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DISCOVERING THOUGHTS AND INVENTING FUTURE

exploration  
of  
**8** innovations

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## Highlights

*Trans - Himalayan Nepal*

*Evofit Facial Composites*

*Challenges of Internal Democracy*

*Enviromental Sculptures*

*April 2011*



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# How Himalayan Dwellers Rely on Common-Pool Resources (CPRs) for Livelihood? Mustang, Trans-Himalayan Nepal

By Dilli Prasad Poudel, Tor Halfdan Aase

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**Abstract :** This article focuses on how a mountain community in Mustang of Trans-Himalayan Region of North-Western Nepal relies on availability of and accessibility to Common-Pool Resources (CPRs), such as forest water and pastureland for making a living. Most of the villagers' livelihoods earning sources directly or indirectly rely on the agricultural productions and the livestock rearing, which are not possible without extracting resources from CPRs. Analyzing through qualitative epistemological perspective of CPRs theories, required information has been collected during April - June 2007 and during October - November 2008. Household survey, Key Informant Interview, and Observation were the main techniques for data collection. It is impossible to produce crops in Mustang in such climatic (semi-arid) and geographic condition without using CPRs. Likewise, being an unavoidable component of livelihood pursuits, and to support the agriculture activities of the villagers, livestock also relies on the availability of and the accessibility to pastureland, fodder and water. Moreover, both activities also depend on each other. Some villagers' main source of cash income is from selling firewood, fodder and grass, which definitely need an access to the CPRs. Because of such necessity of CPRs for livelihood, villagers have well developed local institution to distribute the resources equitably since the historic past.

**Keywords:** *common-pool resources, livelihood, Trans-Himalayan dwellers, institutions, accessibility.*

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# How Himalayan Dwellers Rely on Common-Pool Resources (CPRs) for Livelihood? Mustang, Trans-Himalayan Nepal

Dilli Prasad Poudel <sup>α</sup>, Tor Halfdan Aase <sup>Ω</sup>

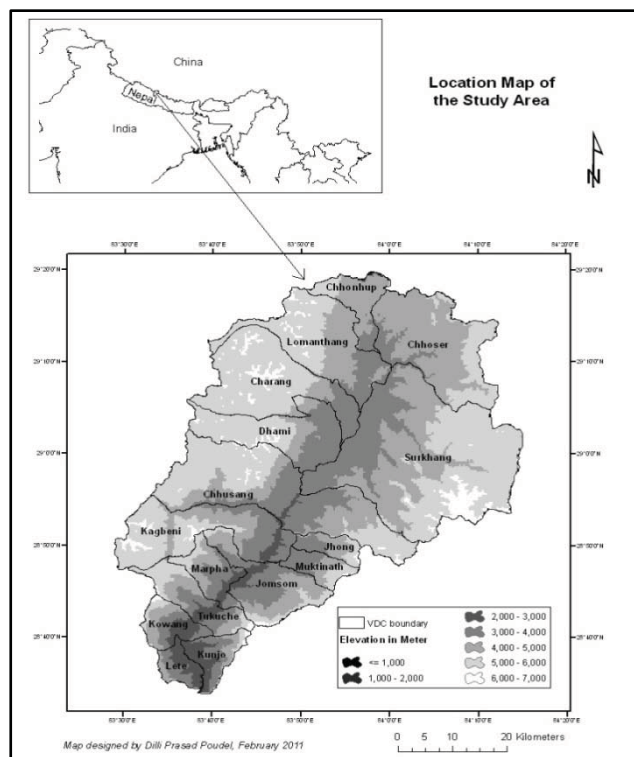
**Abstract:** This article focuses on how a mountain community in Mustang of Trans-Himalayan Region of North-Western Nepal relies on availability of and accessibility to Common-Pool Resources (CPRs), such as forest water and pastureland for making a living. Most of the villagers' livelihoods earning sources directly or indirectly rely on the agricultural productions and the livestock rearing, which are not possible without extracting resources from CPRs. Analyzing through qualitative epistemological perspective of CPRs theories, required information has been collected during April - June 2007 and during October - November 2008. Household survey, Key Informant Interview, and Observation were the main techniques for data collection. It is impossible to produce crops in Mustang in such climatic (semi-arid) and geographic condition without using CPRs. Likewise, being an unavoidable component of livelihood pursuits, and to support the agriculture activities of the villagers, livestock also relies on the availability of and the accessibility to pastureland, fodder and water. Moreover, both activities also depend on each other. Some villagers' main source of cash income is from selling firewood, fodder and grass, which definitely need an access to the CPRs. Because of such necessity of CPRs for livelihood, villagers have well developed local institution to distribute the resources equitably since the historic past.

**Keywords:** common-pool resources, livelihood, Trans-Himalayan dwellers, institutions, accessibility

## I. INTRODUCTION: THEORY AND APPROACH

This article considers forest, water and pastureland as Common-Pool Resources (CPRs) of Thini Village of Mustang – Trans-Himalayan region of Nepal. These are essential resources for agriculture activities and livestock rearing in Mustang in particular and in the Trans-Himalayan regions in general. Most of the villagers' livelihoods earning sources directly or indirectly rely on the agricultural productions and the livestock rearing, which are not possible without extracting resources from CPRs (Poudel 2008; Poudel 2009, Poudel & Aase 2010). Ostrom et al (1994) define commons as the ability to exclude the users from its use. The most natural resources being consumed by the group of individuals or community can be classified as Common-Pool Resources (CPRs) (Ostrom 2002). The common does not imply any kind of ownership. The resources existing in a common location may be

claimed by an individual, or community, or the state. It is therefore possible of being overused or misuse of such resources as mentioned by Garret Hardin in his classic article "The Tragedy of the Commons" (Hardin 1968). Thus, careful and sustainable management of such resources is necessary because many households depend on them to maintain and sustain their livelihood (Agrawal 2001, Poudel 2008 & 2009, Poudel & Aase 2010). The common resources which are consumed by Thini villagers, has been managed and controlled by themselves since the historic past. At present, it is being managed by Conservation Area Management



Map 1: Location Map of Study Area

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<sup>3</sup> ACAP is the first and largest conservation area of Nepal, which is formed in 1986 and covers 7629 sq. km.

Committee (CAMC), formed by the Annapurna Conservation Area Project (ACAP)<sup>1</sup>. By any means, the resources of Thini belong to a form of property, and they are managed and controlled either by villagers themselves or by others (for instance CAMC).

### 1.1) *Local Norms and Common-Pool Resources:*

CPR theorists realize the role and importance of local *institutions in shaping human behaviour*. *Local norm* influences the managing and controlling of common resources since they facilitate and constrain their action and property rights (Agrawal 2003). Once peoples realize their dependability on the CPRs, they create their own institutional arrangement which helps them to allocate and distribute the resources and benefits equitably. They also manage it in a sustainable way over a long time period with only limited efficiency losses (Agrawal, 1999; McKean, 1992; Ostrom, 1992; cited in Agrawal, 2001). Ostrom et al. (1994) explicitly argue that, by devising their own rules-in-use, those who are depending on such CPRs overcome the "tragedy of the commons". Previous studies of the local people of Manang valley of Manang (Aase and Vetaas 2006) and Dolpo of Dolpa (Bauer 2004) of Nepal recognize that while using CPRs, villagers readily obey societal rules and regulations. It may be because of their own embedded rules and regulations that are being followed since time immemorial in managing, controlling and distributing such resources, which also "*established structure of power and authority*" (Sethi et al., 1996: 768; cited in Dasgupta and Somanatham 1996: 208) and the capacity to imply specific behavioural rules and paying for their enforcement (Ibid) within their society. For instance, in Manang valley (East of Mustang) of Nepal, farmers plant and harvest on dates fixed by village headman who gets consulted by a *lama* (Buddhist priest), instead of spreading risk by extending the planting and harvesting seasons in order to avoid all crops being damaged (Aase and Vetaas 2006). Likewise, in Dolpo of Dolpa district (West of Mustang) individuals agree with their neighbours upon a set of enforceable rules and regulations that control households' access to and use of community resources (Bauer 2004).

## II. STUDY LOCATION

### 2.1) *Methods and Materials:*

Mustang, covering 155.94 square kilometres of land, is situated within 28° 20' to 29°05' Northern latitudes and 83° 30' to 84° 15' Eastern longitudes on Nepal Himalaya. Mustang is divided into two broad regions; Upper Mustang (*Upallo Mustang*) and Lower Mustang (*Tallo Mustang*). The massive Himalayan Mountain has also divided Mustang into two distinct

geographical regions: the South facing Mustang and the North facing Mustang. Thini village lies in the North facing Mustang. Thini is one of the oldest Thakali<sup>2</sup> villages in Mustang, which is located at approximately 3100 meters above sea level (masl). Thini village is under Jomsom village development committee or VDC (smallest administrative and political unit of Nepal) which is divided into four wards for administrative purposes. According to the national census of 2001, a total of 112 households and 416 people reside in Thini village of which 220 are male and 196 are female (CBS2001; CBS2003). About 73 per cent of the villagers are Thakali. However, other communities such as *Kami, Gurung, Damai, Magar, Sherpa, Mahat* and *Lama* also live in the village. Thini has one primary school, one primary health post, and one local private club especially for youngsters. Essential infrastructure such as electricity and drinking water are available in Thini. Almost all the household have toilets and drinking water

#### Box 1: A Tale of Wood

*During previous visits to Mustang, It is heard households who keep more and more piles of firewood on the roof of their houses are considered a rich family and his or her family gains some merit (dhanipariwar or a rich family) in the society. This time, during the fieldwork it tried to find the possible logic behind this tradition. It has taken some photographs of various kinds of roofs such as roof with many piles of firewood, roof with a single pile of firewood and roof with no firewood. Photographs have shown to the respondents and requested them to consider the myth. After analysing all the answers collected during discussions with the respondents, six positive and two negative meanings of the myth have concluded. Six positive logics of keeping piles of firewood on the roof are: symbol of richness, useful in hardship, useful in old age, useful in severe winter or when heavy snowfall occur, to decorate flat and plain roof, and to protect the house from rain because Thakalis' have mud-stone roof which is water-soluble. If they do not keep firewood on the edge of the roof, there is the possibility of water leaking inside from the sides of the house. And two negative logics are: if someone does not keep firewood, it denotes someone die in his/her family and second is the symbol of bad luck. Whatever the logic they have behind the wood, it denotes social, economic and cultural relationship of villagers with the wood.*

<sup>4</sup>A type of mountain community, who are mainly residing in Lower Mustang region of Nepal, is also known as business acumen in Nepal.



tap inside the house. Very few household use public drinking water tap. Public taps are in a reachable distance from their house. It takes less than 10 minutes from their house. Most household own colour television, DVD player and Radio. A few household own all of them and some of them own at least one. In addition, owning a DVD player with a colour television is increasingly becoming popular and is becoming a sign of wealth. Required data have been collected during April - June 2007 and during October - November 2008. In the first visit, information was collected by designing semi-structured questionnaire (n = 50). Observation, photo elucidation and secondary information were other most important sources of data collection. During the second visit, previously collected information was updated after the information acquired from informally talking to the local people through re-confirmation of information, visiting other extremely remote villages of Mustang and talking with local people on similar topics.

### III. LIVELIHOOD AND CPRS

CPRs are the basis for agriculture and livestock rearing, which ultimately is the basis for making a living for the villagers. They use wooden materials, soil and stones to construct their houses. Villagers obtain all the construction materials from the CPRs. Fodder and grass for livestock, humus, litter and compost for agriculture, firewood as main source of fuel for households' use, entirely depend on the CPRs. They also use forest and its surrounding, and barren/abandoned land to graze their livestock, and common water for irrigation and drinking purpose, are also rely on CPRs. For some households of the village, selling firewood, fodder and grass is the main source of cash income. Villagers also use some special plants as medicine, and some to construct the roof of their house, which of course again rely on CPRs. Likewise, CPRs are not only a source for making a living but also are valued in the tradition and culture of the villagers. They respect forest as a goddess, since it is their source of livelihoods. Box 1 shows the value of wood in the village.

#### a) CPRs and Agriculture:

Almost all the interviewees of surveyed households have explicitly said that their agricultural activities absolutely rely on the availability of and the accessibility to the CPRs. The interviewees of *bhangd*<sup>5</sup> and *ghyanga*<sup>6</sup> houses have stated more strongly about their absolute reliance of CPRs for their livelihood. Comparatively, rich households (those who own *pakka* or cemented houses) have more diversified earning strategies than the previous two groups. However, rich households also depend on firewood as source of cooking fuel, fodder for animals, and water for

<sup>5</sup>A house constructed with wood, stone and soil

<sup>6</sup>A house constructed with wood and soil

### Box 2: Indigenous Institution

*Villagers have locally formed institution called Gaun Samiti (GS or village committee). In the committee, they have two Thuimis (headman of village or Mukhiya in Nepali), one Bahidar (village secretary, Sachib in Nepali, and Dhungyuwa in Tibetan) and four Chhowas (villagers' messenger and responsible for distribution of irrigation water and maintenance of the canal, Katuwal in Nepali). Among four Chhowas one is selected as a leader, called Khepen. All the villagers are considered to be general members of the Samiti (committee). All the households must work as Chhowa at least one time in their lifetime (often it would be more than one time). Villagers select four Chhowas at once. Each year, other four new Chhowas replace all the four old Chhowas. If any villager denies to work as Chhowa, he must pay to transfer his responsibilities of Chhowa for that particular year to another villager. It is expensive to transfer the responsibilities of Chhowa. It costs about 15,000-20,000 (1USD = 65 Nepali Rupees during fieldwork) Nepali Rupees per year. Especially those out-migrated households, whose land and house are still in Thini but none of their family members are living in Thini, transfer the responsibilities of Chhowa to another villager. It is because their assets are still in Thini. If one has such fixed and permanent assets in Thini, GS decides to bear such responsibilities accordingly (as per the turn fixed in the kuriya: it is a social, demographic and religious record of the village keeps by village bahidar). Chhowa decides that from which agricultural fields the distribution of irrigation water should. All the main cultivable fields of Thini have unique names such as tep, bhumcha, mori ... etc. Based on those names they regulate the irrigation water. For instance, if chhowa starts irrigation from the land named tep then all the villagers whose agriculture fields surround or near from tep come to their fields and share the water in their agricultural fields equitably. According to the village Kuriya they have four categories of dwellers in Thini. First, those households who reside in Thini since their ancestors, such as Thakali and some Kami and Damai (so called lower castes of the village) households belong to this category. This can be categorized as permanent dwellers of Thini. Second, the permanent Lama (Buddhist monk) of Thini who must bear religious responsibilities of the village can be categorized as permanent lamas of the village. Third, those in-migrated households who live in Thini as tenants. This group of dwellers can be categorized as temporary dwellers of Thini. Fourth category is the Karmacharis (Villagers term Karmachari to all kinds of government personals such as civil servant, and schoolteacher) and seasonal wage labourers. According to the GS rules, permanent villagers and permanent Lamas have full access to the Forest. Temporary dwellers those who have land in Thini as tenants and living in Thini have also access to the forest but Karmacharis and seasonal wage labourers should buy firewood and fodder from the villagers.*



Photo 1: Water storage



agricultural purpose. Their degree of reliance on CPRs is lesser than other income sources, such as trades and small business, remittance from migrants' family members, *raksi* (locally produced alcohol) selling to the hoteliers and guesthouse runner of Jomsom (headquarter of Mustang). In addition, due to lack of land or insufficient land to support subsistence needs, many poor villagers depend more on natural resource use through access to the CPRs (Beck & Nesmith, 2001; cited in Ellis and Allison 2004). The following sections pinpoint the importance of CPRs for the agricultural activities;

*i. Humus and litter for the agriculture:*

It is observed that people and *jhopa*<sup>5</sup> carry dark earth made of organic material such as decayed leaves and plants from the forest to use as compost in their agriculture fields. The villagers have been using such compost to augment their agricultural production since the historic past, which of course depends on the availability of and accessibility to the CPRs. At present, many villagers use modern fertilizer for summer cultivation, but still the reliance of agriculture on compost and manure is still high. Some villagers say that the quality of compost for agriculture production is greater than the modern fertilizer (though there are some villagers who say that modern fertilizers help them to produce more crops than by using compost). On the other hand, some villagers believe that the compost maintain the quality of soil, in contrary, modern fertiliser decrease the soil quality. The intensity of using compost and modern fertilizer varies from household to household. Indeed, all villagers use such compost from the forest during cultivation.

Currently, the trend of apple plantation is growing very fast in the village. Although, apple plantation fields (*bhar*) need less irrigation than crop production fields (*le*), it requires more manure and litter, which is not possible without extracting from CPRs.

*ii. Agriculture and Irrigation :*

The agriculture fields of Thini have been irrigated by locally institutionalized (see box 2) irrigations system. Though all the agriculture fields are divided into two categories i.e. *le* and *bhar*, *le* needs more irrigation than *bhar*. The location of the village (Trans-Himalaya), its climatic fluctuations (semi-arid) and the quality of the soil do not permit villagers to produce crops as per their requirements. Even though they produce such small quantity of crops, they need ample water to irrigate their fields during cultivation. That is why they have well-organized irrigation management committee which works under the guidelines of local village committee called *gaun samiti* (see box2). Since the plantation of apple trees is expanding, it also needs some irrigation. Indeed, the quantity of the agricultural production depends on the availability of and the accessibility to the commonwater.

*b) CPRs and Livestock :*

In Thini, livestock cannot survive without pastureland. The pastureland of Thini is located in the forested areas and its periphery, and barren or abandoned land (photo 2). Villagers have access to the forest to graze their livestock. Besides grazing, livestock also need fodder from the forest. In addition, before sowing and after harvesting the crops, villagers also

<sup>5</sup> Cross of yak and cow or *nak* (female yak) and *ox*

graze their livestock in their fields, though villagers prefer to graze them in the pastureland. Villagers need water not only for agricultural purposes, but also for feeding their livestock. Though at present many villagers use pipe water to feed animals, during busy working season such as summer and winter cultivation period, they need to feed them either in the irrigation canal or in the locally constructed water storage (Photo 1). Villagers also have

constructed such water storage, which they use to store the water for the animal and for the village during hardship. The livestock rearing, to some extent, fulfil the insufficiency of agricultural production. Thus, being an important component of agrarian households' livelihood pursuits, livestock rearing also relies on the availability of and accessibility to the CPRs



*Photo 2: Livestock are grazing in open access grazing land*

*c) CPRs and Firewood*

Villagers consume firewood as a main source of fuel for their household. They use firewood for different purposes, such as fuel for cooking, to keep their house warm, to protect their flat roof from rainfall and wind, and to place large pile of firewood on their roof to gain social merit (see more on Box 1). Therefore, they need to use the CPRs extensively to maintain their various requirements. A man of 71 years old highlighted the use and value of firewood in Thini village. He says;

*"I am now 71 years old. Since my childhood, I have been watching the various uses of forest products in our village. I have been collecting firewood since my childhood. My parents also used to collect firewood. A house needs at least 7-10 bharis (1bhari = 20-25 kg.) of firewood per month. In addition, those households who make raksi (locally produced alcohol) require a*

*larger quantity of firewood. I need more than seven bharis in a month. Because of my old age, I need to use firewood to keep my house warm even during summer. Thus, there is only way to survive in Thini- either I should collect the firewood from the forest or I should buy it from the sellers."*

Even though electricity exists in the village and the Annapurna Conservation Area Project (ACAP) is trying to create awareness about the alternative energy such as solar power in the village, villagers still prefer to use firewood for their various requirements as stated above.

*d) CPRs: Fodder and Firewood Sellers*

There are some households in the village, whose main source of cash income is the sales of



fodder, grass and firewood (these villagers also work as wage labourer in the village). These villagers also lease some agriculture fields in *ku*<sup>6</sup>. Moreover, they take care of the fields of the migrant villagers. Such villagers say that they must sell fodder, grass and firewood to fulfil their requirement of cash. One adult female respondent says;

*"Originally, I am from Dolpa district. We had own cultivable lands in Dolpa but it was difficult to produce enough crops in such climatic condition, therefore, we migrated down hoping prosperous life. Presently, my husband is in Kathmandu to work. He earns very little money, which is not sufficient for our family (three children and parents), so, I must find some ways to generate income. Now, I have three fields in kut. I harvest the crops (mostly karu and buckwheat) that only sustain my family about 3-5 months, thus, for the rest of the year I earn by selling firewood, grass and fodder from the forest. During summer, my husband and I try to earn cash income as much as possible that will be used during severe winter season. During winter, it is very difficult to go to forest to collect the firewood and fodder. Instead, I work in the other villagers' house, such as to clean the utensils and clothes, to clean the goth (animal shed), to work in their fields, to take care of small babies and sometime to help in the kitchen. Sometimes villagers pay me by grain, sometimes by money and sometimes by both. However, my main source of income is the sales of firewood, fodder and grass. I can use the earnings from those sales as I desire."*

The main source of cash income of migrated dwellers and labourers' not only depend on the CPRs, some local dwellers of the village also believe that it is almost impossible to survive in Thini without using CPRs. An adult Thakali male respondent says;

*"I have four fields. Three are le and one is bhar. I have converted le into bhar two year ago. My neighbour says that we will earn very good cash income from the bhar in the*

*near future. The productions of les support only 6/7 months to my entire family. Until now, I am not earning anything from bhar. I*

*have two children, my wife and my mother to feed. Therefore, either I have to go outside the village to earn money or I have to find some alternatives here in the village. Thus, I sell firewood and fodder. I work as a labourer. My wife also goes with me to collect firewood and fodder in the forest, and to work in others' agriculture field. If there were no forest or wood, we poor would die."*

Likewise a male member of a rich Thakali household, who sells firewood in big quantity to a troop of Nepal Army at Jomsom, says;

*"I am earning about Rs. 40,000 to 50,000<sup>7</sup> per annum from the sale of firewood alone. I use jhopas to carry the bharis from the forest and sell them to the Nepal Army, who camp at Jomsom. Through the sale of the firewood, I am able to send my children outside Thini for their education. I have one son and one daughter. Both are studying in Bachelor degree in Kathmandu. I must send money for their accommodation and education. Thus, firewood selling is the main source of cash income of my entire family."*

Thus, there are some households (rich and poor) whose main source of cash income is from the sale of firewood and fodder. In addition, since most villagers' livelihood depends on the income from agriculture and livestock; they need a large quantity of fodder for their livestock. Moreover, some villagers use tree leaves and vegetation to construct the roof of their house. Therefore, villagers must either buy these from the sellers or collect from the forest by themselves. None of these activities are possible without using CPRs.

#### IV. CONCLUSION

This article discussed how mountain dwellers of Trans-Himalayan. Nepal – focusing on Thini village of Mustang - rely on availability of and accessibility to the CPRs for their livelihoods. CPRs are the basis for agriculture and livestock rearing, which ultimately is the basis for making a living for the villagers. They use wooden materials, soil and stones to construct their houses. Villagers obtain all the construction materials from the CPRs. Fodder and grass for livestock, humus, litter and compost for agriculture, firewood as main source of fuel for households' use, entirely depend on the CPRs. They also use forest and its surrounding, and barren/abandoned land to graze their livestock, and common water for irrigation and drinking purpose, are also rely on CPRs.

<sup>6</sup> Leased agricultural fields where leaser pays either by money or by grains each year depending upon the number of fields he/she has leased. However, there is no such fix rules and regulation for kut. Sometime, leaser need to pay as mana (approximately half kg, however, its measurement varies in Nepal) or pathi (equivalent to 3.4-4.0 kg, depends on things, such as grain, flour or others) grain sow in the agriculture fields or sometime they pay a few hundred rupees to a few thousands rupees to the owner.

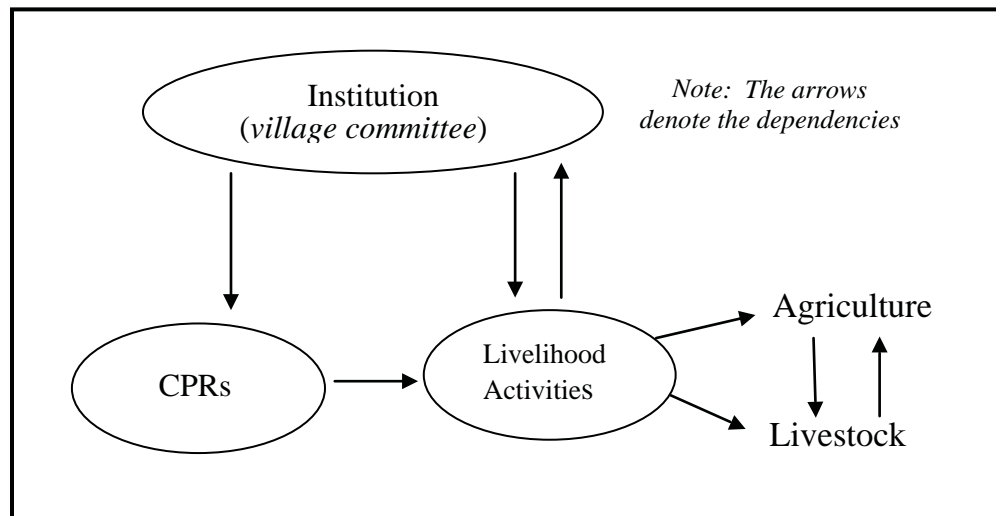
<sup>7</sup> A Beardless or naked type of grain, which is longer than wheat (*Triticum vulgare*), and similar to barley (*Hordeum vulgare*), locally known as karu (*Hordeum vulgare* subspecies)

<sup>10</sup> 1 USD = Approximately 65 Nepali Rupees during the fieldwork

It is impossible to produce crops in Thini in such climatic (semi-arid) and geographic condition. s(Trans-Himalaya) without using CPRs, such as forest, water and pastureland. Likewise, being an unavoidable component of livelihood pursuits of the villagers, and to support the agriculture activities, livestock also relies on the availability of and the accessibility to pastureland, fodder and water. Moreover, both activities also depend on each other (figure 1). Some villagers' main source of cash income is from selling firewood, fodder and grass, which definitely needs an access to the

CPRs. Because of such necessity of CPRs for livelihood, villagers have well developed local institution (also see in Poudel & Aase 2010) to distribute the resources equitably since the historic past.

