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A Systems Approach to  
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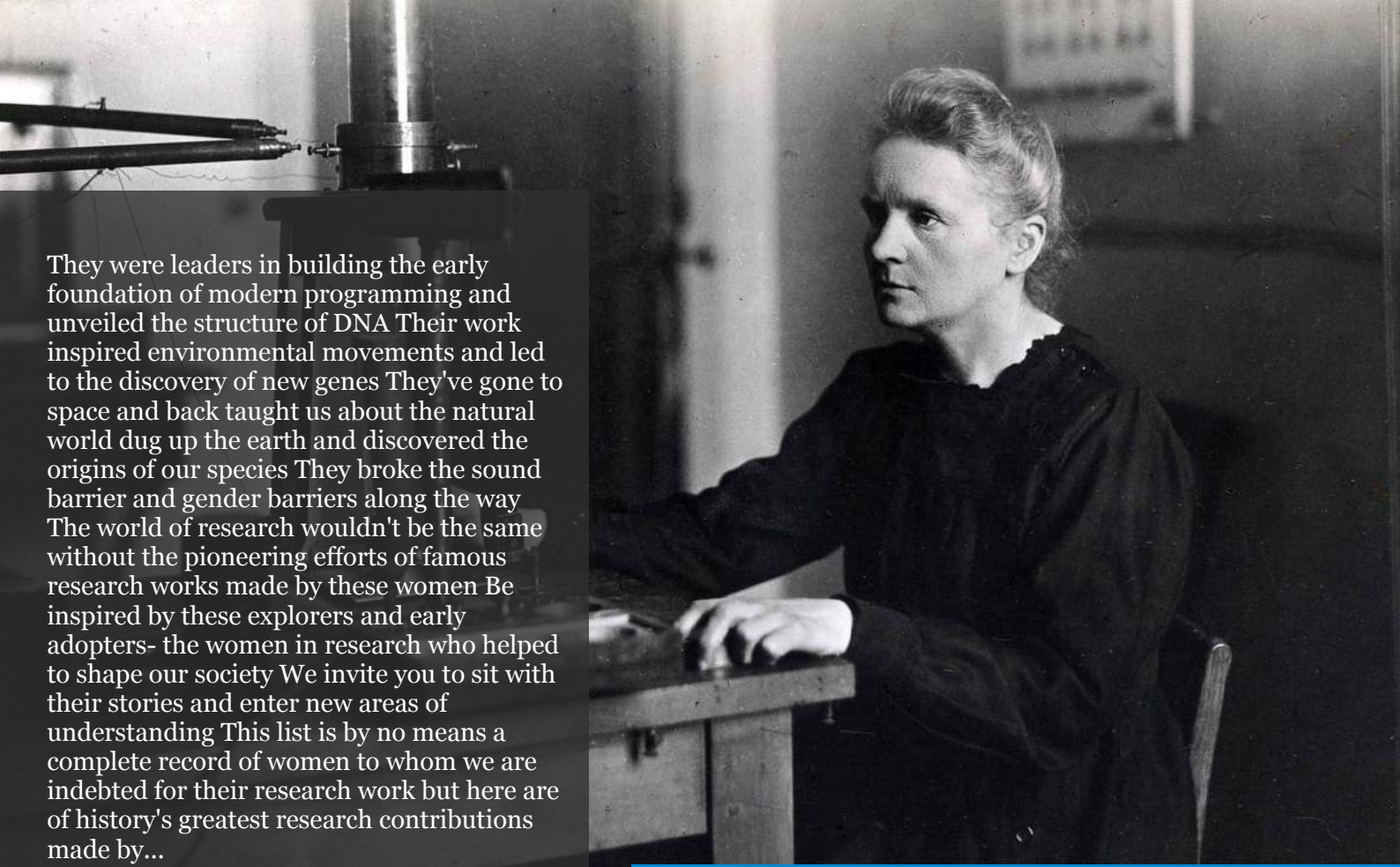
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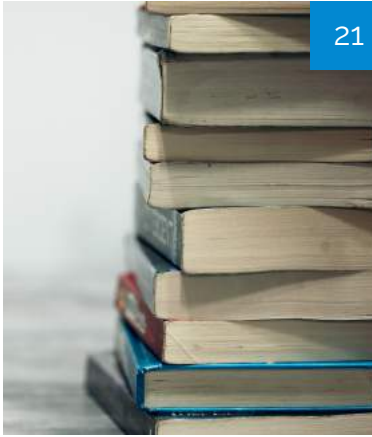
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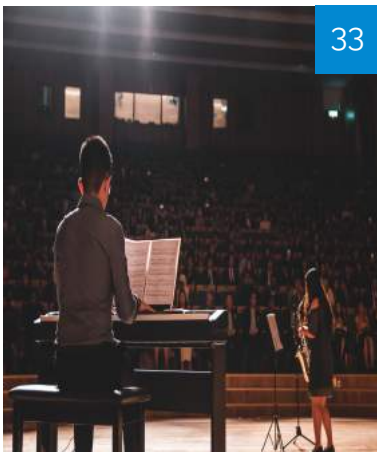


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# A Systems Approach to Performance-based English Curriculum Taught to Saudi Aramco Company Trainees in Saudi Arabia

*Dr. Waleed Mahmoud Abdelhamid Hamdoun*

## ABSTRACT

This paper explores the main components of performance-based English Curriculum (PEC) taught for Saudi Aramco trainees at the college of Saudi Petroleum Services Polytechnic (SPSP) in Saudi Arabia in view of systems approach aspects: goals and objectives, needs analysis, testing, materials development, language teaching and assessment or evaluation. The main focus of this study is to conduct a formative evaluation to the PEC program to pinpoint its effectiveness in achieving the perceived language proficiency of SPSP Aramco trainees at the end of the program. To this end, this paper illustrates the interrelationship and the consistency among the components of the PEC program and then this provides some alternatives to the likely inadequate aspects of the program based on the findings of the end of academic level survey conducted by Aramco curriculum staff in 2019 to elicit the perspectives of the involved Aramco trainees at SPSP and Industrial Technical Centers (ITC) in the service of the on-going process of PEC curriculum development.

**Keywords:** saudi aramco performancebased english curriculum, assessment, curriculum development, formative evaluation, materials, needs analysis, objectives, syllabus design, systems approach, teaching and learning activities.

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**Keywords:** saudi aramco performance-based english curriculum, assessment, curriculum development, formative evaluation, materials, needs analysis, objectives, syllabus design, systems approach, teaching and learning activities.

## I. INTRODUCTION

Following this introduction, the existing literature review indicates two main parts: curriculum definitions and systems approach implementation to curriculum development process. The first part shows the perspectives of various researchers in

defining the term 'curriculum', and the second point elaborates the framework used in structuring language programs according to the six main components of systems approach principles. After that, the program overview covers each component in detail, and then in the following part, you can find a detailed analysis of the six parts of the PEC program in view of systems approach framework based on the existing literature review and the perceived findings of the end of segment survey. In particular, I analyzed the consistency among these six elements based on the perceptions of the participants to find out the degree of effectiveness of the PEC program elements including: needs analysis specifications, program objectives overview, testing system description, materials development, teaching implementation and program evaluation. Finally, this paper ends with defining some conclusions including the suggestions that could be used to improve the PEC program delivery based on the perceptions of the target trainees and the involved instructors.

## II. LITERATURE REVIEW

### 2.1 Curriculum definitions

I totally agree with Shuell's (1986) perspective that the learning process usually takes place in a complex learning environment as there are quite many interconnected factors within the learning system such as- merely indicative but not exhaustive- learners' attitudes, curriculum, teaching methods, the learning objectives and the institutional policy. However, my main concern in writing this paper is to discuss the curriculum factor, especially, curriculum development process. Starting with curriculum definition, McKernan (2007) points out that the word

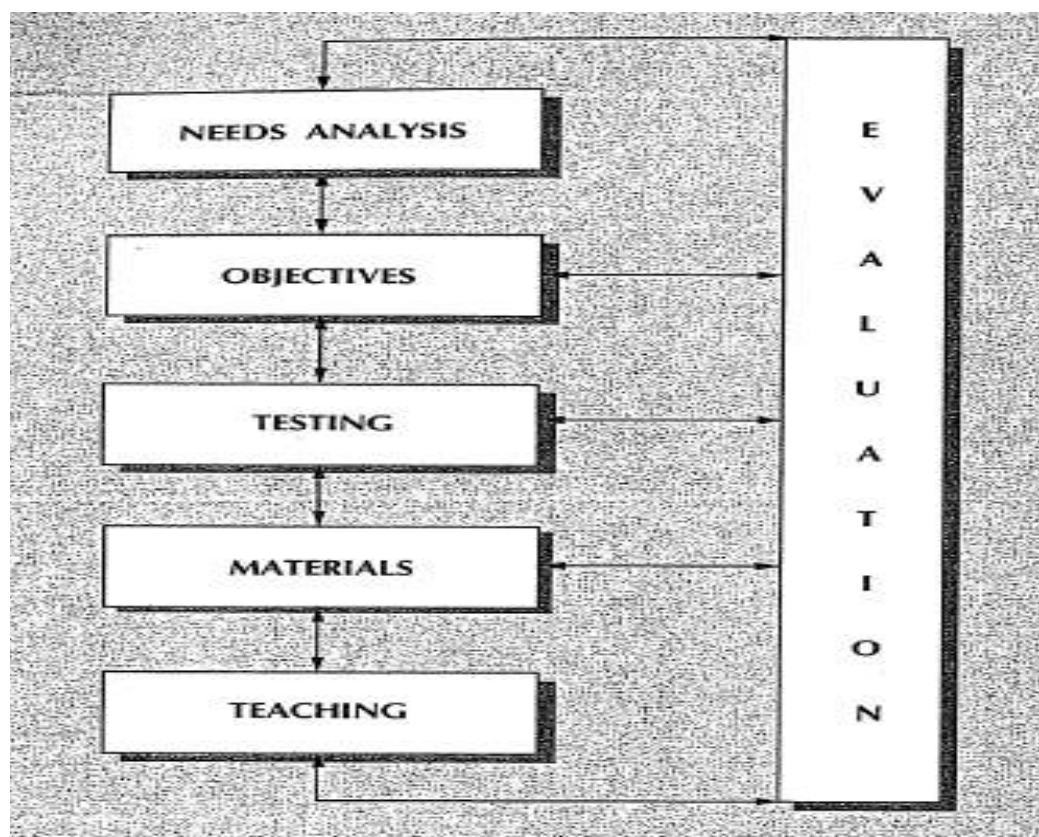
*curriculum* is from the Latin *currere*, meaning “a course to be run, or the running of the course,” and usually is defined as *the course of study at an educational institution.*” Further, “*the curriculum is concerned with what is planned, implemented, taught, learned, evaluated and researched in schools at all levels of education.*” However, Stenhouse (1975, cited in McKernan, 2007:24) argues that “*definitions of the word curriculum do not solve curricular problems; but they do suggest perspectives from which to view them.*” In my experience as a researcher and a language instructor, the language curriculum can be viewed as a comprehensive system which has a defined goal with clear objectives and appropriate learning materials to be taught and assessed properly to achieve the assigned goal of an educational organization at the end of the course.

## 2.2 Systems approach Implementation to Curriculum Development Process

Curriculum planning or development is defined in words of Brown (1996:270) as “*a series of activities that provide a support framework that helps teachers to design effective activities and learning situations to promote language learning.*” Further, Brown (1995:29) describes the curriculum development as “*a series of activities that contribute to the growth of consensus among the staff, faculty, administration, and students...to accomplish whatever combination of teaching activities*” I strongly agree with Brown’s perspective that the success of the course to achieve all learners’ language needs is, to great extent, based on the consensus among teachers about the essential parts of curriculum and how those elements interact in different teaching situations. Thus, Brown (1996:276) indicates that “*the systematic approach focuses on the planning, development, implementation, and evaluation phases of language teaching*” In addition to this, on one side, Nation and Macalister (2010) advocate the curriculum design waterfall model is appropriate and based on the systematic approach as “*the output of one stage becomes the input of the next*” On the other side, Tessmer and Wedman (1990) argue that waterfall model “*is difficult to do and often impractical*”. In my opinion, when curriculum designers/

developers have the required conditions or starting points (e.g. plenty of time and plenty of resources) to apply the waterfall model in curriculum designing or developing, they may produce or develop a well-organized course which in turn leads to a successful language learning process. Accordingly, Nation and Macalister, (2010:143) conclude that “*the waterfall model is most likely to be applied in the design of the commercial course book, or in a well-funded curriculum design project.*”

In figure 1 below, Brown (1995:20) indicates the nature of systematic theory implementation to the six main categories of curriculum activities: needs analysis, goals and objectives, testing, materials development, teaching and program evaluation. The graph shows that curriculum development or designing process elements are interconnected; for instance, the curriculum designers or developers use the output of the needs assessment stage to be the input of the objective writing stage. The structure of the other curriculum parts work in the same way, so any change in one part may affect the other parts. Further, Brown (1996:269) summarizes the curriculum process in view of systematic theory as “*a series of activities that provide a support framework that helps teachers to design effective activities and learning situations to promote language learning*”.



*Figure 1:* Systematic Approach to Designing and Maintaining Language Curriculum (adapted from Brown 1989a)

To the best of my knowledge, the unity of curriculum aspects may have a great impact on the learning process at any educational organization. I fully agree with Brown's (1995) conclusion that systematic approach is an effective tool to find out the degree of consistency and interrelationship of the curriculum activities through the curriculum development or designing process.

Also, Brown (1996) points out that "systematic approach helps language teachers monitor and improve the components of an already existing language program". Further, this approach is considered to be a problem solving paradigm as it considers the attributes of the whole curriculum elements to achieve the objective of the curriculum (system) which is to solve a language learning problem, for example, improving learners' speaking proficiency which is

considered, I think, a real challenge in my Saudi context. In my perspective, the planned or perceived results of the intended learners require studying well-connected and coherent curriculum elements. The basic concept of systems approach is that curriculum could be seen as a comprehensive system which has interrelated elements based on clearly defined objectives to achieve the desired goal.

### III. PEC PROGRAM OVERVIEW

According to performance-based program instructional guidelines (2018), the performance-based English curriculum (PEC) is an inclusive English course assigned for Saudi Aramco Company trainees at Industrial Technical Centers (ITC) and Saudi Petroleum Services Polytechnic (SPSP) in Saudi Arabia. It is a 5-level course, from English two functional (E2F) to



English six functional (E6F). The course duration ranges between 175 and 230 hours for each level to be taught in 6 classes per day for 10 weeks of 50 working days per segment. PEC program offers a foundational instruction in functional English language skills to develop the main productive skills, writing and speaking, which help Saudi Aramco employees to provide effective verbal and written communications, especially formal business emails. Also, it provides functional materials for listening and reading skills with emphasis on language mastery needed to perform job tasks competently at Saudi Aramco workplaces. PEC program is delivered in iBook format on iPad in a paperless class.

#### IV. SYSTEMATIC APPROACH TO PEC PROGRAM COMPONENTS

The main purpose of choosing formative evaluation to PEC program components is to contribute to the ongoing improvement and maintenance process to my context existing program, and to improve teacher's pedagogical content knowledge in view of implementation of an updated curriculum. Accordingly, my personal concern is to pinpoint the interconnection and the degree of consistency among the six PEC program components using Brown's systematic approach model as shown earlier in figure 1 in terms of the following elements: needs analysis, objectives, testing, materials, teaching and evaluation. Accordingly, The following parts will tackle each one of those components in detail in view of the early mentioned Brown's systems approach framework.

##### 4.1 PEC Program Needs Analysis specification

According to Brown (1995), needs analysis or needs assessment reflects the activities that are required to gather the information needed to create or develop a curriculum that will be assigned for a particular group of language learners to achieve certain learning outcomes. Also, Brown (1996:272) defines needs analysis as *"the systematic collection and analysis of all relevant information that is necessary to satisfy the language learning needs of the students within the context of the particular institution(s)"*

Based on this norm, I think needs assessment may be an essential stage in building a systematic curriculum. PEC program administrators use different ways to gather the required data to update or develop the target program. To this end, information is gathered using interviews, surveys, classroom observations and a good deal of professional judgment. To the best of my knowledge as an SPSP academic instructor, the PEC development involved team visits SPSP at regular basis, once every two months, by/at the end of each segment, or sometimes unplanned visits, to do the following activities:

- Attending class observation for all scheduled instructors and providing a post visit constructive feedback.
- Interviewing some Saudi Aramco trainees to ask about their attitude towards studying the PEC course.
- Having meetings with SPSP administration, especially, senior instructors and learning counselors to discuss all the gathered information through the visit.
- Meeting some company representatives asking about their expectations with respect to their future employees' language competency requirements.

Accordingly, I can assure that the PEC development team follows Brown's (1995:37) norm in terms of needs assessment procedure that *"four categories of people may become involved in a needs analysis: the target group, the audience, the needs analysts themselves and the resource group."* In terms of the types of information in a needs analysis, Brindley (1984, cited in Brown, 1995) shows the distinction between two types; objective needs are defined based on clear-cut data gathered about the learners, whereas subjective needs are generally more difficult to be defined as they are based on wants, desires and expectations of the learners. For example, learners' current language level (objective needs) is defined easily based on the initial placement test results, on the other side, the learners' perceived wishes to be fluent, for instance, in speaking skill is subjective, which means it is difficult to be defined.



#### 4.2 PEC Program Objectives Overview

Per instructional guidelines of the PEC program (2018), the goal of the course is to enable SPSP Saudi Aramco trainees to master English language communication skills that are required to perform job tasks competently at the Saudi Aramco workplace. Further, the content of course goals and objectives are derived from needs assessment gathered information which is based on the oil industry company trainees' needs, especially, Saudi Aramco Company employees. I totally agree

with Brown's (1995:71) norm that "the purpose of any language program should be clear to the participants and the outside world." Further, figure 2 below shows the consistency degree between SPSP Aramco trainees and the main purpose and objectives of PEC program through the results of academic end of level survey (2019); about 86% of SPSP Aramco trainees (63 out of 73) are able to recognize the main purpose of the program, and only 9 trainees may not be able to identify the main goal of the program.

4. I understood the objectives and purpose of the course/level. أفهم بوضوح الاهداف والغرض من البرنامج / المستوى

Strongly Agree	32
Agree	31
Disagree	8
Strongly Disagree	1

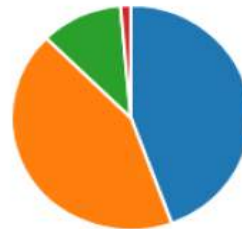


Figure 2: Academic End-of-level Survey – Purpose of the course (Aramco). January, 2019

In addition, Brown (1995:73) defines instructional objectives as "specific statements that describe the particular knowledge, behaviors, and/or skills that the learner will be expected to know or perform at the end of a course or program." Accordingly, I demonstrate the nature of PEC course objectives which are considered in Brown's (1995:73) words as "building blocks that would lead to accomplishing the broader curriculum goal." The PEC is mainly functional course or syllabus; each level encompasses 9 units and each unit includes 6-8 specific functions in two parts (A&B), so each level includes about 70 functions which in turn lead to achieving the following instructional objectives:

- Deliver successfully a time-based presentation, individually and unassisted, using PowerPoint or keynote software on an iPad.
- Perform functional writing tasks based on a provided writing prompt using English language functions covered in the course, and

which reflect everyday use in a Saudi Aramco workplace.

- Respond appropriately to speaking prompts and orally communicate information related to the English language functions covered in the course.
- Respond to multiple-choice questions relating to the English functions and vocabulary covered in the course.

5. I understood how the course/level objectives are related to my job. افهم بوضوح لكيفية ارتباط اهداف البرنامج والمستوى بمستقبلي الوظيفي



Figure 3: Academic End-of-level Survey- Objectives (Aramco). January, 2019

In terms of objectives relevance to trainees' job, figure 3 above shows the relationship between the main PEC objectives and SPSP trainees' job requirements which show that those instructional objectives are derived from oil industry company trainees' needs; about 58 out of 73 trainees (about 79%) agree that the instructional objectives of the course meet their job requirements in the field of oil industry.

Further, in my perspective, PEC program instructional objectives meet Mager and Brown's (1975, cited in Brown 1995) norms in terms of the necessary specifications of clear instructional objectives: subject, performance, conditions, measure and criterion as follows: the first element, subject, refers back to SPSP Aramco trainee, not any learner. The second element, performance, is so clear that, I think, almost all the objectives show the trainee's perceived language proficiency or what he is expected to be able to do. The third element, conditions, shows that the trainee must use the given functions covered in the course and which are relevant to Saudi Aramco workplace everyday use. The fourth rule, measure, is applied in the types of end-of-level on-line assessment questions: multiple choice, matching and true false. Finally, the fifth element, criterion, is based on that trainee's accuracy in doing all course tasks must be over 70% to meet Aramco Company recruitment requirements.

