

Proceedings of the First Multi- Disciplinary Seminar

Organized and Sponsored by:

St. Mary's University College

September 2009

SMUC

Addis Ababa

Preface

The first Multidisciplinary Seminar was held at the St. Mary's University Multi-purpose Hall on September 2009. The Seminar is an annual event, organized by the Center for Educational Improvement and Quality Assurance (CEIQA), which showcases the diverse research conducted by various scholars from the University College and other institutions outside. It was meant for bringing together experts and researchers towards sharing scholarly ideas and employing a multidisciplinary approach to solving problems of everyday life.

A total of 11 papers drawn from various fields of studies were presented in this day-long seminar. Among those 11 papers, 10 of them were presented by St. Mary's University College faculty members, while the remaining was presented by an invited scholar from the University of Limerick, Ireland. Issues related to education and quality, law, business, computer science and cross-cutting themes like HIV/AIDS and environment were some of the points raised. Participants undergo a series of discussions on the topics entertained.

This proceedings is, therefore, a compilation of the research papers presented at the seminar.

Content	Page
Anduamlak Yibeltal. Evaluating the balance of primary education second cycle curriculum materials vis-a-vis UNESCO's four pillars of education with particular reference to Addis Ababa city government.....	1
Ephrem Gossaye, Terefe Feyera and Sisay Habte. Factors affecting students classroom behaviour in St. Mary's University College with particular focus on department of Marketing Management.....	22
Taye Girma. Design, simulation, synthesis and Implementation of wallace tree multiplier.....	44
Tenkir Seifu Legesse. Customs valuation system in Ethiopia.....	61
Seble Worku. Challenges of quality management in private higher education institutions: The case of St. Mary's University College.....	76
Hailu Burayu. Settlement of investment disputes and the ICSID convention: An Ethiopian experience.....	90

Evaluating the Balance of Primary Education Second cycle Curriculum Material vis-à-vis UNESCO’S Four Pillars of Education with Particular Reference to Addis Ababa City Government

By

Anduamlak Yibeltal Mengist

Lecturer, SMUC

Abstract

The purpose of this study is to evaluate whether or not the Ethiopian primary education second cycle curriculum, with particular reference to Addis Ababa city Government, incorporates the “Four pillars of Education” in a balanced manner. To this end, mixed method research with quantitative content analysis design supported by qualitative interview guide was employed. The contents of a total of seven selected sample text books from grades 5 and 8 were analyzed and officials, professionals and experts from Ministry of Education, Institute for Curriculum Development and Research and Addis Ababa City Government Education Bureau were interviewed in the research. The sample grades (grades 5 and 8) are selected purposefully where as the sample text books are selected using stratified sampling technique. All the data gathered through these data gathering instruments were analyzed thematically and meanings are constructed out of them. Consequently, it was found that in 71.4% of the sample text books the “Four Pillars of Education” are found unbalanced mainly dominated by the pillar ‘learning to know’. Findings from the interview also ensured that these “Four Pillars of Education” were not deliberately considered during policy formulation, syllabi development and text book preparation. In the end, it is concluded that the primary education second cycle curriculum of Addis Ababa City Government lack a proper balance in comprising the “Four Pillars of Education” set by UNESCO.

1. The Problem and its Background

Curriculum is a crucial component of any educational process. It can be viewed from different points of view. The value we give for education dictates the meaning of the curriculum or the kind of school system. Basically there are four layers of curriculum, viz. intended curriculum – the written curriculum document; the expressed curriculum – the enacted or manifested curriculum elsewhere; the hidden curriculum – that invisibly taught of the interaction of teachers with the students and students with the students; and the experienced curriculum – the actual experiences in the classroom. The content of what we expect children to learn during their schooling is clearly a crucial element in curriculum planning, whatever view we take of education, curriculum or, indeed, knowledge itself (Kelly, 2004:14).

As stated in the education sector strategy document of Ethiopian government (TGE, 1994b as cited in Akalewold, 2005).

The quality and standard of education in a given country is mainly determined by the essence of its curriculum and the process of its implementation. The relevance of any curriculum on the other hand is determined by the extent it meets the educational objectives.

When we refer the efforts made to achieve goals of primary education in Ethiopia (ESDP, 1996), the emphasis is on the improvement of the level of quality of human and material resources as well as capacity building of teachers. For instance, the goals of the second cycle of primary education are: to provide a grade education that prepares the learners for the next cycle and to prepare citizens who can be trained in basic vocational and technical skills (ICDR, 1994). However, as Wanna (2001) indicated, studies conducted show that especially the second goal has not been addressed well. This means that instructions given at elementary level have not motivated the students as expected to pursue different occupational skills at secondary level. Further study may not be required to recognize that the major factor for the in achievement of the aforementioned goals can be unbalanced and irrelevant curriculum because it is the curriculum, at any level, which guides the instruction.

By the formulation of the new education and training policy in 1994, one of the components of the educational structure is a primary education from grades 1-8 sub divided into two cycles of first or basic (grades 1-4) and second or general (grades 5-8) education (TGE, 1994). Accordingly, profile of students who finished the first eight years of elementary schooling is stated as follows (ICDR, 1994).

- They are ready to carryout simpler tasks that do not require special skills or training
- They will be ready for different kinds of training
- They can become productive workers with the help of directives, continuous training and assistance
- They will actively participate in cultural activities and feel responsible
- With the help of continuing education they can develop their knowledge and skills further

- They have developed good experience of working cooperatively for the common good.

2. Statement of the problem

Primary education being the base of the formal education pyramid has often been viewed as the most crucial educational level in the formal system because any unsolved problems at this level would automatically reflect at the subsequent (secondary and tertiary) educational levels (Yalokwu ,2001).One of the major determinants of quality of education is believed globally to be curriculum soundness in terms of relevance and balance. The new Education and Training Policy (ETP) gives due emphasis for strengthening of the individual's and society's problem solving capacities at all levels. As stated in ETP (1994:7) one of the objectives of education is “to develop the physical and mental potential and problem solving capacity of individual by expanding basic education for all”. Moreover, a look at the goal of primary education in Ethiopia which is documented by the Ministry of Education (MoE, 1996) in its Education Sector Development Program (ESDP) reveals that emphasis was placed on the improvement of the level of quantity of human and material resources as well as improvement in the training of teachers. However, not much was stated in terms of the relevant skills and values to be inculcated in the training of primary school students (Yalokwu, 2001).

Quality education is understood in three aspects: input, process and output. Expecting to achieve quality education with out having the major input, balanced curriculum is unthinkable. With respect to Ethiopian primary education, neither the formative evaluations and review of curricular materials conducted as of the implementation of the curriculum reform nor the summative evaluation which took place between May-June 2000 paid significant attention for balance and relevance of the curriculum (Dereje, 2001)

What initiated the idea of conducting a study on this issue is the conditions in which quality of education seems expected with out giving sufficient attention for curriculum balance and relevance. Furthermore, the researcher believed that UNESCO'S “Four Pillars of Education” can be best standards to evaluate curriculum balance. It is also the researcher's personal belief that the curriculum document of primary education second cycle is more of full of cognitive

information and subsequent evaluations, even, overlooked or ignored the issue of balance and relevance of the curriculum.

3. Objectives of the study

General Objective:

- To examine the balance and relevance status of primary education second cycle curriculum Vis-à-vis the “Four Pillars of Education” set by UNESCO in Addis Ababa City Government.

Specific Objectives:

- To evaluate the primary education second cycle text books of Addis Ababa City Government against the set criteria;
- To investigate the problems with respect to balance and relevance of the curriculum;
- To show the impact of unbalanced and irrelevant curriculum on the general aim of education of the country in general and primary education quality in particular.

4. Basic Research Questions

In brief, the study will attempt to answer the following questions:

1. Is the Addis Ababa City Government primary education second cycle curriculum balanced or not vis-à-vis the “Four Pillars of Education” set by UNESCO?
2. What is the need for considering these “Four Pillars of Education” in curriculum development?
3. What is the contribution of balanced curriculum for quality education?
4. What is the impact of unbalanced curriculum on the country’s general aim of education?

5. Significance of the Study

The study is believed to have the following significance:

- It can throw some light for educational policy makers and curriculum developers on the criticality of considering UNESCO's principles, opinions, standards, etc. during construction or development of curriculum;
- It might make the implementers to recognize that due consideration should be given for keeping the balance during instruction;
- Curriculum evaluators and reviewers are also expected to be benefited from the study because it might help them to focus on the balance and relevance of the curriculum at the time of evaluation or revision;
- Researchers might also use the research results as springboard for further investigations on the various aspects of curriculum balance and relevance.

6. Review of Related Literature

The “Four Pillars of Education”: A brief overview

UNESCO is working to improve education worldwide through technical advice, standard setting, innovative projects and networking. Accordingly, after the General conference invited the then Director General, Federico Mayor, in November 1991, to convene an international commission to reflect on education and learning for the Twenty first century, the International Commission on Education for the Twenty first century was formally established at the beginning of 1993. After carrying out its work in a very concerned and responsible manner the commission provided a report, '*Learning: The Treasure within*' and delivered to the Director General on 11 April 1996.

Accordingly, the commission set the “Four Pillars of Education” which it saw as providing a frame work on which education should be based. Thus, the “Four Pillars of Education” are:

- a. *Learning to know*:- concerned less with the acquisition of structured knowledge than with the mastery of learning tools. It implies learning how to learn by developing one's concentration, memory skills and ability to think.

- Improving concentration skills can be aided by different learning opportunities like game, work experience programs, travel, practical science activities, etc.
 - The development of memory skills is an excellent tool for countering the overpowering stream of instant information put out by the media.
 - Ability of thinking should encompass both practical problem solving and abstract thought.
- b. *Learning to do*: - is the issue of occupational training i.e. equipping the pupils to do the types of work needed in the future. There is a growing trend among employers to evaluate potential employees in terms of their personal competence rather than certified skills which they see as merely demonstrating the ability to perform specific physical tasks. The new forms of personal competence are based on a body of theoretical and practical knowledge combined with personal dynamism and good problem solving , decision making , innovative and team skills.
- c. *Learning to be*:- implies learning for life. All people should receive in their child hood and youth an education that equips them to develop their own independent, critical way of thinking and judgment so that they can make up their own minds on the best courses of action in the different circumstances in their lives. To challenge dehumanization of the world, education should enable each person to be able to solve his own problems, make his own decisions and shoulder his own responsibilities.
- d. *Learning to live together*:- involves developing an understanding for fellow people, history, traditions and spiritual values whether education is provided by the family, the community or the school, children should be taught to understand other peoples reactions by looking at things from their point of view. Where this spirit of empathy is encouraged in schools, it has a positive effect on young person's social behavior for the rest of their lives.

7. Research Design and Method

Mixed methods research with embedded design is employed. Accordingly, a qualitative data is embedded within a quantitative methodology. Because of its relevance, content analysis design is

8. Data Analysis and Presentation

On the analysis stage, both quantitative and qualitative data are analyzed independently and mixed at the discussion stage. Following sequential steps the analysis started from the quantitative data gathered by content analysis. Chi-square test is used to measure the level of significance of each subject. Then after, the qualitative findings collected by interview are also analyzed. The brief quantitative data analysis is as follows:

Based on the units counted and categorized of grade 5 Amharic textbook, the percentage of the units which are relevant to the category ‘learning to know’ is the highest (32.7%) and that of the category ‘learning to live together’ is the least (17.3%). It is also observed that the difference between the coverage of the categories ‘learning to know’ (32.7%) and ‘learning to be’ (28.8%) is not significant. The same is true for the categories ‘learning to do’ (21.2%) and ‘learning to live together’ (17.3%). The chi-square test also shows the following:

Table 2: Chi- Square Test for Grade 5 Amharic

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	17	13	4	16	1.23
Learning to do	11	13	-2	4	0.3
Learning to be	15	13	2	4	0.3
Learning to live together	9	13	-4	16	1.23
Total	52	52	$X^2 \sum \left[\frac{(f_o - f_e)^2}{f_e} \right] = 3.06$		

The computed chi-square value shows $x^2=3.06$ which is less than the critical value (x^2 at $df=3$, 0.05 levels of significance= 7.815). Hence, the difference among coverage of the “four pillars” is not significant in grade 5 Amharic since the calculated chi-square value is less than the critical chi-square value. This implies that the contents of grade 5

Amharic textbook incorporate the “four pillars of education” almost in a balanced manner.

The data collected from the other sample textbook i.e. grade 5 science, show that the very largest content of the text book (50.9%) is covered with issues relevant to the category ‘learning to know’. Relative to the categories ‘learning to be’ (13.2%) and ‘learning to live together’ (3.8%) coverage of ‘learning to do’ (32.1%) is better. The significance test using chi-square also indicated as follows:

Table 3: Chi-square Test for Grade 5 Science

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	27	13.25	13.75	189.15	14.3
Learning to do	17	13.25	3.75	14.1	1.1
Learning to be	7	13.25	-6.25	39.1	2.95
Learning to live together	2	13.25	-11.25	126.6	9.6
Total	53	53	$X^2 \sum \left[\frac{(f_o - f_e)^2}{f_e} \right] = 27.95$		

The computed chi-square value shows $x^2=27.95$ which is greater than the critical values (x^2 at $df=3$, 0.05 level of significance= 7.815). Hence, the difference among coverage of the “four pillars” is significant in grade 5 science since the calculated chi-square value is greater than the critical chi-square value. This implies that imbalance of the “four pillars of education” in the contents of grade 5 science is very high dominated by the pillar ‘learning to know’.

Evaluation of grade 5 Geography textbook shows that over half of the contents of the textbook (56.5%) consists of issues that are under the pillar ‘learning to know’. Only 6.1%, which is the least of all, addressed the issues of ‘learning to live together’. The finding also shows that the pillar ‘learning to be’ (26.7%) is better covered than the pillar

‘learning to do’ which is 10.7%. When the values obtained are also tested by chi-square a significance difference is observed among the pillars.

Table 4: Chi Square Test for Grade 5 Geography

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	74	32.75	41.25	1701.6	52
Learning to do	14	32.75	-18.75	351.6	10.7
Learning to be	35	32.75	2.25	5.1	0.15
Learning to live together	8	32.75	-24.75	612.6	18.7
Total	131	131	$X^2 \sum \left[\frac{(f_o - f_e)^2}{f_e} \right] = 81.55$		

The computed chi-square value shows $x^2=81.55$ which is very much greater than the critical value (x^2 at $df =3$, 0.05 level of significance= 7.815). Hence, the difference among coverage of the “four pillars” is significant in grade 5 geography since the calculated chi-square value is greater than the critical chi-square value. The implication of this finding shows that the contents of grade 5 Geography textbook are highly dense with cognitive information which is under the pillar ‘learning to know’.

The findings from the other sample grade level grade 8 English indicate that the category ‘learning to know’ has a relative highest coverage, i.e. 31.3%. It is the category ‘learning to live together’ which has a relative lowest coverage (17.9%). The difference observed between the percentage of ‘learning to do’ (26.2%) and ‘learning to be’ (24.2%) is not that much significant. The result obtained from the chi-square test also shows the levels of significance.

Table 5: Chi-Square Test for Grade 8 English

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	42	33.5	8.5	72.25	2.15
Learning to do	35	33.5	1.5	2.25	0.07
Learning to be	33	33.5	-0.5	0.25	0.007
Learning to live together	24	33.5	-9.5	90.25	2.69
Total	134	134	$X^2 \sum \left[\frac{(f_o - \overbrace{f_e})^2}{f_e} \right] = 4.92$		

The computed chi-square value shows $x^2=4.92$ which is less than the critical value (x^2 at $df=3$, 0.05 level of significance=7.815). Hence, the difference among coverage of the “four pillars” is not significant in grade 8 English since the calculated chi-square value is less than the critical chi-square value. This value implies that the coverage of the “four pillars of education” in the grade 8 English textbook is almost balanced.

Units relevant to the category ‘learning to know’ scores the highest value (49.4%) in grade 8 Biology textbook. The coverage of the category ‘learning to live together’, 12.0%, is the least value in this textbook. Even though their coverage is very much less than the highest value, the difference between the coverage of the categories ‘learning to do’ and ‘learning to be’ is not that much far. The level of significance tested by chi-square is shown as follows:

Table 6: Chi- square Test for Grade 8 Biology

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	41	20.75	20.25	410.1	19.8
Learning to do	17	20.75	-3.75	14.1	0.68
Learning to be	15	20.75	-5.75	33.1	1.59
Learning to live together	10	20.75	-10.75	115.6	5.57
Total	83	83	$X^2 \sum \left[\frac{(f_o - f_e)^2}{f_e} \right] = 27.64$		

The calculated chi-square value shows $x^2=27.64$ which is greater than the critical value (x^2 at $df=3$, 0.05 level of significance=7.315). Hence, the difference among coverage of the “four pillars” is significant in grade 8 Biology since the calculated chi-square value is greater than the critical chi-square value. This implies that unbalanced coverage of the “four pillars of education” is observed in grade 8 Biology textbook.

In grade 8 Social studies textbook it is the category ‘learning to know’ which has the highest coverage (41.4%). It is observed that the textbook has least coverage of the category ‘learning to do’ (4.3%). The category ‘learning to be’ which is 34.3% is better covered in the textbook next to the highest, i.e. ‘learning to know’. Far from both the highest and least covered categories, the category ‘learning to live together’ found at the third level covering 20.0% of the textbook. The values are also analyzed by chi-square test as follows:

Table 7: Chi –Square test for Grade 8 Social Studies

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	29	17.5	11.5	132.25	7.56
Learning to do	3	17.5	-14.5	210.25	12.02
Learning to be	24	17.5	6.5	42.25	2.41
Learning to live together	17	17.5	-3.5	12.25	0.7
Total	70	70	$X^2 \sum \left[\frac{(f_o - f_e)^2}{f_e} \right] = 22.69$		

The calculated chi-square value shows $x^2=22.69$ which is greater than the critical value (x^2 at $df=3$, 0.05 level of significance= 7.815). Hence, the difference among coverage of the “four pillars” is significant in grade 8 Social studies since the computed chi-square value is greater than the critical chi-square value. The implication of this value also ensures the unbalanced coverage among the “four pillars of education” in the contents of grade 8 Social studies.

The data collected from the last sample textbook, grade 8 Civics and ethical education show that the coverage of the category ‘learning to be (45.0%)’ is the highest and that of ‘learning to do’ (8.1%) is the lowest. The category ‘learning to know’ is placed at the second level covering 28.0% of the text book. Only 18.9% of the textbooks issues are relevant to the category ‘learning to live together’. The chi-square below shows the difference among the four categories.