Figure 1: Mountain Livelihood and Common-Pool Resources (CPRs)



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## Challenges in Globalising Public Education Reform

By Agustinus Bandur

*Flores Primary Schools*

**Abstract:** In a globalising and internationalising world, the spread of public education reforms across national boundaries and cultures has multiplied. More particularly, efforts to restructure public schools with an emphasis on implementing School-Based Management (SBM) have become the keystones of reform in many countries. In Indonesia, since the UNDP (1997) found how the poor quality of national education and low human resources quality impacted on severe economic and social problems in the late 1990s, national education decision-makers have been struggling to create better national quality education. With the turn of the 21<sup>st</sup> Century, Indonesian education reforms agenda have been emphasized on shifting public education policy and management from centralized bureaucratic fashion to more decentralized democratic structure. This paper highlights the challenges of the globalising world in education with particular reference to the adoption of effective SBM in Indonesia. The data reported here are on the basis of an empirical survey involving 504 school council members, including school principals from Ngada Flores followed by 42 interviews with all relevant stakeholders.

**Keywords:** *globalization, education reforms, school-based management, challenges.*

**Classification:** *GJHSS-C Classification: FOR Code: 130201, 130213, 130311*



*Strictly as per the compliance and regulations of:*





# Challenges in Globalising Public Education Reform

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**About:** In a globalising and internationalising world, the spread of public education reforms across national boundaries and cultures has multiplied. More particularly, efforts to restructure public schools with an emphasis on implementing School-Based Management (SBM) have become the keystones of reform in many countries. In Indonesia, since the UNDP (1997) found how the poor quality of national education and low human resources quality impacted on severe economic and social problems in the late 1990s, national education decision-makers have been struggling to create better national quality education. With the turn of the 21<sup>st</sup> Century, Indonesian education reforms agenda have been emphasized on shifting public education policy and management from centralized bureaucratic fashion to more decentralized democratic structure. This paper highlights the challenges of the globalising world in education with particular reference to the adoption of effective SBM in Indonesia. The data reported here are on the basis of an empirical survey involving 504 school council members, including school principals from Ngada Flores followed by 42 interviews with all relevant stakeholders.

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## I. INTRODUCTION

Since the twentieth century, the development of educational policy and practice has been dominated by Anglo-American initiatives with a pre-eminent position in terms of global economic development, education, communications and technology (Dimmock & Walker, 2000; Walker & Dimmock, 2000; Jones, 1971). They affirm that as developed societies, they possess the resources and ideas to innovate and to lead change. The continuation of this phenomenon, known as globalisation, seems assured as other developing countries follow suit. Jones (1971) points out the major reasons of globalisation for cultural borrowing, including: the overseas education of leaders, a belief in education as a vehicle for economic and social advancement, international legitimacy for policy formulation, and even the benefits of studying foreign systems of education, including the resultant improved understanding on one's own system. However, even if the globalisation has become an emergent phenomenon, yet as theory, policy and practice are transported globally. They always interface and/or interact with the cultures of different countries. In fact, as policies of SBM spread from Anglo-American

systems to become more globalised, what are the challenges confronted by school leaders in the context of Indonesia? Responding to this question can influence the effective implementation of decentralized education policy through SBM in Indonesia. This paper highlights the challenges of SBM within an increasingly rapid globalising educational context. The article is based on a doctoral dissertation study, with an empirical survey involving 504 school council members, including school principals from Ngada Flores followed by 42 interviews with all relevant stakeholders. One of the major objectives of the study was to analyse the challenges and problems hampering the implementation of SBM and seek remedial strategies. The first part of the paper clarifies the concepts of globalisation in the context of worldwide public education reforms through SBM. In the second part, the research methodology applied in the research is explained. The third part provides research findings and discussions. Finally, it presents a brief conclusion and relevant recommendations in coping with the challenges.

## II. GLOBALISATION IN EDUCATION POLICY REFORMS

Globalisation is simply referred to the spread of ideas, policies and practices across national boundaries (Walker & Dimmock, 2000: 227). Globalisation in the form of educational management policy implies the export of theory, policy and practice from some systems, mainly the Anglo American world into developing countries (Dimmock & Walker, 2000). In the context of public educational management reforms, the imported theory, policy and practice is referred to School-Based Management (SBM). Bandur (2008: 31) explains SBM as the a worldwide education reform strategy that appears under various terms – *site-based management, site-based decision making, school-based decision making, shared decision making and school-based governance*. Nowadays, SBM has increasingly become a worldwide movement towards autonomy for shared-decision making and a partnership within the school community for the purposes of achieving school improvements and student achievements (Bandur, 2009; Bandur & Gamage, 2009; Cheng & Mok, 2007;

**About:** Research-Based Evidence from Flores Primary Schools

Gamage, 2006, 1996a, 1996b; Caldwell, 2005). On the basis of research conducted in Australia and other countries, Gamage (1996a: 65) defines SBM as a pragmatic approach to a formal alteration of the bureaucratic model of school administration with a more democratic structure. It identifies the individual school as the primary unit of improvement relying on the redistribution of decision-making authority through which improvements in a school are stimulated and sustained. Other scholars consider SBM as the approach to serve students better by improving the school practices in meeting the diverse expectations of the stakeholders in a changing environment towards increasing student achievements (Cheng & Mok, 2007; Caldwell, 2005). For these reasons, models of SBM have become largely accepted as a major reform initiative both in developed nations including Australia, New Zealand, the UK, the USA and developing countries such as Indonesia, Hong Kong and Thailand. In Australian context, decades of research have revealed that school governance with devolving of decision-making authority to school level has provided greater freedom and autonomy, achieving greater equity among schools as well as creating equality of opportunity for students and flexibility in using school facilities (The ACT Department of Education & Training, 2004; Bush & Gamage, 2001; Gamage, 1996b; Caldwell, 1993). However, the implementation of SBM in Australia faces certain challenges. Chapman (1988) has reported some principals who lost their legal authority and regulatory powers experienced ambiguity of roles. Even though other principals welcome the collaboration in decision-making, some Victorian principals claimed that their councils and teaching staff were inexperienced, incapable, lacked necessary knowledge, and were unprepared. Other scholars in England and Wales reported that school governing bodies have been given greater power to manage their own affairs within clearly defined national frameworks (Ranson, 2008; Bush & Gamage, 2001). However, a large-scale quantitative survey conducted by Dempster (2000), involving 1,053 in the first survey and 699 respondents in the second one in England and Wales, as well as interviews in ten schools, indicate that workloads of principals have increased as a result of more responsibilities in financial planning and management.

### III. RESEARCH IN FLORES PRIMARY SCHOOLS

#### a) *Methodology and Sampling Design*

The research methodology consisted of both quantitative and qualitative dimensions of research, comprising an extensive empirical survey followed by semi-structured and focused group interviews and examination of relevant documents. In particular, the data gathered from the empirical survey were

analysed using SPSS, while interviews and other documents were analysed using NVivo. For the purpose of both quantitative and qualitative data analyses, this study used probability (systematic random) sampling and non-probability (purposive) sampling. These sampling techniques were employed based on the requirements of a good sampling design: (1) goal orientation, (2) measurability, (3) practicality, and (4) economy (Kish, 1965, cited in Wiersma & Jurs, 2005: 302). For these purposes, a sample of 42 schools was then randomly selected from 287 schools located both in urban towns and rural areas. With respect to sample size for quantitative analysis, 675 questionnaires were delivered to 42 schools. Seventy-five percent of the questionnaires were returned ( $N = 504$ ). In addition to the empirical survey, 42 interviews were conducted with different categories of school stakeholders.

#### b) *Instruments*

The questionnaire developed by Gamage (1996a) was adapted with appropriate modification. The instrument was then refined further with a pre-test after approval by the Human Research Ethics Committee of the University of Newcastle, Australia. The questionnaire was further refined and finalized after a pilot study. The pilot study was conducted in seven primary schools comprising of urban and rural schools in two districts (Western Manggarai and Manggarai) of Flores. A total of 180 questionnaires were distributed to the schools that agreed to take part in completing the questionnaire and 155 questionnaires were completed and returned.

#### c) *Reliability and Validity of the Questionnaire*

Even though the items were adapted from questionnaires which were previously validated in early research (San Antonio & Gamage, 2007; Gamage & Sooksomchitra, 2004; Gamage, 1996a), the items were measured using the factor analysis and Cronbach's Alpha. In this study, the values of coefficient alpha ranged from .75 to .84, indicating an acceptable and good reliability (Gregory, 2000 cited in Manning & Munro, 2006). On the basis of the Principal Component Analysis (PCA), the results of pilot study demonstrate that the factor loadings ranged from .732 to .787. The Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy was .640 with the Barlett's Test of Sphericity was significant at less than .05, indicating an acceptable factorability. However, after the revision of item variables, the results of factorability in the main study were higher. The results of data analysis demonstrate that the factor loadings ranged from .779 to .883. The Kaiser-Meyer-Olkin (KMO) of Sampling Adequacy was .682 with Barlett's Test of Sphericity  $p = .000$ , indicating a good factorability (Brace, Kemp, & Snelgar, 2006: 318).

## IV. RESEARCH FINDINGS AND DISCUSSIONS

### MAJOR PROBLEMS AND/OR CHALLENGES

The following table presents the responses of principals and other representatives of school councils (teachers, school administrative staff, parents, community members, local government, and alumni) on the common problems and/or challenges community members, local government, and alumni) on the common problems and/or challenges.

*Table 1* shows that 55.6% of respondents either agreed (41.7%) or strongly agreed (14.9%) that lack of appropriate professional development for school leaders was a problem. Lack of school facilities was another problem, identified by 60.5% of the respondents who either agreed (36.9%) or strongly agreed (23.6%). Sixty-eight per cent of respondents either agreed (51.4%) or strongly agreed (16.9%) that lack of knowledge about SBM was a problem, while 64% of them either agreed (40.7%) or strongly agreed (23.4%) that inadequate finances was a problem confronted in the implementation of SBM.

*Table 1 : Opinions of respondents with regard to Problems/challenges confronted in the process of the implementation of SBM*

| Problems  | SD |     | Disagree |      | Agree |      | SA  |      |
|---|----|-----|----------|------|-------|------|-----|------|
|   | N  | %   | N        | %    | N     | %    | N   | %    |
| Inadequate parental participation                               | 43 | 8.5 | 272      | 54.0 | 115   | 22.8 | 65  | 12.9 |
| Lack of adequate authority for decision-making                  | 34 | 6.7 | 332      | 65.9 | 106   | 21.0 | 24  | 4.8  |
| Difficulties of coordination                                    | 24 | 4.8 | 294      | 58.3 | 143   | 28.4 | 34  | 6.7  |
| Lack of clarity in roles between principals and school councils | 15 | 3.0 | 288      | 57.1 | 144   | 28.6 | 49  | 9.7  |
| Lack of appropriate professional development for school leaders | 18 | 3.6 | 188      | 37.3 | 210   | 41.7 | 75  | 14.9 |
| Lack of school facilities                                       | 13 | 2.6 | 177      | 35.1 | 186   | 36.9 | 119 | 23.6 |
| Lack of knowledge about SBM                                     | 10 | 2.0 | 140      | 27.8 | 259   | 51.4 | 85  | 16.9 |
| Inadequate school finances                                      | 7  | 1.4 | 163      | 32.3 | 205   | 40.7 | 118 | 23.4 |

SD: Strongly Disagree D: Disagree A: Agree SA: Strongly Agree

The qualitative data of this study revealed that there had been a lack of coordination in decision-making between the president of the school council and the principal. In this case, the school council president made decisions with regard to grant proposals for external funding without coordinating it with the school principal. Two principals stated: I don't find any major difficulties, but there are always problems in terms of difficulties of coordination and clarity of roles. A couple

of times our head of the school council made grant proposals without consulting me. This is certainly not a good practice as no single authority figure can take decisions in school matters (Principal, W10).

Interestingly, this study found that there was a statistically significant difference in terms of opinions of the respondents on the problem related to difficulties of coordination (Chi-Sq = 8.61, N = 441,  $p = .03$ ), as shown in *Table 2* below:

*Table 2 Problems in terms of coordination difficulties by school location*

| School location | Strongly disagree | Disagree | Agree | Strongly agree | Chi-Sq | $p$  | N   |
|-----------------|-------------------|----------|-------|----------------|--------|------|-----|
| Urban           | 1.6%              | 54.3%    | 38.0% | 6.2%           | 8.61   | .035 | 441 |
| Rural           | 6.7%              | 59.0%    | 27.2% | 7.1%           |        |      |     |

*Table 2* demonstrates that 44.2% of the respondents in urban areas either agreed (38.0%) or strongly agreed (6.2%) that difficulties of coordination is one of the problems confronted in the implementation of SBM, compared with 34.3% of respondents from schools in rural areas either agreed (27.1%) or strongly agreed (7.1%) with the statement. This indicates that problem with regard to difficulties of coordination is more likely faced by school council members in the urban areas rather than council members in the rural areas.

## V. CONFLICT OF INTEREST

A female principal reported about the conflict of interests between the District Education Department and her school in terms of decision-making authority relating to textbook selection. The decision-making authority for selecting school textbooks was given to the school by Minister. However, two principals referred to instances where the District Education Department interfered:

School council has provided input and control of textbooks to the school and actively participated in decision-making in annual planning for new school buildings, school building renovations, and textbooks. But the District Education Department has approached us, asking to sign the form they have made in order to approve a particular publisher dropping books to the school. Then we refused immediately. I approached the school council to hold a meeting and we decided to determine ourselves a publisher to provide quality books for us (Principal, W15). It is true that with the block grants for book expenditure, each student has two textbooks. This could help teachers and students in the school. With the implementation of SBM, we are helped [Sir] and the governments gave special authority to school to find books from any publisher that printed the serial number indicating the Ministry approval (Principal, W21). Moreover, six teacher representatives complained about the intervention of District Education Department in terms of decision-making in selecting school text books. In connection with this case, a teacher representative commented: In practice, local government officials have taken over decision-making authority which is supposed to be made by the school. I refer particularly to how the school text books are dropped by the local education department, whereas the block grant for books has been allocated directly to the school bank account from the central government. I think this is still a problem (Teacher representative, W05). We finally received math textbooks from the District Education Department after a long argument because the decision for distributing the books was without the approval from the school council. When the teachers counted the books, the total books were double than what was needed by 26 students. We did not need such books and the books were supposed to be distributed or given to other schools (Teacher representative, W08).

## VI. BUILDING AWARENESS

Other principals faced the challenges in conjunction with building up the awareness of the whole community members and parents to actively participate in school decision-making. Respondents Nos. 12 and 17 have raised some concerns as follows: To build up the awareness of members of the whole community is difficult. At the moment, principal, teachers, government, and parents who have children in the school are those who are actively participating in school programs. School council members have encouraged the whole community to actively participate in school programs but it takes time to involve the whole community (Principal, W12). There are some parents who are too busy in the garden and don't pay attention to their children's homework. In this case, we call the parents and have a dialogue. Finally,

they are aware of the importance of education (Principal, W17)

## VII. LACK CLARITY OF AUTHORITY

Six teachers also reported that there had been a problem relating to the lack of clarity of authority between school and district government. In relation to this case, a teacher representative stated: Again, the government may think that they have absolute power and authority. I think they are the people who need more training about SBM, not just provide training for school principals. Other challenge is that how to create strong collaborative work-practices to create better quality schools (Teacher representative, W06). In a school where the principal still controls the decision-making authority in the school, a government representative stated: It is not 100% clear because the school principal still controls the whole school, but in general the school principal himself cannot make all decisions (Government representative, W41).

## VIII. LACK UNDERSTANDING AND OPPORTUNITIES FOR TRAINING

Other teachers acknowledged that the lack of comprehensive understanding about SBM has become the challenge and stated: "With my lack of knowledge about SBM, I just tend to follow higher level authorities in the education departments" (Teacher representative, W07). Four community representatives stated that they have not been provided with access to attend professional sessions and training on SBM provided by both District Education Department and Nusa Tenggara Timur Primary Education Partnership (NTT-PEP). In regard to this case, respondents 33 stated: The principal is the person who always joins training on SBM. I hope all school council members will be able to involve in training on SBM" (Community representative, W33). Another community representative stated: In terms of professional development for principals and council members, as far as I know, the principals are guided by the local district government and NTT-PEP advisors in terms of leadership and roles as principals, but I've never attended any professional development sessions or training (Community representative, W34). The findings of this study are associated with similar problems in other developing countries. Researchers have indicated many problems and issues confronted by school leaders and school councils in the implementation of SBM, including poor resources in schools, lack of school textbooks, lack of professional development in leadership for school leaders and confusion on the part of school councils in relation to new roles and responsibilities, difficulties of coordination, lack of decision-making authority, lack of knowledge, low parental participation, under funding of education by



governments, dependency on central government, and even lack of time (Gamage and Sooksomchitra, 2004; Indriyanto, 2004; Cotton, 2003; Munn, 2000).

## IX. CONCLUSION AND RECOMMENDATIONS

In conclusion, importing education policy reforms implemented elsewhere under different economic, political and cultural conditions can present many challenges. Therefore, imported educational policy may be accepted, but should be adapted for implementation in order to minimize problems at the implementation stage. In coping with the problems and/or challenges, first of all, school council members should be encouraged to attend regular workshops on SBM. The District and/or Provincial Education Departments should facilitate such programs for the school principals, the heads of school councils, and other representatives of school councils. The training/workshops should be aimed at providing better knowledge and understanding about SBM policies and programs at the regional, national, and international levels.

Then, sustainable training programs for all primary school principals should be considered as a matter of urgency, enabling them to effectively implement SBM in school settings. These programs need to be designed for the purpose of providing comprehensive knowledge and better understanding for school leaders in leading and managing effective schools under the new SBM system. These recommendations are primarily aimed at building capacity in education which would help address the challenges and opportunities lying ahead for Indonesian school system in the 21<sup>st</sup> century.

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# Terrorism, Foreign Policy and Human Rights Concerns in Nigeria

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*Strictly as per the compliance and regulations of:*



# Terrorism, Foreign Policy and Human Rights Concerns in Nigeria

CHRIS C. OJUKWU

**Abstract:** Confronting terrorism has become one of the most important fundamentals of national governments' foreign policies. The fight against the scourge has increasingly and generally gained legitimacy and justification among the international community particularly as many nation-states consider it to be their international obligation to support the global movement to ameliorate if not to eliminate the menace. The paper sets out to examine the causes of terrorism and its effects on Nigeria's foreign policy. It argues that the escalating rate of terrorist acts demonstrated in varying dimensions is not unconnected with frustration caused by high rate of unemployment particularly among the youth. The paper also emphasises that terrorist acts are employed by political elites to fight their political opponents and also to gain relevance and popularity in the political market.

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## I. INTRODUCTION

*It is a simple and clear equation:  
As you kill, you we be killed.  
As you capture you we be capture.  
and as you... The way to safeguard your  
security is to cease is to cease your oppression and  
its impact on our nation (Bin Laden 2010).*

*Umar Farauk Abdul Mtallab's failed to bomb  
an airline with 289 people on board lends credence  
to fears that Nigeria is a fertile ground for Al-Qaeda  
recruitment (Olaosebikan and Nmeribeh 2010.)*

Since the end of the World War II in 1945 and the fallen of the Berlin Wall (cold war) in the late 80's, the international community is made to face another round of serious security threat that is today becoming widespread. This particular threat is 'terrorism' which has led to varying human rights abuses. During the cold war, the United States foreign policy was dominated by the strategic need to contain communism which to a large extent mitigated the potency of human rights and democracy. Though the end of the cold war elicited broad human rights concerns to the extent that they take centre stage not only in nation's foreign policies but also in world politics

as a whole, the issue of terrorism has remained problematic to the international community as it has increasingly impacted negatively on nation's foreign policies. This peculiar act of criminality ranges from suicide bombing (Hiroshima and Nagasaki in Japan during the World War II and World Trade Centre in the United States in 2001) to kidnapping of individuals which is presently gaining recognition in Nigeria. Irrespective of factors that gave rise to terrorism, the major challenge today is how to tackle the dastardly act. In the aftermath of the September 11, 2001, the war on terrorism generally gained legitimacy and justification in the International community as many countries considered it to be their international obligation to fight the social menace. In other words, confronting the criminal act has become one of the most important fundamentals of national governments foreign policies. To be sure, the US, the conceived major victim and target of the terrorism has come to dominate the scene in the fight to abolishing terrorist activities by prioritizing democratization processes. From the US administration's perspective, future 11 September type of attacks can only be prevented through liberalization and democratization of the Middle Eastern countries. This was a key rationale used by the Bush administration to mobilize public support for conducting wars in Afghanistan and Iraq. For instance, the eradication of Al-Queda type of terrorist activities in Afghanistan and the subsequent war in Iraq was premised on denying terrorists access to weapon of Mass Destruction (WMD).

In addition to escalating political instability and uncertainty in countries, terrorism also has a large effect on economic activity: the capital stock (human and physical) of a country is often reduced as a result of terrorist attacks; it promotes increases in counter-terrorism expenditures, drawing resources from productive sectors for use in security; it has an adverse effect on specific industries such as tourism and it reduces the expected return to investment, that is, changes in the intensity of terrorism have an ambiguous effect on the overall investment position of the world (such as, investment over wealth). Terrorism may also portend large movements of capital across countries of the world economy is sufficiently open. It is in such cases, corporate (International) Investors rate terrorism as one of the essential factors influencing foreign investment decisions. For instance, the amount of

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foreign direct investment in the US prior and after the September 11 attacks provide some evidence of the open economy channel of terrorism. In the year 2000, before the terrorist attacks, foreign direct investment inflows represented about 15.8 percent of the Gross Fixed Capital formation in the US. This figure decreased to only 1.5 percent in 2003, two years after the attack. The same is the case in Nigeria hitherto. Since the increase in proportion of kidnapping and blasting of oil pipelines in the Niger Delta, the number of international investors coming to Nigeria has reduced drastically while some foreign companies who had been in Nigeria years before the terrorist activities began have relocated to other neighbouring countries such as Ghana and South Africa where they are sure to enjoy relative peace, security and supply of electricity. The thrust of the paper therefore, is to critically examine the various ways the issue of terrorism in Nigeria has affected the Nigeria's foreign policy and its human rights concerns. In other words, how has the prevailing spate of various dimensions of terrorism – kidnapping, abduction, hostage-taking, political assassinations affected the national interests, Nigeria's international relations policy and fundamental human rights of both Nigerian citizens and foreigners resident in Nigeria

## II. CONCEPTUAL ANALYSIS: TERRORISM

Terrorism has become a fixture of international life. The phenomenon has been variously described as tactic and strategy; a crime, a justified reaction to oppression and an inexcusable abomination. It has become increasingly common among those pursuing extreme goals throughout the world today, not only has modern science and technology expanded the rein and zones of terror, but the human condition and individual aspirations, as well as the nature and levels of global interactions have contributed maximally. Hence, the concept is a criminal act that influences an audience beyond the immediate victim. The strategy of most terrorist is to commit acts of violence that draws the attention of the local populace, the government and the world to their cause. They plan their attack to obtain the greatest publicity, choosing targets that that symbolize what they oppose. For instance, in 1972, at the Munich Olympics, the Black September Organisation struck and killed 11 Israelis. Though they were the immediate victims, the main target was the estimated 1 billion people watching the televised event. This being the case, everyone and any nation is a potential target, be it a core or weak nation, it does not matter much to the actors. As an observer puts it, 'in the hands of the modern terrorists, evil is distilled into a potent, living weapon' The phrase 'one man's terrorist is another man's freedom fighter' is a view terrorists themselves would accept. They do not see their act as evil but

fighting for what they believe in by whatever means possible. The terrorist attacks in great nations like the United States and the United Kingdom in 2001 and 2005 respectively brings to the fore a future in which our societies are among the battle fields and our people among the targets. The September 11th terrorist attacks on the United States were not only tragic and horrific, but were also followed by other major attacks such as, the tourist facilities on Bali in 2002, the siege of a middle school in Breslain, Russia, Madrid in 2004, the London transit systems in 2005 (Lutz and Lutz 2008). These attacks resulted in major casualties and have provided outgoing evidence that terrorism is a continuing problem and ravaging fire for many societies around the world. But in specific tern is terrorism? The term has a connotation of evil, indiscriminate violence or brutality. To label a group or action as terrorist is to seek to suggest that the actors or the violence is immoral, wrong or contrary to obvious basic ethical principles that any reasonable human being might hold. In some context, terrorism may be conceived as, freedom fighters, revolutionaries, rebels, resistance fighters, members of democratic opposition or national liberation soldiers (Enders and Sandler 2006: Lutz and Lutz 2006 b, 2008).

Terrorism is the deliberate and systematic murder, maiming and menacing of the innocent to inspire fear for political ends. In the latter part of the 20th century, the phenomenon became popularised as one of the features of world politics and conflict. Hitherto, terrorism is used by individuals, single minded small groups, state agents and broad insurgent movements to seek some political and military results perhaps considered difficult or impossible to achieve in the usual political forum or on the battlefield against an army (Harmon, 2000). As Walter (1972) argues, terrorism is not only confined to anomalous circumstances or exotic systems, it is also potential in ordinary institutions as well as in unusual situations. It has been variously described as both a tactic and strategy; a crime and a holy duty; a justified reaction to oppression and an inexcusable abomination. Reigns of terror are not properly understood if they are conceived exclusively as ephemeral states of crisis produced by adventurous events or as alien forms of control. Systems of terror usually defined as 'abnormal' by the conventions western social and political thought may be generated under certain conditions of stress by 'normal' political processes. Merari (1994) for instance, describes terrorism as the use of violence by sub-national groups or clandestine state agents for obtaining political (including social and religious) goals especially when the violence is intended to intimidate or otherwise affect the emotions, attitudes and behaviour of a target audience considerably larger than the actual victims.

Wilkinson (1974) holds that as a type of unconventional warfare, terrorism is designed to weaken or supplant existing political landscapes through capitulation, acquiescence or radicalization as opposed to subversion or direct military action.

