [Salomon; 17-18].

The first consensus was reached at the 1993 Vienna World Conference on Human Rights and the right to development was described as an “integral part of fundamental human rights”[ Costantinos; 54. ]. From the right –based approach it is aimed at to be an instrument to ensure the development of individual persons as well as peoples at national and international level, and

therefore, it has such a dualistic nature [Kirchmeier; Villaroman 2010 *Fla. J. Int'l L.* 306]. In short, the right to development is a core right from which all other rights arise [Bunn id: 1435].

In addition to these International instruments, Ethiopia adopted the Constitution in 1995, which recognises the right to development [FDRE Constitution Art. 43]. The Constitution stipulates that “[t]he Peoples of Ethiopia as a whole, and each Nation, Nationality and People in Ethiopia in particular have the right to improved living standards and to sustainable development.”[*Id.*, Art. 43(1)]. As one can understand from the above-mentioned provision, the right to development is a group right recognised for the Peoples, Nations and Nationalities of Ethiopia. It is categorised under the democratic rights, which are recognised by the government [Art 10(1)]. The FDRE Constitution promotes the right to development one step ahead by envisaging sustainable development [Art 42(1)]. The right to development can be implemented through investment law. Though the issue is subject to debate, there is an agreement, particularly in a developing country, like Ethiopia, that law can be employed as a means of social engineering[Seidman and Seidman; 91-132. Sarkar and Singh; 2010: 328]. To continue or sustain economic development, it is essential to use rational law [Tom; 2000: 830-31].

According to Bradlow [7], “law as an agent of change has direct and indirect role to play. It may create new norms or it may make the atmosphere conducive to change by permitting the other factors that bring social change to have full play”. Law has facilitative role in the economic development process [Tom; 2000: 832].

Law has the function to coordinate and planning as well as achieving a required behaviour. It is possible to use law to bring about change in a society [Bahuja; 288]. Law has an "essential role in guiding and legitimizing the process of change"[ Shihata; 1997: 1578] in a society. Sufficient legal system is crucial for economic development. Transparent rules promote development [Tom; 2000: 829].

Law recognizes property right that constrains the sovereign and prevents the property from expropriation [Tom; 2000: 834].

Law has an essential role in guiding and legitimizing the process of development. Law plays a great role in conditioning foreign investment [Tom; 2000: 853]. It is an instrument for reconciling diverse interests and introduces orderly development [Ibrahim; 1996: 1578]. The existence of law that creates stability, and predictability, protects property right, and where contractual obligations are honoured attracts investment [Ibrahim; 1996: 1578].

Law is vital to development since it creates incentives for people to behave in a growth-enhancing manner [Ulen: 17]. Law mobilizes incentives and disincentives to enhance appropriate behaviour to achieve its goals [Bruce: 3].

### **2.1.2. Law to Promote Manufacturing in Addis Ababa**

Several laws have been enacted to promote manufacturing in Addis Ababa. One of the objectives of proclamation on industrial parks in Ethiopia is to enhance the development in technological and industrial infrastructure [Art. 4(2)]. In addition, it is aimed at enhancing the competitiveness of Ethiopian economic development [Proc. No. 886/2015; Art. 4(4)].

Manufacturing development strategy of Ethiopia focuses on export manufacturing in selective sectors such as textile, leather, and agro processing [Ethiopian Investment Agency; 2013: 6]

GTP II aspires for accelerated growth of manufacturing industry to be promoted through expanding new investment mainly in export-oriented manufacturing and improving the productivity and competitiveness of domestic manufacturing firms. The strategic directions of GTP II include improving productivity, quality and competitiveness of both existing and newly established industries [Federal Democratic Republic of Ethiopia, National Planning Commission, 2016: 136]. The basic objective of the Plan includes making manufacturing to play crucial role in technology transfer, job creation and skills development [Federal Democratic Republic of Ethiopia, National Planning Commission, 2016: 136-37]. Attracting quality investment is one of the implementing strategies of the Plan [Federal Democratic Republic of Ethiopia, National Planning Commission, 2016: 140].

The industrial parks proclamation is enacted to promote and attract foreigner and domestic investors [Proc. No. 886/2015, 1<sup>st</sup> Preamble].

Ethiopia has developed Industry Sector development Plan having a vision to:

*Building an industrial sector with the highest manufacturing capability in Africa which is diversified, globally competitive, environmentally-friendly, and capable of significantly improving the living standards of the Ethiopian people by the year 2025*[FDRE Industrial Development Strategic Plan; 2013: 44].

The vision gives due emphasis on the environmental-friendly manufacturing development. This would enable to protect the environment, while bringing about manufacturing development for the country.

Manufacturing development is intended to increase its share in the development of the country. The industrial parks have rationale to improve export, creating jobs, and speeding up the transfer of technology. Bole Lemi I and Hawassa Industrial Parks have been operating currently.

### **Investment Guarantees and Protections**

Investment protection is given to foreign private investment to encourage the capital to move to developing countries. The risks against which investment protection is given are 1) political risks

that is expropriation; 2) transfer risks, risks related to currency controls and inconvertibility of funds; and 3) calamity risks, risks such as insurrections, revolution, war [Earl; 1963: 1087].

In principle, private investors invest their capital abroad if they believe that they can make a profit. Private investors will go abroad, if there are 1) ample market prospects, 2) ample labour, 3) management and technicians, 4) reasonably good transportation and communication facilities, and 5) favourable investment climate [Earl; 1963: 1088-89].

Once developing countries are successful in attracting foreign investment, they may intervene into the investment in a manner that undermines the project or its profitability. Thus, investment protection against such 'political' risk is important. Now days, international investment treaties (IITs) strive for investment protection [Lorenzo; 2014]. Today, international investment treaties include provisions, guaranteeing investment [Lorenzo; 2014].

### **Guarantees in Ethiopia**

The Ethiopian investment law allows ownership of dwelling house and other immovable property for foreign investor treated as domestic investor so as to promote investment [Investment Proclamation No. 769/2012, 2012, Art 24(1)].

The Ethiopian law guarantees the assets of investors from expropriation or nationalization. In exceptional situation, an investment may be expropriated or nationalized for public interest and only in conformity with the requirements of the law [Proclamation No. 769/2012, Art, 25(1); Proclamation No. 886/2015, Art. 20(1)]. Compensation, corresponding to the market value shall be paid in advance [Id, Art 25(2)].

In addition, investors can remit funds. Thus, an investor has the right to remit the following out of Ethiopia in convertible foreign currency at the prevailing rate of exchange on the date of remittance [Regulations No. 270/2012, Art 26]

**Custom Duty** -To promote inflow of capital and technology into Ethiopia customs duty exemptions are provided for both domestic and foreign investors engaged in manufacturing [Ethiopian Investment Agency; 2013: 28].

### **2.1.3 Environmental Law to Protect the Environment**

The federal and regional environmental laws are applicable to the industrial parks [Proclamation No. 886/2015, Art 24(1)]. The Industrial Park Enterprise is duty bound to comply with environmental laws [Proclamation No. 886/2015, Art 10 (4)]. Environmental law uses various methods to protect the environment. Setting the standard is one.

#### **2.1.3.1 Setting Environmental Standards**

The Addis Ababa Environmental law regulates environmental standards. Environmental standards have to do with quality standards, standards of waste disposal, standards of pollutants

releases into air, standards of production and control of hazardous materials and the like [Regulations No 25/2007, Art. 5(1)].

Where the federal government enacts environmental standards, Addis Ababa environmental Authority uses them. But where there are no any, it implements standards issued by relevant international organizations [Regulations No 25/2007, Art. 5(2)]. The regulations provide that quality standards of water for human welfare, environmental protection and different services [Regulations No 25/2007, Art. 6(1)(a)].

### **2.1.3.2 Environmental Impact Assessment**

“Environmental impact assessment,” or “environmental assessment,” [SUSAN & ANNA; 1995: 344] refers to the determination of the environmental consequences of proposed projects or activities [RAVI; 2002: 5]. Environmental impact assessment (EIA) is defined as 'a national procedure for evaluating the likely impact of a proposed activity on the environment' [Art. 1(vi), Convention on Environmental Impact Assessment; See Environmental Impact Assessment Proc. No. 299/2002, Art. 2(4); Reg. No. 21/2006, Art 2(2)].

EIA is anticipatory in nature [JOHN; 2004: 187]. “An EIA attempts to *predict* the likely environmental effects of a proposal and provide a basis for the developer and other decision makers to respond to this information.” [Id. (emphasis added)]. Interdisciplinary nature is another distinguishing feature of EIA. Most EIA reports are prepared by a team of environmental specialists, a team at least consisting of one qualified environmental engineer, social scientist, biologist, and physical scientist [EIA for Developing Countries; 1997: 12]. Thus, the assessment involves a team of people “from a range of environmental and social science backgrounds relevant to the potential environmental impacts of the proposal.” [John; 2006: 193]. In some countries, professionals from up to 15 different disciplines may participate for large and complex projects [John; *ibid*].

In Ethiopia, EIA is aimed at ensuring the participation of the public in planning and decision-making on developments that may affect them and the environment [Environmental Impact Assessment Proc. No. 299/2002, preamble 4]. In addition, EIA “serves to bring about administrative transparency and accountability.” [Id]. Finally, the federal environmental policy clearly indicates that EIA is intended to mitigate environmental risks and damage [Environmental Policy of Ethiopia, Sect. 4.9 (d)].

**Project that requires EIA-**To be cost-effective government provides schedules of projects that require an EIA and those that do not. Thus, projects “likely to have significant impact” should generally be subject to an EIA [ Ferrey: 82].

According to Ethiopian environmental law “[p]rojects likely to have negative impacts” to undergo environmental assessment, [ Environmental Impact Assessment Proc. No. 299/2002, art. 5(2)(b)] in order to determine the nature and degree of such impacts. On the other hand, projects

that are not likely to have negative impacts do not require EIA [*Id.* art. 5(2)(a); Reg No. 21/2006, Art 4].

The Addis Ababa City Environmental Protection Authority has designated three types of projects: those that require EIA are listed under Group A, those that require preliminary EIA under Group B, and those that do not require EIA under Group C. Group A lists 105 projects, divided into sixteen sub-groups, that may have adverse and significant environmental impacts and need to pass through EIA [Addis Ababa City Environmental Protection Authority, List of Projects Requiring Environmental Impact Assessment (EIA)]. Among the 105 projects in Group A, only mining (basalt rock, red ash, clay, sand, loam, etc.) is subject to EIA in practice [Tefsaye; 2012: 85].

Under Ethiopian law, the project proponent shall undertake the obligation to prepare an EIA [Environmental Impact Assessment Proc. No. 299/2002, art. 7(1)]. After all processes are gone through, an environmental impact report should be prepared. After environmental impact statement is prepared, review takes place before it is submitted to the responsible agency. It can also begin earlier and be used as a monitoring tool to ensure that progress is satisfactory and that the terms of reference are being followed. [Barry: 122].

In Addis Ababa, which seems to follow the Canadian system, review of an environmental impact statement requires seven professionals. Currently, however, there are only few experts that could not possibly cover all interdisciplinary environmental issues [Tefsaye: 2012].

## **2.2 Role of Law to integrate manufacturing Development with Environmental Protection in Addis Ababa**

The issue to bring about development for a country and the protection of the environment was a point of contestation between developing countries and developed countries at the time of negotiation of Rio Declaration. Developed countries argued that nations in the world should work for the protection of the environment. Thus, they believed that the development projects implemented by developing countries should not be implemented if they affect the environment because environment must be protected. Otherwise, the life on earth would be at stake. On the contrary, developing countries argued that no limitation could be imposed on their development strategies. Therefore, the argument of the developed countries in the interest of the protection of the environment is considered as a limitation on their development strategies. For the developing countries, poverty and the alleviation of misery were more poignant and real problems [Marks, 17; K. Ellison; 2014: 111-114].

Nowadays, some countries such as the United States of America and Canada are challenging the generous investment protection regimes. They argue that international investment treaties should give a great space for national policy. The real costs and benefits of protecting investment should be clearly provided. In addition, states should consider their national policies such as to promote

sustainable development [Lorenzo; 2014]. This makes clear that protection of investment should also take into account environmental protection.

Coming to Ethiopian manufacturing industry, the Ethiopian government should balance the protection of manufacturing investment with the preservation of the environment by implementing sustainable development law. Bridging the gap between investment law and environmental law is crucial. Therefore, environmental law should be given place within investment law. On the other hand, investment law should also be given place within environmental law [Rosalien, Yulia and Tineke; 2014: 6].

Some believe that various approaches are possible to bridge the gap. One approach would be to modify international treaties and national laws from an approach to protect the financial interest of investors towards an approach that also ensure environmental concerns. Investment law protects assets of foreign investors, so as to attract (foreign) investment. However, environmental issues are treated differently in the context of investment law. Most countries argue that investment laws should give room for national policy makers to regulate environmental issues. However, there is no global understanding how to go about the problem, that is to combine investment protection with maintaining a healthy environment. Treaties are the best way to consider environmental issues [Rosalien, Yulia and Tineke; 2014: 6-7]. Treaties can include the principles of sustainable development that can promote development without adversely affecting the environment [Anne-Juliette Bonzon, "Balance Between Investment Protection and Sustainable Development in BITs" (2014) 15 *The Journal of World Investment & Trade* 809-826].

The second approach is incorporating environmental issues into investment treaties. This requires amendment of the procedures in investment law disputes. For instance, arbitrators with different legal background, having experience with dealing environmental issues be chosen [Rosalien, Yulia and Tineke 2014: 7]. Integrating environmental protection in developmental activities could make developing countries richer, democratic and fairer [Thierry; 2013: 19]

### **3. The Methods**

The research is basically a qualitative one. Comparative legal research methodology was employed to make comparison between the internationally accepted legal principles of development and the laws that apply in Addis Ababa City administration. International law on development and environment is also considered. Thus, treaties and laws are analyzed. International legal principles of solving the contradiction between environmental law and development law are also dealt.

The researcher also makes use of relevant literature written by renowned publicists in an extensive manner. Environmental policies, treaties and conventions are frequently consulted to underpin the legal and policy framework in Ethiopia. In the case of Addis Ababa, the

environmental policy and investment objectives of the country as well as Addis Ababa's laws as provided in the respective legislations and policy frameworks are analyzed at close ranges. Other relevant governmental documents are also important sources of data. In addition, by employing purposive sampling, the research takes the form of appropriate interviews with persons, 3 group discussions with selected experts, governmental officials, investors in the manufacturing sector, and local peoples in Addis Ababa. In addition, 150 questionnaires were filled by local residents, governmental officials and experts, and be analyzed. Personal observations of manufactures in *Bole Lemi I* and *Jacross* are were made by the researcher. Thus, the research employs purposive sampling to gather data using interviews, group discussions, questionnaires and personal observation as instruments to collect data. Finally the data are analyzed qualitatively and using SPSS software.

### 3.1. The Practice of Manufacturing Industry and Environmental Protection in Addis Ababa

By the year 2017, Bole Lemi Industrial Park creates for about 12, 500 jobs and generates 20 million USD [Yohannes; 2017; Interview with Ato Mengistu, April 21, 2017]. Bole Lemi Industrial Park has been operational for three years. 11 companies from different countries such as India, China, Taiwan Bangladesh South Korea engaged in leather and garment production of these 10 companies are exporting their production. All 20 sheds of the park utilise only 60 % of their capacity. [Yohhanes; 2017: 1-2].

#### Incentives, Guarantees and Protection

Using tax incentives would create export processing zone and promote export [David and Richard; *ibid*: 19]. The Law gives for an investor who engaged in manufacturing industry, 'who has invested at least 200,000 United States Dollars or equivalent Ethiopian Birr at the prevailing rate of exchange and has created permanent employment opportunity for at least 50 Ethiopian nationals' incentive to import, at any time, duty-free capital goods necessary for his existing enterprise [Regulations No 270/2012, Art. 12(5)]. An investor engaged in manufacturing is entitled to exemption from income tax for 2 to 5 years depending on the type of manufacturing [Schedule No. 1].

In practice, the following table shows the incentives to manufacturing industries in Addis Ababa.

Table 1. Exemption\_given\_for\_Environmental Protection

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Disagree	4	8.0	8.0	8.0
Undecided	14	28.0	28.0	36.0
Agree	28	56.0	56.0	92.0
Strongly agree	4	8.0	8.0	100.0
Total	50	100.0	100.0	

Source: Field survey

The table shows that 56 % of the respondents agree that incentives are given to the manufacturing industry. This is an effort to use law to promote the environmental protection in the manufacturing industry.

Table 2. Given\_other\_Incentives

	Frequency	Percent	Valid Percent	Cumulative Percent
Valid Disagree	3	6.0	6.0	6.0
Undecided	20	40.0	40.0	46.0
Agree	19	38.0	38.0	84.0
Strongly disagree	8	16.0	16.0	100.0
Total	50	100.0	100.0	

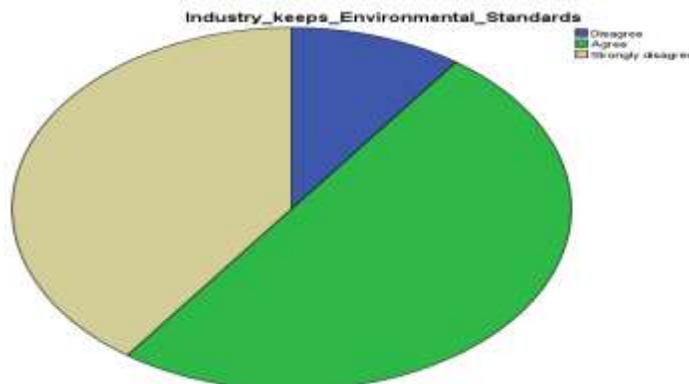
Source: Field survey

As the table indicates, investors are given other incentives. However, Ato Mohammed explained that the incentives given by the Ethiopian Government to them are not intended to promote the environmental protection: they are given not for environmental protection [Interview with Ato Mohammed; 2017].

Transfer of knowledge is one essential thing. However, the discussants complained that the government should do as expected; so far it does not do, since there is no sufficient popularization of the Industry Park. Workers flow from one industry to the other quickly [Group Discussion]. It is essential to consider the issue of wage, since workers change from one industry to the other for some more wages [Group Discussion].

It was made clear that the working condition here in Ethiopia is different from foreign countries from where investors came. Here, the investors want the workers to perform their work by force, but we Ethiopians do not want and accept this kind of working culture [Group Discussion]

**Practice**



Source: Field Survey

## **Environmental impact assessment in Practice**

Coming to practice, in Addis Ababa, every project that requires EIA should be reviewed before it starts operation. The Environment Protection Authority assures whether mitigating action plan is prepared according to EIA report and the manufacture is operating according to the action plan. At operation stage, inspection is made so as to ensure that the investment is undertaken according to the Action Plan [Interview with Ato Masresha; 2017].

The basic problem in protecting the environment in Addis Ababa is that the polluter pays principle has not been implemented. The law provided but knowledge, human power are required to assess the damage caused to the environment. However, these are not fulfilled in the Authority, and cannot implement the polluter pays principle [Interview with Ato Masresha; 2017].

Each manufacturer should pay according to its effluents discharge, but this has never been implemented. It is very difficult to stop any manufacture, there is also fear to implement the law as it is provided in the paper. Therefore, teaching the people to raise environmental awareness is accepted as an alternative so that the people will ask for the implementation of the law [Interview with Ato Masresha; 2017].

East Africa Pharmaceuticals PLC did not conduct an EIA due to the fact that the factory was established in 1996, where EIA was not a requirement. The factory uses water to wash different products and in the process. Thus, effluent is there. The effluent has been discharged to the ditch or sewerage after it is diluted [Interview with Ato Mohammed, on April 22, 2017].

Ato Mohammed explained that the factory generates steam because it uses boiler, so it needs sufficient space not to pollute the air. Now the area has become residential area and very much congested. This, according to Ato Mohammed, is not favourable to the environment. There is compressed air in the factory which requires a space. Thus, environmental issues should be taken into account. Air handling unit must be considered.

Ato Hussien Sayd Abdella, a General Manager to a Food Factory, responded that the factory did not have EIA made by consultants because the expense of these consultants is very much. Therefore, they did not prepare EIA by independent consultants, but they do have feasibility study [Interview with Ato Hussien on April 19, 2017].

He explained that the factory does not produce any smoke, no bad odour, and in general, the factory is not polluting the environment. He explained that the factory uses water in the production process and the disposal is disposed to the septic tanker so that the septic tanker disposes periodically; 3 times a year [Interview with Ato Hussien Sayd].

Ato Hussien commented that the factory which is next to their Factory is a soap factory and it disposes very bad smell, which contaminates the environment.

Regarding Bole Lemi Industrial Park, a feasibility study was done which includes the environment. Water is distilled by using a common distillation plant before it is discharged to the nearby river, Tributary to Awash River.

Some Factories do have laundry and use chemicals to dye clothes. Water polluted by this chemical should not be disposed to river: it should be distilled. The park has a permit from Awash Basin Authority to treat waste water discharge [Interview with Ato Mengistu].

The Industry Park should provide one stop shop service and the environmental protection Authority should be established there. However, it does not established so far.[Interview with Ato Mengistu]

**Solid waste** agents collect and manage wastes from each factory. Sometimes, these agents may not come in due time and wastes may be piled up for a while, and cause some environmental impact [Interview with Ato Mengistu].

Toilets and liquid wastes are connected to the Addis Ababa liquid waste disposal line [Interview conducted with Ato Mengistu]. However, it is identified that the place for the liquid waste disposal of the City itself has problems: it discharges bad smell; the owners in the Industry Park are complaining of this problem. Formerly established factories pollute the environment and do have infrastructural problems. But they may come to this Industry Park, or they may not come. Some argue that the formerly established factories may need to sale their products here in domestic market and they may not be willing to come to here where the production is meant for foreign sale meeting the international standard. The work discipline here is different from ours that we work in a relaxed manner [Group Discussion].

In Bole Lemi Industrial park, most of the factories are garment, and do not produce wastes that adversely affect the environment [Interview conducted with Ato Mengistu Regassa, on April 21, 2017].

Regarding supervision, Ato Mengistu explained that they usually visit each factory once in a weak [Interview with Ato Mengistu]. However, this does not seem sufficient.

In the Park, there are 20 sheds, and 11 manufacturing industries are producing. Out of which 18 are garment or textile, and 2 are leather manufactures.[Interview conducted with Ato Mengistu; Group discussion made with W/ Desta, Ato Teclerufael, and Ato Samual, on April 21, 2017].

The zone is export producing zone. Thus, the environmental protection standard is required to meet the international standard [Interview conducted with Ato Mengistu].

The main thing here in the Industry Park is environmental issue. The types of the company are known, and their impact upon the environment is identified. The factories are textile factories. There is also laundering. They also use chemicals to produce required standard products. There is a common effluent treatment plant. All the effluents come together through one line (pipe) and it will be treated. Pre assessment is undertaken to ascertain how much waste a single factory releases, what chemical and labour power is required to treat it is considered [Interview with Ato Samual; April 21, 2017].

Then wastes will be grouped based on their type and nature. They will be treated and released. The treatment is made according to the standard. They use laboratory to test to check whether the effluent treated meets the standard. Now, laboratory is being prepared. So far no laboratory is installed in the Industry Park, and they get test outside the Park.[Ato Samual]. After the standard is met, they will release it. They do have certificate to release from Awash basin Authority. In the future, they are thinking to recycle and use the water. The water is disinfected by chlorine before it is discharged [Ato Samual].

Each Industry has its own waste disposal system. Thus, it identifies the wastes according to their type and disposed, where they are solids [Ato Samual].

Toilets and washing utilities discharge effluents gather together and treated. There is disposal place problem regarding solid wastes. They do have the problem how and where to dispose wastes.

In the Bole Lemi Industrial Park, there is common waste filtering plant. Water polluted by chemical, by JJ Industry, will be treated and released [Group Discussion].

Ato Henok Mekonnen, an expert in the area has explained that colours are treated by the treatment plant in addition to the water in general. After treatment, the solid waste will be discharged separately while the water is discharged to the river. The contribution of each Manufacturing Industry is identified by flow meter and charges accordingly.[Interview with Ato Henok Mekonnen, Expert, Common Filter Plant, April 21, 2017, 3: 00 in the Afternoon, in the field]. Some 2 industries are facing some decrease in their production [Group Discussion].

The production in the Industry Park is for foreign sale. Thus, industries perform their activities protecting the environment because their foreign purchasers will follow the process of the production.[Group discussion].

Ervinda Life Style Ap. is a garment factory that produces Jeans, Shemith, underwear etc. There is no minimum wage and this created problem of flow of workers from one industry to the other. This has a negative impact on the production of the Industry. Environmental protection standard is met. Waste disposal is made in an open area [Interview with Ato Jemal Ibrahim, Human Resource Head, April 21, 2017, in his office 2:50 PM].

## **5. Conclusion and Recommendations**

### **5.1. Conclusion**

In this paper the role of development law in promoting manufacturing investment in Addis Ababa is considered. In the study, Bole Lemi I Industrial Park and Jacross road area as industrial area were considered.

We have seen that investment law of Addis Ababa, as development law attempts to promote the development agenda. The GTP II also aspires for development of manufacturing industries in general and in Addis Ababa in particular. This to some extent disregards the protection of environment. Environmental law of the study area try to protect the environment by providing several safety mechanisms such as environmental impact assessment to be conducted and standards of environmental protection. The practice showed that the old manufacturing industries do not comply with environmental standards, for instance, East African Pharmaceuticals PLC does not comply with the air pollution standard. They also pollute the environment, such as the nearby water body. Problems have been observed in discharging wastes in general. In addition, the area is congested since it has become a residence area.

Regarding the Bole Lemi Industrial Park, we have seen good environmental protection practices such as having common waste treatment area. However, transfer of knowledge requires due attention since satisfactory work has not been done in this regard.

Labour force has not been properly handled because there is a problem of flow of labour force from one to the other manufacturing factory due to dissatisfaction of wages in most cases. This has a negative impact on the productivity of the manufacturing industry.

There is also a concern in disposing solid wastes. They are not properly disposed in due time and causing environmental pollution.

### **5.2.Recommendations**

To solve the above mentioned problems the researcher recommends the following.

1. The Addis Ababa government should integrate the development agenda with environmental protection by implementing the law of environmental impact assessment.
2. The Environmental Authority should make appropriate and sufficient supervision to ensure the implementation of the environmental standards.
3. The Ethiopian Government should provide for minimum wage so that the flow of workers would at least decrease.
4. Waste management should be made according to the standard provided under the law. The Addis Ababa City government, in consultation with relevant bodies, should provide sustainable solution to the problem.

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Interview conducted with Ato Mengistu Regassa, Manager, Industry Parks Development Corporation, Bole Lemi Branch Office, in his office, on April 21, 2017, at 10:30- 11:15 AM.

Interview with Ato Henok Mekonnen, Expert, Common Filter Plant, April 21, 2017, 3: 00 in the Afternoon, in the field.

Interview with Ato Hussien Sayd Abdella, a General Manager to Food Factory, on April 19, 2017, 10:00 AM - 10:25 AM, in his office.

Interview with Ato Jemal Ibrahim, Human Resource Head, April 21, 2017, in his office 2:50 PM.

Interview with Ato Mohammed Abdulahi, Plan Technique Manager, East African Pharmaceuticals PVT PLC, on April 22, 2017, 11:35 AM, in his office.

Interview with Ato Samual Awoke, April 21, 2017, in Bole Lemi I Industrial Park.