Table 8: Chi-Square Test for Grade 8 Civics and Ethical Education

Categories	f_o	f_e	f_o-f_e	$(f_o-f_e)^2$	$(f_o-f_e)^2/f_e$
Learning to know	31	27.75	3.25	10.56	0.38
Learning to do	9	27.75	-18.75	351.6	12.67
Learning to be	50	27.75	22.25	495.1	17.84
Learning to live together	21	27.75	-6.75	45.6	1.64
Total	111	111	$X^2 \sum \left[\frac{(f_o - f_e)^2}{f_e} \right] = 32.53$		

The computed chi-square value shows $x^2=32.53$ which is greater than the critical value (x^2 at $df=3$, 0.05 level of significance= 7.815). Hence, the difference among coverage of the “four pillars” is significant in grade 8 Civics and ethical education since the calculated chi square value is greater than the critical chi-square value. This implies that imbalanced of the “four pillars” is also observed in the contents of grade 8 Civics and Ethical education textbook dominated by the pillar ‘learning to be’ unlike the other subject textbooks.

9. Summary

The findings of the content analysis made on the sample text books and interview responses show that there is problem of imbalance in the curriculum of the education level under study. As a result the major findings of the study are:

- In the text book contents of five subjects from the seven sample subjects the “four pillars” are incorporated in unbalanced manner.
- The pillar ‘learning to know’ which is with highest coverage in six of the sample subject text books highly dominates especially grade 5 Science, grade 5 Geography and grade 8 Biology.
- The pillar ‘learning to do’, very crucial for underdeveloped countries like Ethiopia by enabling the learners to equip with skills that can solve community problems, is only given a better coverage in the contents of grade 5 Science text book.

- “Learning to live together” which is the current major global issue is not addressed well in many of the sample subject text books.
- The responses of the interviewee also show that these “Four pillars of Education” are not given deliberate consideration by the respective people from policy makers to text book writers.

10. Conclusions

Based on the findings of the investigation the following conclusions are drawn:

- The contents of the primary education second cycle program lack a proper balance in comprising the “Four pillars of Education”. Even though the MoE & ICDR assumed that the “ four pillars” are indirectly incorporated in the contents in the form of the three domains of ”Bloom’s taxonomy of educational objectives” in a balanced manner, the analysis of the sample text books reveals a different fact;
- The ideas or concepts of the “Four Pillars of Education” are observed incorporated at policy level even though not deliberate consideration is given. The general objectives (listed 1 to 5) and specific objectives (listed 1 to 15) in the Education and Training Policy document incorporate the ideas of these “four pillars” (TGE, 1994: 7-11). Hence, the failure of incorporating them in the contents in a balanced manner happened on the level of syllabi development and text book preparation;
- The contents of primary education second cycle curriculum are more of cognitive information as presumed by the investigator. It is known that the investigation is made only by evaluating the content of the text books. But, If the pedagogy had been evaluated, some of the contents that are categorized under the other three pillars (learning to do, learning to be and learning to live together) might have been included in the first pillar (learning to Know);
- The pillar ‘learning to do’ which is crucial to link primary education with occupational needs in the community is not given sufficient coverage in the primary education second cycle curriculum. Especially contents that are relevant to technical and vocational training are insignificant in coverage. This will be also

against the Education and Training Policy of the country, because, if a foundation is not laid at primary school, how possible will be thinking about the effectiveness of TVET program? Further, the issue of TVET is not only the issue of education sector; it also highly affects the overall development policy of the country.

- The contents those are relevant to the pillar ‘learning to live together’ which help people live together in peace and with respect for the human dignity and well being of others are least incorporated in the primary education second cycle curriculum.
- The imbalance of the “Four pillars of Education” has negatively affected the aim of education of the country in general and quality of primary education in particular. This is because contents that are inclined largely to cognitive information cannot enable to produce an individual who is intellectually, practically & morally fit to the national or global community. It is impossible to talk about the achievement of the aim of education and a better quality of education with poor foundation at primary level.

11. Recommendations

- All responsible bodies (MoE, ICDR, and Regions’ Education Bureaus) should deliberately consider the “Four pillars of Education” set by UNESKO and use the ideas and concepts on them as a benchmark during policy formulation, syllabi and text books preparation or revision.
- The Institute for Curriculum Development and Research (ICDR) should establish partnership with International Education Bureau (IBE) so that it can be accessible to the opinions, guiding principles and standards of UNESCO. Since IBE, as a UNESCO institute, focuses on curriculum issues from its development to implementation, partners will benefit from it especially in having quality curriculum that incorporates UNESCO’s global ideas including the “Four pillars of Education”.

BIBLIOGRAPHY

Books

Alan Bryman (1988) **Quantity and Quality in Social Research**, Routledge, London.

Dewey, J. (2004) **How we think**. New Delhi: Cosmo publications

Habermas Jurgen (1987) **Knowledge and human interests**, London, Heinemann.

Jim Garrison (1997) **Dewey and Eros: Wisdom and desire in the art of teaching**, Teachers college press, New York.

John D. Mineal (1996) **Curriculum Accomplishment Introduction**, 5th ed, Los Angeles; Harper Collins College Publishers

John W. Creswell (2007) **Qualitative inquiry and research design: Choosing among five approaches**, sage publications Inc.

John W. Creswell and V.L. Plano Clark (2007) **Designing and conducting mixed methods research**, Sage publications India private Ltd.

John W. Yolton (1965) **Theory of knowledge**, the Macmillan Company, New York.

Kelly A.V. (2004) **The Curriculum: Theory and Practice**, 5th ed. London Sage Publications.

Lockheed and Versspoor (1993) **Improving primary education in developing countries**, Oxford university press.

Margaret Sinclair (2004) **Studies in comparative education, Learning to live together: Building skills, values and attitudes for the twenty- first century**, IBE, Geneva,

Matt henn, Mark Weinstein, Nick foard (2006) **A short introduction to social research**, Sage publications Inc.

Newman,E. and Triggs P.(1991) **Equal opportunities in The Primary School**. Bristol Poly Techniques.

Shores, L. (1960) **Instructional Materials, an Introduction for Teachers**. New York.

Journals

Akalewold Eshete (2005) “Devolution rhetoric and practice of curriculum policy making in Ethiopian primary education”. **Ethiopian journal of the social sciences and humanities 3(1):1-16.**

Dereje Terefe (2001) “Ethiopian primary school curriculum reform and implementation: Some ideas for discussion”. **Proceeding of national conference conducted on quality of primary education in Ethiopia, IER, AAU: 7-11.**

Girma Zewdie (2001) “Linking primary education with occupational needs in the community”. **Proceeding of national conference conducted on quality of primary education in Ethiopia, IER, AAU: 51-65.**

Hailemaryam Getahun (1996) **An investigation into the relevance of the Ethiopian senior secondary school education: The case of Jimma and Illubabor Zones of Oromia: MA thesis, AAU.**

International Bureau of Education (2008) **IBE strategy (2008-2013)**, Geneva, Switzerland

Jeilu Oumer (2006) “Educational policy and decentralized decision making for schools in Ethiopia: The case of Oromia and Addis Ababa”. **Journal of Education for development. 1(1):81-105.**

Seyoum Tefera (1996) “Attempts at Educational Reform in Ethiopia: A top down or bottom-up reform?” **The Ethiopian Journal of Education. 16(1): 37.**

Teklehaimanot Haileselassie (2001) “The challenges of Education in the preparation of citizens: the role of primary schooling in Ethiopia”. **Proceeding of national conference conducted on quality of primary education in Ethiopia, IER, AAU : 1-6.**

Wanna Leka (2001) “Primary education as a basis for vocational/technical education and training: An issue that deserves attention”. **Proceeding of national conference conducted on quality of primary education in Ethiopia, IER, AAU: 209-217.**

Woube Kassaye (2005). “An overview of curriculum development in Ethiopia: 1908-2005”. **Ethiopian Journal of the Social sciences and humanities. 3(1):49-75.**

Yalokwu P.O. (2001) “Quality primary education in Ethiopia in the 21st century: issues, problems and strategies for improvement”. **Proceeding of national conference conducted on quality of primary education in Ethiopia, IER, AAU: 109-119.**

Yekunoamlak Alemu (2001). “The practice of vocational training at primary and secondary schools of Ethiopia”. **Proceeding of national conference conducted on quality of primary education in Ethiopia, IER, AAU: 219-234.**

Unpublished Documents

Amanuel Eromo (2007) Major factors affecting quality of education in Addis Ababa second cycle primary schools, MA Thesis AAU.

Amare Asgedom (2008) Beyond knowledge acquisition a plea for knowledge application: Quality and Relevance of Education expanding growth induced employment in Tigray, Mekele.

Amare Bereda (2007) The role of USAID basic education program in improving quality of primary education in Ormoia region, MA Thesis, AAU.

Desta Abera (2001) Factors influencing the Implementation of Problem solving approach in the second cycle primary schools of Tigray, MA Thesis, AAU

Fekede Tuli (2007) Primary school teachers perceptions of quality issues in education in Nekemte, MA Thesis, AAU.

Mamush Jembere (2007) Education for all: Successes and challenges to achieve Universal Primary Education in Addis Ababa, MA Thesis, AAU.

Tekeste Negash (1996) Rethinking Education in Ethiopia. Upsala: Nordiska Africa institute.

TGE (1994) Education and Training Policy, Addis Ababa, Transitional government of Ethiopia.

<http://www.portal.unesco.org/education> retrieved on 10/11/2008

<http://www.unesco.org/delors/fourpil.htm> retrieved on 10/11/2008

<http://www.unesco.org/delors/to live.htm> retrieved on 10/11/2008

http://en.wikipedia.org/wiki/content_analysis retrieved on 07/02/2009

<http://writing.colostate.edu/guides/search/content> retrieved on 07/02/2009

http://www.mwc.edu/inte/collaborations/tip_it/tipit182/articlefour.html.retrieved on 21/02/2009

World Bank (1980) Education Sector Policy Paper, Washington DC, the World Bank,

Factors Affecting Students Classroom Behavior in St. Mary's University College with Particular Focus on Department of Marketing Management

By

Ephrem Gossaye, Terefe Feyera & Sisay Habte

Abstract

The study is aimed to investigate factors contributing for the rise of students' discipline problem in the department. Our department has faced many practical problems in monitoring the discipline of our students and ensuring the desirable change of behavior. This statement can be evidenced by the facts where by significant size of our students have been earning no grade marks (NGs) due to poor attendance record, earning nil marks due to cheating on exam and involving in various act of undesirable behavior. The following research questions were raised for investigation: 1). what does the practice of the department's academic staff class attendance and exam administration look like? 2). Does the nature of courses contribute for students' discipline problem? 3). Do students have sufficient awareness on the rules and regulations of the University College? 4). Does the mode of delivery followed by the department contribute for discipline problem? The following conclusions were drawn in line with the research questions. The practice of academic staff's attendance administration is not as per the desirable pattern. Regarding exam administration, both the department and non department, instructors give less attention for exam room arrangement before hand. This practice leads students to misbehavior. In addition, the findings proved that the student disciplinary problem such as cheating, absenteeism, NG and others tend to be higher in the course that they are not interested in. It can be concluded from this that there is some gap in showing the relevance of supportive and common courses so that students develop interest towards these courses. It has been revealed that students do not have sufficient awareness about the rules and regulation. This is partly due to inadequacy of the orientation during their entrance, little number of attendants and partly because of failure of follow up and re-orientation during their educational pursue. Thus, it can be said that the orientation is not highly effective in preventing students' behavioral irregularities. No significant gap was observed with respect to the mode of delivery followed by instructors. At last some recommendations were forwarded.

1. Background

Education has always been the fundamental tool for the social advancement and economic growth of a given country in general and for personal development and change of behavior of the trainee in particular. However, there are various barriers to the actual practice of the process, of which discipline problem might be the prominent one.

Discipline, according to Singh, A. (2003:5), is part of an educational process that aids individuals to develop self-control and a sense of responsibility for the collective good. It requires effective policies and programs to teach common values and socially appropriate skills that allow groups to formulate and achieve goals. This may demand, for instance, to design classroom management as an integral part of the teaching learning process.

The author further states that the behavioral and pedagogical dimensions of educational process are ultimately related in that student learn best in environments that are free of disruptive, distracting, or potentially harmful behaviors.

A teacher may face a situation where some students or majority of students do not acting the way he/she wants them to act. This may include irregular attendance, lateness, cheating on exam or copying assignments from someone, involvement in undesirable show in classroom, lack of respect for him/her, failure to pay attention to him/her, etc. These require a teacher to closely work on classroom discipline that would otherwise certainly hamper the smooth flow of teaching learning process. The purpose of this study is therefore, to investigate factors contributing for the rise of students' discipline problem in our department.

2. Statements of the problem

For a desirable learning outcome to be realized, an instructor must ensure the smooth flow of the teaching–learning process. The responsibility of an instructor extends from course delivery to ensuring the change of behavior from learners. However, our department has faced many practical problems in monitoring the discipline of our students and ensuring the desirable change of behavior. This statement can be evidenced by the facts where by significant size of our students have been earning no grade marks (NGs) due to poor attendance record, earning nil marks due to cheating on exam and involving in various act of undesirable behavior. To substantiate this, it is possible to note the following evidences:

- Thirty five regular students of 1997 entry got NG in one course and couldn't graduate in 1999 as a result. Of these students 25 of them registered for the

- course for the second time during 2000. Surprisingly, 6 students got NG for the second time.
- Though the issue was considered for some good reason, 16 students of 1998 entry got NG in a single course during 2000 academic year in one course.
 - The exam irregularity notification that had been sent from Academic Vice President Office (between February 2008 to June 2008, within 5 months), showed that 10 TVET students had been engaged in cheating. Similarly, the department file indicates that, 14 students got nil mark on project work due to cheating. There have been various forms of deficiencies for which more than 30 students of the department couldn't register at the beginning of the year.
 - It is also possible to raise many other instances whereby our students have been eliciting various sort of behavioral irregularities on academic matters.

The department has been challenged in managing the cases of those students and has been applying various exit strategies as a way out for the existing problem. But, it was felt to conduct an action research to investigate contributing factors for the discipline problem of our students. To investigate the stated problems the following research questions were raised:

1. What does the practice of the department's academic staff class attendance and exam administration look like?
2. Does the nature of courses contribute for students' discipline problem?
3. Do students have sufficient awareness on the rules and regulations of the University College?
4. Does the mode of delivery followed by the department contribute for discipline problem?

3. Significance of the study

- The finding of the study might help the department to closely work on those identified problems and to strengthen its good practices.
- It might be taken as a footstep for other researchers who want to conduct similar research on a wider scale. This may include Marketing Management department

itself and other departments who want to investigate the discipline problem of their students.

- It can encourage other instructors to take the initiative of conducting academic research even on other topics.

4. Delimitation of the study

Department Delimitation

Though the discipline problem might be the concern of some other departments in the institution, this study covers only the practice of the department of Marketing Management.

Program Delimitation

Since the problem is more prevalent in TVET program, this study didn't cover those at degree program. It addressed only TVET program but both the extension and regular divisions that have been attending the class starting from 1997 E.C. till now.

Subject Delimitation

Discipline is a comprehensive aspect addressing all aspects of enforcing classroom standards, norms or behavior. However, this study was delimited to investigate only factors meant to have contributed for the discipline problem of our students namely class and exam administration, the nature of courses and students level of awareness about the rules and regulations, the nature of the courses, mode of delivery etc.

Unit Delimitation

There might be various stakeholders that are accountable for the discipline of these students, for example, the society at large, family, other department instructors, the institution itself, etc. Among these, the study focused only on the practice of our department and thus only the department students and instructors were used as unit of study. However, as a source of data collection, secondary data related to attendance record and respective grades were referred for some courses from each course natures

namely major, supportive and common. Thus, registrar file (students' attendance record and submitted grades) was also a subject of the study.

5. Research Design and Procedure

Research Design

Exploratory research design was used to put the practice of the department on the surface particularly in discipline control and management. To make the study more reliable and dependable, valid information were obtained from both extension and regular TVET student.

Population and Sample Size Determination

There were 562 TVET students during the data collection, for the year ended (2000 E.C.). Among these, 185 of them were in regular division while 377 of them were in extension division. It was believed that 25% of the population size would represent the total population. Thus, the study incorporated only 140 of students' respondents as the sample of the study.

Sampling Method and Techniques

Both probability and non probability sampling methods were used. Probability sampling method was used to select those student respondents who filled out questionnaire. A Stratified random sampling was used to select respondents proportionally from both divisions and from each year of entry. Accordingly, the selection proportion was as follows:

Year of Entry	Division			
	Extension		Regular	
	Population	Sample	Population	Sample
1997	113	28	-	-
1998	68	17	53	15
1999	66	16	73	18
2000	130	32	59	14
Total	377	93	185	47

To select respondents from each stratum, in turn, simple random sampling particularly random number method was used. Non probability sampling was used to select two instructors for interview and six students for focus group discussion. Judgmental sampling technique was used to select those who were believed to have a better insight about the topic under investigation.

Instruments and Procedure of Data Collection

As a data collection tools, questionnaires, interview checklist and focus group discussion checklist were used. Questionnaire was prepared and distributed to respondent students. Of the 140 copies of questionnaire distributed, 137 (98%) were filled out and returned. Only one from the extension division and two from the regular division were not returned. Focus group discussion checklist was also designed and being administered for a focus group of six members. Interview checklist was also designed for which two staff members were reflected on. Some sort of framework was also used in referring secondary data from registrar file.

Methods of Data Analysis

Both quantitative and qualitative methods of data analysis were used. Information collected from students through questionnaire was analyzed quantitatively using percentage and weighted mean. Information collected from various sources through interview, focus group discussion and secondary source were analyzed qualitatively through narration of information.

6. Review of Related Literature

Factors Affecting Classroom Discipline

There are many factors that affect the smooth running of teaching learning process in the classroom. Discipline is the primary factor among these.. Discipline in turn, can be caused by various factors. The three main causes of discipline problems in the school as Singh (2003:144) identifies are: **I). Home environment.** Two issues can be pointed out here. The one which causes the most trouble in the school is lack of discipline in to found in the home and the other is the fact that some are not getting adequate social and

emotional support at home **ii. Permissiveness of the society, in general,**
iii. Organizational and related constraints on the teacher.

Thus, it can be seen that the causes of discipline problem are multidimensional. There are various stakeholders that are accountable for the undesirable behavior of learners. This ranges from the society at large to the classroom teacher.