#### 4.3 PEC Program Testing Overview

Over the PEC program, three types of testing are done: proficiency, placement, and achievement to help the curriculum administrators to make the right decision for each stage in the program development process. Brown (1995:110) points out that proficiency tests "may be necessary in determining exit and entrance standards for curriculum, in adjusting the level of goals and objectives to the true abilities of the students." Per Aramco Company recruitment system, PEC program administrators apply Brown's proficiency test assumption to choose the best candidates to study the course which in turn enables those candidates to work for a big oil industry company, Saudi Aramco, when the trainees complete the academic and technical training successfully. The minimum accepted language proficiency level is level 2 to be eligible to study the PEC program at ITC or SPSP. Accordingly, the program administrators determine the level of objectives to start with E2F. After that, they use the placement decision to put trainees of similar ability levels together in the same classes within the program. In my experience, this decision is very crucial as it helps language instructors use the most appropriate teaching strategies by preparing the right materials for each trainee in the group as all of them are at the same language level.

In addition to this, the PEC program has systematic achievement tests which are administered periodically during the program. Per

the PEC program instructional guidelines, each level assessment schedule includes speaking and writing milestones, a presentation and an online assessment. Writing milestones (three per segment) measure the trainee's ability to complete functional writing tasks based on a given writing prompt using the business email format. Also, writing milestones are teacher-scored based on the performance criteria described in the writing milestone rubrics. In addition to this, constructive feedback is provided to each trainee showing both the good points and the points needing improvement. Per my own experience as an involved language instructor for PEC program, writing milestones scoring and giving written feedback for each trainee is always a very tiring process for teachers and it is, in my perspective, one of the most common complaints against the entire program as teachers have to submit results and feedbacks after ONLY three or four days from the test date; for instance, writing milestone is held on Wednesday and then results must be provided to the assessment coordinator on the following Sunday, so teachers usually need to finish marking on the weekends and this may spoil their relaxation time.

In terms of speaking milestones (three per segment) measure the trainee's ability to respond orally to the provided speaking prompts (about 12-20) to be recorded using the instructor's iPad in 10-20 minutes for each trainee based on his level. Like writing milestones as I explained earlier, speaking milestones are teacher-scored based on the speaking milestone rubrics and constructive feedback is provided to each trainee. In connection to presentation (one per segment), each trainee is required to provide a time-based presentation (5-15 minutes based on his level) covering a historical background of the Saudi Aramco Company or including any oil and gas industry topic. Also, the presentation is teacher scored based on the presentation scoring rubrics and a written feedback is given to the trainee. Finally, online assessment (one per segment) measures the trainee's ability to respond to test items covering vocabulary and language functions of this level. It is administered and scored online. Figure 4 (performance-based programs, 2018) indicates the time and material covered for each assessment throughout each segment during the program.

Assessment	Week	Material Covered
Speaking Milestone 1	4	Units 1 - 3
Speaking Milestone 2	6	Part 1: Units 4 - 5 Part 2: Units 1 - 3
Speaking Milestone 3	9	Part 1: Units 6 - 8 Part 2: Units 1 - 5
Writing Milestone 1	3	Units 1 - 2
Writing Milestone 2	5	Units 3 - 4
Writing Milestone 3	8	Units 5 - 7
Presentation	7	Units 1 - 6
Online Assessment	10	Units 1 - 9

*Figure 4:* Timing and material covered in each assessment component

With respect to SPSP Aramco trainees' attitude towards the systematic tests of PEC program, figure 5 below shows that only 47 out of 73 trainees (about 64%) are satisfied with the assessment system compared to about 36% of

trainees are not happy with the number of tests per segment.

24. The assessments during the course were fair. كانت الاختبارات اثناء الفصل الدراسي عادلة



Figure 5: Academic End-of-level Survey-Assessment appropriateness (Aramco). January, 2019

In my own perspective, PEC program achievement tests may need to be developed to meet Brown's (1995:121) perspective "*the development of systematic achievement tests is crucial to the evolution of a systematic curriculum*" Accordingly, I suggest reducing the number of achievement tests per segment, to be 4 or 5 instead of 8 (as shown in figure 4) the current number of achievement tests is 8 per 10-week segment which means that there is a test almost every week. I think this is quite tough work for both trainees and instructors at SPSP as shown in the 2019 survey at the end of the level almost about 40% of SPSP Aramco trainees are not satisfied with the number of achievement tests every segment, so some of them are usually demotivated and struggling while studying the PEC course. This demotivation may lead to bad results and might impact negatively on achieving the main goal of the program.

#### 4.4 Materials Development

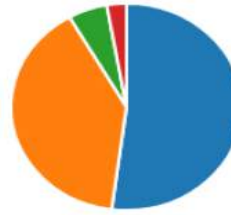
PEC 5-level program materials encompass E2F-E6F iBook on iPad, Basic Grammar in use and Grammar in use Intermediate. In addition, the involved teachers are responsible for preparing supplementary materials based on the main sources of Aramco iBooks. I totally agree with Brown's (1996:276) conclusion that "*having clear-cut objectives and tests will aid considerably in the planning, organization, and creation of materials.*" Based on this perspective, I think, PEC program materials meet Brown's (1996) perspective that "*materials should be adopted, developed, or adapted on the basis of the best available information and planning*" The

appropriateness of the materials of PEC is very clear in the results of the survey as shown in figure 6 below that about 92% of SPSP Aramco trainees are happy with the learning materials and they assured the effectiveness of materials. Further, 68 out of 73 trainees have enough time to cover all the assigned materials with their instructors throughout the segment. Accordingly, I can assure that the PEC program has appropriate materials and they are closely related to the prescribed objectives and the trainees' needs. However, in my opinion, the teachers are not free to choose extra materials as they have to use Saudi Aramco-based or related materials only. Accordingly, I think, PEC administrators should be more flexible and let teachers choose any relevant materials provided that they meet the objectives, no need to be 100% relevant or based on the Saudi Aramco workplace. My main point is to help teachers create various classroom activities to increase trainees' motivation to master the required objectives easily and quickly.



22. The iPad book and textbook(s) materials were useful. كانت محتويات الكتب الدراسية والكتب الالكترونية مفيدة

● Strongly Agree	38
● Agree	29
● Disagree	4
● Strongly Disagree	2



23. There was enough time to cover all learning materials for the final tests. كان هناك وقتا كافيا لتغطية كل اجزاء المنهج قبل الاختبار النهائي

● Strongly Agree	41
● Agree	27
● Disagree	5
● Strongly Disagree	0



Figure 6: Academic End-of-level Survey (Aramco)- materials. January, 2019

#### 4.5 Teaching Implementation

In fact, PEC program planners usually follow Brown’s (1996:277) perspective that “the teachers must be involved in the process of curriculum development, feedback, and revision, and they must be consulted often along the way”. To the best of my knowledge, teachers are usually requested to write feedback about any likely course amendment, for example, the content and the format of the input materials. Figure7: teacher strategy implementations -the results of end of

course survey (2019), indicates that SPSP Aramco trainees are familiar with the high performance of the involved teachers in delivering the classroom activities; around 94.5% of the trainees assure that they are given lessons of clear objectives, teachers use different motivating teaching strategies, especially task-based learning and communicative approaches, which means that the instructor is a facilitator only and he concentrates on learner-based almost most of the time during periods.

15. Teachers used motivating techniques. أستخدم المعلمون وسائل محفزة

● Strongly Agree	36
● Agree	25
● Disagree	8
● Strongly Disagree	4



16. Teachers gave me enough opportunities to participate in class. أعطاني المعلمون فرصا كافية للمشاركة داخل الفصل

● Strongly Agree	54
● Agree	17
● Disagree	2
● Strongly Disagree	0



17. Teachers used technology (Smart Board/iPads, etc) effectively in class. استخدم المعلمون (التكنولوجيا السبورة الذكية و الايباد... ) داخل الفصل بكفاءة عالية

● Strongly Agree	58
● Agree	13
● Disagree	1
● Strongly Disagree	1

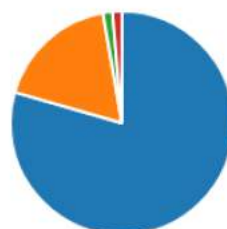


Figure 7: Teacher strategy implementations -the results of end of course survey (2019)

Accordingly, I assume that SPSP academic instructors are quite well-prepared to deliver the PEC program successfully and SPSP Aramco trainees achieved high standard improvement in their language proficiency, to be fair, except speaking skill performance is not high enough compared to written communication skills as

shown in figure 8 below regarding communication skills improvement at the end of the level survey (2019); 68 out of 73 trainees (around 93%) express their satisfaction with their communication ability improvement the end of PEC course.

21. This level/course helped me to improve my English communication skills. ساعدني المقرر التعليمي في تنمية مهارات التواصل باللغة الانجليزية

● Strongly Agree	41
● Agree	27
● Disagree	3
● Strongly Disagree	2

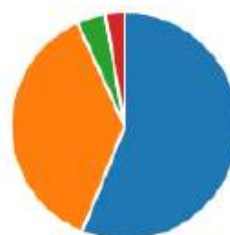


Figure 8: English communication skills progress – end of level survey (2019)

#### 4.6 PEC Program Evaluation

Brown (1996:277) defines the program evaluation as “the systematic collection and analysis of all relevant information necessary to promote the improvement of the curriculum and analyze its effectiveness within the context of the particular

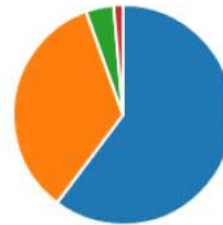
institution (s). In the light of this definition, I can assure that PEC program experiences development process based on a systematic approach; PEC administrators run regular visits to SPSP to gather information before applying any updates and analyze feedback form all the

involved people, especially teachers and trainees, almost at the end of each segment or the entire program. Figure 9 below shows the latest survey in January 2019 illustrates SPSP Aramco degree of satisfaction with all the main parts of the

program: learning materials, assessment system, teaching strategies, teachers' techniques and effectiveness of the entire program in terms of the desired goal of PEC program.

20. This level/course helped me to improve my English language skills. ساعدني المقرر التعليمي في تحسين لغتي الانجليزية

Strongly Agree	44
Agree	25
Disagree	3
Strongly Disagree	1



21. This level/course helped me to improve my English communication skills. ساعدني المقرر التعليمي في تنمية مهارات التواصل باللغة الانجليزية

Strongly Agree	41
Agree	27
Disagree	3
Strongly Disagree	2



Figure 9: English communication skills proficiency- January 2019

According to the results of the end of course survey, I can assure that the PEC program is a successful, effective and appropriate course to meet Aramco Company workplace language requirements. Meanwhile, I think the PEC program could be more effective in case of doing some alternatives or changes to the following curriculum elements:

- Materials development: to allow the involved teachers to provide or use any related materials which help them design more creative learning materials.
- Achievement tests development: to reduce the number of milestones per segment; I think 4-5 exams would be fair enough instead of 8 tests per segment.
- Adding a new assessment for listening to measure the trainees' ability to understand spoken English which in turn, I think, may help improve their speaking fluency to meet

the trainees' perceived spoken communication competency.

Furthermore, I am in favor of Brown's (1996) assumption of systems approach theory that developing an existing curriculum is a continuous process that could be based on any conditions or factors such as new intakes, updates in language theory, or opening new departments within the institution. In this way, I strongly agree with Brown's (1996) perspective that "the evaluation process is a sort of ongoing needs analysis" including all the gathered information during processing of all activities of curriculum development.

## V. CONCLUSION

At the end of this paper, I assume that the systematic approach implementation to the PEC program at SPSP is appropriate to evaluate the effectiveness and appropriateness of the program. Also, the results of this study show that the PEC

program is considered a processed and systemized program, and this meets Brown's perspective that the curriculum should be seen as a process, not a product, to be eligible for any changes or conditions for improvement purposes. In terms of suggestions to improve the PEC program at SPSP, two elements should be taken into consideration in the service of improving PEC program:

- Testing system- the number of achievement tests should be reduced and another listening assessment could be added alongside the other assessment milestones -writing, reading and speaking.
- Materials development- the involved instructors should be able to develop extra creative materials which should be relevant to the main goals of the program, away from Aramco workplace contexts.

In this way, the PEC program could be more effective in achieving high-standard performance, especially in spoken communication skills to meet the perceived trainees' needs.

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## English 2 Functional (E2F)

BET #: 40090044

Course duration: 230 hours

### Instructional materials

E2F iBook on iPad, AC&TU, T&D

Basic Grammar in Use, Raymond Murphy, Cambridge University Press, Third edition

Grammar in Use Intermediate, Raymond Murphy, Cambridge University Press, Third edition

### Course overview

The E2F course offers foundational instruction in functional English language skills, with focus on the development of productive skills (writing and speaking) that facilitate effective verbal communication across all functional areas. The course also provides foundational instruction covering typing, listening, and reading skills, with emphasis on language mastery needed to study at the ITC and to perform job tasks effectively at Saudi Aramco. This course is delivered in iBook format on the iPad. However, commercial textbooks are also used to provide grammar support and review. Course topics are as follows:

#### Unit 1 The early days

- 1.1 greeting people & making introductions
- 1.2 asking for and giving personal information
- 1.3 asking for permission and giving/refusing permission
- 1.4 telling/asking someone to do something
- 1.5 asking someone to repeat what they said
- 1.6 asking someone to speak more slowly

#### Unit 2 Finding your way

- 2.1 talking about the position of things
- 2.2 talking about the location of places
- 2.3 asking for and giving directions
- 2.4 drawing attention to things
- 2.5 talking about purpose
- 2.6 showing someone around
- 2.7 talking about ownership

#### Unit 3 People and places

- 3.1 describing people
- 3.2 talking about differences between people
- 3.3 saying that you don't know someone
- 3.4 describing places
- 3.5 talking about differences between places
- 3.6 saying you don't know a place
- 3.7 making a suggestion
- 3.8 asking for clarification



**Unit 4 Around the training center**

- 4.1 talking about permission
- 4.2 talking about necessary things
- 4.3 talking about good and bad results
- 4.4 asking for someone's input
- 4.5 talking about worries
- 4.6 talking about how sure you are

**Unit 5 Getting ready to drive**

- 5.1 agreeing/disagreeing about a topic
- 5.2 discussing readiness
- 5.3 admitting error
- 5.4 discussing condition
- 5.5 prioritizing options
- 5.6 drawing conclusions

**Unit 6 Mobile phone conversations**

- 6.1 making a phone call and asking for a person
- 6.2 making a phone call and asking a question or making an appointment
- 6.3 leaving and taking a phone message
- 6.4 advising someone to do something
- 6.5 talking about a decision

**Unit 7 A healthy lifestyle**

- 7.1 talking about quantity
- 7.2 complaining
- 7.3 giving and asking for reasons
- 7.4 giving warnings
- 7.5 talking about ability/inability
- 7.6 talking about sequence/order

**Unit 8 My hometown**

- 8.1 asking about and describing location
- 8.2 describing places
- 8.3 discussing pros and cons
- 8.4 agreeing/disagreeing
- 8.5 asking for examples/giving examples
- 8.6 talking about causes and effects

**Unit 9 What's your schedule like?**

- 9.1 apologizing
- 9.2 expressing a change of plan
- 9.3 scheduling/rescheduling
- 9.4 talking about the order of events
- 9.5 discussing how long something takes/lasts
- 9.6 talking about how often something happens

Saudi Aramco: Company General Use

## Learning outcomes

In addition to gaining the elementary speaking, writing, typing, listening, and reading skills to use and understand the English language functions above, learners will demonstrate their ability to perform the following tasks and demonstrate the following knowledge and understanding:

- 1 Successfully create and deliver a two-minute presentation, individually and unassisted, using PowerPoint or Keynote software on an iPad. Learners will also acquire enough knowledge of a topic area clearly relevant to Saudi Aramco to use as a presentation topic.
- 2 Perform functional writing tasks based on a provided writing prompt. Learners will communicate basic information clearly in written form, using English language functions covered in the course, and which reflect everyday use in the Saudi Aramco workplace.
- 3 Respond appropriately to speaking prompts and orally communicate information related to the English language functions covered in the course.
- 4 Given a written prompt, respond to multiple-choice questions relating to the English language functions and vocabulary covered in the course.

## Assessment overview

The E2F assessment schedule consists of writing and speaking milestones, a presentation, and an online assessment. Samples of the different types of assessment milestones and online test items are shown on Pages 58 - 61 of these guidelines.

### Writing milestones (three per segment)

Writing milestones measure the learner's ability to complete functional writing tasks based on a provided writing prompt. Writing prompts are based on the functions covered in previous weeks. These milestones will be administered during the Review/Assessment period of the training day. Writing milestones are teacher scored based on the performance criteria described in the writing milestone rubric, and entered into the Group Score Report (GSR). Performance feedback from these milestones is provided to learners. A final writing score is entered in the SAP Scoring System before the end of the training segment.

### Speaking milestones (three per segment)

Speaking milestones measure the learner's ability to respond orally to a provided speaking prompt. Speaking prompts are based on the functions covered in previous weeks. These milestones will be administered during the Review/Assessment period of the training day. Speaking milestones are teacher scored based on the performance criteria described in the speaking milestone rubric, and entered into the Group Score Report (GSR). Performance feedback from these milestones is provided to learners. A final speaking score is entered in the SAP Scoring System before the end of the training segment.

#### Presentation (one per segment)

Learners will deliver a two-minute presentation individually on a topic of clear relevance to Saudi Aramco (SA) and/or the Oil and Gas industry. Presentations will be delivered during the Review/Assessment period of the training day. They are teacher scored based on the performance criteria described in the presentation scoring rubric, and entered into the Group Score Report (GSR). Performance feedback on the presentation is provided to learners. The presentation score is entered in the SAP Scoring System before the end of the training segment.

#### Online assessment (one per segment)

The online assessment measures the learner's ability to respond to test items covering the vocabulary and functional language targeted in this level. This assessment is comprised of 50 functional language items and is administered and scored online. Trainees are given 75 minutes to complete this assessment.

#### Timing and weighting of assessments

The timing of and material covered in each assessment component is shown in the table below. Training centers should take care to pace the course to ensure that trainees have completed the units covered in each assessment before the assessment is delivered.

Assessment	Week	Material Covered
Speaking Milestone 1	4	Units 1 - 3
Speaking Milestone 2	6	Part 1: Units 4 - 5 Part 2: Units 1 - 3
Speaking Milestone 3	9	Part 1: Units 6 - 8 Part 2: Units 1 - 5
Writing Milestone 1	3	Units 1 - 2
Writing Milestone 2	5	Units 3 - 4
Writing Milestone 3	8	Units 5 - 7
Presentation	7	Units 1 - 6
Online Assessment	10	Units 1 - 9

The percentage breakdown of each assessment element is as follows:

Assessment	Assessment % of Component Score	Assessment % of Overall Final Grade	Component % of Overall Final Grade
Speaking Milestone 1	20	4	20
Speaking Milestone 2	30	6	
Speaking Milestone 3	50	10	
Writing Milestone 1	20	4	20
Writing Milestone 2	30	6	
Writing Milestone 3	50	10	
Presentation	100	10	10
Online Assessment	100	50	50
		100	100

## Appendix B

1/3/2019

Microsoft Forms

Academic End-of-Level Survey (ARAMCO). Jan. 2019

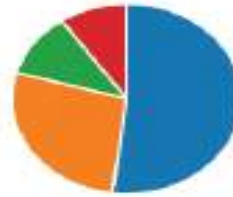
73  
Responses

04:18  
Average time to complete

Active  
Status

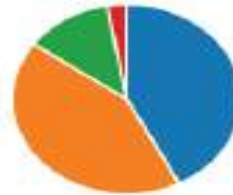
1. The learning materials were delivered at the beginning of the course. تم اعطائي الادوات التعليمية مع بداية الفصل الدراسي

Strongly Agree	38
Agree	20
Disagree	8
Strongly Disagree	7



2. The course orientation was conducted. تم اعطائي فكرة توضيحية عن المستوى / البرنامج

Strongly Agree	31
Agree	31
Disagree	9
Strongly Disagree	2



3. The course orientation was useful. كانت الفكرة التوضيحية عن البرنامج / المستوى مفيدة

Strongly Agree	33
Agree	28
Disagree	6
Strongly Disagree	6



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4. I understood the objectives and purpose of the course/level. من أفهم بوضوح الاهداف والغرض من البرنامج / المستوى

Strongly Agree	32
Agree	31
Disagree	8
Strongly Disagree	1



5. I understood how the course/level objectives are related to my job. افهم بوضوح لكيفية ارتباط اهداف البرنامج والمستوى بمستقبلي الوظيفي

Strongly Agree	29
Agree	29
Disagree	12
Strongly Disagree	3



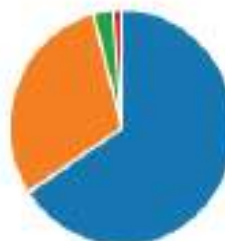
6. This Level included weekly safety talks. لقد احتوى البرنامج / المستوى على رسائل و محاضرات توعية بالسلامة العامة اسبوعية

Strongly Agree	38
Agree	22
Disagree	9
Strongly Disagree	4



7. Emergency Response Plan and Safety rules were explained to me. تم شرح خطة الطوارئ وقواعد السلامة

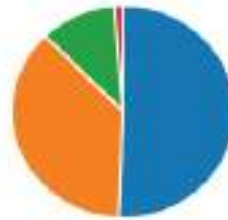
Strongly Agree	48
Agree	22
Disagree	2
Strongly Disagree	1



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8. Classrooms and computer labs were well-maintained. حالة القصول ومعامل اللغات جيدة.

