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# The Influence of Ethnicity and Gender on the Leadership Experiences of Female Asian-American Managers

By Alesia Nichols
*Capella University*

*Abstract-* Asian Americans represent the fastest- growing, best-educated, and highest-income demographic in the United States. The successful status of Asians Americans is reflected in the fact that they are collectively associated with a "model minority" stereotype that characterizes them in terms of traits such as their being academically-oriented, high-achieving, studious, law-abiding and hard-working. Yet despite the apparent success of Asians Americans as a whole and the positive stereotypes associated with this minority, compared to other women of color, Asian women are significantly less likely to hold leadership positions.This study attempts to understand the reason for this gap.

Using a grounded theory methodology, this study explores the live experiences of 16 Asian American female middle managersin order to understand the influence of ethnicity and gender on their leadership experiences and career opportunities. The study's results reveal that the participants had complex and conflicting experiences that resulted in both opportunities and challenges.Participants sometimes benefited from the positive associations of their Asian ethnicity with qualities such as intelligence and diligence, and sometimes they face the demerits of being Asians, that reinforce a view of them being passive and lacking in leadership skills. Research also reveals the impact of gender identity over the career of working women.

*Keywords:* *asian-american, asian women, ethnicity, gender, leadership.*

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# The Influence of Ethnicity and Gender on the Leadership Experiences of Female Asian-American Managers

Alesia Nichols

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The study also shows that because of being women and those too from a minority, the Asian working women face difficulties in becoming part of local culture. That is, there exists an insider culture within corporate America that up-holds the importance of male-oriented leadership qualities and that does not allow Asian-American females to become a part of it.

*Keywords: asian-american, asian women, ethnicity, gender, leadership.*

## I. Introduction

The history of Asian immigration to the United States yields many insights about the nature of American society and its attitudes towards ethnic minorities. The Asian-American working women still face discrimination based on gender and ethnicity. The present study makes a contribution to the field by applying the analytical framework of previous studies on African American women (and other ethnic and gender groups) to Asian American women, and thereby makes an attempt to include them within the existing stream of scholarship on ethnicity, gender, and leadership.At the same time, since the study has adopted a grounded theory approach, an important objective is to generate an explanation or theory from the data collected.

### *a) Statement of the Problem*

Inadequate representation of Asian American women in managerial positions (where they can learn and exercise leadership skills) and their exclusion from workplace diversity programs is problematic not only for scholars and policymakers but also for employers in the United States.

### *b) Rationale for Study*

This study proposes to investigate three phenomena of interest as given below.

The influence of ethnicity on the leadership experiences of female Asian American managers, manifested through the "model minority" stereotype

The influence of gender on the leadership experiences of female Asian American managers

The influence of the interplay of ethnicity (through the influence of the "model minority" stereotype) and gender on the leadership experiences of female Asian American managers

### *c) Research Questions*

How do female Asian American managers working for *Fortune 1000* firms in the United States experience and describe the influence of ethnicity and gender on their leadership experiences and career opportunities?

How do female Asian American managers experience and describe the influence of the "model minority" stereotype generally applied to Asian Americans?

How do female Asian American managers perceive the influence of their gender on their leadership experiences and career opportunities?

How does the interplay of ethnicity (operating through the "model minority" stereotype") and gender shape female Asian American managers' leadership experiences and career opportunities?

### *d) Significance of the Study*

Asian American women are underrepresented in leadership roles in corporate America, in the feminist movement and they are even underrepresented in the

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research work. The present study is significant because it represents an effort to apply the analytical framework of previous studies on African American and Hispanic American women to Asian American women specifically, and to include them within the stream of scholarship on ethnicity, gender, and leadership. The researcher hopes that the study will open up novel areas of knowledge about Asian American women and it will serve the field of organization theory and management.

## II. Literature Review

Before the 1960s, Asian immigrants were often stereotyped as "aliens," "outsiders," and "inassimilable foreigners" who could never integrate well into American life (Kawai 2005). They represented a cultural, economic, military, and political threat often referred to as the "yellow peril" and the fears arose from East Asia's large population, the potential economic and military power of China and imperial Japan. On the other end of the spectrum, the "model minority" stereotype came to be applied to Asian Americans beginning in the 1960s as a way to favorably distinguish their economic and educational success from the perceived backwardness and economic stagnation of African Americans (Kawai 2005).

Studies have shown the Asian Americans as "intelligent", "industrious", and "self-disciplined" compared to other ethnic groups (Yim, 1989 as cited in Taylor and Stern, 1997). Taylor and Stern (1997) opine that this positive stereotyping might be one factor that explains the paucity of research on Asian Americans – in comparison with African Americans and Hispanic Americans. In fact, the genesis of the *model minority* stereotype can be found in magazine articles which were then adopted by other media such as television advertising, primetime television series, and even Hollywood films (Zhang, 2010) and won praise from then-President Ronald Reagan (Kobayashi, 1999).

Taylor and Stern (1997) reviewing the findings of previous studies, noted that Asian Americans were depicted in the *print media* as "technically competent, hard-working, self-disciplined, serious, and well-assimilated". However, Li (2014) notes that the "model minority" myth is not exclusively positive – on the contrary, it racializes Asian Americans as "passive, lacking social skills, apolitical, submissive, and lacking the aggressiveness required for high-ranking managerial positions". Asian American women actually face abovementioned negative stereotypes combined with the *Dragon Girl* stereotype and feel smothered by them. To illustrate this, Li (2014) gives the example of the character of Tracy Tzu from the film *Year of the Dragon* (1985). Although Tracy Tzu is an upwardly mobile female professional, she is depicted as a passive and submissive woman who finally gets abused byworking-class police detective.

This perception of Asian-American working woman puts them at risk of sexual harassment. Li (2014) outlines several cases where Asian American women were subject to racialized sexual harassment. Roshan ravan (2009) opines that since the "model minority" view is an idealized construction that relies on denying the reality of discrimination, it prevents Asian American women from being considered women of color and deprives them of their honor. This analysis supports Ngan-Ling Chow's (2000) finding that Asian American women are underrepresented in the feminist movement.

In the late 1980s, it was estimated that 53.3% of the Asian American population in the United States was engaged in managerial or professional positions (Kern, 1988, as cited by Taylor & Stern, 1997). However, there was no data available about Asian-American working women, until Yamanaka and McClelland (1994) used a sample of 39,701 Asian women and found out that they worked more hours in comparison with non-Hispanic white women. Kim and Zhao (2014) proved that Asian American women are more likely to be unemployed and less likely to achieve managerial positions.

Eng and Layne's (2007) study reveals that while female Asian-American engineers had similar education levels compared to others, they were less sure about their abilities, they cited gender and racial discrimination as a real barrier, they were less satisfied with support facilities and advancement opportunities and less satisfied in respect of the confidence that their supervisors showed in them. The evidence shows that Asian American women not being promoted to managerial roles because of views that Asian Americans, particularly women, are "introverted" and "inarticulate" Eng and Layne's (2007).

Asian-American women face discrimination for not only being Asian, but also for being women. Tang (1997) refers to this as the "double penalty" thesis where women of color are dually disadvantaged for being women as well as ethnic minorities. The researcher also shows Asian American women occupy only "marginal positions" in management. Sanchez-Hucles and Davis (2010) describe the challenges faced by women in respect of leadership opportunities; they mention that because leadership is associated with manly traits e.g. dominance and strength, women are ignore.

Sanchez-Hucles and Davis (2010) note that women of color must navigate "gendered racism," wherein the woman of color must decide if the prejudice she faces is due to her ethnicity, gender, or some other aspect of her identity, and formulate a response accordingly. In 2002, the Asian Pacific American Women's Leadership Institute's (APAWLI) study "Leadership challenges and opportunities: An Asian American and Pacific Islander Woman's Lens" revealed found that in corporate America, fewer than 0.5% of the



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positions on corporate boards and corporate office officer ranks were held by Asian American women.

"Glass Ceiling" is a phenomenon that refers to an invisible block that prevents ethnic minorities and women from reaching the top positions with organizations "regardless of their qualifications or achievements" (as cited in Cotter et al., 2001, p. 656). a majority of respondents in the Catalyst Research Center's (2003) seminal study on Asian American women in business indicated that mentors were needed to aid in professional development and thus evade the *glass ceiling*. However, Batra's (2001) findings show that mentoring helps men more than women.

## III. Research Methodology

This study is an attempt to understand the leadership experiences of female Asian American managers working in corporate America from their own perspectives. Since the study focuses on their lived experiences and seeks to elicit a depth of rich, detailed information from participants, a qualitative approach is appropriate (Creswell, 2007).

### *a) Research Design*

The choice of grounded theory has also been carefully considered. The study adopts a grounded theory approach to methodology to investigate the influence of ethnicity and gender on the leadership experiences of female Asian American managers in corporate America. To explore these issues, the study uses a classic grounded theory research design, consisting of analyzing data from in-depth, semi-structured interviews with a sample of female Asian American managers working with *Fortune 1000* firms in the United States.

### *b) Target & Sample Population*

The research population for the study consists of female Asian American managers working in the United States for *Fortune 1000* firms at mid-level management positions. The sample population was defined to in cludefemale Asian American managers working for *Fortune 1000* firms, who are resident in the southwestern United States. Sample size turned out to be 16.

### *c) Sampling Technique*

Due to the absence from the public domain of any contact information for mid-level managers working at private firms, the present study relied on a snowball sampling technique, using the researcher's personal and professional contacts as well as third-party organizations.

### *d) Data Collection & Data Analysis*

The following instruments of data collection were used in this study:

i. *Demographic questionnaire*

The demographic questionnaire constructed for the proposed study is presented in Appendix D. The demographic questionnaire consists of both screening and substantivequestions. This data has been used to undertake a separate quantitative analysis of sample frame and sample characteristics.. The points of analysis for the sample frame and the sample were: age, level of educational attainment, tenure of managerial experience, and job function/designation. Microsoft Excel analytical tools were used for this analysis.

ii. *Semi-structured interview guide*

The semi-structured interview guide was the principal data collection instrument constructed for the study – please see Appendix Efor the guide as initially formulated.The member-checked transcripts with annotations and supplementary information were used for analysis. The "Import" feature of the QSR NVivo 9 qualitative research software allows a one-step import of transcripts, and a code was assigned to each transcript upon import.

iii. *Researcher's notes and memos*

Researcher notes and memos are important to establish the trustworthiness of the study (Charmaz, 2006) please see Appendix Ffor the notes that were taken after each interview.). The recording of the researcher's ideas in a systematic manner is known as memoing, and is undertaken during both data collection and analysis (Charmaz, 2006). For the memoing stage of this study, the two diaries referred to in the preceding section (the reflexive journal and the researcher's notes) were analyzed and notes and ideas expressed therein were mapped to specific transcripts, notes, and categories within NVivo

Reflexive journal

A reflexive journal helps acknowledge and "bracket" biases and beliefs while undertaking research(Tufford & Newman, 2012).Appendix Gpresents the researcher's reflexive journal.

## IV. Findings & Recommendations

The findings and the recommendations that arise from this research are following:

### *a) Findings*

i. *Complicated influence of identity on career trajectory*

The majority of the participants agreed that the influence of their identity over their career is complicated. While some of them enjoy the benefits of being Asian-American women, some argue that it is the very reason why they are not at key positions.

ii. *Ambivalence about the model minority stereotype*

Likewise, the views of the participants about model minority stereo type, are also complex and



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uncertain. While some of them believe that model minority stereotype is actually positive, many consider it a false-representation of the Asian-American ethnic minority.

iii. *Complicated views about Asian culture*

Participants expressed the fact that Asian culture generally, and parenting culture within Asian families specifically, in fact, reinforce and support the development of a number of personality traits that conform to the model minority stereotype including conformity, obedience, hard work, discipline, and humility.

iv. *Complicated feelings about self-identified personal characteristics*

Many of the participants expressed the fact that the model minority stereotype was grounded in reality and reinforced by Asian culture. However, other participants noted that, to a certain extent, their behavior did not always conform to the racial and gender stereotypes about Asian women.

v. *Opportunities and challenges of being Asian in the workplace*

In many cases, the participants noted that perceptions of Asian Americans in the workplace conformed to the model minority stereotype, yet they expressed frustration with what they perceived as the view that Asian are essentially obedient work horses who lack the assertiveness and soft skills to be genuine leaders.

vi. *Opportunities and challenges experienced by women and minorities working in corporate America*

Many participants emphasized that, like American society more generally, corporate America is changing and becoming more diverse and that there are greater opportunities for women and minorities. However some participants also highlighted the fact that women in their organizations, and in corporate America more generally, still face the *glass ceiling*

vii. *Complicated personal experiences in the workplace*

Some participants emphasized that they were able to seize opportunities for self-actualization, personal empowerment, and career growth "by leveraging their Asian culture." However, some others talked about the subtle cultural disconnect between them and their colleagues that created barriers around socializing, and how cultural differences do not lead just to barriers in socializing with colleagues, but alsodifficulty conforming to the norms of American corporate culture.

*b) Recommendations*

Organizations can continue to support the career development of Asian women through mentoring programs since they help against the *glass ceiling* phenomenon.

Organizations can continue to support the career development of Asian women through developing policies and procedures in the hiring and internal development process that ensure equal opportunities for qualified minorities.

Organizations can continue to support the career development of Asian women through setting goals and objectives that ensure there is a pipeline of qualified internal candidates to fill leadership positions as they become available.

Most important, is to ensure that as the positions become available the candidates are prepared for the role and not set up for failure. This can be alleviated by starting at the internship level with Asian women coming into the organization.

Organizations should develop a culture of ethnic diversity and pay optimum attention to it.

## V. Limitations & Ethical Considerations

The use of snowball sampling means that not all members of the research population had an equal chance of selection in the sample. However, as this is a qualitative study on an under-researched population, it was necessary to yield an authentic sample. Further, since the study used snowball sampling to construct the sample frame, researcher made sure that personal contacts are strictly limited to disseminating the Call for Participants, any interested individual should use a personal, rather than company, email address or phone to contact the researcher and she refrains from discussing the names or other identifying details of prospective participants.

The scope of this study was limited to Asian American female middle managers working in *Fortune 1000* companies. It did not include Asian American women working for small, medium and family-owned enterprises, academic or governmental institutions or those employed as independent contractors. This study relied on qualitative data obtained through in depth, face-to-face interviews using open-ended questions and the collection and analysis of the data was carried out solely by the researcher. To ensure the security of important data the researcher has ensured that participant responses to the demographic questionnaire and interview recordings and transcripts have been appropriately anonymized and kept confidential.

## VI. Conclusion

This study explored the lived experiences of Asian American female middle managers working in *Fortune 1000* with a view to understanding the influence of ethnicity and gender on their leadership experiences and career opportunities. The study's results revealed



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that the participants had complex and conflicting experiences that resulted in both opportunities and challenges. One of the principal findings of this study was the existence of an insider culture within corporate America that upholds the importance of male-orientated personality traits and leadership qualities and that is often cemented through an enthusiasm for sports and drinking activities.

Since, as many participants emphasized, American corporate culture encourages outgoing personality traits, the view that Asians are passive had the potential to put them at a disadvantage and limit their career potential. Participants noted that gender could have a similarly limiting effect on career potential.. As the participants revealed, both women and minorities may have difficulties conforming to the norms and values of this culture, or they may be subjected to a negative double standard if they attempt to do so. Thus, they may be unable to penetrate insider culture, effectively coming against a glass ceiling as they attempt to move beyond middle management. In advancing these findings, this study strongly supports the existing research and it sheds further light on how the phenomenon of the glass ceiling operates with organizations.

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## Appendix A: Call for Participants for THE Study

*Call for Research Participants*

My name is Alesia Nichols, and I am a doctoral student at Capella University. I am working on a study on female Asian American managers in corporate America. The purpose of the study is to understand how ethnicity and gender influence the leadership experiences and career opportunities of female Asian American managers, especially those working for *Fortune 1000* firms. My larger aim is to generate a theory or model that can explain how gender intersects with ethnicity to affect the professional lives of female Asian American managers. This study has been approved by the Capella IRB: {number} dated {date}.

I am requesting interested individuals to volunteer for the study. To be part of the study, you should meet the following criteria:

Identify as Asian American of Chinese, Japanese, or Korean ethnicity
Identify as female
Be employed for a *Fortune 1000* organization, or a large firm
Live in the United States
Have at least five cumulative years of managerial experience. Experience does not have to be consecutive.

Not be known to me in a personal or professional capacity, or be an employee, vendor, contractor or consultant for my most recent employer General Electric

If you would like to consider participation in this study, please email me. You will be requested to complete a short demographic questionnaire to determine your eligibility for participation based on the criteria outlined for the study (some of which are listed above). If you are unsure if you meet any of the study criteria, please email me for clarification.

Your participation in the study will consist EITHER of one 60 to 90-minute interview conducted face-to-face or through Skype video conferencing OR one 45-minute telephone interview which may be followed by a brief follow-up call. I will explain the terms of your participation and your rights as participant during the informed consent process undertaken prior to the interview; at that point, I will request you to sign a consent form.

*IMPORTANT NOTE*

Please use personal, rather than work, email to get in touch. This is to protect your anonymity and the confidentially of your communication concerning your participation in the study.

Please get in touch with me directly rather than through the referring individual or organization. To protect your anonymity, it is important that you not disclose to anyone (except close family and friends you trust) that you are considering participation in this study.

If you know of anyone who might be interested in participating in the study, please do not contact me about them or give me their contact details. Please send this Call for Research Participants to them and advise them that they should get in touch with me directly if they are interested in participation.

This is a volunteer activity and there is no payment offered for participation.

In accordance with federal law and Capella University guidelines, all information about you will be maintained securely and confidentially. Your anonymity will be assured at all times leading up to, during, and after



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your participation in the study. You will be given an opportunity to review and approve the interview transcript to ensure that your views and experiences have been accurately represented

## Appendix B: List of Third-Party Organizations Contacted

| Name of Organization | Web URL |
|---|---|
| Asian American Journalists Association | www.aaja.org |
| Leadership Association for Asian Pacifics | http://www.leap.org/ |
| National Association of Asian American Professionals *(national group as well as regional chapters)* | http://www.naaap.org/ http://www.naaap.org/Chapters/OurChapters.aspx |
| National Association of Asian MBAs | http://www.ascendnaamba.org/ |
| Corporate Asian American Employee Network | http://www.caaen.org/home |
| Center for Asian Pacific American Women | http://www.apawomen.org/ |
| Asian Women in Business | http://awib.org/index.cfm?nodeid=1 |
| Society of Asian Scientists and Engineers | http://www.saseconnect.org/ |
| Association of Asian American Yale Alumni | http://aaaya.org/ |
| Harvard Asian American Alumni | http://www.haaaa.net/ |
| University of Illinois Asian American Alumni Network | http://www.uiaaan.org/ |
| Asian American Alumni Association of Princeton | http://www.a4princeton.org/ |
| Asian American Alumni of Vanderbilt University | http://www.vanderbilt.edu/alumni/asian-american-alumni.php |
| Asian American Alumni Alliance (Brown Alumni Association) | https://alumni.brown.edu/orgs/a4/ |
| University of Pennsylvania Asian Alumni Network | http://www.upaan.org/ |
| Berkeley Asian American Pacific Islander Alumni | http://alumni.berkeley.edu/community/alumni-chapters/cultural/asian-berkeley-asian-american-pacific-islander-alumni |
| Berkeley Asian American Pacific Islander Alumni | http://alumni.berkeley.edu/community/alumni-chapters/cultural/asian-berkeley-asian-american-pacific-islander-alumni |
| Asian and Asian Pacific American Alumni Network at the University of Virginia | http://aig.alumni.virginia.edu/aapaan/ |
| Stanford Asian Pacific American Alumni Club | http://www.sapaac.org/ |
| Indiana University Asian Alumni Association | http://alumni.indiana.edu/affiliates/asian/about/index.html |
| University of Southern California Asian Pacific Alumni Association | http://alumnigroups.usc.edu/apaa/ |
| Tufts Asian American Alumni Association | http://tuftsalumni.org/connect-with-alumni/shared-interest-groups/asian-american-alumni-association/ |
| Association of Asian American Investment Managers | http://www.aaaim.org/index.php |

## Appendix C: Email to Prospective Research Participants

Dear {Name},

Thank you for getting in touch with me and expressing an interest in participating in my study on female Asian American managers in corporate America. The purpose of the study is to understand how ethnicity and gender influence the leadership experiences and career opportunities of female Asian American managers working in corporate America. My larger aim is to generate a theory or model that can explain how gender intersects with ethnicity to affect the professional lives of female Asian American managers. This study has been approved by the Capella IRB.

In order to determine your eligibility for the study, please complete the following short demographic questionnaire here:

Your responses on the demographic questionnaire will help me determine if you meet the inclusion criteria for the study. If you respond to this questionnaire, you will be placed in a participant pool from which the researcher may select you and invite your participation in the study described above. The decision to invite your participation based on the questionnaire responses rests with the researcher. Additionally, choosing to respond to this



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questionnaire does not place any obligation on you to participate in the study, even if you are shortlisted by the researcher.

If you are shortlisted for participation, the researcher will explain the terms of your participation, the risks involved, and your rights as a participant – at this point, she will request that you sign a consent form. Participation in this study will consist of an in-depth interview with the researcher, either directly face-to-face or through Skype video conferencing (60 to 90 minutes), or through the telephone (45 minutes initially with a possible short follow-up call). The interview will be scheduled at your convenience so as not to disrupt your schedule.

If you are invited to participate in the study by the researcher and you accept the invitation, the following measures will be taken to protect you and ensure the integrity of the study data:

You will be given the opportunity to review the interview transcript and make modifications for accuracy and completeness. At that point, you may even add notes and comments to illustrate your perspective better.

Any identifying information you provide to the researcher, such as name, contact details, or employer name, will be kept strictly confidential and will not be disclosed except to the researcher, her dissertation supervisor, and members of the dissertation committee.

Each research participant will be assigned a unique code; all information pertaining to a participant will be tagged using this code only. Your identity will be withheld from any written reports or publications arising from the study, and study data will be anonymized suitably to protect your confidentiality.

Although the level of risk arising from participation in the study is characterized as "Minimal" according to federal guidelines, there are still some risks to participation. These will be explained during the informed consent process once you accept the researcher's invitation to participate in the study.

You have the right to end your participation in the study at any time without penalty and without assigning any reason.

The researcher does not anticipate any harm coming to you from completing this questionnaire. The same level of protection afforded to study data will also be afforded to all questionnaire responses. Your questionnaire responses may be used in the data analysis or as part of the study findings even if you are not shortlisted for participation in the study. You may terminate your participation in the questionnaire at any time. You have the right to request, at any time even after submitting the questionnaire, that your name be withdrawn from consideration for participation in the study.

## Appendix D: Demographic Screening Questionnaire

*Pre-Questionnaire Screen*

Thank you for your interest in my doctoral study at Capella University. The purpose of the study is to understand how ethnicity and gender influence the leadership experiences and career opportunities of female Asian American managers in corporate America. The study will focus on the lived experiences and perspectives of those that are selected to participate; the larger aim is to generate a theory or model that can explain how gender intersects with ethnicity to affect the professional lives of female Asian American managers. In order to determine if you are eligible to participate in the study, the researcher requests that you complete a short demographic questionnaire.

*Please Note:* If you respond to this questionnaire, you will be placed in a participant pool from which the researcher may select you and invite your participation in the study described above. The decision to invite your participation based on the questionnaire responses rests with the researcher. Additionally, choosing to respond to this questionnaire does not place any obligation on you to participate in the study, even if you are shortlisted by the researcher. If you are shortlisted for participation, the researcher will explain the terms of your participation, the risks involved, and your rights as a participant – at this point, she will request that you sign a consent form. Participation in this study will consist of an in-depth interview with the researcher, either directly face-to-face or through Skype video conferencing (60 to 90 minutes), or through the telephone (45 minutes initially with a possible short follow-up call). The interview will be scheduled at your convenience so as not to disrupt your schedule.

If you are invited to participate in the study by the researcher and you accept the invitation, the following measures will be taken to protect you and ensure the integrity of the study data:

You will be given the opportunity to review the interview transcript and make modifications for accuracy and completeness. At that point, you may even add notes and comments to illustrate your perspective better.

Any identifying information you provide to the researcher, such as name, contact details, or employer name, will be kept strictly confidential and will not be disclosed except to the researcher, her dissertation supervisor, and members of the dissertation committee.



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Each research participant will be assigned a unique code; all information pertaining to a participant will be tagged using this code only. Your identity will be withheld from any written reports or publications arising from the study, and study data will be anonymized suitably to protect your confidentiality.

Although the level of risk arising from participation in the study is characterized as "Minimal" according to federal guidelines, there are still some risks to participation. These will be explained during the informed consent process once you accept the researcher's invitation to participate in the study.

You have the right to end your participation in the study at any time without penalty and without assigning any reason.

The researcher does not anticipate any harm coming to you from completing this questionnaire. The same level of protection afforded to study data will also be afforded to all questionnaire responses. Your questionnaire responses may be used in the data analysis or as part of the study findings even if you are not shortlisted for participation in the study. You may terminate your participation in the questionnaire at any time by clicking on the "Opt Out" button. Should you have any questions at any time (even after you have submitted the questionnaire) or should you wish to withdraw your name from consideration after submission of the questionnaire, please contact me at {email ID} or {phone}. You have the right to request, at any time, that your name be withdrawn from consideration for participation in the study.

*Demographic Questionnaire*

*Please choose the most appropriate response to the following questions or enter a response in the space provided. In case of open-ended questions, please be as descriptive as possible.*

Are you personally acquainted with the researcher Alesia Nichols?
Yes
No
Do you identify as male or female?
Male
Female
Both or Neither
What is your present status in the United States?
Citizen or National
Permanent resident (holder of a Green Card)
Holder of an immigrant visa (IV) or non-immigrant visa (NIV)
Other
I do not currently live in the United States
Do you self-identify as an Asian American of Chinese, Japanese or Korean ethnicity?
Yes, I self-identify as an Asian American of Chinese ethnicity
Yes, I self-identify as an Asian American of Japanese ethnicity
Yes, I self-identify as an Asian American of Korean ethnicity
I self-identify as an Asian American but my ethnicity is other than Chinese, Japanese, and Korean
No, I do not self-identify as an Asian American
What is your employment status?
Permanent, full-time Employee
Permanent, part-time Employee
Temporary Employee (whether part-time or full-time)
Independent Contractor
Consultant
Director
Other
Please state the name of your principal employer: _____
Do you currently work with General Electric in any capacity – employee, contractor, vendor, or otherwise?
Yes
No
I'm not sure
Are you currently a member of your employing organization's Board of Directors, a major shareholder with voting rights, owner, promoter or do you have a close family relationship with such individuals?
Yes
No
I'm not sure



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Please state your principal place of residence: _____
What is your present job title? _____
In your present job, do you have individual or joint responsibility for project execution?
Yes
No
I'm not sure
In your present job, do you have individual or joint supervisory responsibility over other employees?
Yes, but with fewer than three direct reports
Yes, with at least three direct reports
No
I'm not sure
In your present job, do you have the authority to take recruitment, promotion, and termination decisions for direct or indirect reports?
Yes
No
I don't know

How many full years of management experience (at all levels, including entry-level management) do you have within the United States? Exclude any management experience gained overseas.
Less than five years
Five to ten years
Ten to fifteen years
More than fifteen years
Briefly provide an overview of your career in a management or leadership role: _____
Briefly describe your experience as an Asian American manager in corporate America. Does your ethnicity affect your experiences? _____
Briefly describe your experience as a female manager in corporate America. Does your gender affect your experiences? _____
Has there been an incident in your career as manager where ethnic identity or gender has affected either your actions or those of others? Please outline the incident(s) very briefly: _____
In your work as a manager, have others (colleagues, managers, and subordinates) ever made reference to your ethnic identity or gender? _____
Are you willing to participate in a 60 to 90 minute face-to-face or Skype video conferencing interview, or a shorter telephonic interview, to talk about your experiences as a female Asian American manager in corporate America?
Yes
No

If you answered Yes to the previous question, please provide your name, a personal email address, a personal phone number (landline or mobile), and indicate the best time of day to get in touch with you outside of work. Given the nature of the study, please DO NOT provide work contact details: _____
*Please click on the 'submit' button to submit your responses. Your data will be transmitted over an encrypted server and will be held securely in accordance with Capella University's information security policies.*

*Post-Questionnaire Screen*

Thank you for completing the questionnaire. The researcher will review your responses and determine if you meet all the inclusion criteria for participation in the study. In case you are shortlisted to receive an invitation to participate, the researcher will contact you using the details you have provided in the questionnaire. Once contact is established, the researcher will review the nature and purpose of the study and discuss the terms of your participation, including your rights as a research participant. You will be requested to sign a consent form for participation in the study at that time. You are under no obligation to participate as a consequence of having completed the questionnaire – the decision to participate is your own. Once the consent procedure is completed, the researcher will schedule an interview at a date and time that is convenient to you, and will send a follow-up email to confirm the details.

In case you do not hear from the researcher, this means that you have not been shortlisted for participation in the study. However, the responses you have provided in the questionnaire may be used in the data analysis or study findings. In either case, all your data will be held securely and confidentially.
In case you have any questions, please feel free to contact the researcher as follows.



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## Appendix E: Semi-Structured Interview Guide

*Introductory statements*

Thank you for agreeing to speak to me today. I appreciate you agreeing to participate in this study on the influence of ethnicity and gender on the leadership experiences of female Asian American managers. This interview is expected to last for 60 – 90 minutes.

I want to confirm that I have received a signed consent form from you for your participation in this study. I would like to remind you that you are free to withdraw your consent at any time and stop the interview. You do not need to continue if you feel uncomfortable at any time during the interview.

{Review the signed informed consent form with the participant} Let us go over your informed consent form in more detail…

You will receive a copy of your signed consent form within 48 hours after the conclusion of the interview, for your records.

{Explain the purpose of the study in using non-technical terms}

Do you have any questions before we start the interview? In case you want to ask any questions during the course of the interview, please feel free to stop me and ask.

*Opening checklist*

All introductory statements above have been made
Signed informed consent form has been reviewed
The purpose of the study has been discussed
All participant queries have been addressed

*Questions*

*Interviewer notes: The numbered questions correspond to the main constructs under investigation in the study. The sub-questions below each numbered question can be used as leads and probes when deemed necessary by the interviewer to seek more information about the participant's experiences.*

How does your identity as an Asian American affect you in the workplace? Do you think it affects your work as a manager?
Can you tell me about any specific incidents or examples?
How do you feel about your Asian American identity?
Do you approach a work-related matter differently because you're Asian American? Can you give me an example?
Do you avoid certain kinds of things because of your Asian American cultural background?