Ornstein, A (1995:318), identified three contributing factors for persistence of discipline problem. One is, many students lack inner control and are unwilling to defer to teacher's authority. The second is many teachers lack systematic methods for dealing with discipline problems and the third is many school administrators do not provide adequate support for teachers. This highlights that there are three stakeholders responsible for students' classroom discipline: students themselves, the teachers and the school administrators.

The Role of Teachers in Maintaining Classroom Discipline

The maintenance of discipline among students is by and large one the central preoccupations of teachers. The pressure upon teachers with this regard is elaborated by Singh, A (2003:93) as:

Teaching is one of the most important jobs in our society, yet teachers are often overworked, underpaid and under appreciated. There is a common bond which limits all teachers and this is the desire to help our students reach their maximum potential as human beings. When we achieve this goal, when we see student grow as a result of our teaching, we know that all training and handwork have been worth the effort; unfortunately the realization of this goal is sometimes thwarted by the attitude and misbehavior of students.

It implies that the role of teachers is not limited to teaching the course syllabus to help students reach their maximum potential. He/she must ensure that desirable code of conduct be elicited by his/her students towards the realization of goals formulated ahead of time that would otherwise significantly affect the roles and function of the teacher and the learning situation as a whole.

Aspects and Approaches to classroom Management and Discipline

According to Charles (1985) as cited in Singh A. (2003:99-100) classroom discipline has three faces: Preventive, Supportive and Corrective. Preventive discipline involves those things a teacher does to prevent student's misconduct. Supportive discipline consists of the techniques the teacher uses to help students maintain self control and to get back on track when they start to misbehave. Corrective discipline consists of the consequence or punishment a teacher administrator following students' misbehavior.

Preventive discipline emphasizes the principle that if students clearly understand the rules, routines, standard for the class etc, student misconduct can be minimized. Thus, it is imperative to introduce the need for a discipline plan, communicating the rules well and procedures, reminding the procedures each time and finally having specific consequences for both good and inappropriate behavior.

The importance of having specific consequence has been underscored by Singh, A. (ibid) as:

If a teacher ignores a student's blatant misbehavior, the other student will get the idea that can do the same thing and so in stead of extinguishing the misbehavior of one student by ignoring the infraction, the teacher is reinforcing the notion in the mind of the remaining students that misbehavior will be tolerated by the teacher.

The given argument is so sound in that if trouble makers' actions aren't corrected in some form, its consequence is so disastrous. Such actions must be addressed in a way that they can be a lesson for the class as a whole. To this end, Bhatia, H. (2002:568) pointed out that a teachers' control effort has dual goal of affecting the behavior of the students guilty of misconduct and influencing others in the class who formed just an audience to the control effort. Thus, whether a teacher controls misbehaving of students or not would have its own implication on the rest of the learners and for those who involved in misbehaving act themselves.

7. Data Analysis, Presentation and Interpretation

Sample attendance records were taken from registrar file regarding common, supportive and major courses to see how frequently instructors were taking class attendance. Primarily, courses with relatively many 'NG' and 'I' results were considered and the following results were obtained:

Table: 1 Attendance taken for some selected courses

<i>No.</i>	<i>Courses</i>	<i>Year of Entry & Division</i>	<i>Section</i>	<i>Hrs.</i>	<i>Frequency of attendance</i>	<i>Required attendance</i>
<i>I</i>	<i>Common</i>					
1	Basic English I	1998R	A	-	-	-
2	Basic English I	1998R	B	-	-	-
3	Basic English II	1998R	A	75	14	25-30
4	Basic English II	1998R	B	75	14	25-30
<i>II</i>	<i>Supportive</i>					
1	Principles of	1997R	-	-	-	
2	Record Management	1998E	A	90	22	30-45
3	Record Management	1998E	B	90	31	30-45
4	Basic Bookkeeping	1998R	A	78	25	25-30
5	Basic Bookkeeping	1998R	B	78	22	25-30
6	Basic Bookkeeping	1999R	A	78	19	25-30
7	Basic Bookkeeping	1999R	B	78	12	25-30
<i>III</i>	<i>Major</i>					
1	Salesmanship	1999R	A	369	33	92-123
2	Salesmanship	1999R	B	369	34	92-123
3	Work & Workforce	1998R	A	232	-	58-77
4	Work & Workforce	1998R	B	232	-	58-77

(Source: Registrar File)

As indicated in table 1 above, in all cases considered, attendances were not taken as required. For some of the courses attendances either were never taken or attendance sheets were not attached to grade reports. In this regard, for courses like Basic English I from common, Principles of Accounting from supportive and Work and Workforce Supervision from major, attendances couldn't be found. Based on data collected from Registrar Office, there was reluctance of instructors in taking class attendances and thus this leniency in turn could lead students to be absent from classes.

Table 2: Tests and related issues

No.	Item	Response	Percentage (%)
1.	Strictness of instructors as invigilators		
	a. Very high	74	54.01
	b. High c. Medium	43	31.39
	Total	137	100
2.	Relevance of test questions to the course content covered		
	a. Very high	48	35.56
	b. High c. Medium d. Low	45	33.33
	Not respondent	2	-
	Grand Total	137	100

In the same token, strictness of instructors on their invigilation duty was also investigated. As depicted in Table 2 above, about 85.4% of students replied that instructors were highly strict. But there are still some problems in controlling cheating by students during examination and this was witnessed by 8.03% by assigning medium and 6.57% low or very low scores. With regard to relevance of test questions to the content(s) covered in teaching, about 68.89% of the respondents assigned very high and high scores while 6% revealed the contrary and 25.19% gave medium score to issue.

Table 3: Students' Course Related Interests

Weights given		Courses	Regular		Extension	
Rank	Weight		Mean value	Rank	Mean value	Rank
1 st	5	Major	4.47	1	4.91	1
2 nd	4	Supportive	4.08	3	3.57	2
3 rd	3	Common	3.70	2	3.54	3

From table 3 above, it can be observed that both regular and extension division students ranked major courses in the top (1st) position. The 2nd and 3rd ranks were assigned to supportive and common courses respectively although they are nearly similar according to the rating of extension students. Lack of interest on certain courses by itself causes undesirable conduct to be elicited by students particularly on class attendance.

As indicated in Table 4 above, in responding on 1st year courses, students' interest in 'Marketing and Salesmanship' was rated as 'very high' by about 65% of the respondents while 'Sales Clerical Record and keeping' was assigned rating of 'very high' only by 18.37% of the respondents. More than 14% of students expressed their 'lower' or 'very lower' level of interest in 'Sales Clerical Record and Keeping'. Similar ratings were given to 'Marketing and Salesmanship' only by about 3% of those respondents replied the question. This shows that from the two 1st year major courses more students were less interested in 'Sales Clerical Record Keeping' than 'Marketing and Salesmanship'.

Regarding the response on the 2nd year courses like 'Work and Workforce Supervision', 'Customs and Bank Clearing Activities', and 'Managing Lower Level Marketing and Purchasing Activities' were found to be assigned low or very low ratings by 16%, 25% and 8% of the respondents respectively. It can be inferred from this that 'Work and Workforce Supervision' and 'Custom and Bank Clearing Activities' were relatively more disliked by many students than 'Managing Lower Level Marketing and Purchasing Activities'. No significant variation was observed among courses offered on the third year.

Fortunately, all the courses rated low or very low by significant proportion of the respondents were identified as phase-out courses in the new TVET curriculum. Thus, the natures of the courses themselves are also attributing factors for those courses being favored or un-favored. This might in turn affects the students' way of behaving.

Results of Focus Group Discussion held with Student Representatives

The participants identified the following factors as contributing for students' behavioral irregularity:

- ❖ **Provision of handouts:** If they are given full fledged handout, they do not stay in class.
- ❖ **The nature of the courses:** They do not pay much attention for common and supportive courses.
- ❖ **Immaturity:** lack of interest from students to value the money they are paying for education.
- ❖ **Absence of applying continuous assessment methods** by some instructors

- ❖ **Attendance administration:** Although attendance is taken, they explained that they haven't seen its consequence practically as all students earn grades at the end.
- ❖ **Leniency of some invigilators:** Students usually pre-arrange exam rooms and seats but invigilators are not usually cognizant of this.
- ❖ **External factors** like addiction of some students to some undesirable habits and games outside the compound and the surrounding were also cited as source of misbehaviors and irregularities. These were underlined as associated with the location of the University College according to their views.
- ❖ **Inadequacy of awareness given on rules and regulation:** Although orientation is usually administered for new entrants only few and responsible students shall attend and the majority start class without clear awareness about the rules and regulations of the University College

The focus group participants were also asked to express their views on students' evaluation of instructors. In this respect, most students were not genuine in evaluating their instructors. If an instructor is generous in giving marks and unnecessarily very easy type to attach with students, most would give him higher score. When some instructors ask students for opinion on their teaching method and if opposite opinions that deviate from what they expected are forwarded, they are using their power and threaten students to revenge by identifying students by their hand writings. Very few of them accept the comments and if there is any misunderstanding, they make clear the blunders. Lack of interest or one sidedness by next hierarchy (Student Affair, Dean Office, etc) to believe students whenever there is dispute with instructors. Invigilators also could make mistakes and don't realize the existing situation in particular exam room critically before being hassle to take any action. The focus group lastly pointed out that absence of evaluating ('testing') of instructors by the University College is critical problem in the institution. In connection to this, respondents expressed their feelings that there should be a senior instructor or staff to inspect competence of other instructors while teaching. They recommended that there must be some sort of class room supervision on instructors' performance.

Results of Interview with Department Instructors

Two instructors from the department were selected for interview based on their experience in teaching TVET program courses. They were asked to express their feelings in the effectiveness of students' orientation on the rules and regulations of the University College. Accordingly, in their response both instructors indicated that it is difficult for them to say students are well oriented. There are some gaps among new entrants especially in being well aware of rules and regulations of SMUC. As a result, some students exhibited misbehavior like lateness in joining classes, absenteeism and cheating during examinations. According to them, the institution focuses mainly on rights of students and less emphasis was given to obligations of students according to the instructors.

Another issue that causes disciplinary problem among students has been the sentiment of "As long as I pay, I can pass or nothing would happen as a consequence of behavioral irregularities" mentality of students. This mentality could also catch to some extent a green light from the institution management which was reflected whenever complaints were presented by students and approaching instructors by pursuing inappropriate way in attempting to solve the problem. Moreover, inconsistency among instructors in taking attendance and being less strictness of some of them in invigilation lead the students to misbehave.

Concerning the relationship between the nature of the courses and classroom behavior of students, the respondents replied that students perceive some common and supportive courses as irrelevant to their major stream (marketing). The number of credit hours and the allotted marks attached to a course could cause difference in attention of students to various courses. In this respect, students give more emphasis to major courses than common and supportive courses as the formers are assigned high total credit hours and marks that ultimately have significant effect in grading.

Instructors' responses on their effort to get the students well informed of basic rules and regulations of the institution, the interviewee responded that they always try their level best in orienting their students. Moreover, instructors are advising and sharing their experiences to students.

Regarding the role of instructors in ensuring desirable classroom behavior, the respondents viewed that the instructor should be a role model for his/her students' in general both inside and outside class room. The instructor should avoid any undesirable behavior such as insulting and embarrassing. He/she has to have the willingness and enthusiasm for advising their students and act as psychological counselor and ambassador of the institution. Predicting their potential problem and taking proactive measures is critical role to be practiced by the instructor while maintaining the cut-line to be existed between the teacher and student. There should be fair and professional proximity between instructors and students that would encourage the later to air /speak out/ their problems. On top of that, the instructors should be role models to their students by respecting the University College's rules and regulations as well as by being knowledgeable. Both instructors replied that they have not faced any complaints from their students except for one of the instructor's strictness during invigilation. The instructors expressed that they have been open for comments and suggestions from their students. They have practiced encouraging their students to suggest and comment on their teaching method and other class room activities. The interviewees explained that they are encouraging students to forward any opinion that would improve the on going teaching-learning process.

8. Summary

The major objective of the study was to identify factors affecting class-room discipline of students in the department of Marketing Management. Accordingly, the major findings are the following:

- ✚ The data obtained from the registrar office, in relation to the instructors' attendance taking practice, indicated that attendances were not taken as required by the department instructors.
- ✚ From the focus group discussion it was obtained that those instructors who take regular class attendances were disliked by the majority of the students. According to the participants, instructors should be more flexible with the existing circumstances facing individual students.

- ✚ The interviewed instructors admitted that they didn't take a regular class attendance as it was required. This is because of their fear for not getting lower scores by the student evaluation.
- ✚ Students gave priority in order of 1st, 2nd, 3rd rank positions to major, supportive and common courses. Many students did have a perception that common and supportive courses were irrelevant to their career.
- ✚ Beside this, some of common and supportive courses were disliked by the students due to mathematical and tabular nature and the level of grade contribution.
- ✚ According to the focus group discussion participants, the orientation given to the students were not effective.
- ✚ Interviewed instructors pointed out that the orientation given to the new entrants by the institution gave more focus on the students' right than their responsibilities and obligations. This in turn encouraged students to develop the tendency of unfairly over-demanding their rights and could cause behavioral irregularities.
- ✚ The nature of various courses together with miss-perception of students towards their practical application contributed to students behavioral irregularities.

9. Conclusions

Practice of Attendance and Exam Administration

In relation to the instructors' attendance taking practice, the questionnaire response indicated that the instructor practice in taking class attendance is very high. On the other hand, the data obtained from the college registrar office for some selected courses indicated that class attendances were not taken as frequently as required. Students mostly prefer an instructor who is less strict in attendance and invigilation. The interview held with two instructors also revealed the same fact that in fear of the outcome they were not strict in attendance administration. That is instructors deliberately show negligence in taking frequent class attendance for the sake of getting students liking and in order to get higher score in student evaluation. Thus, it can be concluded that the practice of academic staff's attendance administration is not as per the desirable pattern. Regarding

exam administration, both the department and non department, instructors give less attention for exam room arrangement before hand and this leads students to exam room misbehavior.

The Nature of the Courses

The nature of the courses together with the weight of mark attached to them makes the students to be more attentive in one course and less focused on another. Major courses are interesting to the department students and they comprises higher grade. For this reason, students tend to be disciplined and attentive towards these courses but on the contrary students are less disciplined while attending common and supportive courses. This is because of their mathematical nature and lower grade assigned to them. In addition, the findings proved that the student disciplinary problem such as cheating, absenteeism, NG and others tend to be higher in the course that they are not interested in. It can be concluded from this that there is some gap in showing the relevance of supportive and common courses so that students develop interest towards these courses.

Awareness on the Rules and Regulations

Many students did not give emphasis to attend oral orientation programs when joining the University College. Those who were provided with written brochures gave less attention to read and understand it properly mainly due to lack of interest emanated from negligence of students in addition to their lack of reading skills. Moreover, the orientation given to the students by itself does put emphasis on the students' rights but it does not adequately inform students with their respective duties and responsibilities. Students' level of awareness was also investigated through open-ended questions of the questionnaire and on focus group. It has been revealed that students do not have sufficient awareness about the rules and regulation. This is partly due to inadequacy of the orientation during their entrance, little number of attendants and partly because of failure of follow up and re-orientation during their educational pursue. Thus, it can be said that the orientation is not highly effective in preventing students' behavioral irregularities.

According to the findings, instructors' readiness to implement the college rules and regulations for instance in taking attendance, in being strict during invigilation and others is average. This is due to the fact that instructors are afraid of the danger of getting lower score below 3.5 from student evaluation for this reason instructors becomes deliberately negligent. Therefore, it is possible to conclude that the instructors are not fully convinced both in setting and implementation procedures in some rules and regulations of the university college especially on the rule of NG and student evaluation. On the other hand, the findings also proved that the effectiveness of students evaluation of instructors were not effective due to students inadequate orientation and understanding.

Teaching methods and instructors' competency

According to students responses, the department instructors competence and experience in presenting the course attractively and in adopting student centered teaching method is relatively better than those of non department instructors. Less competence of instructors and their preparation in practicing democratic and participative teaching method could be the cause for students' behavioral irregularities in those courses.

10. Recommendations

- Practice of taking regular and continuous students' class attendance by instructors should be strengthened. The outcome of attendance should also be predefined and acted accordingly.
- It is the responsibility of every subject instructor to enforce the rules and regulations of the University College. However, the rules must be revised in some way. It is advisable if attendance requirement is lowered to 75%. The University College should reconsider its rules on 'NG' and evaluation of instructors by students. Instructors' participation and involvement in setting rules should also be taken into consideration for that would facilitate effective implementation.

- All instructors delivering common and supportive courses should clearly show students how the link can be established with the major course. Departments should work hand in hand with each other to establish workable system.
- Both oral and written orientations should be given to the students when they join the University College. There must be a system that ensures all or a significant portion of the students shall receive orientation. Moreover, the orientation to be given should be full fledged. In addition to this, instructors' practices in this regard should be strengthened in orienting and advising their students both at the beginning of classes and throughout course delivery period
- Moreover, utmost care should also be taken in expressing reactions from institution management when complaints presented to concerned office. It is critical for the management to be careful while talking and responding to students that would extend to being selective in words and manner of expression to avoid unfair insulting of the instructor before students and prevent undesirable role-model in this regard.
- Finally, instructors must realize that their behaviors and their expression should be geared to play them as exemplary and role-models to their students both in and outside classrooms.

Bibliography

Bhatia H. R. (2002). *A Textbook of Educational Psychology*. New Delhi: MacMillan India Ltd.

Danapani, S. (2004). *A Textbook of Advanced Educational Psychology*. New Delhi: Anmol Publications Pvt. Ltd.

Mangal, S. K. (2004). *Advanced Educational Psychology* (2nd ed). New Delhi: Prentice-Hall of India

Ornstein, Allan C. (1995). *Strategies for Effective Teaching* (2nd ed.) Chicago: Brown & Benchmark Publishers

Singh, Amarjit (2003). *Classroom Management: A Reflective Perspective*. New Delhi: Kanishka Publishers

Vashist, S. R. (2002). *Classroom Administration*. New Delhi: Anmol Publications Pvt. Ltd.

University of Minnesota (2005). Attendance Policy and Record Keeping.
<http://www.ncat.edu/nacdaffrs/classattr/classattendancepolicy.htm>.

Broward County Public Schools (2002). Attendance Policy.
<http://www.browardschools.com/schools/attendance.htm>.