Strongly Agree	37
Agree	27
Disagree	8
Strongly Disagree	1



9. The Safety programs and discussions have improved my behavior. سُنّت برامج السلامة ومناقشاتها من سلوكياتي

Strongly Agree	42
Agree	25
Disagree	6
Strongly Disagree	0



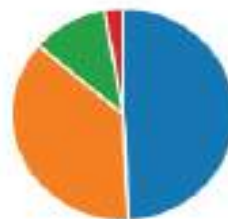
10. I felt safe at SPSP. المعهد التقني السعودي لخدمات البترول مكان آمن للدراسة

Strongly Agree	44
Agree	21
Disagree	6
Strongly Disagree	2



11. Teachers gave me helpful feedback on my classwork. أعطاني المعلمون تغذية راجعة (معلومات) مفيدة عن أدائي داخل الفصل

Strongly Agree	36
Agree	27
Disagree	8
Strongly Disagree	2



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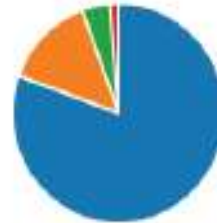
12. Teachers were well-prepared for their classes. كان المعلمون مستعدون جيدا لدروسهم.

Strongly Agree	50
Agree	19
Disagree	4
Strongly Disagree	0



13. Teachers treated me respectfully. عاملني المعلمون بكل احترام.

Strongly Agree	58
Agree	10
Disagree	3
Strongly Disagree	1



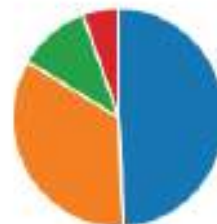
14. Teachers gave clear objectives for each lesson. أعطى المعلمون اهدافا واضحة لكل درس.

Strongly Agree	42
Agree	27
Disagree	4
Strongly Disagree	0



15. Teachers used motivating techniques. استخدم المعلمون وسائل محفزة.

Strongly Agree	36
Agree	25
Disagree	8
Strongly Disagree	4



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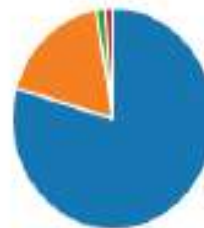
16. Teachers gave me enough opportunities to participate in class. أعطاني المعلمون فرصا كافية للمشاركة داخل الفصل

<span style="color: blue;">●</span> Strongly Agree	54
<span style="color: orange;">●</span> Agree	17
<span style="color: green;">●</span> Disagree	2
<span style="color: red;">●</span> Strongly Disagree	0



17. Teachers used technology (Smart Board/iPads, etc) effectively in class. استخدم المعلمون (التكنولوجيا السبورة الذكية و الايباد... ) داخل الفصل بكفاءة عالية

<span style="color: blue;">●</span> Strongly Agree	58
<span style="color: orange;">●</span> Agree	13
<span style="color: green;">●</span> Disagree	1
<span style="color: red;">●</span> Strongly Disagree	1



18. Teachers gave clear explanations and examples in class. أعطى المدرسون شرحا واضحا وامثلة توضيحية اثناء الحصص الدراسية

<span style="color: blue;">●</span> Strongly Agree	49
<span style="color: orange;">●</span> Agree	21
<span style="color: green;">●</span> Disagree	2
<span style="color: red;">●</span> Strongly Disagree	0



19. Classroom equipment worked well (smart board, projector, etc.) and any failures were fixed immediately. أجهزة الفصل كانت تعمل جيدا وأي عطب يتم اصلاحه على الفور

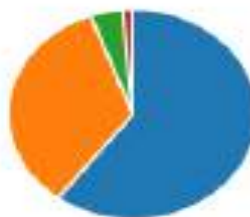
<span style="color: blue;">●</span> Strongly Agree	32
<span style="color: orange;">●</span> Agree	19
<span style="color: green;">●</span> Disagree	14
<span style="color: red;">●</span> Strongly Disagree	8



<https://forms.office.com/Pages/DesignPage.aspx?origin=ahs&Analysis=true&FormId=6802ucm-0-hKib7i-gh8K0LNAVXAJQpJ9CTwTERUQV...> 5/8

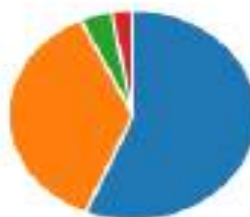
20. This level/course helped me to improve my English language skills. ساعدني المقرر التعليمي في تحسين لغتي الانجليزية

Strongly Agree	44
Agree	25
Disagree	3
Strongly Disagree	1



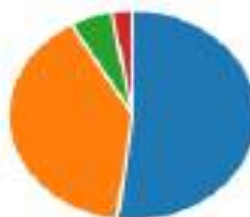
21. This level/course helped me to improve my English communication skills. ساعدني المقرر التعليمي في تنمية مهارات التواصل باللغة الانجليزية

Strongly Agree	41
Agree	27
Disagree	3
Strongly Disagree	2



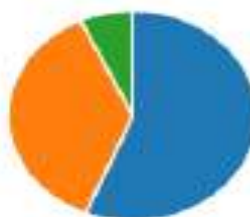
22. The iPad book and textbook(s) materials were useful. كانت محتويات الكتب الدراسية والكتب الالكترونية مفيدة

Strongly Agree	38
Agree	29
Disagree	4
Strongly Disagree	2



23. There was enough time to cover all learning materials for the final tests. كان هناك وقتنا كافيا لتغطية كل اجزاء المنهج قبل الاختبار النهائي

Strongly Agree	41
Agree	27
Disagree	5
Strongly Disagree	0



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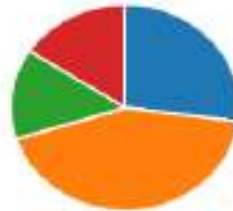
24. The assessments during the course were fair. كانت الاختبارات اثناء الفصل الدراسي عادلة.

Strongly Agree	19
Agree	28
Disagree	21
Strongly Disagree	5



25. The Math Course at this level helped me to improve my math skills. اعدتني مادة الرياضيات في تحسين مهاراتي بها

Strongly Agree	19
Agree	30
Disagree	10
Strongly Disagree	11



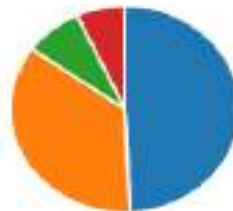
26. The AAU advisers were helpful. كان مرشدو طلاب ارامكو السعودية متعاونون

Strongly Agree	23
Agree	27
Disagree	6
Strongly Disagree	17



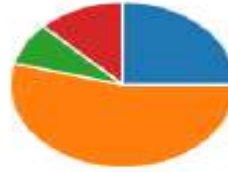
27. The SPSP administrators (Senior Instructor, Learning Counselor, assessment coordinator) were helpful. اعدتني ادارة المعهد التقني السعودي لخدمات البترول (المدرس الاول و المستشار الاكاديمي و) منسق الاختبارات

Strongly Agree	36
Agree	26
Disagree	6
Strongly Disagree	5



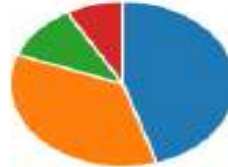
28. Remedial/make-up classes were useful. كانت فصول التقوية مفيدة.

Strongly Agree	18
Agree	39
Disagree	6
Strongly Disagree	9



29. The Learning Counselor was supportive. كان المستشار الأكاديمي داعماً لنا.

Strongly Agree	33
Agree	26
Disagree	8
Strongly Disagree	6



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# Research Notes: From Critical Thinking to the Phenomenology of Communism

*Prof. Dr. Maria Luisa Nabinger De Almeida*

## ABSTRACT

This article aims to study the thought of Professor Bernhard H. Bayerlein through the academic productions themselves, such as books, articles, courses and research carried out in specialized archives and libraries, whose field of work elucidates the role of the revolutionaries after 1917. The challenge was to analyze the historical events during the inter-war period that sometimes arose from how theoretical conflicts that in praxi dialectically led the countries of the European continent to the binomial civilization/barbarism.

*Keywords:* archives and libraries of communist studies; historiography of social movements; communist international.

*Classification:* FOR CODE: 130205

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# Research Notes: From Critical Thinking to the Phenomenology of Communism

Do Pensamento Crítico à Fenomenologia do Comunismo

Prof. Dr. Maria Luisa Nabinger De Almeida

## RESUMO

*Este artigo objetiva estudar o pensamento do Professor Bernhard H. Bayerlein através das próprias produções acadêmicas, como livros, artigos, cursos e pesquisas realizados nos arquivos e bibliotecas especializados, cujo campo de trabalho situa-se na elucidação das práticas dos revolucionários após 1917. O desafio foi percorrer os acontecimentos históricos durante o período Entre-Guerras oriundos, por vezes, dos conflitos teóricos que a prática, dialeticamente, conduziu os diferentes países no continente europeu ao binômio civilização e barbárie. Se a tarefa do historiador é reconstituir o passado humano, à pesquisa histórica cabe o resgate dos documentos, fazendo-se em um diálogo silencioso entre um e outro. O diálogo crítico legado pelo Professor Bernhard H. Bayerlein daquela consciência experimentada pelos esforços dos sujeitos de então, particularmente no interior do Comintern, rompe com as versões lineares sobre o pensamento comunista internacional tão caro tanto aos revolucionários quanto aos conservadores anticomunistas.*

**Palavras-chave:** arquivos e bibliotecas dos estudos comunistas; historiografia dos movimentos sociais; internacional comunista.

## ABSTRACT

*This article aims to study the thought of Professor Bernhard H. Bayerlein through the academic productions themselves, such as books, articles, courses and research carried out in specialized archives and libraries, whose field of work elucidates the role of the revolutionaries after 1917. The challenge was to analyze the historical events during the inter-war period that*

*sometimes arose from how theoretical conflicts that in praxi dialectically led the countries of the European continent to the binomial civilization/barbarism. The Historian's task is to reconstitute the human past through historical research, dialoging with historical documents. The critical dialogue bequeathed by Professor Bernhard H. Bayerlein, supported by experience of the players in that period, particularly those within the Comintern, breaks with the linear versions of the international communist thought so dear to both revolutionaries and anti-communist conservatives.*

**Keywords:** archives and libraries of communist studies; historiography of social movements; communist international.

**Author:** Universidade Federal do Estado do Rio de Janeiro, UNIRIO, Brasil.

## I. INTRODUÇÃO

Raramente Karl Marx figura na genealogia da Filosofia da História. A pobreza da Filosofia foi desconsiderar o materialismo histórico como vetor metodológico para o estudo da sociedade de classes, o qual fez despertar o século XX em todos os azimuts. Além da formulação do conceito da luta de classes, outras práticas sociais foram estudadas desde o século anterior, como a questão nacional.

Estes dois pilares – a luta de classes e a questão nacional, produziram ebulições, convergências e fissuras entre aqueles que se opuseram à visão homogênea da sociedade. À exaltação do princípio da nacionalidade e dos Estados-nação, o fenômeno do nacionalismo, sob os matizes do patriotismo, conduziu a classe trabalhadora à falta

de um lugar próprio. A Associação Internacional dos Trabalhadores (*Dictionnaire du mouvement ouvrier*, 1970, p.101-109), ou a Primeira Internacional, criada em 1864, idealizou, no entanto, a reunião de todos os trabalhadores da Europa e dos Estados Unidos, considerando-os quase como uma classe igualmente homogênea. Sem levar em conta o grau de desenvolvimento das forças produtivas de cada país, ou mesmo de cada setor da economia, em breve a AIT se viu em luta entre as diferentes correntes ideológicas do movimento operário internacional, dos anarquistas aos republicanos, em passando pelos sindicalistas, e outros.

Nada, porém, reverberou tanto do marxismo quanto a perspectiva colonial. Sob o idealismo da igualdade, saído da Revolução Francesa (1789), a questão da colonização pôs por terra toda e qualquer aspiração à emancipação dos povos e, por conseguinte, da classe trabalhadora, igualmente da periferia. Se desde Montesquieu, em *Cartas Persas* (1721), pudemos identificar as luzes sobre um certo conceito de civilização com base na superioridade da instituição do Estado-nação, o reverso, a barbárie, residiria, portanto, fora do centro europeu. O neocolonialismo do século XIX, revivido na África e na Ásia, não deixaria de estar acompanhado pelos grandes grupos europeus, pelo capitalismo monopolista, constituindo-se no mais alto grau de dominação: o imperialismo<sup>1</sup>.

Quando viramos a página para o século XX, não nos foi mais possível entender a colonização como sinônimo de modernização e de civilização. A Primeira Guerra Mundial (1914-1918) expressou não só o grau de violência entre os Estados europeus como ainda condenou a classe trabalhadora a pagar o preço de um nacionalismo

<sup>1</sup> Destacamos a obra de Marc Poncelet – *L'invention des sciences coloniales belges*, onde o autor nos mostra o planejamento do empreendimento colonial do rei Leopoldo II da Bélgica junto ao “coeur des ténèbres” na África. O colonialismo belga implicou em saberes científicos, inclusive dando lugar à Société belge d'études géographiques logo após o ano da Conferência de Bruxelas, em 1876: “A ciência geográfica constrói, portanto, a língua da primeira compreensão científica da África central e do imperialismo” (PONCELET, Marc. 2008, p.54 (em francês, tradução minha).

que não era seu. O crepúsculo da civilização (alusão à obra *Le Crépuscule de la Civilisation: L'Occident et les peuples de couleur*, de Arturo Labriola, 1936) que levou consigo a Segunda Internacional ou Internacional Socialista (1889-1916), nos conduziu à Terceira Internacional, Internacional Comunista, ou Comintern (1919-1943), quando um novo fenômeno já se avizinhava: o Fascismo.

## II. RUHR-UNIVERSITÄT BOCHUM

Foi na Bibliothek zur Geschichte der Arbeiterbewegung - BZGA, que encontramos o Professor Bernhard H. Bayerlein, em 1977, tomando notas para um inventário sobre a documentação do Movimento Operário Português (Portugiesische Arbeiterbewegung), além dos demais documentos, obras e periódicos sobre o movimento operário internacional, cujos primeiros exemplares foram duplicatas doadas pelo Instituto Internacional de História Social (IISG), em Amsterdam.

Na BzGA havia uma ampla diversidade de temas relacionados a Portugal, desde as obras sobre o Corporativismo de Salazar, relatórios contra Portugal salazarista da União Internacional dos Estudantes, com sede em Praga, artigos sobre a situação econômica portuguesa, publicados pela Tulipa Vermelha de Amsterdam, obras sobre a reforma agrária no Alentejo, sobre a Colecção Universidade do Povo, as primeiras formas de organização do Movimento Operário Português, ainda no século XIX, através das associações e caixas econômicas, obras sobre a questão operária e o sindicalismo português, a ditadura do proletariado, o Partido Comunista Português (1º período de 1919-1929), de João Quintela, as ambiguidades do Movimento Operário Português face à Primeira Guerra Mundial, de Cesar de Oliveira, A Rússia dos soviets, de J. Carlos Rates, e periódicos anarquistas, principalmente de Errico Malatesta.

Outros arquivos e bibliotecas especializados teriam sido pesquisados e inventariados pelo jovem filósofo e mestre em História pela Ruhr-Universität de Bochum, como a Biblioteca da Fundação Friedrich Ebert, em Berna, e os

Arquivos suíços de Jules Humbert-Droz, resultando em trabalhos publicados: *Breve resumo sobre a biblioteca, os arquivos, os trabalhos em curso e as publicações* (1984), e *Les Partis Communistes des pays latins et L'Internationale Communiste dans les années 1923-1927* (1983), respectivamente. Sem abandonar os temas sobre a classe trabalhadora da Península Ibérica – *La Première Internationale au Portugal. Vue à travers la Correspondance Internationale, particulièrement celle avec le Conseil Général*, comunicação apresentada no congresso internacional, Utopie et Socialisme au Portugal, em Paris (1982), ou *Revolutionary Syndicalism in Portugal*, e *Die Genese der Volksfront in Spanien* (1987) e *El Significado Internacional de Octubre de 1934 en Asturias* (1985), o Professor Bayerlein, nos anos de 1990, foi, paulatinamente, explorando os demais campos de estudos concernentes à História Social: estudos comparados entre socialismo e comunismo, história do Comintern e migração, exílio antifascista e regimes políticos no período Entre-Guerras.

### III. BALANÇOS E DIÁLOGOS

Foi através, principalmente, dos revolucionários e antifascistas ao longo do período de existência da Terceira Internacional – 1919-1943, que Bernhard H. Bayerlein iniciou os diálogos com as fontes. Em diferentes títulos de artigos acadêmicos, Bayerlein evidenciou as questões em torno de *Abschied von einem Mythos. Die UdSSR, die Komintern und der Antifaschismus* (2009); *The Entangled Catastrophe: Hitler's 1933 "Seizure of Power" and Power Triangle. New Evidence on the Historic Failure of the KPD, the Comintern, and The Soviet Union* (2017); *L'histoire enfin retrouvée. L'Internationale Communiste de la tragédie allemande à l'apogée de la Deuxième Guerre Mondiale (1933-1943). Une rétrospective sur le journal de Dimitrov* (2016); *Arquivos do comunismo e perspectivas de pesquisa 25 anos pós a "Revolução dos Arquivos". Um balanço global* (2016); *Origens bonapartistas do semi-presidencialismo português* (1996); *Willi Münzenberg. 'Last Empire'. "Die Zukunft" and the Franco-German Union 1938-1940. New Visions*

*of Anti-Fascism and The Transnational Network of the Anti-Hitler Resistance* (2017), e outros.

Para o meio acadêmico, autenticamente transformador, trazer à tona os impasses e as crises teóricas entre aqueles contemporâneos das décadas de 1920-1930-1940, a contribuição do Professor Bayerlein nos permite revisar e acurar os conceitos até então pensados, pela militância revolucionária e pela resistência, enquanto verdades absolutas. Entre eles estão em pauta o sacrossanto tripé URSS-Comintern-Antifascismo do Leste europeu para enfrentar o imperialismo do Ocidente, desconsiderando os matizes de cada regime político nos diferentes países.

Construir argumentos para compreender a verdade histórica impõe ao historiador a ousadia de questionar os atores envolvidos na construção de uma dada realidade. No estudo sobre a Alemanha, por exemplo, o Professor Bayerlein não poupou análises críticas aos equívocos e ao comprometimento da independência originária do KPD após este ter se submetido ao Comintern e à antiga União Soviética, tendo sido conduzido à catástrofe com a chegada de Hitler ao poder, em 1933. Ou, ainda, os estudos a partir dos diários de Georgi Dimitrov sobre a Internacional Comunista, a tragédia alemã e a Segunda Guerra Mundial.

Com a abertura dos arquivos na Rússia, a partir da década de 1990, acontecimento identificado como a “Revolução dos Arquivos”, abrem-se novas perspectivas de pesquisas em torno do movimento comunista internacional, fortalecendo a verdade histórica daquele conturbado período Entre-Guerras. As práticas daqueles revolucionários puderam ser postas, livremente, em questão, como foi o caso dos confrontos internos do Comintern e do Partido Comunista Russo, entre Lenin e Stálin. Houve mesmo a possibilidade de ser revelada a voz crítica de Willi Münzenberg no que concerne à Internacional Comunista e as Frentes Antifascistas internacionais, além de novos conceitos não só para a concepção da nova ordem internacional como também para as revelações que se sucederam. Caso do mais recente artigo publicado pelo autor sobre a dupla derrota do Comintern em Addis Ababa e no Rio de Janeiro, em 1935. Nos



dois países, Etiópia e Brasil, o Professor Bayerlein expôs as contradições entre os conceitos difundidos pela Terceira Internacional, como o internacionalismo, o antifascismo, o anticolonialismo e a autodeterminação nacional levando à derrota as insurreições locais. Entre a “Pátria de todas as classes e as nações exploradas”, a partir de 1928 com Stálin e Molotov à frente do Comintern, prevaleceu a “União Soviética a verdadeira pátria do proletariado a ser defendida por todos os meios”.

#### IV. CURSOS E PESQUISAS

Ao longo de sua carreira acadêmica, numerosas universidades acolheram o Professor Bernhard H. Bayerlein enquanto *Fellow* e *Visiting Professor*. Na Europa, University of Lausanne, University of Burgundy (Dijon), University of Mannheim, Instituto Superior de Ciências do Trabalho e da Empresa – ISCTE (Lisboa), no Centro de História Contemporânea, em Potsdam, trabalhou como expert histórico na Comissão de Historiadores Germano-Rússia, no Comitê Internacional para Informatização dos Arquivos do Comintern, INCOMKA (Conselho da Europa, Strasbourg) e, atualmente, como Pesquisador Sênior no Instituto para Movimentos Sociais na Ruhr-University, em Bochum; Na América, University of Jalisco, Guadalajara, e Universidade de São Paulo.