Have you ever felt that because you are an Asian American, your colleagues, managers, and others you have worked with have made certain assumptions about you or treated you in a certain way, whether positively or negatively?
Do you have any specific examples or incidents in mind?
Why do you think they made those assumptions or treated you differently?
Did you react to their behavior? If so, how did you react?
Did their conduct affect your own work in any way?
Have you heard of the term "model minority"? Do you think it affects your work as a manager?
Do you think it affects the way your colleagues, managers, and others in the workplace interact with you?
Do you have any specific examples or incidents in mind?
What do you feel about being a member of an ethnic group called a "model minority"?
Do you think it is a positive thing or does it place a burden on you to behave a certain way?
How does your identity as a woman affect you in the workplace?
Do you think it affects your work as a manager? Can you recall any specific incidents or events?
Do you bring your perspective as a woman to bear upon your work? Can you recall any specific examples of when you did that?
Are there activities or behaviors that you are more likely to engage in, because you are a woman? Can you explain?
Are there activities or behaviors that you are less likely to engage in, because you are a woman? Can you explain?
Have you ever felt that because you are a woman, your colleagues, managers, and others you have worked with have made certain assumptions or treated you in a certain way, whether positively or negatively?
Do you have any specific examples or incidents in mind?
Why do you think they made those assumptions or treated you differently?
Did you react to their behavior? If so, how did you react?
Did their conduct affect your own work in any way?



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Do you think your identity as a woman has affected your career path, progression and any managerial or leadership opportunities available in your organization?
Do you have any specific examples or incidents in mind?
How did these incidents or examples make you feel?
Do you think your career trajectory would have been different in any way if you were a man?
Does your organization encourage female managers to be leaders?
Do you think that a white man in your position would be treated differently by colleagues, managers, and others in the workplace?
Why do you believe this? Have you observed any incidents of different treatment?
Do you think an Asian American man *[emphasize the word 'man']* in your position would also be treated differently?
Do you think that being both a woman and an Asian American affect the way you are perceived by others? Does this result in different treatment?
Do you think your career path and progression would have been different if you had been a man?
Why do you believe this? Have you observed any incidents where different opportunities were available to men and women?
Do you think an Asian American man *[emphasize the word 'Asian American']* would also have a different career path and progression?
Do you think that being both a woman and an Asian American have affected your career progression?
Would you like to tell me anything else about your experiences as a manager before we close this interview?

*Closing checklist*
Thank the participant for her time.
Inform the participant about member checking i.e. that they will receive a written transcript of the interview via email for review, modification, and comments. Explain the purpose of the member checking process.
Inform the participant that she can withdraw from the study at any time, even after the transcript of the interview has been prepared.

*Special Situation: Participant Distress*
If the participant starts to sob, cry, or otherwise display visible and strong emotion during the interview, the researcher will STOP the interview and follow these steps:
Speak in a soothing tone of voice and ask if everything is alright. Ask if the participant wishes to take a drink of water or visit the restroom.
If the distress continues after this, ask the participation if she would prefer to:

*Continue after a brief pause Stop the interview for the day and resume at a later date End her participation in the interview altogether*

*Option 1:* Take a 15 to 30 minute break and leave the room to allow the participant to recover in private. Alternatively, the participant may be gently requested to step outside and get some fresh air. Turn the audio recording function off when taking a break. Resume once the participant has indicated that she is comfortable continuing. Record the duration of the pause and your impressions of the participant's demeanor during the episode.

*Option 2:* Stop the interview. Ask the participant if she would prefer that you remain with her for some time or leave the immediate vicinity to allow the participant to recover in private. Follow the participant's wishes. Once the participant is composed, take your leave and inform the participant that you will call or email to reschedule the interview. Thank the participant for her time and apologize for the distress caused.

*Option 3:* Stop the interview. Ask the participant if she would prefer that you remain with her for some time or leave the immediate vicinity to allow the participant to recover in private. Follow the participant's wishes. Once the participant is composed, take your leave and inform the participant that you her participation in the study has been terminated at her request. Thank the participant for her time and apologize for the distress caused.
For all three options, before leaving, inform the participant that she should seek counseling in case she thinks it necessary to cope with the distress caused.
In all three cases, record your observations of the participant's demeanor during and after the episode, and also note down your impressions of any specific question/comment that may have caused distress to the participant. In other words, document the adverse event in your notes.
Report the adverse event to Capella's Human Research Protection Program (HRPP), in accordance with 45 CFR 46.103(b)(5).



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## Appendix F: Post-Interview Notes

| Post Interview Notes |
|---|
| **Participant 1** |
| Buys into the MM stereotype and thinks that Asians, particularly Asian women, work hard. She emphasizes that diversity is really important to the company that she works for and she has noticed a big demographic change in her workplace (it used to be 90 % men in top positions but now it is only 50%). I wonder if her experiences would have been different if she had children? |
| **Participant 2** |
| Good interview and rapport. I handled the interview professionally. Not too leading with my questions. Highlights: she describes herself as feeling very American. She feels that, as a minority, she has to represent Asians in a positive light. She feels that her upbringing has emphasized respect and family and so her life experiences may be different as a result. She feels that the model minority stereotype is true, to a certain extent, but that are many Asians that don't fit the stereotype. They are just less visible. She is in a male dominated role but noted that in more junior roles there is gender parity. She notes that things are changing as corporate culture changes. Initiatives are resulting in more women in leadership roles |
| **Participant 3** |
| Good interview. KT expressed that it was a good experience at the end. She described growing up in a not very diverse middle class and mostly white neighborhood. Doesn't feel that she has been affected by racism. In her understanding of the model minority stereotype there is a lot of emphasis on Asian people being quiet and polite. She suggests that the stereotype is not unfounded as far as her personal upbringing is concerned but that it is damaging because it places so much emphasis on being high achieving. |
| **Participant 4** |
| She emphasized that she is very outgoing and that, in her opinion, there are two types of Asian women -- one type that are very shy and passive, the other type that are very aggressive and outgoing. She is the outgoing type. Believes that the MM stereotype is reinforced by super strict Asian parents pushing their kids to get top marks and that Asian parents are very concerned with their children's success. She sees her opportunities as being much more limited by gender than by race. She thinks that without quotas and external pressures that women's career paths would be much more limited. She very much feels that the upper echelons of corporate America are a man's world -- particularly a white man's world and that there is a definite glass ceiling. |
| **Participant 5** |
| Participant emphasizes that her Asian culture has been a huge part of her life and that she grew up in predominantly Asian environment in NY. She feels more comfortable around people who are ethnically similar to her and has mostly surrounded herself with other Asians. She seems to buy into some aspects of the MM stereotype and noted that, as a result of her culture, she tends to be more polite and soft spoken, and more careful about how she expresses herself. She notes that she is naturally shy, so that informs her behavior in the workplace as well. That said, she also feels very American. She thinks that the MM stereotype can be very harmful if you don't live up to the high expectations. She noted that she has "leveraged her culture" to advance professionally by applying for scholarships and internships for minorities. |
| **Participant 6** |
| Grew up feeling conflicted about her identity as an AA but has since embraced it. She is very familiar with the MM stereotype and raised it early in our conversation before I even introduced it. She has encountered the MM from her colleagues who noted that she was "feisty" rather than passive, though the colleague didn't bring race blatantly into. However, she immediately knew what he was getting at. She has mentored young Asian woman in order to help them become more assertive as a lack of being assertive can limit their career trajectory. She has a very sophisticated understanding of the stereotype, which she argues can create a positive impression but only up to a point because Asians are seen as lacking the more subtle skills and innovative / creative spirit required to reach the |



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higher levels of management. She also emphasized that for people who are more familiar with Asians as friends and colleagues the myth doesn't hold that much sway.

**Participant 7**

Participant emphasized that her personality has been influenced by Asian culture and her upbringing. Raised in a humble household and told not to be a bragger, keep your head down and do what is asked of you. This philosophy has merged into her work life. She is naturally an introverted individual who prefers to be seen and not heard which she recognizes may impact her career opportunities. She has been mentored and given advice about voicing her opinions more openly. It's not who she is however, her personality is just more introverted. That does not mean she is not good at what she does, it just means she doesn't feel the need for constant recognition, actually, she tends to shy away from it. She is comfortable in her own space. Her aspirations are to do exceptional work, rather than try to make up the next rung of the corporate ladder. She says that is ok with where she is and with the person she has become.

**Participant 8**

She expressed quite a bit of frustration about her work environment, which is predominantly female -- there is a lot of cattiness and backstabbing so her reflections on how her gender informs her work experiences were largely negative because of that -- not because she is experiencing discrimination but because of an unhealthy office culture, which she herself defined in gendered terms. She would like the opportunity to work in an environment where more men are in her department. Feels that would equalize the culture a bit and where there would be much more focus on the quality of the work and less on inconsequential, silly banter about things that are not work related. Looks forward to working in a merit based environment where you are judged by the work you do. Has a competitive nature. Not concerned with gender, concerned with proving her value to the organization. Although, she comes from a humble background, she has taken just the opposite approach. She has adopted the American approach and wants to move up the ladder and tries to exhibit the behavioral traits to get you there.

**Participant 9**

Great interview. Excellent rapport. Perhaps I was too leading at times. Will be more restrained next time. Highlights: One of very few women in her team (only 10% women). Sees herself as a woman in a man's world. Buys into the "model minority" stereotype. Hard to balance expectations of women's behavior (must quiet and polite) with demands to be forceful and put yourself out there. Believes women are looked down upon if they cross the gender lines.

**Participant 10**

Sees the model minority as a positive thing. She has conformed to it and doesn't see it as a myth. She doesn't see it as being so prevalent where she is currently working in the southern US and stated that it is more of West Coast thing. She stated that the Asians she has worked with are harder working. She feels that being a woman has positively helped her career as her current company was specifically recruiting a woman for her current position. She feels that it helped her career progression more generally because she rose through the ranks at a time when there was concern about getting more women into managerial positions.

**Participant 11**

Participant is relatively young -- late 20s and has no children so that has not been an obstacle to her career path. Although she went to grad school and has worked in the States for over five years, her English is not perfect. She may have had a bit of difficulty understanding some of the questions, especially around the model minority stereotype but I was able to explain it to her so I am confident she understood it in the in the end. She was not familiar with the model minority stereotype but stated that it didn't bother her. "I am OK with it." She appears not have suffered from discrimination as her organization is diverse and her colleagues are accommodating of any difficulties she has around language. She feels that maybe she has experienced some positive discrimination in that her company was actively looking to recruit minorities. She feels that she has not experienced gender discrimination and that American legislation provides protection against discrimination whereas in China the situation is different. She does not feel that Americanized and feels that there is a cultural barrier between her and some of her colleagues. She is OK with that and does not see that as discrimination or as being actively excluded. She recognizes that she just has different values and interests than many of her colleagues do.



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| Participant 12 |
| --- |
| Feels that she does not conform to the passive stereotype but that maybe being Asian held her back in terms of promotions but that is more a result of a cultural barrier due to there being cultural distance between herself and the top managers. She feels that some of the attitudes she has encountered are typical of the industry that she works in, which tends to be a very male dominated one. She also emphasizes that when she immigrated to the US in the 1990s, China was just beginning to open up, and perceptions of it were that it was a poor, developing country. In terms of the MM stereotype, she feels that the impression of Asians as hard working comes out of their experiences as immigrants, as having to make an extra effort to succeed, and that Western people immigrating to Asia would have to make a similar effort. She also noted that she has experienced tensions working with other Asian minorities |
| **Participant 13** |
| She is very aware of the model minority stereotype. She thinks that it has positive benefits insofar as people see Asians as being smart, hardworking and analytical. The flip side of the stereotype is that, for all the hard work, there is also the impression that Asians are passive. In her opinion this is especially problematic for Asian women as they are seen as not being able to lead because they lack boldness and charisma so their movement up the ladder is blocked. She feels like she has benefitted from the minority affinity groups at her current employer but that she doesn't see Asians in top-level positions but she understands that and points out that people hire people who they are comfortable and familiar with and who are like them. So, it really is a kind of cultural barrier to get into upper echelons. In her industry, marketing, gender is not an issue. She also noted the "catty" dynamic that exists among women and how that can be problematic but that there are more opportunities for bonding with women and personalizing relationships. |
| **Participant 14** |
| She has worked primarily in large and diverse organizations which are very international in their focus. Her viewpoint is really colored by her experiences in Korea and the fact that the culture there is much more competitive and demanding than in the US and much more sexist. She emphasized that Korean corporate culture is not inclusive or diverse. She feels she has many more opportunities in the US and does not want to return to Korea. She feels that she personally conforms to the model minority stereotype but that it is not that representative of the Asian Americans she has met. For example, she worked in a department with 5 other Asians, three of them were hard workers, but two were lazy. In her current position, there are many women in her department and there are also women who occupy important roles in the corporate hierarchy. She doesn't feel that her race or gender have negatively impacted her in any way. She feels that she has been evaluated solely on her individual merits. She noted that one point at which women face obstacles in their career trajectories is when they have children. |
| **Participant 15** |
| This interview was OK. Language comprehension was a bit of a strain. L seemed to have difficulty understanding the difference between what she observes as a general impression (e.g. women are held back in their careers because of domestic responsibilities) and her own personal experiences. She didn't really demonstrate much familiarity with model minority stereotype and in responding to the question just focused on some issues she has had with her performance reviews because of language barriers. Like Z (participant 6) she indicated that she didn't experience anything resembling direct discrimination but that sometimes cultural barriers were hard to overcome. She also indicated that colleagues in her company and her direct superior try to be accommodating her by speaking more slowly or giving her the opportunity to ask follow-up questions. |
| **Participant 16** |
| Moved to the US for university and has excellent English. Her work is in marketing and she is familiar with the MM stereotype. She emphasized that she has poor quantitative skills and that people sometimes teased her during her MBA because of it, expecting that she, as an Asian in business studies, would have strong math skills. Despite not being born or raised in the US, she really seemed to understand the whole MM concept and offered a lengthy explanation of why she thinks the stereotype developed from the fact that Asians have done so well in American society in terms of wealth accumulation and education. Thinks that men advance to higher leadership roles because of their success with casual bonding with each other. She feels that, as a result, they have earned their success. Relatively new to this level of management. Does not feel comfortable with small talk or around the cooler chatter. She feels somewhat like a fish out of water in that she doesn't get a lot of American cultural references. She does not go out of her way to mix and mingle and is ok with that. She thinks that she will get by on merit, "do a good job and you get promoted." She has not yet learned how to navigate the politics that exist in organizations. She does not have a mentor and has not tried to get one |



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## Appendix G: Reflexive Journal Samples

*September 22, 2014 8:15 pm -- entry made following interview with participant 6*

This was my first interview but I felt at ease having gone through the training with my mentor and having conducted a number of interviews as a human resources person and having read scholarly literature on how to conduct interviews for qualitative studies. I felt very comfortable speaking with this particular participant because she has a Human Resources background, albeit from a legal perspective. She's manages HR legal groups and I found that as I was questioning her that she had a lot of insights into the situation of not just Asian women, but other minority women. I didn't make comments about my own experiences but listening to her it seemed as if she could understand my experiences. That said, I felt myself wanting to engage with her more because I had a sense that she could understand my own experiences. BUT this research is NOT about my experiences.

I think I've seen things, been subject to certain behaviors, and have had things said about me as a minority that were reflected in some of her comments. Because I have only had discussions around being African-American in corporate America with other African-American women in corporate America what I realized in this interview is that despite our differences in terms of ethnicity, we have commonalities in our circumstances other than being women. For example she gave some examples of instances that I was totally able to relate to even though I am not Asian-American, examples like not being privy to certain information because you are a white male and you aren't in the insiders' circle. In other words you're excluded in some cases because you don't look like they do and you don't act like they do.

So I think I came out of this interview with the realization that while we are different ethnicities and our communities have different histories, some of the circumstances under which we try to navigate corporate America and some of the behaviors that are directed toward us are very much the same.

So even though I am trying not to have a bias, as I do these interviews, I see that I clearly did have one in thinking that my circumstances as an African-American minority would be so incredibly different from that of an Asian American woman. What I realize today is that while in some cases that maybe true, there are other situations in which it is not true. In fact, I found far more similarities than I did differences and it's got me thinking now, to be sure, about how I need to let participant responses guide the interview as they should. I cannot let my biases based on my own experiences influence this process because it could prove detrimental. I thought this was a very good interview and eye-opening for me. It was very similar to answers I might have given if I were the participant.

*October 21, 2014 8pm -- entry made following interview with participant 1*

I started with this interview by making the participant feel comfortable, I let her know that if at any point she wanted to stop the interview or the questions were too overwhelming she could. I think that set the tone for what I consider to be a very good interview. I was very much the professional that I was intending to be. I found easy to relate to this participant because the industry that she works is an industry that I had formerly worked in. So, as I asked her the questions I could actually understand the language that she was using, having been in that industry, and so it made it easier to talk and to have more of what seemed like dialogue rather than a scripted interview, although I was able to get all of my questions asked and answered.

As an Asian American minority in corporate America her responses were somewhat different to what I, as an African American woman, would have answered but that was clearly because of our lived experiences are so different. For example, because of her extremely strong analytical skills, she has found that there is a very high level of respect that is given to her. If I were doing a comparison of me as an African-American woman, my experiences have been just the opposite, in that, because I am African-American, there is the perception that I'm not really capable of strategic thinking. It was interesting and without forming an opinion on where this will all lead after I include my interviews, there was a sense of insecurity that I suddenly felt in myself after completing this interview.

*October 16, 2015 8:15 pm -- entry made after reviewing several transcripts*

I'm beginning to notice a pattern and the analysis has not even begun! It's interesting to me, and I clearly see how it could happen. What I see is that there are a lot of contradictions in the participants' responses. I asked one question in the interview and received a response but, as I read through the same interview, another question I may have asked has a completely contradictory answer, though it was clearly related to a previous question. I'm noticing this not just with one participate, but actually several participants. What this indicates it just how complex and difficult answering some of these questions is and how complicated the experiences of participants actually are. Thinking about these contradictory answers tells me that there is complexity in this process and that what I am asking is very, very personal and very individual and that participants' experiences varies over time. The fact that these complexities are emerging is the strength of qualitative research. I didn't really get this sense as I was doing the interviews but as I review the transcripts it is something that stands out quite vividly. This is why I am going



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through the transcripts one by one, over, and over. These discrepancies are clear, loud and bold and must be thoroughly considered in the final analysis.

Each response represents a life lived. It is not something that I take lightly at all. Participants let me peak into their experiences and I can only hope that the outcome is something that is read and potentially taken into consideration as more minority women enter corporate America. I have such passion for sharing these and other experiences of women, men and those in positions of authority that can make changes happen at higher levels in organizations. It is very much necessary.

*October 30, 2015 5 pm--entry made towards end of the transcription process*

Having a reflexive journal allows me to put into words what I feel at a moment in time or over a period of time and it's interesting to go back and reflect on what you were thinking on at that. In time. These transcripts have given me pause and really almost validated the feelings that I were having at the time as I read some of the responses from the participants and then go back and read what I was feeling at a particular time in my professional career there are so many similarities it's daunting. In some part of journal in my personal life about my personal and professional endeavors has allowed me to understand the experiences emotions feelings and actually made me connect to my subjects in a distant yet personal way. I am ultimate professional when it comes to doing interviews and yet with these particular interviews having never done this type of interviewing it made me an even better I am ultimate professional when it comes to doing interviews and yet with these particular interviews having never done this type of interviewing it made me an even better interviewer. I feel as if the participants have been honest and forthright in their answers and I sense that in part, that's because they wanted to share their lived experiences... they wanted to let me know that there are these barriers that exist and that the more we can share this information the more likely it is we can do something about it. I honestly believe their responses were genuine and authentic. I think about the times I've been asked questions similar to those that I post to the participants whether it was for a survey or just in discussion and nothing comes to mind more than speaking your truth and so I think that that's exactly what I got from the participants in their responses to my interview questions. I think they spoke their truth. It's very liberating.

Sometimes as I review the transcripts, I wonder if my self-reflection could somehow seep into my analysis and, if so, how I could avoid it from impacting my data analysis? Can it impact or have an effect on the data analysis? By acting in the role researcher in a study that I am not a participant in but that relates to my own experience, will bias creep into my analysis. Not if I strictly adhere to the methodology and stay keenly aware that I am analyzing my participants' responses and not my own.

*November 23, 2015-5:00 pm -- entry made part-way through the data analysis process*

I'm halfway through my first attempt at analyzing the transcripts and am really starting to master the NVivo software environment. I was feeling very frustrated at the beginning and felt like there was a steep learning curve but now I realize that the software is making the data analysis process SO much easier. I'm already beginning to see larger patterns in the data emerge, which I think is being facilitated by how easy it is to visualize and organize the emerging nodes in the NVivo environment. I'm now using the memoing feature within NVivo to keep track of my thoughts about the data and to record my impressions and bracket out my biases -- it's a great tool. Here's an example of a memo I wrote earlier today:

It is interesting but I'm seeing the issue of culture emerge as one of the predominant themes. As an African American, I tend to think more in terms of barriers around race and ethnicity but the participants are instead bringing up issues pertaining to cultural differences between themselves and their colleagues. For example, participants who weren't brought up in the US might discuss how their lack of familiarity with American popular culture makes it difficult for them to relate to their colleagues. Participants more generally are bringing up the issue of Asian culture promoting different values (e.g. deference and reserve) than American culture, which can be problematic in terms of moving up the corporate ladder. This is a huge theme! What's also interesting is that many of the participants seem to be fairly level headed, I would say almost accepting of these cultural differences and the effect they may have on their career progression. Is that because, as some of them acknowledge, Asian culture can be chauvinistic? A number of them have stated that, in their experience, Asian people such as their parents or even themselves view Asian culture as superior. Does this awareness of the fact that non-European cultures can be chauvinistic lead to a greater acceptance of the fact that many cultures can be closed and difficult for outsiders to penetrate? This all very complex and nuanced stuff. I wonder how I will express it in my data analysis write up."

*December 3rd, 2015 8pm -- entry made upon completion of data analysis*

Having now completed the analysis of the material I find myself somewhat conflicted. The minority model stereotype, true or untrue has in some cases been a benefit to participants and in other cases a detriment to them.



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They have used it to their advantage when they were able and in other cases have found themselves not being considered for position as a result the perception that they are too passive or lacking in soft skills.

I'm also troubled by the fact that, as an African-American minority, I really never had an opportunity to "leverage my identity" as one participant put it. African Americans don't enjoy the "privilege" of being treated like the nerdy counterparts of white Americans. Let's face it, the MM stereotype is a type of privilege --the participants, as ambivalent as they were about the stereotype, did feel that their identity and the stereotypes around it were positive. And let's face it, the African American stereotype doesn't have much of a positive aspect, especially in corporate America. Being good at basketball and "having rhythm" isn't going to get you very far in the board room -- certainly not as far as the perception that you have strong quantitative skills and that you can get the job done no matter what. Sadly, the view of African Americans reflects the social reality of inequality and the fact that African Americans remain disenfranchised and are not considered for opportunities. And it has lasting effects. It has emotional effects, it has social economical effects, it has long-term effects on the African-American family. It has a long term effects on the relationships between African American men and women in relationships. It has the effect of marginalizing what African-American culture can contribute to corporate America. It has lasting effects that will live on for years to come.

## Appendix H: Informed Consent Form

*Study Title:* The Influence of Ethnicity and Gender on the Leadership Experiences of Female Asian American Managers

*Researcher:* Alesia Nichols

*Email Address and Telephone Number:*

*Research Supervisor:*

*Email Address:*

You are invited to be part of a research study. The researcher is a doctoral learner at Capella University in the School of School of Business and Technology. The information in this form is provided to help you decide if you want to participate. The form describes what you will have to do during the study and the risks and benefits of the study.

If you have any questions about or do not understand something in this form, you should ask the researcher. Do not sign this form unless the researcher has answered your questions and you decide that you want to be part of this study.

*What Is This Study About?*

The researcher wants to learn about the leadership experiences and career opportunities of female Asian American managers working in corporate America. The study will consider how stereotypes of Asian Americans as "model minorities" may influence the perceptions of individual Asian American women in leadership roles and the leadership opportunities available to them. It will also consider how Asian American women perceive their gender as influencing their leadership experiences and career opportunities. The study will focus on the lived experiences and perspectives of the participants themselves; the larger aim is to generate a theory or model that can explain how gender intersects with ethnicity to affect the professional lives of female Asian American managers.

*Why Am I Being Asked To Be In The Study?*

You are invited to be in the study because you are:
a woman
an Asian American of Chinese, Japanese, or Korean ancestry
a US citizen or permanent resident
a full-time employee
a mid-level manager with at least five years of managerial experience gained within the United States (according to the criteria chosen for this study)
not related or known to the researcher prior to this study
If you do not meet the description above, you are not able to be in the study.

*How Many People Will Be In This Study?*

About 20 participants will be in this study.

*Who Is Paying For This Study?*

The researcher is not receiving funds to conduct this study.

*Will It Cost Anything To Be In This Study?*

You do not have to pay to be in the study.



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*How Long Will I Be in the Study?*

If you decide to be in this study, your participation will last about 60 to 90 minutes. The researcher will schedule an interview with you either face-to-face, through Skype video conferencing, or over the telephone. If a face-to-face interview is schedule, the researcher will determine a time and location which is acceptable to you. In case of a telephone interview, a short follow-up call may be scheduled to clarify your responses.

*What Will Happen During This Study?*

If you decide to be in this study and if you sign this form, you will do the following things:
give personal information about yourself, such as your name, gender, occupation, and education level.
answer questions during an interview about your experiences as a female Asian American manager, and your perceptions of the influence of ethnicity and gender on these experiences. Your participation will consist EITHER of a 60 to 90-minute interview conducted face-to-face or through Skype video conferencing OR a 45-minute telephone interview and a short follow-up call.
While you are in the study, you will be expected to:
Follow the instructions you are given.
Tell the researcher if you want to stop being in the study at any time.

*Will I Be Recorded?*

The researcher will digitally audio-record your interview. The recordings will be transcribed and transcripts will be prepared from the recording. You will be given an opportunity to review the transcripts for accuracy. The researcher will use the digital audio recordings and transcripts for the data analysis component of the study. The researcher will subject the transcript to qualitative data analysis procedure to see which themes emerge from the experiences you recount.

The researcher will only use the recordings of you for the purposes you read about in this form. They will not use the recordings for any other reasons without your permission unless you sign another consent form. The recordings will be kept for seven years and they will be kept confidential. The recordings will be destroyed after seven years.

*Will Being In This Study Help Me?*

Being in this study will not help you. Information from this study might help researchers help others in the future.

*Are There Risks To Me If I Am In This Study?*

No study is completely risk-free.

Since this study uses a sampling technique which relies on distributing the call to research participants widely, it is possible that your employer may be aware of the existence of the study. Since this study addresses sensitive workplace topics, an employer might be unhappy or otherwise react in a negative manner if it learnt that an employee had participated in the study. However, it is extremely unlikely that your employer would become aware of your participation in the study. All reasonable measures have been taken to ensure that your participation remains anonymous and any data you provide remains confidential.

As part of the study you may experience an emotional reaction during the interviewing process while recounting a distressing experience in the workplace. If this happens, the researcher will ask if you want to continue the interview after a brief pause, stop the interview and resume at a later date, or end your participation altogether. It is your right to stop the interview at any time.
You may stop being in the study at any time if you become uncomfortable or distressed.

*Will I Get Paid?*

You will not receive anything for being in the study.

*Do I Have To Be In This Study?*

Your participation in this study is voluntary. You can decide not to be in the study and you can change your mind about being in the study at any time. There will be no penalty to you. If you want to stop being in the study, tell the researcher.
The researcher can remove you from the study at any time. This could happen if:
The researcher believes it is best for you to stop being in the study.
You do not follow directions about the study.
You no longer meet the inclusion criteria to participate.

*Who Will Use And Share Information About My Being In This Study?*

Any information you provide in this study that could identify you such as your name, age, or other personal information will be kept confidential. Each participant will be assigned a code and all study data will be identified by



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code only rather than by using names or other identifying information. The Master List of codes will be kept in a locked cabinet in the researcher's home office. Only the researcher, her research supervisor, and members of the dissertation committee may request access to the Master List of codes. In any written reports or publications, no one will be able to identify you.

The researcher will keep the information you provide in a secure folder on a password-protected computer (for electronic data) and in the researcher's home office and only the researcher, research supervisor, and members of the dissertation committee will be able to review this information.

Your interview with the researcher will be recorded and transcribed either by the researcher or by a professional transcription service. In case a professional transcription service is used to transcribe interview audio, the transcriptionist will be asked to sign a confidentiality agreement. This agreement will also outline how any participant data is handled, stored, and destroyed. The audio recordings will only be accessible to the researcher, the research supervisor, members of the dissertation committee, and the professional transcriptionist.

*Who Can I Talk To About This Study?*

You can ask questions about the study at any time. You can call the researcher if you have any concerns or complaints. You should call the researcher at the phone number listed on page 1 of this form if you have questions about the study procedures, study costs (if any), study payment (if any), or if you get hurt or sick during the study.
The Capella Research Integrity Office (RIO) has been established to protect the rights and welfare of human research participants. Please contact us at 1-888-227-3552, extension 4716, for any of the following reasons:
You have questions about your rights as a research participant.
You wish to discuss problems or concerns.
You have suggestions to improve the participant experience.
You do not feel comfortable talking with the researcher.
You may contact the RIO without giving us your name. We may need to reveal information you provide in order to follow up if you report a problem or concern.