Significantly, terrorism is a compulsive strategy of the relatively disadvantaged, the weak who seeks reversal of authority, an efficacious use of force to achieve a desired policy, a theatrical warfare whose drama involves the actors who actually carry out the violent act, the group against whom the violent act is targeted and the authority due to be influenced or compelled to act. Often times, those who are accused of being terrorists rarely identify themselves as such, instead, they use terms that represent their ideological or ethnic struggle such as: separatists, freedom fighters, guerrillas, Jihadi, revolutionaries. Historically, the concept 'terrorism' dates back to the first organized human interactions. At minimum, it could be traced back to the period when Jewish zealots used terrorism to resist the Romans by killing many Roman soldiers and destroying Roman property. It could also be traced to when Muslims used terrorism to fight each other (Shiites versus Sunni) and against the crusades. It was a period in the religious circle when dying in the service of God, dying while killing the assumed enemies of God (Allah) loomed large (Rapport 1984). The modern development of terrorism as a tool to achieve political and religious goals began during the French Revolution (1793-1794). During this period, Maximilien Robespierre of France introduced government sponsored terrorism in order to maintain power and suppress opposition to the government (Hoffman 1998). Similarly, during the Soviet Revolution in 1917, Lenin and Stalin, evolved government sponsored terrorism as a useful tool to maintain government control. These personalities systematically used the act of terrorism to intimidate and frighten the entire society. To them, both terror and fear were veritable instruments for governmental operations. In 1966, Cuba hosted the Tri-continental conference which was sponsored by the Soviet Union.

The conference marked the beginning of the internationalization of terrorism. Terrorist and liberation groups from Europe, Asia, Africa, the Middle East and Latin America began to work together and built alliances. The trend continued like that. In Germany, the Red Army Faction (German group) allied itself with Black September (Palestinian group); in France, Action Direct (French group) allied with the Red Army Faction and Red Army Brigade (Italian group); in Japan, the Japanese Red Army allied with the popular Front for the Liberation of Palestine (Padelford et al., 1976). Meanwhile, there is a wide spectrum of strategies of terrorist groups. No one type of group has a monopoly on any particular technique or strategy. Thus, different strategies can be employed by different, unrelated

groups of terrorist. Strategy in this context is the considered application of means to advance one's ends objectives. This depends largely on the circumstances and the terrorists intentions. Harmon (2000) identifies some of the terrorists strategies which include; strategy to create or further a sense of societal dislocation, fear and even anarchy; strategy to discredit, diminish, or destroy a particular government and replace it with another economic strategy which is intended to directly harm the property owners and perhaps to vitiate the economic policies and programmes of government particularly in the areas of sabotage of oil pipelines, bombings bank robberies and disrupting the export of manufactured goods and strategy for international effect. This finds explanation in some actions some governments embark upon to deter unnecessary foreign incursion or intervention in the business of the country.

Essentially, the strategy of terrorists is to commit acts of violence that draws the attention of the local populace, the government, and the world to their cause. They plan their attack to obtain the greater publicity, choosing targets that symbolize what they oppose. For example, in 1972 at the Munich Olympics, the Black September organization killed 11 Israelis. The Israelis were the immediate victims, but the true target was the estimated 1 billion people watching the televised event. The organization used the high visibility of the Olympics to publicise its views on the plight of the Palestinian refugees. Similarly, in October 1983, Middle Eastern terrorists bombed the marine Battalion Landing Team Headquarters at Beirut International Airport. Their immediate victims were the 24 military personnel who were killed and over 100 others who were wounded. Their true target was the American people and its congress. A modern trend in terrorism is toward loosely organized, self-financed, international networks of terrorists. Another trend is toward terrorism that is religiously or ideologically-motivated. Radical Islamic fundamentalist groups, or groups using religion as a pretext, pose terrorist threats of varying kinds to many nations' interests. A third trend is the apparent growth of cross-national links among different terrorist organizations which may involve combinations of military training or funding, technology transfer or political advice. In fact, looming over the entire issue of international terrorism is a trend toward proliferation of weapons of mass destruction (WMD). Indeed, Iran, seen as the most active state sponsor of terrorism, has been aggressively seeking a nuclear arms capability. Iraq is thought to be stockpiling chemical and biological agents, and to be rebuilding its nuclear weapons program. North Korea recently admitted to having a clandestine program for uranium enrichment. Also, indications have surfaced that the Al Qaeda organization attempted to acquire chemical, biological, radiological and nuclear weapons. Given all this, stakes



in the war against international terrorism are increasing and attempts to prevent terrorist attacks are diminishing correspondingly. It is pertinent to also examine some of the various dimensions of terrorism. Prominent among these include, state-bound; non-state terrorism and terrorism across national boundaries. By state-bound terrorism, is meant one being orchestrated and aided by states. This can be in various forms: intimidation, selective political assassination, abduction and kidnapping. Some striking illustration includes, the genocidal activities the Nazi regime carried out against the Jewish population between 1939 and 1945, and the stalinist purge of the peasant class of Kulaks in Ukraine that caused the death of millions of civilians. The non-state terrorism is often carried out by individuals or groups who feel it is no longer worth it to accomplish political objectives within the law, a law which to them represents the power of an immoral and/or illegitimate regime or government. These individuals are contemptuous of the society's political institutions and practices (Slann 1998).

Some of the factors responsible for the non-state terrorism are tied to relative deprivation: asymmetrical allocation or distribution of public resources, poverty, political frustration. It could also be due to religious intolerance or fanaticism (Adeniran 1996). Terrorism across national boundaries is one that has external connection. The act is mostly drawn on external factors. Whereas at the national (territorial) level the source of the violent act could be traced and some solutions sought (such as in cases of kidnapping, abduction), extra-territorial terrorism does not subject itself to such scrutiny and resolution. Hence, it is often difficult to identify the actual source of some terror across national boundaries, and some times, if identified, it becomes pretty cumbersome to cope with it without the collaboration of other actors within the international system.

### III. FOREIGN POLICY

Foreign policy expresses self-interest strategies chosen by the state to safeguard its national interests and to achieve its goals within international relations milieu. Thus, the approaches are strategically employed in order to interact with other countries. In international politics, nations are particularly interested in achieving two basic things – national interest and foreign policy. The former begets the latter. National interest emphasizes taking action on issues that would improve the political situation, the economic and social well-being, the health and culture of the people as well as their political survival. In other words, national interest is people-oriented policies that have the capacity to improve the lot of the people and make them stand among other nations. It must be policies that would

promote the greatest happiness of the greatest number of the citizens. For instance, a policy that leads to the creation of full employment in the country and at the same time advance the nation's march towards economic and political emancipation vis-à-vis other members of the international system (Ojo and Sesay 1988).

A country's foreign policy, also called the 'international relations policy' is a set of political and economic goals that seeks to outline how a country will interact with other countries of the world. Thus, foreign policies generally are designed to help protect a country's national interests, national security, ideological goals and economic prosperity. It consists of decisions and actions which involve to some appreciable extent, relations between one state and others. It is a set of explicit objectives with regard to world beyond the borders of a given social unit and a set of strategies and tactics designed to achieve those objectives. This implies the perception of a need to influence the behaviour of other states or international organization. The aim is to ensure that such states or international organization maintain the existing pattern of behaviour especially if the influencing state perceives such as contributing to the achievement of its own objectives, or to change the present pattern by initiating a new set of policies, or by altering or halting the implementation of existing ones (Frankel 1967; Legg and Morrison 1971). Snyder (1969) conceives foreign policy as the processes of state interaction at the government level, while Reynold (1980) views it as the external actions taken by decision-makers with the intention of achieving long-range goals and short-term objectives. To Modelski (1962) foreign policy is the system of activities evolved by communities for changing the behaviour of other states and for adjusting their own activities to the international environment. In essence, foreign policy suggests a stated set of attitudes towards the international environment, an implicit or explicit plan about a country's relationship with the outside world, a conscious image of what is or ought to be the country's place in the world, or some general guiding principles or attitudes determining or influencing decisions on specific issues. This, however, buttresses Adeniran's (1983) assertion that foreign policy consist of three elements: One is the overall orientation and policy intentions of a particular country toward another. The second is the objective that a country seeks to achieve in her relations or dealings with other countries and the third is the means for achieving that particular goal or objectives. These elements find expression in the interaction of nation-states within the international system. It suffices to say, therefore, that the foreign policy of any state must be seen to reflect some identifiable goals and can only be adjudged a success

or failure depending on the extent to which the set goals have been achieved or not achieved. For instance, one can say that Nigeria's foreign policy in Chad between 1979 and 1982 was a failure because it failed to achieve what it set out to do in Chad; to restore peace and order between the warring factions. It is in the interest of Nigeria to restore peace in the territory for the purposes of security, political stability and even economic well-being. The basic element underlying the foreign policy of all countries is the quest for security, which, depending on the strength and leadership of a given country, may range from the pursuit of status quo policies to blatant imperialism. In the word of Hartmann (1983) because a foreign policy consists of selected national interests presumably formulated into a logically consistent whole that is then implemented, any foreign policy can be viewed analytically in three phases: conception, content and implementation. Conception involves the strategic appraisal of what goals are desirable and feasible given the presumed nature of the international system. Content is the result and reflection of that appraisal. Implementation looks at both the coordinating mechanisms within a state and the means by which it conveys its views and wishes to other states. Though inefficiencies and failure can be very costly in any of these three phases, it is obvious that the most critical phase is conception (Winker and Bellows 1992). Beyond this, the setting in which foreign policy is made is pivotal. Unlike domestic policies, the targets of foreign policy decisions are not domestic but entities external to the state. In other words, the process of foreign policy decision making is influenced by factors that are not only internal to the state initiating particular policies, but also by pressures from sources that are external to it. Hence, two environments of foreign policy can be identified: the domestic influences on foreign policy include a country's geography, economy, demography, political structures, military, political parties, lobbies and interest groups and public opinion. To be clear, a country's location, topography, its terrain, climate, size, population and distribution of natural resources will not only affect the socio-economic development within the country, but will also determine the country's needs in relation to other states. One of the main critical determinants of Japan's foreign policy is its natural resources poverty. The country depends highly on external sources for its supply of energy and other strategic raw materials. Its topography does not even allow it to grow adequate food to feed its large population (Curtis et al., 2006). The external environment expresses the interests of other actors in the system which can come in varying dimensions such as multinational corporations and political terrorists. The idea behind the pressure is either to impact positively on the country's socio-economic and political project or to negatively affect such a country. It is not uncommon to

find participants in the process of foreign policy decision-making having different perceptions of the objectives of policy as well as if the realities of the environment. Differences in beliefs, values and wants of people create in their minds certain expectations and desires about information concerning their environment.

#### IV. HUMAN RIGHTS

It is argued that human rights are as old as the human species. This is perhaps because they are viewed as God-given, inalienable and fundamental. But the conception of human rights and respect for them is still novel to many countries. Despite the Enlightenment, modern capitalism's emphasis on individual property, rights and western democracy's emphasis on individual political rights, many sovereign states still abuse what the concept truly stand for. As Barash and Webel (2002) note: Nearly one half the world's people are denied democratic freedoms and participations; about one third face severe restrictions on their rights to own property; jails are filled with political prisoners, many of them held without trial and victimised by torture; women are often deprived of their economic social and political rights that men take for granted. Today, fundamental human rights represent the modernized version of the traditional natural rights which include, the right to happiness, the right to peace, the right to self determination and self expression. Human rights have been regarded as not only basic to the development of human personality, but also as an indispensable condition of the peaceful progress of the world and vitally essential for a stable international society. They act as great safeguards against the tyranny of the majority and a considerable protection of the minorities (Ray 2004; Omoregbe 1994). As a liberal democratic concept, fundamental human rights are peculiarly the symbol of fulfilment of the long, hard struggle against the forces of absolutism and authoritarianism which characterized the pre-democratic era in Europe in particular. For example, in the ancient Greek society of citizens and slaves, the modern conception of inalienable fundamental human freedoms for all persons living within the confines of society was unthinkable. Though the advent of Christianity improved matters considerably from the stand point of human life, it was not until the late 17<sup>th</sup> and the 18<sup>th</sup> centuries that the necessity for a set of written guarantees of human freedoms was seriously felt as the symbol of a new philosophy and new way of life that was unthinkable in the feudal, monarchical and absolutist society preceding it. The entire development from natural rights to human freedoms is epitomized in the Universal Declaration of Human Rights (UDHR) of 1948. The Declaration not only marked the internationalization of human rights, but initiated the process of recognizing the self-developing rights which comprise the freedom

of creation and innovation, and which call for social security, for education. The United Nations charter, adopted in 1945 made human rights a central purpose of that new organization. Here, governments pledged to take joint and separate actions to encourage a more just, humane world. A year later, the UN created its own commission on Human Rights and the commission drafted a body of human rights principles – the Universal Declaration of Human Rights, adopted by the UN General Assembly in 1948 (Posner 1994).

Human rights advocates such as Amnesty International and hundreds of national rights advocacy groups around the world rely on international human rights standards that set minimum requirements for governments. The core legal principles guiding these groups include, commitments not to torture their own people or foreigners, or subject them to slavery or political murder. Hitherto, there exists a worldwide movement aimed at exposing and combating official misconduct and alleviating people's suffering. The reason is that by exposing violations and challenging the violators, lives are being saved (Rourke 1996).

Interestingly, the United States is one of the countries that champion the cause of promoting Human rights in many countries particularly developing countries. Other nations involved in the business of promoting of human rights include, Canada, Great Britain, the Netherlands, Sweden, Australia. These countries include human rights as a component in their own foreign policies. But they often prefer to pursue these concerns on a multilateral rather a bilateral basis (Brilmayer 1994; Kennan 1995; Mead 1995; Falk 1995). In the Bill Clinton's address to the US in November 1995, he urged Americans to support the deployment of US troops to Bosnia on the grounds that it is in US interests to do so and because it is the right thing to do. He argued that it was in US national interest to intervene because problems that start beyond the US borders could quickly become problems within them. The humanitarian concern, Clinton further argued, was the quarter of a million men, women and children who have been shelled, shot and tortured to death (Rourke 1996). Buttressing this view, Jimmy Carter declared during a speech to mark the 30<sup>th</sup> anniversary of the Universal Declaration of Human Rights of 1948 thus: Americans should be proud that our nation stands for more than military might or political might, that our pursuit of human rights is part of a broad effort to use our great power and tremendous influence in the service of creating a better world in which human beings can live. Human rights is the soul of our foreign policy. In the same light, Cyrus Vance, U.S. Secretary of State (1977-1980) remarked that it is a dangerous illusion to believe that pursuing values such as human rights is incompatible with pursuing U.S. national interests

because U.S. can never be secure in a world where freedom is threatened everywhere else (Rourke 1996).

In all, the basic question is, is there any system of government that is averse to human rights, if democratic system of government approbates human rights, does the same apply to friendly non-democratic system such as Republic of China, Cuba, Libya which run a communist system of government or Saudi Arabia which is ruled by a feudal monarchy? What should a country do when the dictates of real politics devoid of moral principles point in one direction and human right concerns point in another? How can two friendly countries that share bilateral relations address the issue of human rights beyond and above socio-economic and political matters?

## V. A DIMENSION OF TERRORISM IN NIGERIA

There is no gain-saying the fact that terrorism or terrorist acts has increasingly become widespread criminal violence as different countries across the globe have their own unique way of perpetrating the act. While some countries take to bombing and hijacking of airlines, some device the use of air missiles and while some like Nigeria settle with hostage taking, abduction, kidnapping and bombings of multinational oil pipelines. Of all these on the part of Nigeria, kidnapping is the most devastating. The spate of kidnapping in the country in recent times has become a disturbing phenomenon. The menace which started largely as a means of drawing government's attention to the neglect of the communities in the oil-rich Niger Delta region has blossomed to a booming lucrative trade. Though the act began in the states that comprised the Niger Delta region, it has gradually crept into neighbouring states in the South-East geopolitical zones. Initially, only expatriates or foreigners working in oil firms and multinational companies in the country were the main targets, but presently, Nigerians, including children, toddlers, adults and the aged, and relations of influential individuals in the society become targets of the nefarious and nebulous act. Kidnapping simply means to seize and detain unlawfully, by force or fraud and to remove a person from his own comfortable place to an undisclosed discomfiting location against his will and wishes and usually for use as a hostage or to extraction ransom. Prior to the prevailing situation, kidnapping in Nigeria was rare and hardly in the same realm. It became rife in the latter part of 2005 and early 2006 when the Movement for the Emancipation of the Niger Delta (MEND), the so-called proponents of the resource-based restiveness in the Niger Delta region turned to kidnapping of foreign oil workers to draw attention to their political cause. That ploy subsequently

lost its political coloration as it translated to a ransom and money-making criminal scheme. Between 1991 and 2000, Nigeria was ranked ninth behind nations like Columbia, Mexico, Russia, Philippines and Venezuela in the number of annual kidnappings. In 2008, the rate of kidnapping in Nigeria was 353 and in 2009, it has risen to 512

([http://www.kwenu.com/publications/hankeso/2009/incessantkidnappings\\_beiruzatino\\_nigeria.htm](http://www.kwenu.com/publications/hankeso/2009/incessantkidnappings_beiruzatino_nigeria.htm)).

To be sure, in June 2005, six foreign workers linked to the Anglo-Dutch oil company (Shell) were kidnapped in the Niger Delta area; in February 2006, some foreign oil workers were abducted in the same zone; in March 2007, two Chinese workers were abducted at Nnewi, a commercial town in Anambra state; in May, 2007, some gunmen kidnapped four American oil workers from a barge off the Nigerian coast; in August 2007 in Port Harcourt, some gunmen kidnapped an American oil industry worker; in the same August 2007, six Russian workers from an aluminium plant were kidnapped

(<http://news.bbc.co.uk/2/hi/business>; <http://www.foxnews.com/story>; [http://www.ng.guardiannews.com/editorial\\_opinion/article02/indexn2.html](http://www.ng.guardiannews.com/editorial_opinion/article02/indexn2.html)).

The criminal act goes beyond concentrating on the expatriates as Nigerian citizens are also victims. For instance, on 10 July 2003, Dr. Chris Ngige, the then governor of Anambra State was abducted (TELL, July 21, 2003). Since then, a lot of Nigerians have either been abducted or kidnapped across the nation. Recently, the Ambassador of the Rebranding Nigerian project and popular Nollywood actor, Chief Pete Edochie was kidnapped in Onitsha on his way to his home town – Nteje. Woje Yayok – Secretary to the state government Kaduna was also abducted on 23 September, 2009. On November 17, 2008, an Anambra state legislator, Joseph Dimobi was kidnapped by a gang that asked for a ransom of N30 million. On 1, December, Dr. Francis Edemobi, a brother to Professor Dora Akunyili was abducted from his office in Enugu.

In Benin, Edo state, the former Chairman of the Nigerian Bar Association in the state, Solomon Odiase and the parents of the Chairman of the Ovia North Local government area of Edo State were kidnapped in September 2009 (The Punch, August 19, 2009; The Nation, August 17, 2009; The Nation, September 26, 2009). In July 2010, 13 containers carrying illegal arms were intercepted at the Apapa Wharf in Lagos. The shipping company claimed that it was an Iranian trader that owned the goods and that the company was informed that the containers were mere building materials as stipulated in the ships manifest. Beyond this, some Nigerians were of the view that the arms might have been imported by desperate politicians to molest and intimidate the electorate and their perceived political opponents during the 2011 elections (Ezeoke

2010). Again, on October 1st, 2010, there were bomb attacks around the Eagles Square. This occurred when a cream of Nigerian people and foreign dignitaries had gathered to mark the 50 years of the country's independence. Investigation showed that about 15 people died while several others were seriously injured in the incident. This happened in spite of the signal and warning by the United States and the United Kingdom intelligence of the impending bomb attacks. On the 25 December, 2009, a Nigerian boy, but studying abroad, Umar Farak Abdul Mutallab attempted to blow up a Detroit Michigan-bound aeroplane with 289 people on board.

## VI. THE EFFECTS OF THE TERRORIST ACTS ON THE NIGERIA'S FOREIGN POLICY

Since independence in 1960, Nigeria has had extensive diplomatic contacts with its fellow African countries and western nations and had worked through these both to safeguard its national interest and to achieve other international political interests. Based on its economic and demographic strength, Nigeria has always considered itself as one of the leading countries in Africa and its foreign policy has been geared to reflect this. Apart from belonging to many international organisations: United Nations and several of its special and related agencies such as, Organisation of Petroleum Exporting Countries (OPEC), States (ECOWAS), African Union (AU), it also has taken the lead in articulating the views of developing nations on the need for modification of the existing international economic order. At independence non-alignment was emphasised as one of the basic tenets of Nigeria's foreign policy. The rationale behind that position was basically to preserve Nigeria's choice and freedom of action as a sovereign state. It also utilized that opportunity to advance the goals of pan-Africanism, concern for black people, decolonisation (Ogwu, 1986). However the emergence of the terrorist acts that are hitherto burgeoning and becoming a recurrent decimal, has made the nation to lose all these respect and its relevance in the international community. Of course, no country will be disposed to establish a bilateral relation with a country that is widely acclaimed to be a terrorist nation. Instead of witnessing multinational corporations coming into Nigeria to boost the nation's economy, the country rather experiences the exodus of many companies and industries from the country to other countries as a result of insufficient security and uncontrollable terrorist and criminal acts. The continued violence against innocent citizens in Jos, Bauchi, and Maiduguri and other parts of the country, carried out with impunity on a daily basis is enough to scare foreigners from coming into the country to invest. The prevailing trend is also capable of stopping foreign election monitors from coming to observe the 2011



election. It suffices to note that since the escalation of abduction, kidnapping and bombing in Nigeria, the country has lost its 6<sup>th</sup> position in the league of oil exporting countries. The position has been taken over by Angola that now top the chart as Africa's largest exporter of crude oil. Prior to the precarious situation, Nigeria used to produce a total output of 2.4 million barrels per day. Industry sources now put the average total oil production output at 1.4 million barrels while Angola produces 1.9 million barrels daily. The terrorist acts in the country have succeeded in killing the hen that lays the golden eggs as the most affected oil companies were, Shell production development company, Chevron, the Nigerian Agip Oil and the state-owned Nigerian National Petroleum Corporation (NNPC). To buttress this, Shell's production has dipped by 85 percent from 1.150 million barrels per day in 2005 to the current production figure of about 145,000 barrels due to a series of attacks in its platforms both in the eastern operations in Rivers State and Western operations covering Bayelsa, Delta and Edo states. The same applies to Chevron whose production and loading facilities in the region especially in the coastal Delta state have been blown up resulting in production shut down (Sunday Punch, August 9, 2009). Prior to this, oil companies operating in the Niger Delta have lost about \$200,760,000 in 1993 as a result of protests and blockages. Shell in particular had lost N9.9 million in Ogoniland in 1993 when it was forced to stop operations by angry villagers (Obi 1992a). In fact, given the currency at which these activities (kidnapping, abduction and blowing up of pipelines) are going on in the country, Nigeria's chances of meeting its 6000 megawatts target of electricity production on which about \$2.6 billion had been committed will be slim. The essence of striving to generate at least 6000 megawatts of electricity by December 2009 was to attract more foreign investments to Nigeria which is part of foreign policy. This set of goals can only be achieved if the lives of the foreigners who are working with the power sector will not be threatened by the kidnappers and if the pipelines that supply gas for the use of electricity are not blown up. Suffice it to say, that the more the country lacks the capacity to guarantee steady flow of crude oil in the international market, the more critical stakeholders will become impatient with Nigeria and perhaps begins to look for an alternative oil nation that is with an enabling environment. Suffices to say that from an economic strand, terrorism can be said to have four major effects: One, the capital stock (human and physical) of a country is reduced minimally as a result of terrorist attacks. Two, the terrorist threat induces high levels of uncertainty. Three, it promotes increases in counter terrorism expenditures, drawing resources from productive sectors for use in security, and four, it is

known to affect negatively specific industry such as tourism. Increased investment in sustainable Tourism can boost the sector's contribution to economic growth, development and particularly Job creation while at the same time addressing major environmental challenges. In contrast, the spate of terrorist act in the Niger-Delta region and its neighbouring states is negatively affecting the socio-economic and cultural framework of the popular 'Obudu Range' tourist centre located at Calabar, Cross-Rivers State as many foreigners are scared from going there.

## VII. CONCLUSION

From the foregoing, it is obvious that terrorism in all its ramifications is a serious threat to any country's national interest and foreign policy. The question is, what can be done to address the problem? Having known the genesis and the immediate cause of the activities – issues of neglect, poverty, marginalization, underdevelopment, and youth unemployment in the Niger Delta region, government should brace up to its responsibilities by addressing the problems. Granted that both the past and present governments have done a lot to stimulate the developmental growth of Niger Delta such as the establishment of Oil Mineral Producing Authority Development Commission (OMPADEC) in 1992 and Niger Delta Development Commission (NNDC) in 1999, the present government of Yar'Adua should intensify action on the post-Amnesty programme as that may go a long way to demonstrate the sincerity of the government to quicken the development of Niger Delta region. However, it is interesting to note that the National Assembly on 17th February, 2011 past a bill on Anti-Terrorism. This suggest, therefore that any form of terrorist act carried out in Nigeria attracts a maximum of 20 years imprisonment. This is in line with what goes on in most advanced nations. Many advance democracies spell out clearly their policy on such crimes. The British government for instance, maintains an unambiguous policy on ransoms. The country's long-standing policy is not to make substantive concessions to hostage-takers or kidnappers. It believes that paying ransoms and releasing prisoners increases the risk of further hostage-taking or kidnapping. The Nigerian government's official policy is that it does not pay ransom to kidnappers, yet it is common knowledge that most foreign companies operating in Nigeria have paid ransom to free their personnel without any government sanction or intervention. This being the case, both the central and state governments of Nigeria should give critical attention to the increasing note of unemployment in the country. As many youths who are graduates have no jobs, the tendency is that they may try to lay hands

on certain things that may be unlawful, illegal, or criminal in order to survive. Similarly, there is need for the government to embark on any programme that could go a long way to reforming or transforming the agencies responsible for internal security. For example, the government should endeavour to have an upward review of the welfare package of the police force as well as its insurance policies. This can go a long way to ginger and boost their morale and make them appreciate whatever services they are rendering to the nation.

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# Challenges of Internal Democracy in Nigeria's Political Parties: The Bane of Intra-Party Conflicts in The Peoples Democratic Party of Nigeria

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**Abstract :** Preparatory to the 2011 general elections in Nigeria, there already exists public (mass) apathy and cynicism in town. The attitude however suggests that, as usual, the elections will not be credible, free and fair. The people have become atrophied by cynicism and mistrust of government and people in government. What may have informed this development is the abysmal collapse of internal democracy in Nigeria's political parties. It is in the light of this, the paper attempts to examine some of the basic challenges of internal democracy as it constitutes the main factor for the intra-party wrangling rocking the fabrics of the Peoples Democratic Party of Nigeria. In conclusion, the paper advances few means of tackling the menace so as to pave way for smooth and free-flow elections in 2011.