Challenges of Quality Management in Private Higher Education Institutions: The Case of St. Mary's University College

By

Seble Worku

Lecturer, SMUC

Abstract

In the last one decade, more than 60 private higher education institutions were inaugurated in Ethiopia. As part of their growth in number, they need to give extra attention to their quality management process because this is their essence of existence and their future development. This paper is designed to assess the major challenges faced by private higher academic institutions in their quality management process focusing on St. Mary's UC. Both primary and secondary data were collected. Based on the questionnaire collected from the top management, academic, nonacademic staffs and students from the selected UC data analysis and interpretation were made. From the external environment, some selected employers were a part of this study. Finally the research paper concludes and recommends.

1. Government and Private Higher Education Development in Ethiopia

Ethiopia possesses a 1,700 year tradition of elite education linked to the Orthodox Church. But secular higher education was initiated only in 1950 with the founding of the UC of Addis Ababa. During the following two decades half a dozen specialized technical colleges were established. These institutions hosted an educational culture that was heavily influenced by its long informal association with the Orthodox Church (Wagaw, 1990); (Saint, 2004)

Ethiopia now boasts about 60 private colleges, which enroll about a quarter of all students. Most of these institutions are based in the capital, Addis Ababa, with a few branch campuses in major towns. Virtually all of these institutions were established in the last half decade. While a closer analysis is warranted, the enrollment rate appears to have

been climbing rapidly for several years; but the pace has now moderated, and in a few cases a decline has been reported. (Damtew, 2005)

Most private institutions in Ethiopia, like others in Africa, offer courses that render good employment opportunities. The programs include business administration, computer studies, and information technology (IT). Others also provide training in health care and teacher education. A few of these colleges also offer distance education to tens of thousands of students. (Damtew, 2005)The study focusing on SMUC

SMUC is an outgrowth of St. Mary's Language School which was established in 1991 in Addis Ababa. St. Mary's College was established in 1998 under St. Mary's General Educational Development PLC with its head office in Awassa and a branch in Addis Ababa. After a lot of hard work and dedication, the College was raised to the level of UC in February 2006. Currently SMUC have managed to graduate more than twenty thousand students in the conventional and distance modes.

SMUC offers undergraduate and joint graduate programmes in many fields of studies. Excluding the Distance Education Division, the UC offers courses in ten departments organized under four faculties comprising the Faculties of Business, Law, Informatics and Education. These courses are run under two categories of programs i.e. the Regular Program (run during the day time) and the Extension Program (offered in the evening). Students are trained in the specified levels: the certificate (10+1 and 10+2), the diploma (10+3) and the degree programs.

2. Statement of the problem

As the quantity of the PHEIs increases, the institutions should also focus on the quality of their education. They should have a controlling means that ensure all the activities necessary to design, develop and implement a product or service are effective and efficient with respect to the system and its performance. Quality management can be considered to have three main components: quality control, quality assurance and quality improvement. Quality management is focused not only on product quality, but also the means to achieve it. Quality management therefore uses quality assurance and control of

processes as well as products to achieve more consistent quality. Therefore, having a quality management system in these PHEIs is very important for their survival as well as growth.

Currently, as there are a number of PHEIs, the business environment becomes very complex and competitive in every direction. And in this complex and competitive business environment, quality of education plays a very important role. Education efficiency and success do not depend just on quantity but as well on quality. Adoption of quality management practices in higher education is a mandatory activity.

In this study attempt will be made to address the following research question

- Is the organizational desired result achieved more efficiently?
- Are there any means the institution maintains its continual quality improvement?
- Is the organization considering current and future customer needs and tries to meet customer requirements?
- Do the UC's executives create and maintain the internal environment in which people can become fully involved in achieving the organization's objectives?
- To assess whether the academic and supportive staff are in the essence of the organization?

3. Research methodology

The data required to undertake this study are obtained from both primary and secondary sources. The secondary data are the organization and government policy manuals. In addition to the secondary data, additional data are gathered from primary data sources; including the management, employees, students and other stakeholders.

Primary data are collected through questionnaire and observation. There are 308 questionnaires that are filled by different stakeholders found with internal or external environment of the UC. The internal stakeholders included the academic staff, supportive staff and students. From the external environment the study tried to address parents, and few selected employers.

The questionnaires are distributed accordingly;

- 60 questionnaires to managements, academic and supportive staff using stratified probability sampling technique.
- 200 questionnaires for the students were distributed using judgmental non-probability sampling technique. The selection process will consider the students' entry, department and division. The questionnaires are only distributed to prospective graduating students from three faculties. These are from Business, Law and Informatics Faculty and from both Degree and Diploma level students who have been attending in the UC in regular and extension programs.
- Again using judgmental non-probability sampling technique 30 questionnaires distributed to regular students' parents and four become uncollected.
- 18 questionnaires for few selected employers engaged in various activities like banking, merchandising, manufacturing and other organizations which are owned by the government and private individuals.

The data gathered are analyzed using descriptive and analytical analysis methods. Eventually, the data analyzed are presented by using tables that helps to explain the fact in summary.

4. Review of Related Literature

Quality management in education is a vital milestone in the development of the modern and future society. The cohesion of the requirements of students, society and university staff is the foundation of sustainable knowledge spiral to quality education. In order to examine the problem thoroughly one should study the motivation of the parties involved in the process. (Gueorguiev, 2006)

Parties involved in quality management of education

In order to achieve continual improvement universities should recognize their 'customers', regard them as the primary reason for their existence and do everything possible to maintain good relationships with students, staff, companies, and society in

general. (Gueorguiev, 2006). According to Gueorguiev, there are six parties involved in quality management process of education. These are

- Students
- University
- Society
- Companies
- Government

Students

The primary customers of schools, colleges and universities are students. (Gueorguiev, 2006) According to Spanbauer (1995), refers to the students as the primary customers, with the customer relationship being somewhat different – the student may not know what they need to learn and it does not necessarily mean that they must be given whatever they request. It is the faculty that can determine the needs of the students.

Difference between ‘Student’ and ‘Customer’

The business rule that the customer is always right and the common expectation that the customer has the authority in business relationships are at the heart of the negative consequences of misidentifying the student as customer. Student evaluations of teachers are given the importance of customer satisfaction surveys and take on a disproportionate role in tenure, promotion, and reappointment processes.

The real customer in any situation actually has authority in their ability to dictate details to the producer, or take their business elsewhere. Should the student really have authority over the teacher in the classroom? The business model fails miserably here, because education is a kind of apprenticeship or mentorship. To be successful, teachers need to set and apply the standards.

Does it make sense that the student is setting and applying their standards to the teacher? Viewing the student as customer elevates short-term student happiness over long-term improvement in abilities. Satisfaction comes later when the benefits of the difficult

training are realized. How many successful college coaches would fare well in a survey of player satisfaction before ample opportunity to understand the benefits of the rigor?

Viewing the student as the customer shifts teacher focus exclusively to a pedagogical role. The teacher is no longer an empowered gatekeeper with control over academic rigor and learning quality. It's analogous to removing the automated test system from the factory floor. This is the heart of grade inflation. Motivation is limited to the carrot; the stick is not available

Motivating students requires both selling the beauty and benefits of knowledge and abilities in an area (the carrot), and awareness of potential failure with the attendant consequences (the stick). Misidentifying students as customers removes the motivation of the stick, because students shift the blame for failure to the instructor. In their minds, they paid for quality instruction. If they fail, the customer model inclines them to believe they are not getting what they paid for. Thus under-performing students are deprived of the opportunity for proper introspection. *(Michael, 2006)*

5. Data analysis

Resource management

a) Availability of Physical Resource

It is known that every educational institution should have necessary facilities that enable it to give quality education for the students. These facilities include equipped class room, laboratories, compute lap, libraries, office for staffs, cafeterias, and other services. Currently SMUC provides resources, activities and guidance to all students to help them achieve their short-term goals as well as life-long learning.

Each department at SMUC has its own separate office for the instructors and department heads, plus there are also rooms to give syndicate services like meeting, advising and some times for trainings also. The UC has equipped classroom with white and black board, chairs and tables. There are also computer lap rooms. Beside, SMUC has three libraries serving its students as well as academic and administrative staff. The libraries

have systematically collected books, periodicals, newspapers, research materials, CD-ROMs, and Audio recordings to support the teaching-learning process and research, and to respond to the needs of all members of the UC.

As it is confirmed by the majority of 4(7%) and 40 (75%) of staff respondents 'strongly agree' and 'agree' on the UC providing sufficient resource to run the teaching learning process respectively. Again 45(25%) and 105(58%) of the students also 'strongly agree' and 'agree'.

The staffs and the students also added that there are no enough computers in computer lab plus at the office to facilitate the learning process and there is no adequate internet access to the students to enable them browse additional learning materials.

In addition to this, the respondents pointed out that there are no entertainment facilities in the UC compound like playground where the students can socially interact with other students. These entertainment facilities have positive impact on the students' social life in his/her tenure at SMUC.

The majority of the staffs and the students said that the current physical environment did not take in to consideration the disabled students in which they can easily learn, study, and have social life in the UC.

b) Human Resources

The most important resource in any service giving organization is its human resources. SMUC also acknowledges this point. Among total teaching staffs engaged in the three faculties more than 50% of the staffs have an academic rank of Lecturers, 33% of them Assistant Lecturer and 13% are Graduate Assistant. The higher rank available currently is the Lecturer position and their academic qualifications are PhD and Masters in different specialization. All Assistant Lecturers and Graduate Assistants are holder of BA, BSc, LLb and B.Ed.

The female staffs' composition from the total academic staffs is fifteen (14%). Considering the current Ethiopian demographic composition which is 50% of the total population is female. Therefore, the participation of female at SMUC is very low.

Eighty nine percent of the staffs and 88% of the students' responses showed, that the UC employs qualified, competent and caring individuals.

SMUC is committed to upgrading the skills of its staff with the belief that institutional improvement takes place only through continuous staff development and support. The UC has sponsored three cohorts of higher diploma trainees during a ten-month period each, toward attaining their licenses to teach in any higher education institution in Ethiopia.

Seventy five percent of the staff respondents agreed that the UC ensured that its personnel are aware of the relevance and importance of their activities and how they contribute to the achievement of the quality objective.

c) Challenges faced to provide necessary resources

The respondents listed the following challenges faced by SMUC to avail necessary resources and materials to achieve the UC quality objectives

- Ever-increasing and highly inflated costs of input
- Shortage of skilled manpower in some discipline.
- Lack of commitment in some staffs especially in part time staffs
- Unpredictable government policies
- Not acquiring its own premises
- Turnover of well trained, experienced staffs
- Dispersed teaching place at different campus
- Low pay rate and lack of benefit packages

Student Satisfaction

The following analysis where made to assess whether SMUC is identifying its customer needs and wants to delivery their requirements or not.

a) Stakeholders participation

The study attempts to assess the extent of stakeholder participation in decision making, strategic management formulation, revision of curriculum and programs and any other major decisions' of the UC. More than 50% of the student respondents said that the students are participating in decision making bodies through their elected representative. This indicated that the UC considers students' opinion in their decision making process. This contributes a lot to the quality of the education the UC intended to have.

b) Handling complaint

Ninety percent of the respondents of the staff agreed on the UC having a fair and effective timely procedure to handle student complain and there is a risk free environment for the students to raise their complaint, appeals and questions with out fear. Similarly 67% of the students' responses support the above idea. These indicate that the UC has a formal and effective procedure to handle student appeals.

Taking proper action for a compliant and appeal on time increase the student satisfaction. And based on the majority staffs and students respondents, the UC is currently taking necessary and proper measure following student complaint.

c) Enhancing student satisfaction

One of the tools of quality management is enhancing customer satisfaction by providing goods and services that fulfill the customer satisfaction. In order to know whether the UC enhance the students satisfaction or not, the following analysis were made.

Based on 93% of the staffs' and 69% of the students' response, the top management is highly concerned in determining and meeting the customer satisfaction.

Majority of the students (90%) said that SMUC is striving towards achieving a quality education. The opinion collected from the student showed that most of the student registered in this UC because the UC gives a quality education. Again most of the parents (85%) choose SMUC because they believe that there is high quality of education in the institution. Their second best reason is due to location, 27% of the parents said that the location is center.

d) Challenges SMUC faced to satisfy its students need

The following challenges are some of listed by the respondents the UC faced to satisfy its students need:

- Unpredictable and unclear government policies have an influence of the UC achievement of customer satisfaction.
- Regular interruptions of electric power hindered to smoothly run the teaching learning process on the time scheduled.
- The students' perspective towards an academic institution. Some students want only grades to the level of their satisfaction not according to the merit based assessment and some students only want to get the certification.

Continuous Quality Improvement

SMUC places great value on continuous improvement. Through systematic evaluation of all personnel, programs, and services, an avenue is provided for modifying existing plans.

The UC has a separate section called Center for Educational Improvement, Research and Quality Assurance (CEIRQA) which is responsible to perform a wide range of activities to fulfill its mission in educational improvement, research and quality issues.

The UC has a quality manual that ensures the effectiveness of planning, operation and control of the UC's process. These quality manual polices are not well communicated to non-management staffs

Eighty six percent of the staffs' respondents replied that SMUC is implementing necessary action to achieve the objective of the UC plus it is continually striving to improve it.

From the questioner distributed to academic, non academic and top management, 28% respondents strongly agreed and 43% agreed. The UC continually improves the effectiveness of the quality management system through the use of the quality policy; quality objectives audit results, analysis of data, corrective and preventative actions and management review. Ten respondents disagreed on the UC continually improvement of its quality management system, and 6% respondents were neutral.

a) Students Assessment

More than half of the respondents agreed that there are valid and reliable principles and procedures to conduct assessment and these principles and procedures are publicized to all staffs. Having formal and standard principles and procedures about assessment process will play a major role on quality education. More than 80% of the staffs' respondents replied that the UC assessment practices promote effective learning. Similarly the data collected from the students strongly supported the assessment practice promotes effective learning.

The UC has a fair mechanism of marking student results (98% of the staffs' and 75% of the students' responses). Student result is marked based on their performance and they get their assessed work results on time. And the UC is periodically review and amend assessment regulations, as appropriate, to assure themselves that the regulations remain fit for purpose.

Parents were also asked whether there is appropriate mode of assessment in the UC. Sixty-nine percent of the respondents replied that students are assessed in appropriate mode of assessment. The parents also said that the students are evaluated in continuous basis. This will help the students to work hard and to have an adequate knowledge on the subject matter. In addition to this, the UC adopts different assessment techniques like tests, assignment, presentation and others. In contrast, 23% said that the mode of

assessment is not appropriate. The continuous assessment results the students to have stress.

b) Revision of Programs/Curriculums

In order to meet the stakeholders' interest, technological changes and due to any other reason, academic institution regularly revises their programs and curriculums. More than 60% of the respondents said that the UC is regularly monitors the effectiveness of their programs to evaluate the extent to which the intended learning out comes are being attained by students and make the necessary revision and amendments. The UC informs the students about any significant changes about the program at their earliest possible and advised them for any option available in those circumstances.

The study also attempted to assess whether the necessary stakeholders participate in any revision of curriculum made by the UC. Based on the data collected from the students and parents, they do not have any opportunity to express their view on curriculum revision. Without stakeholder participation, the new revised curriculum will not also achieve its intended learning out comes.

c) Rules and Regulation

Ninety-five percent of the students said that the UC rules and regulation are fair. It creates an enabling environment for student to learn, study and to do other extra curricular activities to achieve their learning out comes. Ninety-nine percent of the students' response show that the UC action taken on undisciplined student is proper and it is also in line with the rules and regulation of the UC.

d) Challenges SMUC faced to achieve continuous quality improvement

Challenges the UC faced to continually improve its quality, based on the respondents reply:

- Lack of interest on some teaching staffs and the student.

- Instructors understanding problem on quality and being reluctant on policy implementation.
- The monetary inflation is tempting the UC not to cope with the quality standards set.
- The current educational policies

Leadership

One of the most critical requirements for total quality is the prevalence of outstanding leadership at all levels in the organization. Besides, there must be a set of policies, procedures and practices in place that provide the utmost of support to total quality. (*Bharat, 1994*).

a) Staff Responsibility and Obligation

SMUC has a clear and practical organization structure and clearly defined responsibilities for the academic and non-academic staffs. Sixty one percent of the staffs' responses showed that the authority assigned to different employees in the UC and their responsibilities are compatible.

b) Concern of the management and staffs

The UC top management has concern and commitment for their job, 29% strongly agreed and 36% agreed. Some respondents said that some managers are reluctant to make decision.

Achieving superior quality

The basic objective of SMUC is to offering quality higher education, training, and services, conducting research and publications that exceed the requirements of students and stakeholders, and nurturing sustained and mutually beneficial relationship with them. Therefore an attempt is made to assess what the employer thinks about the graduated student of the UC at their work place. So the collected data were presented as follows.

All selected employers replied that the UC students have ability to work individually as well as in groups. And more than 50% of the respondents said that the graduated students have satisfactory knowledge on the profession they graduated.

Sixty percent of the respondents strongly indicated that the graduated students have ability to apply what he/she learned at the UC. Seventy-two percent of the employers agreed on the SMUC's graduated student currently working in their organizational has a good ethical manner.

More than fifty percent of the employers strongly emphasized that the SMUC's graduated student is highly competent comparing with other universities and colleges students in that organization. Six respondents were neutral.

Therefore, these selected employers are a good witness to prove that the UC is delivering high quality education for the students enrolled.

6. Conclusions

Even SMUC is striving to provide necessary resources that help the UC achieve its quality objectives; still it is observed that some resources are not efficient to achieve the UC desired objectives. Currently we all are witnessing the inflation of price of inputs occurred in our country. This hampered the UC to stretch its hands to acquire more resources and meet the desired level. Beside this, the UC fails to put into consideration to provide suitable learning environment for disabled students. The female staffs' composition from the total academic staffs is very low. The participation of female at SMUC is very low.

The UC strives to achieve continuous quality improvement through the UC using different techniques. The first one is clearly defining and communicating the duties of each staffs and delegating authority for appropriate responsibility. The second one is having applicable rule and regulation and making sure that everyone abide by the rules and regulation and taking necessary measures on irregular actions. Third one is having a quality manual that go with the organizational purpose even if the UC fail to communicate this to all concerned staffs. The next reason is that the UC continually struggles to improve the effectiveness of the quality

management system through the use of the quality policy, quality objectives, audit results, analysis of data, corrective and preventative actions and management review. And the last one, top managements high commitments towards to continuously improvement of quality.

According to the respondents the UC is hiring competent staffs and empowering the staffs with the necessary training and assess the staffs' action effectiveness regularly. The management considers staffs' opinion in their various decision making process.