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# Measuring Housing Stress in Rental Condominium Housing: The Case of Public Service Employees in Akaki – Kality Sub-city, Addis Ababa

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## **Abstract**

*The study aimed at assessing the level of housing stress as a consequence of rent based and non-rent factors of housing stress encountered by renter public sector employees. To meet the objectives of the study a mixed research approach was employed to produce both quantitative and qualitative data. A questionnaire survey was carried out to collect the required data from sample households who are renter public sector employees. Secondary data collected from both published and unpublished documents. Tables and percentages to show variance, the '30-only rule', and mean income analysis employed to show the level of housing stress as a function of rent and income. A multiple response analysis is applied to assess the impacts of rent on non-housing needs to indicate the level of housing stress. A bar graph is applied to show the distribution of renter households by work place. The findings reveal that all renter public sector employees are suffering from housing stress caused by both rent and non rent factors. The majority of the renter households pay a monthly rent above the 30 percent threshold and unable to meet other non-housing needs adequately after paying for housing rent. Regarding the non-rent factors, all renter households are free from housing stress emanating from housing crowding but over half of them are exposed to housing stress due to daily commuting between work place and home. Finally the study recommends the implementation of market based rent allowance and strategies to enable renter public service employees to be house owners.*

**Key words:** Housing Stress, Rent

## **1 Introduction**

Affordability problems emerge when housing costs increase faster than household incomes. Affordability can only be improved through a significant reduction in market rents and prices, direct housing subsidies to households or, more realistically through large scale new housing supply (Rowley, & Ong, 2012, Kim, 2009). Housing affordability affects new household formation so policy must address this issue by overcoming existing housing supply barriers and quantifying the supply needed to deliver diverse and affordable housing for low-moderate-income groups. Besides reliable and strong evidence base is required to set specific local area affordable housing targets to meet the housing needs of low-moderate-income earners in their local housing markets.

Therefore it is found essential to move towards housing market and housing needs assessment, which include the demand for various types of affordable housing, to provide a reliable evidence base for setting housing supply targets to address the negative outcomes of declining affordability. As stated in UN-Habitat (2011) a major challenge facing securing affordable housing for low –income Ethiopians has been access to housing finance following the market-led

adjustments implemented in the post-1991 period, subsidized interest rates were removed which significantly increased lending rates. The same study further explains that the increased rates severely reduced the opportunity for low-income households and the majority public sector employees to secure a home loan. This study mainly focuses on the public service employees who are vulnerable to increasing rents of housing in Addis Ababa the capital city of the country and sit of numerous International Organizations. In the light of this developing policies and strategies to deliver affordable rental housing to meet the need of the increasing public sector employees requires especial government intervention.

In Addis Ababa renting has been an important form of tenure and most units are rented from private owners. The Integrated Housing Development Program (IHDP) which is government-led initially aimed at enabling the urban low and middle-income groups to be home owners. In Addis Ababa the IHDP has greatly increased the number of home owners that would never otherwise have owned a home and in parallel has benefited the housing market by increasing the supply of owner occupied housing and rental units. Among the would- be beneficiary of the program employees of the public service are highly expected. The public service employees have got the opportunity of either being home owners or access to rental units.

This study is inspired by the recent widespread discussion on housing stress. Housing stress has become an important economic challenge for families and a salient public policy challenge for governments (Tanton et al., 2008). However, there is no general consensus about the method of measuring this important public policy concept. A commonly used method of measuring housing stress defines a household or a family to be in housing stress if it spends more than 30 per cent of its gross income on housing costs.

Although the condominium housing initially not meant for rent a growing number of renter households live in condominium units including public service employees. A number of studies made on different aspects of condominium housing in Addis Ababa and other major cities of the country. For instance a study made by Tesfaye, (2016) explores the post-occupancy management problems, Zelalem, (2012) aims at exploring and analyzing the determinant factors that influence performance of owners association in Bahir Dar city. On the other hand the work of Simon, (2015) addresses the general supply of condominium housing for households living in slums in Addis Ababa. Tebarek, (2013) explored the impact of housing and urban development – induced displacement on poor female –headed households and the work of Agazi, and Alula, (2013) considers the views of young lives, adult, community leaders and households regarding their new house i.e. condominium. All studies made by the mentioned scholars indicated above took up different issues strongly attached to condominium housing. Unlike the studies mentioned this one is devoted to investigate the pervasive housing stress as a consequence of rent based and non-rent factors affecting the wellbeing of renter public sector employees including their families living in rental condominium housing.

Among the different strands of affordability the study focuses only on rent affordability. Thus the study aims to explore level of housing stress as a function of house rent rates and income, identify rent and non-rent measures of housing stress encountered by renter public sector employees and recommend strategies to be enforced by the government to facilitate rent affordability and ease the level of housing stress for public service employees. Based on the objectives explained the study attempted to seek answers to the following questions. What is the level of housing stress as a function of rent rates and income of public sector employees? What are rent and non-rent measures of housing stress encountered by renter public sector employees? What are the strategies to be enforced by the government to facilitate rent affordability and ease housing stress for public service employees?

Thus, this study was aimed at assessing housing stress faced by renters of condominium houses. Section - 1 presents introduction to the study. In Section - 2, as part of the literature review contains conceptual definitions of housing stress and housing affordability, the 30 percent benchmark of income standard for housing affordability, rating housing affordability, factors that contribute to housing affordability, extent and impacts of housing stress and lessons learned. The methodology employed to collect and analyze data have been explained in Section - 3. In Section - 4 the analysis and interpretation of data contains rent based housing stress, mean income analysis, non- housing indicators of housing stress, Non- Rent Measures of Housing Stress and distribution of renters by place of work. Finally, in Section- 5, the conclusion dealing with the findings of the research and recommendations are presented.

## **2 Review of Related Literature**

### **2.1 Defining Housing Stress and Housing Affordability**

Housing affordability is a complex issue, yet it can perhaps best be defined using a common benchmark known as “housing stress”. A reasonable setting of the benchmark, specifically chosen in order not to overstate the problem, is that households, who pay more than 30 percent of their income on housing costs, whether renting or buying, are said to be in housing stress (Kim, 2009, p.7).

The concept of housing stress has been of interest to government since the mid-1990s, particularly the issues of definition and data (King, 1994 & Karmel, 1998). The Australian National Centre for Social and Economic Modeling (NATSEM) also started reporting the measure in the late 1990s (Landt & Bray, 1997) and have continued to do so ever since. Policy-makers were quick to embrace the measure because it was easy to understand, provided a quick indicator of ‘housing affordability’, and were convenient to incorporate within policy documents to support housing strategies. According to Flood (2012), the Australian Bureau of Statistics became aware of the conceptual problems associated with housing stress in the middle part of the last decade and became concerned because the measure was becoming so politically important. The Australian Bureau of Statistics at first modified the definitions and then rejected the

indicator stating it did not measure what it was supposed to. However, housing stress figures are still widely reported to support claims of housing affordability declines and calls for more affordable housing.

Housing stress is currently being used as a proxy for all housing affordability driven outcomes. Policy-makers and the press tend to report all households that fall within the definition of housing stress as having financial problems and therefore there is a need for more ‘affordable housing’. There is no mention of a household entering stress by choice and the positive benefits of such a decision. The definition being applied in this way also assumes that households not in stress have no negative housing-related wellbeing outcomes (Rowley, & Ong, 2012).

As explained in the work of Rowley, & Ong, (2012), the trouble with existing debates surrounding housing affordability is the narrow focus on measuring the problem rather than understanding its wider implications. Ratio measures such as housing stress and price to income are applied in two ways. First, measures such as housing stress seek to quantify the affordability position of those already consuming housing, i.e. ignoring those that are homeless, in inappropriate housing or who cannot afford to form a household in an area within their existing community or with suitable employment opportunities. Second, price to income ratios establish a measure of general affordability at a defined spatial scale, commonly by suburb rather than defined housing sub-market. These ratios are usually designed to highlight how many multiples of income a median income household would require to consume typical housing within a suburb. These measures are headline grabbing because they provide an easy to understand quantification of affordability and are more applicable to assessing affordability for new purchasers rather than existing households.

## **2.2 The 30 Percent Benchmark of Income Standard for Housing Affordability**

According to Di Napoli (2014), talk of housing affordability is plentiful, but a precise definition of housing affordability is at best ambiguous. The repeated amendments made on the Housing Act between 1937 –1981, in the United States, to determine standard bench mark in relation to income prove the above explanations sufficiently. The conventional public policy indicator of housing affordability in the United States is the percent of income spent on housing. Housing expenditures that exceed 30 percent of household income have historically been viewed as an indicator of a housing affordability problem. The conventional 30 percent of household income that a household can devote to housing costs before the household is said to be “burdened” evolved from the United States National Housing Act of 1937. The National Housing Act of 1937 created the public housing program, a program that was designed to serve those “families in the lowest income group.” Income limits rather than maximum rents were established for family eligibility to live in public housing; that is, a tenant’s income could not exceed five to six times the rent. By 1940, income limits gave way to the maximum rent standard in which rent could not exceed 20 percent of income – in practice, the same as the predecessor income limit standard. The Housing Act of 1959 maintained maximum rents, but it also gave local public

housing authorities more autonomy in establishing them. By 1969, the escalation of rents by public housing authorities struggling to meet spiraling operation and maintenance costs nearly nullified the purpose of the public housing program established in 1937 to serve the nation’s neediest. To reverse this, the Brooke Amendment (1969) to the 1968 Housing and Urban Development Act, established the rent threshold of 25 percent of family income; that is, a family would be required to pay one-quarter of its income in rent. By 1981, this threshold had been raised to 30 percent, which today remains the rent standard for most rental housing programs.

Belsky, et al. (2005), disclosed households spending 30 percent or more of their monthly income on gross rent or on the costs of owning a home are considered above the affordability threshold and are often referred to as “cost-burdened.” Households spending 50 percent or more of their monthly income on gross rent or owner costs are regarded as “severely cost-burdened.” Similarly the Australian Bureau of Statistics explains housing stress as a function of cost of housing and household income indicating a household spending 30 percent or more of its income can be considered “under housing stress” and under “extreme housing stress” if spending exceeds 50 percent (Rowley, & Ong, 2012), Therefore the explanations “cost-burdened” and “under housing stress” on the one hand “severely cost-burdened” and “extreme housing stress” on the other hand appear to serve the same purpose.

### 2.3 Rating Housing Affordability

A study made by the Demographic International Housing Survey (2015), used four levels of rating to indicate housing affordability. The rating is calculated by dividing the median house price by the median household income which yields “median multiple” price- to-income ratio. Based on the median multiple the following housing affordability rating categories are identified as indicated in Table –1.

Table 1. Housing Affordability rating Categories

Rating	Median Multiple
Severely Unaffordable	5.1 & Over
Seriously Unaffordable	4.1 to 5.0
Moderately Unaffordable	3.1 to 4.0
Affordable	3.0 & Under

Source: The 12th Annual Demographic International Housing Affordability Survey 2015

The rating led to the corresponding classification of countries and cities consequently the bottom 10: least affordable and the top 10; most affordable major metropolitan markets are identified both at city and national levels. Accordingly Hong Kong (19.0), Sydney (12.2), Vancouver 9.10), San Jose, Melbourne and Auckland (9.7), San Francisco (9.4), London(8.5), San Diego, and Los Angeles (8.1) are identified as the least affordable cities as a consequence of greater value of the median multiple i.e. greater than 5.1 signifying severely unaffordable.

The most affordable cities with a median multiple value less than 3.0 include Buffalo, Cincinnati, Cleveland, Rochester (2.6), Pittsburg (2.7), Detroit, Grand Rapids, St. Louis (2.8), Columbus, Indianapolis, Oklahoma and Kansas 2.9. At national level among the 367 markets, there were 89 affordable markets, 75 in the United States, nine in Canada, three in Ireland and two in Australia. There were 112 moderately unaffordable markets, 90 in the United States, 14 in Canada, four in Australia, two in the United Kingdom and one each in Japan and Ireland. There were 74 seriously unaffordable markets and 92 severely unaffordable markets. Australia had 33 severely unaffordable markets, followed by the United States with 29 and the United Kingdom with 17. New Zealand and Canada each had six severely unaffordable markets, while China's one market (Hong Kong) was also severely unaffordable (ADIHAS, 2015, p. 3).

#### **2.4 Factors That Contribute to Housing Affordability**

There are several factors identified that contribute to the affordability of housing. According to DTZ New Zealand 2004 in Robinson, Scobie and Hallinan, (2006), the following factors are identified and indicated:

- a. Income (current and expected lifetime): directly impacts on a household's ability to purchase and make housing payments
- b. House prices and rents: represents the level of payment that is required to secure housing
- c. Interest rates, nominal and real: determines the cost of borrowing for home owners
- d. Labor market conditions: affects a household's ability to participate in the labor market and earn an income, and thus be able to maintain housing costs over a period of time
- e. Mortgage and rent payments: directly impacts on a household's ability to save and increase their housing consumption in the future. This is especially relevant for households in the rental market who are looking to purchase a house
- f. Supply constraints: may limit the ability of the market to respond to excess demand for housing.

These factors are highly interrelated and interdependent. Labor market conditions directly affect people's incomes, specifically their certainty of future income streams. Mortgage and rent payments are determined by interest rates, house prices, rents, and wealth. Supply side constraints affect house prices. Interest rates can also affect house prices as a result of changes in demand for purchasing a house.

#### **2.5 Extent and Impacts of Housing Stress**

Estimates of the extent of housing stress vary by country and also by the measure employed. In the US, one in three American households spends more than 30 percent of income on housing, according to the Joint Center for Housing Studies (2008). Another reliable source similarly estimates that 95 million people, or 30 percent of the population, have housing problems including a high-cost burden, overcrowding, poor quality shelter, and homelessness. One in seven spends more than 50 percent, around 40 million Americans (Kim, 2009 p.12).

In the euro area, taking the European Community Household Panel (ECHP) as reference, analysis of the nature and extent of the persistence of housing deprivation using a cross-sectional view shows that around 20 percent of the population appears to be experiencing housing stress at a given point in time. (Ayala & Navarro, 2007).

In Australia, research by the National Centre for Social and Economic Modeling (NATSEM) released in 2008 shows that 23 percent of low and middle-income households are spending one-third or more of their gross income on rent or the mortgage. This represents a rise of 25 percent since 2004. Around six percent of lower-income households are paying more than 50 percent of their income on housing, according to recent research by the Australian Housing and Urban Research Institute (AHURI).

As explained by Di Napoli (2014), the estimated percentage of rental households with rents above the affordability level increased from 40.5 percent in 2000 to 50.6 percent in 2012. The number of rental households in this category jumped by more than 25 percent over the period. In 2012, more than one in four rental households paid gross rents that consumed at least half of their household income – a level the Census Bureau describes as “severely housing cost burdened.” The same study disclosed for many New Yorkers, rent or homeowner costs surpass half of their household income. In 2012, some 928,000 rental households, or 27.9 percent of the statewide total, were in this “severely cost-burdened” group – an increase of nearly 30 percent from 2000.

Overcrowding results in a lack of privacy and a sense that one has no control over one’s own life: it is a major source of Stress that is experienced by both adults and children living in overcrowded conditions (Dockery, 2011).

Many studies have offered evidence highlighting important links between various aspects of housing and wellbeing. For example, children who grow up in owner-occupied homes have been found to benefit from better lifetime prospects than those in the rental tenure (Boehm & Schlottman 1999). Children of homeowners are more likely to stay in school (by 7–9%), and daughters of homeowners are less likely to have children by the age of 18 (by 2–4%) (Green & White, 1997). Owning a home leads to improved test scores in children (9% in math and 7% in reading) and reduced behavioral problems, by three percent (Haurin & Parcel, 2002).

According to the study made by the Global Cities Business Alliance (2016), commuting patterns in global cities travel distances and commuting times in many global cities are on the rise. For example, the average distance Londoners travelled to work increased from 10.4 kilometers in 2001 to 11.2 kilometers in 2011. Similarly, in American metropolitan areas people are living further away from employment centers.

The economic impact of high housing costs in global cities, the effect on businesses and social wellbeing, and the potential economic gains from affordable housing provision are summarized from the works of Global Cities Business Alliance (2016) and Di Napoli (2014) and presented as follows.

- High house prices and rents can have a significant impact on individual wellbeing. Prohibitive costs can cause individuals to move away or put up with accommodation that is inadequate for their needs or preferences.
- High-cost housing can also have a direct impact on the competitiveness of businesses in global cities. Companies must either pay higher salaries and benefits to compensate for high housing costs or accept that only a limited pool of prospective employees will be available. Staff turnover rates may also be greater in expensive cities as employees may be more likely to relocate. Longer commutes, sometimes a consequence of high housing costs, can increase worker fatigue and lead to lower staff productivity.
- Cities that become too expensive for many to live in will change their social composition, with individuals on lower incomes displaced to more affordable areas. This process can lead to social and political unrest. Governments also face additional fiscal pressures, having to provide financial support for households struggling with high housing costs.
- At the same time some individuals benefit from high housing costs – such as segments of the population who are homeowners. This creates political difficulties in attempting to reduce the cost of housing – while some may gain, others will lose out. Making policy intervention in this area is a sensitive topic, particularly given that housing is often the greatest source of wealth for individuals.
- The economic success of a city attracts businesses which in turn attract new employees. A growing population needs more services and products so that more businesses are created which further propels economic and population growth. It is therefore not surprising that many of these cities struggle with rising housing costs as a result of their economic success.

## **2.6 Lessons Learned**

The international experiences on housing stress at City and national level denote the need for government intervention to check the rising cost of housing in terms of price and or rent. As indicated in the works of various scholars the impacts of rising rent forced renter households to move away the center of cities or put up with accommodation that is inadequate or sub-standard for their needs or preferences. The classification of cities as most affordable and least affordable signifies the strong socio-economic impact of rent both positively and negatively. Ethiopia as one of the developing countries characterized by rapid urbanization, the socio-economic impacts of housing rent on the growing urban population in general and employees of the public sector is believed to be significant. Thus in Ethiopia efforts need to be emplaced in making urban centers affordable to renter public sector employees to enable them free from housing stress. This in turn enhances the productivity of the public sector employees and attractiveness of the urban centers of the country.

### 3. The Methods

The Study adopted mixed method approach i.e. quantitative and qualitative research methods. The quantitative approach is applied to disclose the level of housing stress as a function of rent-to-income ratio and identify the corresponding typology of units in relation to income. On the other hand the qualitative approach is used to explain about the influence of high rent on the quality of life wellbeing of renter households in terms of food, clothing, health care, recreation, meeting the needs of children etc. The basic reason behind using this method of research design is that the combination of both generates a better understanding of the research problem.

#### 3.1 Data Sources & Sample size

The type of research employed for this study is descriptive mainly focusing on five condominium sites found in Akaki Kaliti Sub-city as shown in Table-2. There are a total of 2531 renter public service employees /households living in the five study sites. A total of 385 renter sample households were taken by employing the following (Kothari, 2004).

$$n = \frac{z^2pq}{e^2}$$

where:

$N$  = size of population

$n$  = size of sample

$e$  = acceptable error (the precision)

$s$   $p$  = standard deviation of population

$z$  = standard variate at a given confidence level,  $q = 1 - p$

Therefore, at 95 percent level of confidence the corresponding standard variate  $z = 1.96$  and the desired level of significance is 0.05. Since the target population number is less than 10,000, 50% is recommended to use. The value of  $p = 0.5$  in which 'n' will be the maximum and the sample will yield at least the desired precision. Thus,  $p = 50\% = 0.5$  and  $q = 1 - p = 1 - 0.5 = 0.5$ . Therefore, the sample size is given by:

$$\begin{aligned} n &= \frac{(1.96)^2 (0.5) (0.5)}{(0.05)^2} \\ &= \frac{(3.8416 * 0.25)}{0.025} \\ &= \frac{0.9604}{0.025} \\ n &= \mathbf{385}, \text{ Sample size} \end{aligned}$$

The 385 sample households divided proportionally among the five owners' associations based on the total number of households as indicated in the distribution table. Finally the sample households were selected using a random sampling technique from each association.

Both primary and secondary sources are used to produce the required qualitative and quantitative data. Primary data are collected through questionnaires and secondary data from government documents and owners' association archives. The following sources are used to generate the required data.

- a. Primary sources: Renter sample households as indicated in the table are sources of primary data such as income and other housing and non- housing data. To this end questionnaires were distributed to 385 sample renter households.
- b. Secondary sources: Documents on condominium houses from housing development office of the Akaki- Kaliti sub-city and from the archives of the respective owners' associations were used to obtain monthly house rent of the corresponding typology units.

Table- 2 Distribution of sample renter households.

	Name of Owners' Ass.	Site location /woreda/	No. Renter HHs	Sample RHHs
1	Comet	6	238	36
2	Kaliti-Gebriel	7	85	13
3	Cheralia	7	103	16
4	Total	8	151	23
5	Gelan (1&2)	4	1954	297
<b>Total</b>			<b>2531</b>	<b>385</b>

Source: Owners Associations

### 3.1 Data collection Methods

The study basically depends on primary and secondary data generated and compiled by the above mentioned sources. In addition to questionnaires used to collect primary data both published and unpublished data from publications, reports, records and statistics of the mentioned institutions were collected.

### 3.2 Data Analysis Techniques

The following statistical techniques are applied to measure housing stress for renter public sector employees living in condominium houses of the study sites.

- Tables and percentages to show variance;
- Bench mark analysis i.e. based on '30-only rule'. This is the most basic of the ratio measures of housing stress. According to this rule, a household is defined to be in housing stress if it spends more than 30% of its disposable income or gross income on housing costs. (Binod et al., 2008)
- Mean Income Analysis: This is applied to shoe the relationship between mean income of renter households and the level of housing stress with corresponding category of rent.
- Multiple Response Analysis: used to show the impacts of rent on other non-housing need of the households.
- UN-Habitat standard of housing crowding is applied to measure the extent of housing stress.

## 4. Results and Discussion

### 4.1 The Study Sites

This part presents the general features of the condominium housing found in the study sites and demographic characteristics of the sample households. As indicated in Table:3 five

condominium sites namely *Cheralia*, *Comet*, *Gebriel*, *Total* and *Gelan* are included. As indicated in the same table *Gelan* condominium site constitutes the largest number of respondents i.e. 77.5 percent in contrast to *Gebriel* condominium site accounting for 3.4 percent of the sample population. As indicated in Table-2 Part -3 the total sample size was 385 but eight questionnaires were not recovered i.e. accounting for 2.1 percent of the total. Therefore, the data employed in the study is obtained from 377 questionnaires as indicated in Table-3.

Table 3: Study Sites

Site Name	Frequency	Percent
Cheralia	16	4.2
Comet	33	8.8
Gebriel	13	3.4
Gelan	292	77.5
Total	23	6.1
<b>Total</b>	<b>377</b>	<b>100.0</b>

Source: computed from survey data

Table 4: Distribution of Condominium Units by Type

Typology	Frequency	Percent
Studio	111	29.4
1 bed room	141	37.4
2 bed room	110	29.2
3 bed room	15	4.0
<b>Total</b>	<b>377</b>	<b>100.0</b>

Source: computed from survey data

As indicated in Table-4 the highest percentage accounted by the 1bedroom units followed by studio and 2 bedroom units. The 3 bed room units included in the study is extremely small reflecting a problem in relation to rent which is the central theme of this research. Besides the distribution of units by type the demographic characteristic of the respondents reveal that 52 percent are male headed and 48 percent are female headed households. Regarding marital status 72.1 percent of the respondents are married in contrast to 27.9 percent of singles.(Table-5)

Table-5: Marital Status

Typology	Marital Status				Total
	Married		Single		
	Freq.	%	Freq.	%	
Studio	46	16.9	65	61.9	111
1 bed room	105	38.6	36	34.3	141
2 bed room	106	39.0	4	3.8	110
3 bed room	15	5.5	0	0.0	15
Total	272	100.0	105	100.0	377

Source: computed from survey data

The distribution of married renter households among the different typologies indicates all the 3 bed room units are occupied only by married households, 5.5 percent. The majority of singles occupy studio units, 61.9 percent followed by 1 bed room units occupied by 34.3 percent of the singles. The majority of married households occupy 1 bed room and 2 bed room units 38.6 and 39.0 percent respectively constituting over 77 percent of the total married households (Table:5).

#### 4.2 Rent Based Housing Stress

Kim H. (2009) the term “housing stress” is a technical economic term, not a psychological one although it may easily involve mental trauma. It refers to housing-driven monetary hardship, and a more accurate term is “housing-induced financial stress”. Rent induced housing stress is treated based on the following tools. The first one is the 30 percent threshold; the second one is the mean income and the third one is based on rent induced indicators of housing stress.

##### 4.2.1 The 30 only Rule

Based on the 30 percent threshold three categories of renter households are identified. They are those paying less than 30 percent which is widely accepted as rent standard or free of housing stress, between 30 and 50 percent known as cost burdened/under housing stress and greater than 50 percent are severely cost-burdened/under extreme housing stress. The data analysis in Table-6 indicate 38.7 percent of renter households are paying a rent amount less than 30 percent of their monthly income acceptable or considered free from housing stress. As the same table indicates over 61 percent of renter households pay above the 30 percent threshold of which 48.3 percent pay between 30 – 49.9 percent of their monthly income implying cost-burdened/under housing stress while 13 percent pay greater than 50 percent are severely cost-burdened or found under extreme housing stress.

Table- 6: % in housing stress according to traditional housing stress measures

Typology	Stress Category					
	<30% Not in Housing Stress		30 – 49.9% Cost-Burdened		≥50 % Severely Cost Burdened	
	Freq.	%	Freq.	%	Freq.	%
Studio	38	10.1	61	16.2	12	3.2
1 bed room	45	11.9	76	20.2	20	5.3
2 bed room	56	14.9	37	9.8	17	4.5
3 bed room	7	1.8	8	2.1	0	0.0
Total	146	38.7	182	48.3	49	13.0

Source: computed from survey data

Regarding the level of housing stress based on typology of units the same table discloses the following.

- Over 38 percent of the renter households pay a monthly rent less than 30 percent of their income. The corresponding share of the above mentioned percentage among the four typologies of condominium units shows clearly those without suffering from housing stress account for 14.9, 11.9, 10.1 and 1.8 percent for 2bed room, 1bed room, studio and 3bed room units respectively.
- As stated earlier over 61 percent of the renters are suffering from housing stress. These again are grouped into two as indicted in Table-6 cost-burdened/under housing stress and severely cost-burdened/under extreme housing stress. The cost-burdened/under housing stress is those paying rent between 30 – 49.9 percent of their monthly income and accounting for 48.7 percent of the total sample renter households. Those paying over 50 percent of their monthly income account for 13.0 percent are severely cost-burdened or under extreme housing stress. The corresponding level of stress for the 30 - 49.9 percent group indicates 20.2 for 1 bed room, 16.2 for studio 9.8 2 bed room 2.1 percent for 3bed room units respectively. The same analysis of stress for those paying  $\geq$  50 percent shows 5.3 for 1 bed room, 4.5 percent for 2 bed rooms, 3.2 percent for studio and none for 3 bed room units.