*Do You Want To Be In This Study?*

I have read this form, and I have been able to ask questions about this study. The researcher has talked with me about this study. The researcher has answered all my questions. I voluntarily agree to be in this study. I agree to allow the use and sharing of my study-related records as described above.
By signing this form, I have not given up any of my legal rights as a research participant. I will get a signed copy of this consent form for my records.
Printed Name of Participant
Signature of Participant Date

I attest that the participant named above had enough time to consider this information, had an opportunity to ask questions, and voluntarily agreed to be in this study.
Printed Name of Researcher
Signature of Researcher Date

*Do You Wish To Be Audiotaped In This Study?*

I voluntarily agree to let the researcher audiotapeme for this study using digital audio recording. I agree to allow the use of my recordings as described in this form.
Printed Name of Participant
Signature of Participant Date
Capella IRB Approval

## Appendix I: Codes Identified During Opening Coding

| Number | Nodes | Sources | References |
|---|---|---|---|
| 1 | affirmative action | 6 | 10 |
| 2 | American corporate culture rewards extroverted, assertive and expressive people | 9 | 24 |
| 3 | American corporate culture supports diversity | 13 | 33 |
| 4 | American society can be homogenous | 9 | 10 |
| 5 | American society can be narrow minded | 3 | 4 |
| 6 | American society promotes diversity | 4 | 5 |
| 7 | as a manager, I don't want to hire minorities or Asians | 1 | 2 |
| 8 | Asian corporate culture can be chauvinistic | 5 | 8 |
| 9 | Asian culture encourages conformity, obedience, hard work, discipline, | 9 | 15 |



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| Number | Nodes | Sources | References |
|---|---|---|---|
| | and humility | | |
| 10 | Asian culture is superior | 5 | 7 |
| 12 | Asian culture more competitive | 1 | 2 |
| 13 | Asian dominated profession | 2 | 3 |
| 14 | Asian identity is important to me | 2 | 2 |
| 15 | Asian men at the bottom of the social hierarchy | 3 | 3 |
| 16 | Asian men seen as passive | 3 | 3 |
| 17 | Asian parents demand more | 4 | 8 |
| 18 | Asian women can be assertive | 4 | 5 |
| 19 | Asian women not assertive | 5 | 7 |
| 20 | Asians not assertive | 2 | 3 |
| 21 | Asians work hard | 6 | 7 |
| 22 | being a minority a barrier to advancement | 2 | 3 |
| 23 | being a woman has had a negative impact on my career | 6 | 11 |
| 24 | being a woman has had a positive impact on my career | 6 | 9 |
| 25 | being a woman has not impacted my career | 2 | 2 |
| 26 | being an Asian woman has had a negative impact on my career | 4 | 6 |
| 27 | being an Asian woman has had a positive impact on my career | 6 | 6 |
| 28 | being an Asian woman has not impacted my career | 6 | 9 |
| 29 | being Asian has had a negative impact on my career | 5 | 5 |
| 30 | being Asian has had a positive influence on my career | 8 | 9 |
| 31 | being Asian has not impacted my career | 11 | 17 |
| 32 | being young is a factor | 4 | 6 |
| 33 | cultural disconnect | 12 | 28 |
| 34 | cultural expectations | 6 | 9 |
| 35 | culturally isolated | 8 | 11 |
| 36 | demographic change | 3 | 4 |
| 37 | depends on organization or context | 3 | 5 |
| 38 | difficult conforming to American corporate culture | 7 | 15 |
| 39 | difficulty of penetrating insider culture | 5 | 6 |
| 40 | difficult to lead men | 2 | 2 |
| 41 | don't want to advance | 2 | 2 |
| 42 | double edged sword | 4 | 9 |
| 43 | double standards | 4 | 7 |
| 44 | easier to relate to other women | 1 | 1 |
| 45 | feel like I don't belong | 3 | 3 |
| 46 | female corporate culture | 8 | 10 |
| 47 | female dominated corporate environment | 4 | 7 |
| 48 | female organizational culture can be dysfunctional | 3 | 4 |
| 49 | females are not assertive enough | 5 | 5 |
| 50 | females can be leaders in my organization | 6 | 9 |
| 51 | gender discrimination | 1 | 1 |
| 52 | gender expectations of minority managers | 3 | 4 |
| 53 | geographical differences in diversity | 5 | 6 |
| 54 | glass ceiling | 6 | 16 |
| 55 | having children impacts a woman's career trajectory | 9 | 13 |
| 56 | I conform to the mm stereotype | 5 | 7 |
| 57 | I don't conform to gender or racial stereotypes | 4 | 4 |
| 58 | I don't put people into boxes | 2 | 2 |
| 59 | I feel more American than Asian | 4 | 4 |
| 60 | I feel more Asian than American | 3 | 3 |
| 61 | I have leveraged my Asian identity through advocacy | 5 | 5 |
| 62 | I work hard | 8 | 9 |
| 63 | I work in male dominated role or industry | 5 | 9 |
| 64 | I'm petite | 3 | 3 |
| 65 | I'm ambitious | 1 | 2 |
| 66 | I'm assertive | 5 | 5 |
| 67 | I'm emotionally aware | 4 | 6 |



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| Number | Nodes | Sources | References |
|---|---|---|---|
| 68 | I'm more comfortable being around Asians | 4 | 4 |
| 69 | I'm not confrontational | 2 | 3 |
| 70 | I'm not good at math | 2 | 2 |
| 71 | I'm proud to be Asian | 5 | 8 |
| 72 | I'm reserved and don't speak up as much as my American colleagues | 7 | 12 |
| 73 | I'm respectful | 3 | 3 |
| 74 | I'm smart | 3 | 3 |
| 75 | I'm trying to be more assertive | 8 | 10 |
| 76 | influence of sports in socializing | 5 | 7 |
| 77 | influence of upbringing | 10 | 19 |
| 78 | language barrier | 7 | 12 |
| 79 | male corporate culture barrier | 10 | 20 |
| 80 | men get paid more | 3 | 3 |
| 81 | model minority stereotype damaging | 5 | 11 |
| 82 | model minority stereotype is a myth | 5 | 8 |
| 83 | model minority stereotype is positive | 3 | 4 |
| 84 | model minority stereotype is problematic | 6 | 6 |
| 85 | model minority stereotype is valid | 8 | 10 |
| 86 | model minority stereotype isn't relevant | 6 | 6 |
| 87 | model minority stereotype linked to passivity | 4 | 5 |
| 88 | more gender than race | 5 | 9 |
| 89 | more race than gender | 2 | 3 |
| 90 | more women being hired | 5 | 6 |
| 91 | my behavior represents Asians | 3 | 5 |
| 92 | need to conform American corporate culture | 8 | 10 |
| 93 | not treated differently | 13 | 23 |
| 94 | people expect more from Asians | 5 | 5 |
| 95 | people have positive perception of Asians | 4 | 6 |
| 96 | people make assumptions about me because I'm Asian | 5 | 8 |
| 97 | people tried to take advantage of me | 5 | 8 |
| 98 | perception Asians are not assertive enough | 5 | 6 |
| 99 | perception that Asians are obedient work horses | 6 | 10 |
| 100 | perception that Asians are smart | 5 | 5 |
| 101 | perception that Asians can't be leaders | 2 | 5 |
| 102 | perception that Asians have strong analytical skills | 6 | 6 |
| 103 | perception that Asians work hard | 4 | 5 |
| 104 | socializing can be a barrier | 7 | 9 |
| 105 | supported by colleagues | 4 | 5 |
| 106 | supported by superiors | 5 | 6 |
| 107 | treated differently | 3 | 6 |
| 108 | white men dominate leadership roles | 3 | 3 |

## Appendix J: Breakdown of Parent and Child Nodes

| Complicated influence of identity on career trajectory |
|---|
| being a minority a barrier to advancement |
| being a woman has had a negative impact on my career |
| being a woman has had a positive impact on my career |
| being a woman has not impacted my career |
| being an Asian woman has had a negative impact on my career |
| being an Asian woman has had a positive impact on my career |
| being an Asian woman has not impacted my career |
| being Asian has had a negative impact on my career |
| being Asian has had a positive influence on my career |
| being Asian has not impacted my career |
| being young is a factor |



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| |
|---|
| glass ceiling |
| having children impacts a woman's career trajectory |
| more gender than race |
| more race than gender |

| Ambivalence about the model minority stereotype |
|---|
| double edged sword |
| model minority stereotype damaging |
| model minority stereotype is a myth |
| model minority stereotype is positive |
| model minority stereotype is problematic |
| model minority stereotype is valid |
| model minority stereotype isn't relevant |
| model minority stereotype linked to passivity |

| Complicated views about Asian culture |
|---|
| Asian corporate culture can be chauvinistic |
| Asian culture encourages conformity, obedience, hard work, discipline, and humility |
| Asian culture is superior |
| Asian culture more competitivez |
| Asian dominated profession |
| Asian identity is important to me |
| Asian men at the bottom of the social hierarchy |
| Asian men seen as passive |
| Asian parents demand more |
| Asian women can be assertive |
| Asian women not assertive |
| Asians not assertive |
| Asians work hard |

| Complicated views about self-identified characteristics |
|---|
| don't want to advance |
| easier to relate to other women |
| I conform to the model minority stereotype |
| I don't conform to gender or racial stereotypes |
| I don't put people into boxes |
| I feel more American than Asian |
| I feel more Asian than American |
| model minority stereotype is positive |
| model minority stereotype is problematic |
| model minority stereotype is valid |
| model minority stereotype isn't relevant |
| model minority stereotype linked to passivity |

| Complicated views about Asian culture |
|---|
| Asian corporate culture can be chauvinistic |
| Asian culture encourages conformity, obedience, hard work, discipline, and humility |
| Asian culture is superior |
| Asian culture more competitive |
| Asian dominated profession |
| Asian identity is important to me |
| Asian men at the bottom of the social hierarchy |
| Asian men seen as passive |



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| |
|---|
| Asian parents demand more |
| Asian women can be assertive |
| Asian women not assertive |
| Asians not assertive |
| Asians work hard |

| Complicated views about self-identified characteristics |
|---|
| don't want to advance |
| easier to relate to other women |
| I conform to the model minority stereotype |
| I don't conform to gender or racial stereotypes |
| I don't put people into boxes |
| I feel more American than Asian |
| I feel more Asian than American |
| I'm ambitious |
| I'm assertive |
| I'm emotionally aware |
| I'm more comfortable being around Asians |
| I'm not confrontational |
| I'm not good at math |
| I'm proud to be Asian |
| I'm reserved and don't speak up as much as my American colleagues |
| I'm respectful |
| I'm smart |
| I'm trying to be more assertive |
| influence of upbringing |
| my behavior represents Asians |

| Opportunities and challenges of being Asian in the workplace |
|---|
| Asian men at the bottom of the social hierarchy |
| Asian men seen as passive |
| people expect more from Asians |
| people have a positive perception of Asians |
| perception Asians are not assertive enough |
| perception that Asians are obedient work horses |
| perception that Asians are smart |
| perception that Asians can't be leaders |
| perception that Asians have strong analytical skills |
| perception that Asians work hard |

| Opportunities and challenges experienced by women and minorities working in corporate America. |
|---|
| affirmative action |
| American corporate culture rewards extroverted, assertive and expressive people |
| American corporate culture supports diversity |
| American society can be homogenous |
| American society can be narrow minded |
| demographic change |
| depends on organization or context |
| double standards |
| female corporate culture |
| female dominated corporate environment |
| female organizational culture can be dysfunctional |
| females are not assertive enough |



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| |
|---|
| females are not assertive enough |
| females can be leaders in my organization |
| gender discrimination |
| gender expectations of minority managers |
| male corporate culture barrier |
| men get paid more |
| more women being hired |
| white men dominate leadership roles |

| Complicated personal experiences in the workplace |
|---|
| cultural disconnect |
| cultural expectations |
| culturally isolated |
| difficult conforming to American corporate culture |
| difficulty of penetrating insider culture |
| difficult to lead men |
| feel like I don't belong |
| I have leveraged my Asian identity through advocacy |
| influence of sports in socializing |
| language barrier |
| not treated differently |
| people make assumptions about me because I'm Asian |
| people tried to take advantage of me |
| socializing can be a barrier |
| supported by colleagues |
| supported by superiors |
| treated differently |



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# The Doctrine of the Rule of Law; a Necessity to Democratic Governance

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*Abstract-* The concept of democracy ought to be approached by examining its essentials. Democracy expresses both principles and ideals. That is, principles, which those who believe in democracy wish to be given practical expression in the laws and institutions of the society; and ideals which provide goals toward which man in society should constantly aspire for the betterment of the society. From the fore-going, the focus of this paper shall not only be on the definition of democracy alone, but rather on the essence and significance of the rule of law on which the practice of democracy as a political ideology and system stands and rests. Meaning that, it is to thematise that without an implementation of a functional rule of law, such democratic system becomes a sham and pointless. And for proper insight, the methodology adopted by the paper shall be purely expository, critical and analytical. Conclusively, the paper provides the variables for the way forward for Nigeria.

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# The Doctrine of the Rule of Law; a Necessity to Democratic Governance

Anuye, Steve Paul [α], Akombo Elijah Ityavkasa [σ] & Abdulsalami Muyideen Deji [ρ]

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## I. Introduction

These three concepts, namely, the rule of law, democracy and good governance are so interrelated that one is tempted to liken their relationship to that of Siamese twins. Their relationship is so intricately linked that, sometimes, one wonders where one stops and the other begins. Democracy, the rule of law and good governance are the key elements that are imperative for the existence of what Plato, in his "The Republic"[1], described as an "ideal state". Though, Plato later admitted in the "Statesman" the difficulty of having an ideal or a perfect state, it is generally believed today that every state, no matter how crude, primitive or authoritarian, is saddled with the problems of the rule of law, democracy and good governance. Democracy provides a conducive and stimulating environment for the rule of law to thrive, while the rule of law sustains democracy. Good governance, on the other hand, promotes and strengthens both democracy and the rule of law in every modern society.

The gap in knowledge is that the rule of law, democracy and good governance may be provided in principle in a state, but in practice it is a different ball game. The objective of this paper, therefore, is to x-ray this triumvirate relationship in Nigeria, as well as find out whether the constitutional provisions are in tandem with the realities in the country.

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## II. Rule of Law

The Black's Law Dictionary, Sixth Edition[2], defines rule of law as "a legal principle of general application, sanctioned by the recognition of authorities, and usually expressed in the form of a maxim or logical proposition called a "rule" because in doubtful or unforeseen cases it is guide or norm for their decision". The rule of law, sometimes called the supremacy of law, provides that decisions should be made by the application of known principles of laws without the intervention of discretion in their application."

As defined above, rule of law means the equality of all persons before the law or equal subjugation of all classes to the ordinary laws of the land, administered by the ordinary courts. This therefore connotes that no man is above the law and that every man whatever his rank or status or condition, is subject to the law of the land and the jurisdiction of the ordinary courts. In practical parlance, the rule of law presupposes the following as enunciated by the Supreme Court in the case of one time Military Governor of Lagos State and others vs Chief Emeka Odumegwu Ojukwu and another per Oputa JSC namely:

Oputa JSC namely:

1. That the state is subject to the law;
2. That judiciary is a necessary agency of the rule law;
3. That government should respect the right of the individual citizens under the rule of law.
4. The judiciary is assigned both by the rule and by our Constitution, the determination of all actions and proceedings relating to matters in dispute between persons or between government and or authority and any person in Nigeria.

The import and connotation of the term "Rule of law" would be better appreciated if recourse is taken to the observation of the Supreme Court judgment in the case of Apostolic Church vs Olowoleni. In that case, Obaseki JSC as he then was put the matter in proper perspective in the following eloquent expression: "The Rule of law and the Rule of force are mutually exclusive. Law Rules by reason and morality, force rules by violence and immorality." This presupposes therefore that law and morality are integral and indeed inseparable parts of Rule of law. It is also inferable from the same passage that Rule of law has no place for violence and immorality. The reason for this is not



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farfetched. Both violence and immorality breed rancor, acrimony and other terrible vices in the society.

With this exposition on the doctrine of rule of law, it could be seen that the rule of law and democracy go hand in hand. Thus where there is true democratic governance, governance must be tailored in its operation in accordance with the rule of law. Where rule of law is absent, it would be apparent that true democracy is palpable absent in that society.

## III. Equality Before The Law

This notion implies that no one is above the ordinary law of the land and that no matter high or low one is in the society, he must be treated equally. Thus, a particular law under which a party is treated must also be used in treating the other party irrespective of their status in the society. From the foregoing, it is manifest that a person who is saddled with the responsibility of adjudication is expected to afford equal treatment and opportunity to all litigants. Thus a judge handling a case must be careful not to be personally interested in the case he is handling. By implication, he must neither adjudicate on a matter in which he is interested nor be partial in his adjudicatory function. He must be interested to hear both parties to the case irrespective of their status in the society before he reaches his decision.

It is another important precondition for real enthronement of the rule of law that judges saddled with the responsibility of administration of justice must be impartial adjudicators. That is, a judge should, in keeping with the requirements of the provisions of section 36 of the 1999 Constitution[3] avoid being partial. He must not be partial to any of the parties involved in any case in the court of law. What we are trying to put through is that under the Rule of Law, an independent and impartial judiciary is an indispensable requisite of a free society. Such independence implies freedom from interference by the executive or legislative arms in the exercise of the judicial functions. However, this does not mean that a judge is entitled to act in arbitrary manner. His duty is to interpret the law and the fundamental principles and assumptions that underlie it, and he should ensure that there is equal access to the law for the rich and poor alike as this is essential for the maintenance of Rule of Law.

It is not in doubt that the judiciary, which is a necessary agency of the rule of law, has awesome powers, granted by the Constitution. However, the judiciary could easily be reduced to a mere paper tiger and the powers meaningless if the agencies of the state (the executive and the legislature) who control the financial and physical resources, including the police and the military, refuse to make those resources available for the enforcement of the orders given by the Courts. Therefore, for the enforcement to be able to command respect and honor, it is imperative for it not only to be seen to be independent, but truly independent. To earn this independence and integrity, the public or community must trust and believe that the judgments/decisions coming out from the courts and tribunals are not only in accordance with the Rule of law and due process, but that they are also fair, equitable, reasonable and transparent.

The question to ask at this juncture is whether Nigeria as a nation could be called a democratic Nation, or in the alternative whether or not the doctrine of Rule of law is in practice in Nigeria. Answer to this question cannot be preferred without x-raying what is common place in Nigeria as of today, despite the belief that we are in a democratic government. It is after the x-ray of events in Nigeria that one can then objectively conclude.

It could not be gainsaid that Rule of Law is a driving force for the sustenance of democracy, and where respect for the rule of law is absent in any so called democratic set up, such a set up cannot be perceived as a democratic entity, but mere civil rule. From the happenings in Nigeria, in recent times, under our own mode of democratic rule, what we are operating under the rule of men, not of law; that the constitution is just an old text that means whatever the current crop of judges say it mean; that all rules are infinitely manipulating; that law is a business like any other; and that business is just the unrestrained pursuit of self interest. There is equally no doubt that the rule of law in Nigeria as of today is different from what it is universally recognized to be.

## IV. Freedom of Movement

Freedom to move about unhindered except through lawful and legal means is so important that the makers of our Constitution in section 41 (1) of the 1999 Constitution make quite elaborate provisions for freedom of movement in the following words: "Every citizen of Nigeria is entitled to move freely throughout Nigeria and to reside in any part thereof, and no citizen of Nigeria shall be expelled from Nigeria or refused entry thereto or exist there from." The case of Alhaji Shugaba Rahman Darmanvs Minister of Internal Affairs readily comes to mind. This was the case of the majority leader in the old Borno state House of Assembly in the Second Republic who was unceremoniously deported from Nigeria to Niger on the ground that he was not a Nigerian.

## V. Right of Dissension

The right to hold contrary or opposite view is a sine qua non in the practice of democracy. Section 38(1) of the 1999 Constitution provides that:

"Every person shall be entitled to freedom of thought, conscience and religion, including freedom to change his religion, belief, and freedom (either alone or



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in community with others, and in public or in private) to manifest and propagate his religion or belief in worship, teaching, practice and observance."

The various allegations of the muzzling of oppositions in many state of the federation clearly demonstrate that many of our leaders have not grown out of the meritocracy that pervaded our land before May 1999. Any democratic practice without a robust, articulate and viable opposition is not real democracy. We must allow others with different political and religious belief to express their opinion free from intimidation, blackmail and arm-twisting.

## VI. Democracy

The same Black's Law Dictionary defined Democracy as "that form of government in which the sovereign power resides in and is exercised by the whole body of free citizens directly or indirectly through a system of representation, as distinguished from a monarchy, aristocracy, or oligarchy". Democracy could also be described as a political or an institutional arrangement for arriving at political, legislative and administrative decisions involving the majority. It is therefore a method by which the individual acquires the power to participate in decision making by means of a competitive struggle for the people's vote ... it is competition for votes that is the distinguishing character of the democracy method..." In the words of Yusuf O. Ali and SAN MACIArB:

Democracy ensures meaningful and extensive competition among individuals and organized groups (especially polities, either directly or indirectly, for the major positions of governmental power, a highly inclusive" level of political participation in the selection of leaders and policies, least through regular and fair elections, such as that no major (adult) social group is excluded, and level of civil and political liberties-freedom of expression, freedom of the press, freedom to form and join organization sufficient to ensure the integrity of political competition and participation ... "[4]

The Athenians of the ancient Greece defined democracy as the government of the people by the people for the people. This simply means the government people freely put up to serve them without any discrimination on the basis of social status. Euripides, a Greek philosopher long before Plato, shared the above view when he described a democratic state as one governed by people's representatives and for the many who have neither property nor birth.

Plato, another Greek philosopher, had a similar view of democracy when he defined a democratic state in his book, *The Republic*, as a state governed by the philosopher kings, who neither marry nor have personal property, but live together in the barracks (that is, equivalent to government house today) and enunciate policies for the general welfare of the people. However, Plato, in his second and third books, *The Statesman* and *The Laws*, respectively modified his definition when he defined democracy as the government of the people in which law is supreme, ruler and subjects' alike being subject to it.

For Rousseau, democracy is the government of the people for the general will of the people. To provide the general will of the people, government must give liberty under the law, must create a system of public education by which children are accustomed to regard their individuality only in its relation to the body of the state, Rousseau argues. In what he described as democratic centralism, Lenin (1983) defines democracy as the government of the peasants and the proletariat, which subordinates the minority to the majority through a strong party structure that cedes its decision making power to higher party bodies. Under this democratic centralism, argues Lenin, no opposition, criticisms and demand for personal liberty are brooked from the people.

Despite the seemingly divergent views on democracy, there are some basic principles that are common to them. These include supremacy of the law, equality of all citizens before the law, personal liberty, general will of the people, equitable distribution of resources in the society and equal opportunity for all citizens, among others.

The concept of democracy indicates both a set of ideals as well as political system. It is also seen as a set of institutions and as a system of government. Democracy is harder to pin down because it has never become identified with a specific ideology or doctrine like Marxism, Communism and Socialism. Rather, it is a product of the entire development of western civilization. Little wonder, therefore, Bello avers that the more democracy has come to be a universally accepted term, the more it has undergone verbal stretching and has become the loosest label of its kind[5]. The notion and word about democracy, to be precise, is nebulous and consequently carries with it the unprecedented problem of universally acceptable definition. And in line with the opinion of Bello, Eboh points out that the notion of democracy is itself a controversial concept. It is one of the most misused terms in human history. It has different meaning to different peoples and ideologies. There is no agreed definition.[6]

The expression that democracy is government by the people in which the supreme power is vested in the people and exercised directly by them or by their elected agents under a free electoral system is derived from the classical definition given by Abraham Lincoln, a one-time American President, that democracy is government of the people by the people and for the people. But it should be noted, however, that democracy is not as simple as this definition suggests. In Robert Dahl's definition, democracy is 'a society in



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which ordinary citizens exert a relatively high degree of control over leaders[7].

What runs through the above definitions centres on the issue of citizens, but the question now is: who are the citizens? The children? Imbeciles? Lunatics? Are these the set of citizens/people being mentioned? This question is apt here because there is a difference when discussing about people and persons. What demarcates the two set of human beings is the gift of rationality in human persons and not with people. Apart from this difference, there is still the problem that the term is so vague and, more importantly, what one person would regard as a paradigm case; another would deny was a democracy at all.

The definition adopted below suits the purpose of this work, which examines it from the functions of the rule of law as the most essential feature of democracy in the quest for good governance in any society. It is given by the Harveys; they hold that democracy means more than one man one vote. It necessitate settling affairs according to known rules of government, toleration towards minority views, regular elections, freedom of speech and above all, observance of the rule of law. It does not deny the discretion of government authorities but subjects implementation of the result of this discretion to control[8].

It is important at this junction to briefly examine the essentials of democracy. Without these, the idea about the practice of democracy is meaningless. One of the key aspects of democratic culture is the concept of a 'loyal opposition'. The term means, in essence, that all sides in a democracy share a common commitment to its basic values. Political competitors might disagree, but they ought and must tolerate one another and acknowledge the legitimate and important role that each has to play. The place of an organized opposition cannot be over-emphasized because of its importance in any democratic society. It means equal political opportunity for all and the rejection of inherited political privileges, elitism and classes. All citizens, because of their common humanity; share in the same measure an intrinsic moral worth and should, therefore, have equal chance and opportunity to develop their unique and individual personalities as they feel, wish and as they are able.

William, in his article, "The Idea of Equality", suggested humanity endows all men with a certain dignity and entitles all to a certain kind of respect from others in the community[9]. It is plausible, as Rawls says, that although people may possess capacities in varying degrees… but then, provided that some fairly minimal threshold is reached, this can itself provide the grounds for according equal justice, equal liberty, or whatever[10]. All these point to the fact that justice in any setting should be based on the equality of men of which Rawls canvasses for in his article, Justice as Fairness. The introduction of civil liberties into the concept of democracy and their connexion with the rational capacity in human nature seems to be a point of immense importance. Democracy cannot function unless those who seek to exercise those civil liberties recognize the equal rights of others.

Mill's work, "Liberty" published in 1859, centers on the defense of freedom of expression. In his words, "the subject of the essay is 'moral, social, and intellectual liberty asserted against the despotism of society whether exercised by governments or by public opinion"[11]. Khan quotes from Mill's Liberty that, his claim for individual liberty is based on utilitarian grounds:

"I forgo any advantage, which could be derived from the idea of abstract right, as a thing independent of utility. I regard utility as the ultimate appeal to all ethical questions; but it must be utility in the largest sense, grounded on the permanent interests of man as a progressive being[12].

This suggests that liberty should be for the greater number of individuals in the society.

Consequently, a democratic society ought to provide methods and institutions for the preservation of liberty. These include organs like trade unions, civil liberties organizations, mass and print media, among others, that have opportunity to challenge those at the helms of affairs in the best interest of the populace. The principle of consent in democracy is that of the basic rights of the people and the recognition of the basic rights and freedom to dissent and hold contrary views by the minority. Public discussions, free and fair elections are regarded as essentials because they are necessary for achieving consent of the people. The point here is that decisions in administration through majority opinion and election may not always be right since no individual or group has monopoly of truth and knowledge about people and the society in general. Therefore, democracy caters for the views of those in opposition with due respect as those in opposition today might be in the majority tomorrow in order to get the consent of the people. The discussion of the rule of law as the basis of democracy shall now be examined as the most needed ingredient and or essential of democracy.

## VII. The Rule of Law as The Basis of Democracy

The rule of law with its definition and attributes, the possibility and conditions for its existence, and its significance as a political value has long been a subject of scholarly investigation and debate. In recent years, it has emerged from the confines of academic and philosophical discourse onto the wider stage of contemporary political events, transcending national borders, political regimes, and legal systems. So, the question is: what is the rule of law? The doctrine of the rule of law is ultimately bound with the practice of

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democracy. Itse Sagay[13] says that "there can be no democracy without the rule of law", and by common agreement, Albert Venn Dicey in his Law of the Constitution, exposed the concept of the rule of law as: When we say that the supremacy or the rule of law is a characteristic of English constitution, we generally include under one expression at least three distinct though kindred conceptions. We mean, in the first place, that no man is punishable or can be made to suffer in body or goods except for a distinct breach of law… every official, from the Prime Minister down to a constable or a collector of taxes, is under the same responsibility for every act done without legal justification as any other citizen…. (Appointed government officials and politicians, alike)… and all subordinates, though carrying out the commands of their official superiors, are as responsible for any act which the law does not authorize as if any private and unofficial person[14].

The summary of the concept of the rule of law as examined from Dicey's position is under three fundamental headings; firstly, no man could be punished or lawfully interfered with by the authorities except for breaches of the law. Secondly, no man is above the law and everyone, regardless of rank, is subject to the ordinary laws of the land; and thirdly, there is no need for bill of rights because the general principles of the constitution are the result of judicial decisions determining the rights of the private persons. The International Commission of Jurists held in Lagos in 1961 defined the rule of law as: Adherence to those institutions and procedures, not always identical, but broadly similar, which experience and tradition in the different countries of the world, often having themselves varying political structures and economic backgrounds, have shown to be essential to protect the individual from arbitrary government and to enable him to enjoy the dignity of man[15].

The foregoing definition shows that the rule of law is an important aspect of democracy in the process and quest for good governance of the society. Without the rule of law, there can be no democratic society. All members, including those in authority, are subject to the law. The rule of law, according to Iroegbu, realizes the constraint of reasonableness by treating all equally as full member of the community without discrimination[16]. The order that the rule maintains is a greater value of interaction in community within which the communal good, including the private good, of the members are realizable, and without which none of these is realizable.

Generally, the rule of law has two aspects; first, the law should rule the people and the people should obey the law; second, the law must be capable of being obeyed, hence, the law must be capable of being ascertained and guiding people's behavior. The two aspects of the rule of law mentioned here are indispensable for the good working of the society (state). The first obviates the danger of legalism, that is, citizens becoming slaves of the law, forgetting the spirit behind the law. Legalism forgets the humane aspect of the law. The second avoids the danger of presumption that one breaks the law all the time and gets away with it, as it is the case in many African nations where those who have violated our laws and morals are celebrated and go unpunished.

The foregoing presupposed that if those who transgress the law are not punished, the entire system will collapse because those that are following the first aspect will have reason to think that these sets of people are profiting from the system and contributing commensurately to the political community. The point being made here is that it is imperative that in any democratic society, the rule of law must be inculcated in all the members through education, good example and the consistent application. This is so because it is a condition sine qua non for a good functioning of the political community in the realization of the values of communality and individuality.

We cannot discuss the rule of law without mentioning the issue of separation of powers and other characteristics of the rule of law. The maintenance of the rule of law to which we attach the greatest importance requires particular care that occasion for conflicts among the judiciary, the executive and the legislative arms of government should be reduced to the minimum. Montesquieu found in the principle a guarantee of the kind of restraint on government that given the right setting could assure liberty, that is, a condition in which the laws were appropriate to a well-ordered society and also permitted a considerable degree of individual and group independence. This corresponds to Locke on separation of power into legislative, executive and "federative". Montesquieu advocates for separation and balancing of powers among the three arms as a means of guaranteeing the freedom of the individual. It is one thing to accept the rule of law as a democratic principle; it is another thing to provide institutions for its implementation. In a democratic society, the rule of law places limitations on the power of the government in the interest of personal freedom and for this to be effective; there is the need for an independent judiciary.

The most elaborate system of substantive, procedural and remedial provisions is meaningless without an independent, impartial and competent judiciary for one reason, which is administration. Without jurisdiction to administer, the law is purely academic and without a proper judiciary, the jurisdiction to administer is purely oppressive. As an idea about government and the rule of law, the whole essence is that all authority is subject to and constrained by law[17]. It is the highest law of mankind and profound truth, which allows the most dangerous predator (man) on the planet to live together in peace and harmony, co-operating for



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mutual self-interest and progress as in the social contract theories of Locke, Hobbes and Rousseau to rise from the state of nature. It is also the highest intellectual achievement of man, the result of objective consideration of man's goals; nature, environment, history and survival no one is above the law, which is after all, the creation of the people, not something imposed upon them. The citizens of a democratic society submit to the rule of law because they recognize that, however indirectly, they are submitting to themselves as makers of the law. When laws are established by the people who then have to obey them, both the rule of law and democracy are being served.