Enquanto pesquisador, sob o título de *Synthèse des principaux résultats des recherches*, o Prof. Bayerlein submeteu-se, na França, ao concurso de habilitação para orientar as pesquisas – “Habilitation à diriger des recherches” (HDR), na Maison des Sciences de l’homme, Université de Bourgogne, em 2014, tendo constituído, neste trabalho, quatro eixos de pesquisa:

- Estudos Comunistas – estudos comparados e transnacionais sobre o comunismo no Entre-Guerras (1917-1943), percorrendo a) os estudos empíricos e as edições sobre a identificação e análises críticas das novas fontes de Moscou, Berlim, Berna, e muitos outros centros arquivísticos; b) a preservação dos arquivos, a acessibilidade e conservação dos documentos, tanto à Leste quanto à Oeste, no que concerne os documentos do Comintern

e do Partido Comunista Russo em Moscou; e, c) as análises transnacionais empreendidas na historização do fenômeno comunista a fim de integrar a publicação a uma abordagem crítica dos estudos globais;

- Ciência Política, notadamente a análise comparada entre os regimes políticos semi-presidenciais contemporâneos em nível internacional;
- Estudos luso-espanhóis, história dos movimentos sociais e do movimento operário na perspectiva transnacional;
- Organizações internacionais de solidariedade, o exílio antifascista, as transferências político-culturais e relações franco-alemãs (1930-1940).

Com o balanço das pesquisas efetuadas e sistematizadas foi possível para o Professor Bayerlein estabelecer linhas e eixos de investigações resultando, ainda, em diversas assessorias e editorias, como 1) coordenador e editor do projeto franco-alemão “Der Traum von Hitlers Sturz” – “Le rêve de la chute d’Hitler” (O sonho da queda de Hitler) (1938-1940), localizado no ISB da Universidade de Bochum; 2) Editor Sênior do *International Newsletter of Communist Studies* (INCS) and the Communist Studies Mailing List; 3) Co-editor, *Jahrbuch für historische Kommunismusforschung/Yearbook of Communist Studies*, editado pela Fundação Federal Alemã para a reapreciação da História da República Democrática Alemã; 4) Organizer of the international Willi Münzenberg Congress (Rosa-Luxemburg Foundation, Berlin a.o.); 5) Editorial Council member, *Twentieth Century Communism*, London; 6) Editorial advisor, *American Communist History*, Washington DC; 7) Comité assessor, Archivos de la historia del Movimiento obrero y la izquierda, Buenos Aires.

#### V. ESTUDOS COMUNISTAS: HISTORIZAÇÃO E PERIODIZAÇÃO

A partir da realização das análises empíricas através do acesso aos novos documentos revelados pelos arquivos de Moscou, e outros, o Professor Bayerlein construiu uma tipologia dos fenômenos históricos para o período 1917-1943: História das Instituições, História do Movimento

Comunista e História do Movimento Operário. Doravante, a importância das fontes localizadas nos arquivos, tanto no Leste europeu quanto no Ocidente, residiu na possibilidade de se estabelecer a heurística para a História do Comunismo. Em outras palavras, se a História dos Movimentos Sociais e, particularmente, a História da Internacional Comunista, foram moldadas, anteriormente, a partir de uma mística em torno da idolatria dos sujeitos sociais, como Lenin, Stálin, Trotsky, Rosa Luxemburgo, e outros, a superação de uma “história panfletária” esteve comprometida pela ausência dos métodos científicos. A historização e a periodização dos fenômenos históricos do período Entre-Guerras só foram possíveis a partir da aplicação dos métodos científicos: analítico, sintético, indutivo, dedutivo, sincrônico, diacrônico e anacrônico que nos permitissem a compreensão do comunismo enquanto fenômeno teórico. Neste sentido, o Professor Bayerlein pode 1) apreender o conjunto do movimento comunista internacional daquele período revelando as estruturas, as formas de organização e os grupos de sujeitos e dirigentes do Comintern; 2) elaborar os processos de decisão e a natureza das relações centro-periferia na história dos partidos comunistas, sobretudo da Rússia, Alemanha, Espanha e de Portugal; 3) demonstrar e analisar o surgimento internacional das organizações simpatizantes e de solidariedade para as diferentes categorias sociais e objetivos distintos, além de mostrar que se tratava de um esboço de uma “Internacional cultural” para as mulheres, os escritores, os sindicatos, as cooperativas, o anticolonialismo e o antifascismo. O professor Bayerlein ainda verificou que este “sistema solar do Comintern” foi, sob Stalin, frustrado e interrompido, transformando-se em um apêndice das estruturas soviéticas e da “diplomacia cultural” da União Soviética.

Por fim, a periodização juntamente com as fissuras e clivagens na história do comunismo internacional no Entre-Guerras, sobretudo, no pós-leninismo, pode ser posta em relevo através das pesquisas, possibilitando ao Professor Bayerlein estudar: 1) as tentativas revolucionárias fracassadas na Alemanha, nos anos de 1919 e de 1923, a derrota decisiva de 1933 e, por

consequente, passíveis de serem explicadas pelo radicalismo da esquerda subjacente à Internacional Comunista, criando saídas artificiais, apesar dos alertas de Lênin e Trotsky; 2) a importância fundamental do “Outubro Alemão”, em 1923, sua preparação e sua derrota, ressaltando, desta forma, a tese central do historiador Pierre Broué; 3) de demonstrar, empiricamente, os processos paralelos à “bolchevização” e “stalinização” do Partido Comunista da União Soviética no plano internacional, resultando em um processo cruzado e combinado das organizações formais e dos alinhamentos ideológicos ao PCUS; 4) de esclarecer os fracassos da Internacional Comunista na Inglaterra, China, Bulgária, Alemanha e o predomínio da “stalinização” em 1928/1929 (o chamado “Terceiro Período”); 5) de esclarecer a importância histórica e o impacto internacional da ascensão de Hitler na Alemanha, em 1933, tendo imposto uma mudança de paradigma à política soviética, principalmente, concernente aos equívocos sustentados nas concepções do “Social-Fascismo” e do “Terceiro Período” para a realização da revolução dos trabalhadores; 6) de estudar a adesão da luta antifascista pelo Comintern (tese do VII Congresso da I.C.), sob a liderança de Dimitrov (nomeadamente o trabalho político interno junto aos “sindicatos nacionais” e a criação da Frente Popular Antifascista) que, segundo o Professor Bayerlein, não foi, no entanto, suficiente para esconder o peso “do terror e da russificação” sob o processo global do antifascismo; 7) de descortinar a atitude ambivalente da União Soviética face ao nacional-socialismo, sobretudo quando Stálin pareceu ter projetado uma estratégia de aproximação de longo termo com Hitler. Esta hipótese, considerada por um número restrito de historiadores, teria sido formulada pela primeira vez por Walter Germanovich Krivitsky (codinome de Samuel Ginsberg, autor de *I was Stalin's Agent*, de 1939), durante a Guerra Civil na Espanha, em 1936-1939; 8) as pesquisas ainda revelaram que os “grandes expurgos”, ocorridos sob o prisma internacional, significaram que o terror de Stálin não só massacrou a vanguarda internacionalista do Partido Comunista da União Soviética, e de outros na Europa, como também

aniquilou, secretamente, as comunicações internacionais do Comintern e alas inteiras dos partidos comunistas polonês, alemão, ucraniano, e outros.

## VI. ESTUDOS EM CIÊNCIA POLÍTICA

Neste domínio, o Professor Bayerlein desenvolveu pesquisas empíricas comparadas, como a República de Weimar (1919), a Quinta República Francesa (1958) e a Terceira República Portuguesa (1975), a partir da tese de Maurice Duverger sobre o sistema político do “semi-presidencialismo”, cujo perfil assenta-se em um regime pessoal, semi-autoritário e com traços do bonapartismo. Identifica-se mais como uma estratégia da “Third Wave of Democratisation” que como uma alternativa democrática ao parlamentarismo, pois aglutina as forças políticas tanto de direita quanto bonapartistas de esquerda. A prática do semi-presidencialismo é, justamente, bloquear os movimentos políticos, como um curto-circuito, impedindo a formação de governos apoiados por forças e movimentos progressistas.

## VII. ESTUDOS LUSO-ESPANHÓIS

A partir dos estudos de língua e culturas latinas, o Professor Bayerlein também se dedicou à História comparada dos movimentos sociais dos países ibéricos com o incentivo de historiadores pioneiros, como Carlos da Fonseca e José Pacheco Pereira, para os estudos da história do movimento operário internacional.

As pesquisas puderam revelar os movimentos de contestação internacionalistas em Portugal e Espanha, cuja importância residiram nos movimentos socialistas e anarquistas desde a Primeira Internacional, valorizando a contribuição de alguns atores, como José Fontana e Azedo Gneco.

Os processos políticos pelos quais aqueles movimentos sociais atravessaram para o século XX, foram estudados através 1) a “Comuna das Astúrias” na Espanha, em 1934, predominando o papel dos socialistas e anarquistas; 2) a Guerra Civil espanhola conduzida pelas políticas dos socialistas, dos comunistas, além das contradições no seio da esquerda; e, 3) a relação entre o Estado

corporativo de António de Oliveira Salazar e o movimento operário português através o trabalho político do movimento sindical no interior dos “sindicatos nacionais” do Estado Novo<sup>2</sup> (conforme as teses do VII Congresso do Comintern).

As organizações e espaços internacionais de solidariedade, o exílio antifascista, as transferências político-culturais e as relações franco-alemãs (1930-1940), como último eixo de pesquisas, o Professor Bayerlein se estende à colaboração entre a Ruhr Universität Bochum, Alemanha, e a Academia de Abo, Finlândia, nos domínios dos estudos sobre o capitalismo, as ditaduras autoritárias e totalitárias, a luta pela democracia através da emergência atual dos movimentos antifascistas, anticoloniais, feministas para a sociedade civil global.

A formulação de uma hipótese para a construção da “Internacional Cultural” – *Cultintern*, enquanto 1) ideal-tipo para desbloqueio da compreensão dos movimentos globais; 2) importância para a continuidade dos estudos sobre os movimentos dissidentes e socialistas autônomos na transferência político-cultural, entre os anos de 1920 e 1940, além do papel de algumas revistas e jornais para uma nova concepção da Europa (“projeto Zukunft”); 3) destaque para o papel de Willi Münzenberg no que concerne à dinâmica da prática e teoria dos movimentos transnacionais de solidariedade e do jogo da contra-propaganda que representa, afinal, o elo entre os séculos XX e XXI.

<sup>2</sup> A rigor, a aproximação feita por Bernhard H. Bayerlein dos conceitos do bonapartismo e do regime plebiscitário cesarista com o semi-presidencialista no caso português, em 1975, enquanto quase sinônimos discutidos no artigo “Origens bonapartistas do semi-presidencialismo português” (*Análise Social*, 1996), podem ser observados também na ditadura salazarista, de 1933-1974. Maurice Duverger assinalava, em trabalho anterior, “o aumento da autoridade dos dirigentes e a tendência no sentido das formas pessoais de autoridade”, enquanto “institucionalização” do “fator de crescimento e da personificação da autoridade” com o advento das massas (*Os Partidos Políticos*, 1970, p.205).



## VIII. PESQUISAS COMPARADAS: NOVOS SUJEITOS, NOVAS METODOLOGIAS

Desde a apresentação do trabalho visando a habilitação para dirigir pesquisas (HDR), junto à Université de Bourgogne, em Dijon, em 2014, Bayerlein tem apresentado três proposições para ampliar os estudos sobre a História do Comunismo Internacional, no período nomeado por Moshe Lewin de “século soviético”, de 1917 a 1943. Este período, entre a Revolução Russa e a Segunda Guerra Mundial, é, para o Professor Bayerlein, de longe, o mais interessante para os estudos do comunismo, mesmo com o massacre dos povos na Primeira Guerra Mundial até a implosão do socialismo de Estado soviético, em 1989/1991.

Tanta efervescência na primeira metade do século XX não eliminou, contudo, “o intrínseco enigma não resolvido deste período”, segundo Gerd Koenen, citado por Bayerlein. O que quer isto dizer?

Apesar de uma diversidade de publicações e da documentação nos arquivos, até aqui os resultados das pesquisas continuam, no entanto, difusos. Para o Professor Bayerlein, os estudos não devem ser restritos somente à antiga União Soviética, pois seria como estudar a “história colonial com uma visão eurocêntrica”. Bayerlein propõe apreender os novos sujeitos a partir de “percepções da relação entre história e revolução para além do discurso e consenso “antitotalitário”, recusando não só o “marxismo estéril” do movimento operário, ou o “evolucionismo” das doutrinas tipo social- democrata, mas também o despotismo stalinista e sua “escola de traição”, como o designou Willi Münzenberg, tendo levado ao “apocalipse” com o descrédito de um socialismo humanista até os dias atuais<sup>3</sup>. Assim, o

<sup>3</sup> BAYERLEIN, Bernhard H.. *Der Verräter, Stalin, bist Du!* Vom Ende der internationalen Solidarität. Komintern und kommunistische Parteien im Zweiten Weltkrieg 1939-1941. Unter Mitarbeit von Natal'ja Lebedeva, Michail Narinskij und Gleb Albert. Mit einem Zeitzeugenbericht von Wolfgang Leonhard. Vorwort von Hermann Weber, Berlin, Aufbau-Verlag, 2008 (Archive des Kommunismus. Pfade des XX. Jahrhunderts. IV).

balanço dos anos de 1930 aponta para um movimento retrógrado, como foi elaborado na teoria por Joseph Weber: os socialistas esqueceram os socialistas, os comunistas esqueceram os comunistas e os anarquistas esqueceram os anarquistas. Os movimentos dissidentes e oposições de esquerda, apesar de enormes esforços demonstrados pelos arquivos, foram muitas vezes as primeiras vítimas do processo retrógrado. A título de exemplo, só no ano passado foi descoberta uma documentação dos trotskistas soviéticos escondida nas muralhas da prisão de Verkhne-Uralsk.

Com base no ideal-tipo de dominação carismática de Max Weber, o esquema esboçado pelo Professor Bayerlein não cogitou analisar uma sociedade global, mas tão somente valer-se de uma metodologia para apreender o fenômeno do comunismo. O que pressupõe o estudo da história da União Soviética e outras formas do comunismo stalinista ou pós-stalinista, no contexto de uma história transnacional, inclusive uma crítica à historiografia.

A fragmentação dos estudos, a dispersão e o silêncio dos documentos do movimento comunista internacional impediram, no passado, de se dissipar a nebulosa em torno desse objeto de estudo. A partir de 1990/91, novas fontes históricas puderam emergir possibilitando novos enfoques sobre o Comintern, o Cominform, os partidos comunistas e a propaganda soviética.

O conceito de emaranhado, como denominou o Professor Bayerlein para se referir a uma situação onde o Comintern ficou quase à distância da revisão historiográfica recente da União Soviética e do stalinismo, permitiu, por um lado, alcançar a historiografia dos partidos comunistas nacionais que constituíam o Comintern e, por outro, verificar o esgotamento dos antigos conceitos, quase artificiais, face a avalanche de novos documentos com a “revolução dos arquivos”. Desde então, uma ruptura epistemológica se impôs no que concerne: 1) ao objeto de estudos, o Comintern, o comunismo internacional e as ligações transnacionais; 2) aos novos arquivos surgem novos eixos de pesquisa, como Lisboa-Berlim-Moscou, novas fontes, como diários, correspondências, biografias; 3)

metodologicamente, o fluxo de novos documentos exigiu novas ferramentas teóricas, novos procedimentos e abordagens para uma tipologia na análise transnacional.

A alusão à peregrinação que o Professor Bayerlein faz ao caminho de Santiago de Compostela até a abertura dos arquivos de Moscou (começou a seguir o caminho do então “olho de Moscou” nos países da Europa mediterrânea, da Suíça passando pela Itália, França, Espanha, Portugal, até o Brasil), trata-se, na verdade, da extensão da influência de um império composto pelas províncias em torno do “cosmos Comintern”, ou ainda, dos seus “governing organs”. Do Leste a Oeste, a racionalidade que se impôs à rede dos partidos comunistas em escala internacional, constituindo “um sistema de condutas significativas e não só sistema de organização formal”, na melhor tradução do Professor Maurício Tragtenberg (1986, p. 188)<sup>4</sup>.

Mas, Bayerlein nos revelou o arcabouço da burocracia soviética através de quatro origens da base [de dominação] do comunismo: tipo soviético, tipo Comintern, tipo Partido Comunista e tipo de organização de massa não comunista. Em outras palavras, desde a estrutura administrativa e dos órgãos do Estado, como, entre outros, as residências secretas espalhadas pelo mundo através os serviços de informações civis e militares, até a “selva organizacional”, constituída de múltiplos órgãos, em passando por organizações paralelas de “massa”, de “simpatizantes”, “direções centrais”, mulheres, juventude, camponeses, sindicatos e os partidos comunistas, populares e simpatizantes da Internacional Comunista.

Importante observar, no entanto, metodologicamente, a organização dos arquivos e

<sup>4</sup> Em *Burocracia e Ideologia* o Professor Maurício Tragtenberg identificou a burocracia do Partido Comunista Soviético como sendo um “coletivismo burocrático” – organização hospitalar, escolar, militar que fundiram o poder político ao poder econômico no “seio da classe burocrática”. Diferentemente de Max Weber, onde a burocracia é apenas um “órgão de transmissão”, na estrutura do partido único o poder estatal não se reduz à transmissão e à execução, pois “A burocracia participando da apropriação da mais-valia, participa do sistema de dominação.”. (p.189-190).

a estrutura do Comintern. Em primeiro lugar, Professor Bayerlein aponta para os obstáculos criados com o arquivamento e a descrição dos fundos sob a égide do Partido Comunista Soviético durante o período stalinista, ao longo da Segunda Guerra Mundial e após, entre 1940 e 1950. O que tem exigido dos pesquisadores “uma verificação crítica da classificação dos arquivos”, pois há uma dificuldade metodológica para se determinar o número exato de organizações laterais, as “side organizations”, sem a possibilidade de se distinguir, por exemplo, entre as organizações nacionais e internacionais. A partir da falta de uma central única de coordenação junto ao Comitê Executivo da Internacional Comunista somente sete entre aquelas foram designadas como “Direções centrais internacionais”, como juventude, mulheres, sindicatos, cooperativas e, nos anos de 1920, foram ampliadas com as organizações esporte vermelho (sport rouge) e internacional camponesa.

Há, ainda, a dificuldade de se distinguir um fundo pessoal dos documentos comuns na classificação dos arquivos russos, dificultando a localização de outros arquivos internacionais, escola de quadros e universidades ou organizações laterais, como os fundos da Internacional da Intersindical Vermelha. Os arquivos pessoais também foram reunidos pelos partidos comunistas, seja em Moscou, seja no exterior, como os arquivos das Brigadas Internacionais com os registros dos voluntários e dos participantes da Guerra Civil espanhola.

O registro dos quadros reflete a stalinização do Comintern. Molotov, devotado a Stalin, assumiu, nos anos de 1920, o controle do Comintern na qualidade de secretário geral, quando vemos a documentação pessoal organizada de forma provisória, enquanto a documentação dos quadros (Kadersektor) foi organizada de forma sistematizada. De fato, o departamento dos quadros foi controlado, desde 1931, por um departamento especial e secreto: com 120 mil dossiês de quadros, formou-se um inventário de dados INCOMKA.

Para a estrutura e os tipos de funcionamento do Comintern, o Professor Bayerlein propôs nove grupos organizacionais e funcionais de base. Esta tipologia de base se apoia sobre a diferenciação dos órgãos executivos e operativos em órgãos dirigentes – “governing bodies”, e os aparelhos auxiliares – “auxiliary bodies”, como departamentos, representações regionais no exterior, organizações de massa ou simpatizantes, estruturas editoriais, além da formação dos partidos comunistas enquanto seções nacionais. Posteriormente, foram acrescentados ao Comintern três grupos de natureza intermediária e internacionais: brigadas internacionais na Guerra Civil espanhola, organizações de acompanhamento - “Follow up Organisations” (1943-1946) e órgãos mistos da estrutura soviética.

## IX. TORRE DE BABEL

Em a “nova Babilônia” – trabalho empírico sobre o funcionamento do Comintern, com grupos organizacionais e funcionais, foi comparada pelo Professor Bayerlein à torre, figura arquitetônica de Vladimir Tatlin, em homenagem à Internacional Comunista. A “analogia entre a arquitetura e a pesquisa é impressionante”, apesar de nunca ter sido construída, este modelo de torre que alcança até o céu, misturando-se às nuvens, reflete a estrutura do Comintern: 1) “Governing Bodies”, órgãos superiores e dirigentes; 2) “Auxiliary Bodies”, aparelho auxiliar do Comitê executivo do Comintern (departamentos, secretarias dos países, comissões; 3) “Regional Bodies and Foreign Bureaus”, órgãos, representações e escritórios regionais situadas no exterior; 4) “International Mass and Solidarity Organizations”, império multifuncional das organizações laterais, de massa e simpatizantes, como direções internacionais de luta, organizações de massa para objetivos particulares; 5) “Editorial Bodies”, sistema de edições, de imprensa e emissões do Comintern; 6) “Knowledge Bodies”, sistema de formação do Comintern, universidades, escola de quadros, cursos políticos, cursos técnicos e militares; 7) “Comintern Sections”, partidos comunistas, populares, revolucionários, seção ou organização simpatizantes; 8) “Administrative and Secret

Bodies”, administração do Comintern em Moscou e instâncias secretas; 9) “International Transmission and Connection Bodies”, departamento de relações internacionais e rede transnacional dos serviços de ligação<sup>5</sup>.