Table-7: % in Housing stress by income category

Income Category	Typology	Stress category						Total	
		1 to 29.9		30 to 49.9		$\geq$ 50		Frq.	%
		Frq.	%	Frq.	%	Frq.	%		
Single Income Earner	Studio	19	23.8	49	61.3	12	15.0	80	
	1bed room	11	20.8	27	50.9	15	28.3	53	
	2bed room	2	11.1	5	27.8	11	61.1	18	
	3bed room	1	50.0	1	50.0	0	0.0	2	
	<b>Total</b>	<b>33</b>	<b>21.6</b>	<b>82</b>	<b>53.6</b>	<b>38</b>	<b>24.8</b>	<b>153</b>	<b>40.6</b>
Double Income Earner	Studio	19	61.3	12	38.7	0	0.0	31	
	1bed room	34	38.6	49	55.7	5	5.7	88	
	2bed room	54	58.7	32	34.8	6	6.5	92	
	3bed room	6	46.2	7	53.8	0	0.0	13	
	<b>Total</b>	<b>113</b>	<b>50.4</b>	<b>100</b>	<b>44.6</b>	<b>11</b>	<b>4.9</b>	<b>224</b>	<b>59.4</b>
<b>Grand Total</b>								<b>377</b>	<b>100.0</b>

Source: computed from survey data

As indicated in Table-7 besides the general level of stress analysis (Table-6) it is imperative to assess the impact of single income and double income on the renter households. As shown in Table-7, 40.6 percent of the renter public sectors employees belong to the single income earner category and while 59.4 percent of them are double income earners. Based on this distribution the level of stress under each income category reveals the following:

- 21.6 percent of the single income earners are free from housing stress as they pay a rent amount below the 30 percent bench mark. On the other hand 78.4 percent of single income renters are under housing stress of which 53.6 percent pay 30 – 49.9 percent of their salary, (Cost- Burdened) and the rest 24.8 percent pay a monthly rent  $\geq 50$  of their salary consequently Severely Cost Burdened (Table-7).
- 50.4 percent of the double income earner households are free from housing stress since they pay less than the 30 percent bench mark. Those paying 30 – 49.9 and  $\geq 50$  percent of their salary account for 44.6 and 4.9 percent respectively denoting Cost- Burdened and Severely Cost Burdened levels of housing stress (Table-7).
- As indicated in the same table the comparison between the two income categories signifies that double income earning renter households are benefited from the double income (husband & wife) that enabled more number of renters to be free from housing stress. This is supported by the percentage of renter households free from housing stress i.e. 50.4 percent against 21.6 percent of the single income earners.

#### 4.2.2 Mean Income Analysis

Besides the 30 percent threshold analysis the mean income of renter households is also used to measure the level of stress. As indicated in Table -8 the highest mean income is accounted by 38.7 percent of the renter households which is found in the percentage category of < 30. This category as indicated in Table - 6 above is free from housing stress.

Table-8: Household Mean Income Analysis

% Category	Mean Income	Freq.	%
< 30	10,747.74	146	38.7
30 to 49.9	6,486.16	182	48.3
$\geq 50$	3906.27	49	13
Total	7801.217801.21	377	100

Source: computed from survey data

The mean income decreases with increasing percent of rent paid for housing. This is indicated by the mean income of the 30 to 49.9 and  $\geq 50$  percent category indicated in Table 8. This denotes the higher the mean income the lower the level of housing stress.

#### 4.2.3 Non- Housing Indicators of Housing Stress

Housing costs often represent a significant cost to a family's income and determine to a large extent how much left over for living costs. A housing cost burden can impede the capacity of families to account for other necessities that affect wellbeing such as food, clothing and health care (Bratt, 2002).

The analysis made in Part- 4.3 indicate the majority public service renter households living in the study sites are suffering from rent induced housing stress. This is supported by the response of the sample households in Table – 9. As indicated in the same table 89.4 percent of the renter households admitted that the amount of rent they pay affected their life style. This is supported by the lower mean income of this group as compared to those replied ‘No’ accounting for 10.6 percent and with a higher mean income as indicated in Table: 9.

Table-9: Rent Impact

<b>Response</b>	<b>Frequency</b>	<b>Percent</b>	<b>Mean Income</b>
Yes	337	89.4	7479.11
No	40	10.6	10,371.75
Total	377	100.0	7801.21

Source: computed from survey data

The rent impacts are assessed using different indicators by employing a multiple response method. To explain the impacts of rent on the wellbeing of the renter household’s food consumption preference, clothing, supplying additional teaching aid materials for student children, saving, health care and recreation are used as indicators (Table-10)

The multiple response analysis of the indicators produced the following:

- Food consumption preference: The adverse impact of rent on food consumption preference is ranked 1<sup>st</sup> by 11.9 percent (45) of the renter households.
- Clothing: this indicator ranked 1<sup>st</sup> by 14.6 percent (55) of the respondents who felt house rent limited them from getting their priority choice i.e. clothing preferences.
- Additional teaching aid materials: this indicator ranked first by 17.8 percent (67) of the respondents. The respondents complained that because of high house rent they are unable to buy additional teaching aid materials for their children.
- Saving; ranked 1<sup>st</sup> by over 34 percent (131) of the respondents signifying it is the most prioritized indicator but adversely affected by rent.
- Health care: compared to other indicators explained earlier the percentage of respondents selected health care as their first choice but adversely affected by rent is small 8 percent (30) of the total respondents.
- Recreation: the percentage of respondents selected recreation as their 1<sup>st</sup> choice and affected by rent is the smallest of all i.e. 2.7 percent (10).

The comparison among the indicators based on rank only conceals the number of people who are prioritizing each indicator as its first choice. Each indicator ranked 1<sup>st</sup> despite differences in the number of respondents as indicated in Table-10. Thus it is imperative to identify the most dominant indicator on the basis of number of respondents who selected the respective indicators as their first choice. Therefore based on the size of respondents saving is the most dominants indicator indicated by 131 respondents followed by additional teaching materials for children 67 respondents and clothing by 55 respondents adversely affected by rent.

Table -10: Matrix of Multiple Response Measures of Housing Stress

Rank	1 <sup>st</sup>		2 <sup>nd</sup>		3 <sup>rd</sup>		4 <sup>th</sup>		5 <sup>th</sup>		6 <sup>th</sup>	
	Fr.	%										
Food cons.	45	11.9	39	10.3	51	13.5	70	18.6	81	21.5	51	13.5
Clothing	55	14.6	61	16.2	65	17.2	81	21.5	53	14.1	22	5.8
Teach. Aid	67	17.8	35	9.3	31	8.2	38	10.1	37	9.8	129	34.2
Saving	131	34.7	67	17.8	70	18.6	34	9.0	24	6.4	11	2.9
Health	30	8.0	83	22.0	84	22.3	68	18.0	57	15.1	15	4.0
Recreation	10	2.7	50	13.3	37	9.8	46	12.2	86	22.8	108	28.6

Source: computed from survey data

### 4.3 Non- Rent Measures of Housing Stress

#### 4.4.1 Housing Crowding

In order to explore the degree of stress caused by housing crowding the UN-HABITAT standard particularly Indicator 1.2, Habitat Agenda Goal 1 is applied. A house is considered to provide a sufficient living area for the household members if three or less people share the same room (UN-HABITAT, 2009). The total number of population including married, single and children sums up to 1159. When this divided by the total number of rooms i.e.  $1159/783 = 1.48$  per room. According to the standard set by the UN-Habitat stated above the general room density as well as room density for every typology is found below the standard and signify that all renters are free from stress caused by overcrowding (Table-11).

Table -11: Housing Crowding

Typology	Freq.	No. Rooms *	Total no. of Rooms	Household Size			No.pers /Room	UN-standard > 3per/room
				Adult	Child.	Total		
Studio	111	1	111	157	46	203	1.83	< 3
1 br	141	2	282	246	169	415	1.47	< 3
2 br	110	3	330	216	255	471	1.43	< 3
3 br	15	4	60	30	40	70	1.17	< 3
<b>Total</b>	377		783	649		1159	1.48	< 3

Source: computed from survey data

As indicated in the table above 44 percent of the population of the sample households is children. The child population living in the study sites suffers from the loss of better lifetime prospects as a result of rental tenure. This is supported by multiple responses indicated in Table-10. As indicated in the same table the problems faced by the house hold heads regarding non-housing needs such as food consumption, clothing, supply of additional teaching aid materials to student children, health care and recreation are also affecting the life of children too.

#### 4.4.2 Distribution of Renters by Place of Work

Besides the distribution of renter public sector employees by sub-city explained the reasons behind the existing situation need to be identified. As the responses of the renter households indicated in Table-12 low rent 48.8 percent is found to be the governing factor for renting units in the study condominium sites. Next to low rent, proximity to work place 27.3 percent and lack of alternative housing 23.9 percent are found to be reasons for renting units in the same study sites.

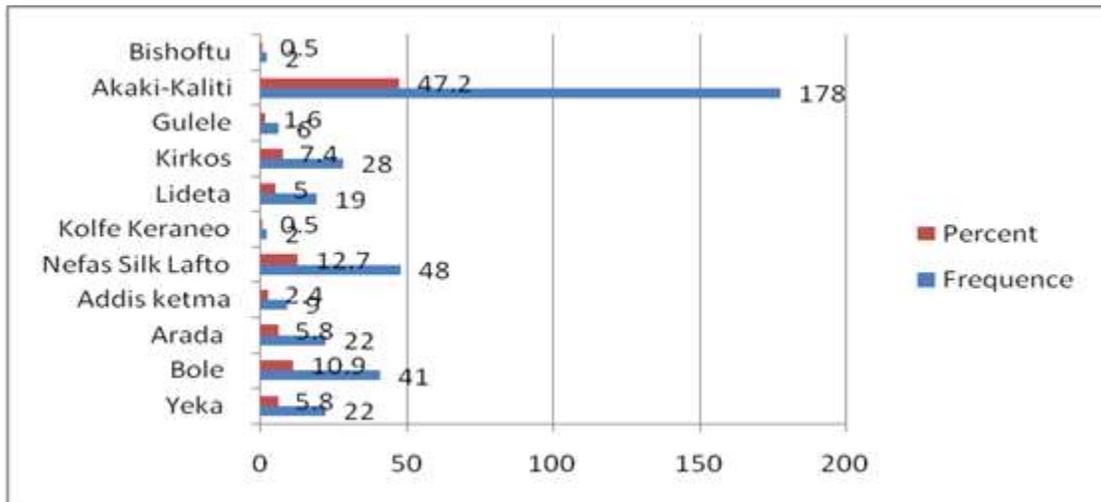
Table 12: Distribution of Renters by Reason

Reason	Frequency	Percent
Low rent	184	48.8
Proximity to work place	103	27.3
Lack of alternative	90	23.9
<b>Total</b>	<b>377</b>	<b>100.0</b>

Source: compiled from survey data

Renter public sector employees live in all condominium sites found throughout the city despite the reasons dictating renters to live in a particular condominium site. Based on the data collected from the study sites indicated in Fig.1 47.2 percent of the respondents work in the same sub-city i.e. *Akaki Kaliti* where the condominium sites under study are found. The rest of the respondents i.e. **52.8** percent work in all other sub-cities including *Bishoftu (Debre Zeit)* a closely located city of *Oromia* Regional State.

Fig.1: Distribution of Renters by work sub-city



Source: computed from survey data

## **5. Conclusion and Recommendations**

### **5.1 Conclusion**

Rent based and non-rent measures are employed to assess the level of housing stress. The rent based measures include the 30 only rule, the mean income analysis and non-housing indicators while the non-rent measures include housing crowding and distribution of renter households by place of work.

According to the traditional housing stress measure i.e. the 30 only rule three levels of housing stress are identified. The first one indicates those paying less than 30 percent of their gross salary for rent, the second those paying between 30 – 49.9 percent of their salary and the third group refer to those paying  $\geq 50$  percent. Only 38.7 percent of renter households are paying a rent amount less than 30 percent of their monthly income acceptable or considered free from housing stress whereas over 61 percent of renter households pay above the 30 percent threshold of which 48.3 percent pay between 30 – 49.9 percent of their monthly income implying cost-burdened/under housing stress while 13 percent pay greater than 50 percent are severely cost-burdened or found under extreme housing stress. In spite of the differences in typology of units and income the great majority of renter public sector employees are suffering from either of the two levels of housing stress i.e. cost burdened or severely cost burdened. (Table-6)

The comparison between the two income categories signifies that double income earning renter households are benefited from the double income (husband & wife) that enabled more number of renters to be free from housing stress. This is supported by the percentage of renter households free from housing stress i.e. 50.4 percent against 21.6 percent of the single income earners (Table-7). This signifies the more the source of income (in this case double earner versus single earner) the higher the percentage of households free from housing stress.

The mean income analysis indicated in Table -8 indicates the same regarding the percentage of renter households that pay less than 30 percent and above i.e. 38.7 percent and 61.3 percent respectively with the 30 only analyses. The mean income assessment signifies the inverse relationship between income and level of stress. As indicated in the same table the higher the mean income the lower the level of housing stress. On the other hand the mean income decreases with increasing percent of rent paid for housing. This is indicated by the mean income of the 30 to 49.9 and  $\geq 50$  percent category indicated in Table 8.

A housing cost burden impeded the capacity of renter families to account for other necessities that affect wellbeing such as food, clothing, health care, additional teaching aid materials for student children, saving, and recreation. 89.4 percent of the renter households admitted that they cannot meet other non-housing needs adequately after paying for housing. The multiple response analysis of rent induced indicators revealed based on the size of respondents saving is the most prioritized indicator followed by additional teaching materials for student children and clothing adversely affected by rent. This is also supported by the lower mean income of this group as

compared to those replied 'No' accounting for 10.6 percent and with a higher mean income as indicated in Table: 9.

The housing crowding analysis made according to the UN-Habitat standard the general room density as well as room density for every typology is found below the standard and signify that all renters are free from stress caused by overcrowding (Table,12). On the other hand 44 percent of the study population is accounted by children, but this population is unfortunate to enjoy a better life time prospects resulting from ownership tenure. Thus they are exposed to housing stress as a consequence of rental tenure.

Low rent 48.8 percent is found to be the governing factor for renting units in the study condominium sites. As a consequence of this 52.8 percent of the renter households work in all sub-cities including *Bishoftu* a closely located city of Oromiya. This implies over 52 percent of the renter public sector employees are forced to commute daily between their homes located in the study sites (Akaki-Kaliti) and respective sub-cities where their workplaces are located exposing them to stress caused by daily commuting.

## **5.2 Recommendations**

As explained in the conclusion the city is not comfortable for the majority renter public sector employees and tends to be exclusive. The findings based on rent induced and non-rent factors housing stress explained necessitate the implementation of the following to alleviate the housing problem of public sector employees.

1. Preferential Treatment for public sector employees to enable them get affordable rental house or own house. To this end:
  - a. Implement market based Housing Allowance: The Government/City administration is expected to solve the problem of housing stress encountered by renter public sector employees by introducing the payment of market based housing allowance for renter public service employees.
  - b. Introduce Alternative Housing Delivery Strategies: To alleviate the problems of rent induced and non-rent factors of housing stress for renter public sector employees the following alternative supply strategies need to be implemented.
    - i. Public provision of serviced land: this enables incremental construction of housing and preferable to renter public sector employees. In addition the strategy helps to free renters from rent induced housing stress.
    - ii. Housing finance: to mitigate the problems of finance faced by the majority public sector employees innovative and alternative housing finance systems and packages need to be introduced. Extension of housing finance to renter public

sector employees by formal financial institutions and organize and encourage housing microfinance and community funds to facilitate access to housing finance are appropriate measures to encourage renter public sector employees to be home owners and free from housing stress.

2. Inclusive city: Housing stress is a public policy issue. In the light of this Addis Ababa must be comfortable for all groups of people as working and living city. Towards this end the City Administration is expected to facilitate access to affordable and adequate rental housing to public sector employees to make the city inclusive.

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## **Self-Help Cooperative Housing Practice, in Merawi Town, Amhara National Regional State, Ethiopia**

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### ***Abstract***

*The purpose of this study was to investigate the opportunities and challenges of self-help housing cooperative approach in Merawi Town, Amhara National Regional State, Ethiopia. Cooperative housing is the immediate alternative to provide housing for the growing population in urban areas, especially low and middle income groups of the society. Household survey had conducted to assess opportunities and challenges of the existing practice of cooperative housing approach. Further, an interview, focus group discussion and observation were also conducted and the analysis integrated with the survey results. Different secondary sources from similar studies, books, proclamation, reports and internet are the major information used during preparing this study. The result of the study has shown that from 2014 to 2016, 2765 individual homes are supplied under the housing cooperative system. Moreover, the study identified opportunities of housing cooperative in the study area; the notable ones include the existence of regulation to guide the overall function of the cooperative, availability of local building materials, and motivation of community members in participation of infrastructure development. Although it has encouraging practice in the provision of housing to the residents, cooperative housing practice is challenged by absence of infrastructure and service, shortage of finance, and institutional challenge. It is recommended that the local and regional government should improve the functioning of housing cooperative approach.*

**Key words:** Cooperative, Housing, Housing Cooperative, self-help Housing Cooperative, Developed land

### **1. Introduction**

Urban centers are becoming the future habitat for the majority of Africans. The size of urban population nearly doubled in 20 years from 237 million in 1995 to 472 million in 2015. Africa's urban population is expected to almost double again between 2015 and 2035. Likewise, the total population in sub-Saharan Africa is expected to grow at a faster pace than any other region in the decades ahead, more than doubling from 823 million in 2010 to 1.9 billion in 2050(UNDES, 2014). The increased rate of population has given rise to difficulties in the provision of housing for many urban dwellers. The rate of formation of formal sector urban jobs is well below the expected growth rate of urban labor force. The poor affected by high unemployment, economic problem and the majority of the new comers will live in informal residents(Jenkins, Smith and Wong, 2007 ).

Housing is a human right; the lack of adequate housing has a significant impact on poor people's livelihoods affecting their health, social, political and economic outcomes. Achieving housing and habitat security remain challenges for the poor and for those involved in finding solutions to housing and habitat problems (SCC, 2005).

According to J. Stockinger & K. Edberg (2014), even if shelter is one among the three basic needs of human life, now days the provision of affordable housing for urban residents remains a challenge to most countries. The depth of the challenge is increasing in developing countries urban centers like Africa because of the shift of paradigm to high rate of urbanization. Vast numbers of households live in inadequate housing in slums and informal settlements because they cannot access better quality housing at affordable prices (L. Ntema, 2011).

So, to respond for the housing demand of urban residents' governments of developing countries take different housing delivery options to overcome the problem. Among these, shelter provision through Cooperative Housing approach is one of the notable strategies and many developing countries base their activities on self-help, in this case meaning self-construction or mutual aid with administrative and technical support from the government side (L. Ntema, 2011).

The increasing intensity of urban growth in the face of low level of economic development in Ethiopia makes housing delivery for low income households challenging. Historically, housing cooperatives had shown such an appealing progress in Ethiopia during the late 1970s and 1980s (Melesse, 2003). Cooperatives had enabled thousands of households from different income groups to have access to the basic elements of housing, i.e., land, finance, construction materials, technical and organizational services. Merawi Town is one of the town in Ethiopia, which is located nearer to Koga Dam Irrigation Project and Bahir Dar city becoming a potential town with high rate of urbanization because of mass population influx from the surrounding rural areas to the town. This creates high shortage of housing in the town. The total housing stock in the town until 2016 was 6521(including 197 public rental homes) while the household number were 10409 (Town Municipality Report, 2016).

The local government implemented cooperative housing regulation to tackle housing problems of the town. After Regulation no. 9/2013 has come with new dimension of providing land to housing through cooperatives, the residents started to get housing by this approach (Cooperative regulation no. 9/2013). However, still there are challenges to deliver houses to the cooperatives. These critical challenges are shortage of finance, lack of good governance, shortage of skilled manpower and delay in providing physical infrastructure and social facilities in the construction of cooperative housing in the town.

In the past, some studies conducted about housing cooperative housing system. Accordingly, Melese (2003), studied the impediments of cooperative housing in Bahir Dar from the institutional perspective; Wondimu (2011), Rapid urbanization and Housing shortage and the opportunities in Ethiopia and Dawud Ali (2012), self-help cooperative housing prospects and limitations in Bahir Dar. These studies specifically focused on large urban areas' practices.

However, small urban areas because of their proximity to the agrarian community, they are the immediate absorbers of migrants, and getting highly urbanizing. All the above researchers studied before the new regulation 9/2013. Moreover, the housing cooperative practice challenges and opportunities in such small towns are not well addressed by the studies.

In line with the above problem statement of the study, the main aim of this research is to investigate the existing situations and challenges of housing cooperative practice in Merawi Town. Moreover, identifying potential opportunities of cooperative housing strategy in the town is the other theme. Regarding to the structure of the paper, the above section is introduction, section two is literature review and section three dedicated to methodological aspects, section four contains the results and discussions while section five includes the conclusion and recommendations.

## **2. Review of Related Literature**

### **2.1 Concepts of Housing cooperatives**

Cooperatives are an autonomous association of persons united to meet their common economic, social, and cultural needs and aspirations through a jointly owned and democratically controlled enterprise (kimberly & Robert, 2004). A housing cooperative is simply, one type of cooperative that exists primarily to provide housing and related service to its members to live in through a cooperative way. The members do not have direct ownership title of the real property itself rather they own it indirectly through the cooperative corporation (Chikago mutual housing, 2004).

According to (cooperative housing toolbox, 2003), housing cooperative members have right include to elect and, if necessary, remove leaders, involved in critical cooperatives decisions, receive services and use of all common facilities in a non-discriminatory manner and responsibilities include, provide necessary capital, pay financial charges in a timely manner, comply with cooperative rules and policies, attend membership meetings and involved in the cooperative's committees and activities.

### **2.2 Potentials of Cooperative Housing**

Cooperative housing development has lots of advantages and potentials that can be exploited. It is known that governments especially in developing countries have been always striving to solve the housing problems in their own way especially through direct housing construction programs. But, this has not yet solved the problem after many decade long efforts and projects (UN HABITAT, 2006). So, searching for alternatives is not an option but a must and for this housing development through cooperatives is one of the solutions. Cooperative provides a special permanent type of tenure system and mobilizes local skills and resources (CHF, International, 2002; UN HABITAT, 2006).

It is a long story that governments build low-cost house through public housing programs with the low income group of the society as a target. But it has been observed that some of them have missed their target groups, the constructed units were affordable only by the middle or

high income group of the society (Melese, 2003). Cooperative give the power to decide the type of affordable house; low initial cost, low monthly cost since the aim of the institution is not profit and the cost to future new coming residents remains low in continuing types of cooperatives and cooperatives increase affordable housing provision through community empowerment (Kimberly & Jamie, 2005). Thus, cooperative society provides opportunities for millions of people to escape poverty in a sustainable ways (Moruf, 2013).

### **2.3 Challenges of Cooperative Housing**

Cooperatives are useful and important institutions that helps to lift up the life of low and middle income groups of the society to a better condition. The nature of cooperative varies from country to country. Some could be NGO supported others could be government supported or private sector (UN HABITAT, 2006). However there are many challenges that affect negatively the functioning of cooperatives. The first is related with culture, values and norms that play a huge role in societies and in many societies land ownership is given high value. Thus, the tenure arrangements in cooperatives may not be accepted even if it offers security equal to freehold title (UN HABITAT, 2006) There is also a desire for sole ownership of property and make personal improvements (CHF International, 2002). Finance is a serious challenge in the housing cooperative development process. Financial resource constraint is a major challenge for all cooperatives, especially to cooperatives in low income communities where members do not have the surplus financial resources to invest in a business venture, cooperative that has no immediate return or not related to their daily routine (Kimberly & Jamie, 2005).

In lending money financial institutions want to make sure that their loans are paid and they are not lending more than the members can afford to repay (UN HABITAT, 2006). Usually commercial banks are not interested to finance cooperative housing because they are not familiar with the system, blanket mortgage which is typically used to finance cooperatives (Kennedy, Jermolowicz, Lambert, Reilly, & Rotan, 2004). And also they view them as a high risk business (Chikago mutual housing, 2004). Lending institutions are not interested in cooperatives since they are not profit oriented business (Kimberly & Jamie, 2005). Members might not have the knowledge and skill of financial administration which is another challenge for the development. Moreover, Legal and Institutional framework creates influence on the success of cooperatives. Lack of this enabling legal and institutional framework is a serious challenge to cooperatives housing development (UN HABITAT, 2006).

## **2.4 Countries Experience of Housing Cooperatives**

### **2.4.1 Cooperative Housing Development in Egypt**

Egypt is facing a serious shortage of affordable housing. The concept of housing co-operatives in Egypt first appeared in the 1930s with the aim of providing individuals with appropriate dwellings. These initiatives were based on individual initiatives with some State's support. The financing of these developments came from personal and family savings. The General Building

and Housing Co-operative Authority (GBHCA), was created in 1954 to assist cooperatives in providing housing to their members (ICA, 2012).

The Law on Housing Co-operatives no.14/1981 specifies that housing co-operatives are exempted from numerous taxes and fees. Housing co-operatives receive a 25% discount on all state-owned land which could go up to 50% with the Minister of Finance's approval. The Egyptian Constitution requires the State to take care of the cooperative associations.

Accordingly the Housing Co-operatives Law no 14, 1981 stipulates that State will offer support, protection, exemptions and privileges. The Housing Co-operatives Law defines housing cooperatives as “democratic, popular organizations which aim at providing housing for their members, and the required services needed for integrating the housing environment. The Federation of Co-operative Housing is under the supervision of the Ministry of Housing. Each ministry is in charge of enforcing their respective law and has the authority to inspect the administrative and financial administration, and monitor the boards of directors, the managers and the employees of housing co-operatives.

#### **2.4.2 Cooperative Housing Development in India**

Housing cooperatives in India was highly accelerated after the establishment of National Co-operative Housing Federation (NCHF) in 1969. Today there is a highly matured type of organizational hierarchy from national to district level with clear roles and responsibilities. Housing cooperatives have come to be recognized as viable institutional mechanism for delivering large number of housing units throughout the country, especially for the low income group.

Housing co-operatives are financed by members' shares and savings and assistance from their federations or other financial institutions. The federations obtain financing from the housing co-operatives, the States and other co-operative institutions, loans from the Housing and Urban Development Corporation (HUDCO), the National Housing Bank (NHB), the Life Insurance Corporation of India (LIC), commercial and co-operative banks, deposits from members. State Federations borrow from funding agencies and make loans available to their affiliated primary housing co-operatives as well as individual members. They charge interest margins of around 1% to meet their administrative costs. The legal instruments for the housing co-operative sector are: State and Co-operative Societies Acts, which should assist in democratic and transparent management. This welcome initiative has encouraged other states to follow suit. In India housing cooperatives are seen prominent in the bigger cities like New Delhi, Mumbai, Calcutta and Bangalore and the housing cooperative movement has a great achievement intermesh of organizational structure ( Sedhain, 2005.

#### **2.5. Cooperative Housing Development Overview in Ethiopia**

Cooperative housing during the Derg period was the major public housing program and it accounted more than 30% of the total urban housing production from 1976 ( Eyob ,1993 cited

Melese, 2003 ). The legal framework for cooperative housing was initially laid by the 47/75 proclamation which nationalized urban lands made available for developments. After about eleven years in 1986 a new urban housing policy, proclamation No 292/1986 was declared which states that “residential buildings could be produced only by state enterprises, municipal governments, housing cooperatives and individuals who build dwellings for their personal consumption” (Zelalem, 2012).