The foregoing implies the supremacy of law which, according to Mark Cooray,[18] is a fundamental concept in the western democratic order. The rule of law requires both citizens and governments to be subject to known and standing laws. This must include a distinction between law and executive administration, and prerogative decrees. A failure to maintain the formal differences between these must lead to a conception of law as nothing more than authorization for power, rather than the guarantee of liberty, equally to all.

An important part of the rule of law is that it should be applied prospectively and not retroactively. What this means is that someone should not be punished for sin(s) or crime(s) that is not against a particular law when being committed in a retro-active manner. Considering the prospective nature of legislation in a democratic regime, what we are dealing with is the rule that is just and which protects and promotes the societal good. Hence, it must be consistent in treating similar cases similarly not minding the status of individual being involved. At this juncture, it should be known that law is based on morality. An important question should be raised here that: if law is not based on morality, on what can it be based? The rule of law must rest on the morality and ethos of the community; meaning that the law evolves from the community of men as in the social contract theories where all combined to have a common voice. This is to safeguard the whole community against selfish interests of individual persons. There are other rules, which are unwritten like honesty, integrity, and respect for democratic procedures. All these and others call for moral standards and good behaviors from all the people in the state. The point in discussion is that people's character determines the moral standard on how the rule of law will be based. If people were not well brought up, the rule of law of such community would be shaky.

## VIII. Good Governance

Governance is the act of governing. It relates to decisions that define expectation, grant power, or verify performance. It consists of either a separate process or part of decision making or leadership processes. In modern nation-states, these processes and systems are typically administered by a government.

Good governance is a difficult concept, as it is not always easy to define. It is amenable to different definitions depending on the perception of the person. Wikipedia sees good governance as an indeterminate term used in international development literature to describe how public institutions conduct public affairs and manage public resources. However, when we remember that the modern state is a human creation, according to the social contract theorists, namely, John Locke, Thomas Hobbes and Jean Jacques Rousseau, one can hazard on what constitutes good governance. Generally, the social contract theory, believes that the terrible, violent, unsecured and unpredictable state of nature compelled men to come together, under a social contract, and surrender their rights to security of personal lives and property of the state. The state is expected to protect the personal lives and property of the citizens, as well as their general welfare. The state, as an amorphous entity, cedes this power to a smaller and proactive agency called the government. Good governance, therefore, includes the processes and products of the government towards the fulfillment of the social contract it has with the people.

Specifically, good governance involves: enthronement of a democratic government, which guarantees equal participation of all citizens in governance; provision, promotion and sustenance of the rule of law; provision and protection of the constitution; promotion and protection of the fundamental human rights of the citizens; provision and sustenance of the freedom of the press; availability of a transparent, accountable and participatory governance at all levels of government; regular, free and fair elections; as well as provision of basic amenities, such as, portable water, electricity, qualitative education, healthcare delivery, good roads, among others.

## IX. Triumvirate of Democracy, The Rule of Law and Good Governance

The relationship between democracy, the rule of law and good governance in any society is so intricate and organic that it is better described as a triumvirate. They are also interdependent that none can survive without the others. Their relationship is akin to what exists between road, car and fuel. The rule of law is the road on which democracy, that is, car, plies, while fuel, that is, good governance, sustains the car (democracy).

The rule of law guarantees personal liberty, freedom and the gamut of fundamental human rights. It provides the conditions on which government functions, including the qualifications of people who can hold public offices. The law stipulates the type, nature and scope of government, as well as the nature of relationship among the organs of government. It

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provides equal opportunities for all citizens and makes provisions on how the personal freedom and liberties of the people will be promoted and protected.

Writing on personal liberty, freedom and equality of individuals as the essential elements of the rule of law, Laski (1982) argues thus:

"A state built upon the condition essential to the full development of our faculties will confer freedom upon its citizens. It will release their individuality. It will enable them to contribute their peculiar and intimate experience to the common stock. It will offer security that the decisions of the government are built upon the widest knowledge open to its members. It will prevent that frustration of creative impulse which destroys the special character of men."

For the rule of law to be supreme, the three organs of government should be independent of one another for proper checks and balances to be in place. The judiciary must be vibrant and fearless, otherwise the executive excesses may go scout free. Democracy will remain an article of faith if the law is not supreme. The constitution guarantees the fundamental human rights, such as right to life, right to dignity of human person, right to personal liberty, right to fair hearing, right to private family life, right to freedom of religion, right to vote and be voted for in elections, right to freedom of expression, among others, yet if the law is not supreme the citizens will not enjoy these rights.

Democracy provides all these rights, but if the people cannot enjoy them, then, it is not democracy. If people cannot freely elect their representatives in government, as well as control the government, then that government is not democratic. If people are disenfranchised for no genuine reasons and prevented from active participation in the electoral process, then its product is not democratic.

Good governance sustains democracy, which guarantees the fundamental human rights, including freedom of the press. The media are the purveyors of information on both the rule of law and democracy. The mass media inform, educate, entertain and sensitize people on government and private activities as they affect the public, as well as draw the attention of the people to events, environmental issues and other important matters that have consequences on the citizens.

Lasswell (1968) notes that man usually looks forward to something to watch and learn over his environment, as well as report on inventions, opportunities, discoveries, decisions, dangers, social change, trade and commerce, conflicts and conflicts resolution, among other phenomena that have public consequences. The mass media set the agenda on public discourse, monitor government policies, decisions and programmes, expose the ills of the society and mobilize public opinion towards a particular desired direction. This is the basis of democracy, which is guaranteed only by the rule of law in any society. In the worlds of Schramm (1963):

The structure of communication reflects the structure of development of any society. The size of the communication, the volume of the communication, the direction of communication, the objective of the communication, the development of the communication, the role of the communication, to the society – the ownership of the instrument of communication the audience of the communication, the transfer of the individual communication roles, the stretching out and multiplicity of the society, the facilities and the purposeful use and/or misuse of communication – the content of the communication network at any given time reflects the value pattern of the society it serves.

Emphasizing the role of the mass media in safeguarding democracy and promoting the rule of law for the ultimate objective of upholding good governance in any society, Thomas Jefferson, a former president of US summarizes thus: "… since the basis of democracy was opinion of the people, the very first objective was to keep that right. If it were left for me to decide whether we should have a government without the mass media or the mass media without the government, I should not hesitate a moment to chose the latter".

The summary of this triumvirate relationship is that democracy can only exist in a state where there is the rule of law, otherwise the latter[rule of law] will remain an article of faith without democracy, while good governance sustains both of them with the mass media as their reinforcing element for durability and sustainability.

## X. The Rule of Law and its Implication in Developing Democratic Societies

The evidence of problem in developing societies, which is in the non-implementation of a functional rule of law, could be seen in the disregard and manipulation of the national constitution; election and electioneering fraud; abuse of political power; legal and judicial perversions; low regard for the electorates, among others. All these emanate from less respect for the rule of law in the society.

K.A Busia[19], in his paper, "Democracy and One Party System", says that every democratic community must have effective checks on its rulers. Democracy rejects the view that the leader and the group around who lead the single party always infallibly seek the interests of the people, or embody the will of all. Every human being who is mortal is equally fallible; therefore, it implies the right of the people to oppose and their right to choose and to change their leaders. The political institutions must provide democratic outlets for the exercise of those rights. But this is a mirage in many developing democratic societies, especially in Africa where the electorates are left with nothing but to



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succumb to the whims and caprices of the "selected" few because there is arbitrary disobedience to the proceedings of the judiciary by the executives. Here, the judiciary is not independent and autonomous; in practice, it is subject to the whims and caprices of those in power.

I removability at will is a cardinal principle of the rule of law, which must guarantee security of the tenure till retirement at an age, fixed by statutes or death. There must be safeguards against the arbitrary removal of judicial persons, and such should take place under exceptional circumstances and, then, only after the matter has been lawfully considered by a body of judicial commission.

The rule of law is an effective valuable instrument in democracy because it promotes the following: responsibility, reciprocity and trust because these values basically embody what good governance and democracy stand for. Hayek in his book, "The Constitution of Liberty" writes that the belief in individual responsibility . . . has always been strong when people firmly believed in individual freedom[16]. The issue of the individual is a cause that affects personal responsibility. It is not enough to have democracy unless it guarantees individual freedom and collective fraternity.

When it is accepted that liberty is an essential feature of democracy, this does not guarantee the citizenry the absolute rights in all its forms. Responsibility ought to be an effect of such liberty accorded the people. People have to be responsible for whatever form of liberty given to them. Responsibility will not be complete until those in authority are accountable to the electorates. Agbaje writes that accountability… connotes managerial responsibility, efficiency and economy of operation as well as managerial responsibility for effectiveness. It is only when the leaders are accountable and transparent that responsibility as a value in democratic system could be ascertained[20].

Reciprocity is a value that the rule of the law promotes in democracies in the quest for good governance. This (reciprocity) will allow individuals in the society to perform their duties to the state in the intendance of law and order like the paying of necessary taxes and dues to the coffers of the state; abiding by the rules and regulations guiding the state, among others. In response to this, reciprocity comes in, as those at the helms of affairs ought to provide necessary amenities and resources for the progress, growth and development of the state. For the singular reason that the people have consented to the leadership of those at the top, the rule of law here promotes that value of reciprocity in the leaders to the masses (electorates) and vice versa in their own realms.

Respect for the norms, rules, laws and regulations (shared values) are a matter of reciprocity in the society. The rule of law incapacitates all and even the leaders to respect the laws of the land because no man is above the law and everyone regardless of rank is a subject to the norms, rules, regulations and laws of the land. Reciprocity as a value promoted by rule of law is an order of greater value in which social interaction is realizable in two ways, namely: obligation and norms (shared beliefs). The obligations (duties) are vice versa, that is, from the electorates to the state and from the leaders to the masses[21].

It is not enough to itemize the essential features of democracy when there is no trust in those who govern the state. The rule of law, when properly implemented and is functional, puts trust in the minds of the ruled. Trust could only come when the leaders are being guided by a functional rule of law in the spirit of ensuring good governance for the state. The characteristics of the rule of law: separation of powers, judicial precedent, and prospective legislation, among others, will never guarantee trust in the people except as it is stated, that it must be functional. For instance, the Nigerian case is an aberration because the electorates have no trust in those who rule even when there is a constitution to follow, then, jeopardizing the quest for good governance in the society.

From the situation as examined on the importance of trust from the citizens to their leaders, it is observed that the leaders have no moral probity to allege and or accuse any member of the society just because they are also not trusted, and even when they do, they are just camouflaging and exercising their authority when they are also vulnerable the actions. And in a democratic society like ours, it is only a functional rule of law that will promote trust as a value in the leaders from the governed.

## XI. The Nigerian Experience

Since Nigeria's political independence on October 1, 1960, successive regimes have continued canvassed for the government based on the principles of the rule of law and democracy. The Nigerian constitution has elaborate provisions on the rule of law and democracy for the ultimate existence of good governance. For example, in the opening paragraph of the 1979 Nigerian Constitution, as consolidated in the 1999 Constitution, it is clearly stated thus:

"We the people of the Federal Republic of Nigeria have firmly adopted this document for the purpose of promoting the good government and welfare of all persons in our country on the principles of freedom, equality and justice, and for the purpose of consolidating the unity of our people".

Section 1 of both the 1979 and the 1999 constitutions provides that this "constitution is supreme and its provisions shall have binding force on all authorities and persons throughout the Federal Republic of Nigeria". The constitution makes elaborate provisions



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for the promotion and protection of the fundamental human rights as contains in sections 33, 34,35,36,37,38,39,40,41,42,43,44 and 45,[22] among others.

Similarly, the constitution, under its fundamental objectives and directive principles, makes elaborate provisions on government obligations to the people as contained in sections 13 through 21. Section 22 of the 1999 Constitution specially provides that: "the press, radio, television and other agencies of the mass media shall at all times be free to uphold the fundamental objectives contained in this chapter and uphold the responsibility and accountability of the government to the people".

There are also elaborate provisions on the citizenship, separation of powers and other conditions that guarantee the rule of law in the state. Nigeria is also a signatory to various international conventions, charters and treaties that promote and sustain the fundamental human rights and other elements of the rule of law. It is, therefore, safe to infer that the rule of law is supreme in Nigeria, at least, in theory.

Section 2 forbids any persons or group of persons to take control of the government of Nigeria or any part thereof, except in accordance with the provisions of this constitution, which include representative government based on elective principles. There are elections for the three levels of government in Nigeria today. The judiciary, through the various courts and tribunals, has tried to uphold the fundamental human rights. The judiciary has pronounced some landmark cases which include:

Federal government withholding of over N18 billion monthly allocation due to Lagos state local governments under the Obasanjo regime.

1. The National Assembly extension of councilors/ chairman tenure from three to four years.
2. The on shore/off shore dichotomy.
3. The Peter Obi, Andy Ubah Saga in Anambra state.
4. The Dasuki court case and bell saga.
5. The NamdiKanu court case and bell saga. Etc.

The summary of the above issues is that democracy is seemingly at work in Nigeria. Nigeria and other African countries are signatories to international conventions and treaties. Any rate, in appreciable reality, apart from having elaborate provisions on democracy and the rule of law, yet good governance has been a scarce commodity for most of them. In the case of Nigeria, the followings are some limitations on democracy in Nigeria:

a) Economic inequality which has practically denied a large percentage of Nigerians access to government. Poverty, hunger, unemployment, among other economic predicaments, have limited people's participation in government in Nigeria.
b) Ignorance and high level of illiteracy among the people have prevented a large percentage of Africans from benefiting from democratic principles.
c) Many years of military rule has delayed the development of the legislature thereby subordinating it to the executive. For example, it is still vivid to us how the Federal Executive, under the leadership of Chief Olusegun Obasanjo, muzzled down the legislature in Nigeria.

Generally, the successive regimes in Nigeria have ample provisions for democracy and the rule of the law, but good governance has been elusive. The existence of multiparty system has become a permanent feature of Nigerian democracy. The suppression of fundamental human rights, including freedom of the Press, are seemingly the order of the day in Africa. This largely accounts for the low score or outright negative index of Nigeria and other African democracies in the benchmark of good governance as corruption, election irregularities, poverty, unemployment, maladministration, gagging of the press, muzzling down of political opponents, emerging one party state, declining per capita income and gross national product, GNP, among other negative signals are alarmingly evident.

Rousseau, who equates democracy with the general will of the people, has argued that inequitable distribution of wealth in any society is counterproductive to good governance. He has argued that democracy will only thrive if the government provides for the materials welfare of the people, as well as remove gross inequality in the distribution of wealth in the society.

Most African economies, including Nigeria, are off tangent to the Millennium Development Goals, (MDGs). They [African economies] top the index table of corruption in the world as attested by the findings of the Transparency International. Karl Marx has argued that those who control the means of production, distribution and exchange in every state equally control the political power with which they reinforce and sustain their hold on the economy. Chinweizu [1981] shares the above view when he argues that before handing over to the post independent African leaders, the former colonial masters carefully selected those who were sympathetic to the interests of the departing colonial masters and foisted them over the rest as the leaders. These leaders, he argues, are accountable to their paid masters; hence good governance may remain a scarce commodity to them.

For the mass media in Nigeria, notwithstanding government opposition, they have been seemingly active to ensure the active in promotion and sustenance of both the rule of law and democracy in the country. Some Nigerian journalists have been fearless, consistent and forthright in exposing the ills of both the government and the society. For instance, the media fought gallantly against the following:



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a) The Federal government (NPN) deportation of Alhaji Mandara in 1981.
b) The June 12, 1993 presidential elections and the incarceration of Chief M.K.O Abiola (NADECO), by the Abacha administration.
c) Midnight impeachment of Peter Obi (Anambra), Ladoja of Oyo, Joshua Dariye of Plateau, among others.
d) The obnoxious third term elongation proposal by Obasanjo, which was rejected by the senators.
e) The controversial April 14 and 21, 2007, governorship and presidential elections, among others.

Despite the laudable role of the media in upholding the rule of law and democracy for good governance in Nigeria, there are some problems that still limit their aspiration of excellence. These include, but not limit to:

1. Economic predicament which has deprived a large percentage of Nigerians access to media information on democracy, rule of law and good governance to few privileged people in the state capitals and other major cities in Africa.
2. Seditious Publication Act (1958 Criminal Code; 1963 Penal Code Laws of northern Nigeria).
3. Official Secret Act of 1962 and its Amendment Act of 1962.
4. Protection of Public Officers Against False Accusation.
5. Newspaper (Amendment Act) Act of 1964.
6. Obscene Publications Act of 1961, among others.

Today, corruption, ethnicity and ethnocentrism, maladministration, ignorance, poverty, high rate of illiteracy, inflation and other economic predicaments have combined as militating problems against democracy, rule of law and good governance in Nigeria despite elaborate constitutional provisions for remarkable progress. This means that mere constitutional provisions for democracy, rule of law and freedom of the press have not guaranteed remarkable good governance in Nigeria. This is a great challenge to scholars and practitioners of Nigerian democracy.

## XII. Conclusion

This piece has been able to examine and argue that the rule of law is the most fundamental essential ingredient in any in democracy, and that without its functional implementation, democracy and democratic praxis become meaningless. In African and other developing nations, democratic practice will contribute to the growth and development of both the state and society only when functional rule of law is implemented. It is on its hinge that democracy and good governance could be preserved and sustained.

The benefits of the rule of law are innumerous; it proposes that government should have restraints, not possessing arbitrary discretionary powers. There should be legal controls over government activities, and no one, including those at the helm of affairs, should be above the law. These principles, if successfully implemented within the state, will result in national stability which will, in turn guarantee good governance and security of individuals.

The application of the rule of law is a situation in which everyone, both in authority as well as those whom they govern, respect the law and the rights of others under the law. The question arises; why is observance to the rule of law so important? It is the most fundamental requirement for a stable democratic society (civil society).

The importance of the rule of law lies partly in the power it limits those in the society and in the discipline to which it subjects all authority. The power and discipline are conditions, which in a democratic society, come from the community. The emphasis on the rule of law as part of developmental initiatives stems from the widespread belief that the rule of law is a pre-condition for economic development. Therefore, a functional rule of law is considered an important characteristic and a pre-requisite for democracy to work in developing societies.

The rule of law, democracy and good governance are the major features of any civilized society today. The governance of any state where any of them is lacking often degenerates to dictatorship and authoritarianism. The rule of law provides the general framework for good governance. Democracy floats on the rule of law, while the good governance promotes and sustains both of them.

Nigeria is governed by the rule of law and democratic principles despite some present limitations. Good governance is the destination of both democracy and the rule of the law. The media have worked hard to try to sustain both the rule of law and democracy despite some structural and institutional problems. Many years of civil rule, no doubt, assisted to frustrate the functional triumvirate of the rule of law, democracy and the media for improved good governance in Nigeria. Except an immediate overhaul of the structural, economic, legal, educational, administrative and other bureaucratic impediments is done, the rule of law and democracy may remain an article of faith, as good governance shall continue to be elusive in Nigeria.

## XIII. The way Forward for Nigeria

To promote democracy, the rule of law and good governance in Nigeria, the following measures should be taken:

- National economic restructuring to ensure equitable distribution of resources in the various countries.
- Provision of quality and functional education to improve the literacy level of the citizenry.



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- To promote regular, free, fair and credible elections in Nigeria in order to elect credible and patriotic citizens into national government, as well as encourage participatory democracy.
- Restructuring of the judicial system in order to improve the checks and balances of the organs of government.
- Embark on electoral and bureaucratic reforms for improved service delivery.
- Mass mobilization, value orientation and ethical rebirth of the citizenry.

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# Re-Positioning Nigeria towards Sustainable National Unity

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*Abstract-* This work examined some of the threats confronting Nigeria`s national unity. It also examined some of the possible alternatives needed to be adopted in order to reposition the country towards sustainable national unity. Descriptive analysis was adopted in this research. Qualitative method of data collection was utilized by the Researchers. Secondary based data sourced from journal articles, magazines, newspapers, bulletins, lecture notes, diaries, as well as internet based information were used by the Researchers. Religious intolerance, internal conflicts as well as over centralization of power and resources as the Researchers found out are some of the threats confronting Nigeria`s national unity. Decentralization of power and resources to the federated unions as the Researchers recommended are part of the alternatives needed to re-position Nigeria towards sustainable national unity.

*Keywords: national, nigeria, re-positioning, sustainable, unity.*

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# Re-Positioning Nigeria towards Sustainable National Unity

Ibrahim Baba [α] & Chaminda Aeysinghe [σ]

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## I. Introduction

The one and united Nigeria project adopted through amalgamation principle under British colonial rule in 1914 has been suffering from serious threats of collapsing since 1966 till date. Some parties to the age long union believe they are tired and do not want to belong to it anymore while others are of the opinion that the union must be sustained at all cost. Consents of parties to be united are very significant in the establishment of every union even marriage. But from the look of how things are going in Nigeria, the architect who design Nigeria`s union as a single nation do not sort for the consents of the federated unions especially on whether they would like to be members of a single nation and central government before amalgamating them under single national union-development that has shortly after independence till date continue to threaten the unity of the nation. By amalgamating the various units without their consents under a single nation and central government, a political blunder has already been committed. But then, parties to this union if sincere will accept the fact that they can hardly do without one another or thus need each other's to be able to survive well. Therefore, the urgent task before them is how to reposition the union towards ameliorating those threats which affects their unity so as to sustain the age long national unity established since 1914.

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Dynamics of disintegration are increasingly daily in Nigeria. One truth that everyone is trying to run away from in the country is corruption at levels of the Nigerian society. Corruption is simply another word for dishonesty. Politics in Nigeria is dishonest in manner and orientation. The calls for negotiations on the terms of national unity are dishonesty-driven. The opposition to negotiation or to call for restructuring is also dishonest. The greater part of the dishonesty is located at the level of the elite. It is precisely the problem of dishonesty that largely informs the agitation for restructuring of the country. Hostility against the Government of Nigeria is largely driven by perceptions of elite corruption without impunity (Akinterinwa, 2016). Agitations for disintegration are high and largely pronounced by the common segment of the nation population. And this made it clear to some extent that the continuous existence of the nation as a single sovereign nation no longer benefits ordinary Nigerians. The elite seems to be comfortable with the current structure of the country because it fetches them and their immediate families all that are required for condition of living. Corruption with impunity provide such means to the elite as ordinary citizens have no access to the wealth of the nation.

At no time in our history, except probably during the civil war, has Nigeria being so frustrated in the feeling of oneness and belonging by the citizenry. In the last four months, we have an average of twenty hotspots across the country with huge potential for national disintegration. The masses can be mobilize to play a crucial role in strengthen the democratic process and play a crucial role in promoting a culture of tolerance, non-violence and mutual co-existence. Our strength as a nation lies in our unity and national cohesion. One of the greatest countries in the world is the United States of America. It is also one of the most diverse in ethnicity, race and religion. Its greatness is rooted in its diversity which is being utilized to advantage and actively promoted by the American people (Obasanjo, 2016 and Olatunji, 2016). At such a time in our history when we are sending elements of terror and disintegration into extinction, they are showing evidence of defeat by attempting to sow seeds of discord across the country using veiled attacks. But Nigerians are not fooled and we must not allow anyone pitch us against ourselves by fanning the embers of ethnic rivalry (Abari, 2016).

Nigeria is a place of differences. It is perhaps, a hard thing to comprehend, how that so many variations



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can exist in a single place. But it does. However, being characterized by differences does not pose a disadvantage in anyway; rather, it presents opportunities for us to maximize the options that are readily available to us. With over 250 tribes spread across the 36 states in the nation, we exposed to differences in dressing, cuisine, customs, methods and lots more. We are presented with 250 ways to view the world (Iweka, 2012). Although the creation of the country called Nigeria by Britain in 1914 has led to over fifty years of conflicts and bloodshed. Eversince independence from Britain in 1960 the African nation of Nigeria has been torn apart by wars, violence and ethnic conflict. The most famous of these disputes is of course the Biafran war which raged for nearly three years in 1967-70 as aresult of the attempted secession from Nigeria by three eastern states. Nigeria has also undergone several periods of military rule. Today it is free of this. However, the situation is as unstable as ever and violence, corruption and poverty abound (Ukoima, 2016).

Six years after independence in 1960, the civilian government broke down in conflicts among the three major ethnic groups over the distribution of power and resources. First the Hausa-dominated Northern Region and Igbo dominated Eastern Region formed alliance against the largely Yoruba-dominated Western Region. Two bloody military coups followed in 1966. Ethnic tension in the North escalated into violence against Easterners resident in the North. The Eastern Region embarked on secession and proclaimed the independent nation of Biafra. Nigeria was plunged into a civil war between 1967 and 1970. Successive coups and counter-coups were staged in the country between the end of civil war and in 1970 and 1999. Constitutions drafted by military regimes between these periods were identified with ethnic components.As a result of these experiences, building a genuinely united nation with institutions which would clamp down on violent, ethnic feelings or uprisings, became a national priority (Asinugo, 2014). The most disturbing issue at stake is that despite several efforts have been made to reposition the nation towards sustain national unity. But as soon as one particular attempt is adopted, a new issue with different solution often arises to make initial efforts worthless in positioning Nigeria towards lasting national integration and unity. The post-civil war reconciliation programs especially the National Youths Service Corp (NYSC) scheme is still on, additional states and local government areas have since then been created to strengthen federalism and the federal character policy is still on and in use but still, Nigeria`s national unity on daily basis have continued to witnessed severe threats and problems. It is however in order to ameliorate these problems and give the nation a sound track of repositioning the country towards sustainable national development that this research was necessitated.

## II. Statement of Problem

Threats of disunity keep ravaging Nigeria as a nation on daily basis. Calls for dismemberment from the nation grows over time especially from the south eastern and south-southern regions of the country. Hostilities promoted by ethnic tensions are higher than ever before. Insurgency which started in the north east region since 2009 has continue to claim several lives and properties till date. Herdsmen and Farmers conflicts have also refused to come to an end in the central region of the country. Cattle rustling and armed banditry are growing higher in the north western region on daily basis. Attacks and bombardments of oil facilities which is the nation main source of foreign earning is high in the Niger Delta Region of the country. Religious intolerance has also continued to result in confrontations that often claim several lives across the northern region of the country. Politics of identity, corruption among the political elites, power struggle and allocation of resources to the federating unions are also additional issues which threatens Nigeria`s co-existence as a sing sovereign nation. Frustration incubated by poverty and youth joblessness which are also growing on daily basis contribute in the growing demand and call for disunity in the country. Re-positioning the country towards sustaining national unity is a task and challenge which must not be compromised at all cost. It is in order to achieve this aim that this research is necessitated so as to proffer solutions to the problems stated above so as to reposition the country towards sustainable national unity.

## III. Objectives of the Study

The objectives of this research include:

1. To examine some of the threats confronting national unity in Nigeria.
2. And to assess how to re-positionedNigeria towards sustainable national unity.

## IV. Research Questions

The following are some of the questions raised and answered in this research:

1. What are some of the threats confronting national unity in Nigeria?
2. How can Nigeria be re-positioned towards sustainable national unity?

## V. Literature Review

The political and social climate that prevails in Nigeria today however, emphasizes differences, disunity and destruction rather than the qualities of unity and constructive energy that are required to sustain any human society. These negative forces including Arewa Consultative Forum (ACF), OhanezeIndigbo, Odu`a People's Congress (OPC), Movement for the Survival of Biafra (MOSOB), Independent People of Biafra (IPOB),



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Boko Haram, Herdsmen, Niger Delta Avengers (NDA), etc. have perpetuated Nigeria`s alienation form, the basic material root of brotherhood and peaceful co-existence as a single united nation(Okonkwo, 2016). Tragedy is a very sad event. It is even in life that evokes sorrow and grief. The nation is on the brisk of collapsing. The hope is that this threat can be wished away. The first major threat to Nigeria`s unity was in 1966 which produced civil war that killed thousands before it ended in 1970. Since then, the country has been drawn in hundred and one times by her selfish rulers to near war situations through series of show downs through utterances, uncomplimentary actions and many more. But the truth is that war tames a people hence those who have experienced it would say such a bad experience, never again (Akpati, 2015). Current generation of Nigerian youths do not actually know what it takes to witness civil war. But its present elites do. In fact most of the present political elites are retired military officers who even fought the civil war. Therefore, unguided utterances and one-sided policies which are likely to trigger ethnic tension and conflict situation in the country are not supposed to be made by them.

Authorities in Nigeria are very good at resource exploitation. But managing the source of the resources has always been a problem or issue which has often result in conflicts. The Niger Delta issue is still an important matter to address if Nigeria`s unity is to prevail uninterruptedly. The apprehension, trial and sentenced to death of Saro Wiwa, invasion of Odi community by one battalion of Nigerian government Army leading to the destruction of lives and properties as well as the government`s military operation code named "Operation Crocodile Smile" to checkmate the activities of pipeline vandalism are to me all mistakes (Baba, 2014). Political issues are best settled using political means but not repressive approach. Nigeria political elite circle to me is a committee of ex-military men. They are not too familiar with political approach to political problems. And this may probably be one of the reasons why repressive approach has often been adopted in quenching political problem. Nigeria`s leadership under democratic era still rotate among its former military dictators. And this to me is also a threat to the unity of the country. Most of them were part of the soldiers that fought in the nation`s civil war which lasted between 1967 to 1970. Best approach to solving threat to national unity to them as can be noticed is military means. Leadership problem incubated through adoption of wrong approach towards issue has continued to threaten the unity of Nigeria.

The Niger Delta question is an age long issue in Nigeria. An answer has not been provided for the question till date. Oil Mineral Producing Areas Development Commission (OMPADEC) first and now a Ministry for Niger Delta exist in the country. But still, these initiatives only succeeded in creating fortunes for elites and politicians to better their lots while improve environmental and living conditions are yet to be actually achieved in the same region which produce commodity that fetch the country highest percent of its foreign earning (Baba, 2014). There seems to be a conspiracy in the Niger Delta problem in Nigeria. The positions of the federal government, community leaders and oil companies operating in the region are not still clear to the Nigerian people concerning the management of environment and improving living conditions of people in the region. These three parties are busy making fortunes with much attention to profits than addressing the hardships oil exploration is causing in the region. And the frustration this has created on the lives of the people in the region has force demand for improve environmental management and peoples living conditions to graduate into request for restructuring and dismemberment from the sovereign state of Nigeria.