Mas, apesar do Comintern não ser uma organização de Estado nem estando fora das competências deste, enquanto rede institucional transnacional vertical e horizontal o Comintern foi ligado ao Politburo soviético. Composto por uma elite internacional comunista, como os bolcheviques eminentes, os chefes comunistas e funcionários internacionais e os dirigentes dos partidos comunistas nacionais, de responsáveis em todos os níveis, inclusive os organismos intermediários juntamente com funcionários da administração e pessoal técnico, deveria ser como o comitê central soviético.

Através o trabalho do historiador romeno-francês Georges Haupt – *Groupes dirigeants internationaux du mouvement ouvrier*, o ensaio piloto metodológico que compara as três primeiras internacionais do movimento operário, o Professor Bayerlein nos indica que aquele autor estudou os “mecanismos reais de um aparelho internacional” e suas relações de dependência – “les maillons de dépendance en son sein” (1976, p. 127-144).

No mesmo sentido observou o historiador italiano Aldo Agosti com os “Stati Maggiori”, quando classificou os grupos de governança do Comintern baseado em três categorias: 1) os delegados do Partido Comunista soviético nos órgãos centrais da internacional comunista e nas organizações

<sup>5</sup> Por que um sociólogo da Universidade de Harvard teria sido convidado pela Academia de Ciências da URSS para fazer conferências em Moscou, em 1964? Teria o Comintern constituído-se enquanto um organismo social, segundo o pensamento de Talcott Parsons? Qual estrutura funcional, quase labiríntica, refletiria a Sociologia de Parsons no sistema social da União das Repúblicas Socialistas Soviéticas? Qual “solidariedade” mantinha aquela sociedade? Uma ação organizada culturalmente, como “o modo Cultintern”, descrito por Bernhard H. Bayerlein? Para a sociologia de Talcott Parsons ver *A estrutura da ação social* (1937) e *O sistema social* (1951).

laterais; 2) os representantes de outros partidos comunistas; e, 3) os responsáveis pelos aparelhos internacionais.

Com a abertura dos arquivos, outras categorias de governing organs” foram sendo assimiladas ao Comintern, como 1) os dirigentes eminentes - Lenin, Trotsky, Zinoviev, Kamenev e Boukarine; 2) os chefes dos partidos comunistas nacionais; 3) os funcionários internacionais a serviço da Internacional Comunista, os membros mais importantes do Presidium do comitê executivo da I.C., os secretários da I.C., os responsáveis do aparelho regional em cada região geográfica determinada; 4) os membros da delegação soviética do CEIC; 5) os redatores de órgãos centrais da imprensa do Comintern e órgãos laterais; 6) os membros de outras delegações dos principais partidos comunistas junto ao comitê executivo da I. C.; 7) os funcionários e colaboradores, empregados de níveis médio e inferior; 8) o pessoal administrativo, como secretárias, tradutores, datilógrafos, mensageiros; 9) os membros dos partidos comunistas que estavam ligados ao Comintern através os estabelecimentos de ensino. Longe de ser uma tipologia de grupos de liderança, segundo o Professor Bayerlein, o reforço do aparelho do Comintern se efetuava de maneira pragmática e informal. De acordo ainda com o testemunho Humbert-Droz e Boris Souvarine, nos primeiros anos não havia grande distância entre o centro de gestão e cada aparelho. Havia uma interpenetração entre os níveis, cujo único objetivo era “quebrar o aparelho burguês de Estado” para colocar no lugar o “aparelho político proletário” (BROUÉ, 1988, p. 21).

## X. NOVO MONTE OLIMPO

Após arrolar os estudos empíricos do período de 1919 a 1943, em passando pelo processo de stalinização do Comintern nos anos de 1928 e 1929, o Professor Bayerlein atravessou as metamorfoses do comitê executivo da I.C. durante a Segunda Guerra Mundial, como a administração da direção de gestão econômica, as edições, as agências telegráficas, as emissões de rádio, a imprensa do Comintern para alcançar as novas organizações de solidariedade e periféricas, antes

de 1933. Isto significa o estudo do Comintern em Berlim na condição de “capital secreta” e de “simbiose russo-germânica”, os novos protagonismos, como o feminismo, a educação e formação na construção e decomposição das escolas e universidades, as instituições secretas e clandestinas, além dos aparelhos militares e políticos e das insurreições fracassadas: “Outubro Alemão”, em Hambourg (1923), em Berlim, Rio de Janeiro e Barcelona, nos anos de 1930.

Com a chegada de Hitler ao poder na Alemanha, em 1933, sem uma luta significativa travada pelo movimento operário “mais importante do mundo” nem pelo Partido Social-Democrata (SPD) nem pelo Partido Comunista (KPD), e do Pacto Ribbentrop-Molotov (Pacto germano-soviético), em 1939, o Professor Bayerlein fez a seguinte pergunta: “A União Soviética, de 1933 a 1941, era ela antifascista?”, respondendo “não”. Na fase seguinte, onde a palavra de ordem da “Grande guerra patriótica” era impedir a invasão alemã por todos os meios, o Comintern desapareceu sob as engrenagens ultras secretas levando consigo o segredo mais bem guardado por longo tempo: os serviços secretos soviéticos.

Uma fenomenologia do comunismo foi desenvolvida pelo Professor Bayerlein. Em primeiro lugar, com o denominado “institucionalismo histórico”, tomado emprestado da Ciência Política, e por três ideal-tipos de poder, do carismático à organização formal, emprestado da Sociologia Política e História. Em segundo lugar, enquanto ferramentas para a compreensão do universo do Comintern, sob formas de atuação e de intervenção do comunismo em nível internacional. Baseado na teoria da ação, a dupla definição do Comintern dada por Georges Orwell – várias realidades contraditórias enquanto “fraternidade universal” e um corpo de doutrinas bem definidas, “costuradas com pontos cerrados”, permitiram caracterizar os três ideal-tipos de intervenção do comunismo internacionalmente: “Polintern”, “Milintern”, e “Cultintern”.

O primeiro ideal-tipo de funcionamento do Comintern, “Polintern”, de domínio político de intervenção internacional do tipo aberto do



Comintern, do movimento e dos partidos comunistas.

O segundo ideal-tipo de atuação oculta, secreta ou dissimulada do Comintern, “Milintern”, resulta de uma atuação internacional militar, logística ou com serviços secretos envolvendo transportes ilícitos oriundos da União Soviética, do Comintern e dos partidos políticos.

O terceiro ideal-tipo “Cultintern” remete ao funcionamento ou intervenção internacional da forma cultural e educativa através os canais variados, como as escolas e universidades.

Estes domínios de atuação do Comintern permitem alcançar os níveis internacional, nacional e sub-nacional, onde cada um é regido por uma lógica própria, equipados por aparelhos-tipos, com métodos e normas, inclusive acompanhados por pessoal de perfil específico. Como exemplos, o Professor Bayerlein descreve o secretariado internacional feminino, construído em 1921, sob a tradição de Clara Zetkin da II Internacional com abertura para a luta dos direitos das mulheres, ou o ultra secreto departamento de ligações internacionais, ou, ainda, a comissão de orçamento do executivo do Comintern, cujo pessoal até hoje é desconhecido.

O novo olimpo constituído por grupos dirigentes não padronizados cedeu lugar a uma tipologia para cada nível dos aparelhos comunistas: 1) o “homem” ou o “trabalhador simples” (tipo “limitado”), que fala com voz do povo (exemplos dos Partidos Comunistas tcheco e alemão); 2) o “bobo da corte”, recrutado para solucionar questões urgentes, atividades de curta duração, ou o “trabalho sujo” (exemplo Karl Radek do Partido Comunista da União Soviética e do Comintern); 3) o “calculista frio”, como Molotov no interior do PCUS, ou “burro de carga”, como Bukharin, do PCUS, Palmiro Togliatti, do PCI, e Philipp Dengel, do KPD; 4) o “tradutor”, aquele que fazia funcionar a Internacional Comunista, sob Stalin, através de instruções e palavras ou expressões não ditas para todos os partidos comunistas do mundo; 5) formado por trabalhadores políticos - os *Politrabotniki* dos aparelhos dos partidos, dos soviéticos e dos sindicatos em oposição os

quadros; 6) o último grupo desta tipologia antropológica dos grupos sob o stalinismo não tem uma definição clara. São os “outsider” que, em geral, identificam-se enquanto intelectuais avulsos na medida que não fazem parte da direção, mas ligados de forma especial aos partidos comunistas e o Comintern. Caso de Henri Barbusse, Leon Feuchtwanger, Heinrich Mann e Willi Münzenberg, e outros propagandistas.

Antes de concluirmos o percurso do diálogo crítico do professor Bayerlein convém aproximar alguns conceitos, como o comunismo e o nacionalismo. Se o nacionalismo foi uma invenção do século XIX contra a unidade europeia, contra o internacionalismo do movimento operário e contra o bolchevismo após a Revolução de Outubro, em meados do século XX tanto o comunismo quanto o nacionalismo foram amalgamados em consequência da stalinização da URSS e do movimento comunista internacional. Pode-se mesmo ver uma transmutação do comunismo, cujo viés nacionalista produziu diferentes etapas de “nacionalização”.

Como apreender as contradições dos movimentos comunistas, além das idiosincrasias diacrônicas assim como as situações sincrônicas se consideramos as diferenças históricas e geográficas das elites locais radicalizadas? Um novo campo historiográfico foi descoberto, cujas categorias weberianas do ideal-tipo são empregadas por Bayerlein visando produzir uma heurística própria para o objeto de estudo a que se propôs.

Nascido em 6 de fevereiro de 1949, em Wiesbaden, na margem direita do Reno, o Professor Bernhard H. Bayerlein formou-se em História, Filosofia e Línguas Romanas e Cultura na Universidade de Mainz, na outra margem, à esquerda do Reno, além dos estudos nas Universidades de Heidelberg, Bochum e Coimbra.

Estudioso dos temas sobre os Arquivos, a Internacional Comunista – do leninismo ao stalinismo, o Socorro operário internacional, o Comintern e a Liga anti-imperialista, além da tradição do movimento europeu, sob o ponto de vista dos progressistas de esquerda e



revolucionários, na emigração e internamento, como contraponto aos estudos das personalidades políticas – liberais-burgueses e conservadores.

No último projeto, o Professor Bayerlein estudou, através o jornal parisiense “Die Zukunft”, a dissidência como força motora representada por Willi Münzenberg, cujo objetivo era uma Europa unida, democraticamente federada, a ser implementada contra Hitler e Stalin, baseada na União Franco-Alemã, antes de 1939.

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# Leadership as a Trigger for Employee Commitment to Enhance Organization Performance in Era of Pandemic

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## ABSTRACT

In a marketplace of high competition due to globalization and growth of technology, human resources are becoming of tremendous significance for organizations. More emphasis on the development of human resources are crucial for the success of any company. Organizations are making efforts to gain employees' commitment as a gate to more differentiation and increased productivity. In a volatile market as a result of COVID 19, commitment is a slogan for most companies to gain competitive edge. In this paper, commitment will be highlighted and the correlation to productivity is studied. Hundred responses were received where 86 were considered valid. Results showed that commitment will enhance employees' satisfaction and thus performance is increased. Nonetheless, this relation is dependent on the leadership guidance as an umbrella of this relation.

**Keywords:** employee commitment, productivity, employee satisfaction, leadership, pandemic, covid 19.

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# Leadership as a Trigger for Employee Commitment to Enhance Organization Performance in Era of Pandemic

Dr. Badia Srour,<sup>α</sup> Dr. Ahmad El Zein<sup>σ</sup> & Dr. Chukri El Akhras<sup>ρ</sup>

## ABSTRACT

*In a marketplace of high competition due to globalization and growth of technology, human resources are becoming of tremendous significance for organizations. More emphasis on the development of human resources are crucial for the success of any company. Organizations are making efforts to gain employees' commitment as a gate to more differentiation and increased productivity. In a volatile market as a result of COVID 19, commitment is a slogan for most companies to gain competitive edge. In this paper, commitment will be highlighted and the correlation to productivity is studied. Hundred responses were received where 86 were considered valid. Results showed that commitment will enhance employees' satisfaction and thus performance is increased. Nonetheless, this relation is dependent on the leadership guidance as an umbrella of this relation.*

**Keywords:** employee commitment, productivity, employee satisfaction, leadership, pandemic, covid 19.

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## I. INTRODUCTION

Unquestionably, companies are treasuring commitment among their personnel as it is believed that commitment will result in better performance of employees and thus increased productivity. However, this relation is moderated by employee satisfaction as a direct consequence of employee commitment. Lo, Ramayah and Min (2009) believes that commitment is important and this is a key to decrease withdrawal actions

and more willingness to accept change as committed employees are satisfied personnel. It is imperative to know how to develop the sense of commitment among employees especially after the spread of COVID 19 and the change in the behavior of organizations and this change entails support of all employees in the hierarchical structure. To compete, companies are required to decrease the turnover rate which is an outcome of employee satisfaction.

Tumwesigye (2010) assures that performance of employees plays a vital role in determining the success of organizations. Ajila and Awonusi (2004) concluded that one of the antecedent factors of employees' performance is believed to be employee commitment. Leaders should know how to extract the best of employees and motivate them to perform at their best. In the last two years, COVID 19 forced a new leadership style around the world and commitment was visualizes as a very vital source (EL Zein & Srour, 2021). Additionally, employees commitment linked to performance also was linked to the ability of organizations to adapt in a changing environment but this correlation is increased tremendously with leadership guidance (EL Zein & Srour, 2021).

## II. LITERATURE REVIEW

Working in a corporation today is seen as complicated as it simply demands advanced problem- solving skills to face conflict and reach consensus. This fact is perceived by some fresh entrepreneurs as overwhelming, yet it's an absolute idea to many tycoons currently. For instance, if we examine the case of the majority of organizations, we so much scrutinize what happens between team members where either

group think occurs or conflict creates a burden to development and productivity. Why? This is simply a common feature in the human nature as such interactions involve too much conformity or too much rebellion. However, these interactions should shape the outcomes of the work done, the goals that are set, and the decisions that are made.

Many studies criticize organizations, including governmental ones and non-profit organizations, for relying on management rather than leadership. Over-managed companies strive to make required developments that are made in a slow pace, and therefore, these companies have less accomplishments than their potential. Employees, in such establishments with poor leadership skills, do not have an optimistic view towards the company. In an atmosphere of mistrust, workers discover that managers can behave in a difficult manner, or that they don't seem to contribute to the establishment's wellbeing. This type of poor management paves the way to lack of motivation, which if left to last for long, will lead to a defected establishment. Such organizations have to confront the realistic consequences of changes, but above all, it has to operate with the pressure of unmotivated workers that have no confidence in the mechanism or the manager's capacity to develop the company.

Such type of critique only shows how important true leadership is. While every company states its interest in being more efficient and hence successful, that is unlikely to happen without true leadership. All different leaders in managerial positions such as authorized governmental representatives, department managers, board supervisors, and all other workers would have to play active parts, both in their organization and with partners and investors, in facilitating, networking, and establishing connections. For an organization to achieve distinction, the head leaders will have to achieve their tasks perfectly, especially the tasks that relates to developing and maintaining the organization's core competencies. These are the requirements that enables a learning establishment to attain its image, reputation, and trust. Leaders as change agents are responsible for developing organizations to

reach their goals and commitment is one of the triggers of organizational success.

### III. EMPLOYEE COMMITMENT

According to Lumley et al. (2011), significant concern was pulled in to estimate the level of organizational commitment by understanding the level of dedication a worker has to the organization. Meyer and Allen (1997) linked organizational commitment to how deep an employee identifies with the institution itself and how much he is willing to contribute to its achievements. Another association is made by Fuller et al. (2006) where the sense of belonging is linked to organizational commitment which will generate satisfaction. Similarly, conferred, organizational health is dependent on the organizational commitment and dedication (Grego-Planer, 2019) and satisfaction as a moderator. A solid positive relationship among institutional dedication and organizational efficiency, proficiency, satisfaction and productivity is established by several researchers (Meyer & Herscovitch, 2001). Thus, personal and institutional efficiency can be affected by the organizational commitment. Lots of scholars and researchers have attempted to establish a hypothetical system for understanding organizational commitment and to contribute for maintaining organizational commitment for a longer period. Newstrom and Davis (2002), through investigating organizational conduct in individuals and groups, proposed that institutional commitment can be evaluated through the desire and readiness of the institution's members to work for the institution. Other factors also affect workers' dedication such as the image of the institution and the care and support an institution projects to its workers (El Zein, Aridi, 2018). Hence, employees who had worked with an institution for a longer period of time are considered more dedicated since it's linked to their experience and successes they had with that institution (Beheshtifar & Herat, 2013). Organizations which value its staff members are proven to have dedicated employees who show eagerness in doing more than their assigned tasks and more satisfied in performing their tasks. Briefly, organizational commitment is evaluated



through the degree of devotion an employee has and his eagerness to remain working with the organization (Saha & Kumar, 2018).

The modern advancement and recent technology, alongside innovative approaches and global rivalry had imposed changes on the workplace, and thus, managers started to understand that an institution's advantages are found in its intangible assets such as the expertise and competencies of their employees. Nowadays, employees are accomplished, well-educated, and waiting for enablement and empowerment. The study by Neininger et al. (2010) showed that organizational commitment is directly related to the work results and through it we can forecast the worker's dedication, satisfaction, worker turnover, and performance, in addition to organizational and career outcomes. Gellatly (1995) showed an adverse connection between the absence of the employees and organizational commitment, and it proposed that when the employee is more dedicated, the likelihood of his absence decreases (Grego-Planer, 2019) and thus employee turnover decreases (Neininger et al., 2010).

#### IV. ORGANIZATION PERFORMANCE

It is essential to find what stimulates and influences organizational commitment and employee satisfaction. So what drives an employee's behavior? And how can those in leadership positions contribute to workers' long term commitment? Every organization should take these questions into consideration in order to enhance the organizational achievements and accomplishments. Hellriegel, Slocum and Woodman (2001), in their study, discovered that causes of commitment aren't exclusive, and that establishing organizational commitment isn't simple because employees have various and complex prospects and principles. In addition, degrees of organizational commitment of workers is subjected to fluctuate with time. The attitude and behavior of an employee, along with their prospects and practices, constitute the preliminary form of organizational commitment. Organizational commitment is also influenced by individual attributes, hierarchy, and organizational attributes. Employees' age, gender,

and educational attainment are examples of individual traits that contributes to the degree of commitment to an organization (Meyer & Allen, 1997). Researchers such as Buchanan (1974) and Beheshtifar and Herat (2013) proposed that having an organization that cares about its employees can affect the latter's behavior to the organizational results and thus can positively affect institutional commitment. Researchers, such as Buchanan (1974) and Mowday et al. (1982), also confirmed the positive effects of social networks and close interactions in the workplace on the employees' commitment to an organization. Financial reimbursement can also be an influencing factor to organizational commitment, but in modern work climates having good financial resources is not enough (Nelson, 1996). In modern work environments, workers want to be more involved in decision making and have a sense of value to grow their networks and grow their personal skills and it all plays a part in influencing organizational commitment.

Scholars ensures that employee commitment outcomes in companies in a number of ways such as decreased absenteeism and lower turnover rate which are the foundations for increased performance (Udu & Ameh, 2016).

#### V. METHODOLOGY

##### 5.1 Sample

This study is carried out in Lebanon, with a particular focus on young employees. Data is collected using random sampling for a total of 100 questionnaires received, with 86 of the 100 questionnaires valid. The 14 unreturned questionnaires were excluded from this analysis.

##### 5.2 Measure

The data is obtained by sending a standardized questionnaire, composed of four parts. The first part measures the independent variable which includes the employees' commitment. This section contains questions about the impact of leaving their jobs on their lives, such as: The employees' obligation to remain in their organization; the scarcity of employment alternatives; the employees' loyalty to their organizations; their

sense of obligation to the people in it; their sense of “belonging” to their organizations; and the timing for leaving the organization.

The second part measures the independent variable that includes the employees’ Satisfaction which contains questions about: Satisfaction with having work-related responsibilities; Tasks are important for the institution; Satisfaction with the physical conditions; Chances to have access to opportunities in the department; Distribution of workload among employees in the department; Clarity of job description; Satisfaction the style of supervisors; Satisfaction with the cooperation between colleagues in the department; and Satisfaction of rewards and appreciations, resulting from performing well.

The third part measures the dependent variable that includes the organization performance, which contains questions about: Continuing their career in the same organization; Understanding the criteria of performance review in their organization; The ability to resolve unexpected schedules on time; Ability to carry out assigned duties effectively and efficiently; Maintaining good records of attendance in their organization; and Appropriateness of the organization atmosphere and work pressure for the employees to deliver good performance.