This new urban housing strategies provided a substantial structure for the support of housing co- operatives including the provision of land, infrastructural services, building materials, finance, technical assistance and support to cooperative organization. (UN HABITAT, 2006). There are challenges of the cooperative housing: It excludes large portion of the society low income group with its two major requirements to benefit from the subsidized loan given by HSB and members shall have a formal and stable employment (Ashenafi, 2001). The program was slow 'the process of forming cooperatives, securing loans and acquiring a building permit were slow and administratively cumbersome The supply of building materials is the greatest constraint. (UN HABITAT, 2006)

The new government, EPRDF, gave emphasis to agriculture and prepared Agricultural development Led Industrialization (ADLI) as a development strategy for the nation. As a result, urban center were given little recognition as part of the overall development (Melese, 2003). The 1991 economic policy emphasis given to the market system and the roles that can be played by the private sector in the housing development (Regassa, 2015). The cooperative proclamation No.147/1998 is the most comprehensive and main legislation addressing the establishment and operation of cooperative societies. It is not a specific legislation; it is general proclamation for all Cooperative.

The 2012 Urban housing provision strategy document is the first strategy document enacted for the purpose of defining the housing sector. In this document land for cooperative housing development is allocated by government for free, before construction the government will provide infrastructure service up to the plot boundaries and the government will support and encourage housing cooperatives to extend the cooperation to other activities also understanding the role they can play in regulating market. Accordingly ANRS enacted a new legislation stating about self-help cooperative housing application to solve the existing housing problems in urban areas of the region. In line with this, the improved regulation No. 9/2013 is came up to scope out the way of forming cooperatives, the rights and duties of members, the principles bidding the overall functionality of the system, and generally how and who could get housing through forming cooperatives.

### **3. The Methods**

#### **3.1 Research Design and Approach**

In this study, descriptive research employed and the researchers used mixed approach in addressing the research questions raised. From mixed approach, qualitative approach dominant and less quantitative. Scientific research approaches classified into three: quantitative, qualitative and mixed research. Qualitative research seeks to describe various aspects of social and human behavior through particular methods such as interview, observation, focus grouping and so on. Quantitative research is the systematic and scientific investigation of quantitative properties and phenomena and their relationships. Whereas, mixed research approach involves collecting and analyzing both quantitative (numeric) and qualitative (descriptive) forms of primary data in a single study. Mixed research classified into three: quantitative greater than qualitative, qualitative greater than quantitative and both quantitative equal to qualitative approach (Creswell, 2003).

#### **3.2 Population and Sampling technique**

For this study, both probability and non-probability sampling techniques used. In Merawi town, there are 189 housing cooperatives having 4388 members. From this, 121 cooperatives with total member of 2756 households have gotten land, while the remaining 68 cooperatives (1632 members) are on waiting to get land for housing.

The target population of this study, from which the units of data collection and analysis are drawn, comprised those households who are members of housing cooperatives that have received residential land. There were 121 cooperatives that took land with a total membership of 2756 households. In order to select sample households from these population first 21 cooperatives from all sites (six sites) were chosen randomly. There were a total of 526 member households in the sampled (21) cooperatives. Secondly, 222 households randomly chosen from the 21 sample cooperatives by the following Kothari formula.

According to Kothari (2004), the statically sample size decision making formula to a population size ( $N=526$ ) is:

$$n = (z^2 pq) / d^2$$

$fn = n / (1 + n/N)$  if  $N$  is less than 10,000 : the sample size was 222 from the beneficiaries of housing cooperative members in the town.

From Probability sampling method; systematic sampling was used for those who are get land households from cooperatives. The reason to use systematic sampling is that the sampling frame is easily available and arranged and its result is representative because of its randomness. Thus, the samples were selected from the cooperative document list in which all the target population were listed. Non- probability sampling techniques used to draw sample units from government officials and experts seven members using purposive sampling techniques to get depth information about study area issue in many directions.

### **3.3 Data Collection and Analysis Method**

In order to achieve the objectives of research study, the data collection instruments like household survey, interview, focus group discussion, observation and documentary sources were employed. In the data processing procedure editing, coding, classification and tabulation of the collected data was used. The data that are generated through sample survey are categorized and coded for quantitative analysis held using SPSS. Frequencies, percentages, and central tendencies are employed to arrive at conclusions. Qualitative data collected from interview, FGD and observation were produce data in the form of notes, summarizing, categorization and structuring of data as per the category of respondents. Hence, the analysis didn't take into account of numerical data that would be analyzed through tools of statistical methods. To present the results of the data analysis through sample survey; Pie chart, tables, diagrams, figures were used. Data that are obtained through interview, FGD, observation and documentary search are analyzed qualitatively using interpretation and present in text form.

## **4. Results and Discussions**

Data analysis for the study has taken place according to thematic coherence. That means, the discussion is going by triangulating the data obtained through different tools in one explanation.

### **4.1 Existing Condition of Housing Cooperative**

As per the interview held with cooperative head Mecha Wereda, the process of housing cooperative registration should pass many criteria. Actually, their explanation has been triangulated with Leg.No. 9/2013. First, the residents receive Identification card that notify as they like and work in the town and it is mandatory to live in the town at least for 2 years. Housing cooperatives are organized based on requirements determined by Amhara National Regional State cooperatives formation Leg.No. 9/2013. Accordingly, the cooperators do not have residential houses registered with his or her name or never transfer to the third party, living for two consecutive years in the town, initially able to save 20% of housing construction cost in a blocked account and able to pay 30 % when he/she received the plot and the remaining amount during construction process, able to pay the compensation payment for his/her shared plot of land and other are included. All members are organized based on a housing cooperative member total number consist of 48\_50 in the year 2013, 14-24 members starting from 2014 (cooperative housing Legislation no. 9/2013).

As per data obtained from interview of cooperative office head, the right of the cooperative member include: knowing the capital, participation in the meeting, rising ideas and make decision, selection of cooperative leaders, following the capital and made auditing. The major responsibilities are; payment of monthly saving, participating in meeting, follows cooperative rules and regulation. According to (cooperative housing toolbox, 2003), housing cooperative members have right include to involved in critical cooperatives decisions, examine annual reports, receive services and use of all common facilities in a non-discriminatory manner and

responsibilities include, provide necessary capital, pay financial charges in a timely manner, comply with cooperative rules and board policies, attend membership meetings.

Based on FGD with cooperative office experts, in Merawi, there are about 189 housing cooperatives which 121 cooperatives (2756 members) could get their plot of residential land and 68 (131 members) are waiting for land delivery after passing cooperation stage. Almost all from cooperatives which got plot have already built their homes. The municipality, totally 563800 meters square of land delivered for the cooperatives. In the present time the size of individual plots in square meters is  $10\text{ m} \times 20\text{ m} = 200$  meter square.

In principle, all materials including wood, tin, cement, professional and labor cost to be contributed from each member and construct in cooperative way. However, in the study area, housing construction material provided by individual based on their potential. Even though members try to construct in cooperative way, in reality still houses construct individually and does not full fill the concept of housing cooperative. Most of the houses are made of wood and mud.

## **4.2. Opportunities of Housing Cooperatives in the Town**

### **4.2.1. Existence of Cooperative Regulations**

Nowadays, Ethiopia is experiencing high rate of urbanization by which housing shortage is becoming big challenge. To tackle the problem, the government is working with the community in enabling urban inhabitants to access affordable housing. In Merawi town housing shortage is worsen as of 2004 when land transfer to housing got inhibited. From 2004\_2013, almost for ten years, there was no any mode of land delivery system for housing in the region (ANRS Housing cooperative Leg. No. 9/2013). This causes even potential builders were unable to get access of residential land. The newly coming residents to the town were sharing the existing residential housing stock.

In such critical housing problem situation, the ANRS has come with new regulation called regulation 9/2013 which states all new and old housing cooperatives' could get residential land provision and house construction description. This regulation paved the way how urban residents legally make cooperative for housing and how the government provides land for the cooperatives. Moreover, it describes the roles and responsibilities as well as the privilege of the members fulfilled under housing cooperative.

Data collected through interview revealed that the coming to effect of this regulation and other proclamations about how to form cooperative, who to be the right person to make cooperative, the role of the local government and the cooperative itself is lighten housing provision system. Under this strategy, from 2014-2016, there are about 2756 members through housing cooperative who have built their residential homes while about 1632 urban residents are waiting the municipality to provide plots.

#### **4.2.2. Availability of Local Building Materials**

According to the researchers' observation and data collected through FGD revealed that Merawi town has an opportunity in access of eucalyptus tree by which almost all cooperative housing units are built by. Mecha Wereda in general and the surrounding rural kebeles of Merawi Town in particular are known for plantation of huge eucalyptus tree. So, cooperative members in the town have better advantage in accessing and in terms of low price purchasing for their house construction. To build a house using wood and mud, the price set is 38, 000 (thirty eight) thousand. This amount is set by considering the availability of eucalyptus tree. Moreover, barley and Teff crops residues are supplied by the surround farmers with relatively low price.

#### **4.2.3. Motivation of Community Members to take part in Infrastructure Development**

In Merawi, it is not only the government which is responsible to provide socio-economic infrastructures and utility services, but the cooperative members share a considerable amount of budget. According to the municipality rule the cooperatives contribute 30% of budget while the government to cover the remaining 70%. But, according to the data received from interview, the society could collect 50 % and more of infrastructure budget. The motivation of the society in the town in general and the cooperative members in particular are highly to work together and contribute considerable share for infrastructure provision and development in new sites where cooperative housing units are developed. The advantages of housing cooperatives include promote saving culture, creating cooperation, sharing of knowledge, labor and capital, create good social capital and minimized labor and material cost or promote wise use of resource

### **4.3. Challenges of Housing Cooperatives in Merawi Town**

#### **4.3.1. Challenges Related to Forming Housing Cooperatives**

The interview conducted from municipality head and FGD with cooperative experts, showed that the tendency of the rural inhabitants , specially the youth , to have urban land by dealing with some corrupt kebele administrative leaders, receive Identification Card that notify as they like and work in the town for two years. This situation was challenges in one hand by taking the chance of land delivery to the real residents/potential cooperative members, on the other hand takes time to screening. The data collected from different respondents revealed keble administrators were busy in issuing false Identification Card and were criticized as Identification Card sellers. Moreover, such leaders were committing corruption by assuring false marriage.

Beside to the above challenges, migration of huge number of rural inhabitants in the woreda were newly coming and settled to the town intending to develop urban property by getting land through cooperatives. In such a way, the urban land planned as residential portion is getting completed before serving there even if they could payment for compensation and building cost saving.

### 4.3.2. Challenges Related to Infrastructures and Services

As the existing situation, the cooperative houses are being there without provision of electricity, water and other utility services. So, even if there are many buildings, still the residents cannot live because of inaccessibility of basic infrastructure and service. According to interview held with the municipality and FGD held with municipality experts; the town revenue which is collected through municipal service fees not enough to deliver infrastructure like road, electricity, water and others.

The respondents, especially the committee members who participated in FGD stressed that the land provided to the cooperatives without being serviced. Land without water, electricity, road and other amenities were challenges by itself during construction and after.

The severity of problems get bigger even the people contribute across cooperatives to cover the cost of transformer, but the government not takes commitment by being on the side of the community. So, these homes which are still under residence are being used the place where illegal human trafficking place of hibernation for their, and in general spot of urban crime. On the other hand, the municipality is not clear the land planed to be open space and social service purpose from their departures. This invites the residents in cooperative houses inaccessible from different social service. Generally, even if the people are being beneficiaries under the housing cooperatives; inability of the municipality to provide infrastructure contributes for most houses to be vacuum and existence of crime.

#### Plate 4. 1 Challenge Related to Water

From different infrastructure and services in Mecha woreda there is shortage of water reservoir and electric transformer.



Source: Field Survey, 2017

As we have seen in the above plate there is tape water remote from housing cooperatives. During FGD with cooperative committees to fiche water from tape water the cooperatives residents use carts and they assured that more than 1200 birr (5 birr per jar) monthly cost for water. Severe problem not only housing cooperatives but also the town because lack of water tanker. So, because of such costs, people prefer to stay in rental house rather than their home.

### 4.3.3. Financial Challenge for Housing Cooperatives

The study revealed financial deficit was the crucial challenges for most of the cooperative members or the cooperative at all. The source of finance for the cooperative is member's contribution, but some members were unable to save the initial payment to form cooperation. Each member in a cooperative should save 11,400 birr in a common blocked account of cooperative housing to get legal certification of cooperative as organization and 19,000 birr to access land for housing. After cooperative housing had obtained land for housing, each members of the cooperative shall pay the lease price and compensation to the displaced. Thus, these all financial requirements are need to be allocated through extended saving by the members.

Table 4.1 Source of Finance for Construction

Source of Finance for Construction	Percent (%)
Own saving	77
Government	1
From Family	22
Total	100%

Source: Field Survey, 2017

As indicated in table 4.1, 77% of respondents finance source was from own saving, 1% of respondents were from government, 22% of respondents were finance source was from family. As the interview held with the manager of Amhara credit and saving institution (ACSI), there is no special framework and to supply credit for cooperatives. Institutional integration is very weak. Data obtained from FGD with cooperative committees, ACSI lend money for individuals to full fill the housing material after the construction of the houses based on their salary scale if they are civil servants and lends money one third of the salary for only three years. There is no financial institution to lend for housing cooperatives in the study area.

Plate 4.2 Housing Condition on the Same Cooperative site



**Source:** Field Survey, 2017

The above plate shows that in the same site there is a difference in the standard of the housing because of lack of finance to deliver construction materials. Majority of the residents built their homes with mud and wood and some others were building with standard materials like cement.

#### **4.3.4 Land Provision and Planning Challenge**

The municipality arranges land from farmer land holding whose land is included to urban plan boundary. To takes farmers land holding the municipality should pay compensation based on rules for compensation. Most land holdings are covered by eucalyptus tree is paying compensation for such plantation is very costly.

Each member has responsibility to pay compensation for his/her housing plot of land. According to the data collected through FGD and interview, those cooperatives who got land in 2014 had not pay compensation, i.e. the municipality covered all compensation related payments and transferred land for housing cooperatives. In 2015, the contribution per individual members was 5000 ETB and 2016, the payment rose to 9000 ETB. In 2016/2017 the compensation contributed by each member raised to 18, 0000 birr.

Because of measurement inaccuracy, the land for some cooperatives was found not enough to the whole members. The plan of the land prepared by the municipality for each individual in meter square on the paper and on the ground is mismatch. There is shortage of skilled manpower in planning in the municipality.

#### **Plates 4.3 Construction of Flour Factory and Gully Areas in Housing Cooperatives**



**Source:** Own Photo Captured during the field Observation, 2017

Plates 4.3. Shows that the flour factory, found in the housing cooperatives site. Data collected through FGD from housing cooperatives committee there was great challenge related to land use planning. The municipality has not give attention the site of the cooperatives. So, in the present time the municipality provides land for different factory like, flour factory and for raring animals nearer to the housing cooperatives site. In addition to this, the municipality provides land for residential in gully areas that dangerous for people's life since, there is no flood canal. The municipality has not taken measure to prevent that environmental hazard sites.. Even if, Ethiopia

urban housing provision strategic package (2013), claims the responsibility to supply developed land for cooperative housing is reside to the government, it is not practically realized to cooperative housing in the study area..

#### **4.3.5. Institutional Challenges**

The authority to provide support for the organization of cooperative housing and accomplishing diverse procedures to them resides under the Wereda agriculture and environmental protection office. The responsible government departments which directly involved in the housing cooperative strategy are the cooperative office and the municipality. On the other hand, CBE and ASCI are financial stakeholders in the housing cooperative strategy. As challenges, there is lack of coordination among such stake holders in providing service the housing cooperatives. There is no a system the housing cooperative, can get credit access directly either from the bank or from ACSI.

Amhara National Regional State Cooperative Promotion Agency has been served as the top of all cooperative societies in the region and housing cooperative is part and parcel of the general cooperative societies not taken more of the time as major agenda. Institutionally, there is no strong arrangement to monitoring and evaluate the performance of housing cooperatives and to be financially empowered and stable organization by itself. This results the poor operating environment of housing cooperative societies. In Merawi, the Woreda agriculture and environmental protection office provide support for the organization of cooperative housing and accomplishing diverse procedures to them. The office also supports different cooperatives other than housing. However, in India, housing cooperative has strong organizational structure at national, regional and district level with clear roles and responsibilities (Sedhain, 2005).

### **5. Conclusion and Recommendation**

#### **5.1 Conclusion**

This study assesses the existing situation of cooperative housing, opportunities and challenges to provide housing for Merawi town dwellers. ANRS cooperative housing Regulation No. 9/2013 put specified detail criteria about the eligibility of participating in cooperative housing strategy of home provision. The research result indicated that cooperative housing is a vehicle to considerable town residents' access to a house with in a short period through saving. The housing cooperative is self-help in that the members should contribute labor and cover 100 % building cost including the compensation to be paid for farmers. Thus, considerable achievements had been made in the period 2013 up to 2017. There are opportunities for these achievements. Existence of cooperative legislation (Leg.No. 9/2013): The new legislation puts in detail how urban residents legally make cooperative for housing and as the government to provide land by allotment method for the cooperatives. The other thing is availability of local building materials: *Mecha Wereda* in general and the surrounding rural *kebeles* of Merawi Town in particular are known for plantation of huge eucalyptus tree and other housing materials. So, cooperative members in the town have better advantage of purchasing by relatively least cost.

Motivation of cooperative members in participation of infrastructure development is another opportunity that can add value to provide housing for cooperatives. However there are challenges that negatively affect the well functioning of the housing cooperative. Financial deficit was the crucial challenges for most of the cooperative members or the cooperative at all. The source of finance for the cooperative is member's contribution, but some members were unable to secure the initial payment to form cooperative. Corruption is another challenge that deter housing cooperatives not to play in full potentials of it. Members might bring false residential ID. Card by negotiating with the kebele leaders of the town. Moreover, the land transferred to the housing cooperatives without being served services and the responsible office to organize the housing cooperatives held under the Rural Development Office. And the office has no any coordination with different institutions. This affects the housing cooperative strategy negatively.

## **5.2 Recommendations**

In order to curb the above challenges, the researcher forwards the following recommendations:

- Institutional arrangement: the two main government institutions which directly involve in housing cooperatives are the cooperative office and the municipality. Departments like land development, infrastructure provision and planning are under the municipality while the cooperative office only is under the control of Rural Development office and found very far away from the municipality. So, to increase the integration capability of these offices, the cooperative office should be re arranged being under the municipality as one unit.
- Solving the financial deficit of the cooperatives: beyond the personal contribution of cooperative members, there must be a strategy that the cooperative could get credit so that to build the homes and to be paid in the long run. ANRS should establish framework that the cooperative members can get credit service from ACSI and other creditors like banks.
- Infrastructure and service provision: Mobilizing the community above all is democratic approach to solve infrastructure, land preparation and compensation related problems. The community can contribute financial share that help the municipality provide basic services in the cooperative sites. The government should give emphasis to provide serviced land with coordinated with the local government institutions like electric power corporation, water, road development offices.

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# **Indigenous Knowledge for Good Governance and Development: Unleashing the Wisdom of the Gada System**

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## **Abstract**

*Indigenous knowledge is a source of contemporary world and a cradle of proud for the nation that hosts and leaves a legacy for the future generation. The Gada is the legacy of the Oromo to Ethiopia in particular, and the humankind in general, because it has been given recognition by many scholars of developed countries taking it as a source of democracy, governance and development. Consequently, it has been registered as the intangible world heritage by the UNESCO. The objective of this study is, thus, to uncover the partly unleashed wisdom in the Gada and indicate the role it has in governance, democracy, power succession, and development. To bring the multiple realities in the Gada to the sight of readers, ethnographic research design was utilized, and this design helped the researcher to deeply discuss the wisdom. The targets of the study were some Abba Gadas, Hadha Sinqes, and some elderly people in the east, west, south and North Oromia. To gather the data, qualitative approach was used as the study adopted ethnographic design that seeks in- depth information with the help of gatekeepers that assisted the researcher entered into the society. The key findings of the study revealed that the Gada system, which is the forerunner of the contemporary democracies has been affected by different religious practices, and it has almost lost its flavor in many parts of Oromia. All the Abba Gadas and Hadha Sinqes agree that riots do not occur during power transfer if the Gada is a system of governance. As the Gada provides duties and responsibilities in terms of ages, all citizens know their roles in the society. Many of the respondents indicated that it is the system of humanity consisting of all the required provisions for children, women, men, elderly people, animals, and environment. The Hadha Sinqes and the Abba Gadas particularly disclosed that it is a system that mediates between the Creator and the Mother Earth. This belief makes the Gada share some elements with the philosophy of the ancient Greeks. Some elderly people also expressed that the Gada is a black philosophy that has a lot of abstractions to be explored and put into practice for the good of humanity. Some other Abba Gadas also explained that due to impositions on the Gada, the forest cover of Oromia has deteriorated, and many wild animals left their original places. Adding, they said that the possibility to generate hard currency from tourists has been reduced. The Gada system is against the cutting of big trees unwisely, and if it is required to be cut, instead of one tree two trees should be planted. One of the famous Abba Gada elders underlined that the Gada is a conflict medicine and it has to be adopted for the country as a system of governance if we want to manage conflicts and live in a harmony. He further noted that elderly people hold discussions under the sycamore tree (Odda, which is referred to as a venue for tranquility) to draft laws, reconcile conflicts, discuss different social*

*issues. From these findings, it is possible to conclude that the Gada is a developmental governance system that give regards to all human beings irrespective of color, religion, and any other differences. Based on the key findings, the researcher recommends that the Gada system has to be nurtured at all levels to put it into practice and use it as a social mortar. It can also serve as a system that boosts the interdependence and economy of the region in particular and that of the country in general. Due to this all- touching advantage of it, the eyes of all concerned leaders and citizens should be kept on it, and seek means to protect it unleash its untouched wisdoms to contribute to the development of the country.*

**Key words:** Gada, cradle, unleash, Hadha Sinqe, Odda, Abba Gada, indigenous, knowledge, legacy, democracy, development, sustainable, power succession, governance

## **1. Introduction**

Wisdom in the indigenous knowledge can be seen as an indigenous knowledge that serves as a basis for living. “The wisdom in the Gada surpasses what people think in the usual way; its abyss is not explicable through the usual way of thinking” (one of the Oromo elders). The contemporary world has its origin in the practices and values of communities who walked this earth earlier. What was not recognized in the past in most cases appears in a different form in the current world serving as a record of knowledge. Similarly, the yesterday’s leadership and development were the reflections of the then indigenous knowledge and values due to the fact that life of communities depends on the way people think, behave, and create.

Indigenous knowledge, which is known by different names like: folk knowledge, people knowledge, traditional wisdom, and local knowledge, is unique to a given society to practice indigenous leadership skills that serve all (Nakashima and Bridgewater, 2000). This knowledge passes from generation to generation mainly by word of mouth and cultural rituals.

In Africa, many scientific and social researchers associated with the formulation of development assistance policies are now beginning to recognize the role that indigenous peoples' and their knowledge of the ecosystem can play in the success of development and governance (Lalonde, 1991). Despite the inherent incompatibilities between indigenous knowledge systems and the scientific knowledge system, an important challenge is to find innovative mechanisms to integrate both systems for mutual benefit (ibid). From what Lalonde said, it is apparent that there is a call to put the two ends together.

Emeagwal (2003) has reflected that African indigenous knowledge is a source of wisdom for the hosting communities in specific and diversity mark and resource for Africa and that it is unnoticed and unutilized to serve as the future hope of Africa. Besides, Emeagwal showed that there are theoretical and methodological puzzles, most of which would best be resolved in structured discussions within an institutional framework, in the context of curriculum and formal discourses, and manage the creeping westernized alien cultures towards the indigenous knowledge.

If indigenous knowledge (as called conflict medicine by Zartman, 2000) is supported by education, the benefit to be gained is more meaningful, and the indigenous societies will be motivated to use their indigenous knowledge for creative reasons, and help them to gain enhanced respect for local culture and wisdom (Zartman, 2000). From what Zartman said, it is possible to infer that the education system has to help the indigenous knowledge grow and enhance the overall development, rather than planting alien education system that adds little value to the existing practices of societies.

Asmarom (1973) discussed that there are few institutions in the world that afford human beings a wisdom that has all the potential to manage challenges and create harmonious relationship among people. He adds that Africa has a lot of indigenous knowledge systems that can be a source of wisdom for the world, which include, to mention very few, like: Ibo, Kikuyu, Massai, and Nuer, who rely on their traditional practices in leading.

In Ethiopia, diversity management is the key issue in order to integrate the indigenous knowledge and initiate and sustain multifaceted development. The very thinking of the Federal Democratic Republic of Ethiopia (FDRE) is managing diversity for development. For example, the Ethiopian Herald (2015) issued on August 25, 2015 underlined that indigenous knowledge is an integral part of the development process of local communities, and it is an underutilized resource in development process of developing countries like Ethiopia. Adding the newspaper illustrated that learning from indigenous knowledge, by investigating first what local communities know and have, can improve understanding of local conditions and provide a productive context for activities designed to help the communities.

It was also emphasized by the newspaper that the agenda of sustainable development can be doable if attention is given to the indigenous peoples largely owing to their sustainable development practices. That is why indigenous knowledge and institutions become central to debates about sustainable development because of the way in which such knowledge has apparently allowed people to live in harmony with nature for generations.

The usual thinking has been a bottleneck for the unleashing of personal and local wisdoms like the Gada, and as a result, great losses have happened to the people and the national pride and development. Even though the Gada has been appreciated by many national and international

scholars, very little attempts have been made to uncover what it has for the current world and utilize it.

Studies by Lemessa (2011a) Zartman (2000) and Asmarom (1973) revealed that societies cannot effectively manage conflicts when there is no attempt to see the thing we have anew and look for the human- friendly system. They have also discussed that where there is a comprehensive system that gives attention to all age sets, problem management is effective and development is initiated. However, in these studies, the idea of reviving the Gada in a comprehensive, and developmental way has not been given due attention, which is the target of this study.

Similarly, Assefa (2005) carried out a study on the role of the Gada in conflict management and concluded that it is a premier strategy to reign peace and order through its accommodating principles. In its recommendation, this study indicated that other researches like this one can relate the Gada with governance and development and can contribute something to the body of knowledge.

In a nutshell, the gaps that the researcher observed in these studies, the scant attention given to the Gada in terms of development, succession of power, democratization process, and the life experiences of the researcher have necessitated this study.

What we are now is the result of the wisdom unleashed mainly from us. Our origin and practices have something to provide us with to do the current reality in a new way. Many people fall back to think about the past and perform what the current reality needs. The researcher always thinks that we have to use camera eyes and see what is in people. It is with this mentality that the current study has got this shape and meaning. Thus, before looking at others, we have to look into ourselves and what we have and unleash the new reality in us for the reality and world of now. This thinking and belief are the very rationale for the undertaking of this study. “We have something precious (the Gada) for the world order of democracy and peace development” (the researcher).

The general objective of this study is to assess the role the Gada plays in enhancing democracy, succession of power and development and generate some recommendations.

Based on the objective of this study, the following questions have been set to gather data for this study.

- What wisdom is there in the Gada to develop and sustain democratic principles in Oromia?
- What are the contributions of the Gada towards practicing power succession in Oromia?
- What is the future role of the Gada to enhance the developmental strategies in Oromia?

## 2. Review of Related Literature

### 2.1 Meanings of Afan Oromo Words

**Abba Gada:** a leader in the Oromo democratic governance system

**Daballe:** a citizen with grade between 0 and 8 years

**Folle (Gamme Titika):** a child with the age between 8 and 16

**Gada:** a democratic governance system, which is a forerunner of all democracies. It is also an age range between 40 and 48 at which a person starts leading.