The hostilities in the Niger Delta and steps been taken by the Federal Government to resolve them have once again sparked off debates over the national question (Vanguard, 2016). Are the agitations and destruction of oil pipelines a resultant from the quest for separation from Nigeria of from grievances about the polity? The first and ultimate objective of militancy is not about dismemberment of Nigeria, but a protest against non-attention to well-known grievances of the militants. The grievances are basically ascribable to perceived unfairness and injustice (Akinterinwa, 2016). Basic reason why communities where oil is not produce in Nigeria boast of outstanding living conditions and basic amenities achieved with oil fortunes while those places which produce the commodity wallow in abject poverty with shortage of basic amenities and contaminated environment for social economic development to thrive is what common sense cannot still understand in the country. Marginalization created by gross injustice and corruption on the part of elites to me provide reason to understand this disparity a lot.

Although there are several threats to Nigeria`s continuous existence as a single sovereign nation. But the possible of disintegration in the near future is not very clear to me. The elites whose supports are required to make disintegration possible are strongly united because the unity of the country seems to be fetching them serious fortunes through corruption and injustice at the expense of the ordinary citizens. The masses are not united. And they are the ones seeing no reason in the country`s unity because it is not translating in positive changes in their lives. Agitations for disintegration only results in conflicts which affect the lives of ordinary citizens but not those of the elites. Both the elites and masses are individuals' band together under a single national structure and government in Nigeria. Therefore, there is the need to work collectively towards safeguarding the rights and interest of the both parties. Group be it political or economic emerged out



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of the need to survive therefore, the Niger Delta people deserve to be listened to but not threatened or provoked into demanding for dismemberment from Nigeria. Abdullahi (2007) initially submits that their rights as members to exist must be secured and promoted by the central government like those of other members belonging to the federal union and arrangement in other regions of the country.

Nigeria since independence in 1960 has had several regimes and governments. Both civilian and military governments have existed in the country. And all demonstrated their commitment to strengthening federalism in the country. But still the nation`s kind of federalism to me is not still very clear. Nigeria operate a federal system which over concentrated so much power in the central authority while other levels of government exist with minimal power to control affairs within their defined areas of administrative jurisdiction. Government at the center claim ownership of resources produce at local level, exploit the resources and decide on allocation formula orhow fortunes from the resources will be distributed among it and other levels of governments. In true federalism, it is expected that the real owner of resources but not government at the center take responsibility for exploiting its resources and remit taxes to the central authority based on its earnings. Federalism is though contextual. But what operate in Nigeria to me can hardly be defined as true federalism. Atiku (2016) asserts that:

"A true federal system will allow the federating state to keep their resources while the federal government retains the power of taxation and regulating authority over standards. The result will be a political and governmental system that empowers local authorities and gives them greater autonomy to address peculiar issues, while enhancing accountability and contributing to the general good of the country. Such a robust federal system would reduce the tensions that are built into our current over-centralized system. Autonomy for the component states and localities to determine their development priorities and wage structures and a tax-centered revenue base with diversified economic activities and productivity in order to enlarge the tax base. Taxation is a sustainable revenue base and one that compels government to promote increased economic activities, and respond to the demand of their tax paying citizens" (Atiku, 2016).

The issue of little or lack of attention to environmental problem by authorities spread across all the six geo-political regions of the country. But the one in Niger Delta has often triggered conflicts because of the importance of the crude oil produce in the region to Nigeria`s economy. Desert encroachment into the country has forced herdsmen to push south ward in search of greener pasture for their livestock-development that often result in high rate of herdsmen and farmers conflicts in the three geo-political zones of northern Nigeria in addition to age-long insurgency in north east, frequent cattle rustling in north west and religious conflicts in north central and the other two regions of northern Nigeria. In fact, Adujie (2007) observed that some Nigerians kill other Nigerians because of religious fervor and religious fanaticism. These aside, both the south western and eastern regions of the country also have their own peculiar environmental problems. Leaching and erosion are high in these regions. One actually wonder what the allocation to the environment sector is been used for. Environment is one of the issues listed by Uzochukwu (2015) as basic problems facing Nigeria today. Environmental issue has resulted in several form of conflicts with ethnic, religion and political affiliations in northern region of the country. Invasion by herdsmen pushing south ward into the country in search of greener pasture overtaken by desert encroachment in the Sahel and upper portions of the Sudan savannah vegetation zones of Nigeria constitute itself, a serious threat to the unity of the country. These sandy region of the country provide a safe linkage with North African countries. And allegations are high that the same route is used to smuggled arms into Nigeria from north African country like Libya to sustain the insurgency threatening Nigeria`s sovereignty and unity in the north east region of the country.

Possibly, the greatest challenges facing Nigeria today is the threat to national unity, as centrifugal tensions, resource control and self-determination, ethnicity based identity politics and religious cleavages have enveloped national consciousness. Since independence in 1960, national integration has been a top priority of governments in Nigeria. The National Youth Service Corps (NYSC) scheme, the Unity Schools, the Federal Character Principle, and State Creation are examples of state policies intended to achieve this goal. Although it is now clear that the outcome of integration policies and programs in Nigeria have fallen far below expectation, as primordial ethnic loyalties are still deep seated. Ethnic particularism is seen as the major cause of this failure (Eaglesisland, 2012). State creation too was seen not only as a tool for strengthening federalism in Nigeria but also as a strategy for promoting the unity of the country. This approach also failed as an approach to national integration and local autonomy. Therefore, investing in education, implementation of food security policies, rural development and effective youth empowerment program may serve as alternative approach to national integration in Nigeria (Alapiki, 2005).

It is vital to maintain peace and unity in the multi-ethnic and multi-religious country of Nigeria. With more than 250 ethnic tribes and various religious beliefs divided across geo-political lines –of Muslim North and Christian South, the nation`s unity is woefully threatened by ethnocentrism, sentiments and religious fanatic.

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Religious radicalism in the Northern part of the country has caused more harm and hatred among the overall Nigerians more than any other issues (Shuaibu, 2012). The various challenges confronting Nigeria would be surmounted if the government and citizens made pragmatic efforts to promote peace and harmony through cultural activities. Cultural festivals are initiative to foster a sense of togetherness among the various ethnic groups in the country. Cultural festivities typically promote national cohesion, consensus building and peaceful mutual coexistence (Edomonwonyi, 2013). Respect each other friendship, reconciliation, transparency, good economy and trust are good measures to promoting unity and national integration in Nigeria (eLimu, 2015).

Persistent demand for disintegration will only result in hardship on the living conditions of the ordinary citizens as a result of conflicts that such demands will continued to produce. Repressive approaches often adopted by government to address such demands will also result in difficulties which would only end on the lives of the ordinary citizens. There is actually no need to demand for dismemberment from Nigeria. But peaceful protest calling for dialogue to address the issue of marginalization, improve environmental management and living conditions of people are not wrong. It is government deaf ears and repressive approach towards these calls that is forcing people to demand for dismemberment from the nation and attacking oil facilities to cripple national economy and force government to listen to the voices of people. Nigeria`s unity as a single sovereign entity is important. And this politicians must acknowledged. Those who labored for the establishment of a united nation of Nigeria are dead. Therefore politicians and elites must be warned to stay clear from adopting selfish policies which are likely to create religion tensions, ethnic conflicts and hatred as well as other issues which threaten the unity of Nigeria. Below is a quote from one of Nigeria`s founding fathers in person of Late Sir Abubakar Tafawa Balewa on the need to sustain the nation`s national unity as submitted by Cartey and Kilson (1970):

"This is a great day for Nigeria. It marks the beginning of the last stage of our march towards independence. The most important result of the constitutional changes in 1954 was the introduction of a federal form of government for Nigeria-a system which I had advocated as far back as 1948 in the old legislative council. I am pleased to see that we are now all agreed that the federal system is, under present conditions, the only sure basis on which Nigeria can remain united. We must recognize our diversity and the peculiar conditions under which the different tribal communities live in this country. To us in Nigeria therefore unity in diversity is a source of great strength, and we must do all in our power to see that this federal system of government is strengthened and maintained. Because of our firm believe in the need for national unity, I decided that the country ought to have a National Government so that the three major political parties, the NCNC, the Action Group, and the NPC, could be closely associated with the making of policy and planning in preparation for 1960. I regard the period between now and 1960 as one of national emergency-a period in which we should bury our political differences and work together as a team so that our ambition of to achieve independence may be realized. In all this I must express my gratitude to Dr. Azikiwe, to Chief Awolowo, to Dr. Endeley, and to the leader of my own party, the Sardauna of Sokoto, for their cooperation and support for my decision.

I must return to my main theme. The future of this vast country of Nigeria must depend in the main on the efforts of ourselves. This we cannot do if we are not working together in unity. Indeed unity today is our greatest concern and it is the duty of every one of us to work to strengthen it. Bitterness due to political differences will carry Nigeria nowhere and lappeal to all political leaders throughout the country to try to control their party extremists. Nigeria is large enough to accommodate us all in spite of our differences" (Balewa, 1957).

From the above quote, it is a task and duty on all Nigerians to work collectively as a team towards sustaining the nation`s unity. And in order to ensure that the labor of our past heroes does not go in vain, both ordinary citizens, politicians and elites must work together in repositioning Nigeria towards sustainable national unity. Achieving this great task is among the basic objectives which necessitated this research.

## VI. Methodology

This research is conducted with the used of qualitative research methodology. The Researchers adopted the descriptive method of analysis in conducting the research. Secondary based data were utilized in the research. Secondary data were sourced from secondary materials like journal articles, textbooks, newspapers, magazines, bulletins, lecture notes and other periodicals as well as internet based information.

## VII. Data Presentation

The data presentation of this research is done under two different headings such as:

*Threats to national unity in Nigeria*

Threats to national unity in Nigeria as the Researcher observed include:

1. Poor national governance and leadership
2. Marginalization
3. Religious intolerance
4. Internal conflicts affiliated with ethnic, religion and politics of identity
5. Poor environmental management policy
6. Over centralization of power and resources



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7. Corruption
8. Poverty
9. Unemployment
10. Lack of patriotism

*Re-positioning towards National unity*

The Researchers also observed that repositioning Nigeria towards sustainable national unity will require the followings:

1. Good national governance and effective leadership
2. Inclusive politics that will carry along all segments of the Nigerian society
3. Religious tolerance among the various religious group in the country
4. Effective conflict resolution and management approach
5. Good and effective environmental policy
6. Decentralization of power and resources to strengthen federalism
7. Unbiased war against corruption
8. Effective poverty alleviation or eradication policy and program
9. Job creation
10. Patriotism on the parts of every Nigerian citizen

## VIII. Discussion of Results

It is however clear from the data presented above that there is problem of national governance and leadership in Nigeria today. This has continue to result in serious threat to the nation`s unity as a single sovereign entity. Power shift on regional basis often result to civil disturbances on the other side of the country. This is often due to fear of perceive marginalization. The north when power shifted to the south became a venue for religion, ethnic and various forms of conflicts due to fear of marginalization by the south, power has shifted to the north and the south due to fear of perceive marginalization is now engulfed with conflicts like demand for resource control and dismemberment from the Nigerian nation. Government poor environmental policy has continued to result in conflicts across the various regions of the country. Oil exploration has continue to pollute environment in the Niger Delta of the country. This has often create tensions like attacks on oil facilities by aggrieved groups and recently demand for restructuring and dismemberment from the sovereign state of Nigeria. In the frontal portion of the country, poor environmental policy to checkmate desert encroachment has continued to push herdsmen south ward in search of greener pasture for their livestock. This push has often amounted to herdsmen and farmers conflicts and other conflicts affiliated with ethnic and religion in the northern region of Nigeria.

In Nigeria, power and resources are more concentrated in the center than at the state and local levels. This seems to be affecting the delivering of good governance at the local level. Corruption which is also high among the political elites has continue to make it difficult for services needed for improve standard of living to be delivered to the ordinary citizens in the country. Government attempts towards fighting corruption itself are often identified with biasness and political inclination in Nigeria. Anti-corruption war targets members of opposition political parties than of the ruling political party. Insecurity itself has continued to keep away foreign investors from Nigeria-development which is translating in job loss and lack of new ones for the unemployed youths. Poverty created by job loss and unemployment have often resulted in frustration and lack of patriotism from the side of the ordinary citizens. Several poverty alleviation projects and programs adopted in the country were wrongly implemented leading to the continued existence of the problem that necessitated the adoption of the projects and programs in the country. National Poverty Eradication Program (NAPEP) as well as several rural development programs like Directorate for Food, Roads and Rural Infrastructures (DFRRI) among others were adopted in Nigeria. But still poverty, unemployment and shortage of basic amenities still continued to rise at the community level across the country. These put together threatens the stability and continue existence of the country as a single sovereign nation.

## IX. Summary of Findings

Based on the data presented and discussed above, the followings emerged as the summary of the findings of this research:

1. Nigeria`s national unity is threaten by problem of poor national governance and leadership, rise in complains of marginalization by minority ethnic groups, corruption among the political elite, religious intolerance, internal conflicts affiliated with ethnic, religion and politics of identity, over centralization of power and resources, poor and ineffective environmental policy, lack of patriotism on the part of the citizens, repressive approach to managing political conflicts, poverty and joblessness among others.
2. Good national governance and leadership, inclusive politics that carry along all minority tribes in the governance of the country, unbiased war against corruption, religion tolerance, decentralization of power and resources, effective environmental policy, effective conflict resolution and management approach, sound poverty alleviation programs and job creation strategies as well as patriotism from the part of the citizens are observed by the Researcher as some of the measures needed to reposition Nigeria towards sustainable national unity.

## X. Conclusion and Recommendations

Based on the data presented and discussed above as well as the major findings made in this



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research, the following recommendations are hereby made by the Researchers:

1. Formulation and implementation of sound environmental policy is needed in Nigeria. Such policy should be designed towards addressing environmental problem caused by oil exploration in the Niger Delta region of the country. It should also tackle the menace of desert encroachment which is pushing herdsmen south ward into the country thereby resulting in conflicts with religion and ethnic affiliations.
2. As a matter of urgency, there is the need for government in Nigeria to adopt poverty eradication program and see to its full implementation so as to reduce the level of poverty ravaging the country. Effective poverty eradication or alleviation program should be designed to target the rural populace as beneficiaries. It should not only end in sharing money to the people. It should be designed to create skill acquisition among the teaming youths of the country. After skill acquisition, soft loan or credit facilities can be given to beneficiaries to start up investment of their own. This will reduce the level of frustration often caused by poverty in the country.
3. Effective channels and approaches to resolving and managing conflicts are also needed in Nigeria. Approaching political problems with repressive approaches will not lead to a well management of conflicts. It will only worsen it. Dialogues are required as solution to political problem but not military operations as in the Niger Delta region of the country. Government should set up a committee to dialogue with the representatives of the various groups in the region with a view to finding lasting solution to environmental problem bedeviling the region. And to also create necessary conditions for the improvement of the living standard of people in the region. These will reduce the unnecessary attacks on oil facilities and crippling of national economy.
4. The zero-sum party political system is not ideal for a multi-tribal, culture and religion country like Nigeria. This is because the chances of exclusion of several parties are high in it. Political parties in the country should adopt the non-zero sum game theory towards politics in the country. This will lead to a more inclusive system of governance where minority tribes or groups in the country stand to be part of any government established by person from different region. This will ameliorate the persistent fear of marginalization by smaller or minority tribes in the country. And this will also lead to reduction in the threat to national unity which the fear of marginalization often triggered in the country.
5. There is also serious need to adopt unbiased approach to war against corruption in Nigeria. If care is not taken, corruption is likely one of the problems that stand to rob Nigeria of its age-long unity. Government must repositioned the anti-corruption agencies like EFCC and ICPC to tackle corruption among Nigerians without impunity on political, ethnic and religion ground. The biasness experience in war against corruption if care is not taken can cost Nigeria its sovereignty with time to come if nothing is done to adopt unbiased approach to war against corruption.
6. Nigeria is diverse in culture, religion and tribes. Therefore, there is also need to adopt measures that will promote national integration among these diverse groups. The National Youth Service Corp (NYSC) scheme is a good effort towards national integration. But it validity in sustaining national integration is failing with the new waves of issues and conflicts across the country. Inter-marriage and cultural festival promotions will assist in creating cultural and religion tolerance among Nigerians. "FESTAC 1977" succeeded in bringing together different black cultures from various places in Africa under single cultural promotion exercise in Nigeria. This type of festivity cement relationship and promote harmony among people of different culture. There is therefore need for government in Nigeria to periodically promote cultural festivities to be organize occasionally on regionally basis in the country just like the national sport festival. This will assist in creating the love of togetherness among the various people of the country.
7. The issue of over centralization of power and resources in Nigeria need to be revisited. There is need to decentralize power and resources among the levels of government as federalism implies. A federal structure with weak center and little concentration of power and resources will greatly reduce the agitation for disintegration in Nigeria. If the center is weak, no or little attention will be concentrated there. Local and state governments should take responsibility for the exploitation of their resources and remit taxes to the center base on earnings. The remitted taxes should aid government at the center to cater for national issues like defense, internal and external affairs among others. A system where central government claim ownership of local resources and decide how much of earnings from the resources goes to the local government will continue to result in threat to national unity in Nigeria.
8. And the government through it orientation agency must invest in the development of patriotism on the minds of the Nigerian citizens. From the look of things, Nigerian citizens are trapped up in between affluence and poor leadership. They no longer have faith in their political elites anymore. Politicians to most of them are not only corrupt but liars. This thought has continue to affect their patriotism to the



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nation. There is actually the need to orientate them that government is for them and the nation exist for their well-being. Through civic education in schools, radio and television programs, citizens should be made to understand the importance of their patriotism to the nation. This will result in attitudinal change on the part of the citizens and improve their patriotism to the nation. It is also hoped that sound patriotism and love for the nation if instill in the people will make it difficult for them to indulge in acts which are likely to tear apart the nation.

## XI. Future Research

Finally, haven identified some of the major threats to national unity in Nigeria and some possible alternative measures required to re-positioned the nation towards sustainable national unity, it is however recommended that future research shift a little bit away from threats to Nigeria`s national unity and how to re-positioned the country towards sustainable national unity to issues that have to do with promoting unity in diversity among the various people of the country as well as the benefits inclined with the continuous existence of the nation as a single sovereign entity.

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# Pastoralism as a New Phase of Terrorism in Nigeria

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*Abstract-* The need to feed livestock of herdsmen necessitates their migration from their communities due to inadequate pastures to other communities and this has led to the trespass of these pastoralists to the farmlands of local agriculturalists and destruction of their crops thereby leading to conflict. This study therefore analyses the causes, evolution, dynamics and solutions to the conflicts generated from the farmers-herdsmen clashes in Nigeria. The study also recommends the formulation of national livestock development policy, effective community policing model, demarcation of livestock grazing reserves, provision of constitutional roles and recognition for traditional rulers and convening of stakeholders' conference on nomadic pastoralism as strategies for ensuring peace.

*Keywords: pastoralism, terrorism, livestock, herdsmen, farmers, local communities.*

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# Pastoralism as a New Phase of Terrorism in Nigeria

IdowuAdetayo Johnson [α] & Okunola, BiodunTaofik [σ]

*Abstract-* The need to feed livestock of herdsmen necessitates their migration from their communities due to inadequate pastures to other communities and this has led to the trespass of these pastoralists to the farmlands of local agriculturalists and destruction of their crops thereby leading to conflict. This study therefore analyses the causes, evolution, dynamics and solutions to the conflicts generated from the farmers-herdsmen clashes in Nigeria. The study also recommends the formulation of national livestock development policy, effective community policing model, demarcation of livestock grazing reserves, provision of constitutional roles and recognition for traditional rulers and convening of stakeholders' conference on nomadic pastoralism as strategies for ensuring peace.

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## I. Introduction

The Nigerian nation has persistently been in a fierce vortex and seemingly boiling cauldron of state terrorism. The Nigerian state has witnessed series of mind-boggling and unthinkable bloodshed and the geographical space – the terra-firma on the school atlas christened 'Nigeria' has in its earth the bones of millions of innocent people who lost their lives to avoidable clashes, the sun has dried the tears of many helpless and hopeless people who have lost their loved ones and the ground has also gulped the innocent blood of many who perished in various wars and violent movements which have characterised the state.

These violence are such as the Biafran war, the ZakiBiam massacre, the Odimassacre, the Niger Delta violence, operation Wetie, the Modakeke-Ife war, Maitatsine religious uprising, the Fulani-Birom clashes in Jos, the Bauchi religious riots, the Boko Haram terrorist activities, the Shiite group massacre in Zaria and the recent Fulani herdsmen terrorist activities which pervades every region of the country. These acts of violence have largely disrupted the state of peace and development in the Nigerian state. It is therefore imperative for the government of Nigeria to act swiftly to curb the conflict between the two groups to forestall the metastasis of the conflict to full blown terrorism in an already ethnically-strained country Nigeria which is just recovering from the violent acts of the Boko Haram terrorism.

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## II. Historical Origin of The Fulani's

Found across West Central Africa, the Fulani's are said to be perhaps the largest semi-nomadic group in the world (BBC, 2016). They are found in large number in Nigeria but while some have moved into the cities, many are still living as semi-nomadic herders. The nomadic group basically spend most of their lives in the bush and are the ones largely involved in clashes.

According to Anter (2011) the Fulani is an ethnic group who are spread over several West African countries and in some places in Central African and the Sudan. The Fulani people can be found in Gambia, Mali, Mauritania, The Gambia, Sierra Leone, Burkina Faso, Guinea Bissau, Côte d'Ivoire, Central African Republic, Togo, Nigeria, Niger, Senegal, Guinea,Benin, Ghana, Liberia, Sudan and Cameroon. In Guinea, the Fulani represents the largest population and they are basically pastoralist agriculturists whose main occupation is nomadic farming, pastoralism, trading, herding of cattle, goats and sheep which they do across the vast hinterland of where they consider their domain and in many cases, keeping away from local agricultural population (Anter, 2011). The religious, political and socio-cultural identity of the Fulani of West and Central Africa can be traced to the eighteenth and nineteenth century Jihad with conquered communities (Azarya, 1996). According to Blench (1994), the Fulani originated from the Senegambia before spreading out into about 20 states which cut across West Africa and the Sahel as well as western Sudan and Central African Republic (McGregor, 2014).

The Fulani are the major providers of milk and meat in Nigeria. Their contribution to the dairy and meat industry is phenomenal and about 90% of the cattle in Nigeria are owned by the Fulani and they contribute about 3.2% to Nigeria's gross Domestic Product (GDP) (Abass, 2012). The Fulani are also responsible for the provision and hides and skin in Nigeria. In the pastoral system, young people more especially the male tend the herd to ensure their feeding. The conflict between herdsmen and the local communities can be traced to the beginning of agriculture (Abbass 2012). Okelloet al. (2014) submits that it was the fall of the Sokoto Caliphate; colonialism and the introduction of the cattle tax were the major reasons for the initial dispersal of the Fulani to the southern part of the country. Basically, Nigeria has two major seasons – the rainy and the dry



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seasons. During the rainy season, the pastures begin to appear and this is the time when the clashes between the herdsmen and the people of local communities begin to occur due to their trespass into arable lands (Abass, 2012).

## III. The Fulani Pastoralists and Terrorist Activities

There have been repeated and bloody clashes between the Fulani herdsmen and host communities for several years. These clashes according to BBC (2016) have claimed thousands of lives within a period of twenty years. It is further stated that in 2014, over 1,200 lives were lost which made these set of people the world's fourth deadliest militant group. In February 2016, there was an attack on farmers in Benue State which according to reports killed some 300 people (BBC, 2016). In April, 2016, there was another attack in Southern Enugu State which claimed about 40 lives and destroyed properties worth millions of naira leaving thousands fleeing their homes and rendering children orphaned.

On the part of the farmers seeking defence, some angry youths, local hunters and farmers in many communities in the country have however acquired weapons against unprovoked attacks by Fulani herdsmen. These people have also vowed to stop what they have described as mindless killings and destruction of their farmlands by rampaging Fulani herdsmen (Punch, 2016). In recent times, the Fulani herdsmen have reportedly killed hundreds in different states of the federation including Plateau, Adamawa, Benue, Enugu and lot of other states (Punch, 2016) the more disturbing aspect is that no prosecution has been made despite promises by security agencies in country. It is instructive to note that these herders are involved in criminal activities as they were reported to have invaded some places in Lagelu Local Government of Oyo State and made away with goods and cash worth N500,000 (Punch, 2015). The group is said to have grown very audacious such that they obstructed the convoy of the governor of Imo State, Rochas Okorocha at the state capital while the governor was inspecting state projects (Thisday, 2016).

Cattle grazing-related violence has been on the increase in Nigeria. According to Olayoku (2014) about 615 violent deaths have been recorded by the database of Nigerian Watch and there have been about 61,314 fatalities that can be described as violent. According to the scholar, in 2008, there were 31 reported cases of cattle conflict while in 2009 the fatalities soared to 83 all occurring most primarily in the northern states of the country. In 2010, iut was also observed that the occurrence of cattle grazing violence dropped to 39 fatalities with most of the cases occurring in the north but sad enough, in the following year, the occurrence rose to 116 fatalities with the highest occurrence being in Plateau state and the most sustained, lasting five days occurring in Benue State (Olayoku, 2014).

The major cause of this violence has been recognised as the invasion of farmlands by the herders and destruction of agricultural farmlands of people of the communities. In 2012, Nigeria recorded the highest number of fatalities when the record was put at 128fatalities. Also, according to Joseph (2012) about 500 cows were reportedly lost by the Fulani herdsmen. It was reported that in Delta State, the herdsmen were armed and dressed in uniforms and when they were attacked by the local communities, it led to the display of headless bodies and raping of women and when the military tried to restore peace, another two persons were killed while militants were also involved in the fight using the opportunity to engage in robbery activities (O'Neil, 2012).

There were also violent cases in 2013 and about 115 casualties were said to have been reported and this spate of terrorism has remained a continuum. Several communities have therefore become hostile to the pastoralists farmers and particularly the Fulani herdsmen who have been dubbed a semblance of the Boko Haram insurgents due to their terrorising habit of host communities. In a sleepy town of OkeAko in Ikole Local government area of Ekiti State some suspected herdsmen attacked the town and killed one of the residents (Olakitan, 2016). Also, in Uzaar in Tombo, Anyii in Logo and Vase in Ukum local government areas of Benue State, the herdsmen attacked killing 8 and 12 persons respectively (Duru, 2016) this incident led to the displacement of about 1,000 people from this localities rendering them homeless.

The Governor of Ekiti State, AyodeleFayose was reported to have armed local hunters and urged them to be defensive in any case where there was an attack from the herdsmen (Saharareporters, 2016). A closely related case occurred in Delta State when Hon. EvanceIvwurie, a Nigerian lawmaker from Ethiope Constituency of Delta State led security agents into the forest in the outskirt of Abraka Kingdom which had become a hideout for the herdsmen in which the herdsmen had also dug a tunnel in order to gain access to attack the community. It is therefore imperative that the Nigerian government must do something to curb the persistent violence and terrorism of local communities by the Fulani herdsmen to forestall peace and tranquillity in these communities and also aid the friendliness of the Fulanis with local residents as well as ease their pastoral business.



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## IV. Strategies to Curb the Persistent Fulani-Local Community Fatalities in Nigeria

As a nation just rising from the ashes of the Boko Haram insurgency, the herdsmen-communities clashes is something Nigeria cannot afford at the moment. The country has already lost thousands of lives and property to the Boko Haram insurgency and while more than a million people have been displaced, it is therefore important for the Nigerian nation to look critically into the pastoralist budding conflict before it degenerates into a full blown terrorism.

To achieve this therefore, Nigeria must ensure that there is the promulgation of the National Livestock Development Policy which will provide guidelines for livestock resources management. The government should also ensure that there is the development of institutional and technological changes which is necessary for the exploitation of the potentials which lies in the livestock sub-sector. This approach will enhance research and development of livestock breed, disease control and ways of addressing the ecological problems in Nigerian among others. The implementation of this policy is a viable route of solving the herdsmen-communities clashes in Nigeria. The government should ensure that it consults with the major stakeholders in the livestock sector such as the Maiyatti Allah and other relevant groups. The federal ministry of Agriculture and Natural Resources should ensure it initiates a consultative interaction with these groups.

The government can also implement community policing model can also help to forestall peace in the rural areas since the shortage in officers and men of the Nigeria Police could be seen as one of the reasons the herdsmen gain access into the communities to attack residents. This policy was launched by the Nigeria police force in 2004 as a pragmatic approach to police reforms and also a way of substituting traditional reactive and incident-based policing to a proactive problem-solving policing system. It seeks the effective community engagement in the provision of solution to policing issues and also developing partnership in the maintenance of safety and security in the society. This approach will also ensure that effective personnel were deployed to the rural communities and a good structure was maintained in the rural communities.

Another important approach is to ensure that there is a demarcation of the grazing reserves to forestall desertification. There is a need for environmental regeneration programme to mitigate the challenges of environmental desertification as most grazing reserves have been lost to this. The implementation of the demarcation of the razing reserves will ensure that there is enough grazing land for the herdsmen and will also encourage them to return to the abandoned grazing lands in the northern part of the country. There is a need for collaboration between the ministry of agriculture and environment to formulate this policy and develop modalities for ensuring that this goal is achieved.

There is also a need for convening of national stakeholders' conference on nomadic pastoralism where adequate attention to the peculiarities of pastoralism could be discussed and measures to eliminate clashes will be discussed. This will also be a platform where various parties could discuss their grievances and this will engender mutual understanding among conflicting parties.

The traditional institutions in the country should also be given constitutional roles and recognition and this will afford them the opportunity to exercise their authority as grassroots leaders and custodians of cultural heritage. This recognition will also help to reduce the need for traditional rulers to continue seeking relevance through active political patronage and enable them to focus on solving issues that deals with their communities while also thinking of bringing development to their local communities. Once this is achieved, community leaders will know how to engage the pastoral farmers in conflict resolution approach instead of attacks.

## V. Conclusion

This study examines the Fulani pastoral farmers and local communities' clashes in Nigeria as a form of budding terrorism and threat to national security. Thestudy established that the persistent conflict has a negative relationship on national peace and security and it has been on the increase in recent times more especially in 2016 where several people were killed in Enugu and Benue States with several attacks in the South West and prominently, in Ekiti State. The study therefore established that policies and programmes were not effectively implemented with generated issues that influenced the persistence of conflicts between farmers and herdsmen within the country. It was therefore recommended that the Nigerian government should endeavour to implement grazing reserves, laws enforcement and socio-cultural dynamics as possible routes to curb the violence.

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# Employees' Perception Towards the Implementation of Corporate Governance Principles: An Egyptian Perspective

By Marwa Anis & Amira Abdul Hamid

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*Abstract-* The objective of this study is to examine how employees perceive corporate governance in their organisations and to explore the position that employees can take in the promotion of corporate governance in the Egyptian context. It empirically examines the employees' perception towards corporate governance using a 5-point Likert-type questionnaire that was administered face to face and online. Despite the fact that some employees lack proper knowledge about the issues of corporate governance, the findings were encouraging as the majority of employees have emphasised its importance. The results of this study can be beneficial in developing a better understanding about corporate governance within different Egyptian institutions and in promoting the importance that employees can play in implementing governance.