**Keywords:** *Political Parties, Internal Democracy, Social Capital and Political Will.*

**Classification:** *GJHSS-C Classification: FOR Code: 160703, 160807, 160607*



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# Challenges of Internal Democracy in Nigeria's Political Parties: The Bane of Intra-Party Conflicts in The Peoples Democratic Party of Nigeria

CHRIS C. OJUKWU <sup>α</sup>, TOPE OLAIFA <sup>Ω</sup>

**Abstract:** Preparatory to the 2011 general elections in Nigeria, there already exists public (mass) apathy and cynicism in town. The attitude however suggests that, as usual, the elections will not be credible, free and fair. The people have become atrophied by cynicism and mistrust of government and people in government. What may have informed this development is the abysmal collapse of internal democracy in Nigeria's political parties. It is in the light of this, the paper attempts to examine some of the basic challenges of internal democracy as it constitutes the main factor for the intra-party wrangling rocking the fabrics of the Peoples Democratic Party of Nigeria. In conclusion, the paper advances few means of tackling the menace so as to pave way for smooth and free-flow elections in 2011.

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## I. INTRODUCTION

We sought to restore the image of our party, because the image of our dear party, the largest political party in Africa, has been grossly eroded due to strife, imposition of candidates, god fatherism, money bag politics, injustice, and lack of understanding of our party manifesto. As the ruling party, if we get it right, Nigeria will get it right. (Nwodo, 2010).

*Internal democracy must succeed for PDP to grow. I get scared sometimes when I think of the fact that if we don't manage our party very well, some day we might be in opposition. (Metuh, 2010).*

In a few months from now, Nigeria will be going into another general election, making it the fourth general election conducted in the Nation's Fourth Republic. The last three elections were held in 1999, 2003 and 2007. These elections were not without severe criticisms both from local (National) and international communities because of their peculiar nature and character: rigging, destruction or disappearance of ballot boxes, doctoring of results, thuggery and

intimidation of the masses. These kinds of electoral frauds informed the public cynicism and apathy. Many Nigerians are sceptical of the credibility of the 2011 elections not only because their votes may not count at the end of the day but because they have lost interest in voting as those they had voted for before now disappointed them due to lack of performance and their rapid transformation from acute penury to stupendous wealth, all at the expense of the electorate. It is perhaps why the National Chairman of PDP submits that the party has been handed over to godfathers who, with 'reckless abandon', impose candidates with questionable character and no leadership qualities on the citizens. Such people elected under the platform of the party have consistently brought public odium on the party to the chagrin of PDP members and the nation at large (Nwodo, 2010). Their apathetic behaviour also finds expression in the Hobbessien nature of politicking in Nigeria—'War of all against all'. Interestingly, INEC is not oblivious of these concerns expressed by the public. While the excitement generated by the appointment of Professor Attahiru Jega as Chairman of INEC is making waves across the country, the question is, can he organise a truly free and fair polls similar to that of Professor Humphrey Nwosu in 1993 which was believed to be the best election Nigeria had ever had, or will he end up like his immediate predecessor, Professor Maurice Iwu who failed to serve the Nigerian citizens but the ruling political party which appointed him.

Candidly, political gimmicks are not abhorrent in so much as they are in consonance with the provisions of the Electoral Act. Harold Lasswell argues that politics is all about who gets what, when, and how an idea which expresses the need to plan and strategise in order to achieve one's political goals and objectives. Political competition among elites in a democratic setting is normal. Such is what Schumpeter describes as a 'democratic method,' that is, an institutional arrangement for arriving at political decisions in which individuals acquire power to decide by means of a competitive struggle for people's vote (Schumpeter 1942/1976)

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However, it has been observed in recent times that many political parties in Nigeria find it very difficult to adopt an open system that will not only allow members of the party to participate in the decision-making but also give them unrestricted opportunity to contest in elections under the party's platform. This kind of socio-political restriction and constraint has increasingly resulted in party wrangling, war of attrition, recrimination, acrimony, coordination dilemmas, and cross-carpeting in many Nigerian political parties. As Awosika captures it, such restricted politics is poisonous. It is politics of war not of peace, of acrimony and hatred and mudslinging not of love and brotherhood, of anarchy and discord, not of orderliness and concord, of divisions and disunity and not of cooperation, consensus and unity, not of integrity and patriotism; it is the politics of rascality, not maturity, of blackmail and near gangsterism, not of constructive and honest contribution. (Oyediran, 1999).

The problem as a matter of fact, hinges on lack of internal (intra-party) democracy in political parties. One of the parties in Nigeria where lack of internal democracy is highly visible, is the Peoples Democratic Party (PDP), the ruling and most dominant party in Nigeria. Thus, the paper sets out to achieve the following objectives: to trace the origin and evolution of PDP; to define internal democracy, its advantages and risks; and to show how lack of internal democracy is the problem of PDP.

## II. POLITICAL PARTIES: PEOPLES DEMOCRATIC PARTY

Political parties are fundamental to modern political processes. To this end their significance cannot be overemphasised. In other words, the political party is the major organising principle of modern politics (Heywood, 1997). It is a group of persons bound in policy and opinion in support of a general political cause which essentially is the pursuit, capture and retention for as long as democratically feasible, of government and its officials (Agbaje, 1999). To have a government in place in any society there is bound to be political parties that are to contest vigorously to form such a government. The understanding is that complex modern societies would be ungovernable in the absence of political parties. Parties help with the formation of governments to the extent that it is possible to talk of party government; it also gives governments a degree of stability and coherence especially if most of members of the government are drawn from a single party and therefore, united by common sympathies and attachment.

Omoruyi opines that a political party is 'a social group' characterised by a high degree of rational direction of behaviour towards ends that are objects of common acknowledgment and expectation. It is quite

different from other social groups such as Labour Unions and other associations because of the unique functions it performs for the system such as: organising for public opinion, communicating demands to the centre of governmental decision-making and political recruitment. In essence, political parties are institutional representations of the struggle for power between aggregations of the prevalent political interests in society. They provide a forum for active involvement in a country's political process as well as the articulation of demands by various interest groups in the society. Perhaps, it is the reason one should be able to know what happens between political parties and within members of a party, and how party functionaries and activists relate among themselves within their respective political party (Tyoden, 1994).

From the inception of Nigeria as a sovereign and independent nation, several manners of political parties have emerged. National Council of Nigerian Citizens (NCNC), Northern Peoples congress (NPC) and Action Group (AG) in the First Republic. The Nigerian Peoples Party (NPP), Great Nigerian Peoples Party (GNPP), United People of Nigeria (UPN), Peoples Redemption Party (PRP) in the Second Republic. National Republican Convention (NRC) and Social Democratic Party (SDP) in the Third Republic; and a lot more in the present Fourth Republic. Out of this lot in the present dispensation, the Peoples Democratic Party (PDP) stands out in the sense that for over one decade now, it has dominated the political landscape of the nation, Nigeria.

Peoples Democratic Party came into being on the 19th August, 1998. It was formed by a group called G.34 Committee headed by Dr. Alex Ekwueme, the Vice-President of Nigeria in the Second Republic. Drawing on Omo Omoruyi's study, PDP arose from three main sources. First were the politicians, who were denied registration by General Sanni Abacha during his self-succession project. They later metamorphosed to G.34 men, a Committee that petitioned against the self-succession project of Sanni Abacha. Second, were those politicians who were former followers of the National Party of Nigeria (NPN), and were not opposed to the self-succession of the Abacha and also not part of his machine. This group called itself the All Nigeria Congress (ANC) and was led by Chief Sunday Awoniyi. Third, were those who were the followers of the late General Shehu Musa Yar'Adua under Peoples Democratic Movement (PDM). Chief Tony Anenih and Alhaji Atiku Abubakar belonged to this group.

From the beginning of the Fourth Republic in May 1999, PDP has been the ruling political party. The party controls the National Assembly that is made up of the Senate and House of Representatives. Out of the 36 States in Nigeria, the party is in control of about 26 States. The political objective of the party include, to

seek political power for the purpose of protecting the territorial integrity of Nigeria and promoting the security, safety, welfare of all Nigerians; to promote and establish political stability in Nigeria and foster national unity and integration; to provide good governance that ensures probity and participatory democracy; to offer equal opportunities to hold the highest political, military, bureaucratic and judicial offices in the country to all citizens; and to provide the political environment that is conducive to economic growth and national development through private initiative and free enterprise (<http://pdpimostate.org/manifest.aspx>).

In terms of organisational structure, the party is divided into three major levels—National, State and Geo-political Zones. The National level is headed by the National Chairman of the Party. The office rotates, among the six geo-political zones of the country. The southeast is presently occupying the position, in the person of Chief Okwesilieze Nwodo. The State level is headed by any elected party member of the State and such an individual is addressed to as the Chairman of the State Party. The leader of the party in a geo-political zone of the party is addressed as Vice-Chairman. Other important organs of the Party are the 'Board of Trustee' (BOT), and the National Working Committee (NWC) and National Executive Committee (NEC). These organs oversee the smooth running of the Party, its policies, programmes and operations.

As Suberu (2004) notes, under a power sharing arrangement adopted since 1999 by the ruling Peoples Democratic Party (PDP), the six most important political positions in the federation have been shared among six geo-political zones (three each in the north and south) as follows: President of the Federal Republic (Southwest or Yoruba zone), Vice President (Hausa-Fulani/minority or northeast zone), Speaker of the House of Representatives (Northwest or Hausa-Fulani zone) and Deputy Speaker of the House of Representatives (South-South, Niger Delta, or Southern minority zone). The expectation was that at the end of the maximum two terms of the incumbent Yoruba President in 2007, the presidential slot would shift to another geo-political zone of the country, with consequential adjustments in the zonal allocation of the other key political positions. He argues that a major attraction of this kind of power sharing arrangement is its flexibility and informality which helps to prevent the kind of ethno-sectarian polarization and gridlock that tarnished more rigid or constitutionally entrenched power sharing arrangements in countries like Lebanon and the former Yugoslavia.

Since the party took over government in 1999, it has evolved so many policies that are yet to be implemented. Between 2000 and 2002, the Olusegun Obasanjo government came up with the reform and privatization policies. Though noble, because they were not properly implemented, the policies rather than

alleviating or ameliorating people's deplorable condition, aggravated the situation and deepened the rate of corruption in the system. As Ihonvbere (2004) points out, *'We are all agreed that things have not gone too well in the direction that we all would wish or want. In fact, this leadership has failed us very badly and followership has become trivialized, commoditized, contaminated and corrupted'*.

It was the same trend when Umaru Musa Yar'Adua took over in 2007. He came up with what he termed, the 7 point Agenda. Interestingly, not even one agenda was carried out prior to his death in May 2010. The point is that since the commencement of the PDP government in 1999, there has not been any comprehensive, coherent, systematic and sustained programme for reforming or transforming the country. The abysmal collapse of the agricultural, industrial, financial and commercial sectors of the economy, principally private sector driven, the nation's epileptic supply of electricity and terrible and death trap roads across the country lay credence to this. Some of the consequences of the neglect include: the high rate of kidnapping and abduction, intra-ethnic conflicts, political corruption and culture of primitive accumulation.

Essentially, the functioning and organisation of political parties occupy a very important place in the understanding of political process in any democracy. Their internal dynamics are often faced with one basic problem, the intractable nature of internal operations, that is, poverty of internal democracy.

### III. INTERNAL (INTRA-PARTY) DEMOCRACY

Political parties are one of the institutions that are carriers of democratic principles in any organised society. Thus, there are a number of 'institutional guarantees' that parties have to fulfil if they were to effectively meet what is expected of them in a democracy. One of such institutional requirements is internal (intra-party) democracy. As Magolowondo (n.d) points out, this very important institutional dimension is lacking in many political parties, particularly in emerging democracies. But the question is, *what is Internal Democracy?* Drawing on Susan Scarrow (2004) study on *'Political Parties and Democracy in theoretical and practical perspectives; Implementing intra-party democracy'*, internal democracy is a very broad term describing a wide range of methods for including party members in intra-party deliberation and decision-making. It is democracy within the party and the extent to which a party subscribes to and abides by the basic and universal democratic tenets.

As Tyoden (1994) argues, hardly is a political system adjudged democratic without the central placement of political parties in its political process. This

is because political parties are the major vehicles for the expression of an essential feature of the democratic process. In this case, however, inter and intra party relationships are vital because they determine the health and resilience of the party system and by extension the fate of democracy and the nature of the political system itself. In similar vein, Mersel (2006) asserts that various democracies in recent times have faced the problem of nondemocratic political parties, a situation where most parties only focus on external activities, neglecting internal planning and organisation. He argues that in determining whether a political party is nondemocratic, attention should be given to party's goals and practices. This is so because some parties often ignore essential elements such as their internal structures.

The idea is that parties must be democratic not only externally in their operations, but also internally in the organisational functions. The interplay between parties and democracies should reflect the parties' adherence not only to democratic goals and actions but also to internal democratic structures (Mersel, 2006). Internal democracy aims at developing more democratic, transparent and effective political parties. It identifies specific challenges in the internal management and functioning of parties and party systems. These include: candidate selection, leadership selection, policy making, membership relations, gender, minorities, youth and party funding. All these pose some critical questions. For instance, is internal democracy a selling point for parties or does it pose important dangers for parties with regard to internal cohesion? What are the effects of (more) internal democracy for the external position of the party towards voters, that is, does it make party membership more attractive?

Penning and Hazan (2001) contend that open candidate selection methods may in some instances actually increase the power of small elite, the political up-starts. It enhances a necessary viable democratic culture within the party as well as society at large. Again, internal democratic procedures may have positive effects on the representation of ideas of the electorate and may strengthen the organisation by attracting new members and creating space for fresh ideas. It can as well provide necessary vertical linkages between different deliberating spheres, and also a horizontal linkage between competing issues (Teorell, 1999).

Mimpen (n.d) examines two essential instrumental elements of internal democracy. The first involves organising free, fair and regular elections of internal positions, as well as candidates for representative bodies. The second entails equal and open participation of all members and member groups in such a way that interests are more or less equally represented. These two instruments are essential for creating an open and deliberative political party in which

creating an open and deliberative political party in which people can participate in elections equally but may also engage in participation or be represented in other ways.

#### IV. ESSENTIAL INGREDIENTS OF INTERNAL DEMOCRACY

Indeed, some variables are central to internal democracy. The first and major variable is equal participation of all members and groups in the democratic processes of the party. This emphasises the involvement of the rank-and-file in the party's policies, as well as representation at party activities and in party bodies. Democratic policy-making involves a participative process of policy development in debates, consultation meetings and other platforms, and it decentralizes the mandate of decision-making to the rank and file of political parties (Salih, 2006).

The second variable is inclusiveness. Democracy is all about inclusiveness. If there is no provision for people's inclusion in the party, there may be little participation since one begets the other. Inclusiveness stresses how wide the circle of party decision-makers is. Scarrow (2005) opines that in the most inclusive parties, all party members, or even all party supporters, are given the opportunity to decide on important issues, such as the choice of party leader or the selection of party candidates. Due to the fact that inclusiveness is a matter of process and formal rule, more inclusive parties will offer more opportunities for open deliberation prior to the decision stage. As it were, this particular variable (inclusiveness) is seriously and visibly lacking in the Peoples Democratic Party. For instance, it is the major challenge the Lagos PDP chapter is currently facing. It has not only led to the formation of so many competing groups and caucuses, but also escalated the rate of muscle-flexing among party chieftains. The concomitant effect is the inability of the party to win the governorship elections in Lagos since 1999. It is in view of this, Ogundimu (2010) argued that, for any party to brace up for governorship election, it must not go into the election as a divided house. Lagos PDP is still disunited and the first step to 2011 election is to foster unity, harmony and understanding in the fold. He further held that if PDP wants to make any impression during the election, the branch should field a consensus candidate, and not an aspirant leaning on any group locked in politics of bitterness with other competing groups.

The third variable is party institutionalisation. Institutionalisation demonstrates the degree to which internal decisions and procedures are formalized, and the extent to which the party has coordinated structures throughout its target constituency. It is believed that parties with high degree of intra party democracy are

generally highly institutionalized because they need rules that define who is eligible to participate and what constitutes victory in internal contests. Beyond all this, the assumption is that internal democracy in political parties thrives more in societies that strongly uphold democratic principles and ethos. The most widely accepted criteria for identifying a country as democratic have been put forward by Robert Dahl—civil and political rights, fair, competitive, and inclusive elections. Dahl calls countries that meet these criteria 'polyarchies', but they are more commonly referred to as 'liberal democracies' (Dahl, 1971; Schedler 1998). Nwankwo (1992) argues that democratization is a process of political renewal and the affirmative acceptance of the supremacy of popular will and consensual obligation over the logic of elitism and parochialism. It embraces both the shift in the disposition of individuals and classes towards the polity and the institutionalization of genuine representative political structures and organs of mass mobilization and conscientization.

Buttressing Nwankwo's view, Toyo (1994) points out that, the fundamental basis of democracy is the ideological thesis that human beings are equal. It implies acceptance of the basic equality of men as humans and the basic responsibility of all adult for their own destiny. Leadership and representation can be, but not a replacement or elimination of each person's responsibility to determine his own destiny. Hence, the equal rights of all social individuals to participate in taking socially significant decisions and in running those affairs of society that shapen the fortunes of its members. Nevertheless, both the internal democracy and democratization have their own challenges.

## V. CHALLENGES OF INTERNAL DEMOCRACY IN PEOPLES DEMOCRATIC PARTY

There is no doubt that internal democracy has some challenges. These include

- a) Poverty of Party Ideology
- b) Candidate selection
- c) Party funding
- d) Zoning formula
- e) Primaries and party unity
- f) Party executive arrogance

### a) *Poverty of Party Ideology*

Ideology is one ingredient that consolidates and stultifies any political party. It is like a superstructure upon which every other thing is built on. Party ideology precedes party structure, manifesto, organisation. By party ideology, it is meant a set or body of ideas, representations and beliefs common to a specific social

group. It consists of ethical interpretations and principles that set forth the purposes, organisations and boundaries of political life. Nnoli argues that ideology is a very crucial aspect of politics because it arises from the people's understanding, emotional identification with, and evaluation of reality. In other words, it guides, supports, retrains and rationalises political actions (Mbah, 2006). Political parties are formed by individuals that share the same political ideology, that hold a common vision and mission statement. Unfortunately, Nigeria, from inception as a sovereign state, has not been lucky to evolve political parties that have strong ideological foundation and this lapse has consistently constituted lack of internal democracy in parties.

The earliest political parties in Nigeria—the National Council of Nigerian Citizens (NCNC), the Northern Peoples Congress (NPC) and the Action Group (AG) were rather ethnic driven or characterised by the inter-play of primordial political loyalties and forces, hence bereft of viable political ideology on which the nation's political future could be anchored. As Nwankwo points out, this bankruptcy in ideology and vision has made party politics in Nigeria to be a bread and butter game where monetisation of the political process is the bedrock of loyalty and support. The NPC was a party with the philosophy of 'One North, One Destiny and One God' while the NCNC hung on to its universalistic pan-Nigeria vision and dreams until the carpet-crossing episode practically reduced it to a regional party. Today, almost the fifty three registered political parties are functioning without any 'identified' ideology. The question is, what is the ideology of the Peoples Democratic Party? Is the party progressive, conservative, leftist, rightist, reactionary, revolutionary? Until this is addressed, problem of internal democracy will persist in PDP and other political parties in Nigeria.

### b) *Candidate Selection*

The question is who selects the party members that desire to contest in an election? What are the laid down processes for selecting a candidate in a party? Is the selection based on their credentials and loyalties to the party or based on their deep pockets (power of the wallet) or popularity of their godfathers? As Scarrow (2005) notes, recruiting and selecting candidates is a crucial task for parties, because parties' profiles during elections and while in office, are largely determined by which candidates are chosen and where their loyalties lie. Whichever procedure is adopted, it is the responsibility of the party to decide who is eligible to contest or participate in the election. The assumption is that selection should be based on good standing of members. In other words, selection of candidates should be devoid of prejudice, class and ethnic chauvinism. This is a serious problem in PDP. Anyaoku (2010) argues that *"to ascribe undue influence,*





*especially self-serving influence to the parliamentary group of the party in the selection of candidates would seriously undermine the democratic process.*

A striking example was what happened in Anambra State chapter of the PDP where Professor Chukwuma Soludo was imposed on the chapter as the selected governorship candidate for the Anambra State by the National executive of the party. This was not only rejected by the State chapter, but it also triggered a spate of petition writing and prosecution which in effect brought about factions in the party and last minute cross-carpeting of some members to other parties. According to the Vice-Chairman of the southeast zone of the PDP, *"Internal party wrangling denied our great party the governorship seat in the February 6 governorship election in Anambra State. The Anambra election is a litmus test to the party and we will not tolerate such development in any of the remaining States in the southeast zone. We are going to put all the machinery in place to ensure that PDP wins the remaining States in the zone come 2011"* (Metuh, 2010).

#### c) Party Funding

What makes any political party solid is funding, that is, the amount of financial backing it enjoys from members. That is why most times founders of political parties are more interested in attracting members who have economic power than those who have the intellectual capital. This buttresses Marx's argument on the 'materialist conception of history', that it is the economy (economic power) that serves as the foundation upon which is erected the superstructure of culture, law and government. Similarly, C. Wright Mills, in his famous work, *'The Power Elite'* (1956), argues that political power resides in the controlling positions of powerful institutions. The means of exercising power in any institution or social groups are narrowly concentrated in a few hands. He puts it thus:

They rule the big corporations, they run the machinery of the State, Political Parties and claim its prerogatives. They direct the military establishment and occupy the strategic command posts of the social structure in which are now centred the effective means of the power and the wealth and celebrity which they enjoy... To be celebrated, to be wealthy, to be in power requires access to major institutions, for the institutional positions men occupy determines in large part their chances to have and to hold valued experience. (Mills 1956). As Griner and Zovatto (2005) advance, money and democracy have a complex relationship, especially since the affluent role of private money in politics can have many distorting effects such as, corruption, buying of votes and clientelism. When a party is well funded, it may be able to achieve a lot of things. But the financiers usually have some strings attached to it. International

IDEA (2006) expatiates this when it argued that the 'illiberal' nature of the legal framework that governs party activities in Nigeria is empowering those individuals within a party who, through political (including violent means or thuggery) or financial control, wield enormous power in how parties function. They ultimately determine who is nominated or elected within the party or to public office. In 2002, preparatory to the 2003 general elections, Peoples Democratic Party (PDP) campaign team organised a launching to boost the campaign. This attracted a wide range of technocrats, captains of industries, political elites and bureaucrats. In that event, over six billion naira was realised. While some of the donors are key political actors and members of the PDP, others are not, but well connected to the presidency and the party. The party at the end of the day usually compensate or reward such donors with contracts and political appointments. Drawing on Anambra State chapter of PDP, Chief Emeka Offor and Chris Uba, between 1999 and 2006 made the State ungovernable simply because they were one of the outstanding financiers of PDP. To be specific, between 1999 and 2003, Chief Emeka Offor not only tormented Dr. Chinwoke Mbadinuju, then governor of Anambra State but also dominated the running of the affairs of the State because he was his godfather and need to be rewarded. It was a similar case between 2003 and 2005 when Dr. Chris Ngige was the Governor of Anambra State. Chris Uba attempted to colonize the State on the ground that he single-handedly sponsored Ngige's candidacy. The climax of the ugly scenario was the abduction of the governor in July 2003 by a group of hired police team. Interestingly, the ruling party—PDP did not bother either to carry out any investigation or any disciplinary actions, instead, the Governor was abashed, taunted and made to leave the party with ignominy. This, it may not be out of place to infer that Peoples Democratic Party has been perhaps, inadvertently hijacked by political machines, kleptocrats and plutocrats. A political machine is a 'disciplined' small political group endowed with affluence and financial power to carry out some political wheeling and dealing like sponsoring political party campaigns but with the hope of receiving rewards at the end of the day. This group of people relies on hierarchy, patronage, the spoils system and 'behind the scenes' control of the party. The group is corrupt and undemocratic though somehow organised and responsive. Political machine dates back to late 19th Century and early 20th Century in the United States where it existed in some municipalities and States such as, Boston, Chicago and New York City (Gosnell 1933; 1968; Clifford, 1975).

Kleptocrats and plutocrats on the other hand, are those individuals (scattered all over political parties) that steal from the State coffers and practice extortion as

their *modus operandi*. They do not only appropriate State wealth and the benefits that accrue but also use their elected and appointed offices in the government to enrich themselves and their cronies. These are the likes of James Ibori of Delta State, Joshua Dariye of Plateau State, Orji Uzor Kalu of Abia State, Chimaroke Nnamani of Enugu State, Lucky Igbinedion of Edo State and Alamesighe of Bayelsa State. These former Governors of PDP milked their States to the level of impoverishment. Most of them are still walking along the streets of their States with air of impunity.

#### d) *Zoning Formula*

The issue of zoning the office of the presidency in PDP has increasingly bifurcated members of the party particularly between the North and South. While some members of the party from the North argue that it is still the turn of the region or geo-political zone to produce the president of the country under the PDP platform, other members from the same North and virtually all members from the South hold that the demise of the former President—Umaru Musa Yar'Adua marked the end of the zoning formula. Some also claim that the issue of zoning was never discussed in any PDP fora, hence the party should support any PDP credible candidate from any part of the geopolitical zones.

The worry is not only that the issue has succeeded in heating up the polity and fanned embers of ethnicity but also portrayed some lacunas in the party's internal democracy, which has generated a lot of internal wrangling, acrimony, bickering, recrimination, schism, cut-throat competition between the supporters of zoning formula and those of 'open candidacy'. The likely negative effect of this development may be the inability to produce a consensus candidate for the presidency by the party. If this becomes the case, then, the party at the end of the day may not produce the next Nigerian president since many other political parties, particularly the opposition parties may likely have credible personalities to sponsor.

#### e) *Conducting Primaries*

Conducting primary elections, no doubt is one of the means of testing the tenacity and authenticity of any party's internal democracy. It is the first litmus test for political parties. Mimper opines that primaries are only effective in contributing to internal party democracy and maintaining party's stability if some conditions are upheld. Some of these conditions include, having a basic party structure, some cohesiveness within the party, and the ability of rank and file members to participate in elections. It has been proven from many studies that some primaries conducted in some political parties are sheer promotional agenda as they do not contribute positively to empowerment of the rank and

file in those parties. The point is, if primaries are reduced to mere 'de-jure' or 'de-facto' process open only to the same old rich and powerful elite that mainly take care of their own or if members are not well informed about the choices they face, then, such intra-party democracy can be questioned.