**Gada Mojji:** a person with the age range between 64 and 72. This is age of retirement from working as active Abba Gada. At this age, a person takes care of the environment.

**Hadha Sinqe:** The first lady, who holds a stick (sinqe) for decision-making purpose

**Qallu:** A wise person or a prophet who mediates between Waqa and people

**Qallu institution:** An institution which is entrusted with the responsibility to enhance peace and

### 2.2 The Gada as Democratic Social Organization

The peoples in the Horn of Africa in particular and the entire continent in general have been struggling for the democratization of their governance, leadership, and politics and striving to uproot authoritarian regimes. As a result, many, including Ethiopia, have recorded significant changes in establishing citizen friendly governance systems mainly by giving due regard to their local institutions like Gada system (Lemmu, 1992). Thus, it is necessary to discuss the decisive role that the political culture plays in influencing the leadership, governance, and development processes.

The Gada, which is inseparable from the life of the Oromo, is the indigenous traditional governance system developed by the Oromo and centering the benefits of the society on political, economic, social, cultural, environmental, and religious institutions (Asefa, 2012). Asafa describes the Gada as all-touching and the major cause for development and conflict management. Adding, he illustrated that Oromo were under one Gada administration in an all-encompassing democratic republic even before the few European pilgrims arrived from England on the shores of North America and later built a democracy. This system has the principles of checks and balances through the periodic succession of every eight years, and division of power among executive, legislative, and judicial branches, balanced opposition among the five parties, and power sharing between higher and lower administrative organs to prevent power from falling into the hands of tyrannical ruler (ibid).

The Gada is the most comprehensive indigenous African institution, which is rationale, creative and a base for the contemporary world democracy; it has a capacity to unite and mobilize people into a formidable and invisible force to accomplish any task with the result in mind (Bahrey, 1954).

The Gada has been structured in such a way citizens in the different age groups play their role for the development of Oromia, and hence Ethiopia through the creation of integration, and decentralizing the system of governance. The Gada formalizes age grades through which corporate age sets operate together (Zartman, 2000). The Gada age grades are classified as: Daballe (0 year- 8 years), Folle (Gamme Titika) (8 years- 16 years), Qondala (Gamme Gurguda) (16 years- 24 years), Kusa (24 years- 32 years), Raba (32 years- 40 years), Gada (40 years- 48 years), Yuba I (48 years- 56 years), Yuba II (56 years- 64 years), Gada Mojji (64 years- 72 years), and Jarsa (72 years- 80 years) (Asmarom, 2006, and Zartman, 2000). As can be seen in the classification, all age grades have well- defined purposes. To become a leader, one has to take 40 year training.

### **2.3 Gada and Power Succession**

Power transfer in the Oromo depends on the saying: "We receive power with blessings, we lead with blessings, and we give our power to others with blessings." This saying underscores that the elected people are meant to serve their people with willingly with the spirit of monist. It is the assignments attached to the age grades that keep someone in leadership position. Asefa (2012) says that the Gada system bestows age- based responsibilities on the citizens dividing the stages of life, from childhood to old age into a series of formal steps, each marked by a transition ceremony defined in terms of both what is permitted and what is forbidden. An individual enters the system at a specific age and passes through transition rites at intervals appropriate to the passage from childhood through full adulthood to mature age or leadership age (Asmarom, 1973). It has emphasized that citizens come to power through the provision of the Gada and give power to the coming generation so that the one in power will assume another better position that is in line with his Gada grade.

### **2.4 Gada and Environment**

The Gada and the environment are inseparable as its principle underlines the balance in the 'Mother Earth.' The Gada philosophy argues for nature- friendly environments (which are the concern of all), which are integral to the rituals and community celebrations at ritualized natural sceneries like sacred springs, mountains, trees, groves, and forests for the protection of nature in everyday life (Lemessa, 2012). Lemessa (2014) has also indicated that despite the recent development efforts prove that the indigenous knowledge systems are widely recognized as genuine and environmental care giving system. Lemessa appreciates the role of the indigenous knowledge in saving the environment with its diverse creatures.

Another study by Lemessa (2014) again indicates that the Oromo believe that the forest is a natural sanctuary for all creatures and the give all the necessary cares to sustain it. Lemessa said that the Oromo take care of the forest as religions handle their worship venues. He briefly stated that enhancing the Gada means enhancing the natural cover of the earth. He also expressed his worry that forest covers have diminished with the advent of western religions by the name modernization, because they destroyed the big trees particularly the Odda.

Contrary to the indigenous knowledge systems, modern knowledge systems are often viewed as catastrophe to the natural ecosystems and local knowledge systems that have been inbuilt there (Dove and Carpenter (2008). This issue attracts the attention of environmentalists in order to make interventions a wise integration of the two knowledge systems.

## **2.5 Gada and Conflict Management**

The Gada system is a unifying system irrespective of any preconditions. Touching on its role of unification, Zartman (2000) wrote that many African researchers have looked into the reality in the Gada believing it can serve as one of the ‘African Conflict Medicines, and many African countries have started browsing their wisdom system to manage conflicts and come together for integrated development.

Amanuel (2014) disclosed that indigenous knowledge plays a pivotal role in keeping peace and order taking the case of Kenya and Ethiopian Oromo divided by a boundary. Amanuel indicated that mystified realities can be transformed into a doable reality if there is a creative conflict management system like the Gada.

Asmarom (1973) discussed that the Qallu leaders are the most rooted conflict mediators in Waqefanna of the Gada, an African indigenous monotheistic religion and mediators in conflict. Qallus pacify when there is a conflict among different people through the mediating speech they make bringing the people in conflict. They have a responsibility to mediate conflict, and conflicts that failed to be resolved at lower levels are referred up to the national Qallu councils for mediation.

The Oromo people make all level best efforts to manage conflicts on three different levels: prevent social conflict from occurring, if it occurs, to prevent it from escalating; and if it escalates to make peace between the conflicting parties through the intervention of the Jarsa Biya (community elders) (Zartman, 2000). The ideological themes underpinning the processes of conflict management are effort exerted to manage conflicts; truth (dhugaa basu- giving witness) (unearthing the truth about the causes of the conflict); justice; punishment (guma) (payment for the wrong since the Oromo do not have jails or the death penalty); and reconciliation (keep harmony between humans and nature) (Asmarom (1973). These govern the construction of political structures, (the Gada system), religious customs (the Qallu system), social structure (the eldership or jarsa biya system), and the elaborate processes of reconciliation (arara), systems that the Oromo developed to manage conflicts (ibid).

Customary institutions are implanted in the culture, values, traditions and history of societies, which host them and are entrenched in the socio-political and economic contexts of a given society and serve as conflict medicine and ‘heal’ African countries in conflict (Zartman, 2000).

## **2.6 Gada and Development**

The way leadership is defined shows the line of thought and development level of societies. That is why leadership and development are not separated entities that stand alone. Development without citizen friendly leadership style (indigenous leadership knowledge) is not sustainable. That is why writers like Bass (1990) stress the need to examine definition to leadership before introducing any development approach. Briefly, Bass underlines that where there is no fair treatment and inclusive principle, appreciating the gross of the development would not suffice; it can rather be one of the causes of conflicts. The saying that says “Think globally, but act locally” underlines the role of indigenous knowledge that creates a harmony between learning from other contexts and customizing into indigenous leadership system.

## **2.7 Gada and Democratic Government**

The Oromo had a form of constitutional and democratic government known as the Gada. Although the Gada system is a well known democratic organization works are very scant on it. It is only the current issue that some works are coming out. During the sixteenth and seventeenth century, when various peoples were fighting over economic resources in the Horn of Africa, the Oromo were effectively organized under the Gada institution for both offensive and defensive wars (Asmarom, 2006).

Hackman and Johnson (1996) defined democratic government associating with increased follower productivity, satisfaction, involvement, and commitment. Member satisfaction and nominations for leadership are greater under democratic leadership (Bass, 1990; Stogdill, 1974). Participation is a core characteristic of democratic government; and the ideal of it is friendly, and encourages participation (Lutharns, 1996).

## **2.8 Gada and Decision- Making**

The Gada is founded on the principle of consensus based decision- making. In the process of decision- making perspectives are encouraged and interpreted from different pint of views.

Jeylan (2004) reported that the Gada has a provision to make decisions with the help of Abbaa Bokkuu (carrier of the scepter holding a position similar to that of a magistrate), Abbaaa caffee

(father of legislative assembly), and Abbaa Alangaa (Attorney general). These institutions work together in the process of legal administration, drafting, peace building, social transformation, and integration of the society.

Asmarom (1973) discussed the Gumi Institution is the highest and the most important indigenous social organization. The author is succinct in putting the descriptions of this body as: “The National Assembly”, (Gumi) is made up of all the Gada assemblies of the Oromo, who meet, once every eight years, to review the laws, to proclaim new laws, to evaluate the men in power, and to resolve major conflicts that could not be resolved at lower levels of their judicial organization. Through the Gumi assembly, Abba Gadas revise the existing legal framework and

come up with the revised version so that it fits with the current context. It is the most democratic system since power rests on the people and all sections of the nation are directly or indirectly represented in the council (Caffee).

The Gumi Gayo of the Borana Oromo is the colorful and illusive event, where all people of indigenous wisdoms come together to discuss how to reign peace among the Oromo people and the neighboring ones to sustain mutual trust and development (Gumi Gayo Assembly, 37). Gumi Gayo is peace- making venue, where all social concerns are discussed, and new alternatives of conflict management strategies are generated. Abba Gadas lead the Oromo people with the principle “We do want everyone to live freely, legally and equally in our territory, enjoying the benefits of this land with us. But we do not tolerate any nullification on our inalienable democratic rights provided for us by the creator and the law of humanity” (ibid). This quote signifies the dictating principle of the Gada System that gives priority to peace, co- existence, and good governance that nurtures development.

## **2.9 Indigenous Knowledge**

Indigenous knowledge emerges from ancestral teachings that are spiritual and sacred in origin (Ermine, 1995). It exists in our visions, dreams, ceremonies, songs, dances, and prayers. It is not knowledge that comes solely from books. It is lived knowledge, experiential knowledge and enacted knowledge. Indigenous knowledge is different from other areas of knowledge like scientific knowledge, or historical knowledge, or art knowledge, which are open to people of any ethnic background. But indigenous knowledge is explicitly attached to particular ethnic groups as cultural knowledge of groups classified as indigenous.

Absolon (2010) reported that elders are cornerstones of indigenous knowledge, culture and heritage. Without elders, it is hardly possible to preserve indigenous knowledge. Oral traditions, languages and historical accounts would be lost without the wisdom, knowledge and experience of elders. What the traditional people say is of value in settling conflicts and bringing the community members together.

## **2.10 Some Gada Centers**

Melba (1998) discussed that there are different Gada centers where Oromo people come together and draft laws. The Gada centers are marked by the Odda tree (sacred meeting ground for the enactment of many Oromo ceremonies), which serves as a place that hosts all irrespective of any discrimination.

Some of the major Gada centers, just to cite the very few, are Odaa Nabee (East Shewa), Oda Rooba(in Bale), Madda Walaabuu (South-Western Bale), Oda Bisil (West Shewa), Oda Bultum(West Hararge), Oda Bulluq (Horo Guduru) and Oda el Dallo (Liban). These are being rehabilitated after the Gada has been registered as one of the intangible heritages of the world.

### 2.11 Gada as a Means of Accommodation

The Gada does not discriminate among people. It is the system that gives attention to all irrespective of color, place of origin, culture and religion. The adoption is undertaken by the Abba Gada on behalf of his clan. Before adoption, animal(s) is slaughtered and a knife is dipped in the blood of the victim and planted in the assembly, repeating in chorus what the Abba Gada says. “I hate what you hate, I like what you like, I fight whom you fight, I go where you go, and I chase whom you chase (Hassen 1990). This oath is binding and unbreakable on both sides and the adopted becomes the “son” or daughter of the people, and the blood symbolizes brotherhood and the fight for human rights (Hassen, 1990).

### 2.12 Analytical Framework of the study

In this analytical framework, the different important features of the Gada have been indicated. To analyze the wisdom that the Gada has for the power succession and development have been described by showing the interfaces between the features and the Gada system. If one understands these features, he/ she can understand the role the Gada plays in the lives of people. The data gathering and analysis have been dictated by these provisions of the Gada.

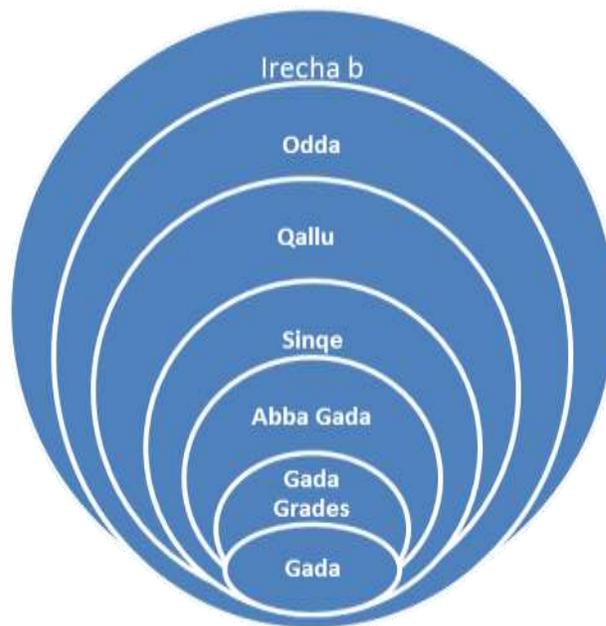


Fig 1: Developed by the researcher based on his experiences and readings

**Gada Grades:** The Gada grades designate people in terms of their ages for different responsibilities. Passing in these ages is the natural rights for each citizen so as to enjoy the assignments according to their ages.

**Odda- Sycamore Tree:** This tree is inseparable from the Gada as it serves as a sanctuary for the Gada and all associated rituals. It is a symbol for the accommodative nature of the Gada system.

**Sinqe:** Sinqe is a female led institution, which is led by Hadha Sinqe. In this institution, females discuss what they can contribute for their people in general and the female society in particular.

**Qallu:** Qallu is another component of the Gada System, which works for the perpetuation of peace in the system. Qallu institutions serve as a setting of conflict resolution for the society.

**Irecha:** Irecha constitutes one of the several religious and cultural practices defining the hallmark of the entire Oromo life. It has promoted and enhanced understanding and unity among the Oromo. It has helped build their common values and shared visions, and consolidated peace, tolerance and resilience.

### **3. The Methods**

In this chapter, the research design and approaches, population and sampling, data sources, data gathering tools, data analysis techniques, and the research ethical considerations have been discussed.

#### **3.1 Research Design and Approaches**

The research design adopted for this study is ethnographic, because the intention of the study was to learn from the Oromo what the Gada does in terms of democracy, power succession, and development, and interpret learned patterns of behaviors, customs, and ways of life.

The research approach used was qualitative as the objective of this study is to describe what is going on in the Oromo by carefully listening to the indigenous people and generate in-depth data and create a pattern for the practices of the people. Besides, the qualitative approach is an appropriate ethnographic research avenue.

#### **3.2 Population and Sampling**

The study dealt with the Oromo people by giving special reference to the Abba Gadas, Hadha Sinqe, and the Gada elderly people who have the knowledge and practices in narrating the role the Gada plays in the overall governance system of the people.

From the pool of the people, the researcher purposively took the former Abba Gadas and the Abba Gadas in power from North, South, East, and West ` parts of Oromia National Regional State and Amhara National Regional State. The reason why the researcher identified the resource persons purposively was due to their rich experiences of the Gada and the possibility to collect in-depth information from them.

#### **3.3 Sample Frame and Units**

The sample frame of the study is the Abba Gadas, Hadha Sinqes, elderly people at different levels and zones of Oromia. From the frame, the regional and local level concerned people were drawn for the study.

### **3.4 Instruments**

To gather data for this study, checklist based non participant observation; open ended interview, focus group discussion, and document review were used.

**Observation:** The objective of using observation was to see sacred trees and rivers and how they are conserved. Observation is very important in that it gives an opportunity to observe naturally occurring events in person. To do this, checklist that is based on the research questions was produced.

**Open- ended Interview:** Interview is a preferred instrument of data gathering in that it gives a chance to the researcher to hold one- to- one discussion to thoroughly discuss issues in depth. Accordingly, the Abba Gadas and Hadha Sinqes were interviewed.

**Focus Group Discussion (FGD):** FGD is regarded as a forum of reform in that it helps researchers to have a group of people, who are initiated to forward multiple information, because of the triggering effects the ideas raised by the different participants. In this process, 6- 12 people took part in the discussion. The participants of the FGD included the Gada elderly people from different parts of the region.

**Document Review:** Documents, which have relevance for the study, were reviewed. These documents were obtained from the different culture and the Abba Gada offices.

### **3.5 Data Analysis Techniques**

To analyze the data, first of all, the data were transcribed and polished. Following, the data were categorized under each research question and sub headings were created. The sub headings were further re- categorized to establish more comprehensive themes. Finally, using the content analysis technique, the data were analyzed.

### **3.6 Ethical Considerations**

It goes without saying that ethics is the foundation effective communication between the researcher and the data sources. To this end, the researcher took all the necessary cares to make this study ethical. First of all, a letter of cooperation was taken from the university's Research Publication and Coordination Office. Following, the objectives of the study was discussed with the various targets of the study. The researcher assured that the participants that they could withdraw from participating in the study if they do not feel good with no precondition. With all this surety, the researcher undertook this study.

## **4. Results and Discussion**

The data collected from different sources have been presented and discussed. The data have also been crosschecked to understand whether there are congruencies or dissimilarities among the ideas generated from the different targets of the study.

#### **4.1 Response Rate**

All the targeted Abba Gadas have been communicated at their place and the planned information has been secured. The Abba Gadas dealt with include Abba Gadas, the Abba Gadas' coalition leader, and the Hadha Sinqe, and the renowned Oromo Gada fathers. One of the Oromo elderly persons, who was granted honorary doctoral degree by Bule Hora University and is regarded as the walking encyclopedia of the Gada System also participated in the study.

#### **4.2 Demographic Factors**

Saving three, all of the participants were males. From this finding, one can realize that the Sinqe System is not as strong as the Abba Gada System. Even though it has been learnt that there is no male domination on women, the Sinqe system is not operating as the Abba Gada system. The half part of the Bokku- stick seems to lag behind the other half part.

Many of the Abba Gadas were the public servants. However, after their anointment they have left the public sectors and devoted their time for the service of the Gada system. Age wise, all are above 40 as it takes 40 years to become mature Abba Gada. Many of the elderly people, who participated in the FGD, were between 60 and 110 years. The religion of all of them is Waqefanna- worshipper of one God.

The major Odda centers include Gumi Gayo and Arero in Borana Zone, Me'e Bokko and Nura in Guji Zone, the Tulama's Oda Nabe, Karrayu's Hora Sama in East Shoa Zone, the Macha's Oda Bisil, Oda Buluk of East Wollega, the Oda Roba in Bale Zone, Madda Walaabuu in South-Western Bale, the Ituu and Humbana's Oda Bultum in West Hararghe, and Oda el Dallo in Liban. Moreover, there are number less Oddas in different localities of Oromia and Amhara National States. To mention some of the living Oddas in the latter, Odda of Sheik Mohammed in Kemissie town, Odda of Garado in Chafa, and Odda of Jille Dhumuga. Interviews were held with 12 Abba Gadas from different areas, four Hadha Sinques (1 regional, and 2 local) and FGDs were held with 48 participants with renowned elderly people from the Gada Centers (Borana, Kamise, Horro Guduru, Guji, Hararghe, Arsi, west shoa, Bale, and Illu Abba Bora. Observations were also made at the major Gada sites to have insights about the current status of the Gada and the Odda centers. Accordingly, Gumi Gayo Odda, Me'e Bokko Odda, Odda Nabe, Hora Sama, Oda Bisil, and Odda Garado were observed to understand the current status of the Gada practices. Totally, 63 participants participated in this study.

#### **4.3 Sustainability of Democratic Principles and Development**

From the places observed by the researcher, it was learnt that the Gada, which is regarded as a system for humanity, has preserved democratic principles and development particularly in Borana, Guji, and Bishoftu. The researcher also observed that the people are transparent, respect the law, accountable, and take responsibilities in what they do. It was also observed that social network created by the Oromo plays a pivotal role in enhancing the capability of the people to

support each other. One of the interviews held with one Abba Gada also falls in line with what the researcher observed as it showed that the Gada is a universal culture and has a provision for all creatures and the earth.

One of the interviewees also disclosed Busa Gonofa, which is similar with the present credit and saving institution, is a system established by the Gada to make the Oromo self sufficient get networked with each other development purposes. This institution still operates in different parts of the region.

Another interviewee illustrated that the western democracy or the so called modern democracy has limitations in treating human beings in the same way. He mentioned that people are unfairly treated because of their colors, beliefs and place or origins and the like, while, according to the teaching of the Gada, human beings are equal irrespective of their color, belief, and place of origins.

The Gada's First lady, Hadha Sinqe, was also interviewed and she disclosed the fathomless wisdom of the Gada in terms of the strategy of the Gada in bringing development and sustaining it. She also revealed that the Gada system emerged with the emergence of humanity and is a perfect democracy, and the Book of all sorts of laws for humanity.

Coming to the Gada's provision for gender equality, she discussed that the stick that is held by the Abba Gada witnesses that male is inseparable from female. The head of the stick shows the male reproductive organ whereas the bottom- the foundation part of it indicates the female reproductive organ. She emphasized that the Gada incomplete if it treats the male and female in isolation.

Again, Hadha Sinqe discussed the role of the Gada in defending territorial integrity. The Hadha Sinqe explained that the Gada believes in peaceful conflict resolution, because it is a system of peacemaking among all human beings. When citizens are forced to wage just war to defend their territories, there is a procedure to become victorious. She joins the heads of the sticks and requires the fighters to pass under it. Anyone who disregards the instruction of Hadha Sinqe cannot go for the war, because she has disregarded the instruction of the war. She explained that the martyrs' statue erected in Adama city symbolizes the time of going for a mission. She again explained that Sinqe system is the origin of the Red Cross or Red Crescent, and the Hadha Sinqe does a mediation work during wars without any discrimination. If parties in war disregard the instruction given by the Hadha Sinqe, they are considered as unlawful ones.

The Hadha Sinqe discussed that the Gada has a system for mediating between a husband and a wife, when they are in conflict, and resolves it in a fair way. In the Gada System, even when there are divorces, ladies do not leave their home like what is common in many traditions. If one of them has to leave the home, there is also a possibility for the man to do so.

In case of adoption, no difference is made between the biological and the adopted child; both have equal rights. If a family that does not have another child before and adopt a child, bears to a child later on, the child that was adopted is considered the first child of the family as the Hadha Sinqe reported.

Two other hadha sinques reported that the Gada can serve all human beings and sustain peace and development, and it is not biased against any religion, because it is pro diversity in all possible ways. However, it was touched on those other religions some practices against the Gada tenets.

The Abba Gadas' coalition leader in the interview held with him revealed that the Gada system needs attention from the Oromo people, the regional state, and the federal state if it has to flourish like the time of 16<sup>th</sup> century and contribute for the democratization process and development of the country. He particularly touched on that there are inconsistencies in referring to the Gada system because of the failure of the region to harmonize the exercise across the region. For example, some outsiders or non Oromo consider the system as a local cult and it is against other religions.

Another Abba Gada from south Oromia similarly described the Gada as the initiator of developments has to serve as an alternative governance philosophy. An elderly person aged 110 remarkably shared with the researcher that the Gada is life, love, wealth, source of wisdom, philosophy of the black people, and the beginning of all civilizations.

#### **4.4 The Gada and Power Succession Practices**

From his observation, the researcher realized that at most parts of the study site, the indigenous venues for the exercise of the Gada are under threat at some places like Kamise, and West Oromia due to the influence of different religious practices, and the then political matters. This action is against the natural cover and productivity the earth. The village where the researcher was born is in a similar problem of loss of big trees. Many places are being threatened by a similar human action.

“Gada is a school of Leadership, and power sharing does not initiate conflicts as all the age grades have their own assignments for people, and rather the Gada is the source of peace and democracy” one elderly person from Guji Me’e Boku said. The researcher asked him why and he answered that it is so because to become a mature Abba Gada, one has to learn from mature Abba Gadas passing in the five Gada grades consuming 8 years in each.

All the Focus Group Discussants revealed that the Qallu institution is an institution that is meant to bring peace and order among the people supporting the Abba Gadas and Hadha Sinques. Qallu system serves as a councilor to the system to make it democratic and sustainable. It is like the democratic institutions that Ethiopia has to put in place for check and balance.

The principle of the Gada is “Lead with all the transparency.” Before the appointment of the Abba Gada or Hadha Sinqe, proclamations are proclaimed depending on the existing situation. In the renewal congress of Tulama Oromo held in 2017, it was noted that the Gada is registering significant results after its recognition by the UNESCO, and it has to be revived through the exploration and restoration of the Odda and other entities. The Tulama Oromo Gada renaissance congress motivated the Oromo to enhance the Gada as some interviewees explained during the congress.

Similarly, the Gada revival ceremony organized at Odda Nabe revealed that the Gada is taking the right course in reviving the values, cultural, historical, and social heritages of the Oromo. The Abba Gadas coalition leader discussed during the event that the Oromo philosophy of life in general is regaining its natural flavor and moving to a stage that uplifts the pride of the Oromo. One renowned Abba Gada from east Oromia said, “No one steps to power without consent from the people. It is taboo if one does this, and he will be considered as outcast because of his or her violation from the norm provided by the Gada.”

The researcher also discussed with Abba Gaddas from Bale, Arsi, Wollega, and south Shoa, east shoa when they came together for a meeting to Bishoftu and he learnt from the way they were explaining the provision of the Gada and that no one jumps to a power because he is an influential person. The Gada is a tool of peace because it discourages people to operate in a system less way thinking to fulfill one’s benefit. As the Gada teaches that citizens become selfless servants of the Oromo, the people respect the norm of coming to power keeping quality services in mind.

The Hadha Sinqe also raised that she was moving to the different parts of rural Oromia and other places where the Oromo live, for example, Kamisse, Raya, Benishangul, South National, Nationalities, and Peoples’ Regional State to motivate females and assist them to actively engage themselves and promote the Gada for fairness and peaceful transfer of power. “Power belongs to the citizens; no one gains personal power and exercises hidden agenda; it is against the teaching of foremothers and forefathers” said the Hadha Sinqe.

“Peaceful ways of earning position where one can fit into to serve others is the prime principle of the Gada” said another participant. In this quote there are important expressions like peaceful, earn, serve others, and prime. These expressions signify that the person who aspires to lead should walk through peaceful way, have capability, and be selfless. This thinking is similar with the monist leadership style, which is founded on the principle of ‘sacrificial goat’ which gives priority to the gains of others.

One of the key informants from Kemise said that the Oromo will not have the current status if they do not have the habit of listening to each other. They are what they are because of their wisdom in sharing ideas.

In all the interviews at Senbete town, it was learnt that the Gada is known by another name, which is called Abigar. The word is used as a substitute for the Gada. This difference, as said by the interviewee, this difference occurred due to geographical differences and the influence of other cultures.

#### **4.5 The Gada and the Enhancement of Developmental Strategies**

In the Focus Group Discussions held, the participants underlined that a person is not respected because of what he or she possesses, it is rather because of his or her selfless service to the people according to what has been entrusted to him depending on his or her age grade.