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# Employees' Perception Towards the Implementation of Corporate Governance Principles: An Egyptian Perspective

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*Abstract-* The objective of this study is to examine how employees perceive corporate governance in their organisations and to explore the position that employees can take in the promotion of corporate governance in the Egyptian context. It empirically examines the employees' perception towards corporate governance using a 5-point Likert-type questionnaire that was administered face to face and online.

Despite the fact that some employees lack proper knowledge about the issues of corporate governance, the findings were encouraging as the majority of employees have emphasised its importance. The results of this study can be beneficial in developing a better understanding about corporate governance within different Egyptian institutions and in promoting the importance that employees can play in implementing governance.

## I. Introduction

Many scholars have defined corporate governance from different perspectives and in different contexts (Turnbull, 1997). It is noted that corporate governance is the process by which the relationship between the company's board of directors, management, and stakeholders is directed and controlled (OECD, 2004).The development of corporate governance into what it is today has taken many years; the concept of corporate governance has been thriving since the 18th century in the East and West (Hubbard & Wood, 2013) and it has become the focus of many enterprises in the recent years. This can be attributed to the global awareness of the importance of its promotion and the negative consequences if it is ignored (The Professional Accountants in Business Committee, 2009).

Corporate governance emerged from agency theory. Agency theory is primarily concerned with protecting and enhancing shareholders' wealth (Jensen & Meckling, 1976). Over time, many scholars have developed theories that seek to define the mechanisms and practices of the code of corporate governance. One of the most noteworthy theories is stakeholder theory which emphasises the role of the stakeholders to the company as they are considered to be essential to the success and survival of the corporation (Boredean, 2012; Spitzech and Hansen, 2010). Traditionally, a stakeholder is any individual who is affected directly or indirectly by the company's decisions and actions (Freeman, 1984). Although all stakeholders are important for a corporation's success, some stakeholders are perceived to be more crucial in determining the organisation's survival, such as employees and shareholders (Lazano, 2005).

For corporate governance to perform its function, the real challenge is not related to drafting codes, but rather to employees' attitudes (Peters, 2004) It is often highlighted that employee attitudes in respect to ethical standards are crucial in tackling this issue. Governance programs will never succeed unless they take time to understand the ethical mind-set of the employees. Also, previously set codes should be entrenched at every level of the business, in every business unit and subsidiary (Peters, 2004).

Several studies consider employees as participants in corporate governance (e.g. Svensson et al., 2016; Glavas and Godwin, 2013; Mc Donnell, 2011; Muthusamy et al., 2011; Lower, 2009; Konzelmann, 2005) concentrate on specific issues such as being a representative on the board. However, they do not adequately tackle how well employees identify with their organisation on these issues.

In these terms, previous studies (e.g. Rasiah, 2012) concentrate their attention only on one agency relation that occurs between owners and management. Others form of agency that may exist in the corporate is not given enough consideration. For instance, in spite the importance of the employees' roles in the implementation of corporate governance principles, the agency relationship between employees and management is ignored (Child et al. 2004); however, it is essential to consider this relationship to achieve organisational objectives. Here we see the importance of studying how employees perceive the importance corporate governance, specifically in the organisation they are currently working in.

Consequently, the current study aims to study employees' perceptions and expectations towards corporate governance within the Egyptian context. The importance of this study lies in the scope and nature of its targeted context, which is a developing country. Generally, previous studies focus on developed

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countries (e.g Svensson et al., 2016; Muthusamy et al., 2011)

Hence, the findings of the current study are mainly directed to answer the following research question: How do employees perceive the practices of corporate governance within their organisation in Egypt?

This question is examined through conducting an exploratory study on employees' perception of corporate governance in Egyptian corporations.

## II. Literature Review

One of the early attempts at defining corporate governance is by Berle and Means (1932). They state that the problem of separation between ownership and control in many organisations has led to what is known as the agency problem. The main activities of corporate governance are controlling and regulating ownership within the organisation.

Calder (2003) has provided a more comprehensive framework for the corporate governance concept. This study has stated that corporate governance is related to the practices, duties and responsibilities exercised by the governing body of institutions. It comprises of the board of directors and executive managers and it aims at establishing strategic plans, ascertaining goals are achieved as planned and resources are used properly, and managing risks appropriately.

The term corporate governance has become very significant and popular in many enterprises during recent years; corporate governance carries out all the processes and practices that aim at achieving accountability within an enterprise (Butler, 1999). The Organisation of Economic Cooperation and Development (OECD), in its updated report in April 2004, has highlighted that proper corporate governance helps in enhancing economic growth and efficiency as well as strengthening shareholders' trust. Moreover, it contains within its framework a set of relationships and agreements between the board of directors, managers, shareholders, and other stakeholders of the organisation.

### a) *Employees' role in governance*

According to Davies (2006), employees are a major stakeholder in every company, since their skills and experience are needed for the firm's success, and on the other hand, employees use the organisation to improve and enrich their curriculum vitae. Botha (2011) also stresses that "employees should be aware of their company's corporate governance systems as well as its objectives and directions because employees' involvement contributes significantly to the improvement of the business and create confidence in the promotion of corporate governance principles in the workplace". It can be argued that poor employee relations can lead to a decline in their productivity, morale, loyalty, innovation, and creativity in addition to conflicts of interest and problems in recruiting and retaining staff (Metcalf, 1995).

Hence, involving employees in corporate governance systems and empowering them can lead to the company's efficiency in addition to other positive consequences (Jacoby, 2001). It appears that employees' involvement in corporate governance is as essential as shareholders' involvement because both are complementary and beneficial to protect and maximise the company's assets and to satisfy their risk preferences (Boatright, 2004).

Many scholars have highlighted the important role that employees play in the execution of corporate governance (Botha, 2011). Employee governance and stakeholder governance are considered complementary and mutually beneficial as they bothachieve the same goal which is mainly to protect their firms' specific assets. There are several ways to involve employees in the promotion and enforcement of governance and it can be in the form of employees' share in ownership and election of representatives on the board of directors. It is expected that employee empowerment will encourage them to take a role in the fight against corruption and fraudulent activities in the workplace. In general, employee roles are complementary to forms of governance (Botha, 2011). That is why employees should not only be aware of the organisation goals, but should also be aligned with them. It is evident that the strategic involvement of employees is crucial for the improvement of businesses.

Moreover, if employees do not trust their company's management, this will impose serious threat to a company's performance and it may result in failure of governance. The relation between employees and managers within the organisation is the proper tool to gain a considerable alignment of corporate governance theory (Child et al., 2004).

### b) *Research question/objectives*

There are many limitations in the current area of study as most researches apply studies on developed countries (Mulili, 2011). There is a general lack of sufficient empirical studies based on developing countries such as Egypt, and therefore, the aim of the current study is to examine the ways in which employees in the Egyptian organisation are integrated within their organisation in terms of corporate governance activities. Accordingly, it is crucial to investigate employees' perception and expectations towards corporate governance within the Egyptian context.

This raise the following research question: How do employees perceive the practices of corporate governance within their organisation in Egypt?



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## III. Methodology and Data

The adapted questionnaire is used as an instrument to collect the required data to answer the early specified research question gained from these practices. The questionnaire is adapted from a previous study about 'Business students' perceptions on corporate governance' to ensure its validity and reliability with some modifications in order to fit the current study's context (Bordean, 2012).

The respondents were asked to complete a five–point Likert scale questionnaire by indicating their level of agreement to 34 statements after completing the personal information in the first part of the questionnaire. The main reason for choosing this type of questionnaire is to avoid the subjectivity and errors of the open-ended unstructured questions as it might be difficult for the respondents to understand those unstructured questions which will result in unwillingness or inability to answer the stated questions due to its vagueness. On the other hand, the structured five-point Likert scale questions are much easier to understand and answer because they provide the respondents with a set of alternative choices (strongly disagree, disagree, neutral, agree, strongly agree) from which they choose and this increases the respondents' willingness and ability to understand and answer the given questions (Malhotra, Baalbaki, & Bechwati, 2010).

The questionnaire is composed of seven groups pertaining to different corporate governance issues and they are management issues, shareholders issues, personal issues, society issues, customer issues, board of directors issues and overall employees' perceptions towards the importance of corporate governance issues.

The reliability and the validity of the questionnaire are tested before distribution on the identified sample using pilot testing. The purpose of the pilot testing is to refine the questionnaire before distributing it in order to make it more convenient for the respondents to answer the questionnaire without help and to avoid difficulties in managing the data (Saunders, Lewis, & Thornhill, 2012).

## IV. Results

The analysis is presented below as follows: a measurement of the validity and reliability of the questionnaire through Cronbach's alpha and factor analysis, and an overall analysis of the answers generated from the distributed surveys using descriptive statistics. In the end, a total of mean scores is calculated for each issue in order to find out the relative importance given to each one of them by the employees.

### *a) Validity and reliability testing*

#### i. *Cronbach's alpha*

Cronbach's alpha is mainly used to assess the level of validity and reliability of a set of questions by measuring the interrelatedness between various items represented in a certain questionnaire (Grau, 2007). The Cronbach's alpha of the 34 statements of the survey has a value of 0.923 indicating a low level of error variance for the statements represented in the survey to be considered reliable for a single construct scale as mentioned in table 1 and table 2.

*Table 1:* Case Processing Summary

| | N | % |
|---|---|---|
| Cases Vaild | 131 | 99.2 |
| Excluded[a] | 1 | .8 |
| Total | 132 | 100.0 |

*a. Listwise deletion based on all variables in the procedure*

*Table 2:* Reliability Statistics

| Cronbach's Alpha | N of Items |
|---|---|
| .923 | 34 |

In particular, when the alpha scores 0.70 or higher, this indicates that the tested variables are considerably unidimensional and reliable (Schmitt, 1996).

### *b) Factor analysis*

Factor analysis is a technique used in developing questionnaires; it aims at identifying the underlying unobservable factors or variables that indicate a pattern of correlations within a set of manifest or observed variables (UCLA, 2015). A Kaiser-Meyer-Olkin measure has been used to test the sampling adequacy. In the current study, the sampling adequacy has scored 0.852 which indicates a proper level of adequacy as the closer the value to 1 as shown in table 3; the better it is (UCLA, 2015).

*Table 3:* KMO and Bartlett's Test

| | | |
|---|---|---|
| Kaiset-Meyet-Olkin Measure of Sampling Adequacy | | .852 |
| Bartlett's Test of Spheticity | Approx. Chi-Square | 2272.197 |
| df | | 561 |
| Sig | | .000 |

In order to develop a better and more comprehensive understanding of corporate governance, the concept was broken down into seven distinct issues: management issues, shareholders' issues, personal issues, society issues, customer issues, board of directors issues and overall employees perceptions



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towards the importance of CG issues. Hence, the percentage of total variance was calculated for each issue separately in order to estimate the contribution of each factor to that particular issue. The tables 4 to table 10 demonstrate the total variance for each issue and each table can be referred to the questionnaire in the Appendix in order to understand what each statement stands for.

*Table 4:* Total Variance Explained for Management Issue

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulatice % | Total | % of Variance | Cumulative % |
| Statement 2 | 2.307 | 57.535 | Statement 2 | 2.307 | 57.535 | Statement 2 |
| Statement 3 | .664 | 16.605 | Statement 3 | .664 | 16.605 | Statement 3 |
| Statement 4 | .587 | 14.675 | Statement 4 | .587 | 14.675 | Statement 4 |
| Statement 1 | .447 | 11.186 | Statement 1 | .447 | 11.186 | Statement 1 |

*Extraction Method: Principal Component Analysis.*

Since statement 2 (see table 4) in the questionnaire has the highest percentage of the total variance (57.5%), it can be interpreted that it is the most important factor in contributing to management issues, followed by statement 3 which has a value of 16.6% of the total variance. The least effective factor is statement 1 as it has 11.18% of the total variance.

*Table 5:* Total Variance Explained for Shareholders Issues

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulatice % | Total | % of Variance | Cumulative % |
| Statement 6 | 3.214 | 53.575 | 53.575 | 3.214 | 53.575 | 53.575 |
| Statement 9 | .999 | 16.650 | 70.225 | | | |
| Statement 8 | .625 | 10.412 | 80.637 | | | |
| Statement 7 | .523 | 8.723 | 89.360 | | | |
| Statement 5 | .363 | 6.046 | 95.407 | | | |
| Statement 10 | .276 | 4.593 | 100.000 | | | |

*Extraction Method: Principal Component Analysis.*

Table 5 displays that, statement 6 has the highest contribution to the total variance in the shareholders issues (53.5%), followed by statement 9 (16.6%) and statement 8 (10.4%), whereas statement 10 has the least contribution (4.5%) to the shareholders' issues.

*Table 6:* Total Variance Explained for personal Issues

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulatice % | Total | % of Variance | Cumulative % |
| Statement 13 | 2.450 | 61.241 | 61.241 | 2.450 | 61.241 | 61.241 |
| Statement 11 | .615 | 15.375 | 76.616 | | | |
| Statement 14 | .519 | 12.967 | 89.583 | | | |
| Statement 12 | .47 | 10.417 | 100.000 | | | |

*Extraction Method: Principal Component Analysis.*

The total variance for statement 13 (see table 6) is 61.2%, which indicates that this statement has the highest contribution to the personal issues in the questionnaire, followed by statement 11 (15.3%), statement 14 (12.9%) and statement 12 (10.4%).

*Table 7:* Total Variance Explained for Society Issues

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulatice % | Total | % of Variance | Cumulative % |
| Statement 16 | 2.300 | 57.512 | 57.512 | 2.300 | 57.512 | 57.512 |
| Statement 15 | .746 | 18.656 | 76.169 | | | |
| Statement 18 | .662 | 16.552 | 92.720 | | | |
| Statement 17 | .291 | 7.280 | 100.000 | | | |

*Extraction Method: Principal Component Analysis.*



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Statement 16 as shown in table 7 is the most significant factor in contributing to the society issues in the questionnaire (57.5%), while statement 15 comes next (18.6%), followed by statements 18 and 17 which have 16.5% and 7.2% of the total variance respectively.

*Table 8:* Total Variance Explained for Customer Issues

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulatice % | Total | % of Variance | Cumulative % |
| Statement 19 | 2.437 | 48.738 | 48.738 | 2.437 | 48.738 | 48.738 |
| Statement 21 | 1.264 | 25.278 | 74.016 | 1.264 | 25.278 | 74.016 |
| Statement 20 | .538 | 10.766 | 84.782 | | | |
| Statement 22 | .443 | 8.865 | 93.647 | | | |
| Statement 23 | .318 | 6.353 | 100.000 | | | |

*Extraction Method: Principal Component Analysis.*

Table 8 demonstrates that the highest percentage of the total variance in the customer issues comes from statement 19 (48.7%), followed by statement 21 (25.2%), statement 20 (10.7%), statement 22 (8.8%) and then statement 23 (6.3%).

*Table 9:* Total Variance Explained for Board of Directors Issues

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulatice % | Total | % of Variance | Cumulative % |
| Statement | 2.600 | 32.502 | 32.502 | 2.600 | 32.502 | 32.502 |
| Statement | 1.430 | 17.871 | 50.373 | 1.430 | 17.871 | 50.373 |
| Statement | 1.107 | 13.839 | 64.212 | 1.107 | 13.839 | 64.212 |
| Statement | .824 | 10.296 | 74.508 | | | |
| Statement | .619 | 7.738 | 82.246 | | | |
| Statement | .579 | 7.239 | 89.485 | | | |
| Statement | .539 | 6.737 | 96.222 | | | |
| Statement | .302 | 3.778 | 100.000 | | | |

*Extraction Method: Principal Component Analysis.*

For the board of directors issues (see table 9), the highest variance comes from statement 26 in the questionnaire (32.5%), followed by statement 25 (17.8%), statement 28 (13.8%), statement 24 (10.2%), and statement 29 which has the least contribution to the issue (3.7%).

*Table 10:* Total Variance Explained for Overall Employees' Perception towards the Importance of CG

| Component | Initial Eigenvalues | | | Extraction sums of Squared Loadings | | |
|---|---|---|---|---|---|---|
| | Total | % of Variance | Cumulative % | Total | % of Variance | Cumulative % |
| Statement 33 | 1.643 | 54.760 | 54.760 | 1.643 | 54.760 | 54.760 |
| Statement 34 | .952 | 31.732 | 86.492 | | | |
| Statement 32 | .405 | 13.508 | 100.000 | | | |

*Extraction Method: Principal Component Analysis.*

Table 10 illustrates that statement 33, which has the highest percentage of the total variance (54.7%), contributes to the overall employees' perception towards the importance of CG issues significantly, followed by statement 34 (31.7%), and then statement 32 (13.5%).

*c) Data collected and analysis of respondents*

The data was gathered using self-administered and online questionnaires, and the targeted sample size was set to be 150 respondents. However, only 132 respondents had completed the survey. The survey consists of 34 questions, excluding the first five personal questions; the 34 statements were divided into seven groups as mentioned previously in order to reflect different issues regarding the discussed topic. The first group of four questions represents management issues; the second group of six questions represents shareholders issues; the third group of four questions represents personal issues; the fourth group of four questions represents society issues; the fifth group of five questions represents customer issues; the following eight questions represent board of directors issues; and the last group is composed of three questions that represent employees' overall perceptions towards the importance of corporate governance.

The percentage of females who completed the survey slightly exceeds the percentage of males as



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56.82% of the respondents were females and 43.18% were males. It is critical to identify the percentage of respondents from each gender in order to interpret the analysis more accurately.

The majority of the respondents who undertook the survey range in age from 20 to 30 years and represent 40.91% of the respondents. The percentage has declined to 33.33% representing the group between 31 and 40 years old. As the age decreases, the percentage of respondents who completed the survey decreases seeing that 14.39% of the respondents range from 41 to 50 years old. Finally, the percentage drops to 11.36% representing respondents above 50 years old.

Based on the data collected from the survey, the majority of the respondents were employees working in the educational sector, 61.36%, while employees working in non-educational sectors was 38.64% of the sample. This variation in percentages could be interpreted as due to the increasing awareness of corporate governance issues in educational institutions among teaching and administrative staff.

The biggest portion of the respondents has more than 10 years' work experience as they represent 45.45% of the sample size. The second portion represents 34.85%, which is respondents who have less than five years' work experience followed by 19.7% of respondents who have work experience ranging from five to 10 years.

47.73% of the respondents are middle-level employees while the second two portions are relatively close as the entry level employees represent 27.27% of the sample size, and 25% represent top-level respondents.

The majority of the respondents agree that their organisations discourage malpractice/unprofessional conduct to gain short-term benefits as they represent 28% of the total sample while 21.9% were neutral, and 18.9% strongly agreed with the statement. However, 17.4% of the respondents disagreed, and 13.6% strongly disagreed.

31.8% of the respondents agreed that their organisation ensures justice/equality and non-discriminatory treatment among its employees. The portion of respondents who were neutral and disagreed with the statement was very close as both represented 21% of the sample. Moreover, 13.6% of the respondents strongly agreed, while 11.3% strongly disagreed.

28.7% of the sample agreed that their organisation ensures the independence of internal and external auditors to strengthen checks and balances in the firm, while 26.5% were neutral. 18.9% of the respondents showed their disagreement while 17.4% strongly agreed with the statement, and only 8.3% strongly disagreed.

When the respondents were asked to indicate their level of agreement/disagreement with whether their organisations discouraged participation in the micro politics of the organisation's higher management, 33.3% were neutral, 21.9% agreed and 21.9% disagreed. Further, 12.8% strongly agreed, while 9.8% strongly disagreed.

29.5% of the sample agreed that their organisation maintains the balance between the interest of different stakeholders and the rights of employees of the firm whereas 28% were neutral. On the other hand, 22.7% of the respondents disagreed with the statement and 10.6% strongly disagreed, while 9% strongly agreed.

28% of the respondents agreed that their organisation forbids helping the owner in his unethical/unlawful business transactions, 23.4% were neutral, 22.7% disagreed, 14.3% strongly agreed, and 11.3% strongly disagreed.

31% of the respondents were neutral when they were asked to what extent they agree/disagree that their organisation ensures the open system and maximum access to information for shareholders while 25.7% agreed with the statement and 22.7% disagreed, 10.6% strongly disagreed, and 9.8% strongly agreed.

The biggest portion of the sample agreed that their organisation forbids them to manipulate or play with the figures to cheat the shareholders/owners, 33.3% of the total sample, and 23.4% strongly agree with the statement. 15.9% disagreed with the statement, 15.5% were neutral, and 12.2% strongly disagreed.

37% of the respondents agreed that their organisation prioritises shareholders'/owners' interest in making business decisions, 21% were neutral, 17.4% strongly agreed, 15.9% disagreed, and 8.3% strongly disagreed.

34.8% of the total sample agreed that their organisation ensures the resources allocation in the interest of shareholders/owners while 28% were neutral, 18% strongly agreed, 14.3% disagreed, and only 4.5% strongly disagreed.

The majority of the respondents agreed that their organisation maintains a high level of morals, justice, and honesty in business and other affairs, 37% of the sample size, while 21.2% of the respondents disagreed with the statement, 20.4% were neutral, 14.3% strongly disagreed, and only 6.8% strongly disagreed.

The answers to this statement were very close as 27.2% were neutral, 26.5% agreed, 24.2% disagreed, 15.9% strongly agreed and only 6% strongly disagreed that their organisation helps them become a socially and ethically responsible citizen.

This figure demonstrates that 30.3% of the respondents were neutral, 27.2% agreed, 21.9% disagreed, 11.3% strongly agreed and 9% strongly disagreed when they were asked to indicate their level of agreement/disagreement whether their organisation ensures 100% transparency and fairness in their business transactions.



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When the respondents were asked if their organisation is not overruling the firm's policies to gain personal benefit/self-interest, 30.3% were neutral, 25.7% agreed, 19.7% disagreed, 14.3% strongly agreed, and 9.8% strongly disagreed.

The majority of the respondents, 39.3%, agreed that their organisation abides by the local laws and regulations in business transaction, while 24.2% were neutral, 20.4% strongly agreed but 8.3% strongly disagreed, and 7.5% disagreed.

43% of the total sample agreed that their organisation enables caring for the local values and culture while making business decisions, 23.4% were neutral, 14.3% disagreed, 11.3% strongly agreed, and 7.5% strongly disagreed.

The responses are relatively close as 28% respondents agreed that their organisation fights for environmental issues while making business decisions and 28.7% were neutral while 23.4% disagreed with the statement and 12% strongly agreed, whereas 7.5% strongly disagreed.

31% of the respondents were neutral, 27.2% agreed, 18.9% disagreed, 14.3% strongly agreed and only 8.3% strongly disagreed when they were asked if they agree/disagree that their organisation discourages the culture of kickbacks and corruption among the local authorities of the state.

32.5% of the sample agreed that their organisation encourages treating the customer with actual and real service features while 24.2% were neutral and 18% strongly agreed, 15.9% disagreed, and 9% strongly disagreed with the statement.

34.8% of the respondents agreed that their organisation strictly disallows cheating customers with impossible promises or unrealistic expectations, which is the largest proportion, followed by those who were neutral and disagreed as each portion scored 19.7% of the total sample size. 18% of the respondents strongly agreed while only 7.5% strongly disagreed.

29.5% agreed that their organisation discourages increasing profit through unfair promotional means whereas 21.2% strongly agreed and 20.4% were neutral, 20.4% disagreed, while 8.3% strongly disagreed with the statement.

When the respondents were asked to indicate their agreement/disagreement with this statement 'my organisation supports working for value maximisation instead of profit maximisation', the results were significantly close: 28.7% agreed, 28% neutral, 22.7% disagreed, 10.6% strongly disagreed, and 9.8% strongly agreed.

32.5% of the respondents disagreed that their organisation predicts that achieving the target is not everything in business success, while 31.8 were neutral, 18.9% agreed, 9% strongly agreed, and 7.5% strongly disagreed with the statement.

When the respondents were asked to evaluate the statement 'there is no need to know the number or the identity of the board of trustees', 28% were neutral, 27.2% disagreed, 20.4% agreed, 15.9% strongly disagreed, and 8.3% strongly agreed.

27.2% of the sample disagreed when they were asked if their organisation is coordinating and communicating activities and information about the board while 26.5% agreed with the statement, 25% were neutral, 12.8% strongly disagreed, and 8.3% strongly agreed.

The biggest portion of responses here represents those who were neutral, 30.3%, whereas those who agreed represent 24.2% of the sample size and the proportion who disagreed was 23.4%. Besides, 12% of the sample strongly disagreed, while 12% strongly agreed.

33.3% of the respondents agreed that it is the responsibility of the board to ensure that there are no malpractices while 29.5% were neutral, 15% strongly agreed, 15% disagreed, and only 6.8% strongly disagreed.

28% of the respondents disagreed with the statement 'it is unnecessary to know details about the duties and responsibilities of the board' whereas 21.9% were neutral, 20.4% agreed, 18% strongly disagreed, and 11.3% strongly agreed.

The biggest portion of the respondents, 36.3%, agreed that it is important to have a board with diverse background/experience while 29.5% strongly agreed, 21.9% were neutral, 6.8% strongly disagreed, and only 5.3% disagreed with the statement.

When the respondents were asked if most of the board members are independent, their responses were somewhat close as 26.7% were neutral, 25% agreed and another 25% disagreed while 12.2% strongly disagreed, and 10.6% strongly agreed.

31.8% of the sample agreed that the CEO and the Chair of the board are two different persons, 23.4% strongly agreed, 21.2% neutral, 16.6% disagreed, and only 6.8% strongly disagreed.

When the respondents were asked if it is unimportant to have several board sub-committees within their organisation, 28% were neutral, 26.5% disagreed, 23.4% agreed, 11.3% strongly disagreed, and 10.6% strongly agreed.

The majority of the respondents agreed that it is essential to have training about the governance issues while 25.7% strongly disagreed, 21.9% were neutral, 6.8% disagreed and only 1.5% strongly disagreed.

37% of the total sample agreed that corporate governance is a key to organisation success, 25.7% strongly agreed, 25% were neutral, 8.3% disagreed, and 3.7 strongly disagreed with the statement.



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*d) Calculating average mean scores*

As mentioned earlier, the statements in the questionnaire are grouped into seven clusters: management issues, shareholders issues, personal issues, society issues, customer issues, board of directors' issues and overall employee perceptions towards the importance of corporate governance issues. In order to analyse these issues, the author used mean scores in descending order and the findings are presented in the following tables.

*Table 11:* Mean scores of management issues

| Management issues | N | Mean | Std. Deviation |
|---|---|---|---|
| My organisation ensures the independency of internal and external auditors to strengthen the check and balance in the firm | 132 | 3.28 | 1.200 |
| My organisation discourages to a part of malpractice/ unprofessional conduct to gain short term benefits | 132 | 3.21 | 1.314 |
| My organization ensures the justice/equality and non discriminatory treatment among the employees of my firm | 132 | 3.15 | 1.232 |
| My organisation's discourages to participate in the micro politics of the organisation's highet managment | 132 | 3.06 | 1.164 |

The management issues (see table 11) are typically concerned with how an organisation is managed and controlled. Those issues are considered to be the key element of corporate governance. It is crucial to know how the employees perceive the management styles and practices within their organisation in order to be able to measure their perception towards corporate governance. The highest mean score here was obtained for their organisation's assurance of internal and external auditors' independence (3.28) followed by their organisation's discouragement to become part of mal/unprofessional conduct to gain short-term benefits (3.21), and (3.15) for their organisation's assurance for justice/equality and non-discriminatory treatment among the employees of the firm whereas (3.06) for their organisation's discouragement to participate in the micro politics of top management.

*Table 12:* Mean scores of shareholders issues

| Shareholdets Issues | N | Mean | Std. Deviation |
|---|---|---|---|
| My organisation ensures the resources allocation in the interest of shareholdets/owners | 132 | 3.48 | 1.088 |
| My organization forbids me manipulate or play with the figures to cheat the shateholders/owners | 132 | 3.40 | 1.330 |
| My organization prioritises the shareholders/ owners interest in making the business decision | 132 | 3.39 | 1.190 |
| My organization forbids helping the owner in his unethical/unlawful business transactions | 132 | 3.11 | 1.240 |
| My organization maintains the balance between the interest of different stakeholders and rights of employees of the firm | 132 | 3.04 | 1.149 |
| My organization ensures the open system and maximum access to the information for shareholders | 132 | 3.02 | 1.146 |

The shareholders (see table 12) are considered to be an essential element for every organisation's success. The members of the board are not only responsible to oversee the managers' activities, but also entitled to represent the interests of the shareholders on the board. Therefore, it is important to measure how the employees perceive and understand this relationship. The respondents have placed the highest emphasis on how their organisation ensures the allocation resources is in the interests of the shareholder (3.48), and they also believe that their organisation forbids them to manipulate or play with the figures to cheat the shareholders (3.40). This is followed immediately by how they see their organisation prioritises the shareholders interest in making the business decisions (3.39), whereas (3.11) for how their organisation forbids helping the owner in his/her unethical business transactions. Less emphasis was placed on how their organisation maintains the balance between the interests of different stakeholders and rights of the employees and how their organisation ensures the open system and maximum access to the information for the shareholders, as they scored (3.04) and (3.02) respectively.



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*Table 13:* Mean scores of personal issues

| My organization | N | Mean | Std. Deviation |
|---|---|---|---|
| My organization maintains the high level of moral, justice,and honesty in business and othet affairs of life | 132 | 3.31 | 1.160 |
| My organization helps become a socially and ethically responsible citizen | 132 | 3.22 | 1.161 |
| My organization is not ovettuling the firm's policies to gain personal benefit/self interest | 132 | 3.15 | 1.188 |
| My organization ensures the 100% transparency and fairness in my business transactions | 132 | 3.10 | 1.145 |

Corporate governance is not only concerned with the activities and practices of the management, but also concerned with the ethical and moral conduct within the organisation. Hence, the respondents were asked to evaluate the personal issues (see table 13) that may influence the practices of corporate governance within their organisation. The mean score for how the employees perceive their organisation's maintenance of a high level of morals, justice and honesty in business and other affairs was (3.31), while (3.22) for how their organisation helps them become socially and ethically responsible citizens, (3.15) for how their organisation is not overruling the firm's policies to gain personal benefits and (3.10) for their organisation's assurance of 100% transparency and fairness in their business transactions.