The organization considering current and future customer needs and tries to meet customer requirements and strive to exceed customer expectations due to various reason. First one is by considering students' opinion in their various decision making process. The second reason is that having a fair, effective, and timely for handling procedure for complaint and making available it for the students. The third one is creating risk free environment for the students to raise their appeals and providing academic support the student. The next point is having a proper student mode of assessment and marking that enhance effective learning and giving timely feed back.

7. Recommendations

With all these important considerations in mind, the following are a list of recommendations for a successful quality management system in SMUC

- ❖ Even if there is high monetary inflation in country, SMUC should find a means to improve the current available resources that enhance the UC's objectives like providing over heads, LCD projectors, internet access for the students, additional computers in computer lab and offices.
- ❖ SMUC should considerer in the future to create an environment for disabled students where they can learn, study and do other social activities in the UC.
- ❖ Most of the staffs are not aware of the quality manual of the UC. So it is better to communicate all non-management staffs about quality manual to maintain the internal environment in which people can become fully involved in achieving the organization's quality objectives
- ❖ Without considering the need and the desire of the major stakeholder any product or services will not achieve its targeted objective therefore the UC should consider all

- relevant stakeholders in its program and curriculums revision in order to achieve a better quality
- ❖ SMUC needs to give reward in academic rank as motivation for the staffs that have been contributing a lot towards its quality management.

References

- Bharat Wakhlu, *Total Quality: Excellence through Organization-Wide Transformation*. New Delhi, 1994
- Damtew Teferra. (2005) *Private Higher Education in Ethiopia: The Current Landscape*
- Habtamu, Wondimu (2000). *Higher Education in Ethiopia: Retrospects, Prospects and Challenges: A Chapter Presented for the Handbook of Higher Education in Africa*, copy prior to publication.
- John Oakland (2000). *Total Quality Management: Text with case*. Second edition, Oxford, Butterworth-Heinemann.
- Proclamation No. 351/2003 Federal Negararit Gazeta of the Federal Democratic Republic of Ethiopia.
- QSAE (2004). *Training material for Quality management system development and implementation Based on ISO 9001:2000*”, QSAE, 2004.
- Michael Courtney and Amy Courtney (2006) *Who is the customer in higher education?* , <http://www.jstor.org/stable/0612117>
- Ray Tricker, (2001) *ISO 9001:2000: For Small Businesses*. Second edition, Oxford, Butterworth Heinemann.
- Spanbauer, S.J. (1995), “*Reactivating higher education with total quality management: using quality and productivity concepts, techniques and tools to improve higher education*”, *Total Quality Management* , Vol. 6 No. 5/6
- Teshome Yizengaw. (2005) *Education Financing and Cost Sharing in the Ethiopian Higher Education Landscap*. 2-3

Tzvetelin Gueorguie (2006), *Quality Management in Higher Education*

William Saint. (2004) *Higher Education in Ethiopia: The Vision and its Challenges*, Boston
College & Council for the Development of Social Science Research in Africa

http://www.iso.org/iso/en/iso9000-14000/understand/basics/general/basics_4.html

<http://www.qaa.ac.uk/>

<http://www.discover6sigma.org/post/2005/10/few-words-on-quality/>

www.stmarysuniversitycollege.com

Customs Valuation System in Ethiopia

By

Tenkir Seifu Legesse

Lecturer, SMUC

Abstract

The study assessed the customs valuation system applied in Ethiopia and investigated the existing problems in the system. The methods adopted in the study include documentary analysis, in-depth interview and self administered questionnaires. The results suggested that the Customs Valuation System in Ethiopia does not provide fair, neutral and uniform valuation and does not effectively protect traders from risk of arbitrary valuation by the customs officers. There is also risk of revenue loss to the government due to under invoicing of imports by the traders since controlling mechanisms such as Post Clearance Audit (PCA) are not adequately developed. Therefore, the Government of Ethiopia needs to strengthen the controlling mechanisms within the customs valuation system since duties and taxes on foreign trade contribute the significant portion of its tax and duty revenues.

1. Introduction

Customs valuation is the determination of the amount up on which the rates of duty and tax are applied in order to calculate the value of customs taxes liability of a tax payer. While these rates are unambiguously fixed by the statute in a tariff schedule, the declared value of imported goods may vary from transaction to transaction. The fluctuating tax base has important implications for the customs tax policy of a country. An importer engages in under invoicing and misrepresenting the value of shipment to reduce his/her duty and tax liabilities. Unless the under invoicing practices are detected and remedial actions are taken, the government revenues are lost and the importer receives unfair advantages over its competitors. Therefore, customs valuation plays crucial role for the government in calculating duty and tax revenues and creating leveled play-ground among the traders in the country. Despite the fact that foreign trade taxes and duties provide significant revenues to Ethiopia, there is serious and complex problem of underinvoicing of import values by importers. Duties and taxes escape the net resulting in gross economic distortions such as uneven playing field and unfair competition for legal traders. Such circumstances also resulted in loss of revenues to government. Albeit customs valuation is a fundamental factor for facilitating international trade and

generating governmental revenues, adequate investigations pertaining to customs valuation operations in Ethiopia were not conducted. Taking these facts in to account, the study attempted to assess the customs valuation system applied in Ethiopia and the prevailing problems in the system.

2. Literature Review

Customs valuation systems have been the subject of a number of international harmonization and standardization efforts. As pointed out by Goorman and Wulf (2005), the first significant international agreement on customs valuation was reached at the 1947 GATT negotiations that established principles to be adhered to by trading partners. These principles, embodied in GATT's Article VII of Agreement on Customs Valuation (ACV), emphasize that customs value should not be arbitrary, fictitious, or based on value of indigenous goods. ACV came into force replacing the Tokyo Valuation Code and it forms part of the set of agreements that are presently mandatory for WTO members. The Agreement uses transaction value, that is the price actually paid or payable for the good, as the main basis for customs valuation (Polyakov and Shewarega 2006). In cases where the transaction value does not reflect the correct value of the good, the agreement lays down five additional bases of valuation to be applied sequentially. These are transaction value of identical goods, transaction value of similar goods, deductive method, computed method, and fall-back method. In addition to these, the Agreement also incorporates provisions defining the terms used in it, provisions on currency conversion, right of appeal of importers, clearance of goods on providing guarantee, and special and differential treatment of developing countries.

Customs valuation of goods is an important aspect of trade facilitation. Walsh (2003) noted that it is also important element for other functions including statistics, quota and licensing arrangement, and the application of preference systems. Custom duties and import taxes are levied mostly on an ad valorem basis and custom valuation is usually the basis on which tariff and tax liability is calculated. Hence it is important to establish generally acceptable rules and system for the valuation of imported goods.

Valuation fraud is a serious problem in most countries particularly in developing countries that have relatively high rates of duties and other various taxes on imported goods. It is often exacerbated by a generally poor level of tax compliance through-out the country, a tendency for many importers to deliberately maintain poor records and the existence of special relationship with suppliers (Rege 2002). Evasion of duty through undervaluation or misdescription of imports is an acute problem for custom administration in developing countries. King (2003) estimated a widespread underinvoicing in Nepal and also indicated lack of effective valuation procedure in place in Nepal. Filmer (2003) on the other hand reports the views of trading community that there is a threat at declaring a higher value and delaying clearance to extract illegal payments from the traders. Ghimire et al. (2005) reports under invoicing of goods, discretionary power of customs officials and limited data base for value appraisal as the major problems of customs valuation. A perception survey conducted by Filmer (2003) has also identified custom valuation as one of the major issues of trade facilitation.

According to Chaturvedi (2006) the underinvoicing of imported goods is an extremely serious and complex problem that negatively impacts on national economy in several ways. It means that the duties and taxes escape the net and result in gross economic distortions. This also leads to an uneven playing field, unfair competition and is disadvantageous to goods manufactured in the country. Polyakov and Shewarega (2006) noted that undervaluation is generally the rule of the game for smaller importers (comprising up to 90 percent of all importers in Ethiopia) who generally trade small lots, with variable consignment contents. This makes the customs valuation systems currently applied more susceptible of undervaluation and poor compliance by importers.

On the other hand, empirical studies revealed that there has been a remarkable increase in extra revenue realized by governments because of enhancement of declared transaction value. According to Chaturvedi (2006), in India, during 2003-04 the reported value of under valuation was USD 38.6 million. Similarly in the year 2005-06 an amount of USD 91 million of extra revenue was realized by enhancement in valuation of imported goods. Generally, both theoretical and empirical facts accentuate the importance of customs valuation and its roles in trade facilitation and revenue contributions. In this context, the

objectives of this study are to assess customs valuation system currently applied in Ethiopia and to identify the problems in the system.

3. Research Methods

Considering the nature of the study and the type of data required, the study employed the survey approach, in-depth interview, and documentary analysis for gathering data from different sources. Self administered survey questionnaires were used for gathering data from randomly selected importing companies and assessors of customs clearing agents located in Addis Ababa. The sample size for importers and assessors was 24 importers and 31 assessors. Two customs valuation officers from each branch offices of Ethiopian Revenues and Customs Authority (ERCA), Bole Airport and Kaliti, and the tariff and goods valuation director at head office were also interviewed. In addition to the survey and the in-depth interview, the study employed documentary analysis for examining legislative documents and records of ERCA. Regarding data analysis, this study mainly employs descriptive analysis. Descriptive analysis provides profiles of organizations, processes, systems, or other subjects of any multitude of distributions of characteristics such as size, composition, effectiveness, efficiency and other variables. It is used, in this study, for explaining the customs valuation system process, its effectiveness and the existing problems.

4. Findings of the study

Customs Valuation System in Ethiopia

The Customs value on imported goods is determined mainly for the purpose of applying ad valorem duties and import taxes. It constitutes the taxable basis for Customs duties and import taxes. A newly issued customs proclamation, Proclamation 622/2009, is currently applied by ERCA to determine customs values but new customs regulation is not yet issued by council of ministers for detailing its implementation. The Ethiopian customs law establishes a customs valuation system that primarily bases the Customs value on the transaction value of the imported goods, which is the price actually paid or payable for the imported goods, plus certain adjustments. In cases where the customs value cannot be

determined on the basis of the transaction value, it is determined using the transaction value of identical goods; the transaction value of similar goods; the deductive value method; the computed value method; and the fall-back method, in hierarchical order.

Customs valuation process

Customs valuation consists of the procedure undertaken to assess the customs value of goods. For the purpose of customs valuation, ERCA uses price database containing price information for different items, which is used to crosscheck the invoice value presented by importers. The price database is supposed to be quarterly updated but, according to in-depth interview conducted with valuation officers, updating quarterly has not been made in most of the times. The database will be available both for customs valuation officers and declarants. As a base of duty assessment, the Authority applies FOB value for some exported goods and CIF value for imported goods. The legally stipulated duty rates are multiplied by FOB value for the exported goods and CIF value for imported goods to determine the duty liability of the trader. Amounts of freight and insurance are also collected separately for each item making possible reporting of prices/actual cost of goods. For imported items, which are transported by airplane, one-third of their freight costs are taken for calculating customs value. In cases of importer's failing to provide freight cost information or the Authority doubting the amount, the valuation officers considers 10 percent of the invoice price as freight cost. If the importer does not present insurance documents and the amount, 5 percent of the invoice value plus the freight charge is taken as insurance cost for customs valuation purpose. For imported items both country of origin¹ and consignment are captured and stored for documentation. For indentifying a country of origin, the standard rules² of origin are applied and most of the importers are asked to present certificate of origin and other documents not only for statistical purpose but also primarily for valuation activities. The discussion with the director revealed that all of the above mentioned operations are performed in conformity with the directive issued by the Authority. However, customs valuation officers apply personal judgments in some events giving a room for subjectivism. In cases where the

invoice values are doubtful and prices of imported goods or similar goods are not found in the price data base, customs valuation officers commonly apply price found in internet rather than going for the other methods shown in the customs rules.

Currently, ERCA uses Automated System for Customs Data (ASYCUDA⁺⁺) for duties and taxes assessment. As per the in-depth interview with valuation officers, before the introduction of the automated system, duties and tax assessments have been performed manually using desk calculators. As a result, the annual foreign trade statistics was not up to date and revenue collection was lagging and cumbersome. The automated system brought a drastic revolution towards more simplification of Customs procedures. The benefits realized from the automation include significant reduction in the clearance time, availability of different type of reports to all customs station with no time limit; linking of all customs stations to central server that enable them to access standard procedure and tariff rate produced from the system, acceleration of cash collection, enhancement of working environment, timely availability of import and export trade statistics, and data quality control.

Importers in Ethiopia are required to pay customs duty, withholding tax, excise tax (if applicable), VAT and surtax. The duty rates and tax rates are legally set and already integrated with the automated system. In the process of duties and taxes assessment, the main factor is the CIF value since the rates are fixed for all transaction of the same import item. As a result, misstatement of CIF affects not only the customs duty but also the taxes on imports.

The price database

The purpose of the database is to crosscheck the invoice price presented by the declarant with the price of identical or similar goods in the database and to prevent inconsistency in customs valuation due to information gap among different branches of the Authority. The database contains minimum prices and reference prices putting them in to two sections. The minimum prices are applicable on imported goods with high customs risk³ such as

textile products, shoes, electronic products, and spare parts of vehicles. For other imported items with low customs risk, the database is used for reference and invoice values in the range of 5 -10 percent below or above reference price is acceptable. The minimum price, determined based on prices of identical or similar goods imported in the past, is not applied on the above mentioned goods if they are imported by sole agents. Transit firms prepare declaration for imported goods considering the minimum prices and customs staffs verify the correctness of the declarations. For each of imported item with high risk, the larger of transaction value (invoice value) or price in the database is used for customs and taxes assessment. The Authority gets the information needed for updating the database mainly from monthly reports send by branches offices and from customs automation and data analysis department.

Customs valuation systems control mechanisms

An essential element of customs administration is ensuring the implementation of customs rules and regulations. The in-depth interviews with the directors of ERCA on one hand, and importers and customs clearing agents via questionnaire on the other, revealed the existence of distrust of the latter group by customs officials. Out of the assessors contacted during data collection, only 26 percent of them agree with the availability of adequate control mechanisms in the customs valuation system. On the importers' opinion, the control mechanisms applied by ERCA are not still safe and sound. Only 29.1 percent of the importers agreed with the adequacy of the control mechanisms. The reasons include the lack of objectivity in the customs procedures, which made it difficult and complex to devise effective control means. Only 29.1 percent of the importing firms and 32.2 percent of the assessors agreed with the existence of objectively stated valuation procedures in Ethiopia. Feeble control function makes it possible for traders to evade paying duties and for valuation officers to engage in malpractices. Even though various attempts are made to eradicate these deep-rooted problems, the current customs valuation system does not ensure proper enforcement of valuation rules and regulations. The reality in the documentation also implies availability of certain weaknesses in record keeping which is attributable to most organizations in Ethiopia. Furthermore, there is risk of revenue loss to the government due to under invoicing

of imports by the traders since controlling mechanisms such as PCA are not adequately developed. According to the in-depth interview with valuation officials, in Ethiopia PCA is in infant stage and other customs valuation facilities in terms of importers' voluntary compliance, data base, infrastructures and skilled manpower are still inadequate. Although customs operating situations have been now improved, there are still many irregularities that need to get remedial actions.

Customs valuation and trade facilitation

The survey result implied that the customs valuation system in Ethiopia does not encourage compliance with valuation rules by providing proper invoice prices as the only requirement from the importer is to pay the balance of taxes and duties required to be paid. It would actually even discourage legitimate importers as there is a chance that the under invoicing may go unnoticed, giving under invoicing traders the edge over their legitimate duty paying competitors. Therefore, the Customs Valuation System in Ethiopia does not provide fair, neutral and uniform valuation and does not protect traders from risk of arbitrary valuation by the customs officers. In-depth Interviews with the ERCA on the one hand, and data collected from importers and customs clearing agents on the other, revealed the existence of recurring under invoicing by some traders leading to unfair play ground for genuine traders.

The time taken for customs clearance is an important factor in trade facilitating function of the Authority. In an endeavor to investigate the average time consumed in customs clearance and the fairness/reasonableness of the time taken, certain information concerning attitude has been found from transitors and importers. The majority, about 64.5 percent, of transitors replied that the average clearing time is less than 5 days while only 33.33 percent of importers said the average time is less than 5 days. The detail information on the responses is shown in table 4.8. In order to understand the correlation of the average clearing time replied by the two groups of respondents, correlation analysis has been done. The computation of Pearson coefficient of correlation produced value of 0.749 implying stronger positive relationship among the responses of transitors and importers.

To examine whether importers' overall attitudes on the customs valuation systems is related with the time taken for clearance, the researcher conducted bivariate correlation analysis. The value of Pearson coefficient of correlation was found to be 0.381. Therefore, as per the result of correlation analysis, the importers' overall attitudes (as computed by Likert scale) are less positively related with their attitude on the fairness of custom clearance time. Most importers gave value for factors other than the clearance time in their evaluation of customs valuation system. Of the other factors incorporated in determining the combined position of the importers, the availability of in-built incentive for compliance and achievements in facilitating trade are expected to bear the significant role since they are more important to importers.

Under invoicing of import value

With the intention of reducing the payments for duties and taxes, importers usually declare invoices containing small product price. The ways of under-invoicing may vary depending on the nature of the importing firm, the type of product imported, and the product's country of origin. According to the in-depth interview with customs officers/directors and questionnaires answered by transitors, the commonly occurring ways of under-invoicing in Ethiopia are adjusting invoice price, using third country's certificates of origin, and falsification of product's grades. Out the total transitors surveyed, about 51.6 percent replied that adjusting invoice price is the most common way of under-invoicing, 38.7 percent mentioned using third country certificate, and the remaining 9.7 percent mentioned falsification of grade.

To look at those factors exacerbating the under-invoicing propensity of importing firms, the existence of relationship between importers and their supplies as well as the accessibility to import from different countries at different price have been taken in to account. About 42 percent of the assessors believe most importing firm in Ethiopia acquire goods from affiliated suppliers, 19.3 percent of assessors disagreed with this idea, and the remaining 38.7 percent were neutral. Since the result implies the existence of relationship in many of the importing firms and their foreign vendors, care need to be given in customs valuation as well as profit taxation. Taxes and duties evasions in

developing countries become common due to higher tax and duty rates and more costs items (such as insurance and freight charges) are included in the taxable/dutiable amount.