The Abba Gada coalition leader said “The Gada enhances developmental strategies and democracy through nurturing humankind starting from the childhood.” The Hadha Sinqe also supported the idea raised by the Abba Gada saying “The Gada evolved with human beings to serve all and boost creativity depending on the existing reality.”

One of the participants reflected that non Oromo are not seen as a threat to the Oromo, because it is an opportunity for them due to the fact that both work towards making the earth a conducive place for living. It considers non- Oromo as equally important citizens for the development of effective and developmental system. Adding, the participant noted that the Gada centers peace and democracy for which the Odda is a symbol.

Another Abba Gada reflected that the Gada is a ‘river’ of wisdom from which all creatures can drink. Besides, he said that it is a shade for all irrespective of place of origin, color, religion, gender, and any other forms of differences.

#### **4.6 Gada and the Future**

From the visits paid to some places in Oromia to observe the status of the Gada practices, the researcher observed there are some revivals of the Gada System. Some of the Gada values are being put in place by the region. This can show that the future of the Gad is bright.

Abba Gadas from east, west, north, and south Oromia in general agreed that the future of the Oromo in particular, Ethiopia in general shall be brighter, development- oriented, equitable, and democratic, if the Gada is adopted as a system of governance, development emblem, and globalization formula.

One of the respondents from Kemise explained that the Gada has to be rejuvenated by educating the young generation through the establishment of formal education, and then it will be an avenue for the comprehensive development of the country. Besides, he discussed that the Oromo and the government have to put what they say into practice if the desire is to scale up and use it as a standard of peace building and development.

The Hadha Sinqe also shared what the Abba Gadas identified and said “adopting the Gada System means planting peace, democracy, equity, vision for the development of the Country.” She, adding, said, it is considered as a sanctuary of all creatures, because it frees people to talk, work, enjoy, share, and live peacefully.

During his trip to Nairobi- Kenya, the researcher had an opportunity to visit some Gada historical places. One of the places he observed was Odda Borana, which was established around a place called Two Rivers. The researcher took some minutes and said to himself self “The Oromo in Ethiopia have to learn something from this to take care of the Oddas.” In the discussion the researcher made with one Kenyan, the Odda is formally protected by the local government of the city government because it is one of the intangible heritages of the country.

## **5. Conclusion and Recommendations**

### **5.1 Conclusion**

The following main issues have been concluded from the key findings of the study.

- The Gada is a hub of welcoming diversity, favorable ground for conflict management, peace building, equity, and a homegrown source of development.
- Age grade is a standard of the Gada to assign responsibilities to citizens.
- That Bokku is a symbol for equality of men and women the base showing the woman and the head showing the man.
- The Akko Manoyye’s (one of the Oromo queens) instruction to build a house between the earth and the sky shows that women have an important role in introducing new thing before their counterparts. This was the wisdom unleashed by the woman.
- The revival of the Gada is signaling the regaining of the forest cover at the observed places.
- The gudifacha (local adoption system) introduced by the Gada is becoming an alternative for the westernized adoption and managing child trafficking.
- Busa Gonofa (indigenous support system) is becoming an indigenous system that can help citizens become self reliant.
- The Gada has a complete provision for governance and development for the Oromo.

### **5.2 Recommendations**

#### **5.2.1 Policy- Makers**

From the key findings of the study, the following are recommended to be performed by policy makers.

- Policy makers should enact the policy that protects the indigenous knowledge working with all concerned people and organizations.

- The regional system has to be given attention while designing policies. If it is so, citizens will benefit from what takes place and diversity is enhanced.
- There has to also be education policy that enacts the inclusion of the Gada system in the education policy of the regional state.

### **5.2.2 The Country at Large**

The researcher recommends the following to be carried out at the country level to preserve and sustain the Gada's wisdom.

- There should be Gada rehabilitation movement in collaboration with the countries that have rich experiences in preserving and protecting world heritages.
- The country has to strengthen the institutions that work on the heritage management and create their branches at different levels.
- The country has to devise a strategy to effectively introduce dualism policy to use the indigenous wisdom together with the contemporary system in different affairs.
- The different values in the country should not be treated in a fragmented manner; they should be considered as the wealth of the country and promotional works should be done to help citizens understand and utilize for the good of all.

### **5.2.3 Oromia National Regional State**

As the cradle of democratic principles, the Oromia National Regional State has to do the following.

- The Region has to mobilize and raise the awareness of the Oromo to preserve the Gada system through the establishment of the Gada enhancement center.
- The Regional State should also establish the Gada tourist attractions at places where the Odda centers are situated.
- The Gada has to become a part of the school curriculum at all levels.
- The fallen Odda trees should also be rehabilitated involving people at different levels.
- The Sinqe system has to be strengthened and established at regional and local levels.

### **5.2.4 Development Planners**

**Development planners have to do the following activities to rehabilitate the Gada system.**

- They should understand the role of the Gada for development and develop creative plan that connects the future with the present.
- Planners should know that indigenous knowledge carries identity of people protect it in a planned way.

- Institution like: The Gada and Developmental State has to be in place to attract the attention of citizens so as to use for the good of all.

### **5.2.5 Future Researchers**

Other researchers should undertake the following activities to know the indigenous knowledge better.

- Using this study as a springboard, other researchers have to open their eyes and carryout studies on the Gada as black philosophy, and the forerunner of the west philosophy.
- Comparative indigenous knowledge study has to be done to raise the awareness of citizens.
- Studies have to be undertaken on other provisions of the Gada system relating to development and democracy.
- A comparative study has to be taken place on Hadha Sinqe and Abba Gada.

### **5.2.6 Abba Gadas and Hadha Sinques**

Abba Gadas and Hadha Sinques are required to do the following tasks.

- As the way we were doing businesses may not bring a significant change, both Abba Gadas and Hadha Sinques should work on the promotion of the Gada system in a system-based way.
- They should take initiatives to creatively work with all people at different levels.

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## **Challenges of Ethiopian Working Mothers towards Child Care and Its Implications on Work Place Performance: The Case of Selected HEI's**

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### **Abstract**

*In most developing countries child care falls on women's shoulder due to their gender role assigned by the society. This study investigated the challenges of Ethiopian working mothers towards child care and its implications on work place performance in selected higher learning in institutions. To achieve this objective, 343 working mothers from 9 universities, 3 focus group discussion and key informant interviewees were included in the study. Mixed method design that combines both quantitative and qualitative data analysis were employed. The findings of the study indicated that working mothers do not have access to child care facilities both within and outside their university. It was reported that childcare incentives are inadequate but informal extended maternity leaves were common. Working mothers at higher learning institutions are perceiving various challenges related to child care, and this has affected their work performance negatively Daycare facilities and other incentives for working mothers to create a better working environment is recommended, as this could enhance the performance of working mothers, and supporting the development of healthy child.*

**Keywords:** Challenges, Working Mothers, Performance, Child Care, Maternity Leave, Higher Institutions, Work place

### **1. Introduction**

Ethiopia is a fast growing developing country where both male and female, which are the two most important pillars of growth and development, work together. Without their mutual contribution, it is impossible for the country to progress. Ethiopian women actively take part in productive and non-productive activities all over the country and most of the women play a triple role. At home, they play the role of mother (reproductive role) and at workplace they play the part of labor force (productive role) and play social role or (community role) like arranging funerals, weeding's and social events (World Bank, 2008).

The role of woman as a mother is very important. Mothers provide children love, affection and care since birth. Child-care has become a major issue in most of the countries of the world. It is a universal truth that children require the love of mother the most (Abdul et al, 2012).

The ever-increasing work pressure is taking a toll on the working mother leaving them with less time for themselves and their children (Delina and Prabhakara, 2013). It has been proved through experiments and researches that a major part of children cognitive, affective and psychomotor growth takes place at an early age below three years. Moreover, there are many researches which have proved that absence of parents' attention at an early age is very harmful and this can be displayed in a sense that, children whose mothers worked part-time before their child was one year old had fewer disruptive behavioral problems than the children of mothers who worked full-time before their child's first birthday. This increased risk for behavioral difficulties was apparent at age three, and during first grade (David, 2013).

As Abdul et al stressed further, it is necessary for a mother to nurture and take care of her children more at early age and must create a good relationship with her child and mothers who prefer to remain at home are more fruitful since they are full time mothers. According to Emma et al (2016), child care have an impact on working mothers' work place performance and to the organization in such a way that, it reduce productivity, increases turn over and absenteeism, tiredness and reduce concentration on their work (Emma et al., 2016).

Similarly, a survey result at work places shows, child care has a direct impact on employee performance and productivity (Regina, 2015). The largest part of today's workforce is composed of Millennial (age 18 to 34), who represented 90% of new mothers in 2014. Thus, the decline in workplace performance exhibited with these working mothers because of absenteeism and workplace disruptions (Donna et al., 2006).

In the developed countries, parents' mainly rely on formal childcare to help with child rearing so as to minimize the burden and to increase the number of working mothers. However, in Africa including Ethiopia despite the immense problem of child rearing to working mothers the issue has been neglected. There have been only few studies which focus on the effects of child care to working mothers. In the earlier years, due to its patriarchal nature of the society, Ethiopian women traditionally have suffered sociocultural and economic discrimination and have had fewer opportunities than men for personal growth, education, and employment (Thomas and LaVerle, 1991). Nowadays following urbanization, implementation of various structural changes and other related policies that encourage participation of women in the labor market, the share of women employment in Ethiopia in

the labor market has increased as compared to the past years (Tewodros, 2011). And as this is supported by Gashaw (2015), it is over the past few decades this situation has changed radically and more women have moved in to the labor force. Although women are involved in the productive work outside of the home sphere, taking care of their family specially, the role of child care is given to the women and as Tewodros (2011), explained the responsibility of child care has negatively affect women's employment. Although, there is no research done in this particular area ,there was research undertaken that deals with the investigation of working mothers' parental practices, challenges they face in providing parental services and the implication for the future progress of the parents and their children in Arsi University. Thus, although working mothers are facing enormous challenges, little has been found out in regards to the challenges and also the implications of child care on their workplace performance is empirically less studied? Therefore, with this ground this research tried to explore and investigate the challenges of working mothers towards child care and its implication on work place performance in the context of higher learning institutions in Ethiopia. Accordingly the following research questions were devised: a) what are the main challenges being experienced by working mothers in relation to child care? b) What are the main challenges being experienced by working mothers in relation to child care? c) To what extent does childcare affect work performance of working mothers? d) Who are experiencing more challenges in relation to child care (in terms of position, income, number of children, single mothers and both parents angle etc) e) Do universities have the orientation of childcare implications on working mothers' work place performance? f) To what extent do extended maternity leave and/or day care facilities around work place benefit working mothers and enhance child development?

## 2. Model Specification and Conceptual Framework

### 2.1 Model Specification

The study employed survey strategy, which allows one to collect quantitative data which can then be analyzed quantitatively using descriptive and inferential statistics. Survey strategy is more popular with descriptive and explanatory research (Saunders, et al., 2009). The data collected using survey strategy can be used to suggest possible reasons for particular relationships between variables and to produce models of these relationships.

The model below was used to determine the quantitative association between the variables:

$$\text{Model 1: } Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \dots + \beta_n X_n + \varepsilon$$

Where  $\beta_0, \beta_1, \beta_2, \beta_3 \dots \beta_{12}$  are constants;

Y= Working Mothers Performance (self- rated performance index)

$X_1-X_n$  are Factors Determining Working Mothers Performance

$\varepsilon$  is the error term (variables not included but performance factors)

$$\text{Model 2: } M = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \dots + \beta_n X_n + \varepsilon$$

Where  $\beta_0, \beta_1, \beta_2, \beta_3 \dots \beta_{12}$  are constants;

A= Mothers Attitudes towards child care and work

$X_1 - X_n$  are Factors Determining Working Mothers Performance

$\varepsilon$  is the error term

**Model 3:**  $Y = \beta_0 + \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_3 + \beta_4 X_4 + \dots + \beta_n X_n + \beta_{13} M + \varepsilon$

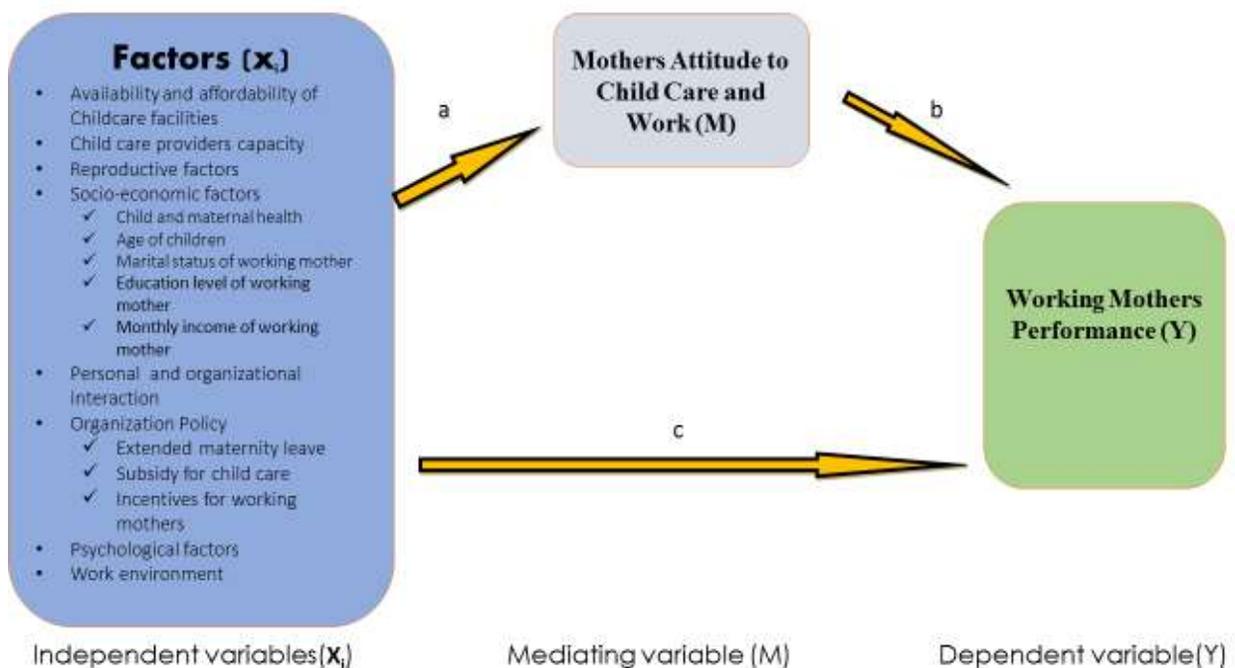
Where  $\beta_0, \beta_1, \beta_2, \beta_3 \dots \beta_{12}, \beta_{13}$  are constants;

Y= Working Mothers Performance

$X_1 - X_{12}$  and M are Factors Determining Working Mothers Performance

$\varepsilon$  is the error term

Particularly, the study assessed working mothers' attitude as a mediating factor. The argument here is that working mother with a positive attitude towards their job or career as



well as child care will likely prove to be more productive, motivated and reliable employee than one harboring negative attitudes (Burns & Burns, 2008). In this study, the researchers investigated the relationship as stated in Figure 1.

Source: Researchers own construction

### 3. The Methods

#### 3.1 Research Design

This research employed concurrent mixed method design that combines both quantitative and qualitative approaches due to the very nature of the study objectives related to the challenges of working mothers towards child care and its impact on work place performance at Higher Education Institutions.

Hence, some of the data was collected through questionnaire; which is a quantitative data collection technique while it also implemented in-depth interview and FGD which are qualitative data collection techniques.

### **3.2 Research Site**

The research is conducted at the purposively selected nine public universities which are found in 6 regions and 2 administrative cities.

### **3.1 Population and Sampling**

The study considered Higher Education Institutions as a target population. The Higher Education Institutions are classified into three categories: 1<sup>st</sup> generation universities (established from 1950-1999), 2<sup>nd</sup> generation universities (established from 1999-2005) and 3<sup>rd</sup> generation universities (established from 2006-2011). Consequently there are 8 universities under 1<sup>st</sup> generation, 15 and 12 universities are categorized under 2<sup>nd</sup> and 3<sup>rd</sup> generation respectively. In this study, third generation universities are excluded due to its being recently opening. Thus, nine universities from the 1<sup>st</sup> and 2<sup>nd</sup> generations, by regional categorization or regional disparities i.e (6 regions and 2 administrative cities) are purposively selected. These are: Addis Abeba University, Bahir Dar University, Mekelle University, Hawassa University, Adama University, Dire Dawa University, Jigjiga University, Semera University and Ethiopian Civil Service University. Working mothers are selected randomly from these nine universities from both academic and administrative staff.

### **3.3 Sample Size and Sampling Technique**

The study employed probability and non-probability sampling techniques such as random sampling, purposive sampling and convenient sampling method.

Based on Kish, Leslie (1965) sampling formula with 1.96 for 95% confidence level with conservative estimate of 0.5, an estimate of a total of 384 participants were considered in the study. Depending on the number of working mothers each university have from both academic and administrative wing, the researchers allotted proportional number to each universities, the actual participants were selected based on convenient sampling technique.

FGD was conducted with three groups each comprising eight participants selected based on convenience of the researchers. In addition, purposive sampling technique was used to select key interview informant such as university presidents, gender unit director and child care providers for an in-depth interview.

### **3.4 Data Collection Instruments**

Since the study employed mixed concurrent research method, various tools were developed and used to collect appropriate data from the participants. Primary data i.e. Survey method were used for the collection of data from working mothers (both academic and administrative

staff) from each selected universities. Questionnaire were designed and distributed to collect data from the target participants. The items were developed using objective type, Likert Scale, opened ended and closed ended questions.

Moreover, FGD, in-depth interview and key informant interview were conducted (with child care providers, gender office director and experts, lecturers who teach gender courses and top management of the university respectively). The interview was undertaken based on semi-structured interview guideline which gave the respondents the opportunity to provide in-depth information on the themes raised by the researchers. The various tools and techniques used in this research are listed below:

### **3.5.1 Survey**

The questionnaire is composed of open and closed ended questions. Most of the items, especially those that are intended to collect attitude are developed using Likert Scale. Careful considerations were taken in preparation of well-crafted questions and the questionnaire was originally prepared in English and then it is translated into Amharic and was pilot test were undertaken to check the appropriateness of the questionnaire in gearing the right answer. It was a self-administered questionnaire which enabled the working mothers from both wings to use their convenient time and place in filling the questionnaire.

### **3.5.1 In-depth Interviews**

In-depth interview was conducted with a total of 9 university presidents, 7 gender directors and a child care giver from Bahirdar University.

### **3.5.1 Focus Group Discussion**

The study undertook 3 Focus Group Discussions, where each FGD comprised of 8 discussants. The first FGD took place with lecturers and gender expert of Bahirdar University, the second was steered with lecturers and gender expert of Hawassa University and the third one with Gender expert of Addis Ababa University.

## **3.5 Methods of Data Analysis**

This study employed both descriptive and explanatory analysis. In addition, in order to see the variation and level of significant; inferential statistics, especially Correlation and Linear Regression was considered to explore relationships among variables. Since data is collected using both qualitative and quantitative data collection methods, the analysis need to be presented with the intention of simplifying data cross validation and grasping different dimensions of the same phenomena easily. Hence, every data relevant to each research

question and specific objective and theoretical framework has been presented in a mixed manner.

To analyze it qualitatively, a category for the research question were developed in relation to emerging themes and sub-themes. Accordingly, the qualitative data was analyzed based on content analytical procedure which prescribes summarizing comments and then coding perceptions and issues into groups of emerging themes.

#### **4. Results and Discussion**

This section presents the findings of the study from descriptive and inferential analysis. It aims to assess the challenges of working mothers towards child care and analyze the implications on their work place performance in selected higher learning institutions in Ethiopia. The variables are dealt and analyzed under four major categories and seven-sub categories/theme. These major four categories are Demographic characteristics of respondents, organizational and individual factors, attitudinal factor and Working mother performance. The analysis of this study has been discussed so far in the light of these categories in general and other sub categories in particular. These sub categories under which challenges of working mothers towards child care and its implication on work place performance were explored using socio-economic factor, availability and affordability of child care facilities, child care provider's capacity, reproductive factor, personal and organizational interaction, institutional and structural challenges and work environment and facilities. For easy flow of idea, first the descriptive analysis and then inferential analysis is made and then qualitative data is supplemented in each section.

##### **4.1 Demographic characteristics of respondents**

A total of 343 working mothers in 9 universities participated in the study by completing the questionnaire. The respondents from Semera University were relatively less than others because of the small number of working mothers in the university, while respondents from Bahirdar University were the highest because of the relative proportion of working mothers.

The education level of respondents has implication on child care and mothers work place performance. Majority of the workers (63%) have first degree and above whereas, 37% of them were diploma and certificate holders. Although conclusion seems difficult about the entire universities in the country based on this sample survey, the result indicates that there is improvement in human resource profile of the higher learning institutions of Ethiopia.

Regarding the age of respondents, 91% of them were between 20- 40 years, which confirms the productive working mothers' age category. The mean age of the respondent's was 31.91 years.

Most of the respondents (96%) were married, and the majorities (86%) of working mothers were administrative support staff. Only 13.6% of the respondents were academic staff. This shows that still the engagement of women in academic and leadership positions in higher educational institutions is very low. The average work experiences of respondents were close to 10 years and mean monthly salary was calculated to be 4637.74 Birr.

#### **4.2 Socio-economic factors**

The study showed that the average age that working mothers get pregnant is 29 years. The respondents on average have 2 children which is relatively less than the national average (4.9). This shows that women working at higher learning institutions have managed their family size better. Mothers who gave birth returned to work on average in almost 4 months. This means that even though the official maternity leave is 3 months, women took extended maternity leave informally. From the interview with the university presidents, there is no formally set extended maternity leave within their institution policy and majority (75%) replied that it is not possible to set extended maternity leave within their policy framework since it is the mandate of the Ministry of Public Service and Human Resources Development. However few (25%) suggested that, it is possible to set within the policy. Therefore, from the interview it can be concluded that, although it is not the mandate of the universities to extend maternity leave apart from what is given by the law, majority of the university presidents agreed that if maternity leave is extended, it can curb the multifaceted challenges working mothers are facing.

To substantiate the above argument an interview with gender director of University “A” said that:

*There is no extended maternity leave in the university. Working mothers have the right to use their maternity leave which is 90 days. Other than that there is no additional leave given. But if their supervisors are positive thinkers and gender sensitive informally they give them additional leave.*

The entire gender director of the universities claimed that there is no formal extended maternity leave apart what is set by the law and that the universities are working based on the rules and regulations of the country so there is no formal additional leave to be extended for mothers.

The study found out that working mothers currently spend on average 35 hours a week. This is relatively less than the expected working hour of employees in the public sector which is 39 hours a week. On the other hand, working mothers partners spend on average 41 hours a week which is higher than the expected work hour. This evidence shows that, working mothers in higher learning institutions are facing challenges in taking care of children as

compared to their partners due to the fact that their partner spend 41 hours in week outside of the home, and thus the burden of child care falls on women's shoulder. Moreover household chores and child care are done by women and it is sometimes that their partner do the job together, thus this shows that despite the fact that working mothers spend 35 hours a week on work arena they are also engaged in home chores and are very challenged to provide the care the child deserves and this directly affect their workplace performance. To substantiate the above argument, an interviewee from "A" university gender director stressed that: *"Women who are mothers face many challenges in relation to child care and taking care of their home in line with their workplace activities."*

Therefore based on the findings, it can be concluded that, mothers are facing challenges in balancing their work in office and their task back home because they have the responsibility of taking care of their children and are expected to work 8 hours a day. Moreover, it is obvious that, child care is time consuming role of mothers so for these working mothers, it is more difficult to manage their time together with their assigned office work.

Average annual income of working mothers at universities is calculated to be birr 7660 which is relatively lower than the national average (birr 17,160). This means that women are less paid in the public sectors. Although majority of working mothers (95%) are found out to be Employed in the paid labor force the study found out that these majority of women (81.6%) are working in the administrative wing where they are paid less. Therefore even though they are working, they are facing challenges in terms of income as well as this is substantiated by a Gender director of "C" University she stressed that

*"It is obvious that working mothers with low salary are being affected with child care role as they are financially incapable to employ servant or to send their children to day care center."*

Furthermore, single working mothers are facing greater challenges in raising children than working mothers with spouses and as this is explained by a gender director from "B" university, *"women in low economic status and this who are single are suffering a lot as compared to the others."*

#### **4.2.1 Availability and Adequacy of Childcare Facilities**

Child care facility is critical for mothers who work for income in any given government sectors or would like to work at higher learning institutions. One way that workers can receive various kinds of assistance with child care is through support that they can access through their work place. Working mothers were asked whether there is child care facility in their university or not. Majority of them (80.6%) confirmed that there is no child care facility in their university. Only 14% of the respondents agree on the availability of child care

services within the university. Among those who confirmed the availability of childcare facility, 55 % of them reported that the service is adequate and 45 % of them said that the service is inadequate. Unlike other countries, this evidence clearly shows that almost the majority of public institutions in Ethiopia do not have child care facilities for their employees. As the above survey finding is substantiated by the university president almost all respondents replied that there is no day care center in their respective institutions however, few of them claimed that, they have the plan to avail day care center for working mothers as a child support mechanisms. Moreover from the gender director's perspective the findings shows that, majority of the university have the plan to build day care center in the coming years. However, few of the gender directors claimed that it didn't accord either to them or the university management in the need of the day care center. This is substantiated by an interview with gender director of 'S' University she said that

*“In our university there is no day care center, the reason why it's not available is I think, the fact of being a new university and there is no directorate or mother to that matter who have asked the management to avail day care center”*

And also similarly interviewee from gender director of University “ D” stressed that,

*No, there is no child care facility in our University. To be honest nobody proposed this issue including me. Maybe in the future we will think about it and will contact the concerned body*

#### **4.2.2 Child Care Providers Capacity**

From the end of maternity leave until the age at which a child can go to school, working mothers need someone to look after their child during the time they are working. Most of the respondents 185 (49.1%) confirmed that housekeepers or babysitters are the main child care service providers. Some used private day care center and about 6.9 % of the respondents use day care center with in the university. Some working mothers receive help from mothers or mothers in -law or other family members (husband, child's siblings, etc.) who may be able to cover at least part of their childcare needs. Although 185 (49.1%) respondents leave their children with housekeepers, it doesn't mean that their children are in safe hands.

Moreover from Focus Group Discussion's that was undertaken a sad story was told by the discussants in regard to the need of day care center in ensuring children safety, they narrated the sad story their colleagues faced due to negligence of the house keepers as follows:

*“There is a sad story of our colleague faced she left her child with housekeepers and when she came back she find her son in bed; she asked what is wrong with him the maid said he failed from the stairs but she didn't took him to hospital by the time our*

*colleagues tried to take her son to hospital it was too late her son died. Therefore it is much better to leave our children with day care providers than with our maid because if we leave them here we can see them every now and then”*

Moreover, from the finding it was also evident that child's siblings mainly girls were forced to look after their younger siblings. This could mean that lack of childcare can be a factor in the lower educational level of girls. And this can be supported by a report done by Overseas Development Institute in 2016, across 53 developing countries, some 35.5 million children under five more than the number of under-fives in Europe were without adult supervision for at least an hour in a given week. Across 66 countries covering two-thirds of the world's people, women take on an extra ten or more weeks per year of unpaid care work in countries where the care load is heavy and most unequal and across 37 countries covering 20% of the global population, women typically undertake 75% of childcare responsibilities (Emma Samman et al., 2016). These numbers show the scale of the challenges of girls who look after their siblings and mothers face.