*Table 14:* Mean scores of society issues

| Society Issues | N | Mean | Std. Deviation |
|---|---|---|---|
| My organisation abides by the local laws and regulations in business transaction | 132 | 3.56 | 1.148 |
| My organisation enables caring forthe local values and culture while making businesses decision | 132 | 3.36 | 1.100 |
| My organisation strongly discourages the culture of kickback and corruption among the local authorities of the state | 132 | 3.20 | 1.157 |
| My organisation fights forthe environmental issues while making the business decision in the firm | 132 | 3.14 | 1.138 |

The social issues (see table 14) are significantly incorporated in the concept of corporate governance as corporations do not exist in isolation; they must take into consideration the social issues by supporting the local communities and protecting the environment. Thus, it is beneficial to know employees' perceptions on how their organisations deal with societal issues in order to gain further insights into the current study. In this regard, the highest mean score was (3.56) indicating how the employees perceive their organisation's abidance by the local laws and regulations, followed by (3.36) for how much their organisation cares for the local values and culture while making business decisions. There is a belief among the employees that their organisation strongly discourages the culture of kickbacks and corruption among the local authorities of the state as this statement scored (3.20) whereas (3.14) for how their organisation fights for environmental issues while making business decisions.

*Table 15:* Mean scores of customer issues

| Customerissues | N | Mean | Std. Deviation |
|---|---|---|---|
| My organisation strictly disallows to cheatthe customerwith impossible promises or unrealistic expectations | 132 | 3.36 | 1.206 |
| My organisation encourages treating the customerwith actual and real service features | 132 | 3.35 | 1.211 |
| My organisation discourages to increase the profit through unfair promotional means | 132 | 3.35 | 1.254 |
| My organisation supports working for value maximisation instead of profit maximisation | 132 | 3.05 | 1.158 |
| My organisation predicts that achieving the target is not each and every thing in business success | 132 | 2.89 | 1.086 |

Customers and employees (see table 15) are considered to be key players that can significantly affect an organisation's performance whether positively or negatively, and indeed, customers' satisfaction and loyalty can make or break any business's success. Hence, how the practices of corporate governance within an organisation are directed and controlled can considerably influence customers' loyalty and



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satisfaction. In this case, when employees were asked to evaluate the customer issues within their organisation, the results were: (3.36) for how their organisation strictly disallows cheating scustomer with impossible promises or unrealistic expectations, (3.35) for how their organisation encourages treating customers with actual and real service features, (3.35) for how their organisation discourages increasing profits through unfair promotional means, (3.05) for how their organisation supports working for value maximisation instead of profit maximisation and (2.89) for how their organisation predicts that achieving the target is not everything in business success.

*Table 16:* Mean scores of board of directors issues

| Board of directors issues | N | Mean | Std. Deviation |
|---|---|---|---|
| It is importantto have a board with diverse background/experience | 132 | 3.77 | 1.138 |
| The CEO and the Chair of the board are two different persons | 132 | 3.48 | 1.214 |
| It is the responsibility of the board to ensure that there is no any mal practices | 132 | 3.35 | 1.119 |
| Most of the board members are independent: they are notone of the current or previous organisation stakeholder orfamily member | 132 | 2.97 | 1.196 |
| My organisation is coordinating and communicating the duties and activities of the different committees of the board | 132 | 2.96 | 1.168 |
| My organisation is coordinating and communicating activities and information aboutthe board | 132 | 2.90 | 1.178 |
| It is unnecessary to know details aboutthe duties and responsibilities of the board | 132 | 2.79 | 1.278 |
| There is no need to know the numberorthe identity of the board of trustee | 132 | 2.78 | 1.187 |

The members of the board are the representatives of the shareholders (see table 16); they monitor the activities of the managers in order to ensure that they are directed toward the interests of the shareholders. Therefore, it is vital to understand how employees perceive the board of directors within their organisation. The employees evaluated the board issues as follows: (3.77) for the importance of having a board with diverse background/experience, (3.48) for whether the CEO and the Chair of the board are two different persons, (3.35) for the board's responsibility to ensure that there is no malpractice, (2.97) for the board members' independence, (2.96) for their organisation's coordination and communication of the duties and activities of the board's different committees, (2.90) for their organisation's coordination and communication of the activities and information about the board, (2.79) for the necessity of knowing details about the board's responsibilities and duties and (2.78) for the importance of knowing the number or the identity of the board members.

*Table 17:* Mean scores of overall employees' perceptions towards the importance of CG

| Overall employees perceptions towards the importance of CG | N | Mean | Std. Deviation |
|---|---|---|---|
| It is essential to have a training about the governance issues | 132 | 3.86 | .934 |
| Corporate governance is a key to organisation success | 132 | 3.73 | 1.056 |
| It is unimportant to have several board sub-committees | 132 | 2.95 | 1.178 |

The last three statements of the questionnaire as shown in table 17 aimed at evaluating employees' awareness of the importance of corporate governance, the results were encouraging as having a training about the governance issues got the highest score (3.86), followed immediately by how the employees perceive the corporate governance to be a key to their organisation's success (3.73) and (2.95) for the unimportance of having several board sub-committees.

*Table 18:* Average of mean scores for each issue

| Issues | Average score |
|---|---|
| Overall employees' perceptions towards the importance of CG | 3.513 |
| Society issues | 3.315 |
| Shareholders issues | 3.24 |
| Customer issues | 3.2 |
| Personal issues | 3.195 |
| Management issues | 3.175 |
| Board of directors issues | 3.125 |



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Table 18 summarises the average of mean scores for each issue. According to the perception of the employees, most of the respondents are aware of the importance of corporate governance as it represents the highest average (3.513), followed by social issues (3.315), while shareholders issues scored an average of 3.24, (3.2) for customer issues, (3.195) for personal issues, (3.175) for management issues and the lowest average was for board of directors (3.125).

## V. Conclusion

The study's key aim is to investigate employees' perception towards corporate governance within the Egyptian context. The purpose of the paper is to conduct a study based on a developing country as most of the previous scholars focus on developed countries in their studies (Mulili, 2011). The questionnaire is addressed to employees working across different sectors in Egypt with a convenience sample of 132 respondents.

The gathered data are analysed using SPSS and various charts are illustrated in order to develop a thorough and insightful understanding about the current study. Furthermore, the results of the study can be beneficial for business students in addition to managers, practitioners and employees in developing a better understanding about the concept of corporate governance.

Generally, the results of the study indicate that employees in Egypt have a good knowledge of corporate governance issues within their organisations. Nevertheless, some employees have negative perceptions towards the practices of corporate governance in their company.

Despite the fact that some employees lack knowledge about issues involved in corporate governance, the findings of the study at hand were encouraging; the majority of the employees placed emphasis on the importance of applying training programs about corporate governance issues within their company, as they believe that corporate governance is a key to organisation success. Moreover, a large proportion of employees showed good awareness of social issues regarding the practices of corporate governance as they perceive their organisation to be culturally sensitive and environmentally friendly while making business decisions. Shareholders issues come third after the importance of corporate governance and social issues, indicating a positive understanding of the importance of the shareholders and investors in the company's success. However, employees put less emphasis on board of directors issues, reflecting an insufficient awareness of the role and functions of the board within an organisation.

Therefore, employees in Egypt have a positive perception towards the practices and issues of corporate governance according to the findings of the current study.

## VI. Practical Implications

*a) For employees*

There is a significant need for more involvement of the employees in enhancing and widening their scope of knowledge about the corporate governance issues within their organisation; they should seek to learn more about the company's board of trustees, management styles and policies and regularly review the company's website and annual reports in order to stay updated and informed about the key issues and events regarding the practices of corporate governance in their organisation.

*b) For management*

The company's managers also play an important role in raising employees' awareness about governance issues; they should provide training programs and seminars in order to educate employees about the necessity of having a code of conduct that maintains good CG within the organisation. Moreover, managers can also include employees in their decisions to give them better insight into how the organisation is being governed and controlled.

*c) For boards of directors*

The board members must maintain the basic corporate governance principles among the company's managers, employees and shareholders which are: transparency, fairness and accountability in order to enhance employees' perceptions towards corporate governance and they should also encourage them to attend meetings and participate in the governance issues within the company.

*d) For educational institutions*

There is also a severe need for involvement of the educational institutions in Egypt, either schools or universities, in placing emphasis on corporate governance training in order to develop knowledgeable and future employees and managers well-informed on governance and ethical issues.

*e) Limitations of the study*

There are some limitations to this study that can be overcome in future research. The sample size was only 132 respondents. Although an online survey was employed to solve this problem, the targeted sample size was not reached as some respondents left many questions unanswered. We might speculate that they became discouraged after completing the first or second pages of the questionnaire and closed it before finishing it. The length of the survey consisted of 34 statements in order to cover all the aspects of the study which is also considered to be one of the limitations.



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There was a lack of financial resources needed to help the author distribute a larger number of surveys by hiring interviewers or agents to assist the author in carrying out the survey across multiple organisations and employees.

*f) Direction for future research*

Further studies could be conducted on this topic after taking into consideration the previously mentioned limitations and taking the current study as a form of comparative research that could be used as a guideline or basis for evaluating the findings of their research.

Other studies may seek a larger sample size in order to increase the validity and reliability of their research findings. Furthermore, the study could be extended to investigate and compare the perceptions of the employees towards corporate governance across two different countries in order to find out whether culture has a significant impact in formulating perceptions towards the concept of corporate governance.

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## Appendix 1

The questionnaire

*Management Issues:*

| | |
|---|---|
| 1 | My organisation discourages to become a part of malpractice/unprofessional conduct to gain short term benefits. |
| 2 | My organisation ensures the justice/equality and non discriminatory treatment among the employees of my firm. |
| 3 | My organisation ensures the independency of internal and external auditors to strengthen the check and balance in the firm. |
| 4 | My organisation discourages to participate in the micro politics of the organisation's higher management. |

*Shareholders Issues:*

| | |
|---|---|
| 6 | My organisation forbids helping the owner in his unethical/unlawful business transactions. |
| 7 | My organisation ensures the open system and maximum access to the information for shareholders. |
| 8 | My organisation forbids me to manipulate or play with the figures to cheat the shareholders/owners. |
| 9 | My organisationprioritises the shareholders/owners interest in making the business decision. |
| 10 | My organisation ensures the resources allocation in the interest of shareholders/owners. |

*Personal Issues:*

| | |
|---|---|
| 11 | My organisation maintains the high level of moral, justice, and honesty in business and other affairs of life. |
| 12 | My organisation helps become a socially and ethically responsible citizen. |
| 13 | My organisation ensures the 100% transparency and fairness in my business transactions. |
| 14 | My organisation is not overruling the firm's policies to gain personal benefit/self interest. |

*Society Issues:*

| | |
|---|---|
| 15 | My organisation abides by the local laws and regulations in business transaction. |
| 16 | My organisation enables caring for the local values and culture while making businesses decision. |
| 17 | My organisation fights for the environmental issues while making the business decision in the firm. |
| 18 | My organisation strongly discourages the culture of kickback and corruption among the local authorities of the state. |

*Customer Issues:*

| | |
|---|---|
| 19 | My organisation encourages treating the customer with actual and real service features. |
| 20 | My organisation strictly disallows to cheat the customer with impossible promises or unrealistic expectations. |
| 21 | My organisation discourages to increase the profit through unfair promotional means. |
| 22 | My organisation supports working for value maximisation instead of profit maximisation. |
| 23 | My organisation predicts that achieving the target is not each and every thing in business success. |

*Board of Directors Issues:*

| | |
|---|---|
| 24 | There is no need to know the number or the identity of the board of trustee |
| 25 | My organisation is coordinating and communicating activities and information about the board |
| 26 | My organisation is coordinating and communicating the duties and activities of the different committees of the board |



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| | |
|---|---|
| 27 | It is the responsibility of the board to ensure that there is no any mal practices |
| 28 | It is unnecessary to know details about the duties and responsibilities of the board |
| 29 | It is important to have a board with diverse background/experience |
| 30 | Most of the board members are independent; they are not one of the current or previous organisation stakeholder or family member |
| 31 | The CEO and the Chair of the board are two different persons. |

*Overall Employees Perceptions towards the Importance of CG issues:*

| | |
|---|---|
| 32 | It is unimportant to have several board sub-committees |
| 33 | It is essential to have a training about the governance issues |
| 34 | Corporate governance is a key to organisation success |



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# Corruption and Public Service Delivery in Ethiopia: Evidence from Jimma Town Water Supply and Sanitation Sector

By Feleke Solomon Ejara

*Wolaita Sodo University*

*Abstract-* Water supply and sanitation sector corruption remains one of the most pervasive and the least confronted issues. Especially it becomes more devastating and serious in developing countries like Ethiopia. Therefore, study assess the current situation, depth, types and main causes of water supply and sanitation sector corruption in Jimma town. To this end, the study employed descriptive research design. This survey was conducted over 400 respondents in Jimma town using multistage stage sampling method. Personally administered questionnaires, interview and desk review were mainly used to collect both primary and secondary sources of data. The study reveals corruption remains problematic in the town water supply and sanitation sector. Especially administrative or petty corruption is the very common and become serious challenge in Jimma town water supply and sanitation service delivery. It is quite evident that time, cost factors and red-tape procedures are the major constraints in water supply and sanitation service delivery.

*Keyword: corruption, public service delivery, water supply and sanitation sector, administrative corruption, political corruption.*

*GJHSS-H Classification: FOR Code: 940204p*

*Strictly as per the compliance and regulations of:*

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# Corruption and Public Service Delivery in Ethiopia: Evidence from Jimma Town Water Supply and Sanitation Sector

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*Abstract-* Water supply and sanitation sector corruption remains one of the most pervasive and the least confronted issues. Especially it becomes more devastating and serious in developing countries like Ethiopia. Therefore, study assess the current situation, depth, types and main causes of water supply and sanitation sector corruption in Jimma town. To this end, the study employed descriptive research design. This survey was conducted over 400 respondents in Jimma town using multistage stage sampling method. Personally administered questionnaires, interview and desk review were mainly used to collect both primary and secondary sources of data. The study reveals corruption remains problematic in the town water supply and sanitation sector. Especially administrative or petty corruption is the very common and become serious challenge in Jimma town water supply and sanitation service delivery. It is quite evident that time, cost factors and red-tape procedures are the major constraints in water supply and sanitation service delivery. Thus, setting systems and structures that can reduce incidences of corruption and ensure efficient delivery of services, use modern information communication technologies, awareness creation, support the participation of stakeholders, creation of strong cooperation between governmental and non-governmental actors, developing institutional anti-corruption strategy are highly recommended to fight against water supply and sanitation sector corruption.

*Keywords: corruption, public service delivery, water supply and sanitation sector, administrative corruption, political corruption.*

## I. Introduction

Water supply and sanitation service corruption remains one of the most pervasive and the least confronted issues. It engulfs many region of the world, but more devastating and serious in developing countries like sub-Saharan Africa countries, not because their people are different from people elsewhere, but because conditions are ripe for it. It makes water and sanitation service scarce, absent, inaccessible, unaffordable and unsafe for both urban and rural poor (Global Corruption Report, 2003). In this regard, Ethiopian has no exception.

In Transparency International's Corruption Perception Index for 2005, Ethiopia ranked 137$^{th}$ out of 158 countries and its civil services were considered as bureaucratic, inefficient, and lacking transparency and good governance (Pathak J, et al., 2008). According to the corruption survey that conducted by the Addis Ababa University (2001), corruption is believed to be rampant in areas where financial resources are transferred from the private to the public sector and vice versa. Other agencies where corruption is believed to be flourishing include those engaged with the allocation of land and government housing, provision of water, telephone and electric services, granting of loans, licensing and issuance of permits, collection of taxes and procurement of consumable and fixed assets.

Water supply and sanitation sector is highly vulnerable to corruption and mal-governance crisis. The key drivers of corruption in Ethiopia water and sanitation sector are poor governance, lack of accountability and transparency, low levels of democratic culture and traditions, lack of citizen participation, lack of clear regulations and authorization, low level of institutional control, extreme poverty and inequity, and centralization of authorities and resources(Pathak R, et al., 2008).

In Ethiopia water supply and sanitation sector corruption looked from political and administrative perspective. Political corruption occur at the highest level of political authority amongst politicians and political decision makers, who one entitled to formulate, establish and implement the laws in the name of the people. These people are greedy because they displace the common interest with private interest. The bureaucratic/ administrative corruption on the other hand, occurs in water supply and sanitation service delivery particularly at the implementation ends of politics or water supply and sanitation service delivery including connection, disconnection, reconnection , meter reading etc.(FEACC, 2003).

Currently, administrative and political corruption still remain the main challenge in water supply and sanitation service delivery and manifested in terms of bribery, extortion, embezzlement, nepotism, theft, cheating, trickery, fraud/ speedy money and prejudice in water and sanitation service delivery process (Schacter and Shah, 2000 ). Corruption tends to diffuse across all regions of the country, whereas the scope and degree of its occurrence varies from region to region. Specially it is persistent in urban area and makes water supply and sanitation service inadequate, unsafe, and unaffordable for urban poor. It drains valuable economic

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resources, creates resentment and frustration among the staff as well as reduces organization efficiency in providing accessible, adequate, safe and affordable water and sanitation services to the community (UNDP, 2006). Such inadequate sanitation, poor hygiene and unclean water supply result in sickness and death of many urban people every year (FEACC, 2011).

Moreover, corruption result in higher health costs, lower productivity, lower school enrollment and retention rates of girls and perhaps most importantly the denial of the rights of people to live with dignity (UNICEF, 2006). This also true for Jimma town where corruption affects healthy provision of water and sanitation service and intensify the crucial challenge of water and sanitation governance. The existence of corruption increases competition for water & sewerage services in the town.

Some researchers like Lambsdorff, 2001, Ndou, 2004 and Pathak J, et al., 2008 have conducted on corruption in different sectors but most of them indicate how to curb corruption and increase transparency, accountability, responsiveness, & integrity in public service delivery. However there is no research that undertaken regarding to corruption practices especially the type, forms and range of corruption that occurs and afflicts water supply and sanitation service delivery. Therefore, this research is expected to assess the current situation of corruption, types and its main drivers in Jimma town water supply and sanitation sector.

## II. Objectives of The Study

*a) General objective*

The main objective of this study is to assess the current status, intensity, and type of corruption that recognized in Jimma town water supply and sanitation service delivery.

*b) Specific objectives*

The Specific objectives of the study are:

- To assess the current status of corruption that occurs in Jimma Town water supply and sanitation service delivery
- To identify the main causes of corruption in Jimma town water supply and sanitation service delivery
- To examine types and forms of corruption that exist in Jimma town water supply and sanitation service delivery

## III. Literature Review

*a) Corruption in Water Supply and Sanitation Sector*

Water supply and sanitation sector corruption can generally be understood in terms of bureaucratic or petty corruption in which a vast number of officials abusing public office extract small bribes and favors/special treatment; grand corruption meaning the use of vast amounts of sector funds by a relative small number of officials; or state capture seen in the collusion between public and private actors for private benefit. These corruption practices take the form of (i) abuse of resources – theft and embezzlement from budgets and revenues, (ii) corruption in procurement which results in overpayment and failure to enforce quality standards, (iii) administrative corruption in payment systems, and (iv) corruption at the spot of service delivery (Schechter and Shah, 2004).

Corruption in water and sanitation sector varies substantially in size and incidence, but it is likely that somewhere in the region of 20-40% of water and sanitation sector finances is being lost to those tasked with the decision-making and delivery of water and sanitation services (Davis J, 2003). The type, size and incidence of corruption in service delivery in urban area may be a function of the path of legislative reform, the nature of the water market, or the way the sector has been managed, or it may be an outcome of decentralization, the role of social structures and civil society. Unmonitored, low capacity, lack of competition, all potentially contributes to local level corruption, capture and collusion that practiced in water supply and sanitation service delivery (WB, 2003).

*b) Causes of Water Supply and Sanitation Sector Corruption*

Corruption takes place in water supply and sanitation sectors due to the presence of a number of factors. An understanding of such factors requires, among other things, a kind of general framework for a clearer understanding of the causes of corruption, especially from a broader perspective. Genesis of corruption can be explained by looking at three levels - international, national and individual institutional levels (Goudie and Strange, 1979).

Like all corruption in developing and transitional economies, corruption in water and sanitation sector in Africa is founded in historical, political and social realities. The causes of corruption are not sectoral because always it's contextual, rooted in policies, bureaucratic traditions, political development, and social history of the country. However, TI (2012) describes corruption as the most prevalent and insidious product of poor governance such as lack of accountability, responsiveness, and transparency among water and sanitation service providers and facilitators (Davis J., 2003). Lack of check and balance; complex service delivery system; less transparency in government policies, rules, strategies, and regulations; lack of supervisions; poor compliant handling mechanism; limited access to information for citizens; inadequate training and equipment for water supply and sanitation sector departments and political wills or political pressures that exist in a country are a common contributing factors for corruption in water supply and sanitation service delivery (Ibid).



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In many parts of the African countries, water supply and sanitation sector has been overwhelmed with the widespread of corrupt practices because of monopoly power, wide discretionary power, and lack of accountability and transparency among the water and sanitation service providers and facilitators (Telmon, 2002). Klitgaard's definition of corruption: Corruption = (Monopoly + Discretion) – (Accountability+ Integrity + Transparency) is very relevant to recognize water supply and sanitation sector corruption in Africa in that it highlights the aggregate effect of monopoly and discretionary power. A strong characteristic of agencies and officials involved in the sector and their enormous discretion in planning, design, contracting, implementation and monitoring of water supply and sanitation service delivery compounded by a lack of clarity of rules and regulation(klitgaard, 1998).

In contrast to other sectors water supply and sanitation sector is highly vulnerable to corruption because of the large flow of public money; often uncoordinated donor, national and local funds; the opacity, political interference and discretion in investment decisions; the monopolistic nature of service delivery, coupled with the failure of sector financing and cost recovery, problematic tariffs and subsidies, and the increasing role of the informal market; the cost of sector assets; the asymmetry of information between user and provider, and the complexity of sector stakeholders, systems, levels of service, institutional roles and functions(Lambsdorff,2001).

The main reason behind all this, the problems of governance crisis in which transparency, accountability, responsiveness, and effective management are lacking. In addition to this, little political commitment, little private sector involvement, excessive centralization of power and limited engagement of civil society, community, NGOs and media in water supply and sanitation service delivery process increase the opportunity for corruption because corruption loves multiple and complex regulations with ample and un-checkable official discretion (J. Plummer & P. Cross, 2005).

As the cause of corruption is always contextual, rooted in political social, cultural, economic, historical and bureaucratic tradition, the corruption that occurs in water supply and sanitation sector are also differ in type, scope, extent and consequences.

*c) Types of Water Supply and Sanitation Sector Corruption*

Corruption in the water sector comes in many different forms and the scope varies substantially across types of water supply and sanitation sector practices, governance structure and the perceptions and norms of actors involved. The typical examples of corruption include falsified meter reading, distorted site selection of boreholes or abstraction points for irrigation, collusion and favoritism in public procurement, and nepotism in the allocation of public offices (Davis J, 2003).

The variation in sorts of corruption activities is partly explained by the large number of different kinds of actors engaged in the water sector. In the public domain, this includes political leaders, policy makers, procurement and regulation officials, law enforcement agencies, and technical staff, as well as international development partners. Civil society plays a vital role via stakeholder facilitation, allowing demands and discontent to be voiced and playing a key role in advocating reform. Notable actors include the media, water stakeholder associations, environmental protection groups, as well as religious leaders concerned with social justice and sustainable development (P. Cross and J. Plummer, 2009).

According to Federal Ethics and Anti Corruption Commission (FEACC) political/grand, bureaucratic /administrative corruption, state capture, economic corruption are highly recognized and documented in water supply and sanitation service delivery. But, the study mainly focuses on grand and administrative corruption because of perverseness and seriousness in the provision of water and sanitation service (FEACC, 2003)

Political corruption occurs when political elite change either the national policies or the implementation of national policies to serve their own interest. It occurs when the behaviors deviate from the principles that guide politics and policies, adapting decisions with abuse of power, which means that the private interests displace the public and common interests. Political corruption distorts policies or central functioning of the state, enabling leaders to benefit at the expense of the water supply and sanitation services (Bardhan, 1997). Political corruption mostly common in the award of large contracts for construction works, equipment, or concessions to operate major water and sewerage systems as well as frequent in the purchase of equipment and materials. The city mayor and an executive of the multinational water company together participated in accepting and paying bribes in the letting of concessions to run the city's water supply and sewerage services (Cisar, 2003).

Administrative corruption results in transfer of public benefits to private benefits taking advantage of the entrusted power, as for example, in the form of nepotism that results in the transfer of benefits from society to family members. Mostly it occurs at the implementation end of politics, where the public officials or bureaucrats meet the public It also involves bribery, fraud, embezzlement, favoritism, and other benefits generated at the expense of public benefits. Petty/ administrative corruption reported most frequently in meter readings (payments for falsifying meter readings), connection, disconnection and reconnection of water supply and sewerage systems ways as well as when the



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household made payments to expedite attention to repair work( Bardhan,1997).

## IV. Research Design and Methodology

*a) Research Design*

The methodology applied for this study was a mixed approach consisting of qualitative and quantitative research methods with descriptive theme. The rationale for the use of descriptive research method is that it is more helpful to describe and interpret the current trends, types and main drivers of water supply and sanitation sector corruption. It was also more appropriate and relevant in order to achieve the objectives of the study.

*b) Sources of data*

Both primary and secondary data was mainly accessed from various sources so as to generate appropriate information for this study. Primary data was mainly collected from Jimma town residents whereas, secondary sources of data were collected from both published and unpublished materials in reference to the issues under investigation.

*c) Target population*

The targeted populations for this study were permanent residents of Jimma town which are clients of water supply and sanitation sector and legally registered on their respective kebeles. In addition, Jimma town water supply and sanitation sector officials, and other concerned bodies included and interviewed to probe further and to validate the findings.

*d) Sample and sampling method*

Multi-stage sampling was adopted and used to select sample respondents for the study. This sampling method was selected in order to draw representative sample for the study. Population density, economic status and geographical location were considered as the defining variables to set administrative units or kebeles in to seven (7) clusters. Then, a random sampling method was used to select one kebele from each cluster. Totally seven kebeles (BosaKito, Hermata, Merkato, Ginjo, Mendara Kochi, Hermata, Bacho Bore and GinjoGuduru) were selected as sample kebeles from which respondents drawn. Finally, 400 total households were proportionally selected from those seven selected kebeles using convenience sampling method.

*e) Method of Data Collection*

Personally administered questionnaire (both close-ended and open-ended questionnaires), interviews (semi-structured interviews), and document analysis were used to obtain relevant and all necessary data for the study.

*f) Method of Data Analysis*

For this study both quantitative and qualitative methods was used to analyze, describe and interpret data. The analysis of quantitative data was carried out first and the qualitative data followed. The quantitative data were analyzed through descriptive statistics such as frequency, percentage, means, and standard deviation whereas; qualitative data were analyzed by using qualitative method of data analysis.

## V. Results and Discussion

*a) Current Status and Ranges Water Supply and Sanitation Service Corruption*

Corruption has been cited as one of the most prevalent and persistent challenges in public service institutions including water supply and sanitation sectors or agencies. The motivation to earn income through corrupt practices is extremely strong, exacerbated by lack of accountability, transparency, and integrity; poverty and by low and declining civil service salaries (Pathak et al., 2008). In the light of this, the respondents were asked to indicate current status and ranges water supply and sanitation service corruption in Jimma town and their response is presented, analyzed, discussed and interpreted as hereunder.



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*Table 1:* Respondents' response about the current status of water supply and sanitation sector corruption

| | Items | Ranges of water supply and sanitation service corruption | | | | | | | | | | Total | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | V L | | L | | MH | | VH | | F H | | | | | |
| | | N | % | N | % | N | % | N | % | N | % | N | % | M | SD |
| Current status of corruption in water supply and sanitation sector | Decreasing | 53 | 43.0 | 70 | 57.0 | 0 | 0.0 | 0 | 0.0 | 0 | 0.0 | 123 | 100 | 1.6<br>0.045 | 0.772 |
| | Increasing | 0 | 0.0 | 0 | 0.0 | 49 | 18.0 | 69 | 25.0 | 159 | 57.0 | 277 | 100 | 4.43<br>0.49 | 0.45 |
| | Total | 53 | 43.0 | 70 | 57.0 | 49 | 18.0 | 59 | 25.0 | 159 | 57.0 | 400 | 100 | 2.47<br>0.49 | 0.043 |

*Key: VL= very low, L= low, MH= moderately high, VH= very high, FH= fairly high, M= mean, SD= standard deviation, SE= standard Error*

The above Table1 deals with the respondent's response towards current status of water supply and sanitation service corruption. Accordingly, the perceptions of corruption in water supply and sanitation sector were found to be widely prevalent in Jimma town and a large majority of respondents 277 (69.3 percent) were responded that corruption is increasing in water supply and sanitation service agencies whereas, the rest 123 (30.7%) of Jimma town respondents felt otherwise. Similarly it also depicts the range of water supply and sanitation service corruption in Jimma town. Out of 277 respondents, a sizable majority of respondents 159 (57.4%) rated water supply and sanitation service corruption as fairly high and the rest 25.0 % and 17.6% of the respondents rated it very high, and moderately high respectively. In contrast to this, of 123 total respondents who described corruption as it was increasing in water supply and sanitation service delivery, the majority 70(56.9%) were rated the range of water supply and sanitation service corruption as low and the remaining 53(43.1%) of respondents rated it as very low.

In addition to this, mean, standard deviation and standard error were computed to infer the current status of water supply and sanitation service corruption in Jimma town. Accordingly, average means that calculated for the increasing group was 4.46 and 1.60 for the decreasing group. When we compare the average mean calculated for each group, the average mean of increasing group (4.46) was two times more than the average mean calculated for the decreasing group.

From this, we can conclude that presently the status of corruption is high in Jimma town water supply and sanitation service delivery and perceptions about water supply and sanitation services appear to be negative because of high corruption. This is similar with the findings of Pathak R al., 2008 study conducted on Ethiopia public service sectors.

*b) Types of Water Supply and Sanitation Service Corruption*

Corruption practices come in many different kinds/types in water supply and sanitation service delivery. Figure1 below depicts the most common types of corruption currently acknowledged in Jimma town water supply and sanitation service delivery.