Perhaps, the drama that was displayed by PDP in December 16, 2006 at the Eagle's Square, Abuja during the presidential primaries is still fresh in memories. Studies reveal that days prior to the primaries, it was obvious to many perceptive minds that Umaru Musa Yar'Adua, the then Governor of Katsina State and late entrant for the presidential race for the party would emerge winner. This was not unconnected with the alleged 'behind-the-scene' deals that played out before the primaries. The development perhaps, made aspirants like Peter Odili, Donald Duke, Sam Egwu to suddenly withdraw from the race and perhaps forced to support Yar'Adua's candidacy. Anyhow, the party submitted that it only adopted 'consensus' approach at the eleventh hour. But consensus exists only when people agree on something and they are more likely to agree when they share the same facts, assumptions, raw materials, methods, conclusions and rules for arriving at those conclusions or inferences (Adeyemo, 2006).

Be that as it may, recently, the President of the Federal Republic of Nigeria, Goodluck Jonathan, sent a bill to the National Assembly for the amendment of the 2010 Electoral Act. He was demanding for an amendment of Section 87(8) of the Electoral Act to allow political parties to have a freehand to include political appointees of the President and the Governors as delegates at party conventions or primaries. Studies reveal that there were fears that the section in question may deny the President and the Governors a significant number of cheap votes from their political appointees. This suggests that some politicians are using their advantaged positions in government to pervert democratic practice, particularly the autonomy of political parties to determine their own political framework. Interestingly, the upper chamber, at the end of the day, rejected the bill on the ground that it was laden with 'toxic provisions' (The Punch Editorial, 2010).

#### f) *Party Executive Arrogance*

There is no gain saying that the fact the problems of internal democracy in PDP took roots in party executives since 1999. This affirms the common saying that when the head of the fish is bad, the entire body becomes bad as well. The assumption is that some PDP executives, especially at the National level, feel that they have the latitude to turn things around as they wish in the party. That was why between 1999 and 2007, the then President of Nigeria, Olusegun

Obasanjo, took total control of the running of the affairs of the National Assembly. Within that dispensation there emerged five presidents of the Senate: Evans Enwerem, Chuba Okadigbo, Pius Anyim Pius, Adolphus Wabara and Ken Nnamani. He also fell out with some key actors and players of the party who were not ready to compromise and tolerate his whims and caprices. Some of these personalities were, Chief Audu Ogbah, Atiku Abubakar, Orji Uzor Kalu, Ghali Naaba, Ibikunle Amosun, Chief Tony Anineh, Aruthur Nzeribe and Uche Chukwumereije. The inability of the party to manage the crisis and conflicts (which was a result of party executive arrogance) led to decamping of many of the founding fathers and respected chieftains of the party to other political parties. The same problem of executive arrogance prevails in the States occupied by the PDP; a setting where the State Governors solely dictates what goes on at the State level. As Metuh (2010) points out,

*"One thing I have noticed in States where there are crisis, is that the governors don't want to let go their grips on the party structures and other stalwarts insist that there must be separation of party from government. The governors fund the party but I don't subscribe to it that the governors should run the party. The party should be the conscience of the people, the party should be able to control the governor and say, you haven't done enough roads, you haven't done this and that. But it isn't happening especially where the legislature isn't acting as checks and balances on the Executive abuse of power. It is only the party that can do that, but the party isn't doing that."*

Perhaps, that is why Ogun State House of Assembly is presently comatose if not at the level of abysmal collapse. In an attempt by the Governor to have an upper hand in the State Assembly affairs, the Assembly was factionalised into two groups—G.9 and G.15, while G.9 is in support of the governor, G.15 is against his method of administration. Suffice it to say that the firm grip of governors on party structures occasioned the move by the National Assembly to amend the Electoral Act 2010. The amendment is to pave the way for legislators to become automatic members of the National Executive Committees (NECs) of their parties. One of the legislators puts it thus:

*"We are aware of fears being raised by some Nigerians and the opposition but the truth is that our democracy will be endangered if we do not expand the NEC of parties. We are actually on a mission to save Nigeria's democracy. Most governors have hijacked the party structures at the ward, local government, state and zonal levels. They also call the shots at NEC meetings, especially in the Peoples Democratic Party, where the bidding prevails. We want NEC of our parties to become a robust platform (not mere rubberstamping) with*

*alternative views. That is why we are bringing more members on board. A clique cannot be taking decisions on behalf of the majority"* (Alli, 2010).

## VI. CONCLUSION: THE WAY FORWARD

The paper essentially examines some of the hindrances of internal democracy in Nigeria's political parties especially in the Peoples Democratic Party. These include, non-observance of the code of conduct document which all the political parties assented to and endorsed to guide their conduit and performance particularly during elections, the non-transparent system of choosing candidates in primary elections as well as in party leadership executive positions, and the executive arrogance within the parties which have not only torn many parties apart but also occasioned the decampment of many party stalwarts. To check some of these undemocratic attitudes and behaviour in Nigeria's political parties, the paper adopts some recommendations made by International Organisation for Sustainable Development (OSD) which are contained in a communiqué issued at the end of a national workshop on Enhancing Internal Democracy of political parties; and that of National dialogues focus on political parties in Nigeria, Mali and India organised by International IDEA in January and February 2006 in Nigeria and India. They include, regular convening of their national executive meetings, elective and non-elective conventions as stipulated in their constitutions, observance of party financial guidelines, internal dispute resolution mechanisms, transparency in party financial administration, and conclusive party primaries; reforming of the legislative framework governing party registration and functioning; measures to limit the role of 'godfathers' and barons in party politics; reform of political financing, that is, the introduction of measures to strengthen parties to raise their own funds, and also enhance their capacity to be more accountable and transparent in matters of party and campaign financing. In addition to these, there is need to infuse the social capital culture into Nigeria's political system. Any institution or organisation that lacks social capital may find it difficult to function maximally. Social capital is a mechanism for social harmony and peace building. The phenomenon refers to those stocks of social trust, norms and networks that people can draw upon to solve common problems. It also represents the degree of social cohesion in communities and associational life. Key elements of social capital include, social trust, mutual understanding, tolerance, cooperation, reciprocity and other networks of civic engagement that facilitate coordination and communication through which information about trustworthiness of other individuals and groups can flow, and be tested and verified (Putnam 1993, 1995; Fukuyama, 1995). Social

capital describes the relations that knit together communities, parties through a sharing of trust. It emphasises that for an institution such as political party to be orderly and prosperous, these basic norms must be embedded in the system. Fukuyama describes such norms as an 'instantiated informal' norms that promote cooperation between two or more individuals, that is, the connections that people develop with relatives, friends, co-workers which can produce private and public goods. The political function of social capital in a modern democracy was explicated by Alexis de Tocqueville in '*Democracy in America*'; who used the phrase the '*art of association*' to describe American's propensity for civic association. The concept is applied to wipe away most forms of social class or inherited status that bind people together in aristocratic societies. Robert Putnam used social capital to unite the Southern Italy in the 1970s and today, it is being adopted in American system to help in lowering the rate of individualism in that society. The point is that if PDP is really a group of people bounded in policy and opinion in support of a general political cause, that is, if it is true that the party represents and reflects people sharing the same political interest, value and ideological orientation, then, social capital should be able to address the problem of internal democracy in the party. With the infusion of social capital in the party, the rate of distrust and cut-throat competition may reduce among party members. The potency of Alternative Dispute Resolution (ADR) mechanisms should be widely explored and exploited by these political parties. They should embrace the third-party professional intervention which would provide them with credible, win/win outcomes and ensure that conflict is properly resolved.

Another means of tackling the problem is for the electoral umpire, the Independent National Electoral Commission (INEC) Chairman, to have the 'political will' to operate constitutionally. Political will in this context, refers to the demonstrated credible intent of political actors (elected or appointed leaders, administrators, stakeholders groups) to address or check perceived causes or effects of any abnormality at a systemic level. The term expresses the desire, commitment and dogged determination of political actors and institutional leaders to introduce as well as embark on reforms that will bring about significant and persistent changes in the society. That is, it is a pure expression of moral principles motivated by a genuine concern for the well being of all citizens. What this however, requires of the Chairman of the Electoral body is simply: honesty, integrity, discipline and high level of impartiality and neutrality.

The Chairman of INEC must stick to the legal framework of election in Nigeria, that is, attaching much importance to the Constitution of Federal Republic of Nigeria and the Electoral Act of 2010 since it is critical

starting point for conducting credible, sustainable and effective elections in Nigeria. Without it, government pronouncements to conduct credible, free and fair election in 2011 will remain mere rhetoric. The party needs to revert to the fundamental principle of democracy that upholds the equality of man. The right of every member must be respected and preserved. Consensus candidature and candidate selection must be played down in their elections at all levels. Whosoever emerges as the elected candidate must be given institutional backing rather than substituting him for a candidate of selective approval. There must be a definitive respect for the will of the majority for intra-party conflicts to reduce and free and fair 2011 elections to be guaranteed.

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**Keywords:** *facial composite, witness, victim, EvoFIT, recognition, memory, interface, crime.*

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# Catching more offenders with EvoFIT Facial Composites: Lab Research and Police Field Trials

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**Abstract** - Often, the only evidence of an offender's identity comes from the memory of an eyewitness. For over 12 years, we have been developing software called EvoFIT to help eyewitnesses recover their memories of offenders' faces, to assist police investigations. EvoFIT requires eyewitnesses to repeatedly select from arrays of faces, with 'breeding', to 'evolve' a face. Recently, police forces have been formally evaluating EvoFIT in criminal cases. The current paper describes four such police audits. It is reported that EvoFIT composites directly led to an arrest in 25.4% of cases overall; the arrest rate was 38.5% for forces that used a newer, less detailed face-recall interview. These results are similar to those found in the laboratory using simulated procedures. Here, we also evaluate the impact of interviewing techniques and outline further work that has improved system performance.

**Keywords**- facial composite, witness, victim, EvoFIT, recognition, memory, interface, crime.

## 1. INTRODUCTION

Witnesses and victims may be asked to construct a picture of a person they have seen committing a crime. This picture is known as a facial composite, and can help the police identify the offender.

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Various techniques are available to produce composite images. Traditionally, eyewitnesses described the face in detail and then built the composite by selecting individual facial features: hair, eyes, nose, mouth, etc. However, we do not perceive faces in such a piecemeal fashion, but instead process it more as a complete entity (Tanaka & Farah, 1993). For this reason, face construction using a 'feature' approach often results in poor quality images (e.g. Brace, Pike, Allen & Kemp, 2006; Bruce, Ness, Hancock, Newman & Rarity, 2002; Davies, van der Willik & Morrison, 2000; Frowd et al., 2005b), especially when carried out several days or longer after the face is originally seen (e.g. Frowd, Hancock & Carson, 2004; Frowd, McQuiston-Surrett, Kirkland, & Hancock, 2005; Frowd et al., 2005a); such delays are typical in eyewitness composite construction. More recent 'holistic' approaches (Frowd et al., 2004; Gibson, Solomon & Pallares-Bejarano, 2003; Tredoux, Nunez, Oxtoby & Prag, 2006) have attempted to overcome the feature issue by encouraging witnesses to focus on the face as a whole. In essence, users repeatedly select complete faces from screens of alternatives, with cycles of 'breeding' in between, to allow a composite to be 'evolved'. This method may be particularly useful when the witness has seen an offender's face, but cannot describe it in detail: under such circumstances, traditional methods are not effective, since these require good descriptions for locating accurate subsets of features to be shown to the witness. In contrast, 'holistic' systems only require fairly general information: age, gender and race; holistic methods therefore have the potential to facilitate construction even in the absence of detailed feature descriptions.

The focus of the current paper is on one of these methods, EvoFIT. This system has been the focus of considerable research and development in the laboratory (e.g. Frowd et al., 2007a, 2008b). For the last three years, EvoFIT has also been the subject of formal police field trials. These have explored the effectiveness of the system when used with actual witnesses and victims of crime. The results of three such evaluations

were presented as a conference paper in Frowd et al. (2010a); what follows is a revised version of this work that includes an evaluation by a fourth police force, a discussion on the use of interviewing techniques and police practice for face construction, and an overview of more recent developments.

#### a) *Background to EvoFIT*

The EvoFIT system has been comprehensively described in several published papers (Frowd et al., 2004, 2007a, 2010b)—for brevity, only an overview will be given here. EvoFIT was conceived in the 1990s by Peter Hancock (2000). He developed a computer program that presented arrays of whole faces. The faces were produced using a statistical technique called Principal Components Analysis (PCA) that captured variations in feature shape and greyscale colouring (or texture), and enabled further faces to be synthesized, initially with random characteristics. Users provided a goodness-of-fit rating for each face and a Genetic Algorithm (GA) combined their preferences (using proportional-fitness selection) to produce more items for selection. After a few iterations, faces in the set progressively resemble each other and the target face. The best likeness produced was saved as the composite. Peter's prototype was developed into a full system as part of the first author's Ph.D. work (Frowd et al., 2004). This led to development of a PCA model that generated white male faces between 18 and 35 years of age. Users would choose a hairstyle and then select from screens of complete faces. However, they found this procedure difficult, as some faces tended to be accurate by shapes of features, while others were more accurate by feature colouring and skin tone. These two aspects of faces are sometimes referred to as *shape* and *texture* (respectively). The solution was to present screens of shape for selection followed by screens of texture. Users then identified the most accurate likeness, a 'best' face, that was given twice the number of breeding opportunities in the GA and was also carried forward intact to the next generation as part of an 'elitist' strategy (to avoid 'damage' occurring to the face by genetic recombination and mutation operators). At this stage, EvoFIT was used in a police investigation in the Northants area. See Fig. 1 and Frowd, Bruce, Storås, Spick and Hancock (2006c) for details. The person responsible was later identified using 'familial' (family) DNA matching, and convicted. Early versions of EvoFIT did not reliably converge on an identifiable likeness in the laboratory (Frowd et al., 2004). This was in spite of adhering to UK working practices that aim to give optimal results, including use of a cognitive interview (CI) to help witnesses recall details of the face before starting face construction. A breakthrough emerged when selection of the 'best' face was refined: after users had selected shapes and textures, these were shown

together in combination (each possible facial shape shown with each possible facial texture) for identifying the best likeness.



*Fig. 1. The EvoFIT (left) and person (right) convicted in the 'Beast of Bozeat' case. Shortly after the crime, the perpetrator is believed to have changed his hairstyle in an attempt to conceal identity, as illustrated here.*

An evaluation of this version of the software was carried out. Fifty laboratory-witnesses saw a photograph of a footballer whose face was unfamiliar to them, and two days later described the face (using a CI) and constructed a composite with EvoFIT or a traditional feature system. The resulting images were then given to football fans to name. Among witnesses who attempted to remember the face in detail, EvoFITs were correctly named at 11% and feature composites at 4% (Frowd et al., 2007b). In subsequent research (Frowd, Bruce, Plenderleith & Hancock, 2006b), we asked the same person to use the system more than once to construct a likeness of the same target face. There was good consistency of results, as Fig. 2 illustrates. When used in this way, the faces the user sees at the start change for each attempt—they are different random faces—and so the search process is also somewhat different each time, as is the resulting image.



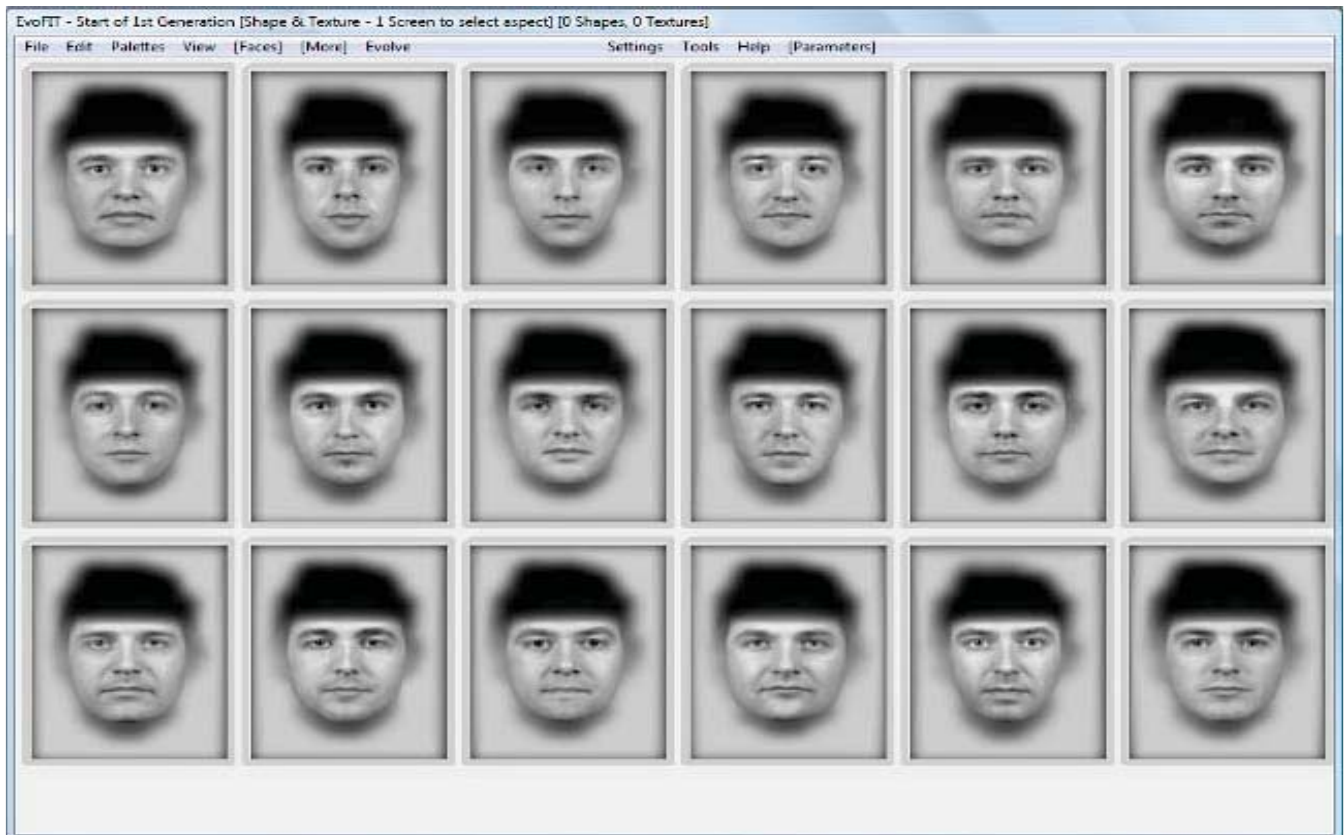
*Fig. 2. EvoFIT Images produced of TV presenter, Anthony (Ant) McPartlin. The same person used the system twice to evolve a composite of his face from memory, producing a consistent likeness.*

Funding was sought from UK Government to further improve the software. We first sought to limit age expressivity, since sometimes faces were evolved that



portrayed age inaccurately. This work developed four databases of white male faces, segregated by age, to enable composite construction for offenders aged 17 years of age and older. Each of the databases was built

using PCA as before, and in greyscale, as research suggests that face construction does not benefit from the use of colour images (Frowd et al, 2006b).



*Fig. 3. Witnesses select from screens such as this. The external parts of the face are blurred to help witnesses concentrate on the central facial region.*

Following development of these age-constrained databases, users still sometimes evolved faces with inaccurate ages, though to a lesser extent than before. We sought to overcome the problem by providing a sliding scale for adjusting composites' perceived age, and extended this facility to allow adjustment of other whole-face properties. These so-called *holistic tools* included face weight, masculinity, threatening, attractiveness, honesty and extroversion. See Fig. 4 for examples, and Frowd, Bruce, McIntyre, Ross and Hancock (2006a) for a description of how the scales were designed. Further scales were developed to add stubble, eye-bags and deep-set eyes, and to alter the greyscale levels of brows, irises, mouth creases, etc. These holistic tools are used at the end of evolving, after external feature blurring is turned off.



*Fig. 4. An example of the ageing (top row) and pleasantness (bottom row) holistic scales. Manipulations increase in magnitude from left-to-right and are illustrated on an EvoFIT of TV celebrity, Simon Cowell.*

Example celebrity EvoFITs constructed from memory using this version of EvoFIT are illustrated in Fig. 5.



*Fig. 5. EvoFITs made from memory. From left to right (top row), they are of footballer, David Beckham; actor, David Tennant; former US president, George W. Bush; singer, Noel Gallagher; and (bottom row) footballer, John Terry; singer, UK politician, Gordon Brown; singer, Robbie Williams; and UK politician, Nick Clegg.*

In an evaluation of this version of EvoFIT, in a similar design to Frowd et al. (2007b) that used unfamiliar target faces after a two-day delay, EvoFITs were correctly named at 24.5%, while those constructed from a feature system were named at 4.2% (Frowd et al., 2010b). Both external-features blurring and holistic scales were shown to be effective in improving composite naming. More recent research using similar face construction procedures has shown comparable levels of correct naming from EvoFIT: 24.1% (Frowd et al., Submitted-a) and 22.7% (Frowd et al., Submitted-b).

#### *b) Enhancing performance further*

There have been other attempts to improve the effectiveness of EvoFIT (Frowd et al., 2006b, 2007a, 2007c, 2008b). One of these involves changing the mode of presentation when publishing an image in the media. This is based on the idea that composites tend to appear quite similar to each other and that this lack of distinctiveness can make recognition difficult for members of the public, etc. Exaggerating facial distinctiveness may therefore help to overcome this problem. In a series of experiments, described in full in Frowd et al. (2007c), composite naming improved considerably when participants observed a composite while it was first progressively caricatured, by exaggerating the shape information in the face, then de-emphasized, by rendering this information more average. An example of the animation procedure can be found online by visiting <http://www.uclan.ac.uk/animatedcomposite>.

Correct naming using this technique was found to increase by more than 40% overall, and the benefits

of caricature animation were shown to extend to sketch-based images and composites from feature systems, as well as composites from EvoFIT. Animated caricatures delivered the greatest benefit for poorly-named composites, which should allow this technique to be beneficial to traditional composites produced in criminal investigations. However, even good-quality images were recognised somewhat better using this technique. For the version of EvoFIT that was used in the following field trials, correct naming of its composites should increase from 24%, as mentioned above, to around 42% when viewed with caricature animation.

## II. FIELD TRIALS

As can be seen from the above summary, considerable time has been spent developing EvoFIT in the laboratory, to ensure as far as possible that it operates effectively using police procedures: specifically, that it can produce a recognizable image from a person's memory of an unfamiliar face seen several days previously. Having taken about ten years to achieved this objective, we initiated formal field trials with the police. There are clearly aspects of system use that can be only tested in the field—for example, the effects of stress on composite production, such as those experienced by victims of stranger rape, cannot be properly established in a laboratory setting.

#### *a) Measures of success*

Measuring system performance in the field is not without its own difficulties; often these are the very issues that laboratory studies attempt to minimize. In the lab, users can see a target face for a fixed amount of time, under good lighting conditions and without distraction; these helpers can also be asked to construct a composite after a consistent interval of time. When a composite has been made, other people who are familiar with the target's identity can be asked to evaluate the quality of the face, by attempting to name it. All of these variables (and others, e.g. Frowd et al., 2007b) can affect whether a composite is recognised.

In police work, when a composite is published in the media, it is normally accompanied by other information that can help to trigger the correct identity: a description of the person (e.g. age, build and height), the modus operandi (e.g. assault, murder and deception), crime location, etc. In the lab, this information is generally not provided. In contrast, the more people who see a given composite, or 'wanted' poster, the higher the likelihood of correct identification; real-world composites may not be recognized if their circulation (police officers, members of the public, newspapers, TV) is poor.

To complicate matters even further, there are different definitions of 'success'. In the laboratory, success can be taken as the number of times a composite is correctly named. For example, if 20 people are shown a

composite and 6 of these observers correctly name it, this provides a correct naming level of 6/20, or 30%. Laboratory research can also consider the number of incorrect names given (e.g. Frowd et al., 2010b). Beyond the laboratory, a composite is valuable if it assists in some way in locating the perpetrator of a crime. This can generally be measured by: (1) the composite being named, (2) an arrest or (3) a successful conviction. In the UK, to limit wrongful conviction, convictions are not based on eyewitness evidence alone, since eyewitness identification and testimony can be inaccurate (e.g. Rattner, 1988). Evaluations based on composites that have triggered an arrest and which then lead to successful conviction would be the ideal measure. However, convictions can take considerable time to secure, thus making field evaluations rather lengthy. A sensible compromise, and an approach supported by Senior Investigating Officers (SIOs), is to base evaluations on (1) or (2). These two measures make good sense as they are what a SIO requires: a suspect on whom to focus enquiries. In the current work, the various EvoFITs constructed were audited within a census date of about a month of forces completing their trial.

#### *b) Interviewing for producing composites*

Witnesses and victims who construct composites are first given a cognitive interview to help them recover the memory of an offender's face. This interview is based on considerable work carried out by Ron Geiselman and his colleagues in the US (for a review, see Wells, Memon & Penrod, 2007). It is based on a number of cognitive techniques, *mnemonics*, adapted for obtaining accurate descriptions of faces (e.g. Frowd et al, 2005b). We have also developed the cognitive interview, specifically the face-recall interview used as part of composite construction (e.g. Frowd et al., 2008a, Submitted-a). The following paragraph provides an overview of how cognitive interviewing is typically used in police work; we outline our own developments later in this report.

The face-recall interview varies somewhat from operator to operator, but generally begins as a fairly informal conversation between witness and operator, with the aim of relaxing the witness and facilitating recall. Following this, witnesses are encouraged to think about the crime scene, their internal state (i.e., what they were thinking and feeling at the time, although this part is normally omitted for particularly traumatic offences such as rape), and some general characteristics of the offender (e.g. build, height, clothing)—a mnemonic technique known as *reinstatement of context*. Next, they are asked to describe the offender's face in their own time and in as much detail as possible, but without guessing. Police operators record this *free recall* and do not interrupt while it is taking place—except to ask a

witness to slow down, if he or she is speaking too quickly for written notes to be made. Following this, operators may read back the given description for each feature and then pause, to request for further recall. This technique known as *cued recall*. For example, a witness might be reminded that they previously described the offender's eyes as 'small and light in colour'; when prompted, they might now also recall that the offender's eye shape was 'oval' and there were 'bags' under them. When the interview is complete, the session moves on to composite construction. During the field trials described here, instructions in cognitive interviewing for use with EvoFIT were provided as required.