Under invoicing of import value

The survey analysis revealed that a high concentration of under invoicing had been detected in imports from selected countries (China and UAE) while other countries were thinly reported on with regard to occurrences of such economic offences. High customs-risk products such as textile products, electronics, shoes, and vehicle spare parts were also identified. As per the in-depth interview with customs valuation and tariff classification director and valuation officers, the extent of under-invoicing is so high that customs revenue is likely to rise significantly when evaded customs values are properly assessed and taxed. The main factors that may exacerbate under invoicing by importers are the higher duty and tax rates, various cost items (such as insurance and freight charges) included in the taxable base, and the existence of relationship between importers and their supplies. With the intention of reducing the payments for duties and taxes, importers usually declare invoices containing small product price. The ways of under-invoicing may vary depending on the nature of the importing firm, the type of product imported, and the product's country of origin. According to the in-depth interview with customs officers/directors and questionnaires answered by transitors, the commonly occurring ways of under-invoicing in Ethiopia are adjusting invoice price, using third country's certificates of origin, and falsification of product's grades. Out the total transitors surveyed, about 51.6 percent replied that adjusting invoice price is the most common way of under-invoicing, 38.7 percent mentioned using third country certificate, and the remaining 9.7 percent mentioned falsification of grade.

Customs operational problems

Besides the deep-rooted under invoicing problem and relatively lower level of compliances by importers, the study examined the custom operational problems by means of in-depth interview with customs officers/directors and surveys conducted with importers and clearing agents. The problems identified were concerning the lag in updating of database, problem associated with

ASYCUDA++ operation, unorganized customs directives, lack of importers' compliance, lack of adequate and skilled manpower, vague to identify sole agents, and corruption in the system.

5. Conclusions and Recommendations

The study claims that customs valuation is vital factor in the process of generating government tax revenues and facilitating foreign trade activities. Erzan and Yeats (1990) also indicated the significance of customs valuation for assessment of duties and import taxes. Customs duties and imports taxes in Ethiopia have been significantly increasing in the years under investigation. Duties and import taxes were about ETB 3,633.85 million in the Ethiopian fiscal year 1995 and ETB 11,693.07 million in the fiscal year 2000. They had mounted more than three times in six consecutive years. Despite this fact, there are still indicators showing the government's loss of duties and customs revenues due to under invoicing by importers.

The Customs Valuation System in Ethiopia does not provide fair, neutral and uniform valuation and does not protects traders from risk of arbitrary valuation by the customs officers. There is also risk of revenue loss to the government due to under invoicing of imports by the traders since controlling mechanisms such as PCA are not adequately developed. In Ethiopia PCA is in infant stage and other customs valuation facilities in terms of importers' voluntary compliance, data base, infrastructures and skilled manpower are still inadequate. Although customs operating situations have been now improved, there are still many irregularities that need to get remedial actions.

Under-invoicing of imported goods is an extremely serious and complex problem that has a negative impact on the Ethiopian economy in several ways. Duties and taxes escape the net and this would result in gross economic distortions. This leads to an uneven playing field and unfair competition, and is disadvantageous to goods manufactured in Ethiopia. Despite the general increase in customs duties and import tax collections, there has been frequent occurrence of under invoicing, which demands more attention from the Government of Ethiopia.

The increased vigilance and deployment of modern systems in Ethiopia such as the introduction of an AYCUDA⁺⁺ which may enable to reshuffle some staffs to functions

involving controlling under invoicing, as well as price database of indicative values for imported goods, may help in minimizing revenue losses. In addition, ERCA needs to strengthen the capacity of its customs valuation and tariff classification functions in order to control the under invoicing of import values. Customs valuation procedures must be based on transparency, objectivity, and accountability. In view of the inherent problems in customs administration of Ethiopia, there is a need for comprehensive customs procedures so that implementations of the newly stipulated customs valuation rules are practical and beneficial to the country.

As emphasized by the survey result, there is a huge time lag in updates, which creates various problems among different sets of importers. Therefore, ERCA needs to increase its capacity and update the database as timely as possible. Furthermore, the ASYCUDA⁺⁺ and the price database should be integrated to avoid the need for switching from one computer program to another. This simplifies customs valuation officers' work and reduces the time needed for customs clearance.

The Government of Ethiopia ought to recognize that the present customs assessment chaos is connected with the existence of ineffective and arbitrary customs valuation system. It can probably bring about some improvement in foreign trade activities by implementing appropriate valuation system. Therefore, the government should strengthen the controlling mechanisms within the customs valuation system since duties and taxes on foreign trade contribute the significant portion of tax revenue.

References

- Bashar, A. (1999) 'GATT: The new system of valuation', Pakistani Customs Authority, Pakistan.
- C.B. Chapman, S.C. Ward, and D.F. Cooper (2003) 'Nepal: Trade and Competitiveness Study', Kathmandu: World Bank.
- Chaturvedi, S. (2006) 'An evaluation of the need and cost of selected trade facilitation measures in India: implications for the WTO negotiations', ARTNeT Working Paper No. 4. Asia-Pacific Research and Training Network on Trade (ARTNeT), Bangkok.

- Cooper, D. (2005). *Business Research Methods*, 8th edition, McGraw-Hill Publishing Company Limited, New Delhi.
- Erzan, R. and Yeats, A. 1990, 'Tariff valuation bases and trade among developing countries, do developing countries discriminate against their own trade?', Working paper, World Bank.
- ERCA 2003, 'Annual Performance Report of 2003', ERCA, Addis Ababa, Ethiopia.
- ERCA 2004, 'Annual Performance Report of 2004', ERCA, Addis Ababa, Ethiopia.
- ERCA 2005, 'Annual Performance Report of 2005', ERCA, Addis Ababa, Ethiopia.
- ERCA 2006, 'Annual Performance Report of 2006', ERCA, Addis Ababa, Ethiopia.
- Ghimire, H., Majumder, S. D. and Dahal, D. 2005, 'the legislative review study on customs policies of Nepal', Center for public policy dialogue, Nepal.
- Goode, W and Hatt, P. 1986, *Methods in Social Research*, 3rd edition, McGraw-Hill Publishing Company Limited, Singapore.
- Goorman, A. and Wulf L. 2005, 'Customs Valuation in Developing Countries and the WTO Valuation Rules in Customs Modernization Handbook', The World Bank.
- Federal Democratic Republic of Ethiopia 2008, 'Customs Proclamation No. 587/2008', *Federal Negarit Gazeta*, Addis Ababa, Ethiopia.
- Federal Democratic Republic of Ethiopia 2009, 'Customs proclamation No. 622/2009', *Federal Negarit Gazeta*, Addis Ababa, Ethiopia.
- Filmer, R. 2003, South Asia FDI Roundtable, FIAS.
- Finger, K. and Schuler, F. (2000) 'Implementation of Uruguay Round Commitments: the development challenge', Research and Information Systems (RIS) for Developing countries digest.
- Jovanovich, M. 2002, 'Customs valuation and transfer pricing', Series on international taxation, Kluwer Law International, London.
- King, J. 2003, 'Next steps in tax reform : Preliminary report Nepal', IMF, Washington DC.
- Kirby, P. 2007, 'Transfer pricing and customs valuation', WTO, Montreal, Canada.
- Kothari, D.J. 2005, 'Research methodology: methods and techniques', Vikas Publishing House, New Delhi.
- Leopoldskron, S. 2007, 'The Doha Round Negotiations on trade facilitation: an

- overview', The German Marshall of USA, Salzburg, Austria.
- Majumder, S.D., 2005, *Customs Valuation Law and Practice*, fifth edition, CENTAX Publications Pvt. Ltd, New Delhi.
- Myers, M. 2002, 'Qualitative research and generalizability questions: Standing firm with proteus', *The qualitative report*, vol.4, No.3.
- Patton, M.Q. 1990, *Quantitative Evaluation and Research Methods*, 2nd edition, Sage Publication, London.
- Polyakov, E. and Shewarega, W. 2006, 'WTO customs valuation agreement: impact assessment study for Ethiopia', UNDP, Addis Ababa, Ethiopia.
- MoFED 2005, 'Annual Report on Macroeconomic Development in Ethiopia 2005', MoFED, Addis Ababa, Ethiopia.
- MoFED 2006, 'Annual Report on Macroeconomic Development in Ethiopia 2006', MoFED, Addis Ababa, Ethiopia.
- MoFED 2007, 'Annual Report on Macroeconomic Development in Ethiopia 2007', MoFED, Addis Ababa, Ethiopia.
- MoFED 2008, 'Annual Report on Macroeconomic Development in Ethiopia 2008', MoFED, Addis Ababa, Ethiopia.
- Rajkarnikar, P. R. 2005, 'The need for the cost of selected trade facilitation measures relevant to the WTO trade facilitation negotiation: A case study of Nepal', Kathmandu: Institute for Policy Research and Development, Nepal.
- Rege, V. 1999, 'Developing country participation in negotiations leading to the adoption of the WTO Agreement on Customs Valuation and Pre-shipment Inspection', *World Competition*, vol. 22, No. 1.
- Rehman, S.K. 2006, 'Implementation of WTO Customs Valuation Agreement in India', Indian Directorate of Valuation, Mumbai.
- Satapathy, C., 2001. *Customs Valuation in India*, 3rd edition, MVIRDC, World Trade Centre Mumbai.
- Shin and Yukyun 2007, 'Implementation of the WTO Customs Valuation Agreement in developing countries: issues and recommendations', Aspen Publishers, Inc., *Journal of World Trade*, vol. 18, No.3.
- Walsh, T. J. 2003, 'Customs valuation: changing customs', IMF, Washington DC.

T.S. Wilkinson and P.L. Bhandarkar 1999, '*Methodology and Techniques of Social Research*', 9th edition, Himalaya Printing House, New Delhi.

WCO 2006, 'Background paper for WCO/OECD conference on transfer pricing and customs valuation', May 3-4, WCO, Brussels.

WTO 2004, 'Valuation of goods for custom purposes', WTO, Geneva.

Design, Simulation, Synthesis and Implementation of Wallace Tree

Multiplier

By

Taye Girma

Lecturer, SMUC

Abstract

This paper deals with design, synthesis, simulation and implementation of 8x8 Wallace Tree Multiplier. Multipliers form the heart of any DSP operation and determine the performance of general-purpose microprocessors. Wallace tree is an efficient hardware implementation of a circuit that multiplies two integers. It consists of three stages. In the first stage, the partial product matrix is formed or generated. This is to mean multiplying (ANDing) each bit of one of the arguments called multiplier, by each bit of the other arguments called multiplicand. Depending on position of the multiplied bits, the wires carry different weights. Reduce the number of partial products to two by layers of full and half adders. Group the wires in two numbers, and add them with a conventional adder. In the second stage, this partial product matrix is reduced to a height of two through taking any three wires with the same weights and input them into a full adder. In the final stage, these two rows are combined using a carry look ahead adder. Here, if there are two wires of the same weight left, input them into a half adder or if there is just one wire left, connect it to the next layer. The work results in reduction of number of gates that would be used in the design which in turn results in reduction of cost and delay.

Keywords: *Wallace tree multiplier, carry lookahead adders, and multiplier delay*

1. Introduction

Digital circuit design has evolved rapidly over the last 25 years. The earliest digital circuits were designed with vacuum tubes and transistors. Integrated circuits were then invented where logic gates were placed on a single chip. The first Integrated circuit (IC) chips were SSI (small scale Integration) chips where the gate count was very small. As technologies became sophisticated, designers were able to place circuits with hundreds of gates on a chip. These chips were called MSI (Medium Scale Integration) chips. With the advent of LSI (Large Scale Integration), designers could put thousands of gates on a single chip. At that point, design processes started getting very complicated, and designers felt the need to automate these processes. Electronic Design Automation (EDA) techniques began to evolve. Chip designers began to use circuit and logic simulation techniques to verify the functionality of building blocks of the order of about 100 transistors. The circuits were still tested on the breadboard, and the layout was done on

paper or by hand on a graphic computer terminal. With the advent of VLSI (Very Large Scale Integration) technology, designers could design single chips with more than 100,000 transistors. Because of the complexity of these circuits, it was not possible to verify these circuits on a breadboard. Computer aided techniques become critical for verification and design of VLSI digital circuits. Computer programs to do automatic placement and routing of circuit layouts also became popular. The designers were now building gate-level digital circuits manually on graphics terminals. They would build small building blocks and derive higher level blocks from them. This process would continue until they had built the top-level block. Logic simulators came into existence to verify the functionality of these circuits before they were fabricated on chip.

As design requirement become larger and more complex, logic simulation assumed an important role in the design process. Designers could iron out functional bugs in the architecture before the chip was designed further.

2. Review of Related Literature

There are a number of fast multipliers which have already been developed and implemented. Some of the fast multipliers are array multiplier, Dadda multiplier and Wallace tree multiplier.

Array multiplier: Checking the bits of the multiplier one at a time and forming partial products is a sequential operation that requires a sequence of add and shift micro operations. The multiplication of two binary numbers can be done with one micro-operation by means of a combinational circuit that forms the product bits all at once. This is a fast way of multiplying two numbers since all it takes is the time for the signals to propagate through the gates that forms the multiplication array. However, an array multiplier requires a large number of gates, and for this reasons it was not commercial. [7]

To see how an array multiplier can be implemented with a combinational circuit, consider the multiplication of two 2-bit numbers as shown in figure 2.1. The multiplicand bits are b_1 and b_0 , the multiplier bits are a_0 and a_1 , and the product is $c_3c_2c_1c_0$. The first partial

product is formed by multiplying a_0 by b_1b_0 . The multiplication of two bits such as a_0 and b_0 produces **1** if both bits are **1**; otherwise, it produces a **0**. This is identical to an AND operation and can be implemented with an AND gate. As shown in the diagram, the first partial product is formed by means of two AND gates. The second partial product is formed by multiplying a_1 by b_1b_0 and is shifted one position to the left. The two partial products are added with two half-adder (HA) circuits. Usually, there are more bits in the partial products and it will be necessary to use full-adders to produce the sum. Note that the least significant bit of the product does not have to go through an adder since it is formed by the output of the first AND gate.

A combinational circuit binary multiplier with more bits can be constructed in a similar fashion. A bit of the multiplier is ANDed with each bit of the multiplicand in as many levels as there are bits in the multiplier. The binary output in each level of AND gates are added in parallel with the partial product of the previous level to form a new partial product. The last level produces the product. For j multiplier bits and k multiplicand bits, we need $j \times k$ AND gates and $(j - 1) k$ -bit adders to produce a product of $j + k$ bits. [7]

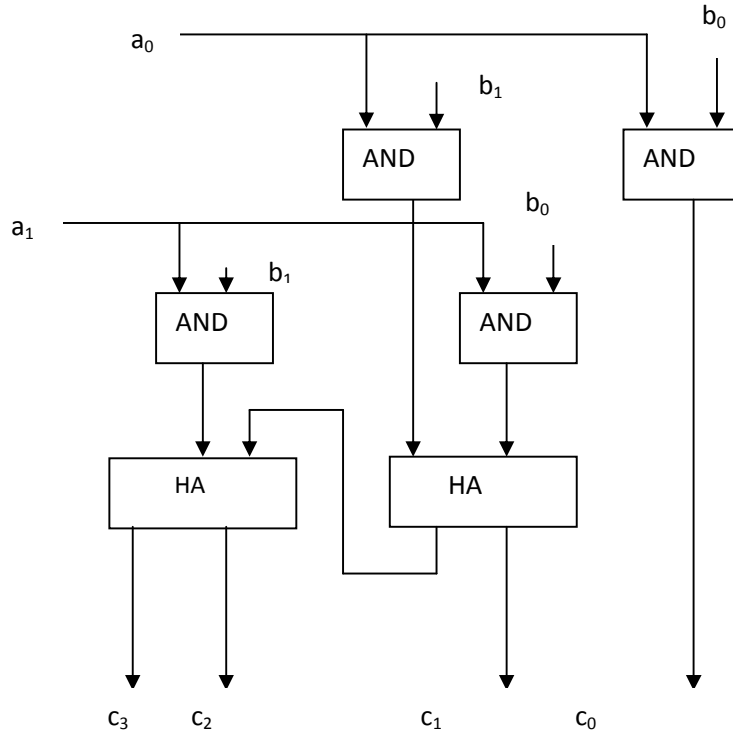


Figure 2.1: 2-bit by 2-bit array multiplier [7]

As a second example, consider a multiplier circuit that multiplies a four bit binary number by four bit binary number.

$$\begin{array}{r}
 A_3 \ A_2 \ A_1 \ A_0 \\
 B_3 \ B_2 \ B_1 \ B_0 \\
 \hline
 S_{30} \ S_{20} \ S_{10} \ S_{00} \\
 S_{31} \ S_{21} \ S_{11} \ S_{01} \\
 S_{32} \ S_{22} \ S_{12} \ S_{02} \\
 S_{33} \ S_{23} \ S_{13} \ S_{03} \\
 \hline
 P_7 \ P_6 \ P_5 \ P_4 \ P_3 \ P_2 \ P_1 \ P_0
 \end{array}$$

Having the above partial products now the design for 4 bit * 4 bit array multiplier will look like the following:

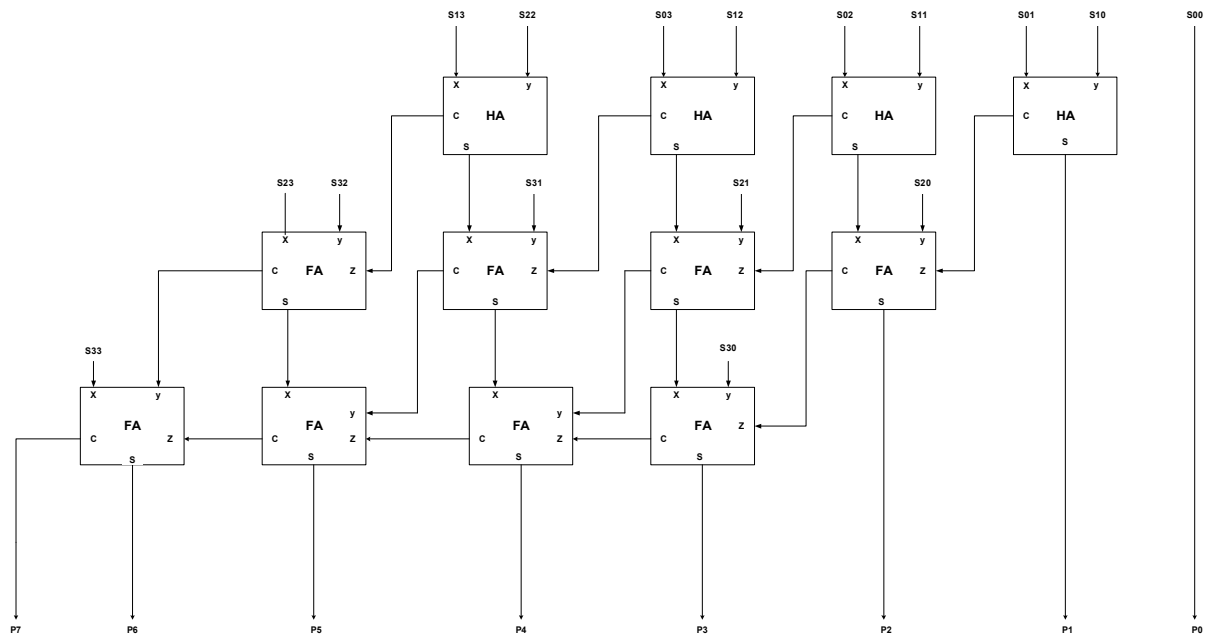


Figure 2.2: 4-bits by 4-bits array multiplier

But Wallace tree and Dadda multipliers are the two well-known fast multipliers [6]. Both consist of three stages. In the first stage, the partial product matrix is formed. In the second stage, this partial product matrix is reduced to a height of two. In the final stage, these two rows are combined. In the Wallace method, the partial products are reduced as soon as possible. In contrast, Dadda's method does the minimum reduction necessary at each level [6]. The Wallace multiplier uses slightly smaller adders than Dadda multiplier [6]. Therefore, even if the Dadda multiplier is also fast multiplier Wallace tree multiplier is selected because it reduces the number of operands, actual partial products, at the earlier stages. However, there a number of algorithms have been implemented for Wallace tree multiplier. For example, figure 2.2 is the algorithm implemented at one of the university in the USA. However, there are four levels in this algorithm which results in significant delay in the addition of the partial products. But, someone improved the algorithm so that the level will be reduced by one, see figure 2.4. [6] [18]

Assuming that there are six partial products $y_0, y_1, y_2, y_3, y_4,$ and y_5 and let us see how these two different algorithms perform the additions of the six partial products. If you look at figure 2.3 there are four levels and there are three levels for figure 2.4. In general, the idea behind this work is to reduce the number of levels/stages so as to reduce the propagation delay.