The fourth part measures the dependent variable that includes leadership to enhance performance in era of pandemic, which contains questions about: Motivation at the work place; Satisfaction with the amount of communication received from the organization leaders; Authority given by the leaders of the organization to make decisions to complete the job duties; Leaders fostering organization wide collaboration; Freedom given by supervisors to solve problems; Supervisors

believe employees need to be supervised closely they are not likely to do their work; and Sense of security about the work.

Employee satisfaction is measured by 9 questions, employee commitment is measured by 8 questions, employee performance is measured by 7 questions, and leadership to enhance performance in era of pandemic is measured by 9 questions.

The above variables are assessed by asking respondents to rate their agreement or disagreement with a series of statements describing leadership to enhance performance in era of pandemic, employees’ commitment, employees’ performance, and employees’ satisfaction on a five-point Likert-type scale ranging from "1 = strongly disagree" to "5 = strongly agree".

## VI. DATA ANALYSIS

The data is analyzed statistically. Various statistical approaches are utilized to interpret the findings of the data acquired. Prior to statistical analysis, the missing values were also checked. In this investigation, the sample size to variable number ratio is 30:1. The survey contains 87 questionnaires in total. The dependent and independent variables are then factored in the following phase, as indicated in table 1. Cronbach's alpha is utilized to determine the internal consistency of each variable in the study. There is a high level of internal consistency in this study, since the value for each variable is 0.865 larger than 0.7. In table 2, the KMO value is determined to be 0.798 more than 0.5. The Bartley significance test is also used, and the value for each variable is less than 0.5. The extracted total variance test is more than 60%.

*Table 1:* Reliability Test

Reliability Statistics		
Cronbach's Alpha	Cronbach's Alpha Based on Standardized Items	N of Items
.854	.865	4

Table 2: KMO and Bartlett's test

KMO and Bartlett's Test <sup>a</sup>		
Kaiser-Meyer-Olkin Measure of Sampling Adequacy.		.798
Bartlett's Test of Sphericity	Approx. Chi-Square	167.624
	df	6
	Sig.	.000
a. Based on correlations		

Total Variance Explained				
	Component	Initial Eigenvalues <sup>a</sup>		
		Total	% of Variance	Cumulative %
Raw	1	88.098	70.548	70.548
	2	18.417	14.748	85.296
	3	12.959	10.377	95.673
	4	5.403	4.327	100.000
Rescaled	1	88.098	70.548	70.548
	2	18.417	14.748	85.296
	3	12.959	10.377	95.673
	4	5.403	4.327	100.000

*Extraction Method:* Principal Component Analysis. a. When analyzing a covariance matrix, the initial eigenvalues are the same across the raw and rescaled solution.

Following that, the simple correlation and regression tests are used. The correlation test is used to analyze the strength and direction of the relationship, as shown in table 3, which demonstrates a relatively good positive relationship between employee commitment and employee satisfaction, organizational performance, and leadership to improve performance in the face of a pandemic. Also, a good positive relationship between employee satisfaction and employee commitment, employee performance and leadership to enhance performance in era of pandemic. As well as a good positive relationship between organization performance and each of employee commitment, employees' satisfaction and leadership to enhance performance in era of pandemic. Finally, a good positive relationship between leadership to enhance performance in era of pandemic and each of employee commitment, employees' satisfaction, and organization performance. The values are

statistically significant at 0.05 level of significance.

The sample correlation coefficient between the response variable and the predictor variables is explained in table 4 were  $R = 0.707$ . For this model the level of variation in the response variable (organization performance) is 70.7% which is explained by leadership to enhance performance in era of pandemic and employee satisfaction and employee commitment, employee performance.

*Table 3: Correlation Test*

Correlations					
		Employee Commitment	Employees Satisfaction	Organization Performance	Leadership to Enhance performance in era of Pandemic
Employee Commitment	Pearson Correlation	1	.578**	.654**	.455**
	Sig. (2-tailed)		.000	.000	.000
	N	87	87	87	87
Employees Satisfaction	Pearson Correlation	.578**	1	.710**	.610**
	Sig. (2-tailed)	.000		.000	.000
	N	87	87	87	87
Organization Performance	Pearson Correlation	.654**	.710**	1	.684**
	Sig. (2-tailed)	.000	.000		.000
	N	87	87	87	87
Leadership to Enhance performance in era of Pandemic	Pearson Correlation	.455**	.610**	.684**	1
	Sig. (2-tailed)	.000	.000	.000	
	N	87	87	87	87

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

*Table 4: Regression Test*

Model Summary									
Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.707 <sup>a</sup>	.500	.482	4.16104	.500	27.706	3	83	.000

a. Predictors: (Constant), Organization Performance , Employee Commitment , Employees Satisfaction

Table 5 shows the P-value (Sig), which is = 0.00, a very small number smaller than the predetermined significance level,  $\alpha = 0.05$ . Therefore, the test results are statistically significant, which corresponds to a significance level of 5%. This result proves that the Predictor variables make a significant contribution to predicting the response variable. The table shows that the predictor variables: leadership to improve performance in the age of the pandemic, employee satisfaction and employee engagement, employee performance make a significant

contribution to the model as its p-values is less than 0.05, the standard significance level.

Table 5: ANOVA Test

ANOVA <sup>a</sup>						
Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	1439.145	3	479.715	27.706	.000 <sup>b</sup>
	Residual	1437.085	83	17.314		
	Total	2876.230	86			
a. Dependent Variable: Leadership to Enhance performance in era of Pandemic						
b. Predictors: (Constant), Organization Performance, Employee Commitment, Employees Satisfaction						

## VII. CONCLUSION

Leaders with a considerate style demonstrate a high degree of empathy and understanding for others. Such leaders will search for and consider recommendations, consultation with workers on crucial topics in advance, and evaluate the work instead of the workers. A leader who is focused on the beginning of the structural style must stress the well specified objectives and priorities, be able to incorporate his ideas effectively, delegate roles and tasks to others, and closely track their actions. This leader should also sets demanding levels of success, demands adherence to standards, and fosters competitiveness between workers. Both styles are strong determinants of the actions of a leader, as a style indicates the leader's propensity to behave. In various sort of incidents, such as variations in job types and/or employees, each style has been proved successful. In units of specialists and innovative workers, such as R&D units or tasks classes, for instance, consideration style tends to fit well.

On the other hand, it would be beneficial to implement activities where comprehensive supervision, teamwork, tracking and demand for performance are needed (Yukl, 1981). Yet, while studies have pointed out a positive connection between commitment, satisfaction and performance (Giffords, 2009), outcomes are more definite when it comes to the performance effect of a leader's task-oriented conduct (Yukl, 1998). This study proved with strong correlation that employee commitment moderated with

satisfaction will outcome in enhanced performance. In addition, as a consequence of this study, leadership will trigger positively this relation.

Finally, leadership is one of the primary drivers of business efficiency enhancement (El Zein & Srour, 2021). Leaders, the primary decision-makers, establish when corporate tools are acquired, developed and deployed, how they are turned into useful goods and services and how they value organizational stakeholders. They are also strong sources of revenue and therefore a sustainable competitive advantage (Avolio, 1999).

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# Transition in Education: Perspectives on Girls' Drop-Out Rates in Secondary Schools in Kenya

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## ABSTRACT

Sustainable Development Goal number 4 aims at ensuring inclusivity and equitable quality education that promote lifelong learning opportunities for all. However, girls' dropout rate in developing countries has become a contemporary issue. Kenya has adopted international legal instruments on equal and quality education for both boys and girls. But data obtained from the ministry of education indicates that girls' drop-out rates in secondary schools are higher than boys' drop-out rates. This paper therefore, examined the extent to which parental economic status, early marriages, and school environment influence girls' drop-out rates in secondary schools. The study adopted a mixed method approach.

**Keywords:** drop-out rate, economic status, early marriage, environment.

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# Transition in Education: Perspectives on Girls' Drop-Out Rates in Secondary Schools in Kenya

Caleb Imbova Mackatiani<sup>a</sup>, Navin Imbova Mackatiani<sup>o</sup> & Monica Atieno Owino<sup>o</sup>

## ABSTRACT

*Sustainable Development Goal number 4 aims at ensuring inclusivity and equitable quality education that promote lifelong learning opportunities for all. However, girls' dropout rate in developing countries has become a contemporary issue. Kenya has adopted international legal instruments on equal and quality education for both boys and girls. But data obtained from the ministry of education indicates that girls' drop-out rates in secondary schools are higher than boys' drop-out rates. This paper therefore, examined the extent to which parental economic status, early marriages, and school environment influence girls' drop-out rates in secondary schools. The study adopted a mixed method approach. The study findings might be significant to Kenya and Africa south of Sahara. Regression analysis showed that economic status, early marriages, and school environment influence girls' drop-out rate by 46.6 percent. The study recommended that the Ministry of Education enhances a policy to redress girls' drop-out rates in secondary schools.*

**Keywords:** drop-out rate, economic status, early marriage, environment.

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**Objectives of the study:** The following objectives guided this study:

To examine the influence of parental economic status on girl child drop-out rate in secondary schools.

To assess the impact of early marriages on girl child drop-out rate in secondary schools.

To investigate the influence of school environment on girl child drop-out rate in secondary schools.

## *Hypothesis of the study*

*Ho:* Economic status, early marriage, and school environment do not significantly influence girls' drop-out rates in secondary schools.

## I. INTRODUCTION

Education is the backbone of the economic development of any society. Instruction ensures the realization of this aspiration. Subsequently, international legal instruments (EFA, MDGs, SDGs, and UNCRC) provide equal and quality education for both boys and girls. According to Freudenberg (2007), there are three categories of reasons why students drop out of school. The types include family, which is characterized by economic strength to support education. The second category is the community in which one has peers' influence on drop-out rates. The third category is the school environment category, which accounts for learning resources and the school culture in the teaching process. Besides, other factors include pregnancy, substance abuse, and early marriages. However, the drop-out rate of girls is high. According to Hunt (2008), girls' global enrollment rate (GER) was 83.1%. Despite this, Birdsall (2005) indicates a low rate of school completion because of most of the students' drop-out due to repetition, early marriages, and Poverty. According to Statistics Canada (2017), the rate of drop-outs in Canada stood at 14 percent in 2016. Besides, NCES (2019) indicated that the U.S.'s overall status drop-out rate stands at 5.4 percent. Despite the low drop-out rate in the U.S., children from minority groups of African Americans and Hispanics drop out of school at

higher rates. Borat (2003) attributed the drop-out in the U.S. to the marginal culture and lifestyle. Also, UNESCO (2011) revealed that student academic achievement is closely connected to the family's income. The findings are consistent with Bledsoe (2002), who contended that 30 % of high school students in the U.S. leave school prematurely due to the cultural and economic life of the country. Birdsall et al. (2005) attributed the drop-out rates in Latin American countries to repetition and Poverty. This is an indication that both developed and developing countries experience student drop-out rates.

Kenya, like any other country from sub-Saharan Africa, faces the problem of wastage in education. Although wastage exists in the education system, it is higher among girls than boys. Central Bureau of Statistics (CBS) revealed that the drop-out of students in the age group between 15 and 18 years was 41% (CBS, 2002). Also, GOK (2014) demonstrated that many girls didn't remain in secondary education (57.6% for girls in Siaya and 23.2% for girls in Nairobi). School drop-out results from a series of factors and beliefs. These factors and opinions range from the individual student, family, social group, socio-cultural factors, and school environment. A study conducted by ActionAid (2018) revealed that school environment, religion, the economic strength of families, insecurity, and broken family led to drop out of girls in eight counties of Baringo, West Pokot, Migori, Garissa, Kajiado, Embu, Taita Taveta and Isiolo. Therefore, this study investigated the influence of parental economic status, early marriages, and school environment on girls' drop-out rates in secondary schools in Kenya.

## II. PARENTAL ECONOMIC STATUS

Parents' economic status incorporates family income that is used to meet the costs of internet connection, extra lessons, transport, meals, uniform, and instructional materials in secondary school education. Experts consider education as the economic pillar of any country. In light of this, Bledsoe (2002) notes that in every society, education is an asset in the form of investment. Subsequently, parents make independent choices

about education. Economic status, therefore, is a crucial factor in decision making on who would be taken to school and the duration to take. Before such decisions are made, families consider their priorities in line with the socio-economic family's status. According to Mackatiani and Makatiani (2020), Socio-economic parents' socio-economic status influences learners' involvement in academic achievement in schools. Also, the Organization for Economic Co-operation and Development (OECD), noted that academic achievement at school is related to the socio-economic environment in which students are raised (Kean & Tsai, 2008). Also, Kose (2011) observed that the family's economic characteristics determine students' academic attainment. Subsequently, Poverty is the most outstanding issue that families face and results in girls dropping out of school. As a result, low-income communities have barriers that affect the pursuance of education. Due to financial instability, they don't access nutritious meals, resources, and school education support.

Parental investment for their children's well-being is, therefore, gender-biased. Leung and Zhang (2008) noted that parents prefer sons to daughters due to their sons' placement to take care of their parents in the future. This bias is evident when parents have limited resources. It, therefore, results in girls leaving school. The high rate of absenteeism and drop-outs is among children who hail from families of low economic status. Basing on census reports of the United States (U.S.) for the year 2011, 8 percent of the American girls of African origin dropped out of school. Brown and Park (2002) noted that parents' incapability to pay school fees led to girls' drop-out of 47% in China. Shovan Ghosh Susmita & Sengupta (2012) observe that in low households in India, girls' costs are likely higher and lead to their drop-out from schools.

UNESCO (2015) attributes the problem of drop-out rates in sub-Saharan Africa to poor communities, where barriers such as distance and entrance requirements or exit examinations are often binding. The findings correlate UNESCO (2006b), which noted that children from poor households in Kenya, Mali, Malawi, Democratic

Republic of Congo, and Uganda were less likely to be enrolled and stay in schools due to school fees, textbooks, school uniforms. Similarly, Al-Fadhli and Kersen (2010) link secondary school students' drop-out to parents' economic factors in Nigeria. Also, Okumu et al. (2008) revealed that parents' socio-economic status in Uganda significantly influences school drop-out for boys and girls.

Studies conducted in Kenya (Okumu, 2005) reveal that Poverty is the root of girls' high drop-out rates in schools of girls. This is an indication that the impact of the economy on education is great. In effect, governments that allocate a small share of gross domestic product (GDP) on education would experience high drop-out rates of girls. However, although the allocation of GDP on education is low, families' socio-economic status is crucial in the girl child drop-out rate. When resources are scarce in a family, chances of venturing and investing in education becomes a great challenge to them. Because of financial constraints, there is dictation on who should be educated, and in most cases, boys are preferred to girls. This scenario shows that the benefit brought about by educating a girl child has less effect on the family than that of the boy child (Onyango, 2003). UNESCO (2006b) noted that children from poor households in Kenya were less likely to be enrolled and stay in schools due to economic and school environment problems. Besides, teenage pregnancies and early marriages have negatively affected enrollment of girls in a secondary school in Kenya (KNBS 2014)

### III. EARLY MARRIAGES

Save the Children (2005) indicates that cultural norms and beliefs constrain girls' education, especially in many developing parts of the world. The cultural norms and beliefs are rampant in African societies. In these societies, traditional values and religious beliefs constrain girls from making their own decisions and expressing their own opinions. The societies prefer early marriages as opposed to schooling. Various studies (Birdsall, 2005; Bhorat, 2003; Bledsoe, 2002; UNESCO, 20011) indicate that teenage pregnancies and early marriages contribute to girls' drop-out rates in schools. This is because early marriage and

pregnancy can be both the cause of dropping out of school (UNESCO, 2017). Although early pregnancy and marriage are crucial in girl child school drop-out, the combined are not comparable. Though early marriage is linked to school drop-out, there is no direct link to the drop out since girls may drop out of school due to pregnancy Studies conducted by Kruger et al (2009) found out that in Chile pregnancy reduced girls' high school completion rates by up to 37 percent. This is consistent with Almeida and Aquilo (2009), who noted that 37 percent of girls leave left school due to pregnancy and early marriage in Brazil.

Studies conducted in Sub-Saharan Africa link early pregnancy to school drop-out. Despite this, some sub-Saharan countries have laws that exclude pregnant and married students from school (Human Rights Watch, 2018). Besides, Lloyd and Mensch (2006) note that in Francophone Africa, early marriage and pregnancy together were behind up to 20 percent of school drop-outs amongst girls. A quarter of secondary school drop-outs among girls in Uganda is attributed to early marriage (Watson et al., 2018). Also, Uche (2013) noted that in Bayelsa state, Nigeria, 74 percent of girls drop out of school due to early marriages. Studies conducted in sub-Saharan African countries reveal there are policies that both encourage and discourage the reentry of teenage mothers in schools. Martinez and Odhiambo (2018) showed policies that exclude pregnant and adolescent mothers from schools.

Teenage pregnancy and early marriage are prevalent problems in Kenya. They cause girls to drop out of school before completing the education cycle. They have negatively affected the enrollment of girls in secondary schools. According to KNBS (2014), 11% of women in the age bracket of 15-19 are in marriage life. Girls in this age bracket are supposed to be in secondary schools. Early marriage is, therefore, a crucial cause for many girls' dropping out of school. Early marriage and early pregnancy are too prevailing in Kenyan rural areas, especially those tribes with preserved traditions. Psaki (2012) link child marriage and adolescent pregnancy to high



drop-out rates in Kenya. Research conducted in Nairobi slums revealed that 14 percent of schoolgirls had dropped out due to marriages (Elrukar and Mathekar, 2007). A study conducted in the Nandi North sub-county of Kenya by Morara and Chemwei (2013) indicated that teenage pregnancy and early marriages contributed to the drop-out rates among girls in schools. This has led to Women Lobby Groups protecting the girl child from being married off and encouraging girl education.

#### IV. SCHOOL ENVIRONMENT

The school environment is crucial for the retention of students in schools. The poor school environment has been identified as a barrier to completion rates in secondary schools. Subsequently, school infrastructure has played a role in the influence of drop-out rates of students in schools. There are internal efficiency indicators in secondary schools that promote drop-out rates. As a result, Mackatiani et al. (2020) revealed that efficiency had infiltrated schools due to adequate resources' unavailability. Despite this, various researchers (Tavakolian & Howel, 2012; Mackatiani et al, 2018; Makatiani and Makatiani, 2020; Makatiani, 2017; and Mackatiani et al, 2017) have linked internal efficiencies to instructional methodologies, qualified teachers, increased teacher support, reduced class sizes, and school/parent relationships. In light of this, Coyle (2009) noted that drop-out occurs as a result of not passing an examination or a series of examinations. Learners, therefore, drop out of school for being forced to repeat classes. Besides, Ananga (2011) noted that teachers' attitudes while socializing students influence the drop-out rate. Also, Molteno et al. (2000) pointed out that the availability of resources such as textbooks, desks, and blackboards influences students' drop-out rates. Imbova M. et al, (2018), correlate the findings when they revealed that learning and teaching resources contribute to 9.4 percent of completion rates in secondary schools. This implies that inadequate learning and teaching resources influence girls' drop-out rates. Most learning institutions are in short supply of classrooms, facilities, and learning materials. UNICEF (2006) has pinned the dropping out of

girls from schools to inadequate sanitation facilities.

Studies conducted in Sub-Saharan Africa indicate that learning environments are uncomfortable due to the low economic development level and Poverty. Kabesiime (2007), while surveying Uganda, noted that the teacher's attitude towards girls in the classroom was crucial for girls' retention. In light of this, teachers who are keen on encouraging the participation of girls in school increased their completion rates. Besides, teachers' teaching practice and behavior contribute to pupils' decision to drop out of school. In light of this, Smith (2003) noted in Zimbabwe's Southern Province teachers did not prepare lessons, lacked schemes of work, and left pupils' assignments unmarked. Such classroom practices had severe implications for retention.

In Kenya, a few studies on the quality of education have examined initial enrollment and retention. Most of the studies focus on the development of learning competencies. There are three aspects of the educational process in the school environment. The elements include time to learn, material inputs, and effective teaching. According to EFA (2009), Kenya has a drop-out rate of 13 percent drop out of school at any given time due to a poor learning environment. In light of this, GOK (2004) revealed that there were inadequate physical facilities in schools. The strained physical facilities have contributed to inefficiency in schools. Besides, Mackatiani et al. (2018) note that inefficiency has infiltrated Kenyan schools due to teacher-centered approaches. This implies that the methods contribute to school drop-out since the strategies used are not learner-centered. MOEST (2006) also noted that there were inadequate physical facilities for girls in ASAL and rural areas that negatively impacted learners' achievement. The school environmental aspects ranging from physical facilities, instructional materials, approaches to teachers attitudes contribute to girls dropping out of schools

#### V. STATEMENT OF THE PROBLEM

Girl child education plays a significant role in society by providing explicit knowledge on

promoting fairness, equity, and distribution of resources among society's citizens. Subsequently, Girl child education is essential for the improvement of the levels of literacy in society. The Education for All (EFA), Millennium Development Goals (MDGs), Sustainable Development Goals (SDGs), and the Constitution of Kenya (CoK) provide for accessibility of quality basic education to both boys and girls. Despite qualitative education in both local and international legal instruments, the girls' drop-out rates in secondary schools have continued to rise. It is in this context that the study investigated factors influencing girls' drop-out rates in secondary schools in Kenya.