#### *c) Lancashire police trial*

Prior to our involvement with them, Lancashire police force had used one of the UK's feature systems in twenty or so investigations, but had not found its composites helpful. The first formal evaluation of EvoFIT was carried out within this force, running from autumn 2007 to spring 2008. The project was assisted by funding from Crime Solutions, UCLan, UK. We used a version of EvoFIT containing the white-male database for constructing faces of offenders aged 17 years and older; a younger, teenage version was added during the trial. EvoFIT was used in conjunction with the PRO-fit composite system, to permit the inclusion of hats, glasses and other accessories.

A training course was developed and administered by the system designer (CDF) and the force's existing composite officer (JP). The course involved: training on the cognitive interview for obtaining facial descriptions from witnesses; EvoFIT system training; exhibiting of evidence for later use in court; software paint-package training, for the addition of shading, wrinkles, etc.; and considerable practice in all of these components. A total of 21 police officers and staff were trained, in order to provide representation at force headquarters and in each division; they were supported during the evaluation by the current composite officer as well as the system designer. After construction, composites were circulated within the force for identification, and some were published in the newspapers, on TV and on a 'wanted persons' webpage. The webpage also used the animated-caricature format.

The system was reported to work well with witnesses and victims, and feedback was used to improve EvoFIT's usability for police operators: e.g., improvements to information shown in the title bar, and the display of messages if digression occurred from the recommended procedure. Also, midway through the evaluation period, the construction procedure was improved to allow witnesses to set an appropriate facial aspect ratio—face width and length—from the start of

the construction procedure. This facilitated face selection generally. In addition, to allow better adjustment of an evolved image, an additional holistic scale was added to allow manipulation of face width.

During the trial, 30 EvoFITs were constructed, mainly for serious crimes such as sexual assault and distraction burglaries, but also for less serious offences such as minor theft. Six arrests were made, a success rate of 20.0%. The six-month trial of EvoFIT led to a number of notable successes, detailed below. The constabulary continues to use the software.

#### Case studies

**Rape of female under 13 years:** The first case occurred in August 2007. This involved a sexual assault on an 11 year old girl in Stanley Park, Blackpool. The assailant was described to be white male, 16 to 20 years of age with a slim build and dark, short, stubby hair, lighter at the tips. He was also described as wearing a dark blue tracksuit, pale blue vest and black trainers. During the crime, he was reported to have stolen a mobile phone. The week following the crime, two people were arrested, but were later eliminated from the enquiry. Due to the absence of further leads, an EvoFIT was constructed seven days later, see Fig. 6.

A public appeal was made in which police detectives and support officers attended the park at the same time as the crime had occurred the previous week. The appeal was based on showing members of the public the EvoFIT composite, and asking whether they recognised him. Two people named the EvoFIT as a local person, Ross Gleave, and placed him in the vicinity at the time of the attack. His name was also given following house-to-house enquiries. The police attended Gleave's home address and made an arrest. The description given by the victim was accurate and the stolen property was recovered from his address. Gleave was later identified by a number of other witnesses. These additional observers did not know him, but picked him out using VIPER, a system for conducting video line-ups (Video Identification Parade Electronic Recording). Gleave was convicted for the attempted rape of a child under 13 years, jailed for seven years and placed on the Sex Offenders Register for life.



Fig. 6. The EvoFIT produced in the Stanley Park assault, left, and the person subsequently identified and convicted of the offence, right.

**Sexual assault:** EvoFIT was valuable in solving another sexual assault case, this time in an unexpected way. The offence on a teenage male took place in Morecambe Bay; the victim subsequently produced an EvoFIT using the 50- year-old white-male database. A DNA sample of the offender was available and the police used this evidence to try to find a match. The DNA search, however, produced a dozen partial matches, but a photograph from one of them bore a strong resemblance to the EvoFIT. Consequently, police attended this person's home address first and were able to collect evidence linking him to the scene of the crime (a train ticket). The EvoFIT provided valuable intelligence to guide the investigation; it also reduced the amount of police time wasted following false leads.

#### d) Derbyshire police trial

For 12 months starting June 2008, Derbyshire police began a field trial of EvoFIT, with three composite officers being trained in its use. The version of EvoFIT used was similar to Lancashire Constabulary's, but with more databases. EvoFIT was found to work well and eyewitnesses reported being very satisfied with the likenesses produced. The force constructed 57 composites during the year of the trial, about twice the number made in Lancashire (perhaps sensible, since the Lancashire trial ran for half as long). Use of EvoFIT was considered successful when police obtained one of three outcomes: a name put forward, an arrest, or a person charged. These data are summarized in Table 1. Note that the actions depicted in the table are not mutually exclusive; for example, 7% of the figure for arrests (19.3%) also involve persons who were later charged. It can be seen that there were roughly twice the number of names put forward (by police officers, members of the public) than arrests made. The table also shows that about one-third of suspects were charged at the census date. The arrest rate was very similar to that found in the Lancashire trial (20.0%).

Table 1. Results of the Derbyshire police trial. Figures relate to successful actions arising from EvoFITs and are expressed as a percent of the total number of composites constructed (there were 57 in this evaluation).

| Names put forward | Arrests | Charged |
|-------------------|---------|---------|
| 43.9              | 19.3    | 7.0     |

#### Case studies

**Indecent exposure:** early on in the Derbyshire field trial, EvoFIT was used in an indecent exposure incident. In this case, the female victim was pushing her newborn baby in a pram at the time of the offence, and afterwards reported having been terrified that the offender would harm her child.



The offender was described as a white male, approximately 30 to 35 years of age. The victim produced an EvoFIT of him two days after the offence using the 30 year (Western European) white-male database; the victim was very happy with the likeness produced. The image was taken by the police operative to the local police station for circulation within the force, where the face was recognised by local officers. Within four days, the offender had been arrested, charged and remanded in custody. He was sentenced to 16 months imprisonment at Crown Court and placed on the Sex Offenders Register.

**Connected thefts:** An EvoFIT image was produced by the victim of a 20- to 30-year-old Eastern European male. The man had approached her on the street and stolen a bank card from her purse. The victim had felt particularly vulnerable, being on a disability scooter. She was delighted with the likeness produced and was most impressed with the system.

Following a separate incident that occurred a week later with an almost identical *modus operandi* (method of operating), the victim of that crime produced a second EvoFIT image showing a 35-year-old Eastern European male. As there was a chance that these crimes might have been committed by the same person, a different police operative interviewed the second victim (different interviewers are used in such cases to avoid the possibility of subsequent images being unknowingly contaminated by the same interviewer). This incident had taken place 10 miles from the first, but the EvoFIT image produced were almost identical; for this reason, the crimes were linked, providing valuable intelligence to the investigation.

#### e) *Devon and Cornwall police trial*

Devon and Cornwall police have two officers who construct composites. One received EvoFIT training in January 2010 and used the system for an audited period of four months. Fifteen composites were constructed during this time. One of the images emerged as part of a bogus complaint, and helped to show that the complainant was lying. Of the remaining 14 EvoFITs, a name was put forward for 12 of them (80.0%) and an arrest warrant was issued for six (40.0%); only two EvoFITs remained unnamed (13.3%) at the census date.

#### *Case studies*

**Sexual assault:** one of the first EvoFITs constructed by this force was of a sexual assault offender. The incident was reported to have occurred in Plymouth, January 2010, on a female victim. Initial enquiries in the investigation were made to try to locate him, but these proved unsuccessful. CCTV also failed to provide useful leads and, despite a media campaign, no suspects could be identified. Three weeks after the

incident, an EvoFIT was constructed using the Asian-male database. The victim was amazed by the lifelike image, and repeatedly said that 'it was just like him'. The EvoFIT was released in the media and several names were put forward: many people gave information about workplaces and addresses of the putative offender. Subsequent enquiries revealed that the likely culprit was an illegal immigrant who had "gone to ground" on the day that the image appeared in the media. His details have been circulated on the PNC (Police National Computer) by both UK Borders Agency and the OIC (Officer In Case). Enquiries to locate him are ongoing.

**Sexual assault:** late January 2010, a young female reported a serious sexual assault in Exeter. A description of the offender was circulated to local officers and a public appeal was made in the press. From this, several identifications were made by members of the public that resulted in a number of people being interviewed; however, these were all eventually excluded from the investigation. Four days after the incident, an EvoFIT was constructed by the victim. Although still distressed about what had happened, she found the procedure easy to follow and was able to complete a composite using the black-male database. The composite was circulated throughout forces in Exeter and then in the local press.

Two weeks later, a male contacted the enquiry. He said that he had been in the Exeter area where the offence had taken place, at the material time; he also said that the facial composite looked just like a photograph of him. It emerged that teammates with whom he used to play football had recognised him as the offender and had given him an ultimatum of contacting the police himself, or they would do it for him. Ultimately, no charge was brought against him, since he claimed that the sex had been consensual.

The case in general involved a great deal of time, money and effort. The alleged offender was not known to the police prior to the investigation, and so would not have been identifiable by DNA, description or *modus operandi*. Again, the composite was the valuable lead; without EvoFIT, the enquiry would have been even more protracted and costly, and the case may well have remained unsolved.

#### f) *Romanian police trial*

Further work was carried out to allow EvoFIT to be used in Romania. This was made possible by collaboration between authors CDF and AS, and the Forensic Department of Iasi County Police Inspectorate, Romania. Funding was provided by Crime Solutions, UCLan. At the start of the collaboration, the available EvoFIT databases allowed construction of Western European white (Identity Code 1, IC1), Afro-Caribbean black (IC3) and Asian offenders (IC4), plus offenders of

mixed-race parentage (e.g. white-black). It did not, however, accurately render the skin tones of Eastern European faces (IC2). While there are obvious similarities in skin pigmentation and facial features between Western and Eastern European faces, differences in physiognomies resulted in poor likenesses when constructing a face using the other race database.

In accordance with Romanian legislation, we entered into an agreement allowing an Eastern European male database to be created and then evaluated for use in criminal investigations in Romania. This involved photographs, taken by the Romanian police, of about 200 male faces, each showing a front-face view under controlled lighting. During the trial period, enhancements were made to increase the number of hairstyles available within the system and to initiate development of a female Eastern-European database. In addition, a mixed-race database was developed to cater for mixed-parentage offenders having both Eastern European and Asian ethnicity. This 'minority male' database was built with PCA using an equal number of faces from both of these racial types. The effectiveness of the newly-designed Eastern-European database was evaluated in the laboratory, as part of a research project by author RA. This involved asking people to construct Western and Eastern European male faces using the EvoFIT Western and Eastern male databases. It was found that better quality composites were produced when the race of the target matched the race of the database, as one would expect.

Author CDF traveled to Iasi in June 2009 to install the software and to provide training for two experienced police officers. Over a five-month period, EvoFIT was used 24 times, and this resulted in the location of nine suspects, corresponding to an arrest rate of 37.5%.

#### Case studies

**Mobile phone thefts:** Between May and August 2009, a series of very similar crimes was committed against minors, particularly against those aged 12 years and under. The offender in this investigation chose buildings with an elevator, to enable him to follow his victims into the elevator. Between floors, he stopped the lift and, under threat of violence, stole the young person's mobile phone. One of the victims, a 10-year-old girl, was interviewed to construct a composite of the offender. She could not describe the robber's facial features—a problem arising for many victims—but was able to produce an EvoFIT. The 23 to 35 year Eastern European male database was used; the resulting image is shown in Fig. 7.



Fig. 7. The left image is an EvoFIT produced by a 10 year old victim of robbery; the right image is a recent photograph of the person convicted.

The composite was released to local police forces. After a month, police detained a person with notable similarities to the composite. The man was later convicted and sentenced to 7 years in prison.

**Shimano bike thief:** EvoFIT also proved valuable for detecting a fairly-prolific bike thief. This involved four thefts of bicycles between May and August 2009, with the thief cutting safety locks. Two EvoFITs were constructed by eyewitnesses at Iasi Police Headquarters, leading to the arrest of the person shown in Fig. 8.



Fig. 8. These EvoFITs (left and centre) of a bicycle thief were constructed by separate witnesses over a period of two months. On the right is a photograph of the person believed to be responsible for committing these crimes.

**Violent robbery:** EvoFIT also proved valuable for detecting another offender who committed two robberies on one day. He threatened victims with a knife and then punched them in the face. Two of his victims constructed an EvoFIT at the Iasi Police Headquarters. One victim used the 23-to-30-year Eastern European male database (Fig. 9, left); the other, the 'minority male' database (Fig. 9, centre). The EvoFITs were produced between two and three days after the offences had taken place. The EvoFITs were released to the local police forces. Within a couple of hours, based on these images, the suspect was named by young people who lived in a neighbourhood near to where the robberies had been committed. The offender was convicted and sentenced to prison.



Fig. 9. The EvoFITs (left and centre) of an offender were constructed by separate victims. On the right is a photograph of the person believed to be responsible for two robberies.

**Deception:** A further noteworthy case involved a person who reported being robbed of a large sum of money. An EvoFIT was constructed as normal. As the session was nearing the end of completion, however, the complainant appeared to become rather agitated. It turned out that the 'victim' had both described and attempted to construct a composite of himself! He retracted the allegation of robbery.

### III. DISCUSSION

A range of techniques are available to law enforcement for constructing facial composites. Most use a feature-by-feature approach, which is an unnatural task for eyewitnesses, but new methods are emerging based on the selection and breeding of complete faces. The current work considers one such system: EvoFIT. This system presents arrays of whole faces for witnesses to repeatedly select and a composite is 'evolved' over time. EvoFIT is the result of considerable research and development, and performance in the laboratory is now consistently good; here, we report use and testing for effectiveness by four different police forces.

Feedback from the field trials improved both system ergonomics (e.g., better reporting of session status) and composite quality (e.g., facial aspect setting and new face-width holistic tool). The work revealed software bugs, allowing them to be rectified. As discussed below, the field trials have also provided insight into the most appropriate interviewing method for use with witnesses and victims.

Overall system effectiveness was also measured, based mainly on arrests arising from composite identifications. Reports across the forces for arrests were 20.0%, 19.3%, 40% and 37.5% of the total number of composites constructed—these totals were 30, 57, 15 and 24 respectively for Lancashire, Derbyshire, D&C and Romania. Based on the total number of arrests made ( $6+11+6+9=32$ ) and the total number of composites constructed ( $30+57+15+24=126$ ), the mean arrest rate was 25.4%. In spite of the large number of uncontrolled variables in field evaluations, this figure is comparable to 23.8%

mean correct naming for EvoFIT measured in the laboratory (24.5%: Frowd et al., 2010b; 24.1%: Frowd et al., Submitted-a; 22.7%: Frowd et al., Submitted-b). So, based on two measures—arrest rate and mean correct naming—EvoFIT's performance is remarkably similar in the laboratory and in the hands of the intended user.

#### a) Interviewing styles

Arrest rates from the four forces indicate that EvoFIT's performance approximately doubled from earlier (19.5%) to later (38.5%) evaluations. While the basic procedure for operating EvoFIT changed little over the course of the field trials, with the exception of asking witnesses to select facial aspect at the start and adding a new holistic scale, there was a notable change in the interview method used by operators to help witnesses recover facial information about offenders.

In the early trials with Lancashire and Derbyshire, the interview aimed to help witnesses recover as much accurate information as possible and, as outlined above, this included free recall and cued recall. Police operators would then reflect on this information at the end of the session when a witness was making final enhancements to the face—when manipulating shape and placement of individual features using the Shape Tool, and when using the paint program. In later trials, less information was sought at the initial stage. Operators still requested free recall, but they did not proceed to *cued recall*, which would have involved prompting the witness for more accurate detail of each facial feature. Instead, this information was requested later in the session when required (during Shape Tool and artwork use). These two similar methods of interviewing both produce composites with good arrest rates, but the latter is clearly better. We now believe that we understand why.

It turns out that describing another person's face in detail can have an unfortunate side effect for that person: temporary interference in ability to recognise a face (e.g. Schooler & Engstler-Schooler, 1990). This rather unintuitive cognitive mechanism is known as the *verbal overshadowing effect* and has been extensively researched (see Schooler, 2002, for a review). There are several potential reasons why recognition is interfered with in this way. For example, after extensive recall, witnesses may continue to have considerable focus on individual features; this is likely to be problematic as faces are recognised more accurately when perceived as a complete entity rather than by their constituent parts (Tanaka & Farah, 1993). In addition, as inaccurate information tends to be recalled more often following extensive recall (e.g. Finger & Pezdek, 1999), witnesses may select facial parts (for a feature system) or whole faces (EvoFIT) that resemble these poorly-recalled features, promoting worse-quality composites.



The main part of what witnesses do when constructing faces involves recognition—they select individual facial features (eyes, nose, mouth, etc.) if building a ‘feature’ composite, or whole faces (from arrays) with EvoFIT. We ourselves have shown that asking a person to recall a face in detail does promote a less identifiable image from a feature system compared to when a person builds the face without having given any description (Frowd et al., in press). With EvoFIT, the issue seems to relate to extent of recall: we now know that recalling a face in detail does promote a more identifiable EvoFIT image than not recalling the face at all (Frowd et al., Submitted-a), but what is becoming apparent is that the level of detail being requested has previously perhaps been too great, potentially causing overshadowing-type effects. For this reason, as the field trials would suggest, asking very detailed information about individual features is probably best postponed until later in the session.

It is worth mentioning that we have recently developed a ‘holistic’ cognitive interview (H-CI) that appears to overcome some of the problems associated with face recall. In this interview, witnesses describe the face using free and cued recall, but are then asked to recall details of the *personality* of the offender’s face. They may be asked, for example, “How intelligent was the face?” or “How masculine was the face?” In this final ‘holistic’ recall stage, cognitive processing is shifted from individual features (eyes, nose, and mouth) to the face as a whole; in doing so, witnesses focus less on that which was recalled during the cued phase, to more on holistic information, which is presumably useful when presented with EvoFIT whole-face arrays. In the research project (Frowd et al, Submitted-a), correct naming increased from 25% for the normal cognitive interview to 40% with the holistic-cognitive interview. The H-CI is currently being field trialed.

What do these results suggest about how best to use EvoFIT? It is clear that the type of interview administered—one involving free, cued and/or holistic recall mnemonics—does exert a strong influence on witnesses’ face processing and on their ability to construct a composite. More specifically, we are seeing evidence that information witnesses recall towards the end of their recall tends to be what they focus on during face construction. Based on data available to date, it is probably sensible to avoid using cued recall. Whether it is best to use free recall followed by holistic recall (or even to take a short break between these two stages, as suggested by Finger & Pezdek, 1999) is the subject of ongoing research and field trials. Either way, current EvoFIT performance remains valuable for law enforcement: it is anticipated that we will be able to further optimize the interview for EvoFIT, and thus promote an even more identifiable image.

#### *b) Deploying EvoFIT within a police force*

There are two basic ways that composite systems are deployed within a police force, and EvoFIT is no exception. The first way is for officers and/or support staff within each division to be trained on its use. These personnel can be multi-skilled, including facial composites, and this approach has the advantage that a composite officer can be available locally, in police [regional] divisions, without someone having to travel potentially long distances to assist in witness interviewing and composite construction. The main issue, though, is that officers can become engaged in protracted investigations—for instance, a complicated murder—or reassigned elsewhere. Without regular use, de-skilling becomes a possibility. While EvoFIT is straightforward to use, and can be learned within a couple of days, skills need to be maintained for interviewing and use of a paint package—for the addition of scars, marks, etc.

While by no means a new idea, a deployment model that is gaining popularity in the UK (and one that is adopted elsewhere) is a dedicated facial identification unit, to provide a force-wide composite service. Personnel in these units are similarly multi-skilled, but their specialism tends to reside within the identification area, with roles typically including crime scene photography, and the production of identity parades (e.g. VIPER, PROMAT) and photospreads. Units typically contain two to four members of staff, depending not only on demand, but also on strategy: the type of crime for which a force ring-fences its composites. In spite of being deployed mainly for major incidents, there is no real reason, police resources aside, why composites should not also be used to solve less serious crime. For example, in the police trials reported above, EvoFIT helped officers locate an offender who had stolen a handbag: such use of a composite arguably has value in contributing to police-public relations; other, similar uses include addressing prolific cases of theft and vandalism. One type of crime for which EvoFIT has been rather successful has been for distraction burglary. Victims of these crimes tend to have poor recall of an offender’s face, not having tried to remember it, thus rendering feature systems difficult to use. In general, police report that EvoFIT is not only much faster to use with victims than feature systems, and much more effective, but also that the range of applicable crimes is much greater. This provides many more opportunities for Senior Investigating Officers than was possible previously.

We provide annual training days on latest techniques emerging from research and field trials (see previous and following sections) including general updates (new databases, bug fixes and accessory packs). Such workshops are easier for staff to attend—and it is easier for staff to then support each other—when training is organized for a dedicated unit. Staff



within a unit can be given administrative support, which is valuable for booking appointments with witnesses, for maintaining publicity of composites within the force, and for auditing EvoFIT performance (as was carried out in the field trials here). This approach can also assist with procedure following composite interviews—for example, following domestic burglary, setting up an appointment with the safety officer.

#### c) *Further developments*

Recent research with EvoFIT has also been exploring the impact of external features on composite quality. Recall that the standard EvoFIT procedure is for witnesses to select the outer region of the face at the start—the hair, ears and neck—and for that region to then be blurred, to help the witness focus on the important internal features when selecting from face arrays. Blurring is disabled just prior to manipulation with the *holistic tools* (for changing age, masculinity, weight, etc.) and the *shape tool* (for changing size and position of individual features). However, this procedure may still not be optimal as the external features can still act as a distraction during tool use. In Frowd et al. (Submitted-b), it was found that the externals do interfere, even when blurred, and at each stage of face construction. We found that constructing internal features in their entirety, and then adding external features at the end of the session, doubled the rate in which the resulting composites were correctly named—naming increased from 23% (normal method of blurring used in the lab and field trials) to 45% (internals-only construction). This is an important finding and suggests that the mere presence of external features poses a distraction to the person building the face. The police are now in receipt of this new EvoFIT development and are field trialing it.

The impact of these developments, including interview (holistic-CI) and internals-only construction, if used together in the same session, should lead to performance of around 60% naming. In fact, even better performance might be possible if animated caricatures were used routinely in public appeals. The effectiveness of these combined developments are currently being established in the laboratory, with police field trials planned.

It is extraordinary that such performance is possible from a composite system. Only five years ago, EvoFIT was producing images that could be named barely more than 10% of the time: composites from feature systems appear to manage only half of this figure. It is now possible to produce a very identifiable composite from a person's memory of an unfamiliar face after an appreciable time delay: what was missing was simply an appropriate interface to human memory. It is the union of computing science, psychological procedures and field testing that have allowed such a system to be developed.

## IV. CONCLUSION

The current paper described formal end-user (police) evaluations of EvoFIT. Overall system performance was found to average 25.4% across four police forces and increased to 40% for forces using an enhanced interview, a figure which suggests the system is effective in the battle against crime. There are promising areas of development to substantially improve performance, both in terms of the interview and the way in which EvoFIT is used.

## V. ACKNOWLEDGEMENTS

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# Capital Ratios as Predictors of Distress: A Case Study of The Nigerian Banking System

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**Abstract:** We examine the relationship between capital ratios and bank distress, and also compare the efficiency of three capital ratios – risk-weighted, leverage and gross revenue ratios, in the prediction of bank distress. The above objective is based on the recent global failure of banks which is a pointer to the fact that the Early Warning Systems (EWS) Models, with the aim of identifying weaknesses and vulnerabilities among financial institutions have either failed or have been wrongly applied. In addition, some studies show that the risk-weighted capital ratio used in bank distress prediction may become obsolete and ineffective within a short time and that it may give rise to economic problems. Some other studies also show that capital ratios may in fact not be related to bank distress and should not be used to monitor it. Data on bank distress in Nigeria from 1991 to 2004 are used and the OLS regression, autoregression and the Granger causality test are used to analyse the data. The study shows that the three capital ratios predicted bank distress significantly and that there is no significant difference in the level of efficiency of the three capital ratios in distress prediction. The continued use of capital ratios in the prediction of bank distress is suggested. The leverage capital ratio and the gross revenue capital ratio may be used to replace the risk-weighted capital ratio, since they are simpler and may not be influenced by the ever changing risk pattern of the banks.

**Keywords:** *Capital Ratio, Risk-weighted, Leverage, Gross Revenue Ratio, Early Warning Systems.*

**Classification:** *GJHSS - C Classification: FOR Code: 150299*



*Strictly as per the compliance and regulations of:*



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**Keywords:** Capital Ratio, Risk-weighted, Leverage, Gross Revenue Ratio, Early Warning Systems.

## 1. INTRODUCTION AND BACKGROUND TO THE STUDY

Between 2008 and 2009, a large number of financial institutions failed all over the world, with devastating economic, social and political consequences. Banks are still failing globally and in Nigeria, almost half of the banks have one form of distress or the other. This may be a pointer to the fact that Early Warning Systems (EWS) Models, with the aim of identifying weaknesses and vulnerabilities among financial institutions have either failed or have been wrongly applied. These financial crises are not confined to individual economies but spread contagiously to other markets as well. There is therefore the need to sharpen the monitoring of the performance of the banks continually. One of the ways of doing this is by being able to notice problems in banks at the early stage before the bank slides into distress (Doguwa; 1996).

Desirable as an early problem bank identification system is for Nigeria, there is no evidence that it has received adequate attention and it is not in

use by either the bank regulators or any of the banks. The earliest recorded attempt was made by Jimoh (1993), followed by Nyong (1994) and Doguwa (1996). Any attempt to fill this gap would, therefore, be worthwhile. In Nigeria, the regulatory authorities, (the Central Bank of Nigeria (CBN) and Nigeria Deposit Insurance Corporation (NDIC)) use the risk weighted capital ratio, as proposed by the Basel Committee to measure banks' level of capitalisation. This method attaches weights to different risk assets of a bank. The weights attached are uniform for all the banks. The truth however, is that the risk inherent in these assets cannot be the same for all banks. They would depend on the unique characteristics of the bank and the manner in which the underlying transactions are entered into. In addition the risk weighted method is more costly to run than simple capital ratio methods and even a well-designed risk-weighting scheme may soon become obsolete as a result of the dynamic nature of the financial sector, (Estrella, Park and Peristiani; 2000). Regulatory capital arbitrage could even develop under risk-based capital ratio and produce harmful economic effects. For instance, since lending to risky borrowers belongs to the highest risk-weight category, the incentive to economize capital might induce banks to reduce lending to those borrowers that do not have alternative financing sources. Economic activity may contract as a result, as argued by Stiglitz and Weiss, (1981); Bernanke, (1986), Bernanke and Gertler, (1989) and Mishkin (1997), in their explanation of the 'market failure theory'. Micro-finance banks are established in Nigeria to overcome this problem. Many parts of the country, however, do not have micro-finance banks and are not likely to have in the near future. In addition, the licences of 103 out of the 986 microfinance banks in Nigeria have been revoked because of poor management.