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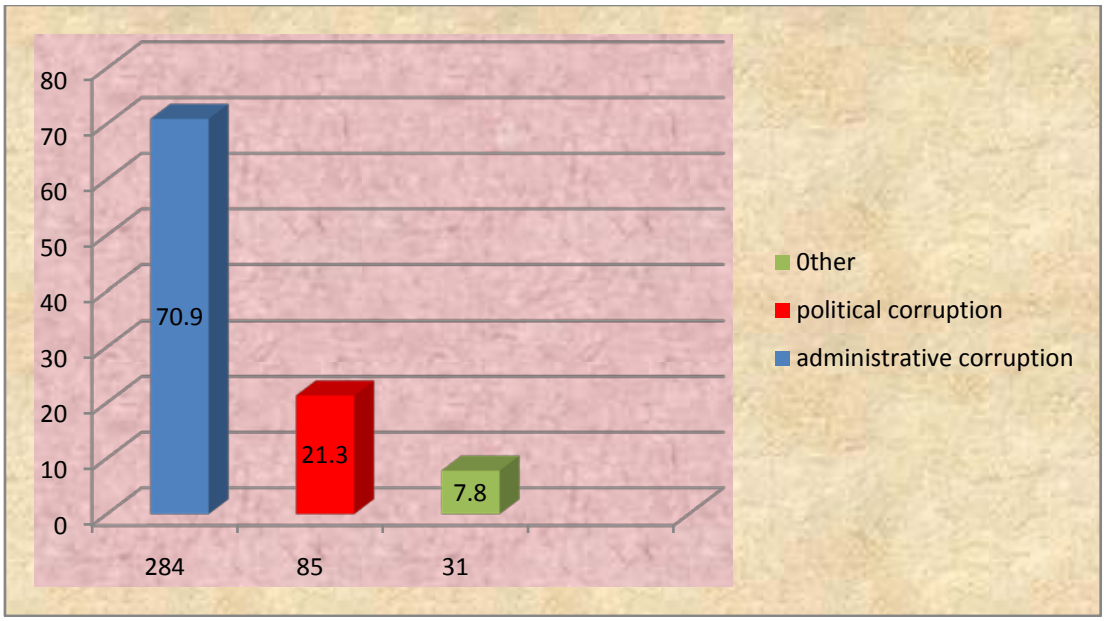


*Source: Own survey, 2014*

*Figure1:* Types of water supply and sanitation sector corruption

The chart clearly deploys the dominance of administrative/or petty corruption in water supply and sanitation service delivery consisting 70.9 percent, followed by political or grand corruption accounts for 21.3 percent. The rest insignificant number of respondents 7.8 percent were identified other types of corruption (economic and state capture) in the provision of water and sanitation service. This is similar with the finding of Davis (2003). She found administrative and political corruption in South East Asia water supply and sanitation sector. FEACC (2003) also identified administrative or bureaucratic corruption as the most dominant type of corruption in water supply and sanitation sectors.

As water and sanitation is an immensely political issue, wide open to manipulation, globally, nationally, and locally open to capture and conflict among communities and households. The dialogue over corruption in water supply and sanitation service delivery must reflect the diversity in forms, practices, and actors, their motivations and levels of impact. It is vital that water supply and sanitation sector and their officials need to learn about the forms of corruption taking place in water supply and sanitation service delivery in order to identify the impacts and develop practical and targeted anti-corruption policies and tools. Thus, the effort has been made to identify the most common forms of corruption in Jimma town water supply and sanitation service delivery. Accordingly, bribery, nepotism, fraud/ speedy money, trickery, embezzlement, extortion, theft, collusions and prejudice were practiced in Jimma water supply and sanitation sector. However, bribery, nepotism; fraud and theft were very common and highly practiced in water supply and sanitation delivery.

Generally we can conclude that administrative corruption is currently very common and remain a great challenge in Jimma town water supply and sanitation service delivery and it manifest itself in the form of bribery, nepotism, fraud or speedy money and theft.

*c) Concentrated area of water supply and sanitation service corruption*

The survey result reveals that water supply and sanitation service corruption was the result of public to public, public to private, and public to consumer interactions and these interactions occur along the five cycles of water supply and sanitation sector starting from high level policy making to household payments. According to FEACC (2003) all functions of water supply and sanitation sector (policy making& regulation; planning, budgeting & transfers; design, tendering & procurement; construction, and management and payment systems) are exposed to the problem of corruption and governance crisis. However, its degrees varies among water supply and sanitation service delivery functions or stages based on the number of actors or stakeholders involved in corrupt practices. In relation with this, management and payment for service; construction and operation; design, tendering and procurement, and planning, budgeting and transfers were consecutively perceived as the highly corrupted functions of water supply and sanitation service delivery

Some study like Davis J, (2003) conducted in South East Asia water supply and sanitation sector, Pathak R, et al, (2008) and FEACC, (20012) in Ethiopia public service sectors identified similar areas of water supply and sanitation sector that exposed to corruption and governance related problems.



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Despite the structures (reforms) put in place to combat the dissatisfaction or at least reduce it to its barest minimum, corruption stills continues to be endemic, in Ethiopia water supply and sanitation service particularly in payment and access, construction and operations, planning, budgeting and fiscal transfers with its attendant implications for effective service delivery and welfare of the people (FEACC, 2003).

*d) The main causes of water supply and sanitation service corruption*

The main causes of corruption in water supply and sanitation service delivery were discussed as hereunder.

*Table 2:* The main causes of water supply and sanitation service corruption

| Items | Responses | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | TD | DA | SA | MA | TA | N | MD(t) | sig. at |
| | N | N | N | N | N | N | | |
| 1. Monopolistic nature of service delivery | 9 | 63 | 75 | 157 | 96 | 400 | .415 | .000 |
| 2. Wide discretionary power given to water supply and sanitation sector officials | 47 | 52 | 48 | 99 | 154 | 400 | .328 | .000 |
| 3. Lack of good governance( transparency, accountability and integrity ) | 11 | 20 | 48 | 192 | 129 | 400 | .1.030. | 000 |
| 4. Poor institutional incentives | 22 | 201 | 31 | 120 | 38 | 400 | -.119 | .038 |
| 5. Lack of punishment and effective corruption reporting mechanism | 38 | 288 | 43 | 13 | 11 | 400 | .818 | .000 |
| 6. Inflation, social, cultural factors and custom of the society | 29 | 211 | 18 | 81 | 73 | 400 | .102 | .113 |

*TD= totally disagree, DA= disagree, SM= somewhat agree, MA= mostly agree, TA= totally agree, MD= mean difference or t scores*

As indicated in the above table (result of independent simple t test), monopolistic nature of service delivery; discretionary power of water supply and sanitation sector officials; faulty governance (where accountability, transparency, integrity, & responsiveness are lacking); and lack of punishment and effective corruption reporting mechanism in water supply and sanitation sector were significantly observed as the main drivers of water supply and sanitation service corruption. However, poor institutional incentives, and inflation, social, culture and custom of the society were considered as in significant in promoting corruption in Jimma town water supply and sanitation service delivery.

As per the information obtained from the interview results, lack of effective corruption reporting mechanism; lack of honesty; complex and unclear rules, regulations and procedures; acceptance of bribe as a way of life; ineffective judiciary; lack of punishment, and inadequate training of officials and lack effective supervision also generate the problem of corruption in Jimma town water supply and sanitation service delivery. The Klitgaard (1998) corruption formula: Corruption = (Monopoly power + Discretionary power) – (Accountability + Transparency) that provided in the context of Bolivia municipal water supply and sanitation service delivery was also supported by this study to describe water supply and sanitation service corruption in Jimma town.

This is also related with what has been found by Davis J (2003) in South East Asia water supply and sanitation sector. She identified that monopolistic nature of service delivery; discretionary power given to water supply and sanitation sector worker; and lack of transparency, accountability, capacity, responsiveness and integrity, inflation and low salaries as the main drivers of water supply and sanitation service corruption. However, inflation and low payment of salaries were insignificant in promoting corruption in Jimma town water supply and sanitation service delivery. Thus, the study supports the findings of Davis J except inflation and low payments of salaries because they were insignificant in describing water supply and sanitation service corruption in Jimma town.

*e) Constraints in water supply and sanitation service delivery*

In literature corruption has been cited as one of the major challenges that affect water supply and



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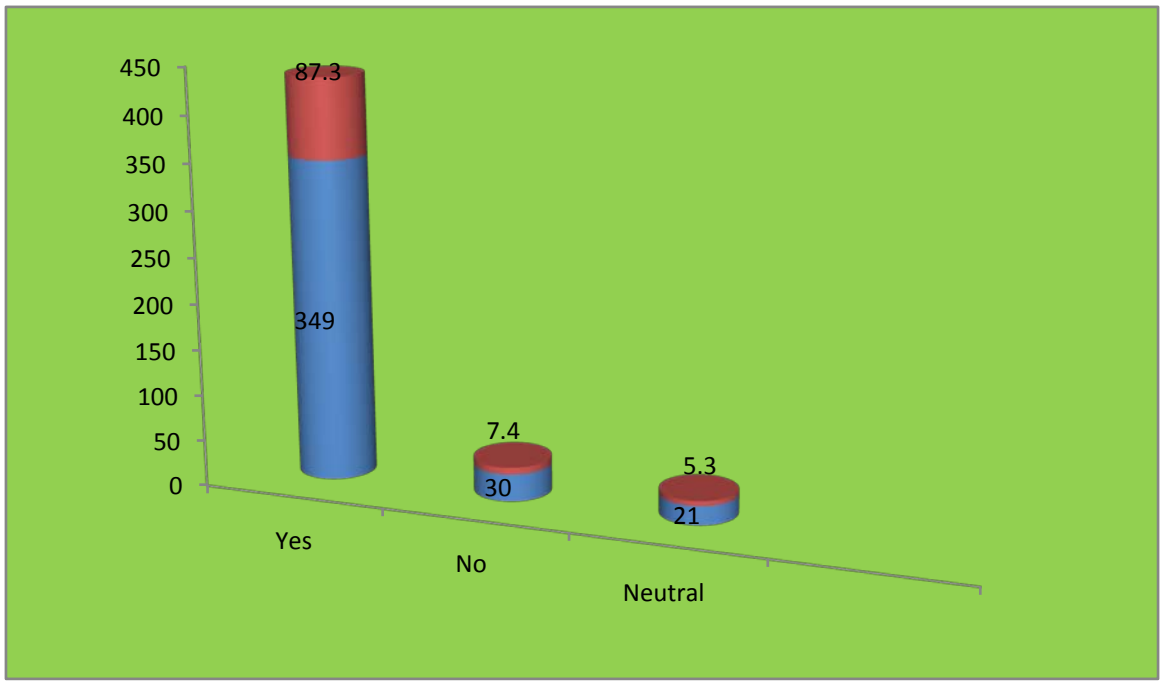
sanitation service delivery. With regards to this, respondents were asked whether corruption is problematic in Jimma town water supply and sanitation service delivery or not. The study revealed that corruption was problematic and still continues to threaten water supply and sanitation service delivery.




*Source: survey, 2014*

*Figure 2:* The Problem of corruption in water and sanitation service delivery

According to the survey result shown in above bar chart, the majority 349 (87.3%) of the respondents were viewed corruption as it was the most common and serious constraints in water supply and sanitation service delivery. Only small number of respondents 30(7.4%) were described corruption as it was less common and less problematic in water supply and sanitation service delivery , only small respondents 21(4.3%) were fail to say anything as corruption is problematic or not in water supply and sanitation service delivery. From this, one can conclude that corruption is persistent and continue to be a problematic in water supply and sanitation service delivery because of lack of accountability and transparency among water and sanitation service providers and facilitators.

In spite of recent increases in transparency and accountability in water supply and sanitation sector, numerous challenges affect capacity to meet sector needs as well as its internal working in the provisions of services (Pathak B, et al.,2008)). Among these, cost, time factors and red tape procedures are the major one.

*f) Time, cost and red tape procedures in water supply and sanitation service delivery*

The prevalence of corruption increases bureaucratic (red tape procedures), time and cost factors and pose great challenges in providing water and sanitation services. Thus, the challenges of time, cost and red tape procedures in water supply and sanitation service delivery are summarized as hereunder.



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*Table 3:* Time, cost and red tape procedures in water supply and sanitation service delivery

| Items | Responses | | | | | | | | | | Total | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | TD | | DA | | SA | | MA | | TA | | | | Mean | St. d | St. Error |
| | N | % | N | % | N | % | N | % | N | % | N | % | | | |
| Time and cost factor is a problematic | 7 | 1.8 | 9 | 2.2 | 40 | 10 | 81 | 20.2 | 263 | 65.8 | 400 | 100 | 4.46 | .890 | .045 |
| Time and cost factor makes no difference | 46 | 11.5 | 48 | 12 | 61 | 15.2 | 80 | 20 | 165 | 41.2 | 400 | 100 | 3.68 | 1.1407 | .070 |
| Time and cost factor is not a problematic | 117 | 29.2 | 111 | 27.7 | 96 | 20.9 | 61 | 13.2 | 15 | 3.5 | 400 | 100 | 2.36 | 1.162 | .058 |
| Red tape procedures are problematic | 12 | 3 | 13 | 3.20 | 62 | 11.90 | 86 | 21.4 | 227 | 56.6 | 400 | 100 | 4.26 | 1.029 | .051 |
| Red tape procedures make no difference | 164 | 41. | 142 | 35.5 | 49 | 12.2 | 31 | 7.8 | 14 | 3.5 | 400 | 100 | 1.97 | 1.077 | .054 |
| Red tape procedures are not a problematic | 177 | 44.2 | 130 | 32.3 | 63 | 15.8 | 17 | 4.2 | 13 | 3.2 | 400 | 100 | 1.90 | 1.027 | .051 |

*Key: TD=Totally Disagree, DA=Disagree, SA= Somewhat Agree, MA = Mostly Agree, TA=Totally Agree*

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The study result in the above table revealed time and cost factors in securing services was the biggest obstacle or problematic in dealing with water supply and sanitation service delivery and the major cause of concern. Time and cost factors refers to the cost service users of time spent in going to water supply and sanitation service agencies or offices and awaiting results and the majority of respondents in Jimma town found it difficult to get their grievances redressed in time.

In the view of respondents, red-tape was also found to be a major problem in Jimma town water supply and sanitation service delivery because of excessive centralization, corruption and favoritism. In water supply and sanitation service delivery there are cumbersome procedures and rules to follow that leads to issues of red-tape, corruption and favoritism (preferential treatment). This, impacts the time factor in service delivery, as it becomes slow and unresponsive to customer needs. This further affects the cost factor. For instance running back and forth to water supply and sanitation service agency, includes lots of money and time resource wastage; which further occurs as a result of the rules/procedures.

Generally, based on the average mean computed in the above table 3, the survey confirms that time, cost factors and public red-tape procedures were perceived as the major problems in Jimma town water supply and sanitation sector because of excessive centralization, corruption and favoritism.

## VI. Conclusion and Recommendations

Water supply and sanitation service delivery has received due policy attention by the Ethiopian Government. The adoption of the national water and sanitation policy, and the water and sanitation strategy and water and sanitation sector development program (WSSDP) are evidences of the emphasis given to the sector. Furthermore, the new national growth and transformation plan (GTP) aspires to achieve coverage of 98 and 100 percent for rural and urban areas respectively by the year 2015. However, the current performances of Jimma town shows that it's impossible to reach the targets set because of the wide spread of corruption and governance related problems in water supply and sanitation sector.

The study found that administrative and political corruption is common in Jimma town water supply and sanitation service delivery. Regarding the major forms corruption, the study recognized bribery, theft, fraud or speedy money, embezzlement and collusions as the most common forms of corruption in which administrative and political corruption manifest itself in water supply and sanitation service delivery. Among functions of water supply and sanitation sector, management and payment for service; construction and operation; design, tendering and procurement, and planning, budgeting and transfers were consecutively perceived as highly corrupted areas in water supply and sanitation service delivery.

This manly because of monopolistic nature of service delivery; discretionary power of water supply and sanitation sector officials; faulty governance (where accountability, transparency, integrity, & responsiveness are lacking); and lack of punishment and effective corruption reporting mechanism in water supply and sanitation sector. Moreover, the problem of corruption increases of the problem of bureaucracy (red tape procedure), time and cost constraints in Jimma town water supply and sanitation service delivery. Thus, setting systems and structures that can reduce incidences of corruption and ensure efficient delivery of services, use modern information communication technologies, awareness creation, support the participation of stakeholders, creation of strong cooperation between governmental and non-governmental actors, developing institutional anti-corruption strategy are highly recommended to fight against water supply and sanitation sector corruption.

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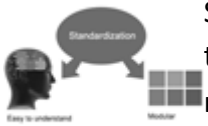


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1. General,

2. Ethical Guidelines,

3. Submission of Manuscripts,

4. Manuscript's Category,

5. Structure and Format of Manuscript,

6. After Acceptance.

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**23. Multitasking in research is not good:** Doing several things at the same time proves bad habit in case of research activity. Research is an area, where everything has a particular time slot. Divide your research work in parts and do particular part in particular time slot.

**24. Never copy others' work:** Never copy others' work and give it your name because if evaluator has seen it anywhere you will be in trouble.

**25. Take proper rest and food:** No matter how many hours you spend for your research activity, if you are not taking care of your health then all your efforts will be in vain. For a quality research, study is must, and this can be done by taking proper rest and food.

**26. Go for seminars:** Attend seminars if the topic is relevant to your research area. Utilize all your resources.

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**27. Refresh your mind after intervals:** Try to give rest to your mind by listening to soft music or by sleeping in intervals. This will also improve your memory.

**28. Make colleagues:** Always try to make colleagues. No matter how sharper or intelligent you are, if you make colleagues you can have several ideas, which will be helpful for your research.

**29. Think technically:** Always think technically. If anything happens, then search its reasons, its benefits, and demerits.

**30. Think and then print:** When you will go to print your paper, notice that tables are not be split, headings are not detached from their descriptions, and page sequence is maintained.

**31. Adding unnecessary information:** Do not add unnecessary information, like, I have used MS Excel to draw graph. Do not add irrelevant and inappropriate material. These all will create superfluous. Foreign terminology and phrases are not apropos. One should NEVER take a broad view. Analogy in script is like feathers on a snake. Not at all use a large word when a very small one would be sufficient. Use words properly, regardless of how others use them. Remove quotations. Puns are for kids, not grunt readers. Amplification is a billion times of inferior quality than sarcasm.

**32. Never oversimplify everything:** To add material in your research paper, never go for oversimplification. This will definitely irritate the evaluator. Be more or less specific. Also too, by no means, ever use rhythmic redundancies. Contractions aren't essential and shouldn't be there used. Comparisons are as terrible as clichés. Give up ampersands and abbreviations, and so on. Remove commas, that are, not necessary. Parenthetical words however should be together with this in commas. Understatement is all the time the complete best way to put onward earth-shaking thoughts. Give a detailed literary review.

**33. Report concluded results:** Use concluded results. From raw data, filter the results and then conclude your studies based on measurements and observations taken. Significant figures and appropriate number of decimal places should be used. Parenthetical remarks are prohibitive. Proofread carefully at final stage. In the end give outline to your arguments. Spot out perspectives of further study of this subject. Justify your conclusion by at the bottom of them with sufficient justifications and examples.

**34. After conclusion:** Once you have concluded your research, the next most important step is to present your findings. Presentation is extremely important as it is the definite medium though which your research is going to be in print to the rest of the crowd. Care should be taken to categorize your thoughts well and present them in a logical and neat manner. A good quality research paper format is essential because it serves to highlight your research paper and bring to light all necessary aspects in your research.

## Informal Guidelines of Research Paper Writing

**Key points to remember:**

- Submit all work in its final form.
- Write your paper in the form, which is presented in the guidelines using the template.
- Please note the criterion for grading the final paper by peer-reviewers.

**Final Points:**

A purpose of organizing a research paper is to let people to interpret your effort selectively. The journal requires the following sections, submitted in the order listed, each section to start on a new page.

The introduction will be compiled from reference matter and will reflect the design processes or outline of basis that direct you to make study. As you will carry out the process of study, the method and process section will be constructed as like that. The result segment will show related statistics in nearly sequential order and will direct the reviewers next to the similar intellectual paths throughout the data that you took to carry out your study. The discussion section will provide understanding of the data and projections as to the implication of the results. The use of good quality references all through the paper will give the effort trustworthiness by representing an alertness of prior workings.

Writing a research paper is not an easy job no matter how trouble-free the actual research or concept. Practice, excellent preparation, and controlled record keeping are the only means to make straightforward the progression.

**General style:**

Specific editorial column necessities for compliance of a manuscript will always take over from directions in these general guidelines.

To make a paper clear

· Adhere to recommended page limits

Mistakes to evade

- Insertion a title at the foot of a page with the subsequent text on the next page
- Separating a table/chart or figure - impound each figure/table to a single page
- Submitting a manuscript with pages out of sequence

In every sections of your document

· Use standard writing style including articles ("a", "the," etc.)

· Keep on paying attention on the research topic of the paper

· Use paragraphs to split each significant point (excluding for the abstract)

· Align the primary line of each section

· Present your points in sound order

· Use present tense to report well accepted

· Use past tense to describe specific results

· Shun familiar wording, don't address the reviewer directly, and don't use slang, slang language, or superlatives

· Shun use of extra pictures - include only those figures essential to presenting results

**Title Page:**

Choose a revealing title. It should be short. It should not have non-standard acronyms or abbreviations. It should not exceed two printed lines. It should include the name(s) and address (es) of all authors.

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**Abstract:**

The summary should be two hundred words or less. It should briefly and clearly explain the key findings reported in the manuscript--must have precise statistics. It should not have abnormal acronyms or abbreviations. It should be logical in itself. Shun citing references at this point.

An abstract is a brief distinct paragraph summary of finished work or work in development. In a minute or less a reviewer can be taught the foundation behind the study, common approach to the problem, relevant results, and significant conclusions or new questions.

Write your summary when your paper is completed because how can you write the summary of anything which is not yet written? Wealth of terminology is very essential in abstract. Yet, use comprehensive sentences and do not let go readability for briefness. You can maintain it succinct by phrasing sentences so that they provide more than lone rationale. The author can at this moment go straight to shortening the outcome. Sum up the study, with the subsequent elements in any summary. Try to maintain the initial two items to no more than one ruling each.

- Reason of the study - theory, overall issue, purpose
- Fundamental goal
- To the point depiction of the research
- Consequences, including definite statistics - if the consequences are quantitative in nature, account quantitative data; results of any numerical analysis should be reported
- Significant conclusions or questions that track from the research(es)

Approach:

- Single section, and succinct
- As a outline of job done, it is always written in past tense
- A conceptual should situate on its own, and not submit to any other part of the paper such as a form or table
- Center on shortening results - bound background information to a verdict or two, if completely necessary
- What you account in an conceptual must be regular with what you reported in the manuscript
- Exact spelling, clearness of sentences and phrases, and appropriate reporting of quantities (proper units, important statistics) are just as significant in an abstract as they are anywhere else

**Introduction:**

The **Introduction** should "introduce" the manuscript. The reviewer should be presented with sufficient background information to be capable to comprehend and calculate the purpose of your study without having to submit to other works. The basis for the study should be offered. Give most important references but shun difficult to make a comprehensive appraisal of the topic. In the introduction, describe the problem visibly. If the problem is not acknowledged in a logical, reasonable way, the reviewer will have no attention in your result. Speak in common terms about techniques used to explain the problem, if needed, but do not present any particulars about the protocols here. Following approach can create a valuable beginning:

- Explain the value (significance) of the study
- Shield the model - why did you employ this particular system or method? What is its compensation? You strength remark on its appropriateness from a abstract point of vision as well as point out sensible reasons for using it.
- Present a justification. Status your particular theory (es) or aim(s), and describe the logic that led you to choose them.
- Very for a short time explain the tentative propose and how it skilled the declared objectives.

Approach:

- Use past tense except for when referring to recognized facts. After all, the manuscript will be submitted after the entire job is done.
- Sort out your thoughts; manufacture one key point with every section. If you make the four points listed above, you will need a least of four paragraphs.

- Present surroundings information only as desirable in order hold up a situation. The reviewer does not desire to read the whole thing you know about a topic.
- Shape the theory/purpose specifically - do not take a broad view.
- As always, give awareness to spelling, simplicity and correctness of sentences and phrases.

**Procedures (Methods and Materials):**

This part is supposed to be the easiest to carve if you have good skills. A sound written Procedures segment allows a capable scientist to replacement your results. Present precise information about your supplies. The suppliers and clarity of reagents can be helpful bits of information. Present methods in sequential order but linked methodologies can be grouped as a segment. Be concise when relating the protocols. Attempt for the least amount of information that would permit another capable scientist to spare your outcome but be cautious that vital information is integrated. The use of subheadings is suggested and ought to be synchronized with the results section. When a technique is used that has been well described in another object, mention the specific item describing a way but draw the basic principle while stating the situation. The purpose is to text all particular resources and broad procedures, so that another person may use some or all of the methods in one more study or referee the scientific value of your work. It is not to be a step by step report of the whole thing you did, nor is a methods section a set of orders.

Materials:

- Explain materials individually only if the study is so complex that it saves liberty this way.
- Embrace particular materials, and any tools or provisions that are not frequently found in laboratories.
- Do not take in frequently found.
- If use of a definite type of tools.
- Materials may be reported in a part section or else they may be recognized along with your measures.

Methods:

- Report the method (not particulars of each process that engaged the same methodology)
- Describe the method entirely
- To be succinct, present methods under headings dedicated to specific dealings or groups of measures
- Simplify - details how procedures were completed not how they were exclusively performed on a particular day.
- If well known procedures were used, account the procedure by name, possibly with reference, and that's all.

Approach:

- It is embarrassed or not possible to use vigorous voice when documenting methods with no using first person, which would focus the reviewer's interest on the researcher rather than the job. As a result when script up the methods most authors use third person passive voice.
- Use standard style in this and in every other part of the paper - avoid familiar lists, and use full sentences.

What to keep away from

- Resources and methods are not a set of information.
- Skip all descriptive information and surroundings - save it for the argument.
- Leave out information that is immaterial to a third party.

**Results:**

The principle of a results segment is to present and demonstrate your conclusion. Create this part a entirely objective details of the outcome, and save all understanding for the discussion.

The page length of this segment is set by the sum and types of data to be reported. Carry on to be to the point, by means of statistics and tables, if suitable, to present consequences most efficiently.You must obviously differentiate material that would usually be incorporated in a study editorial from any unprocessed data or additional appendix matter that would not be available. In fact, such matter should not be submitted at all except requested by the instructor.

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Content

- Sum up your conclusion in text and demonstrate them, if suitable, with figures and tables.
- In manuscript, explain each of your consequences, point the reader to remarks that are most appropriate.
- Present a background, such as by describing the question that was addressed by creation an exacting study.
- Explain results of control experiments and comprise remarks that are not accessible in a prescribed figure or table, if appropriate.
- Examine your data, then prepare the analyzed (transformed) data in the form of a figure (graph), table, or in manuscript form.

What to stay away from

- Do not discuss or infer your outcome, report surroundings information, or try to explain anything.
- Not at all, take in raw data or intermediate calculations in a research manuscript.
- Do not present the similar data more than once.
- Manuscript should complement any figures or tables, not duplicate the identical information.
- Never confuse figures with tables - there is a difference.

Approach

- As forever, use past tense when you submit to your results, and put the whole thing in a reasonable order.
- Put figures and tables, appropriately numbered, in order at the end of the report
- If you desire, you may place your figures and tables properly within the text of your results part.

Figures and tables

- If you put figures and tables at the end of the details, make certain that they are visibly distinguished from any attach appendix materials, such as raw facts
- Despite of position, each figure must be numbered one after the other and complete with subtitle
- In spite of position, each table must be titled, numbered one after the other and complete with heading
- All figure and table must be adequately complete that it could situate on its own, divide from text

**Discussion:**

The Discussion is expected the trickiest segment to write and describe. A lot of papers submitted for journal are discarded based on problems with the Discussion. There is no head of state for how long a argument should be. Position your understanding of the outcome visibly to lead the reviewer through your conclusions, and then finish the paper with a summing up of the implication of the study. The purpose here is to offer an understanding of your results and hold up for all of your conclusions, using facts from your research and generally accepted information, if suitable. The implication of result should be visibly described. Infer your data in the conversation in suitable depth. This means that when you clarify an observable fact you must explain mechanisms that may account for the observation. If your results vary from your prospect, make clear why that may have happened. If your results agree, then explain the theory that the proof supported. It is never suitable to just state that the data approved with prospect, and let it drop at that.

- Make a decision if each premise is supported, discarded, or if you cannot make a conclusion with assurance. Do not just dismiss a study or part of a study as "uncertain."
- Research papers are not acknowledged if the work is imperfect. Draw what conclusions you can based upon the results that you have, and take care of the study as a finished work
- You may propose future guidelines, such as how the experiment might be personalized to accomplish a new idea.
- Give details all of your remarks as much as possible, focus on mechanisms.
- Make a decision if the tentative design sufficiently addressed the theory, and whether or not it was correctly restricted.
- Try to present substitute explanations if sensible alternatives be present.
- One research will not counter an overall question, so maintain the large picture in mind, where do you go next? The best studies unlock new avenues of study. What questions remain?
- Recommendations for detailed papers will offer supplementary suggestions.

Approach:

- When you refer to information, differentiate data generated by your own studies from available information
- Submit to work done by specific persons (including you) in past tense.
- Submit to generally acknowledged facts and main beliefs in present tense.

Please carefully note down following rules and regulation before submitting your Research Paper to Global Journals Inc. (US):

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- Do not give permission to anyone else to "PROOFREAD" your manuscript.

- Methods to avoid Plagiarism is applied by us on every paper, if found guilty, you will be blacklisted by all of our collaborated research groups, your institution will be informed for this and strict legal actions will be taken immediately.)
- To guard yourself and others from possible illegal use please do not permit anyone right to use to your paper and files.

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| Topics | Grades | | |
|---|---|---|---|
| | **A-B** | **C-D** | **E-F** |
| ***Abstract*** | Clear and concise with appropriate content, Correct format. 200 words or below | Unclear summary and no specific data, Incorrect form<br><br>Above 200 words | No specific data with ambiguous information<br><br>Above 250 words |
| ***Introduction*** | Containing all background details with clear goal and appropriate details, flow specification, no grammar and spelling mistake, well organized sentence and paragraph, reference cited | Unclear and confusing data, appropriate format, grammar and spelling errors with unorganized matter | Out of place depth and content, hazy format |
| ***Methods and Procedures*** | Clear and to the point with well arranged paragraph, precision and accuracy of facts and figures, well organized subheads | Difficult to comprehend with embarrassed text, too much explanation but completed | Incorrect and unorganized structure with hazy meaning |
| ***Result*** | Well organized, Clear and specific, Correct units with precision, correct data, well structuring of paragraph, no grammar and spelling mistake | Complete and embarrassed text, difficult to comprehend | Irregular format with wrong facts and figures |
| ***Discussion*** | Well organized, meaningful specification, sound conclusion, logical and concise explanation, highly structured paragraph reference cited | Wordy, unclear conclusion, spurious | Conclusion is not cited, unorganized, difficult to comprehend |
| ***References*** | Complete and correct format, well organized | Beside the point, Incomplete | Wrong format and structuring |

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