## VI. SIGNIFICANCE OF THE STUDY

The study might be significant to the government of Kenya and sub-Saharan Africa. Policymakers would use the study findings to formulate educational policies to redress school drop out of girls from secondary schools. The study might also be significant to school administrators and the entire education stakeholders as it identifies significant causes of drop-out of girls from secondary schools. The study is significant to comparative and international education since it provides data on girl drop-out rates in secondary schools. The study might also contribute to the literature on girl drop-out rates and would be of value to scholars and researchers.

## VII. THEORETICAL FRAMEWORK

The Behaviourism theory guided this study. According to psychologists, this theory of learning is acquired through conditioning. The conditioning occurs through environmental interaction. It is our responses to the environment that shape our actions. As advanced by John Watson (1913), behaviorist theory was significant for this study because it focused on external and outward behaviors. The approach focused on conditioning and behavior modification of various economic, cultural, and environmental norms that modify female behavior, influencing educational transition. These economic, cultural, and ecological norms stressed are physical responses that provided the internal actions contributing to

girl transition rates in schools. This theory is relevant to the study because it incorporates the variables necessary to understand why girls' drop-out rates are higher than boys'.

## VIII. RESEARCH METHODOLOGY

A mixed-method approach was adopted for the study. The descriptive survey research design was used for this study because the study involved a description of the respondents' behaviors or attitudes. The target population for this study was 75000. The target population included headteachers, teachers, parents, and students from secondary schools in Migori County, Kenya. The sample size was derived from the target population of 75000. According to Check Market (2020), a sample size of 640 is an appropriate representation of the target population of 75000. Subsequently, 30 head teachers, 60 teachers, 400 students, and 150 parents were sampled. The total sample size was 640. This conformed to a confidence interval of 0.05, a confidence level of 99 percent (Z-score of 2.576), and a standard deviation of 0.5. The researcher estimated reliability by using Cronbach's Alpha Coefficient using Statistical Package for Social Sciences (SPSS) version 19.0. The data was collected using questionnaires. Four sets of questionnaires were used; one questionnaire for headteachers, one for teachers, one for students, and another for parents. Data analysis involved organizing, summarizing, and synthesizing data to provide necessary information for description. Regression analysis was used to test the hypothesis of the study.

## IX. RESULTS AND DISCUSSIONS

This study aimed to establish factors contributing to drop-out rates of girls in secondary schools in Kenya. The findings were grouped according to the categories under which the respondents in the study area participated. The responses were summarized and compiled in frequencies and converted to percentages. The data were analyzed using descriptive statistics. Therefore, the study presented findings following the respondents' issues and views: teachers, students, and headteachers, and parents. The following

objectives guided the study: To examine the influence of parental economic status on girl child drop-out rate in secondary schools; to assess the impact of early marriages on girl child drop-out rate in secondary schools and to investigate the influence of school environment on girl child drop-out rate in secondary schools.

The study, therefore, sought headteachers, teachers', and parents' perceptions on the influence of parental economic status on drop-out rates of girls in secondary schools. The findings were captured in Table 6.1

**Table 1:** Perceptions of headteachers, teachers, and parents on the influence of parental economic status towards drop-out rates of girls in secondary schools

Rating	Head teachers		Teachers		Parents		Students	
	n	%	n	%		%	n	%
Strongly disagree	0	0	0	0	0	0	0	0
Disagree	0	0	10	16.7	0	0	100	25
Agree	10	33.3	20	33.3	50	33.3	100	25
Strongly agree	20	66.7	30	50	100	66.7	200	50
Total	30	100	60	100	150	100	400	100

Data in Table 6.1 revealed that 66.7 percent of the headteachers strongly agreed that the level of income influences girls' drop-out in schools. Besides, 33.3 percent of the headteachers agreed that the level of income does influence drop-out of girls in schools. However, none of the headteachers strongly disagreed nor disagreed that the level of income influences drop-out of girls in schools. Further findings contained on data in Table 6.1 indicated that 50.0 percent of the teachers strongly agreed that parental economic status influenced girls drop-out rates in secondary schools. Furthermore, 33.3 percent of the teachers strongly agreed that parental economic status influenced girls' drop-out rates in secondary schools. Additionally, 16.7 percent of the teachers disagreed that parental economic status influences drop-out rates in secondary schools.

The research findings on data in Table 6.1 also showed that 66.7 percent of the parents strongly agreed that parental economic status influenced girls' drop-out rates in secondary schools. Another 33.3 percent of the parents agreed that parental economic status influenced drop-out rates of girls in secondary schools. Further findings contained on data in Table 6.1 indicated that 50.0 percent of

the students strongly agreed that parental economic status influenced girls' drop-out rates in secondary schools. Furthermore, 25 percent of the students agreed that parental economic status influenced girls' drop-out rates in secondary schools. Additionally, 25 percent of the students disagreed that parental economic status influence drop-out rates in secondary schools. Overall, all the respondents noted parental socio-economic status influences girls' drop-out rates in secondary schools. The findings concur with Okumu (2005), who revealed that Poverty is the root of high drop-out rates of girls in schools of girls.

The study further sought headteachers', teachers', parents', and learners' perceptions of early marriages' influence on drop-out rates of girls in secondary schools. The findings were captured in Table 6.2.

**Table 2:** Headteachers, teachers', parents', and learners' perceptions of early marriages influence on drop-out rates of girls in secondary schools

Rating	Head teachers		Teachers		Parents		Students	
	n	%	n	%		%	n	%
Strongly disagree	0	0	10	16.7	0	0	0	0
Disagree	0	0	10	16.7	0	0	100	25
Agree	10	33.3	20	33.3	50	33.3	200	50
Strongly agree	20	66.7	20	33.3	100	66.7	100	25
Total	30	100	60	100	150	100	400	100

Data in Table 6.2 revealed that 66.7 percent of the headteachers strongly agreed that early marriages influence girls' drop-out in schools. Besides, 33.3 percent of the headteachers agreed that early marriages affect the drop-out of girls in schools. However, none of the headteachers strongly disagreed or disagreed that early marriages influence girls' rates in schools. Further findings contained on data in Table 6.2 indicated that 33.3 percent of the influences strongly agreed that early marriages influenced girls' drop-out rates in secondary schools. Furthermore, 33.3 percent of the teachers strongly agreed that early marriages influenced girls' drop-out rates in secondary schools. Additionally, 16.7 percent of the teachers disagreed that early marriages influence drop-out rates in secondary schools. Another 16.7 percent of the teachers strongly disagreed that early marriages impact drop-out rates in secondary schools.

The research findings on data in Table 6.2 also showed that 66.7 percent of the parents strongly

agreed that early marriages influenced girls' drop-out rates in secondary schools. Another 33.3 percent of the parents agreed that early marriages influenced drop-out rates of girls in secondary schools. Further findings contained on data in Table 6.2 indicated that 25 percent of the students strongly agreed early marriages influenced girls' drop-out rates in secondary schools. Furthermore, 50 percent of the students agreed that early marriages influenced girls' drop-out rates in secondary schools. Additionally, 25 percent of the students disagreed that early marriages influence drop-out rates in secondary schools. Overall, all the respondents noted that early marriages influenced girls' drop-out rates in secondary schools. This concurs with UNESCO (2017), which indicated that early marriage is the cause of girls dropping out of school.

The study also sought headteachers' response on the number of girls out of the total 100 in form one dropped out of school before completing form four. The findings were captured in Table 6.3.

**Table 3:** Headteachers' response to drop-out rates of girls in secondary schools due to early marriages

No. dropping out	Head teachers	
	n	%
50	0	0
40	15	50
30	10	33.3
20	5	16.7
Total	30	100

Data contained in Table 6.3 revealed that 50 percent of the headteachers indicated that 40 out of 100 girls dropped out of school before completion of secondary education due to early marriages. Besides, 33.3 percent of headteachers noted that 30 out of 100 girls dropped out of school before completing secondary education due to early marriages. Also, 16.7 percent of headteachers indicated that 20 out of 100 girls drop out of school before completing secondary education due to early marriages. However, none of the headteachers noted that 50 out of 100 girls dropped out of school before completing

secondary education due to early marriages. Overall, most of the respondents indicated that 40 out of 100 girls dropped out of school before completing secondary education due to early marriages. The findings concur with Okumu (2005), who revealed that Poverty is the root of girls' high drop-out rates in schools of girls.

The study also sought headteachers', teachers', parents', and learners' perceptions of the school environment's influence on drop-out rates of girls in secondary schools. The findings were captured in Table 6.4

**Table 4:** Headteachers, teachers', parents', and learners' perceptions of the influence of the school environment on dropout rates of girls in secondary schools

Rating	Head teachers		Teachers		Parents		Students	
	n	%	n	%		%	n	%
Strongly disagree	20	33.3	10	16.7	0	0	0	0
Disagree	0	0	10	16.7	0	0	0	0
Agree	20	66.7	20	33.3	50	66.7	0	0
Strongly agree	0	0	20	33.3	100	33.3	400	100
Total	30	100	60	100	150	100	400	100

Data in Table 6.4 revealed that 66.7 percent of the headteachers agreed that the school environment influences the drop-out of girls in schools. Besides, 33.3 percent of the headteachers strongly disagreed that the school environment influences girls' drop-out in schools. However, none of the headteachers disagreed nor strongly agreed that the school environment influences drop-out rates of girls in schools. Further findings contained on data in Table 6.3 indicated that 33.3 percent of the teachers strongly agreed that the school environment influenced girls' drop-out rates in secondary schools. Furthermore, 33.3 percent of the teachers agreed that the school environment influenced girls' drop-out rates in secondary schools. Additionally, 16.7 percent of the teachers disagreed that the school environment influences drop-out rates in secondary schools. Another 16.7 percent of the teachers strongly disagreed that the school environment influences drop-out rates in secondary schools.

The research findings in Table 6.4 also showed that 33.3 percent of the parents strongly agreed that the school environment influenced drop-out rates of girls in secondary schools. Another 66.7 percent of the parents agreed that the school environment influenced drop-out rates of girls in secondary schools. Further findings contained on data in Table 6.4 indicated that 100 percent of the students strongly agreed that the school environment influenced girls' drop-out rates in secondary schools. Overall, almost all the respondents noted that girls dropped out of school before completing secondary education due to the school environment. The findings concur with Birdsall (2005), who reported a very low school completion rate because most of the students drop out of school due to repetition.

Regression analysis was also done to test the study hypothesis. The hypothesis was Ho: Economic status, early marriage, and school environment do not significantly influence girls'



dropout rates in secondary schools. The results were reflected in Table 6.5

*Table.5:* Influence of girls' drop out rate

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.683 <sup>a</sup>	.466	.253	.412	.466	2.184	6	29	.103

- a. Predictors:(Constant), high-income, low-income, learning materials, infrastructure, social influence, cultural influence, beliefs, biasness, teachers' attitudes, school culture and teaching approaches.
- b. Dependent Variable: Girls' dropout rates.

Concerning the data contained in Table 6.5, results were summarized by the following regression analysis equation;  
 $Y = a + bX$ ;

Where Y = dependent value (girls drop-out rates) that was being predicted in this study. X was an independent value (predictors). The value (a) was the constant in the regression analysis equation. It was the intercept point of the regression line and the Y-axis. The (b) value was the coefficient of X. It was the slope of the regression line. The independent Variable for hypothesis HO in the study was parental economic status; early marriages and school environments do not significantly influence girls' drop-out rates in secondary schools. The results in Table 6.5 indicated that the significance level was at sig F= 0.103. It was greater than  $p = 0.05$ . The relationship  $F(6, 29) = 2.184$ .  $p > 0.05$ ,  $R^2 = 46.6$  percent. The hypothesis was, therefore, rejected. This meant that X= factors influencing girls' drop-out rates in secondary schools. The study, therefore, revealed that parental economic status, early marriages, and school environment predicted girls' drop-out rates in secondary schools by 46.6 percent. As a result, the hypothesis was rejected since parental economic status, early marriages and school environment significantly influenced girls' drop-out rates in secondary schools.

## X. SIGNIFICANT FINDINGS OF THE STUDY

The study revealed that families don't support secondary school education due to their economic status. This implies students drop out of school to engage in economic activities to generate income. The girl child, therefore, is left at home to do house chores.

The study also revealed that the school environment influenced girls' drop-out rates in secondary schools.

The study also established that 40 girls out of 100 girls admitted in form one dropped out of school before completing form four due to early marriages.

Regression analysis revealed that parental economic status, early marriages, and school environment predicted girls' drop-out rates in secondary schools by 46.6 percent.

## XI. CONCLUSION

The study findings concluded that the number of girls admitted in form one kept on reducing yearly within the four years of secondary school education. Therefore a few girls graduate from secondary schools. Consequently, it can be concluded that the parents' economic background influences students' drop-out rates. Besides, the economic status of parents significantly influenced girl child education. It was also supposed that the main cause of the decrease in girls in school was found in early marriages. The study concluded that early marriages hurt girl child education. The study also concluded that the school environment results in girls drop out in schools., The study further concluded that when combined; parental economic status, early

marriages, and school environment significantly predicted girls' drop-out rates in secondary schools by 46.6 percent.

## XII. RECOMMENDATIONS

From the findings of this study, the following recommendations were proposed:

Ministry of Education should enhance a policy to redress girls' drop-out rates in secondary schools.

- Income generating activities should be initiated in communities to improve the economic status of parents.
- Schools should develop strategies that would make school environments favorable to the retention of girls in schools.
- Cultural practices and beliefs that contribute to girls dropping out of schools should be discouraged.

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# Government Capital Expenditure and Private Investment in Sub-Saharan Africa: A Sensitivity Analysis

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## ABSTRACT

The government in the SSA area is one of the largest regions of the world spending much on socio – economic activities such as the provision of public utilities, addressing externalities and imperfect markets, coordinating private sector activities, and redistribution of resources. Still, despite this huge capital expenditure, the desired results have not been remarkable compared with East Asian countries. The study, therefore, looked into the sensitivity analysis of the relationship between government capital expenditure and private investment in sub-Saharan Africa. The data, which was used for this study, were sourced from the World Bank Indicator which spans from 1980 to 2016. The paper was basically on the regional analysis of sub-Saharan African countries. The study employed panel data analysis to explore the relationship between government capital expenditure and private investment on a regional basis in SSA.

*Keywords:* government capital expenditure, private investment, regional analysis, and panel data analysis.

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# Government Capital Expenditure and Private Investment in Sub-Saharan Africa: A Sensitivity Analysis

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& Oluwa Femi O.B.<sup>¥</sup>

## ABSTRACT

*The government in the SSA area is one of the largest regions of the world spending much on socio – economic activities such as the provision of public utilities, addressing externalities and imperfect markets, coordinating private sector activities, and redistribution of resources. Still, despite this huge capital expenditure, the desired results have not been remarkable compared with East Asian countries. The study, therefore, looked into the sensitivity analysis of the relationship between government capital expenditure and private investment in sub-Saharan Africa. The data, which was used for this study, were sourced from the World Bank Indicator which spans from 1980 to 2016. The paper was basically on the regional analysis of sub-Saharan African countries. The study employed panel data analysis to explore the relationship between government capital expenditure and private investment on a regional basis in SSA. The result of the panel data revealed that there is a negative and significant relationship between capital spending and private investment in both West African and Southern African regions. At the same time, the findings also exhibited a direct relationship between capital spending and private investment in East Africa. In the case of Central Africa, the results indicated that capital expenditure has no significant impact on private investment. Given the preceding finding, it was therefore concluded that private investment in East Africa is highly sensitive to macroeconomic reforms such as mild inflation and productive debt stock. This may be attributed to a good institutional framework and high quality of public investment. In line with these findings,*

*governments of SSA countries should continue to raise the share of government capital spending and also channel it judiciously to public infrastructures such as electricity, water, port and ICT, education and health, and Agriculture for better improvement in the delivery of services.*

**Keywords:** government capital expenditure, private investment, regional analysis, and panel data analysis.

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## I. INTRODUCTION

Over the past few decades, total government expenditure in many developing countries experiences overall growth. During the 1980s, expenditure increased slightly from \$993 billion to \$1,595 billion in 1990s, with an annual growth rate of 4.8 Per cent. In the 1990s, the government increased its spending power by 5.6 percent per year. The public expenditure further reached \$3,347.6 billion in 2002. There was accelerated growth in government expenditure in developing countries. However, among developing countries, regional deviations from these averages were quite marked. Across all regions, Asia countries, most especially Asian Tigers such as China, Malaysia, Singapore, etc., experienced the most rapid growth. At the same time, sub-Saharan

Africa and Latin America increased at a much slower pace. Almost all countries in Asia doubled all their total expenditure for the period between 1980 and 2002, and these countries had the most rapid growth over the period between 1980 and 2002. For African countries, expenditure grew at 3.8 percent over 1980-2002. Growth was much slower in the 1980s at 2.92 percent per annum. There was contractionary government expenditure in Africa countries until 1986 when African countries implemented macroeconomic structural adjustments. However, in the mid of the 1990s, African countries gained momentum in expanding government expenditures, growing at 4.8 percent per annum. Botswana had the most rapid growth, mainly due to the outstanding performance of its national economy; more than 10 percent per annum between 1980 and 2002. Since the years 2000 and 2010, there has been a tremendous improvement in the revenue base of some of these African countries as a result of increased revenue from oil and other solid minerals as well as a hike in the price of the commodity. There are also good reasons to believe, in the recent time between 2009 and 2012, that there has been an increasing in government expenditure on socio-economic activities such as education and health and that many rich-resource countries and some that are not resource-rich countries in SSA have witnessed a tremendous growth per capita, but the quality and the efficiency of the social spending in SSA are relatively low compared with Asian countries REO [15]. The government in the SSA region is one of the largest regions of the world, spending much on socio-economic activities such as the provision of public utilities, addressing externalities and imperfect markets, coordinating private sector activities, and redistribution of resources, World Bank [22]. Still, despite this huge expenditure as stated above, the desired results have not been remarkable compared with East Asian countries. This unsatisfactory growth performance in terms of investment in SSA makes the governments of the region focus on factors that affect the level and efficiency of investment as clearly suggested by empirical studies that raising investment rates must be a key part of any strategy to increase growth and enhance

investment. Given this, various literatures on investment recognize the private investment as a vital catalyst for economic development. For both developed and developing countries, private investment in the overall economic development is immensely great. In the same vein, it is widely accepted in the literature that expansion of private investment should be the main impetus for economic growth, therefore, aligning public investment resources gradually to focus on the social area, including alleviation of poverty and the upgrading of social capital as well as services that could be facilitation of this process. Private investment in developing countries needs to be seen not only as a contributor to economic growth and employment generation, but also as a catalyst to attract foreign direct capital. Private investment is one of the major sources of growth, employment, and engineer of development in developing countries. Despite this, there is need to generate private investment for development which requires an enabling environment and policy setting in which private sector operators can thrive and realize a fair return on their investment. More so, the right policy framework for investment in the overall economy is a prerequisite for attracting private investment. With such a framework and in the context of broader development strategies, the government can improve the development outcomes of investment by establishing priority and focusing scarce resources on specific sectors of the economy. Thus, government expenditure stands to be an important policy instrument through which an enabling environment can be created for greater private sector participation in the economies. It is, therefore, important to explain the role government could play to enhance and sustain private investment in the economy OECD[14]. This study calls for a thorough analysis of the relationship between government expenditure and private investment in sub-Saharan Africa. One of the policy targets of many developing nations is to use fiscal policy to improve the infrastructure network. Public expenditure has continued to be the main instrument used by countries in sub-Saharan Africa (SSA) to boost their productive apparatus. Still, disparities between sub-regions and

countries in the SSA appear so important that it is crucial to investigate the origin of the observed differences in determining the impact of government expenditure mainly capital expenditure on private investment. This raised the question: can we attribute these disparities to the variation in resource endowment and geography? Sachs [17] emphasized that SSA is tropical and therefore suffers from diseases such as Malaria, that the quality of the soil is poor and that many of its countries are landlocked. These factors, they claim, are the major reasons for SSA's unsatisfactory growth performance. This story was refuted by the evidence that location in the tropics has not prevented Malaysia, Singapore, and the tropical Chinese region of Hong Kong from making an impressive growth performance. Collier[5] pointed out that the disadvantages of tropical climate could be overcome by the discovery of vaccines and new strains of the crop. Ernesto[7] opined that globalization and technology are factors weakening the importance of geography for economic performance most especially landlocked countries by lowering the transportation cost. Therefore the sensitivity of private investment to differences in socio-economic characteristics of SSA does not depend on general phenomena but on country-specific peculiarities. Based on this background, this study wishes to examine the sensitive link between public capital expenditure and private investment in sub-Saharan Africa which is the broad objective of this study. The study specifically set out to delve into the socio-economic difference of the analysis of government capital expenditure and private investment in sub-Saharan Africa based on regions.