It is therefore useful to see if other simpler ratios that do not use risk weights predict bank distress in a manner not significantly different from the risk weighted ratio and can therefore be used in place of it. Another challenge is that some studies, including Gunther and Moore (2002), show that capital ratios may not have significant relationship with bank distress and should not be used to predict it.

The objective of this paper is, therefore, to examine the relationship between capital ratios and



bank distress. It also compares the performance of three capital ratios – risk-weighted, leverage and gross revenue ratios, in the prediction of bank distress, and comments on the appropriate use of the ratios.

The paper, therefore finds answers to the following questions:

1. What is the causal relationship between capital ratios and bank distress?

2. Is performance of the risk-weighted capital ratio in distress prediction significantly different from the performance of the other capital ratios?

To answer the questions, the following null hypotheses are tested:

1. *Capital ratio does not predict bank distress*
2. *Risk weighted capital ratio predicts banks distress significantly differently from the other capital ratios.*

The result of this study would prove useful for banking regulation. It would particularly be useful to bank supervisors, as it will enhance their effectiveness and supervisory efficiency. In particular, it will help bank regulators and even bank directors and management, detect potential problem banks early and thereby enhance their monitoring and control. Other researchers would also find the study useful, as a basis for further studies.

In this paper, the risk-weighted capital ratio (RWAR) is defined as in equation (1), while the leverage ratio (LR) and the gross revenue ratio (GRR) are defined in equations (2) and (3) respectively.

$$RWAR = \frac{S}{\sum x_i r_i} \dots (1)$$

$$LR = \frac{S}{\sum t_i} \dots (2)$$

$$GRR = \frac{S}{\sum y_i + \sum z_i} \dots (3)$$

Where;

$S$  = Shareholders' funds unimpaired by losses

$x_i$  =  $i^{\text{th}}$  asset of the bank

$r_i$  = risk weight attached to the  $i^{\text{th}}$  asset of the bank

$t_i$  =  $i^{\text{th}}$  tangible asset of the bank

$y_i$  =  $i^{\text{th}}$  interest income

$z_i$  =  $i^{\text{th}}$  non-interest income

the ratio of the banks' shareholders' funds unimpaired by losses to total risk weighted assets; while the leverage ratio is the banks shareholders' funds unimpaired by losses divided by total tangible assets of the bank. The gross revenue ratio is the ratio of the

banks shareholders' funds unimpaired by losses to total interest and non-interest income before the deduction of any expenses.

The paper is divided into five sections. Section one is this introduction which contains elements like the objectives, scope and significance of the study. Section two deals with the theoretical framework and review of literature while the methodology is discussed in section three. Section four gives the result of data analysis and discussion. The last section of the paper contains the summary, conclusion and recommendation.

## II. THEORETICAL FRAMEWORK AND LITERATURE REVIEW.

### 2.1 Theoretical Framework

#### 2.1.1 Theories of Bank Distress

##### 2.1.2.1 Micro Theories:

At the microeconomic level, mismanagement plays a major role in bank insolvency, (Soyibo and Odusola; 2002). This approach sees mismanagement as an evil that destabilizes a bank or a whole banking system, especially, where there is ineffective banking supervision (Popiel, 1988; de Juan, 1987 and 1993; Odusola, 2001). Mismanagement is classified into four categories: technical mismanagement, cosmetic mismanagement, desperate mismanagement and fraud. Other micro causes of banks' unsoundness relate to moral hazards in domestic finance and lack of transparency or market discipline in corporate governance.

Weak regulation and supervision act as interface between micro and macro causes of bank distress and any financial system with this characteristic is bound to experience deep crises whenever, there are shocks within the system, (Soyibo and Odusola, 2002).

##### 2.1.2.2 Macro Theories

This perspective sees microeconomic causes as secondary and attributes bank distress mainly to macroeconomic developments and can be categorized into five groups. The first is the monetary model of financial crises, as pioneered by Friedman and Schwartz (1963) and further extended by Brunner and Meltzer (1988), which emphasizes the central role of the growth of money stock and its variability in making banks unsound. This framework posits that banking and debt crises are endogenous events, conditioned by economic policy and the banking structure, and not by independent or exogenous shocks, (Soyibo and Odusola, 2002).

The business cycle theory is the second approach and postulates that the financial environment responds endogenously to the state of the business cycle or to some displacement such as financial sector liberalization, which opens up opportunities for profit

making. An example of this is the deregulation of the Nigerian financial sector, under SAP, which made the number of commercial and merchant banks increase from 29 and 12 in 1986 to 66 and 54 in 1991, respectively, (Ogwuma; 1996). The number of community banks also rose from one in 1990 to about 1000 in 1994, in addition to the emergence of finance companies, mortgage institutions and other financial intermediaries. This approach argues that as a result of the expanded activities in the financial sector, lending velocity may increase temporarily, but will later decline as non-performing loans build up. The situation in Nigeria was similar as banks loans and advances rose from ₦18.47 billion in 1986 to ₦56.52 billion at the end of 1993, (Ogwuma; 1996). These developments weaken the strength of the financial system and hence make it more vulnerable to shocks (Odusola, 2001).

The third approach is based on the market failure theory and propagated by Stiglitz and Weiss, (1981); Bernanke, (1986), Bernanke and Gertler, (1989) and Mishkin (1997), who use the framework of information asymmetry in the credit market to explain financial crises. They argue that conflicts between lenders and borrowers arising from moral hazards imply that lenders may decide that they would rather not make loans available to their customers, thereby creating sub-optimal investment levels and a sharp contraction in economic activities, which further raises the probability of default among borrowers. Some researchers argue that the use of risk-weighted capital ratio could lead to similar effect. The establishment of micro finance banks in Nigeria is aimed at tackling this problem. The fourth approach is the credit market approach and integrates the business cycle approach with the market failure approach. This approach posits that an interruption of the supply of credit triggers a business cycle downturn, which increases distress in the financial sector, hampers development in the real sector of the economy and therefore weakens the banks.

Finally, the financial deregulation model is another approach that has received considerable attention in literature. Soyibo and Odusola (2002), explains this approach by stating that 'deregulation of the domestic financial market, before an adequate regulatory framework and appropriate prudential guidelines were put in place, creates a wide latitude for risk-taking and eventual collapse of many financial institutions'. Empirical studies in Nigeria, by Soyibo, Alashi and Ahmad (1997) and Soyibo (2002), suggest that this is one of the likely causes of the unsoundness of the financial system.

#### 2.1.2 Prediction of Bank Distress

Of the large number of early bank distress prediction studies that has been done, most have employed discriminant analysis or probit/logit

techniques to construct the model, (Whalen; 1991). These models are designed to generate the probability that a bank with a given set of characteristics will fall into one of two or more classes, most often distress/non-distress. The predicted probabilities are of distress and non distress at some unspecified point in time over an interval implied by the study design.

The general logit model to predict the probability,  $P_D$  is given by:

$$P_D = F(Z) = F(\sigma + \beta_i X_i) = \frac{1}{1 + e^{-Z}} \dots (4)$$

where,  $\sigma$  is a constant,  $e$  is the base of natural logarithms, which is approximately 2.718,  $Z$ , a linear combination of factors that influence the probability of a bank not being healthy,  $X_i$  (usually ratios), the  $i^{\text{th}}$  explanatory variable and  $\beta_i$  is the  $i^{\text{th}}$  coefficient estimate, (Doguwa; 1996).

Proportional Hazards Model (PHM), can also be used as in Lane, Looney and Wansley (1986) and Whalen (1991), to generate estimates of the probability of bank distress or alternatively of survival. The dependent variable in a PHM is time  $T$ , until distress and the survivor function which represents the probability of surviving longer than  $t$  periods, has the following general form:

$$S(t) = \text{Prob}(T > t) = 1 - F(t) \dots (5)$$

where  $F(t)$  is the cumulative distribution function for the random variable, time to distress. The general form of the hazard function therefore, becomes:

$$h(t) = \lim_{dt \rightarrow 0} \frac{\text{Prob}(t < T < t + dt | T > t)}{dt} \dots (6)$$

## 2.2 Literature Review

The findings of other researchers on early warning systems and indicators of bank distress are reviewed in this section.

### 2.2.1. Early Warning Systems (EWS)

Some empirical studies have been done on EWS. One of the earliest is West (1985), which used a total of 19 variables to describe the level of soundness of banks in line with CAMEL. Though the West paper does not present a full blown monitoring system, it introduces the technique of factor analysis, which reduces a large number of variables to a smaller number of 'factors'. The paper posits that; capital adequacy, asset quality, earnings and liquidity are important variables, in the determination of banks' distress and the results suggest that classical factor analysis combined with multivariate logit estimation, using factor scores as inputs, holds a good deal of promise as a basis for any early warning system. West's study is similar to those of Espanhbodi (1991), Jimoh

(1993), Nyong (1994), and Doguwa (1996). Logan (2001) concludes that a number of measures of bank weakness – low loan growth, poor profitability and illiquidity are good short term predictors of unsoundness, as are high dependence on interest income and low leverage. He posits that the best long term leading indicator of future unsoundness is rapid loan growth.

### 2.2.2 Indicators of Banks' Distress

Understanding the indicators of banks' distress is vital for proactive steps to be taken to prevent banks' crises. Mishkin (1994) lists, 'decline in stock prices, increase in interest rates, corporate indebtedness and unanticipated decline in inflation' as signals for poor banks' performance. Hausmann and Gavin (1995) note that loan delinquencies are lagging indicators, and focus instead on macroeconomic shocks to asset quality and bank funding and the role of credit booms in fostering financial fragility. Kaminsky and Reinhart (1996) focus on the links between balance of payment and banking unsoundness and conclude that financial liberalization may lead to banks' poor performance across a range of countries. Fischer and Gueyie (1995) use a combination of bank balance sheet, macroeconomic, and policy variables to explain changes in the probability that a bank would be unsound, using option pricing model. Vaithilingam, Nair and Samudram (2006), examined the impact of Information and Communication Technology (ICT) Infrastructure, Intellectual Capital, Institutions, Integrity (Governance), Interaction (Strategic Partnership) and Innovation on the soundness of banks in developed, developing and under-developed countries. The study concluded that; well developed institutions, good integrity system and high innovative capacity contributed to the soundness of banks positively. Donze (2006), on the other hand measures the effect of the independence of bank supervisory agencies on banking system soundness. He found that 'independence of supervisory agencies, impacted positively on banks soundness.

The CBN (2003) reports that banks' unsoundness could be traced to, economic recession, policy-induced shock, poor asset quality, mismatch of assets and liability, overtrading, bad management and insider abuses.

Basel Committee and its pronouncements have been well suited to the task of grappling with the problems raised with the internationalization of banking. However, Capiro and Honohan (2005) and Rojas-Suarez (2005) assert that capital adequacy as propounded by Basel II cannot improve bank soundness in developing countries. They conclude that 'for the Basel II capital requirement to work, it should reflect the 'true risk' of banks' portfolios, which will be possible only in a deep

capital market, which is often non-existent in developing countries. There is therefore, the need to see whether capital ratios that do not incorporate risk assets can be used to monitor banks, as is done in this study.

## III. METHODOLOGY DATA

The data used in this study consist of bank distress rates and capital ratios calculated for commercial banks operating in Nigeria from 1991 to 2004. The data set started from 1991 because that was the year when minimum capital ratio requirement became operational in Nigeria. It also ends in 2004 because the banking landscape changed with the announcement of the requirement to shore up banks shareholder's fund to ₦25 billion.

### 3.1 Data Analysis Techniques

#### 1. Causality Between Capital Ratios and Bank Failure

If the use of capital ratios to monitor bank distress is effective, then both variables should be strongly negatively correlated, (Estrella, Park and Peristiani; 2000). The implication is that if capital ratio (CR), increases, then bank failure (BD) should decrease and;

$$d(BD)/d(CR) < 0 \dots(7)$$

This is tested in this study using the ordinary least square analysis, autoregression and the Granger (1969) and Sims (1972) causality test.

#### a. Ordinary Least Squares

The idea expressed in (4) above can be represented by:

$$BD = \beta_0 + \beta_1 CR + \epsilon \dots (8)$$

Where

$$\beta_i < 0 \dots(9) \\ i = 1, 2, 3; \beta_0 \text{ and } \beta_1$$

are constants and  $\epsilon$  the error term. The specification in (8) is tested using the hypotheses;

$$H_0: \beta_i = 0$$

$$H_1: \beta_i < 0$$

#### b. Autoregressive Model

Gujarati (2006), posits that time series data are likely to be dynamic and not contemporaneous. This implies that bank distress BD, may be dependent on its past values and past values of the capital ratios. Using lag 1, the situation for the different capital ratios can be expressed as:

Risk-weighted ratio:

$$BD = \beta_0 + \beta_1 CR1 + \beta_2 CR1_{-1} + \beta_3 BD_{-1} + \epsilon \dots (10)$$

Leverage ratio:

$$BD = \beta_0 + \beta_1 CR2 + \beta_2 CR2_{-1} + \beta_3 BD_{-1} + \epsilon \dots (11)$$

Gross Revenue ratio:

$$BD = \beta_0 + \beta_1 CR_1 + \beta_2 CR_2 + \beta_3 CR_3 + \beta_4 BD_{t-1} + \epsilon \dots (12)$$

Where  $CR_1$  is the risk-weighted capital ratio and  $CR_2$  and  $CR_3$  are the capital ratios for leverage and gross revenue respectively.

### c. Granger and Sim's Causality Test

This is done in two stages. First by testing whether  $CR$  is caused by  $BD$  and then testing if the  $BD$  is caused by  $CR$ . If the tests show that  $CR$  causes  $BD$ , but that  $CR$  is not caused by  $BD$ , then we assert that capital ratio,  $CR$  causes bank distress,  $BD$ . To test whether 'capital ratio causes bank distress', we test the null hypothesis that 'capital ratio does not cause bank distress'. This is done, deriving from Granger (1988), by running the following two regressions:

$$BD = \alpha_0 + \alpha_1 BD_{t-1} + \dots + \alpha_e BD_{t-e} + \beta_1 CR + \dots + \beta_e CR_{t-e} + \epsilon \dots (13a);$$

and

$$BD = \alpha_0 + \alpha_1 BD_{t-1} + \dots + \alpha_e BD_{t-e} + \epsilon \dots (13b)$$

Equation 13a is the unrestricted form while 13b is the restricted form.

To test whether 'bank failure causes capital ratio', we also test the null hypothesis 'bank failure does not cause credit ratio', by running the unrestricted regression;

$$CR = \alpha_0 + \alpha_1 CR_{t-1} + \dots + \alpha_e CR_{t-e} + \beta_1 BD + \dots + \beta_e BD_{t-e} + \epsilon \dots (14a)$$

And the restricted form;

$$CR = \alpha_0 + \alpha_1 CR_{t-1} + \dots + \alpha_e CR_{t-e} + \epsilon \dots (14b)$$

Test for Stationarity

To ensure that the series are stationary and avoid the consequences of autocorrelation, the data are tested for unit roots, using the Dickey-Fuller (DF) test.

Test for lag dependence

The data used for Granger causality test, are tested for consistency, using lags 1, 2, and 3 as in Jacobi, Leamer and Ward (1979).

## 2. Comparison of Prediction of Bank Distress by the Different Capital Ratios

As in Korobow and Stuhr (1985), weighted efficiencies (WE), of each of the capital ratios in detecting bank distress is found, such that;

$$WE = [(BWF)^2 / (CC)] / [(VB) / (TWF)] \dots (15)$$

Where;  $CC$  = percentage of banks classified correctly (the standard measure)

$BWF$  = Unsound banks correctly identified by the model

$VB$  = Banks failing a 'hurdle' test, i.e. banks called unsound by the model.

$TWF$  = Total number of unsound (or failed) banks in the sample.

A test of difference of means is then done to see if the level of efficiencies or rates at which the different capital ratios detected bank distress differed significantly. Assuming that the distribution is at least approximately normal and that the variances of the populations are unknown but are equal, then the test statistic is:

$$t = \frac{(\bar{\mu}_1 - \bar{\mu}_2)}{\sqrt{\frac{(N_1 S_1^2 + N_2 S_2^2) (N_1 + N_2)}{(N_1 + N_2 - 2) N_1 N_2}}} \dots (16)$$

where  $i = 1, 2$ ;  $\bar{\mu}_1$  is the mean of the risk weighted capital ratio and  $\bar{\mu}_2$  the mean of the other capital ratios.  $S_1$  and  $S_2$  are their standard deviations respectively.  $N_1$  and  $N_2$  are the sample sizes of the ratios. The degrees of freedom for the test, is given by  $N_1 + N_2 - 2$  and the following hypothesis is tested:  $H_0: \mu_1 \neq \mu_2$  against  $H_1: \mu_1 = \mu_2$   $\{i = 1, 2\}$ . If  $H_0$  is accepted then we say that the risk-weighted capital ratio performs significantly differently from the other capital ratios. If however,  $H_0$  is rejected, we cannot say that the risk-weighted capital ratio performs significantly differently from the other capital ratios in detecting distress in banks.

A confidence interval of  $\bar{\mu} \pm t_{n-2} \sigma / \sqrt{n}$  is used to determine banks classified as distressed by the different capital ratios, where  $\bar{\mu}$  is the mean of the ratio,  $\sigma$ , the standard deviation and  $n$ , the sample size

## IV. RESULT OF DATA ANALYSIS AND DISCUSSION

### a. Test for Stationarity

The Augmented Dickey-Fuller Unit Root test result is shown below:

| Capital Ratio | Augment Dickey-Fuller Test Statistic | Test Critical Value (5%) | Comment    |
|---------------|--------------------------------------|--------------------------|------------|
| Risk-weighted | -1.84672                             | -1.53462                 | Stationary |
| Leverage      | -2.0134                              | -1.9347                  | Stationary |
| Gross Revenue | -1.9876                              | -1.7193                  | Stationary |

The results show that the data are stationary and can be analysed using OLS and autoregression methods, (Charemza and Deadman; 1992)

### b. Test for Lag Dependence

The results obtained using lags 1, 2, and 3 were generally consistent implying that the data are not lag dependent and amenable to Granger causality test.



c. *The Causality Test*i. **Ordinary Least Squares**

Below are the results of the OLS regression between bank distress, BD and each of the capital ratios  
Risk-weighted capital ratio:

$$BD = 1.84 - 3.634CR1... (17) \\ (3.12)$$

Leverage capital ratio:

$$BD = 2.08 - 1.421CR2 ... (18) \\ (2.814)$$

Gross revenue capital ratio:

$$BD = 1.63 - 1.139CR3 ... (19) \\ (2.976)$$

Each of the three capital ratios show significant relationship with bank distress. This is in agreement with expectation and in line with Goudie (1987) and Doguwa (1996).

ii. **Autoregression Model**

The autoregression model gave the following estimates:

Risk-weighted ratio:

$$BD = -0.8246 - 2.143CR1 - 1.632CR1_{-1} + 8.409BD_{-1} ... (20) \\ (3.8352) \quad (6.1824) \quad (4.2961)$$

Leverage ratio:

$$BD = 0.1942 - 3.052CR1 - 2.828CR1_{-1} + 3.621BD_{-1} ... (21) \\ (2.7136) \quad (4.0351) \quad (1.9842)$$

Gross Revenue ratio:

$$BD = -0.6145 - 3.869CR1 - 3.105CR1_{-1} + 4.738BD_{-1} ... (22) \\ (3.0274) \quad (2.4739) \quad (3.2518)$$

The results of the autoregression show that bank distress, BD, depends on the present values of the three capital ratios, their values for the previous period and on the value of bank distress for the immediate past period. This again is in consonance with expectation, and supports the OLS results.

iii. **Granger Causality**

The results of the Granger causality tests are shown below

| Capital Ratio and Lag | Theoretical F-Values (5%) |      | Null Hypotheses and Calculated F-values   |   | Decision                             |
|-----------------------|---------------------------|------|---|---|--------------------------------------|
| Risk wt. cap. ratio   |                           |      | Bank distress Does not cause Credit Ratio | Credit Ratio Does not cause Bank distress |                                      |
| 1                     | F <sub>1,11</sub>         | 4.84 | 2.86                                      | 4.94                                      | Capital ratio predicts distress      |
| 2                     | F <sub>2,9</sub>          | 4.26 | 2.04                                      | 5.27                                      | Capital ratio predicts distress      |
| 3                     | F <sub>3,7</sub>          | 4.35 | 1.38                                      | 5.06                                      | Capital ratio predicts distress      |
| Leverage cap. ratio   |                           |      |   |   |                                      |
| 1                     | F <sub>1,11</sub>         | 4.84 | 3.42                                      | 5.18                                      | Capital ratio predicts distress      |
| 2                     | F <sub>2,9</sub>          | 4.26 | 1.98                                      | 4.75                                      | Capital ratio predicts distress      |
| 3                     | F <sub>3,7</sub>          | 4.35 | 4.62                                      | 4.02                                      | Bank distress predicts capital ratio |
| Gross rev. cap. ratio |                           |      |   |   |                                      |
| 1                     | F <sub>1,11</sub>         | 4.84 | 3.07                                      | 4.96                                      | Capital ratio predicts distress      |
| 2                     | F <sub>2,9</sub>          | 4.26 | 2.86                                      | 4.73                                      | Capital ratio predicts distress      |
| 3                     | F <sub>3,7</sub>          | 4.35 | 3.94                                      | 4.58                                      | Capital ratio predicts distress      |

Except for the leverage capital ratio when the lag is three, capital ratio causes bank distress in all other cases. We can therefore, assert that changes in capital ratio causes changes in bank distress, which is in line with expectation and with the findings of Estrella et al; (2000).

d. *Comparison of Efficiency of the Different Capital Ratios*

The efficiency of the three capital ratios are shown in the appendix. The means are 0.778, 0.761 and 0.759 respectively for the risk-weighted capital ratio, leverage capital ratio and gross revenue capital ratio; while the standard deviations are, 0.057, 0.052 and 0.057 respectively. The value of the calculated t-statistic in comparing the efficiency of the risk-weighted capital ratio and the leverage capital ratio is 0.7729, while that obtained in comparing the efficiency of the risk weighted capital ratio with the gross revenue capital ratio is 0.853.

Comparing these with the theoretical t-value of 2.056 at 5 per cent level of significance and 26 degrees of freedom, we reject the null hypothesis that the risk-weighted capital ratio performs differently from the simpler leverage capital ratio and the gross revenue ratio.

## V. SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

The study examined the relationship between capital ratios and bank distress. It also compared the efficiency of three capital ratios – risk-weighted, leverage and gross revenue ratios, in the prediction of bank distress, using the OLS, autoregression and the Granger causality test. The data used in the study are bank distress data obtained from CBN and NDIC annual reports and bank returns to the CBN and covered a period of 1991 to 2004. The study showed that the three capital ratios affected bank distress significantly and that there is no difference in the level of efficiency of the three capital ratios in distress prediction. The use of capital ratios in the prediction of bank distress should be continued. The leverage capital ratio and the gross revenue capital ratio may be used to replace the risk-weighted capital ratio, since they are simpler and may not be influenced by the ever changing risk pattern of the banks. Further studies can be done using other capital ratios to see if the efficiencies would still be the same.

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APPENDIX  
EFFICIENCY OF THE CAPITAL RATIOS

| YEAR      | RISK WT<br>CAP. RATIO | LEVERAGE<br>CAP. RATIO | GROSS REV<br>CAP RATIO |
|-----------|-----------------------|------------------------|------------------------|
| 1991      | 0.761                 | 0.691                  | 0.745                  |
| 1992      | 0.792                 | 0.782                  | 0.782                  |
| 1993      | 0.692                 | 0.729                  | 0.831                  |
| 1994      | 0.712                 | 0.766                  | 0.843                  |
| 1995      | 0.732                 | 0.741                  | 0.804                  |
| 1996      | 0.862                 | 0.781                  | 0.721                  |
| 1997      | 0.817                 | 0.718                  | 0.694                  |
| 1998      | 0.872                 | 0.726                  | 0.728                  |
| 1999      | 0.782                 | 0.81                   | 0.788                  |
| 2000      | 0.729                 | 0.695                  | 0.727                  |
| 2001      | 0.762                 | 0.748                  | 0.755                  |
| 2002      | 0.826                 | 0.891                  | 0.671                  |
| 2003      | 0.83                  | 0.789                  | 0.692                  |
| 2004      | 0.722                 | 0.791                  | 0.842                  |
| Mean      | 0.778                 | 0.761                  | 0.759                  |
| Std. Dev. | 0.057                 | 0.052                  | 0.057                  |

*Source: Calculations by the author.*





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## Entrepreneurial Role Played By The Women of Uttarakhand with The Help of Various Social Structural Components

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**Abstract:** This paper is based on primary data collected from the respondent on Women's encompasses within it. It studies the role of social structural components in developing entrepreneurial orientation among women. Based on an extensive survey of data and empirical findings of two cities in state of Uttarakhand the paper goes on to demonstrate the resistance faced by women entrepreneurs owing to their social habitat and how they managed to overcome the social structural obstacles.

**Keywords:** *Respondents, components, social -structural, Area.*

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# Entrepreneurial Role Played By The Women of Uttarakhand with The Help of Various Social Structural Components

Dr. Abhimanyu Kumar <sup>α</sup>, Satya Pal<sup>Ω</sup>, Kamla Floria<sup>β</sup>

**Abstract:** This paper is based on primary data collected from the respondent on Women's encompasses within it. It studies the role of social structural components in developing entrepreneurial orientation among women. Based on an extensive survey of data and empirical findings of two cities in state of Uttarakhand the paper goes on to demonstrate the resistance faced by women entrepreneurs owing to their social habitat and how they managed to overcome the social structural obstacles.