However, care responsibilities not only reduce possibilities for female education and inhibit labor force participation, they also affect the types of jobs women do, how productive they are and how much they earn.

#### **4.2.3 Preferred Choices of Childcare Providers**

Childcare provision needs to balance the needs of children and the needs of working mothers. At one extreme, leaving young children in non-parental care for longer hours in a day due to the work of the parents is clearly not the ideal for the child or the parents. At the other extreme, providing preschool education for two hours a day may complicate considerably the lives of working parents. Majority of the respondents 86 (36.3%) stated that the preferred choice for childcare is one year of parental leave paid at 60% of their regular salary/wage followed by the regulated care in a caregiver's home which is 81 (34.2%). Against their preference, however, one argues that childcare providers can help parents, particularly mothers to ensure continuity in their careers. If they are compelled to resign for lack of affordable child care centers, quality childcare and do not work at all for a long period, they tend to have difficulty in re-entering work, particularly at the same level as they were when they left (Catherine and Naomi, 2010).

In addition, feminist argues that moving into paid jobs is an essential step in the process of achieving women's equality and when they asserted the need for child care, they asserted women's right to participate in employment, in public life and in roles not exclusively defined by their place in the family structure, thus in order to get that affordable and quality child care centers must be accessible.

Therefore, Child care centers or and services, feminists argue, even where they are available, do not adequately meet the needs of employed mothers and therefore argues that, child care must be adequately compensated since underpaid, overburdened workers do not provide quality care to children to open the room for mother to have their preferred choices.

#### **4.2.4 Children illness as a Challenge for Working Mothers**

The study indicated that about 153(50.7%) of working mothers at higher learning institutions experienced children illness on average for about 9 days in the last twelve months.

Respondents were asked what child care methods or choices they use when their child got ill. Accordingly, 51.9% replied that they prefer to stay at home or their spouses and take good care of their child. It can be concluded that unavailability of day care center at their workplace can be one factor that pushes working mothers to resign from their work and to stay at home to take care for their children and this in turn affects women career development, family income, and affect their workplace performance. As this is substantiated by FGD discussants:

*“There are many women’s who left their job due to the inability to carry out their duty and responsibilities at workplace plus at home.”* Literature also indicated that, many of today’s mothers face “double-bind”; women who both work full-time and are primarily responsible for child care may sacrifice some career advancement and earnings as they enter occupations compatible with child rearing and taking care for ill children.

#### **4.2.5 Problems encountered in Looking for Child Care**

From the study, majority 131(27.3%) of working mothers responded that, they were unable to get child care service close to home or their workplace and 103(21%) of working mothers replied that, even if they get the service it was too expensive. Moreover due to poor quality of child care and not able to meet the special needs of children and ineffectuality of child care service with mothers schedule makes it difficult for mothers to use the available child care facilities that they could possibly get. Therefore, working mothers are facing challenges in finding possible child care services

To support the above findings, many feminist argued that, from the grew demands for better child care it is by far difficult to have flexible days for taking care of sick children, for flexible schedules which accommodate children's school schedules and working mothers schedule as well. Therefore in order to meet these growing needs, availability of child care service at the work place would be non-optional for working mothers.

From the findings it was found out that, although there is accessibility of day care center in one of the universities, it is not accommodating working mothers from both wings (academic

and administrative).The finding show that, priority of day care service is given for working mothers in the leadership position, and for those academicians and lastly the administrative staff are entertained.

### **4.3 Reproductive factors**

From the study, majority of working mother's replied that everything related within their home chores and child care is done by themselves and few number of mothers replied that, they do the house chores and work related with child care together with their spouses. Therefore, this has negative implication on mothers work in terms of reaching o work on time, to be involved in the leadership, to perform well and be promoted. This can be substantiated by FGD discussants:

*"I am responsible to the house chores, to taker of my child and to handle the office work. Since am busy with the house work I couldn't even manage to arrive in time for my office work. As a result it is very difficult for me to finish my office work on due time."*

Moreover, gender director of all universities under the study claimed that, the dual responsibilities of mothers have hampers them from coming to leadership positions, accepting assignments, and from involving in research work, and this directly impacts the quality of education and it becomes a hindrance in the effort to capacitating students with the needed knowledge, skills and attitude so in the long run this will affect many generation.

### **4.4 Personal and organizational Interaction**

Literature shows that interpersonal relation at work place plays a great role in the development and maintenance of trust and positive feelings in the organizations and can significantly contribute to workers' productivity. An FGD discussants claimed that,

*"Working mothers are being perceived in this University as they don't have a motivation for their work. This lack of motivation arises from nowhere it is because of the triple burden working mothers shoulder and which most people especially those in the leadership position don't give a value."*

Moreover, discussants added that,

*"In general our problems (working mothers) are not seen positively. They think that we are lacking the courage to our assigned work and perceived as we are lazy. So when there is a promotion they won't give us. Because they think that we can't manage the leadership position."*

Therefore, from the above FGD discussions one can conclude that, due to the dual responsibilities mothers have, organizational and interpersonal relation may fall in jeopardy.

#### **4.5 Institutional and Structural Challenges**

The finding shows that, majority of participants 322(97%) replied that government should develop policies that could able to avail child care centers in a more affordable way. Moreover, majority of working mothers dares the maternity policy that sets maternity leave up to 3 months and argued that three months are not enough to take good care of children but rather they prefer the maternity leave to be extended till 6 months.

#### **4.6 Work environment and facilities**

In regards to employees support to working mothers, 195(66.3%) confirmed that their employers allows sick-child days, 55(18.7%) said they are allowed to have a flexible work hours, 35(11.9%) confirmed that they are provided with on-site day care center and 9(3.1%) replied that their employees help them with child care payment. However, according to the interview results, all university presidents stressed that, there is no enabling environment for working mothers. Therefore, it can be concluded that favorable work environment and facilities for working mothers should be created within this selected universities and the support should be availed to the maximum.

Furthermore a particular question were raised in regards to rating their work place environment and facilities and accordingly, majority 228(53.4%) reacted that, there is lack of privacy and adequate time to express breast milk for their children, 83(19.4%) replied the workplace and work environment is hostile for mothers, 61(14.3%) responded that there is strict distinction between work and non-work life and 55(12.9%) respondents asserted that, the work environment is unsupportive. In addition from the interview with the university presidents majority of them stressed that, the environment is not supportive for working mothers. Therefore, the finding shows that, workplace is very hostile for working mothers to play their motherly role such as to express milk and have privacy time. In regards to ideal work arrangements, majority of working mothers 183(57.2%) responded that, they prefer full time job with flexible hours to take good care of their children whereas, 48(15.0%) replied that it would be ideal for them to work from home. From the above findings it can be concluded that, majority of working mothers ideal work arrangement is to work full time with flexible hours and to work from home and these can be due to the fact that mothers goes home every now and then with time flexibility without stress to nurse their children and children will be adequately fed.

#### **4.7 Working Mothers Attitude towards Child Care**

According to Zaidatol, and Bagheri (2009), Likert scale mean score of  $\leq 3.39$  is low, from 3.40 up to 3.79 is moderate and  $> 3.80$  is high. Thus the finding depicts that, most of working mothers do not have positive attitude towards their work place/ organization. They believe that the university is not satisfying their interest. They do not get child care facilities and they do not get adequate maternity leave. Women believe that their university management primarily values job accomplishment (mean =3.72). They positively respond that their husband is equally responsible in taking care of their child (Mean=3.86). They moderately perceive that combining child care with academic work/office work is a very challenging task (Mean=3.59).

#### **4.8 Working Mothers Performance**

##### **4.8.1 Self -rated Working Mothers Performance**

A self-rated working mother performance standard were developed and distributed to working mother to rate and accordingly, in almost all items women response towards their performance either at medium or high score as per the mean score categorization of Zaidatol, and Bagheri (2009). However, women perceives that the younger their children the more they perform less in their work place. They also perceive that their workload is affecting their motherhood and performance even though, they are performing well in their respective universities. However, there are challenges they are facing related to child care. This means that they can perform better if they get support on child care within or outside their work place.

#### **4.9 The relationship between Child Care and Working Mothers Performance and Attitude**

##### **4.9.1 Correlation analysis**

Considering estimators, working mothers' performance is highly correlated with attitude, children age, extended maternity leave, better work environment, availability and affordability of child care. However, there is no significant relationship between working mothers' performance and child care providers' capacity.

The finding from the study concluded that, there is a presence of linear association between working mother's work place attitude and work place performance. The finding reveals that there is strong, linear relationship ( $r=.24$ ,  $p<.001$ ) between working mothers attitude and their workplace performance. Moreover, there is negative but significant relationship between attitude and availability and affordability of day care center. This shows that, when attitudes of working mothers towards their workplace is high or positive, then their performance will be high as well and the opposite holds true. Moreover, their performance has negatively significant relation with availability of day care center.

#### **4.9.2 Regression analysis**

In the regression analysis the first model analyzes child care factors (such as availability and affordability of child care, child care related problems, child care providers capacity) against working mothers performance and accordingly, child care related problems and childcare providers' capacity significantly affecting working mothers' performance. However, availability and affordability of child care service is not significantly affecting working mothers' performance. In the second model it considers attitude as dependent variable and child care related factors as explanatory variables. In our conceptual framework, attitude is introduced as mediating variable between explanatory and outcome variable and accordingly, the finding indicates that child care related factors do not have significant effect on working mothers' attitude.

The third model analyses the effect of child care, and attitudinal factors on employee Performance and thus, child care problems and child care providers' capacity together with attitude determine performance. Attitude is a mediating factor between the two child care related factors and performance. This implies that attitude of working mothers towards child care is critical to utilize the available facilities and improve their performance.

#### **4.9.3 Reliability Analysis**

A reliability analysis using Cronbach's alpha was run to determine internal consistency reliability of the data. The reliability test is an instrument used to measure the items in a questionnaire which act as the indicators of the variables. Nunually (1978) has suggested that the Cronbach's alpha coefficient of a scale must be greater than 0.7. Reliability analysis tells whether the items included in the model are realizable proxies of variables. Therefore, the value of Cronbach's Alpha coefficient (based on standardized items) for performance measurement is 0.708 which clearly indicates that the results are reliable. Similarly, Cronbach's Alpha coefficient for attitudinal factors is 0.781. Since, the reliability value for both the dependent, independent and mediator variable is greater than 0.7; the results in this study are viable.

### **5. Conclusion and Recommendation**

#### **5.1 Conclusion**

Based on the findings the study with socio-economic factors, the average age that working mothers get pregnant is 29 years and on average they have 2 children and this shows that women working at higher learning institutions have managed their family size better.

Moreover it has been found out that working mothers are spending most of their time at work and taking care of their households and their children compare to their spouses and due to these they are burdened with the dual role as a mother and as working mom's. Findings from

the interview, FGD and survey clearly shows that, since majority of working mothers are from the admin wing, they are facing challenges in balancing their work in office and their task back home because they have the responsibility of taking care of their children and are expected to work 8 hours a day. In regards to availability and adequacy of childcare facilities, the study reveals that there is no child care facility in majority of Ethiopian universities and even if there is the service is inadequate. Similarly, the study reveals that, despite the danger working mother are experiencing by leaving their child with their maids, housekeepers/maids or babysitters are the main child care service providers for these working mothers and because of these as the study shows the burden of child care service fell to the child's siblings and are mainly girls. The study also shows that majority of working mother's stays at home when their child got sick and this is due to the fact of unavailability of day care center at their workplace pushes them to resign from their work and to stay at home to take care for their children. Likewise, the study shows, working mothers who have day care centers at their respective universities are relieved from their challenges compares to those who don't.

In regard with Personal and organizational interactions, working mothers personal and organizational interaction are in a good level however it was found out that, working mothers dual responsibilities have a negative impact on their organizational and interpersonal relation.

Regarding to the reproductive factors, the findings from the survey, FGD and interview found out that everything related with their home chores and child care is done by working mothers and has negative implications on their work sphere like reaching to work on time, to be involved in the leadership, to perform well and be promoted.

In regards to Institutional and Structural Challenges the findings reveals that, unavailability of child care centers within their institutions and inaccessibility of child care centers around their work place, strict 3month maternity leave policy, non-conducive environment for lactating mothers, lack of affordable childcare in all forms of childcare centers, lack of privacy and adequate time to express breast milk, not having flexible working hours, lack of incentives for child care and denying sick child days are found out to be the major institutional and structural challenges these working mothers are facing.

The research also revealed that, availability of day care center in their workplace, incentives for working mothers and adequate child care and subsidy plays significant role to working mother's career development and work place performance. It was concluded that attitude is a mediating factor between the two-child care related factors and performance. This implies that attitude of working mothers towards child care is critical to utilize the available facilities and improve their performance.

## 5.2 Recommendation

Based on the findings of the study and conclusions, the following major recommendations are forwarded:

- Attention should be given in the creation of a better working environment for working mothers and bring more number of working mothers in managerial position and in the academic arena as it could lay the foundation to enhance the performance of working mothers.
- The maternity leave of three months is inadequate and is not alleviating the problem thus must be revised based on a thorough study.
- Flexible working hours should be set at the institutional policy for lactating working mothers.
- Universities should consider incentives or child allowance for working mothers with lesser salary and greater attention should be given to single working mothers with lower income.
- Higher education institutions should avail day care center at their workplace with adequate service and facility in affordable price and be accessible to all working mothers.
- In order to bring about structural changes besides responding to their immediate needs, spouses of working mothers has to share the dual responsibilities to realize gender equality. Therefore, as being a higher education institutions universities should work hand in hand with their communities, elders and other concerned bodies to raise awareness on the challenges of working mothers and has to install the solution of sharing the dual role to their communities.
- Universities should avail conducive work environment for working mothers by availing a private nursing space.
- Although sick leaves are permitted for the mothers, sick child leave should be enacted in each university policy and usher working mothers with such privileges.
- All Universities should work together to harmonize and align their institutional policy in creating enabling environment for working mothers.
- Universities should work on attitudinal change towards the use of child care facilities.
- Further research is recommended with larger sample size, time and inclusion of other public institutions.

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**Assessment of the effects of one stop service centers in service delivery to the customers of micro & small scale enterprise development sector: the case of some selected woredas in addis ketema sub-city Addis Ababa**

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**Abstract**

*This study was aimed at assessing the effects of “One stop centers” in service delivery to the customers of Micro and Small Scale Enterprise Development sector from February 2017 to May, 2017. It was conducted at five woredas in Addis-ketema Sub-city. The study was guided by one stop shop and service reception, processing and returning models. Using these two models the researcher identified the followings as crucial variables affecting the service delivery at “One stop service Centers” accessibility, transparency, fair and equal treatment, efficiency and effectiveness. This case study employed both the survey and qualitative approaches. For the survey, 99 operators of Micro and small-scale enterprises were randomly selected and the data were collected using questionnaire. The qualitative data were collected through Focus group discussions with 3 FDGs comprising 36 operators purposively selected from five woredas. In addition, in-depth interview was conducted with coordinators and case managers from 5 woredas selected through purposive sampling method. The quantitative results indicate that the centers have failed to establish inclusive service delivery set ups and are still extractive. Mainly, One Stop service centers have no net effect of giving the customers the opportunity to get multiple interrelated services in one place so as to ensure better accessibility. Therefore, it is recommended that the centers have to re-design the service delivery system and establish integrative service delivery system, give due attention to human resource development and equipping the centers with office facilities. The study also recommends future research on effects of physical location of the centers upon customers with disability.*

**Key words:** one stop centers, one stop shop, service delivery, efficiency and effectiveness

**1. Introduction**

In countries all over the world the governments are working to improve the relationship with and services for their citizens. Also the increasing demand and expectations of citizens to get quality services; and the existence of red tape and bureaucratic system necessitated governments to respond to the situations (Peters and Pierre 2007). As Wimmer (2002) indicated, to respond to the need and expectations of citizens to get quality services in effective and efficient manner, and to eliminate the red tape and bureaucracy, the governments introduced different reform programs and established innovative ways of service delivery.

One of the innovative ways to improve the service delivery is “one stop shop” concept. A one stop shop is an office where multiple services are offered and it was used in a number of developed countries several years ago (Matula 2010). Since then, it has gradually spread to many developing countries.

In relation to this, the public administration reform in Kazakhstan has introduced “one stop shop” as an innovative approach to citizen centered service delivery (Saltan and Pansuk 2016). In the past, Kazakhstan citizens need to move almost all over government town to attain related services at different places so that a “one stop shop” became an attractive reform agenda in Kazakhstan (Hagen and Kubick 2000). Countries like Malaysia, Singapore and Vietnam have introduced the “one stop shop” concept to provide integrated services to their citizens (Barrett and Fudge 1981). They have been successful in reducing administrative burdens on business and the public especially are license and permit requirements (Barrette and Fudge, 1981).

In Africa of the government Egypt and Kenya adopted the concept of “One stop shop” too. According to Stone (2006) one clear deterrent to new investment in Egypt, was the bureaucracy, delay, discretion and uncertainty surrounding business start-up. Delays, discretion and a lack of transparency also encouraged the practice of “speed payments” where bureaucrats would demand, or investors and their agents would willingly offer informal payments to obtain a quick approval.

To improve this situation, the Egyptian government in June 2001 decided to establish a “one stop shop” that would assemble officials from all government entities in one place to provide quality and efficient services to investors in Cairo.

Similarly, the government of Kenya has grappled with the problem of poor service delivery in the public sector and has introduced a range of interventions to remedy the situation (Kenya 2012). In 2013 the Kenyan government has introduced the concept of “*Huduma centers*” to transform public service delivery by providing citizens access to various public services and information. Consequently both the Egyptian and Kenyan Governments were successful with the introduction of “one stop shop” concept.

Like other countries, public services in Ethiopia have long been characterized by limited access to wider publics and lack of transparency (Sirgut 2006). In response to the situations, the Ethiopian Government introduced different reform programs and tools such as BPR, BSC (Naod cited in Tesfaye and Atakilti 2011). Furthermore, in order to enhance accessibility, improve transparency, fairness & equal treatment, efficiency and effectiveness the government established a “One stop service centers” (Konjit, D.2011).

It was envisaged that the centers would be the place where all the necessary services from different sectors become available under one roof for customers of (Micro and Small scale

Enterprises manual 2010). Even though the implementation of “One Stop Service Center” is in progress, still Micro and Small Scale Enterprise Development programs in Addis Ababa City Administration have been facing challenges (Addis Ababa Bureau of Micro and Small Scale Development Census report, 2016).

Some of the challenges are:- many enterprise failed due to lack of counseling & business knowledge(30%), the loans from failed enterprises remain unpaid, some of the existing enterprises are unwilling to repay the loans, enterprises get mature growth stage and transformed to middle income level are few in number( 9.1%). Despite the said advantages for implementing one stop service concept there is no evidence in MSEs sectors in A.A. Consequently, it is not known to what extent the centers have had impacted the service delivery in the sector.

Thus it needs to fill the knowledge gap by determining the effects of one stop centers in service delivery in MSEs in A.A.

The study set the following basic research questions: - What are the Effects of “One stop service Centers” in service delivery to the Customers of MSEs in A/ ketema sub-city A.A? To what extent the establishment of the centers improved the service delivery in terms of accessibility, in the study area? To what extent the establishment of the centers improved the service delivery in terms of transparency, in the study area? To what extent the establishment of the centers improved the service delivery in terms of Efficiency & Effectiveness in the study area? To what extent the establishment of the centers improved the service delivery in terms of fairness and equal treatment, in the study area?

The main objective of the study is to assess the effects of “One stop Service Centers” in service delivery to the customers of Micro & Small scale Enterprise Development sectors within some selected woredas of Addis Ketema Sub-city, AA.

Also it was specifically aimed: - To analyze whether the centers provide full-range of services (better accessibility); To ascertain if the centers enhance the effectiveness of the service delivery; To ascertain if the centers enhance the efficiency of the service delivery; To establish if the centers influence transparency in service delivery; To ascertain if the centers enhance fairness and equal treatment and To suggest possible means of maintaining quality service delivery in the center.

## **2. Review of related literature**

### **2.1. Concept and Models of One-Stop-Shops**

One-stop-government is a relatively new concept, nowadays often used in public administration reform and research. The concept refers to the integration and rationalization of public services from a citizen’s point of view (Onxayvieng et al. 2015).

According to a study on best practices in one-stop services in the United States ‘Under the one-stop paradigm, all of a customer’s business can be completed in a single contact, be it face to face or via phone, fax, Internet or other means. One-stop customers do not have to hunt around, call back, or repeatedly explain their situation is convenient, accessible, and personalized’ (Andrews et al 2012).

In other words, the key idea behind one-stop-shops is to bring services together under one roof, both in order to share costs and to make it easier for people to access a range of services in one place. The idea of concentrating information and services at a single point is a business model that was applied initially in the private sector and became very popular during the last decades. One of the first applications of this idea was supermarkets, which allowed clients to do all their shopping in one place instead of visiting different stores (Howard 2014).

## **2.2. One-Stop-Shops**

One-stop-shops (in a physical location) ideally go beyond single authorities with regard to the fact that many different transactional services, which satisfy the needs of many different categories of citizens, are located in a single office. Therefore the citizen would find in one spot, representatives of the authorities competent for pensions, health, issuance of civil status certificates, tax administration etc.

Under this ideal model, representatives of the administration delivering specific services would be concentrated in one location, thus creating a “public administration supermarket”. However, this model is usually extensively complicated to implement. In most cases, and also in the present report, one-stop-shops will be understood to refer to the model where the citizen has a single entry point for his transactions with the public administration (Margaret and Daniel 2016).

## **2.3. One Door for Many Services” Model**

This model can be called as “One Stop Shop”, “One Stop Center”. According to this model, the customer (arrow) visits one office for his service application and he/she can obtain a range of different types of services from the same and single office. According to PWC, (2012), the basic idea of one stop shop is to change the way administrative services are provided from Many “Doors to One Service” to “One Door to Many Services”.

## **2.4 Reception, Processing and Return (RPR) Model**

Under this model, representatives of the administration delivering specific services would be concentrated in one location, thus creating a “public administration supermarket” and all the needed steps for the provision of the services are accomplished at the one stop center. The

request from customers are received at all the one stop center desk, which are also processed and handled by the one stop center staff that provide this type of services to the citizens.

According to this model, the center receives customers' requests process them and provide the customers with desired end products in the centers PWC (2012). In addition, the introduction of One-Stop-Shops not only served as a vehicle for quicker and more convenient delivery of administrative services, but also as a trigger for application of good governance, transparency in the administrative decision making process, higher responsiveness, accountability and equality in public administration. Main results achieved due to the introduction of "One Door for Many Services" model are higher accessibility, transparency, fairness, efficiency, effectiveness and customer satisfaction (Asia Brief 2010).

## **2.5. Effects of One Stop Service Centers**

The number of studies have explored One Stop shop concept as a strategy to change the way administrative services are provided from "many doors for one service" to "one door for many services". The Concept has not only served as a vehicle for quicker and more convenient delivery of administrative services, but also for the application of principles of good governance, accountability, equality, and public participation. Main results achieved are higher accessibility, transparency, fairness, efficiency, effectiveness, and customer satisfaction Asian Brief (2010).

Wimmer (2002) argues that the implementation of one-stop government highly depends on the structure of government and the constitution of a respective country. In order for a government to implement this concept, it is necessary to make a "huge change in organizational responsibilities and duties." She states that the traditional governments are usually "fragmented into functional units that are independent of each other."

SDC (2003) indicated that one of the strategic objectives of the Public Administration Reform in Viet Nam is to enhance the delivery of administrative services to the people. The Government implemented as a pilot endeavor and One-Stop-Shops (OSS) is now recognized as an integrated part of the country's public administration system. After the introduction of One-Stop-Shops, administrative services in many provinces, cities and rural districts have significantly improved in terms of accessibility, transparency, effectiveness and efficiency.

In addition, experience in Vietnam clearly shows that One-Stop-Shop has greatly improved the efficiency of the public administration procedures and results in a positive impact on socio- economic development and poverty reduction.

## **2.6. Decisive Factors for Successful Implementation of the One Stop Shop Concept**

SDC (2003) also tried to identify the major decisive factors for successful implementation of the one stop shop concept. The major factors are:-Government commitment, human resource development and adequate facilities. Each factor is described as follows:-

### **2.6.1. Commitment from the highest Level**

Commitment from the highest level is a condition for the successful establishment and operation of One-Stop-Shops. Commitment is the degree to which a senior official not only supports an initiative, but also puts a great deal of effort and energy into its realization. In this case their commitment is crucial to all the necessary services under one roof and streamlining administrative procedures SDC (2003) .

### **2.6.2. Human Resource Development**

Building the capacity of the staff is the backbone of the Public Administration Reform process. Only knowledgeable and skilled staffs are able to provide a good service. Much attention should therefore be paid to the training of the staff. Besides improved understanding of the legally required administrative procedures, capacity building should include customer-relation skills. It is a definite advantage if the staff has a broad range of knowledge and is able to replace colleagues during their absence SDC (2003).

### **2.6.4. Modern Facilities in a central Location**

Convenient facilities and modern equipment not only increase the work productivity, but also create a sense of pride, innovation and motivation for One Stop-Shop staff SDC (2003).

## **2.7. The Impact of One Stop Shop Concept**

Also SDC (2003) further indicated the impact of one stop shop concept in the delivery of administrative services. After the introduction of one stop shop concept as indicated in this literature, a number of different types of administrative services involving different bureaus or departments are provided through a single office. At the same time, one stop shops are conveniently located, easily accessible, and equipped with modern facilities. Also knowledgeable and motivated staffs are able to provide a customer oriented services. In this case procedures are streamlined. In addition fees, procedures and time needed for processing a specific request are clearly defined and publicized.

Also Bryden et al. (2007) recognized the following factors that facilitate the success of one stop shop: careful attention to design and location, and community-owned and run facilities. The study also points out that one stop shop should be seen as a means of including the local community in service delivery, rather than as a means of centralizing services

The Study conducted by Brown et al (2005) indicates that the main concept of providing several administrative services at one central place in the municipality has already been practiced in Kosovo. They confirmed that OSS leads to a more effective, efficient and transparent service provision that is equally accessible to larger parts of the population.

Another different framework is provided by Onxayvieng et al. (2015), who suggest four possible aspects of assessing one stop shop: governance, performance management, information sharing and workforce. Governance relates to the hierarchical position of the one stop shop in the administrative chain, including issues related to who funds the facility and who commands it. Performance management relates to the monitoring and evaluation mechanisms that assess the functioning of one stop shop. Information sharing refers to the range of services made available and the extent to which applications are processed by the OSS. Workforce aspects refer to human resource development, including training of staff and keeping the staff motivated to perform efficiently.

The above literatures indicate that for successful implementation of one stop shop concept the major decisive factors such as convenience of the location, availing full range of services at one place, equipping the center with modern facilities, knowledgeable and motivated staffs, streamlined procedures, clearly defined and publicized fees, procedures and time needed for specific request should be fulfilled.

The idea of one stop shop as a way to improve service delivery has been tried out with several degrees of success in various countries like Egypt, Singapore, and Malaysia and Ireland as a means to promote investment (Kenya 2012).