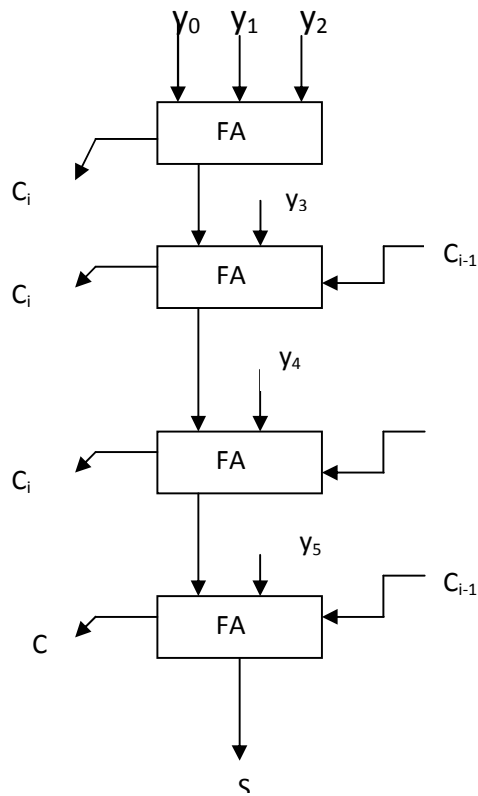


Figure 2.3: Diagram to add six Partial

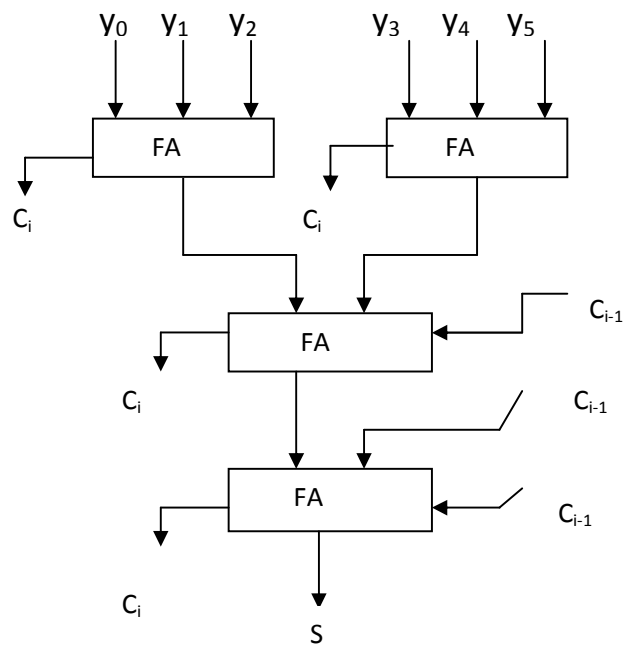


Figure 2.4: Modified diagram of Figure 2.3

Still there is a problem with this algorithm because it takes larger number of adders which results in delay. Let us see how the proposed algorithm is different from the algorithm implemented in figure 2.3.

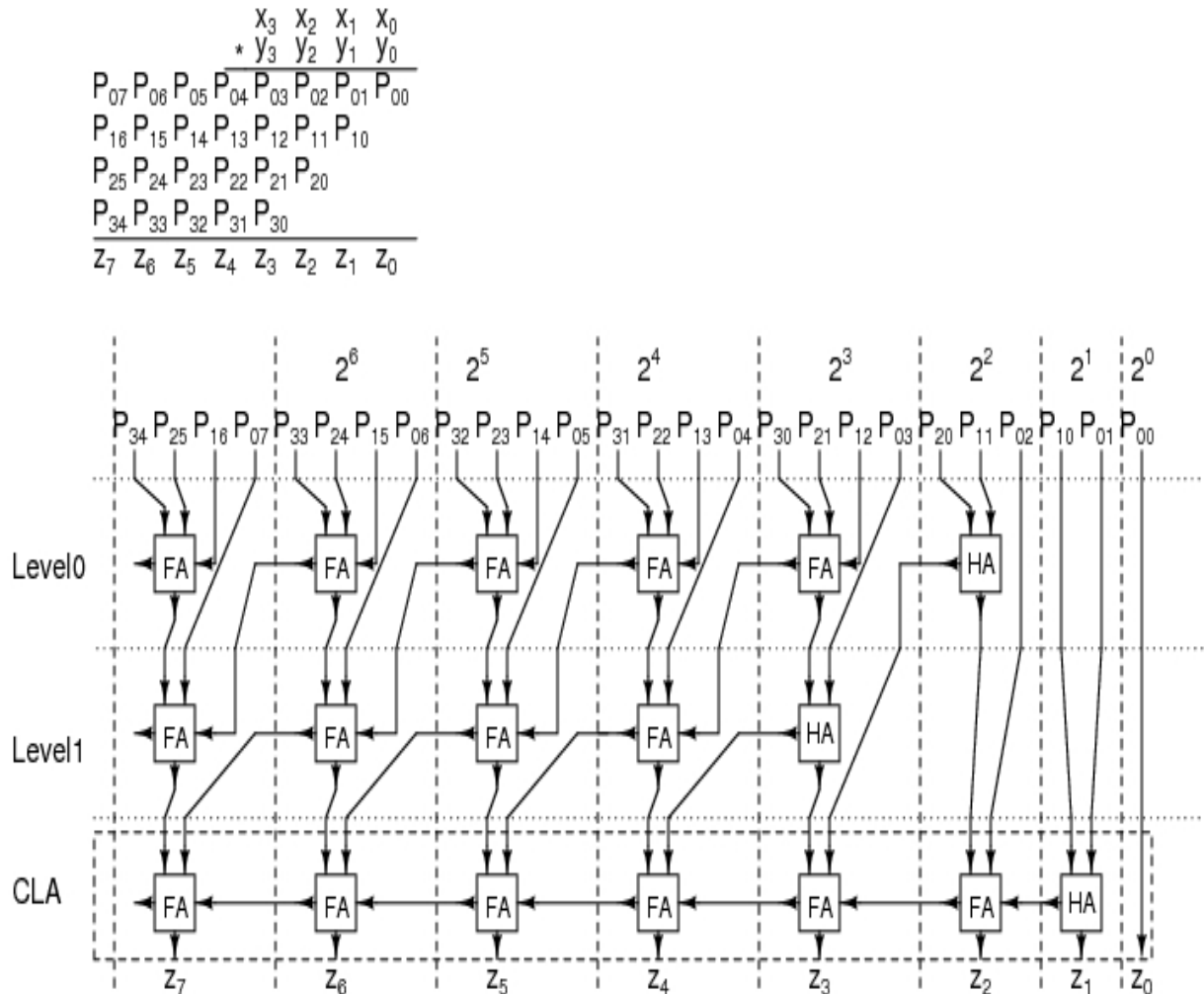
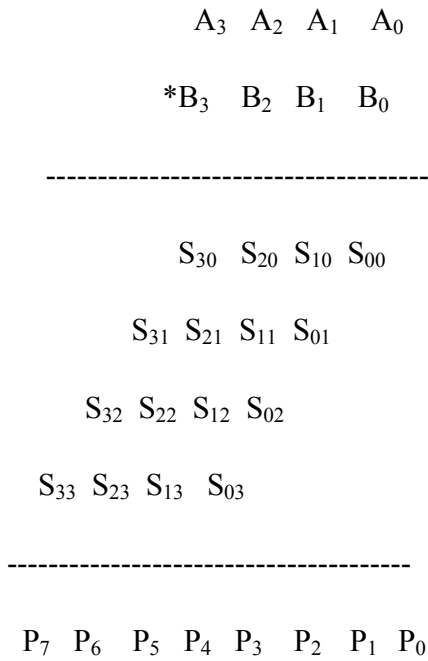


Figure: 2.5: 4-bits*4-bits Wallace tree multiplier expanding algorithm in figure 2.4

According to the figure above, the Wallace tree only need 18 adders (15 Full-adders and 3 Half-adders). However, for the proposed algorithm there will be 12 adders (8 full adders and 4 half adders), see figure 5.2.

Proposed Wallace tree Algorithm

Before designing the proposed algorithm of 8-bits *8-bits Wallace tree multiplier, the design and verilog code of 4-bits*4-bits is given below. A 4bit * 4bits Wallace tree multiplier is implemented in verilog to demonstrate the proposed multiplier. The figure below shows the design of a 4bit * 4bits Wallace tree multiplier.



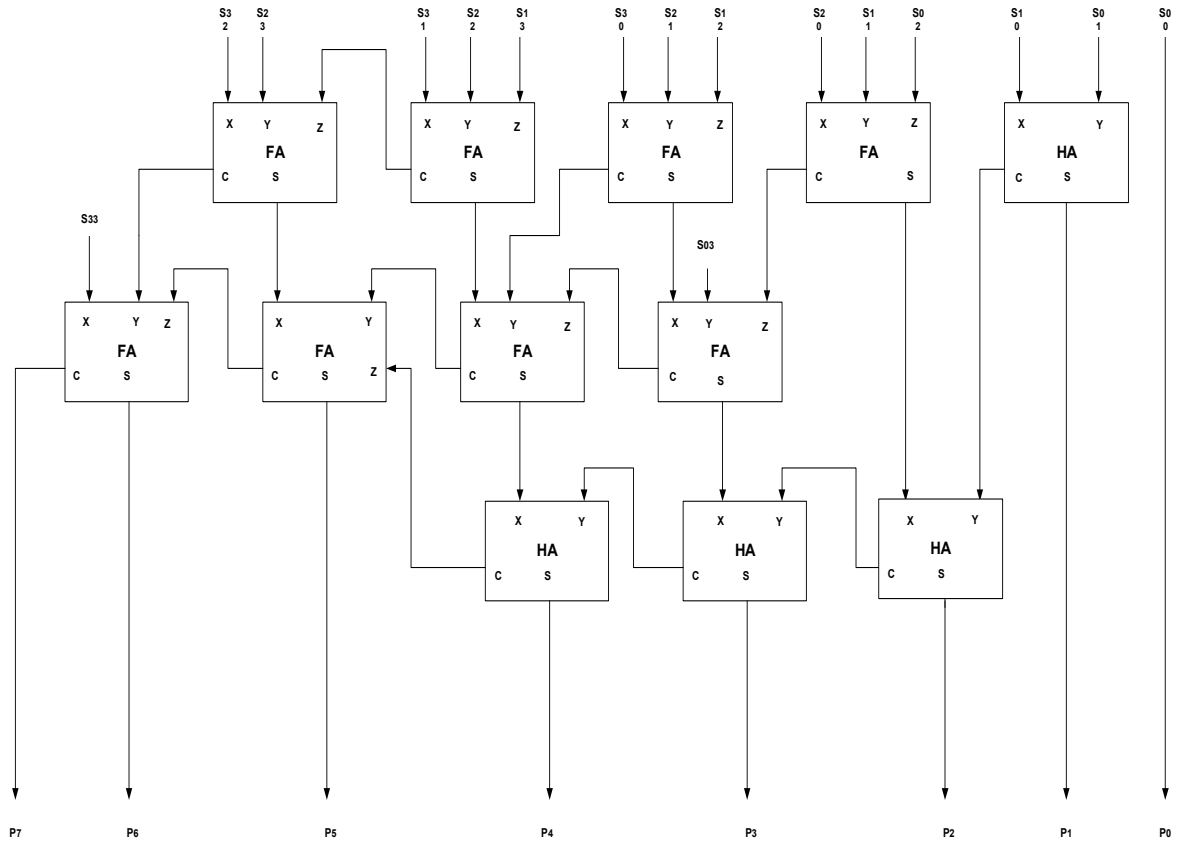


Figure 2.6: 4bits * 4bits Wallace tree multiplier.

According to the figure above, the Wallace tree only need 12 adders (8 Full-adders and 4 Half-adders). Now we precede to the design of 8 bits* 8 bits Wallace tree multiplier. The high level diagram of the proposed algorithm will look like the following:

A7 A6 A5 A4 A3 A2 A1A0

*B7 B6 B5 B4 B3 B2 B1B0

s70 s60 s50 s40 s30 s20 s10 s00

s71 s61 s51 s41 s31 s21 s11 s01

s72 s62 s52 s42 s32 s22 s12 s02

s73 s63 s53 s43 s33 s23 s13 s03

s74 s64 s54 s44 s34 s24 s14 s04

s75 s65 s55 s45 s35 s25 s15 s05

s76 s66 s56 s46 s36 s26 s16 s06

s77 s67 s57 s47 s37 s27 s17 s07

p15 p14 p13 p12 p11 p10 p9 p8 p7 p6 p5 p4 p3 p2 p1 p0

Discussion

The result of the study made on the delay of Dadda and Wallace tree multiplier by “Computer Engineering Research Center”, the University of Texas at Austin is given in the following table 8.1. All values displayed in nanoseconds (ns)

Table 1: Delay for multipliers with RCAs

Multiplier size	Dadda Delay	Wallace Delay
4 by 4	19(100%)	21(111%)
8 by 8	37(100%)	42(114%)
16 by 16	69(100%)	77(112%)
32 by 32	133(100%)	145(109%)

Table 2: Delay for multipliers with CLAs

Multiplier size	Dadda Delay	Wallace Delay
4 by 4	15(100%)	18(120%)
8 by 8	29(100%)	31(107%)
16 by 16	43(100%)	45(105%)
32 by 32	54(100%)	56(104%)

Table 3: Delay for Proposed Algorithm of Wallace tree multiplier

Multiplier size	Logic gate delay	Route delay	Net delay
8 by 8	12.330(44.7%)	15.239(55.3%)	27.569 (100%)

As we can see at table 3, the proposed algorithm of Wallace tree multiplier has less net delay than those in table 1 and table 2. The total hardware used to implement this algorithm is 105 Adders of which 57 are 1-bit adder carry out and 48 are 2-bit adder.

Schematic diagram

The schematic diagram of the result is given in the following diagram.

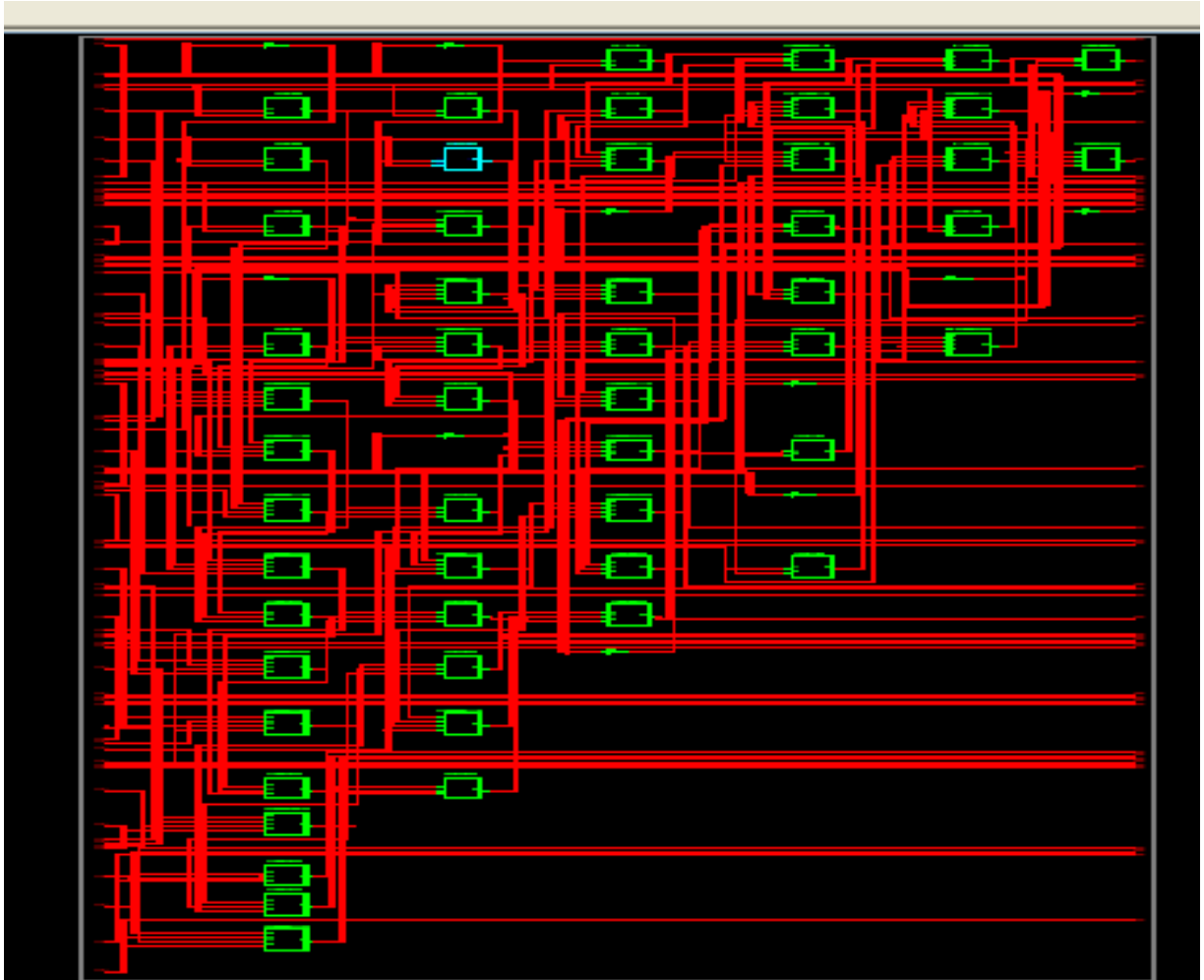


Figure xx: Schematic diagram of the proposed algorithm for 8 bit by 8 bit

3. Conclusion

As shown above this project tried to present three of the most available fast multipliers: Array multiplier, Wallace tree multiplier and Dadda multiplier. Besides, the thesis stated the work result that compares the net delay of Wallace tree and Dadda multipliers at Texas University. After designing, simulating and synthesizing the proposed algorithm of Wallace tree multiplier, it is possible to conclude that the proposed algorithm result has

less net delay than that of work result obtained at Texas University. In general, as multiplier size grows the Wallace tree multiplier requires slightly less hardware (in terms of adders or gates) than the Dadda multiplier.