**Keywords:** Respondents, components, social-structural, Area.

## I. INTRODUCTION

Uttarakhand women have been the backbone of the State's economy. They have always stood in the forefront during the struggle of state formation. Women are the mainstay of the culture and traditions of the hills. Repeatedly hill women have shown remarkable courage and participation in development programs. Uttarakhand women have always been emerged as a stand-by of the rural economy due to their total involvement with agriculture, forest protection, cattle care and dairying. The most appreciable example of women entrepreneurs in Uttarakhand is "The women weavers of the Kaman region in Uttarakhand". Women from over 32 villages in hilly region of Almora involved in the processing of raw materials and production of women and knitted products. The women weavers are earning their own income and have improved their standard of living. The generation of entrepreneurial orientation particularly among women for accelerating the pace of development has assumed significance. This paper examines the role of social structural components particularly relating to the background of women generation of entrepreneurial orientation among them. Hagen examined the relationship between withdrawals of status, respect entrepreneurial orientation in the case of some groups like samurai in Japan. Antiquinos in Columbia, Protestant dissenters in England, non-Huguenots in France, old Believers in Russia and Paresis in India in these societies at different points of time Although variation existed in terms of

degree of derogation and deprivation faced by these groups. Hagen argued that was universally assumed that the non-conformist groups faced derogation and further supported members of their own groups to emerge as successfully entrepreneurs. In this way, the entrepreneurial groups or biasness communities emerged and participated in the process of economic development. Schumpeter described an entrepreneur as a type who carried out innovation by introduction of new good, methods of production, new market, and new sources of supplying raw materials and by carrying out the new organization of industry. The works of Weber and Schumpeter were considered be to major breakthrough in the literature on entrepreneurship. Both considered capitalism as dynamics, specific, historical, process not present everywhere and also recognized the role of entrepreneurs in the emergence of capitalism. McClelland: (1961) the relationship between need for achievement motivation and entrepreneurship. He noted the need for achievement motivation is a desire to do well not so much for the sake of social recognition or prestige but to attain an inner feeling of personal accomplishment' which he considered as the main attribute of entrepreneurship generated by child rearing and socialization practices.

## II. OBJECTIVES

The objective of this study are as follows:-

1. To study the limits of entrepreneurial orientation in terms of attributes like innovation.
2. To study the relationship of entrepreneurial orientation with the social background.
3. To distinguish the role of these components in the emergence of women respondents entrepreneurs.

## III. RESEARCH METHODOLOGY

With a geographical area 53,485 Km<sup>2</sup> spread across 13 districts is unique in its topography and large rural population, 75% of total. The study was conducted in two cities of Pant nagar and Hardwar of Uttarakhand. The selection criterion of these cities was that they were industrially more advanced and they had a sizeable

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number of women entrepreneurs. The sample consisted of 54 women respondents selected through random sampling. The list of women entrepreneurs was acquired from their respective associations'. The study included in its sample women who ran beauty parlors, manufacturing units and franchise of multi market companies. This paper basically focuses on the study of these women respondents who are entrepreneurs of Pant Nagar and Hardwar of Uttarakhand. Data for the study was collected through interview by using an interview schedule. Therefore simple percentage method is used in analyzing the socio-economic background of the respondents.

#### IV. THE ANALYSIS AND INTERPRETATION OF DATA

It is observed that the social background of the women is an important factor in their conceptualizing and measuring the component entrepreneurial orientation in terms of perception of women entrepreneurs, an attempt was made to correlate it with socio-economic characteristics of the respondents to find their role in determining entrepreneurial orientation. We have framed certain objectives in order to correlate socio-economic characteristics with entrepreneurial orientation as follows in the table.

*Table:-1 The entrepreneurial orientation by social background components of respondents:*

| The percentage age wise entrepreneurial orientation of respondents |       |      |        |      |     |      |       |      |
|--|-------|------|--------|------|-----|------|-------|------|
| Age  | Young |      | Middle |      | Old |      | Total |      |
|  | R     | %    | R      | %    | R   | %    | R     | %    |
| Low  | 6     | 40.0 | 6      | 19.3 | 4   | 50.0 | 16    | 29.6 |
| Medium   | 7     | 46.6 | 14     | 45.3 | 3   | 37.5 | 24    | 44.4 |
| High   | 2     | 13.4 | 11     | 35.4 | 1   | 12.5 | 14    | 26.0 |
| Total  | 15    | 100  | 31     | 100  | 8   | 100  | 54    | 100  |

*R=Respondents*

| The percentage religion wise entrepreneurial orientation of respondents |       |      |        |      |       |      |       |      |
|---|-------|------|--------|------|-------|------|-------|------|
| Religion  | Hindu |      | Muslim |      | Sikhs |      | Total |      |
|   | R     | %    | R      | %    | R     | %    | R     | %    |
| Low   | 10    | 30.3 | 6      | 33.3 | 2     | 66.6 | 16    | 33.3 |
| Medium  | 11    | 33.3 | 10     | 55.5 | 1     | 33.4 | 23    | 40.7 |
| High  | 12    | 36.4 | 2      | 11.2 | -     | --   | 15    | 26.0 |
| Total   | 33    | 100  | 18     | 100  | 3     | 100  | 54    | 100  |

*R=Respondents*

| The percentage Marital status entrepreneurial orientation of respondents |         |      |           |      |       |      |       |      |
|--|---------|------|-----------|------|-------|------|-------|------|
| Marital status   | Married |      | Unmarried |      | Widow |      | Total |      |
|  | R       | %    | R         | %    | R     | %    | R     | %    |
| Low  | 15      | 32.0 | 1         | 25.0 | -     | --   | 16    | 30.0 |
| Medium   | 18      | 38.2 | 3         | 75.0 | 2     | 66.6 | 23    | 42.5 |
| High   | 14      | 29.8 | -         | --   | 1     | 33.4 | 15    | 27.5 |
| Total  | 47      | 100  | 4         | 100  | 3     | 100  | 54    | 100  |

*R=Respondents*

| The percentage caste wise entrepreneurial orientation of respondents |         |      |                |      |                 |      |       |      |
|--|---------|------|----------------|------|-----------------|------|-------|------|
| Caste  | General |      | Other backward |      | Scheduled Caste |      | Total |      |
|  | R       | %    | R              | %    | R               | %    | R     | %    |
| Low  | 13      | 34.2 | 1              | 16.6 | 2               | 20.0 | 16    | 30.0 |
| Medium   | 17      | 45.0 | 2              | 33.4 | 6               | 60.0 | 25    | 46.6 |
| High   | 8       | 21.7 | 3              | 56.0 | 2               | 20.0 | 13    | 24.7 |
| Total  | 38      | 100  | 6              | 100  | 10              | 100  | 54    | 100  |

R=Respondents

The above table shows that by examining the relationship of age with entrepreneurial orientation it was found that women belong to middle age exhibited a high level of entrepreneurial orientation as compared to relatively young women. Perhaps, during this period of their age they establish their entrepreneurial units. Our observation had also shown that most of the women started their entrepreneurial venture after marriage and married women exhibited a higher level of entrepreneurial orientation. Therefore our observation invalidated the objectives that young and unmarried

women exhibited a high level entrepreneurial orientation. To study the relationship of religion and caste with entrepreneurial orientation it is found that 36% Hindu women compared to Muslim have perceived a high level of entrepreneurial orientation. Caste wise 21.7% of general caste, 56.0% of other backward caste and 20.0% of Scheduled caste women perceived a high level of entrepreneurial orientation. Though few in numbers interestingly our observation had also shown that women from rural areas have perceived a high level of entrepreneurial orientation.

Table:-2 The entrepreneurial orientation by Educational background of women entrepreneurs 'respondents' families.

| The percentage wise effect of father's education in entrepreneurial orientation of respondents |                        |      |                        |      |            |      |                 |      |       |      |
|--|------------------------|------|------------------------|------|------------|------|-----------------|------|-------|------|
| Father's education   | Below higher secondary |      | Up to Higher secondary |      | Graduation |      | Post graduation |      | Total |      |
|  | R                      | %    | R                      | %    | R          | %    | R               | %    | R     | %    |
| Low  | 1                      | 25.0 | 4                      | 26.6 | 9          | 32.1 | 2               | 28.6 | 16    | 29.6 |
| Medium   | 1                      | 25.0 | 5                      | 33.4 | 14         | 50.0 | 3               | 42.8 | 23    | 42.6 |
| High   | 2                      | 50.0 | 6                      | 40.0 | 5          | 17.9 | 2               | 28.6 | 15    | 27.8 |
| Total  | 4                      | 100  | 15                     | 100  | 28         | 100  | 7               | 100  | 54    | 100  |

R=Respondents

| The percentage wise effect of mother's education in entrepreneurial orientation of respondents |                        |      |                        |      |            |      |                 |       |       |      |
|--|------------------------|------|------------------------|------|------------|------|-----------------|-------|-------|------|
| Mather's education   | Below higher secondary |      | Up to Higher secondary |      | Graduation |      | Post graduation |       | Total |      |
|  | R                      | %    | R                      | %    | R          | %    | R               | %     | R     | %    |
| Low  | 4                      | 26.6 | 8                      | 27.5 | 4          | 44.4 | -               | --    | 16    | 29.6 |
| Medium   | 7                      | 46.6 | 12                     | 41.3 | 4          | 44.4 | 1               | 100.0 | 24    | 44.4 |
| High   | 4                      | 26.8 | 9                      | 31.2 | 1          | 11.2 | -               | --    | 14    | 26.0 |
| Total  | 15                     | 100  | 29                     | 100  | 9          | 100  | 1               | 100   | 54    | 100  |

R=Respondents

The above table shows of the educational level of the women entrepreneurs' family on their basis of the parents. It was found that 40% of women and 28.5% whose fathers' were upto higher secondary and post graduate respectively did not differ in terms of entrepreneurial orientation. Interestingly, women whose mothers' were below higher secondary depicted a high

level of entrepreneurial orientation when compared to women whose mothers were graduate regarding the role of parents' educational background it was found that parents were a source of inspiration and effectively generated entrepreneurial orientation in their children irrespective of their background.



*Table:-3. The husband's background in entrepreneurial orientation.*

| The percentage of husband's occupation in entrepreneurial orientation |             |      |         |      |          |      |               |      |       |      |
|---|-------------|------|---------|------|----------|------|---------------|------|-------|------|
| Husband<br>'occupation  | Agriculture |      | Service |      | Business |      | Not available |      | Total |      |
|   | R           | %    | R       | %    | R        | %    | R             | %    | R     | %    |
| Low   | 1           | 33.3 | 5       | 31.2 | 9        | 30.0 | 1             | 20.0 | 16    | 29.6 |
| Medium  | 2           | 66.7 | 8       | 50.0 | 10       | 33.3 | 3             | 60.0 | 23    | 42.6 |
| High  | --          | --   | 3       | 18.8 | 11       | 36.7 | 1             | 20.0 | 15    | 27.8 |
| Total   | 3           | 100  | 16      | 100  | 30       | 100  | 5             | 100  | 54    | 100  |

*R=Respondents*

| The percentage of husband's education in entrepreneurial orientation |                        |      |                        |      |            |      |                 |      |               |      |       |      |
|--|------------------------|------|------------------------|------|------------|------|-----------------|------|---------------|------|-------|------|
| Husband education  | Below higher secondary |      | Up to Higher secondary |      | Graduation |      | Post graduation |      | Not available |      | Total |      |
|  | R                      | %    | R                      | %    | R          | %    | R               | %    | R             | %    | R     | %    |
| Low  | 2                      | 50.0 | 3                      | 42.8 | 6          | 21.4 | 4               | 44.4 | 1             | 16.6 | 16    | 29.6 |
| Medium   | 1                      | 25.0 | 2                      | 28.6 | 14         | 50.0 | 3               | 33.3 | 3             | 50.0 | 23    | 42.6 |
| High   | 1                      | 25.0 | 2                      | 28.6 | 8          | 28.6 | 2               | 22.3 | 2             | 33.4 | 15    | 27.8 |
| Total  | 4                      | 100  | 7                      | 100  | 28         | 100  | 9               | 100  | 6             | 100  | 54    | 100  |

*R=Respondents*

The above shows the occupational level of the women entrepreneurial basis of their husband's .It was found 18.8% of women and 20% whose husband's were service classes of entrepreneurial orientation. When compared to women whose husbands were 28.6% upto higher secondary level and 33.4% not amiable? Their four husband's business background and educational background determined entrepreneurial orientation.

secondary depicted a high level of entrepreneurial orientation when compared to women, whose mothers' were graduate when compared to women whos husbands were 28.6% upto higher secondary level and 33.4% not amiable? Their four husband's business background and educational background determined entrepreneurial orientation.

## V. CONCLUSION

It is observed that the social background of the women is an important factor in their conceptualizing and measuring the component entrepreneurial orientation in terms of perception of women entrepreneurs, an attempt was made to correlate it with socio-economic characteristics of the respondents to find their role in determining entrepreneurial orientation. The relationship of age with entrepreneurial orientation it was found that women belong to middle age depicted a high level of entrepreneurial orientation as compared to relatively young women. Perhaps, during this period of their age they establish their entrepreneurial units. Our observation had also shown that most of the women started their entrepreneurial venture after marriage and married women depicted a higher level of entrepreneurial orientation. The educational level of the family wise on the basis of the parents. It was found that 40% of women and 28.5%whose fathers' were upto higher secondary and post graduate respectively did not differ in terms of entrepreneurial orientation. Interestingly, women whose mothers' were below higher

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## Enviromental Sculptures An Artist's view

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**Abstract:** Art is for the “artist” his speech, his way of communication and the image, the recognizable shape, the meaningful symbol’ is the basic unit of his language. Line, shape and colours, though they may be beautiful and expensive are by no means images. For us the image is a figured shape or symbol fashioned by the artist for his perceptions and imaginative experience. It is born of past experience and it communicates. It communicates because it has the capacity to refer to experiences that artist shares with his audience. Art is willed, no matter how much the artist may draw upon the instructive and unconscious level of his experiences, a work of art remain a purposive act, a humanization of nature. The artists’ purpose achieves vitality and power in his images. Take the great Blackbull of axcurx for example and old beast and a powerful one who has watched over the birth of many arts and many mythologies. He is endowed with vitality, which is an emblem of life itself. Destroy the living power of the image and you have humbled and humiliated the artist the artist have made him a blind and powerless Samson fit only to guide the town of Palestine. And of the various branches of arts and crafts perhaps by far the greatest and nearest to the African heart is sculpture. This is so because as Luise Jefferson puts it in his “Decorative Arts of Africa”, “African Sculptures saved deeply rooted needs for the African”. These deep-seated needs, we shall try to explore later in this paper.

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# Enviromental Sculptures An Artist's view

Olaomo A Azeez

## I. INTRODUCTION

Art is for the "artist" his speech, his way of communication and the image, the recognizable shape, the meaningful symbol' is the basic unit of his language. Line, shape and colours, though they may be beautiful and expensive are by no means images. For us the image is a figured shape or symbol fashioned by the artist for his perceptions and imaginative experience. It is born of past experience and it communicates. It communicates because it has the capacity to refer to experiences that artist shares with his audience.

Art is willed, no matter how much the artist may draw upon the instructive and unconscious level of his experiences, a work of art remain a purposive act, a humanization of nature. The artists' purpose achieves vitality and power in his images. Take the great Blackbull of Ixcur for example and old beast and a powerful one who has watched over the birth of many arts and many mythologies. He is endowed with vitality, which is an emblem of life itself. Destroy the living power of the image and you have humbled and humiliated the artist the artist have made him a blind and powerless Samson fit only to guide the town of Palestine. And of the various branches of arts and crafts perhaps by far the greatest and nearest to the African heart is sculpture. This is so because as Luise Jefferson puts it in his "Decorative Arts of Africa", "African Sculptures saved deeply rooted needs for the African". These deep-seated needs, we shall try to explore later in this paper.

Besides this view aptly expressed by Jefferson another buffer Petrie Marie (1979) offers another succinct reason why sculpture should be given a place of eminence amongst the creative arts. She opines, "In our technical age one of the most important things is the education of the tactile sense by which we enter into the three-dimensional world of reality ". The sundress of this proposition becomes very obvious when we know all about sculpture, the purpose or function of sculptures and ways to promote sculptures.

## II. DEFINITION OF SCULPTURE

Sculpture can be defined as a three dimensional art that constitutes one of the first creative arts of man. In its narrowest sense it deals with modelling and carving of forms, but in its broadest sense it deals with subtractive and additive methods, which embody carving, modelling, construction, assemblage etching etc. Sculpture is an artwork that is three dimensional in nature, which has length, breadth and height and as well occupies space.

Sculpture is reported to be one of the oldest form of art with its early monuments dating back to the Palaeolithic age, its origin has been traced to Africa where In Ancient Egypt sculpture was deeply encouraged by a belief that a man's soul remained alive as long as the person's Image was preserved. The Sculpture of Ancient Greece reached a high point in representational art a seeking out of the inviolate harmony of the images. Today sculpture is evolving, just like other art forms but not in the direction of the ancient Greeks. Sculpture is aiming towards a naturalistic depiction of the human body.

For example, the direction is that of analysis of deep expressions of the spiritual life of man and his social, economic and political conditions. This direction has African art as its beacon.

There are those steeped in Western Education and in imported religious who jeer at our traditional art a little, realising that some of the foremost white artists like Pablo Picasso, Alexander Calder, Jean Dubuffet and Ben Shann had the greatness of their panting and sculpture founded on their sensitivity in reflecting the attitudes and motifs of the Africans and there are the others who are blind to the incalculable services of our artists and artistes. In Nigeria the greatest custodian of African art, the subject, art epitomise the culture.

## III. TYPES, STYLES AND CLASSIFICATION OF SCULPTURE

There are two main categories of sculpture; The first being one of free standing pieces, not connected with any structure excepts its pedestal. It can also be referred to as sculpture in the round, which are sculptures whose beauty can be appreciated from all sides like any other landscape sculptures that were

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found around the corner within the different cities of the country. They are placed either inside or outside the buildings, town squares we have a lot of examples of these kind of sculptures in our big cities. Like , the three Lagos chiefs welcoming visitors to the Lagos city at the toll gate, the Eyo Masquerade at the former Idumota soldiers, Iba Oluyole in Ibadan, Yeye Osun in Osogbo etc. The second category of sculpture consists of bas relief's on interior or exterior walls of buildings, it is also referred to as two dimensional art which can be appreciated only from the perspective or the side presented by the artist like the Festac '77 symbol, or the Popular Benin Plaques. The Festivals by Isiaka Osunde at the Departure Hall of Murtala Mohammed Air- port and Mobile by Ifeta in the same Hall are examples of this type of sculpture.

The classification of these sculptures that are already being discussed really alludes to the type of execution, which is to say how one is likely to meet a sculpture.

Sculpture could either be realistic like the Obanta Statue at Ijebu-Ode, Baba Onisekere at Osogbo or abstract like the one that can be seen at Sapon in Abeokuta. In other words themes for sculpture are either natural or artificial.

#### IV. STYLES

We must recognise that there are so many styles and ways of executing sculptures but what this speaker seeks to emphasise here is that all the styles – genre horror, Vacui, Rococo, Mannerism, impressionism, expressionism, mechanomorphic, biomorphic etc boil down to naturalism/realism and abstraction/artificiality.

While discussing types of sculpture, it is pertinent to mention another classification, which is very important. This classification denotes sculpture by location. This, all sculptures can be referred to as either stables or mobiles. The stables are the stable sculptures which are firmly fixed and do not move as mentioned earlier in this paper, examples of this type of sculpture has been given initially in this write up.

The mobiles are sculptures that move freely in the air. Traditionally, they are hung and move by air currents but nowadays by electricity or by other contrivances. In the hands of a master like Alexander Calder, mobiles are a beauty to watch.

Discussing types of sculptures would not be complete if we fail to highlight African sculpture and its unique provincial themes with African proportions as against classical Grecean proportions with transcontinental theme, which are universally employed in sculptures bearing in mind the natural proportions.

Finally on groupings, sculptures may be classified also by their sizes e.g.

(a) Figurines, which are very small statuettes

(b) Life size – which is real life size proportion like the Baba Onisekere at Osogbo (giant size) colossal very mighty like the African torch of liberty or the classical colossure of Rhodes.

From the foregoing classes and types of sculptures, it is obvious that sculptures must have a role in the society.

According to Nwoko (1977) "what the African artist has done it to extend the dimensions of natures creativity instead of presenting nature. This unfettered approach to artistic creativity established the most favourable conditions for the unprecedented prolific productions of the arts in this part of the world". He also asserted that this approach to art allowed for the assurance of the Valid existence of nature "from which man was free at all times to derive maximum aesthetic pleasure, such environmental/aesthetic pleasure is desirable for all humanity".

The delicate balance between portraiture and abstraction found in Africa art has kept alive the devils encounters we have of sculptures which, though, they were not made with any particular person in mind always tend to strongly look like someone we know. This is not to say that African art follows the same mould across the breath of the continent. Not so even for Nigeria where the masks has been shown to be one of the most public art forms. Different societies in Nigeria have shown a high degree of selectivity in their choice of shape patterns of masks.

The distinguishing artistic patterns of a group of people can be said to be directly derived from its immediate creative environment for according to Chike Aniakor (1977 " artistic resources expended as a mask reflects the economic prosperity of the village group and so the masks is thus conceived also as a symbol of the artistic ideals of the village/community".

#### V. INFLUENCE OF AFRICAN ART SCULPTURES ON EUROPEAN ARTISTS

African art has had a great influence on art in other parts of the world. When Western artist masters like Picasso painted masks it was seen that "theirs were superficial copies of the shape of the Masks". Not being grounded in the African Idiom, these arts could not carry the aesthetic expressions that inspired them. The works of Henry Moore an English artist might be an exception. Whatever his source of inspiration his sculptures with holes will fit quite well into our landscape in Africa.

#### VI. THE PURPOSES AND FUNCTIONS OF ENVIRONMENTAL SCULPTURES

Sculptures are done for various reasons. Their functions in the case of Nigeria are in various ways, our synthesis of the emergent roles of the two types of sculptures in the scene- viz the purely traditional



sculpture and the western sculpture as imbibed from the whites.

Traditionally, sculptures are the heart of the culture. This is so because as Thurstan Shaw (1977), observed that the African culture is highly "symbolic and visualised" Majemite(2004), expressed the same thought when he said that "most of the belief, and almost every aspect of the traditional lives of Nigerians are centred around some deities either of the land, the sea, the air, the woods or a host unnamed supernatural forces. Invariably, the worshipping of these myriad of goods and cosmic hosts is heavily embedded in concrete art symbols and images- mostly sculptures".

Besides serving as spiritual bridge between the living and the ancestors, sculptures could be used to show honour, love or respect to either the living or the dead. For example a gift of any of our masks to a visiting dignitary will establish diplomatic and political good will. The statues are carved to immortalize great national leaders who represent a landmark in the history of a nation or symbolize the culture of a society. A good statue is neither a moral nor a social liability to a nation. It is an economic assets, the Colossus of Rhodes, a giant hundred foot bronze statue of Apollo the deity of the ancient Greek, thought destroyed after fifty five years is still recorded on the pages of world history as one of the worlds seven wonders. If it had survived, it would have been worthy of trillions of dollars. The British Museum bags millions of pounds from tourist who visits the remains of Mausolins, erected since 350 BC. By Queen Artemisia as the tombs of mausolins, King of Caria. The statue of Liberty located in New York Liberty Island receives millions of tourists all over the world and contributes millions of dollars to the economy of the U.S.A.

Sculptures too record and relate to our history, they are also very good social comments. Sculptures being three-dimensional are more easily understood and appreciated than paintings when used for decorative purposes. Sculpture have also enhanced the beauty of houses especially where they form part of the architectural design. Sculptures are used for divination in African content. They are also used to promote morals or inculcate specific social norms. Sculptures are used by many African Tribes to heal many ailments through magico- religion practices. Sculptures too form the heart of Phallic and fertility cults of most African people.

In themselves sculptures are of high economic value. Besides, sculptures have immensely contributed to the establishment of art shops, art centres, art galleries, art gardens, amusement parks, museums and the edification of many places for tourist attraction withinin Nigeria , engaging in modelling as a hobby is rewarding and acts as a useful step into the technical world.

Sculptures are very eloquent in speaking about the beauty of a place. For example, the entrance to the Oshun shrine is or tourist attraction on accounts of its arts especially the sculptures that were found around the entrance of the shrine.

## VII. LANDSCAPE SCULPTURES IN NIGERIA

There is a rich tradition of sculptures in the country from Igbo Ukwu, Benin and Ife in the South to Esie and Nok in the North. Modern sculptures adorn many states. In some states like Edo, Delta, and Anambra art galleries, art shops museums, art centres are well repleted with rich and varied sculpture, masks, plaques sculptures in the round. The Northern states too are not left out. States like Borno and Kaduna have enviable environmental beautification through landscape sculptures.

Osun state like others is trying hard to break ground in environmental beautification. Plans are underway to beautify the State Capital and the Local Government head quarters with Sculptures and other art works in well built round about and amusement parks. For now, there are some efforts by individuals and corporate bodies to use sculptures to decorate places. In due course, one hopes to see more buildings in the state Capital that will be decorated with beautiful relief running round the facia.

## VIII. CONCLUSION

The sculptures in our landscapes should be encouraged by the government of the day, the religious aspect of our life as against the erection of free standing sculpture should be discouraged because of the beautification it added to our squares and environment. In a paper of this kind it is not possible to make an extensive survey of the art of the present generation, it may be noted however by way of concluding this paper, that many young artist and others not so young are entirely at work today seeking to forge a personal style for themselves relevant to line and place. Others keep abreast of fashion. But just who among the artist of the present generation will produce work of enduring value is a question that only the future will decide, it may be noted nevertheless that work of interest and promise is being produced at this moment in the continent.

Modern art has librated the artist from his bondage to the world of natural appearance, it has not imposed upon him the need to withdraw from life, the widespread desire as it is claimed, to purify, painting has led many artist to claim that they have invented a new language. We see no evidence at all of neither the emergence of such a new language nor any likelihood of its appearance.

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**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 through 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

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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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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
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#### 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:

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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.

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- 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.
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#### 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.

#### 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

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- Put figures and tables, appropriately numbered, in order at the end of the report
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#### Figures and tables

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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."
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- 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.

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| <b>References</b>             | Complete and correct format, well organized  | Beside the point, Incomplete  | Wrong format and structuring                                       |

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