According to Stone (2006), one clear deterrent to new investment in Egypt, was the bureaucracy, delay, discretion and uncertainty surrounding business start-up. To improve this situation, the Egyptian government in June 2001 decided to establish a “one stop shop” that would assemble officials from all government entities in one place to provide quality and efficient services to investors in Cairo.

Similarly, the government of Kenya has grappled with the problem of poor service delivery in the public sector and has introduced a range of interventions to remedy the situation (Kenya 2012). In 2013 the Kenyan government has introduced the concept of “Huduma centers” to transform public service delivery by providing citizens access to various public services and information. Here the central innovation introduced to the new one stop shop was the separation of the front and back office which limits the points of contact.

This has brought amazing effects on corruption and rent seeking practices in the countries. Main results achieved are better accessibility, transparency, fairness, efficiency, effectiveness, and customer satisfaction.

One stop shop concept became a widely used approach in different countries several years ago (European Journal, 2010). It is seen as the innovative ways to transform and improve service delivery, simplify administrative procedures, enhance accessibility and transparency.

In general, it is acknowledged that one stop shop approach is an integrated service delivery system which brings all the necessary services at one place so as to provide services in a quick and fairways to the customers.

Thus, the potential of one stop shop concept is remarkable. The advantages associated with the adoption of one stop shop concept would result in increased efficiency and effectiveness, better accessibility, transparency, fairness and equal treatment of customers.

However there is a considerable gap between the expected outcomes that has to be brought due to the adoption of one stop service centers and what has been achieved in the reality. In whole spectrum, especially in the study area the effect of one stop service centers in service delivery have not extensively discussed in the literature. Therefore, there is a need to assess the implementation of one stop service centers and its effects on service delivery in the study area.

### **3. The Methods**

The study adopted a case study research design which is mixed type in nature Also it employed a combined research approach (qualitative & quantitative) in order to supplement data obtained in one approach with that of another and to provide full picture of the issue under consideration. To attain the aim of this study, both qualitative and quantitative data were gathered from primary sources.

The study populations of this paper were operators of Micro & small scale enterprises which are 732 in number from purposively selected 5 woredas with highest number of diminished enterprises. To carry out this study, 99- Enterprises were selected through stratified sampling method for questionnaire. For interview purpose, 5- process coordinators of the centers, 5-case team coordinators among staff members of the center and 20- managers and 16 operators of group Enterprises were selected purposively Focus Group Discussions.

After determining the above sample size, the researcher used simple random sampling method to get the appropriate respondents from each enterprise (99-operators). The number of Purposively selected samples for interviews were 5- process coordinators of the centers, 5-case team

coordinators among staff members of the centers; and 20- managers and 16 operators of group Enterprises (36) for focus group discussions.

The researcher used both questionnaire (for quantitative data) and semi- structured interview questions for qualitative data. In addition focus group discussion was employed. The data collected from primary sources and direct observations were recorded, edited organized, analyzed, interpreted and presented in relation to research questions.

The quantitative data were analyzed by using descriptive statistical tools such as percentage, mean, standard deviations and cross-tabs and were presented by tables, figures, graphs and charts whereas description of findings was used for data and focus group discussions.

#### 4. Results and Discussions

##### 4.1. Response Rate

In this study the sample size interview was 15 and the respondents returned the Questionnaire and also, 20 respondents for interview were addressed

sex	Frequency	Percent
Male	52	52.5
Female	47	47.5
Total	99	100.0

for the survey were 99, for response is 100%.All

##### 4.2. Sex of the respondents

Table 1: Sex of the respondents

Regarding the sex of the respondents 47.5% are Female and 52.5% are male.

##### 4.3. Age and Education Level of the Respondents

Table 2: Age and Education Level of the Respondents

Age of the respondents			Education Level of the respondents		
items	Frequency	Percent	items	Frequency	Percent
18-25 years	20	20.2	certificate	38	38.4
26-35 years	27	27.3	Diploma	37	37.4
36-45 years	28	28.3	BA/BSC	23	23.2
Above 45 years	24	24.2	MA/MSc	1	1
Total	99	100	Total	99	100

As can be seen from the above table 47.5% of the respondents were between 18-35 years of age and 28.3% were between 36-45 years. The remaining 24.2% were above 45 years

The above table indicates that 38.4% of the respondents were with certificate level of education, 37.4% were holders of Diploma while 23.2% were holders of Bachelor degree. The rest 1% were above first degree.

From the above three results we infer that majority were between ages 18-45 years as indicate by 75.5%. This further indicates that majority are at productive ages in the sector. In addition the respondents were composed of male at 52.5% while their female counterparts totaled 47.5%. Also 75.8% were holders of diploma and below it and a section of respondents at 23.2% had first degree. These results showed that the sector deserves with a minimum certificate level of education to become entrepreneurial.

#### **4.4. Results about the Effects of One stop service centers**

##### **4.4.1 Better Accessibility**

##### **4.4.1.1 Convenience of Physical location of the Centers and Equipping the center with office furniture and facilities**

Table 3: Convenience of Physical location of the Centers and Equipping the center with office furniture and facilities

<b>Convenience of Physical location of the Centers</b>			<b>Equipping the center with office furniture and facilities</b>		
<b>Response</b>	Frequency	Percent	<b>Response</b>	Frequency	Percent
<b>Strongly Disagree</b>	22	22.2	Strongly Disagree	18	18.2
<b>Disagree</b>	26	26.3	Disagree	36	36.4
<b>Neutral</b>	31	31.3	Neutral	24	24.2
<b>Agree</b>	9	9.1	Agree	10	10.1
<b>Strongly Agree</b>	11	11.1	Strongly Agree	11	11.1
<b>Total</b>	99	100	Total	99	100

Of 99 respondents, 22.2 % ( 22) strongly disagreed while 26.3% disagreed about the convenience of physical locations of the centers in their respective woredas. On the other side, 11.1 % ( 11) respondents were strongly agreed about the physical location and 9.1 % ( 9) agreed about it. But, the remaining 31.3 % ( 31) responded neutral. From these data, we can infer that 48.5% of the respondents believe that the physical location of centers were inconvenient.

Regarding the facilities of the centers, 18.2 %( 18) strongly disagreed that their centers are well equipped with office furniture and facilities and 37.4 %( 36) disagreed about the issues. On the other side, 24.2 %( 24) agreed that the centers are well equipped with the necessary office furniture and facilities while the rest 22, 2% (22) remained neutral.

This implies that 55.6% of the respondents responded that the centers are not well equipped with the necessary facilities

#### ***4.4.1.2Availing all services at one place***

Table 4: Availing all services at one place

Availing all services at one place in the center			Installing the signs on the street indicating the location of one stop center		Availability of the signs inside the centers	
Response	Frequency	Percent	Frequency	Percent	Frequency	Percent
Strongly Disagree	24	24.2	29	29.3	41	41.4
Disagree	32	32.2	34	34.3	20	20.2
Neutral	20	20.2	19	19.2	19	19.2
Agree	12	12.1	9	9.1	8	8.1
Strongly Agree	11	11.1	8	8.1	11	11.1
Total	99	100	99	100	99	100

In this regard, 24.2 %( 24) of the respondents strongly disagreed that all services are available at the center, while 32.3% (32) disagreed it. When we talk about the availability of all services, 12.1 %( 12) agreed and the 11, 1 %( 11) respondents strongly agreed that the centers provide all services at one place. In this case, the remaining 20.2% (20) responded neutral.

This implies that majority of the respondents (56.6%) have the same outlook with regard to the failure of the centers to provide all the necessary services at one place as compared to those who agreed (23,2%) about the availability.

Of the respondents who responded about the availability of the signs on the street, 29.3% (29) strongly disagreed while 34.3% (34) disagreed about it. In this regard 17.2% (17) agreed that the signs are installed on the street, even though the rest 19.2% remained neutral.

As can be seen from the above bar-graph, 41.4% (41) strongly disagreed, 20.2% (20) disagreed about the presence of signs inside the centers while 19.2% (19) remained neutral. On the other side, 8.1% (8) agreed and 11.1% (11) respondents strongly agreed about the presence of the signs inside the centers. From this response one can infer that 61.4% of the respondents supported the idea about the absence of signs inside the centers that say where customers should go.

#### 4.4.2. Transparency

##### 4.4.2.1. Visible and clear internal processes and administrative decisions

Table 5: Visible and clear internal processes and administrative decisions

Visible and clear internal processes			Clearly defined, publicized fees & procedures	
Response	Frequency	Percent	Frequency	Percent
Strongly Disagree	28	28.3	23	23.2
Disagree	27	27.3	19	19.2
Neutral	29	29.3	39	39.4
Agree	5	5.1	8	8.1
Strongly agree	10	10.1	10	10.1
Total	99	100	99	100

As the data on the above table indicates 28.3% (28) of the respondents strongly disagreed, 27.3% (27) disagreed about the existence of visible and clear internal processes and administrative decisions in the centers. The other 15.2% agreed that the internal processes and administrative decisions are visible and clear for everybody in the centers. But the remaining 29.3% responded neutral about the issues. In other words, 55.6% of the respondents recognize that the internal processes and administrative decisions are not visible and clear for everybody in the center

Of 99 respondents, 23.2% (23) strongly disagreed and 19.2% (19) disagreed about the presence of clearly defined and publicized fees, procedures and time needed for specific requests in the centers. Even though 18.2% (18) of the respondents agreed about this idea, the remaining 39.4% (39) replied neutral.

### 4.4.3. Fairness and Equality

#### 4.4.3.1. Case treatment and administrative decisions are based on conditions outlined in the law

Table 6: Case treatment and administrative decisions are based on conditions outlined in the law

Case treatment and administrative decisions			Enforcing the customers to pay extra payment	
Scale	Frequency	Percent	Frequency	Percent
Strongly Disagree	32	32.3	23	23.2
Disagree	29	29.3	33	33.3
Neutral	34	34.3	19	19.2
Agree	4	4.0	14	14.1
Strongly agree			10	10.1
Total	99	100	99	100

The table indicates that 32.3% (32) of the respondents strongly disagreed about the fair and equal treatment of administrative decisions in the centers while 29.3% (29) disagreed about it. Even though 4 % (4) agreed about the fairness and equality of the issues, 34.3% remained neutral. From this we can grasp that 61.6% believe that case treatments and administrative decisions in the centers are not based on conditions outlined in the law.

When respondents were asked to respond whether the customers are enforced to pay extra fee to speed up services, 23.2% strongly disagree the idea that says paying extra fee in the centers is not common while 33.3% (33) disagree the same idea. When 19.2% (19) remained neutral, the rest 24.2% agreed that enforcing customers to pay extra fee to speed up the service is not common.

#### 4.4.4. Increased Efficiency

##### 4.4.4.1. Helping customers find where they need to go as they move through the services

Table 7: helping customers find where they need to go as they move through

Helping customers			Accommodating Customers		Availability of easy forms		lay out & Service delivery setup	
scale	Frequency	Percentage	Frequency	Percentage	Frequency	Percentage	Frequency	Percentage
Strongly Disagree	14	14.1	15	15.1	23	23.2	29	29.3
Disagree	19	19.2	37	37.4	38	38.4	29	29.3
Neutral	33	33.3	19	19.2	19	19.2	19	19.1
Agree	18	18.2	5	5.1	9	9.1	9	9.1
Strongly Agree	15	15.2	23	23.2	10	10.1	13	13.1
Total	99	100	99	100	99	100	99	100

As the above data indicates 33.3% of the respondents disagreed while 33.4% of the respondents agreed about the above issues. But the remaining 33.3% gave neutral answer about whether the staff members help the customers find where they need to go as they move through the services in the centers.

Regarding the accommodation of customers in the centers, 15.2% (15) strongly disagreed, 37.4% (37) disagreed about the presence of warm and welcoming reception to accommodate then customers in the centers. But 28.3% of the respondents agreed that there is a warm and welcoming reception to accommodate customers. The remaining 19.2% responded as neutral. This indicates that about half of the respondents (52.5%) believe that centers are not on the position to provide a warm and welcoming reception to accommodate the customers

As the respondents gave the response, 23.2 % ( 23) strongly disagreed, 38.4 % ( 38) disagreed about the availability of easy forms to fill at the time of their needs. Even though 19.2% of the respondents agreed about the existence of easy forms to fill out at any time on the shelf, equal amount of respondents (19.2%) were neutral about the issues. This shows that 61.6% of the respondents confirmed that the centers have failed to provide easy forms to fill out at any time on the shelf.

In this regard respondents were asked to respond whether the lay out and service delivery set up allows customers to go up and down to different offices for services or not, 58.6% disagreed about the idea that says the lay out service delivery set up does not allow the customers to go up and down to many offices for service. But 22.2% of them agreed that the lay out service delivery set up does not allow the customers to go up and down to many offices for services while 19.2% remained neutral. This implies that 77.8% believe that service delivery set up and the lay outs obliged customers to go to different offices.

**4.4.4.2. Wearing of nametags at the time of service delivery**

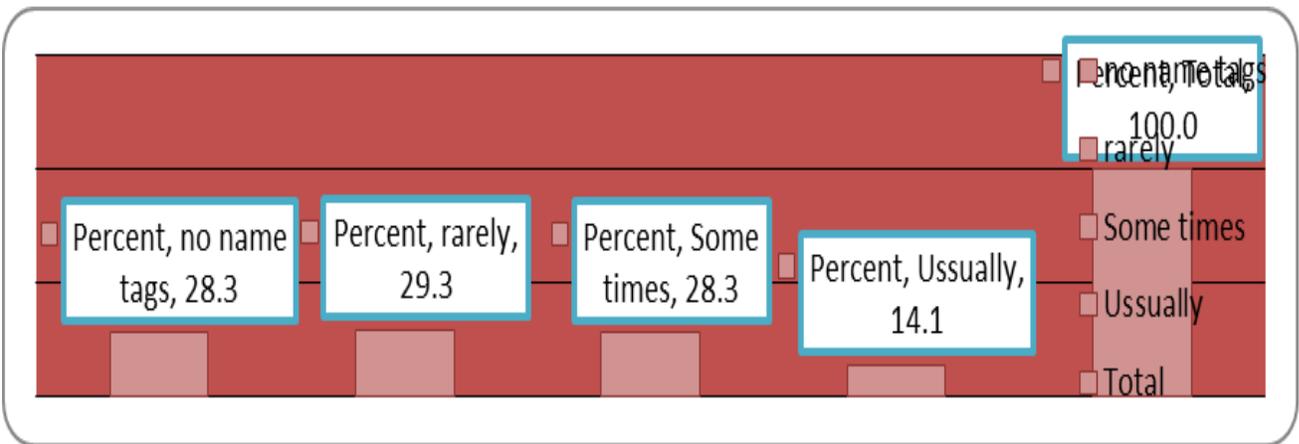


Figure 1. Wearing of nametags at the time of service delivery

As the above pie-chart shows, 28.3% responded as no name tags, 29.3% responded as the staff members rarely wear nametags, 28.3% responded as the wear sometimes, while the remaining 14.1% responded as they usually wear nametags at the of delivering services. In other words, 85.9% of the respondents believe that either they didn't see when they wear or irregularity of wearing it at the time of service delivery in the centers.

#### 4.4.4.3. Handling cases with the same number of staffs

Table 8: The center is capable of handling more cases with the same number of staff members

Handling more cases with the same number of staffs			solving Customers request in quick & fair ways	
Scale	Frequency	Percent	Frequency	Percent
<b>Strongly Disagree</b>	29	29.3	18.0	18.2
<b>Disagree</b>	28	28.3	37.0	37.4
<b>Neutral</b>	24	24.2	20.0	20.2
<b>Agree</b>	9	9.1	10.0	10.1
<b>Strongly Agree</b>	9	9.1	14.0	14.1
<b>Total</b>	99	100.0	99	100

As the above table indicates 29.3% (29) strongly disagreed that the center is capable of handling more cases with the number of staff members as 28.3% (28) disagreed. When 18.2 % (18) agreed that the center is capable of handling more cases with the number of staff members and the remaining 24.2 % (24) replied neutral. From this we can infer that 57.6% of the respondents have similar outlook about the capacity limitations of the centers to handle more cases with the same number of staff members.

Respondents were asked to respond whether the centers solve the customer's request in a fair and quick way even replacing the colleagues in the case of absence. Of 99 respondents, 18.2% strongly disagreed, 37.4% disagreed while 20.2% remained neutral. On the other side, 24.2% agreed that staff members usually solve the customer's request in a quick and fair way even replacing the colleagues in the case of absence.

This implies that 56.6% of the respondents feel that customer request might not be solved in a quick and fairways and the staff members might not be willing to replace their colleagues in the case of absence.

#### 4.4.5. Increased Effectiveness

##### 4.4.5.1. Number of Cases remained unsolved, lost somewhere and remained at the officials desks

Table 9: The number of cases remained unsolved in the center

response	Frequency	Percent
no data	41	41.4
increasing	24	24.2
Remain the same	20	20.2
decreasing	14	14.1
<b>Total</b>	99	100

Regarding the number of cases, 41.4% responded as they have no data, 24.2% responded as the number of cases increases while 20.2% responded as the number remains the same. But 14.1% of the respondents said the number of cases is decreasing in the centers. This implies that 44.4% of the respondents perceive either the cases are increasing or remain the same in the centers.

#### 4.4.6. Soliciting and Implementing Customers feedback

Table 10: the center Continuously Solicit and implement Customer Feedback in a user friendly way

responses	Frequency	Percent
<b>SD</b>	28	28.3
<b>D</b>	37	37.4
<b>N</b>	14	14.1
<b>A</b>	10	10.1
<b>S A</b>	10	10.1
<b>Total</b>	99	100

Concerning the solicitation of information and implementing of customer feedback in the centers, 28.3% of the respondents strongly disagreed that the centers solicit information and implement customer feedback, 37.4% disagreed about it and 14.1% remained neutral. In this case the remaining 20.2% agreed that the centers solicit and implement customer feedback in a user friendly ways.

#### 4.4.6.1. The organizational model employed in the centers

Table 11. Organizational Setup your Center employ for service provision

	Frequency	Percent
<b>Both</b>	33	33.3
<b>RR</b>	41	41.4
<b>RPR</b>	25	25.3
<b>Total</b>	99	100.0

When the respondents were asked about the type of models their centers employ, 33.3% responded as both (RR &RPR) models, 41.4% responded as RR model while the remaining 25.3% responded as RPR model. This shows that the centers didn't implement the same type of model for cases and it depend up on the type of cases. This further indicates that, all services are not available at one place in the centers.

#### 4.4.6.2. The number of staffs in the center

Table 12: Number of Staffs at one stop center

Response	Frequency	Percent
<b>below 5</b>	41	41.4
<b>6-8</b>	34	34.3
<b>9-11</b>	24	24.2
<b>Total</b>	99	100.0

Of the total respondents, 41.4% responded as their centers have below 5 staffs, 34.3% believe that their centers do have 6-8 staffs and the rest 24.2% said that their centers have 9-11 staff members. This indicates that majority (75.8%) believe that the centers have not adequate number of staffs to provide full service.

#### 4.4.6.3. Departments that join the Center to provide the services at one place

Table 13: Department/sector which does not join the Center

	Frequency	Percent
<b>Trade &amp; Industry</b>	32	32.3
<b>Addis Microfinance</b>	37	37.4
<b>Revenue Office</b>	20	20.2
<b>Industrial Extension service provider</b>	10	10.1
<b>Total</b>	99	100.0

As the above table indicates, 32.3% said that trade and Industry sector does not join the center, 37.4% replied that Addis saving& credit Microfinance does not join the center, 20.2% replied that Revenue collection office does not join the center and the rest 10.1% replied that industrial extension department does not join the center. This data indicates that the departments which are expected to join the center didn't engage in providing full-range of services in the center. This further shows that still the customers are obliged to go up and down to different offices for the services.

#### **4.5. Focus Group Discussion Results**

The aim of this group discussion was to understand, determine and provide insights about how customers perceive the current situation of one stop service centers in micro and small scale enterprise development sector in some selected woredas of Addis Ketema Sub city, Addis Ababa.

As the focus group participants responded, the physical locations of one stop service centers are easy to find. This is because signs are installed on the street that says this is the one stop service center in woreda "X".

**Regarding the conveniences of the centers**, all the participants indicated that except in a few woredas, the centers are located at inconvenient places for those disabled operators. As they said this created complex situations to get services and forced them leave the sector and eventually the enterprise become extinct. They further indicated that in majority of the woredas the center is situated in G+1 but some are located at grounds.

**While talking the office facilities and furniture** in the center, all the participants agreed that the centers in all woredas are equipped with the necessary office facilities, furniture and computers including Internet access. However they mentioned that, the centers lack waiting place and chair, front line workers (information desk), lack of signs inside the center indicating the workflow and the desk where the customers to go and get the service.

As they indicated that customers are expected to go up and downs to different offices to get business licenses, renewal of licenses, paying of taxes, rent charges and appealing tax related cases. A few services like registration and market linkage support letter services are being provided in the centers.

According to the participants discussion, the organizational setup of the centers are mainly based on receiving, checking, recording customers request and passing it to the relevant offices outside the center for further checking and processing. In this regard customers are expected to go to different offices to submit their cases and waiting end results up to a month and above. In

addition, they are obliged to go to 5-km distance from the center to different offices relevant to their cases to get the end results.

When the participants discuss about transparency issues in the centers, for each specific type of services such as business licensing, industrial extension services, etc procedures are streamlined and unnecessary steps are reduced. As they mentioned, customers have clear information about the type of services given, the kind of documents to submit, which procedures to follow, when the results will be returned to the customer and how much the client will have to pay. But the major challenge here is services are not delivered based on the standards mentioned on citizen's chart.

It is expected that clearly defined, standardized procedures have led to more fairness and equality. As the participants indicated, most of the time they were expected to pay an extra fee to speed up a service or get approval for a request. Those operators who were unable to afford such fees, often suffered from bureaucracy, unnecessary delays and other obstacles. Even though the establishment of one stop service centers, have significantly limited possible corruption opportunities and increased chances of equal treatment, still in some cases service delivery is not based on conditions outlined in the law (rather than personal relationship).

As the experiences of the participants indicates majority of staff members of the centers provide a warm and well-coming reception to the customers and help them find where they need to go as they move through services. Some of the staff members in the centers usually wear nametags at the time of delivering services and this makes the service delivery process easy for customers. In addition, in the centers forms are easy to fill out and available at any time on the shelves including the time when electric power is interrupted.

On other side, the participants mentioned the major challenges hindering the efficiency of the centers. These are:-the centers lack well-trained staffs that are knowledgeable about the existing administrative procedures and this created a threat for customers to the services in a quick and faire way. Because of the lack of experienced staffs, the centers are not capable of handling more cases with the same number of staffs and have not been in a position to solve customers' request even replacing the colleagues in the case of absence.

The concept of effectiveness is the degree to which goals are achieved. In this regard the establishments of one stop service centers are to provide services in a better way and increase the effectiveness. The response of the participants of focus group discussions indicated that some of the cases remain unsolved until a year, some cases are getting lost somewhere in the bureaucracy and some cases remain on officials desk for 3 and above months.

They further indicated that customers have been suffered from bureaucracy, unnecessary delays and other obstacles when the need services like working premises, loans form saving and credit microfinance institutions, product display centers, market linkages particularly with government development program ( housing development).

## **5. Conclusion and Recommendations**

### **5.1. Summary**

This study provides different issues that can help as input for research on the effect of one stop service centers in service delivery. First, the discovery from this study indicates that the centers at all woredas under the study settings have lacked the major decisive factors for successful implementation of one stop shop concept and also the existing set ups of one stop centers are not inclusive.

Second, the centers haven't established a communication system promoting type of services, procedures, time, fees and standards to customers to improve transparency; the centers lack well-trained and adequate staffs , lack office facilities; attractive and well-coming reception; quick and fair case handling and management mechanisms; feedback and solicitation mechanisms, in order to enhance efficiency and effectiveness.

Third, the result of this research maintains the positions of past researches about the effect of one stop shop concept in service delivery and the existence of decisive factors for successful implementation of one stop service centers.

As can be seen from the findings of both survey and qualitative research, the existing set up of one stop centers is not inclusive in order to bring services from different offices at one place, the centers haven't established a communication system promoting type of services, procedures, time, fees and standards to customers to improve transparency, the centers lack well-trained and adequate staffs, lack office facilities; attractive and well-coming reception; quick and fair case handling and management mechanisms; feed-back and solicitation mechanisms.

In addition, one stop service Centers have been grappled with problems of requesting extra payment for speedy up services, unnecessary delays and bureaucracy for those who can't afford, providing services on the basis of personal relationship rather than on the basis of conditions outlined.

This result confirms past research done by Walter Meyer (2003) which was reported as the major decisive factors for successful implementation of the one stop shop concept are:- Government commitment, human resource development and adequate facilities. The study

further elaborates that for successful implementation of one stop shop concept factors such as convenience of the location, availing full range of services at one place, equipping the center with modern facilities, knowledgeable and motivated staffs, streamlined procedures, clearly defined and publicized fees, procedures and time needed for specific request should be fulfilled.

This study substantiated the findings of different past and current researches describing the success of implementing one stop shop concepts and their effects due to the establishment of the decisive factors in the centers. Specifically, Bryden et al. (2007) recognized the following factors that facilitate the success of one stop shop: careful attention to design and location, and community-owned and run facilities. The study also points out that one stop shop should be seen as a means of including the local community in service delivery, rather than as a means of centralizing services.

The result of this study also matches with the findings reported by Onxayvieng et al. (2015), who suggest four possible aspects of assessing one stop shop: governance dealing about the hierarchical position of the one stop shop in the administrative chain; performance related with to the monitoring and evaluation mechanisms that assess the functioning of one stop shop management; information sharing referring to the range of services made available and the extent to which applications are processed by the One stop shop ; and workforce aspects dealing about human resource development, including training of staff and keeping the staff motivated to perform efficiently.

## **5.2. Conclusions**

Many significant issues come out as a result of this study. From the result of this study we can conclude that:-

1. The introduction of One Stop service centers has no net effect of giving the customers the opportunity to get multiple interrelated services in one place so as to ensure better accessibility.
2. The transparency issues have not been improved.
3. The issue of fairness & equal treatment of the customers hasn't been guaranteed.
4. The efficiency & effective service delivery practice hasn't been established.
5. Mainly, the inconveniences in obtaining services from different offices haven't been solved by the establishment of one sop service centers in the study area.

## **5.3. Recommendations**

This study emphasizes on customers point of view in need of establishing the successful one stop service centers providing efficient and effective service in a fairways on the basis of conditions outlined. On the basis of the result of this study the following recommendations for practice, for program designers and for future research are forwarded.

### **5.3.1. Recommendations for practice**

1. To enhance the service delivery at the centers, the woreda governments in the study areas have to establish inclusive service delivery set up that provides multiple services at one place and ensure better accessibility
2. The centers have to set different promotion mechanisms of the services being provide, standards, fees,& time needed for specific activities
3. The centers should train the existing employees with customer reception, case handling mechanisms, and the existing administrative procedures and laws
4. The centers should employ more employees to fill HR gap
5. The centers have to establish solicitation and customer feedback
6. The centers have to be well equipped with office furniture & facility.
7. The centers have to establish ethical standards and strong monitoring and evaluation systems to minimize rent seeking practices.

### **5.3.2. Recommendation for program Designers**

- Policy makers and program designers should design and revise the implementation manual of the one stop service centers with consideration of establishing integrative service delivery model.

### **5.3.3. Recommendations for future research**

- Further research has to be done on the areas of the effects of physical locations of the centers up on disabled MSE operators.

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