Future work

In this paper designed, simulated, synthesized and implemented an 8-bit by 8-bit Wallace tree multiplier with improved algorithm only for the unsigned integers. However, the same concept can be used to realize multiplication of signed integers, signed real numbers and FPGU (Floating Point Arithmetic Unit). Further, the proposed algorithm can be applied for higher sizes of multiplier (16 by 16, 32 by 32 and more).

Reference

- Brown, Richard, "A Microprocessor Design Project in an Introductory VLSI Course", IEEE Transactions on Education, Vol. 43, No. 3, August 2000.
- Hamblen, James and Furman, Michael, Rapid Prototyping of Digital Systems, 2nd edition, Boston: Kluwer Academic Publishers, 2001.
- Hamacher, Vranesic, and Zaky. Computer Organization, 5th edition, New York: McGraw-Hill Companies, 2002.
- Liao, and Roberts, "A High-Performance and Low-Power 32-bit Multiply- Accumulate Unit With Single-Instruction-Multiple-Data (SIMD) Feature", IEEE Journal of Solid-State Circuits, Vol. 37, No. 7, July 2002.
- C.S. Wallace, "A Suggestion for a Fast Multiplier," IEEE Trans. Computers, vol. 13, no. 2, pp. 14-17, Feb. 1964.
- Whitney J. Townsend, Earl E. Swartzlander, Jr., and Jacob A. Abraham], "SPIE Advanced Signal Processing Algorithms, Architectures, and Implementations XIII," pp. 552-560, San Diego, CA, August 6-8, 2003
- M. Morris Mano, "Computer system architecture", Third edition, California State University, Los Angeles.1993 by prentice-Hall, inc., New Jersey 07458, USA.

L. Dadda, "Some Schemes for Parallel Multipliers," *Alta Frequenza*, vol. 34, pp. 349-356, Mar. 1965.

B.D. Lee and V.G. Oklobdzija, "Delay Optimization of Carry-Lookahead Adder Structure," *J. VLSI Signal Processing*, vol. 3, no. 4, Nov. 1991.

Vojin G. Oklobdzija, David Villeger, Simon S. Liu, "Method for Speed Optimized Partial Product Reduction and Generation of Fast Parallel Multipliers Using an Algorithmic Approach," March 1996(vol. 45, No.3) pp. 294-306

Verilog HDL: A Guid to Digital Design and Synthesis, Second Edition, published by Pearson Education (Singapore),2003

C.S Wallace, "A suggestion for fast multiplier,"*IEEE Trans.on computers*," Vol.13, pp14-17, 1964.

L.Dadda,"Some schemes for parallel multipliers," *Alta Frequenza*, vol.34, pp.349-356, 1965.

B.Parhami, *Computer Arithmetic Algorithms and Hardware designs*, New York: Oxford University press, 2000.

E.E. Swartzlander Jr., "Merged arithmetic,"*Vol.29*, pp.946-950, 1980.

K.A.C.Bickerstaff, M.Schutle, and E.E. Swartzlander Jr., "Reduced area multipliers," *Intl.Conf. on Application-Specific Array Processors*, pp.478-489, 1993

E.E. Swartzlander Jr. and G.Goto,"*Computer arithmetic*," *The computer Engineering Handbook*, V.G. Oklobdzija, ed., Boca Raton, FL: CRC press, 2002

A.Habib and P.A. Wintz,"Fast multipliers," *IEEE Trans.on Computers*, vol.19, pp.153-157, 1970

Settlement of investment disputes and the ICSID convention: An Ethiopian Experience

BY

Hailu Burayu, Lecturer SMUC

1. Introduction

Many people question me why I am interested in the perplexing issue of settlement disputes. The first spark for this paper came from annual conference I attended at the Ethiopian Economics association and the course that I took in international commercial arbitration conducted by DLA piper in collaboration with the faculty of Law, Addis Ababa University. At the conference different research paper were presented but the one that arrested my attention was that of foreign direct investment (FDI). It was reported, though developing countries have become willing to offer numerous financial and non financial privilege o multinational corporation (MNCs) to attract FDI, investment flow was not as desired by the government of developing countries. In the years between 1989-2000, two regions Asia and Latin America and the Caribbean captured 95.2% of FDI, Africa 7.5 % of the Pacific region 4.8% and Ethiopian's share it was confirmed to be much less than less than 0.5%.

The failure to attract more foreign investors could be lack of conducive political and legal environment among the legion other factors. From my reading of texts pertaining to investment. I discovered the prevalence legal lacuna relating to resolution of investment; I discovered the prevalence of legal lacuna relating to resolution of investment disputes at international level in the case of Ethiopia .I tried to find if there is an international center to solve this type of problem. The international center for settlement of investment Dispute (ICSID) at Washington and the permanent court Arbitration (PCA) at The Hague happened to be the ones long established to undertake such a responsibility. ICSID in particular happened to be the forum extensively used by host and home states to resolve dispute arising from investments, Ethiopian signed the ICSID Convention in 1965 to

make use of the forum, as yet, she has not ratified the convention present no lawyers or legal scholars have adequate knowledge of the conversation let alone apply it.

It has been reported on several occasions that foreign investors lack the confidence in the fairness, impartiality and competence of the judicial system of host states. Thus, they prefer to settle their disputes at international forum instead of opting to submit their cases to national tribunals of host states. On the other hand, host states like Ethiopia neither have the willingness to be adjudicated at international forum for myriad reasons-financial difficulties, lack of experience to handle investment disputes at international forums, variation of language and problems of geographic distance and so on. Above all host states consider as relinquishing their right of sovereignty if they consent to submit to forums like ICSID.

Latin American countries, which used to advocate for the Calvo Doctrine as well as Asian countries like Vietnam and china, which used to shun FDI in the past have today opened up their doors to FDI. African countries like Tanzania that used to propagate the policy of “self reliance” have now changed their policy and created legal regimes that attract FDI. They have all signed and ratified the ICSID convention and the flow of investment has tremendously increased. Because of this, China ,Brazil, India, Russia and Indonesia are today some of the leading investment recipient countries in the world.

As a lawyer, I presumed, the judicial system of Ethiopia lacking the capacity to cope with the complexity of present day investment disputes might have affected the flow of FDI to Ethiopia. Added this, the fact that Ethiopia has not ratified the convention, it seems that discouraged potential investors to risk investing in Ethiopia as earnestly.

Efforts underway in the resolution of investment disputes

No matter how conducive the atmosphere the atmosphere is for investment occurrence of dispute is inevitable at one point in time. Different countries apply different mechanisms to resolve the disputes stemming from investment. The World Bank (WB) is one of the

international organizations playing the major role in facilitating investment of capital for productive purposes and describes the promotion of foreign investment as so of its chief objective .As a financial intermediary between its capital importing and capital exporting members, the bank has an institutional interest in promoting the settlement of investment disputes. An unresolved investment dispute involving one of its borrowing members can jeopardize the eventually might affect the bank's own access to capital markets. The settlement of investment disputes in smooth and orderly manner can assist the bank in its borrowing and therefore, in its lending operation.

Resorting to the bank or its president (exercising the power to appoint arbitration within the context of ICSID convention and disputes relating to investment where one of the parties is not a member of ICSID has proved to be a cost effective and highly efficient means of settling international arbitration, the expense involved for the parties have been minimal/Through this procedure, parties have benefited a lot from the vast experience at the bank and diversity of its staff both which facilitated the reaching of satisfactory settlement in a relatively short period of time.

2. Background of ICSIS

Though the bank and its president have taken prominent position in the settlement of investment disputes, eruption of disputes in connection with investment was not brought to a halt. The president then decided to transfer the role of the bank in settlement of investment disputes to some other international body. Accordingly, the ICSID convention was formulated for settlement of investment disputes between states and nationals of other states.

The convention was signed in 1965 but ratified by 20 states in 1966. As of Nov, 2008 a total of 155 states have signed it but 143 have ratified it. Ethiopia is one of those 12 countries, which has signed but not ratified the convention. Bolivia on the contrary has renounced its membership to the convention just recently. Switzerland but not being a member of the WB have signed and ratified the convention.

Features of ICSID

- The convention suspends the right of diplomatic protection that states traditionally are allowed to exercise to protect the right and interest of their citizens. Its desire is to depoliticize investment disputes and promote an atmosphere of mutual confidence between states and foreign investors favorable to increasing the flow of recourse (investment) to developing countries.
- Each state is free to join ICSID convention. Signing and ratifying the ICSID convention do not create an obligation to use the ICSID forum. States have also the right to make some cases non-arbitrate and notify the center to that effect.
- The rules applicable to ICSID proceedings are relatively flexible compared to other conventions. This is evident when seen from the point of view of number of arbitrator and their selection.
- The ICSID award could be executed against the assets of the states party to the dispute.
- The convention empowers the foreign investors himself to institute proceeding against the host state.
- It provides for enforcement of the award by deeming the award as having the force of high court of each state to the convention.
- A losing party to dispute in most of the time volunteers to execute the judgment of the center with the hope that it doesn't strain its relationship with the WB. ICSID being an affiliate of the WB, refusing to execute the judgment of the center could jeopardize the chance to get a loans easily as those states which show cooperation.
- The place of arbitration can be any place convenient to the contracting state parties other than such places, which ICSID has made prior arrangements.
- The convention does not oblige the investor to exhaust domestic remedies before restoring to ICSID forum.

- Disputing parties may make choice of applicable laws and even opt to resolve their disputes by the use of ad hoc arbitral tribunal other than the center.
- A party dissatisfied by the award by the arbitral tribunal may seek review addresses to the Secretary General of ICSID.

Signing of Bilateral Investment Treaties (BITs)

Bilateral investment treaties are signed between sovereign states with the shared belief that they will result in uninterrupted in flow of FDI. Hoping to attract a steady stream of FDI, states surrender the exercise of their inherent sovereign rights of statehood. Unfortunately many of the capital exporting (home states) are not highly enthusiastic to investment in countries like that of ours which has not ratified ICSID Convention. Of course countries like Canada, Brazil and Malaysia too have not even signed the ICSIDC. Ethiopia by no means can claim competitive in factors that attract FDI with countries like Canada, Brazil or Malaysia.

Germany signed BITs with several non-European countries after 1959 with the firm believe that she would attract FDI. Ethiopia too has signed BITs with 13 countries. She signed her first BITs are signed between different states but they have not served as a guarantee for the smooth flow of FDI.

Though, Ethiopia has started signing BITs with countries having more historical and economic connection than others, she has not managed to attract FDI as desired for different reasons.

3. Conclusion

The contribution of FDI to the national economy of a country is positively perceived nowadays. Very few people still doubt that FDI provides access to capital, technology and know-how to host states. In the past, several countries, including Ethiopia and Latin America uniformly stayed away from the ICSID convention. The picture has changed since the 1990s. Most countries in Latin America have now ratified the convention, but important countries including Brazil and Mexico still have not signed the convention. From North America, a member of the G7, Canada, is also not a member of ICSID convention. It took around 10 years for member solution to investment disputes. The first case was decided in 1974. The slow start should not obscure ICSID's considerable importance as institution of this kind must go a maturing stage.

Now the number of registered cases at ICSID has made tremendous increase even though the writer could not find a single investment case in which Ethiopia is either a Claimant or Respondent at the center. It is believed adherences to the convention by country would provide additional inducement and simulate a large flow of prevent international investment into the territories of the host country which is a primary purpose of the convention. Compared to ad hoc arbitration, the ICSID convention offers considerable advantages. It offers a system for disputes settlement that contains not only rules of procedure but also institutional support for the conduct for proceeding. It assures the non-frustration of proceeding and provide for an award's recognition and enforcement. Under ICSID convention proceeding may be initiated by an individual investor as a claimant. The possibility of going to investment decision. From he point of view of the host stste, opting to settle disputes by arbitration by itself improves its investment climate and is likely to attract more international investments. In addition, by consenting to ICSID arbitration, it also guards itself against diplomatic protection by the home state of the investor.

4. Recommendations

- It appears Ethiopia has not recognized the advantage of international arbitration particularly the ICSID forum. Many of the techniques applied by the center are novel ones when compared to the hitherto forum of dispute resolution. It is believed the institutional support and the effectiveness of the execution of the award of the center among its member states would encourage the flow of FDI in the territory of the host country. However, many countries still retain a defeatist view. They believe that international arbitration favors foreign investors. The experiences over the past 2 years have shown that even poor countries are able to use the process successfully. Countries like Madagascar, Guinea, Gabon, Congo, Senegal, Liberia etc from Africa, and Jamaica from the Caribbean have defended themselves at the center repeatedly. They have now acquired adequate experience in handling investment dispute at international judicial forum. Foreign investors have developed confidence that in the event of dispute, the law of their choice would prevail in these countries. That could be one reason why the level of FDI flow in these countries remained much higher than that of Ethiopia can not give try to settle investment disputes at an international forum if the above cited Africa and Caribbean countries are able to do so. Hence, it is high time that Ethiopia give due consideration to ratify the ICSID convention.
- The competence of developing countries to manage dispute of this nature and the cost of defending such claims may appear daunting for a poor country like Ethiopia. Nevertheless, the fact the total cost of the ICSID secretariat is covered by the WB and the other institutional support the WB render to the center, I believe, would make the cost modest or not expensive. If parties to the dispute fix strict time table for pleading and answer and adhere to the schedule, the cost would also not worrisome. What really matters is the ability, to effectively manage the case not the cost as such. By submitting to ICSID disputing parties particularly, Ethiopia would benefit from the specialized service the center is bestowed with setting of investment disputes.
- The disputes will also be governed by the law and procedures of her choice, Non cooperation on one of the disputing parties would not frustrate the ICSID rules.

- The dispute will also be governed by the law and procedures of her choice. on corporation on one of the disputing parties would not frustrate the ICSID rules.
- The fear that the arbitration lacks well trained and experienced lawyers that could leads to inferior quality of justice won't be a point of concern as parties or the secretary general appoints arbitrators who are well qualified and experienced in handling investment disputes. In fact a better quality of justice can be obtained as the arbitrators specialized in the sector.

Amending ICSID Annulment procedure

Ethiopia's reluctance to ratify the convention could be attributed to the initially unattractive annulment procedure of ICSID. The annulment procedure of ICSID needs some amendment. The current practice has provide time consuming. As indicated earlier, the case between AMCO V. Indonesia, for instance, took over ten years to be terminated. In like manner, the case between Klockner industries V. Cameron last for 9 years, thus, the need to establish an appeal procedure where a party disappointed can make a dingle request of review and the decision of the appellate body stand binding and not appealable any more.

- ❖ The secretary general of ICSID is empowered to reject a request made by claimant on grounds set under Art 36 of the convention and Art.2 (2) institution rule. But this can be abused. The convention doses not carry a mechanism to control such kind of abuse of authority. Hence, the needs to put in place a regulatory provision to check upon the possible abuse of power by the secretary general in this regard.
- ❖ Until now, the absence of huge investment that can make impact in the national economy did not compel Ethiopia to ratify the time to ratify the convention so that foreign inventors develop the confidence and invest more than before. Ratifying the convention does not by itself create the obligation to use the forum.

- ❖ ICSID awards have high degree of authority for enforcement. The world Bank itself would exercise moral persuasion Hence, it would be politically suicide for a poor country like Ethiopia to disregard an ICSID award when a central tenet of her investment law is that disputes are be settled in the neutral international forum. In the event of enforcement, I would like recommend the enforcement be made at any place where the property of the debtors is found not only in the host country or the country which is signatory to the NY convention.
- ❖ Cost and expense shall be borne by the losing party to the arbitration instead of each party bearing its costs and expense. This I am sure would discourage parties who initiate unfounded cases against investors.
- ❖ The judicial system of Ethiopia seems lacking the capacity to cope with complexity of investment disputes and more affecting the image of Ethiopia in the eye of potential foreign investors. Hence, the need to expedite the legal reform project, train legal profession in the area of international arbitration and let judicial organs operate independent of influence of political parties or governmental inference. Improving the legal environment could boost confidence of foreign investors and also serve as legal security in the event of dispute.
- ❖ There is trend of resistance from some developed countries and MNCs to the establishment of any mechanism of supervision or monitoring to compliance or dispute settlement mechanism. These bodies do not want to see codes carrying sanction coming into effect. This is an contradiction with their initial stand. Now they prefer to deal with each state separately. This way, they know that they can benefit more than submitting to forums applying multilateral treaty rules. Ethiopia shall make effort to challenge such kind of approached of the developed countries and MNCs to protect her interest.

Establishing Addis Ababa as a Permanent center of International Arbitration

A national strategy to encourage investment flow into Ethiopia must build on the positive elements. The fact that Addis Ababa is presently a capital city hosting the head quarter of the AU, the ECA and many other international organization creates positive image to establish Addis Ababa as the permanent center for international arbitration for Easter and southern Africa now that Cairo is serving as the center for international arbitration for north Africa and the meditation countries.