The paper is organized into five sections. Following the introductory remarks is a section on the review of the literature. This is followed by the research methods and the empirical findings in section three and four respectively. The study ends in section five with conclusion and policy recommendations.

## II. EMPIRICAL REVIEW

Atukeren [3] examined the relationship between public and private investment using granger causality methodology for a sample of twenty-five developing countries in Africa, Asia, and Latin America over the period 1970-2000. His results indicated that public investment crowds in private investment. With the use of the probit model, the study found out that the higher the share of government involvement in an economy, the lower the trade openness and the more stable the macro and monetary environment is, the higher the likelihood that public investment may crowd out private investment. Asante [4] analyzed the determinants of private investment in Ghana using time series analysis and complementing it with a cross-sectional one from 1970 to 1992. The study found that real credit to the private sector, real exchange rate public investment, and lagged private investment to GDP ratio had a positive and statistically significant effect on private investment, with public investment confirming a possible complementary effect. Macroeconomic instability, however, hurts private investment. The study, therefore, concluded that macroeconomic instability had been major hindrance to private investment in Ghana, and so policies that address only some components of macroeconomic uncertainty may not be enough to revive private investment. Frimpong and Marbuah [9] employed the autoregressive distributed lag modeling approach to examine the determinants of private sector investment in Ghana from 1970 to 2002 using a time series analysis. The results indicated that the coefficient of real GDP, real interest rate, external debt, and inflation was statistically significant and positively related to private investment. Public (government) investment ratio and credit to the private sector had a positive but insignificant coefficient with public investment confirming a possible crowding-in (complementarity) effect. Openness had a strong negative impact on private investment at the 5 percent significance level. Finally, constitutional regime (political instability) represented by a dummy variable came out with a positive sign albeit not significant at any of the conventional statistical levels. Overall, the results

confirmed a significant accelerator theory effect on private sector investment in Ghana at the aggregate level over the period under study.

Samuel[18] examined the relationship between public investment and private investment financing in Kenya from 1964 to 2006, using an error correction framework and annual data for 1964 -2006. The study showed that investment in agriculture had a considerable positive impact while domestic debt had a significant negative impact. Political risk, real exchange rate, external debt and tax insignificantly had adverse effect. Investment in infrastructure had insignificant positive impact. These findings revealed important policy implications that investment in agriculture crowds in private investment while domestic debt crowds it out significantly. Nuru et al.[11] explored the impact of government expenditure on private investment in Kenya. The study employed Vector Autoregressive Model (VAR) using time series data for the period 1963-2012. The research findings indicated that both recurrent and development expenditure enhanced private investment. The study also concluded that government has to focus funds towards projects that are valuable to the private sector and eschew those that contend with or crowd it out. The study recommended that the government should undertake fiscal reforms in the areas that promote private investment.

Kollamparabil and Nicolaou[10] used quarterly data from 1960 to 2005 to analyze the nature and relationship between public expenditure and private investment in South Africa. The study discovered that although public investment is not crowd in or crowd out private investment, it exerts and indirectly impacts private investment through the accelerator effect. As a result of this, the study recommended that a more proactive fiscal policy was suggested to increase the investment-GDP ratio stimulating higher growth rates.

Njimanted and Mukete[12] carried out research work on public expenditure and private investment in Cameroon. The study showed that the economy of Cameroon had witnessed a double-digit trend of economic growth before

1986, as public spending exerts significant expansion in the size of the public sector and a declined period after 1986 characterized by government deficit expenditure. With the declining economy, the government of Cameroon forcefully used desperate measures to reduce expenditure and revenue respectively. These affected relevant economic indicators in Cameroon, especially private investment. It is on this ground that a study of this nature was designed to investigate the relationship between public expenditure and private investment in Cameroon and the kind of the causality between them. Based on secondary data from the World Bank database between 1980-2012 complemented by other sources, using the vector Autoregressive technique of estimation, this research work found that public expenditure insignificantly crowd in private investment. Based on this finding, the study recommends the complementary development roles of the government and those of the private sectors, emphasizing that the government of Cameroon should focus on infrastructural development, maintenance, quality education and research, industrialization, good governance, and security at the expense of superfluous expenditure which is political driven with no economic valuation.

Nwosa, Adebisi and Adedeji [13] examined the relationship between public spending and private investment in Nigeria for the period between 1981 and 2010. The study employed Error Correction Model and the results revealed that components of public expenditure have a different impact on private investment both in the long run and short run. Specifically, recurrent and government final consumption expenditure had positive (crowd-in) effects on private investment, while capital expenditure had negative(crowd-out) effects on private investment. Thus, the study recommended that greater emphasis should be placed on capital expenditure.

Udoh[19] investigated the relationship between public expenditure, private investment , and agricultural output between 1970 and 2008. The bounds test and Autoregressive Distributed Lag (ARDL) modeling approach were used to analyze both short-run and long-run impacts of public



expenditure, private investment (both domestic investment and foreign direct investment) on agricultural output growth in Nigeria. The study observed that foreign investment has an insignificant impact in the short-run. The study recommended that the policy makers should continue both private and public investment in a complementary manner to ensure that both short-run and long-run productivity of the agricultural sector was not undermined.

Ahmad and Qayyum[1] examined the effect of government spending and macroeconomic uncertainty on private investment in service sector for the period 1972-2005. The private investment model for services is estimated using the three steps methodology. These steps include univariate statistical analysis of a time series, multivariate co-integration analysis and the estimation of the long-run private investment function by using the Johansen Maximum Likelihood Method. The study revealed that government recurrent expenditure mostly appears as substitutes to private investment and affect private investment in services negatively in the long-run. The study recommended the need for appropriate interest rate policy, taken into cognizance the investment climate and the targeted sector of the economy in order to encourage private investment. The study also recommended that expansion in the size of the market and the enhancement of purchasing power of people are also needed to *encourage private investment in the services sector*. Ekpo[6] examined the relationship between public investment and private investment. In particular, the study attempted to determine the

influence of different categories of public expenditure on private investment. The study isolated infrastructure expenditure (which is social services that does not compete with private investment). Social services crowd in private investment while expenditure in real activities like manufacturing and construction crowd out private investment. This study strongly suggested that private sector is better placed to invest in construction and manufacturing. The study also revealed that capital expenditure on agriculture positively influence investment, while capital expenditure on education and health exerts positive impact on private investment.

Vincent and Clem[20] examined the controversial relationship about the possible crowding out effect of government expenditure in general and particularly deficits on private sector investments using data of 1970-2006. A modeling technique that incorporates co-integration and structural analysis was adopted. Evidence shows that there is a positive long run relationship between private investment and real growth of the national economy. This confirms the relevance of the accelerator principle to Nigeria, with contemporaneous accelerator parameter of 1.84. On aggregate, a 1% improvement in national income engenders 1.84% increase in private investment in Nigeria. In addition, the result indicated that fiscal deficits have had a depressive effect on private investment in the country. The estimation results suggested that a 1% increase in fiscal deficit leads to 0.267% decline in private investment. The results also indicated that Nigeria's debt profile has had strong and negative impact on private investment in Nigeria.

### III. RESEARCH METHODS

This section focuses on model specification, identification of variables, a prior expectation, estimating techniques and sources of data.

#### 3.1 Model Specification

This study followed the model of (Eshun et. Al.[6] which took their roots from flexible Accelerator theory. Thus, the model is specified as:

$$PI = f(CAPEX, ODA, DT, TAX, INF, RIR) \text{-----} 3.1$$

Explicitly, the model can be re- stated as follows:

$$PI_{it} = \alpha_0 + \alpha_1 CAPEX_{it} + \alpha_2 ODA_{it} + \alpha_3 DT_{it} + \alpha_4 TAX_{it} + \alpha_5 INF_{it} + \alpha_6 RIR_{it} + U_{it} \quad 3.2$$

For the sake of reducing heteroscedacity and to convert the research data from rates and absolute terms into the same numerical structure, the above equation is log- linearized as below:

$$PI_{it} = \alpha_0 + \alpha_1 \ln CAPEX_{it} + \alpha_2 \ln ODA_{it} + \alpha_3 \ln DT_{it} + \alpha_4 \ln TAX_{it} + \alpha_5 \ln INF_{it} + \alpha_6 \ln RIR_{it} + U_{it} + \eta_i + \varepsilon_t$$

Where

PI =Private investment (Gross fixed capital formation minus public capital spending).

CAPEX =Government Capital Expenditure (Public expenditure minus recurrent expenditure)

ODA/GDP = Official Development Assistance-Gross Domestic Product Ratio.

DT= Public Debt

TAX= Tax Revenue

INF = Inflation Rate

RIR = Real Interest Rate

ln= Natural Logarithm

i = entity or country, t = time or year

$\eta_i$  = denote unobserved country specific fixed effect

$U_{it}$  = denote time specific effect

$U_t, \varepsilon_t$  = Error terms or stochastic terms

$\alpha_0 - \alpha_6$  = coefficients or parameters

$\beta_0 - \beta_6$  = = coefficients or parameters

### 3.2 Estimating Techniques

The estimating technique employed in this study is based on Panel data. The choice of this estimating technique is informed by the need to determine the time series characteristics of the variables that are used in this study. Panel data is used to determine the sensitivity of private investment vis-à-vis capital expenditure to the differences of economic characteristics of Sub-Saharan Africa.

### 3.3 Sources of Data

This study relies on secondary data. Data like government capital expenditure, private investment and official development assistance were sourced from World Bank Development Indicator, World Bank Data Base, World Bank Global Development Network Growth Data Base, National bureau of statistics and Central Bank of various sub-Saharan African countries statistical bulletins (2012). Data such as inflation, interest rate and debt were sourced from IMF's International Financial Statistics (IFS) and United Nation statistical bulletin (2012).

## IV. RESULTS AND DISCUSSION

The section of the research work covers the presentation of the empirical results as well as the analysis and discussion of the results.

### 4.1 Panel Unit Root Test Results

*Table 4.1:* Levin, Lin and Chu test and Augmented –Dickey Fuller Fisher test.

Variables	LL Chu unit root test			ADF- Fisher Chi- Square unit root test		
	<i>t</i> * Statistics	P value	Order of integration	<i>P</i> * Statistics	P value	Order of integration
PI	-9.2950	0.0000***	<i>I</i> (1)	-11.5234	0.0000**	<i>I</i> (1)
CAPEX	-9.9784	0.0000***	<i>I</i> (2)	-16.6971	0.0000**	<i>I</i> (2)
ODA	-2.0034	0.0226**	<i>I</i> (0)	-2.0152	0.0219**	<i>I</i> (0)
DT	-8.0928	0.0000***	<i>I</i> (1)	-9.4545	0.0000**	<i>I</i> (1)
TAX	-12.2545	0.0000***	<i>I</i> (1)	-14.3898	0.0000**	<i>I</i> (1)
INF	-3.7704	0.0000***	<i>I</i> (0)	-4.9430	0.0000**	<i>I</i> (0)
INT	-3.6139	0.0002**	<i>I</i> (0)	-3.2897	0.0005**	<i>I</i> (0)

\*\*\* and \*\* denote 1% and 5% levels of significance respectively.

In table 4.1, the result reveals that all the series are integrated of different orders. While official development assistance (ODA), inflation (INF) and interest (INT) are stationary at their levels, other variables are made stationary at first difference except government capital expenditure (CAPEX) which is stationary at second difference. Thus, panel data regression on the series cannot be spurious. The condition for panel cointegration is not met, therefore, there is need to proceed to pooled ordinary least square regression, fixed effect and random effect.

#### *Analysis of the sensitivity of private investment to differences in the economic characteristics of Sub-Saharan African countries*

This section presents analyses of the impact of capital expenditure on private investment across four different blocs of Sub-Saharan African countries including the West Africa bloc (Benin Rep, Mali and Nigeria), East Africa bloc (Kenya, Uganda, Tanzania), Central Africa bloc (Cameroun Gabon, Equatorial Guinea), Southern Africa bloc (Botswana, South Africa, Mozambique) in the quest to examine the sensitivity of private investment to differences in the economic characteristics of Sub-Saharan African countries. Below are the estimators employed in order to

ensure that conclusion is drawn on the most consistent and efficient estimator among pooled OLS estimator, fixed effect estimator and random effect estimator.

The results presented in table 4.2 reveals the pooled OLS coefficient estimates corresponding to each of the explanatory variables incorporated in the estimated pooled restricted model for each of the blocs, while results presented in tables 4.3, 4.4, 4.5 and 4.6 reveal the fixed effect (cross sectional specific), fixed effect (period specific), fixed effect (cross sectional and period specific) and random effect estimations respectively. However the post estimation test result presented in tables 4.7 and 4.8 for restricted F-test of heterogeneity and Hausman test respectively reveal that the most consistent and efficient estimation upon which inferential analysis and conclusion can be based, include the estimations result presented in tables 4.3 and 4.5 respectively. More specifically, estimations appropriate for the investigation of the connection between capital expenditure and private investment for bloc A and Bloc B are the two-way fixed effect model presented in table 4.5, while one-way fixed effect cross sectional specific estimations presented in table 4.3 tends to be most appropriate for bloc C and D.

## 4.2 Pooled OLS Estimation

**Table 4.2:** Pooled OLS Parameter Estimates  
Series: PI CAPEX ODA DT TAX INF IR

Variable	Bloc A	Bloc B	Bloc C	Bloc D
C	954711.1*	-943134.6*	350830.2	-1.50e+07
CAPEX	00.364917*	0.0821183*	0.1814139*	-.0397944
ODA	-1315822	-1109639*	-3038670	6682388
DT	-60.51759*	327.9886*	95.52184	372.4534*
TAX	-184225.7*	66443.46*	22781.95	1014641*
INF	-3235.039	3884.459	-16723.17	-55800.41
IR	191714.3*	-54544.15*	8563.542	-491529.8

*R-square:* Bloc A=0.5475, Bloc B=0.7777, Bloc C=0.3787, Bloc D=0.5187  
*Adjusted R-square:* Bloc A=0.5198, Bloc B=0.7641, Bloc C=0.3407, Bloc D=0.4892  
*F-statistics:* Bloc A=19.76, Bloc B=57.13, Bloc C=9.96, Bloc D=17.60  
*Prob(F-stat):* Bloc A=0.0000, Bloc B=0.0000, Bloc C=0.0000, Bloc D=0.0000

## 4.3 Fixed Effect Estimation

**Table 4.3:** Fixed Effect Parameter Estimate (Cross Sectional Specific)  
Series: PI CAPEX ODA DT TAX INF IR

Variable	Bloc A	Bloc B	Bloc C	Bloc D
C	-878685.8	3114125*	-312036.3	-1.12e+07*
CAPEX	0.2462691*	0.100725*	0.102361	-0.10064*
ODA	605436.3	-1106636*	2277402	-8065501
DT	-66.57496*	228.4482*	25.03319	155.207*
TAX	-66785.96	-157536.3*	118970.5	644524*
INF	-3727.298	2302.144	-11934.08	-103886.4
IR	203918.5*	-30874.96*	29032.28	-389343.7
<b>Cross-sectional Specific effects</b>				
2	17222.9	-1783920*	-474472*	1.81e+07*
3	1736698*	-1484296*	-1579116	9442490*

*R-square:* Bloc A=0.6248, Bloc B=0.8148, Bloc C=0.4035, Bloc D=0.7880  
*Adjusted R-square:* Bloc A=0.5935, Bloc B=0.7994, Bloc C=0.3538, Bloc D=0.7703  
*F-statistics:* Bloc A=19.98, Bloc B=52.80, Bloc C=8.12, Bloc D=44.59  
*Prob(F-stat):* Bloc A=0.0000, Bloc B=0.0000, Bloc C=0.0000, Bloc D=0.0000

**Table 4.4:** Fixed Effect Parameter Estimate (period Sectional Specific)  
Series: PI CAPEX ODA DT TAX INF IR

Variable	Bloc A	Bloc B	Bloc C	Bloc D
C	315439.4	921302.3*	-1000651	-1038595
CAPEX	-0.1530343*	0.0380794*	0.1861134*	-0.1864788
ODA	279448.7	-3267418*	-1852068	1.07e+07
DT	-45.99851*	439.4021*	154.1645	400.524*
TAX	-93163.18*	-44029.04	149438.1	620407
INF	1870.348	5343.051*	-183.6355	-139193
IR	8s6634.39*	-59212.01*	65946.77	-935188.7

Period Specific Effects				
1981	71313.39	-98485.33	-407988.8	-1012004
1982	126517.4	-248767.8	-168957	3029147
1983	118507.9	-239055.6	-373852.3	-2782967
1984	146995.7	-180507.7	-382633.4	-2651279
1985	147823.3	-258067.6	-468888.1	-3538483
1986	345459.1	-642830.9	-637647.7	-3762880
1987	447162.7*	-396303	-323357.1	-4801332
1988	592809.9*	-600115	-478293.1	-5054132
1989	463477.4*	-656421.3	-326451.2	-6694303
1990	425509.3	-481925.7	-420101.7	-6741236
1991	480107.6*	-908108.3*	-625505.9	-8237574
1992	563466.7*	-567132.3	-760444.9	-8521404
1993	442200.5	-683212.5	-1037757	-4048917
1994	340665.5	-431959.3	-854069.9	-3462396
1995	379870.7	6233.734	-1464604	-3576746
1996	457135.1	-855261.4*	-1579688	-1838855
1997	518061.6*	-740245.8*	-2066102	-2098264
1998	366130.5	-731562.2*	-1945829	-488670.4
1999	582901.6*	-751646*	-2240442	-816656.7
2000	606869.7*	-857932*	1834957	-3185265
2001	655562.1*	-617098.8	-2117632	-4493025
2002	679089.6*	-598359.2	-1892246	-8196521
2003	793156.5*	-776834.5*	-1976118	-6297590
2004	1125863*	-841260.6*	-1936948	-3042544
2005	1282314*	-717034.9	-1844822	-1178126
2006	982045.8*	-364711.1	-1667076	-374660.8
2007	1097012*	1066347*	-1255995	-354510.4
2008	1171640*	855784.8*	-1311824	-288393.5
2009	1700683*	998116.3 *	-1111199	-4267441
2010	1872176*	1220254*	-1397689	-5053569
2011	2152826*	943702.4*	-1649482	-3161669
2012	2285330*	607540	-1371054	8748823
2013	2719570*	1272786*	-1327634	1.00e+07
2014	2951150*	758273.2	-1341394	1.17e+07

R-square: Bloc A=0.9207, Bloc B=0.9328, Bloc C=0.6029, Bloc D=0.6254  
Adjusted R-square: Bloc A=0.8711, Bloc B=0.8909, Bloc C=0.3548, Bloc D=0.3913  
F-statistics: Bloc A=18.57, Bloc B= 22.22 Bloc C=2.43 Bloc D=2.67  
Prob(F-stat): Bloc A=0.0000, Bloc B=0.0000 Bloc C=0.0007 Bloc D=0.0002

*Table 4.5:* Fixed Effect Parameter Estimate (two-way effect)  
Series: PI CAPEX ODA DT TAX INF IR

Variable	Bloc A	Bloc B	Bloc C	Bloc D
C	1893593*	2404821*	—	—
CAPEX	-0.3484615*	0.0521504*	—	—
ODA	-2255898*	-3134734*	—	—
DT	-24.65797*	485.9385*	—	—
TAX	-139700.5*	-146665*	—	—



INF	3402.869	3661.43*	—	—
IR	13337.37	-45525.84*	—	—
<b>Cross-sectional Specific effects</b>			—	—
2	275292.9*	-519236.1	—	—
3	-1764727*	-811596.5*	—	—
<b>Period Specific Effects</b>			—	—
1981	24339.1	-108420.5	—	—
1982	49336.85	-200176.8	—	—
1983	168683.8	-197479.5	—	—
1984	322377.5*	-158913	—	—
1985	357448*	-191778.4	—	—
1986	347779.2*	-535789.1	—	—
1987	376959.4*	-357779.4	—	—
1988	496441.5*	-567883.5	—	—
1989	497028*	-605319.	—	—
1990	504404.6*	-566944.1	—	—
1991	518003.7*	-939002.3*	—	—
1992	580884.1*	-646308	—	—
1993	502195.8*	-786819.1	—	—
1994	396300.1*	-674066.3	—	—
1995	433357.9*	-202667.5	—	—
1996	523445.2*	-1062993*	—	—
1997	612484.3*	-955123.4*	—	—
1998	555984.7*	-999420.6*	—	—
1999	708011*	-889859.8*	—	—
2000	741538.4*	-1069094*	—	—
2001	838055.7*	-777082.9	—	—
2002	871568.5*	-1327634*	—	—
2003	1032297*	-983527.8*	—	—
2004	1360830*	-1040199*	—	—
2005	1541049*	-1017618*	—	—
2006	1477755*	-604301.4	—	—
2007	1726703*	977548.8*	—	—
2008	1831612*	706773.5	—	—
2009	2345611*	718732.7	—	—
2010	2547177*	872917.2*	—	—
2011	3125277*	637928.6	—	—
2012	3255647*	134140.1	—	—
2013	3746422*	767145.2	—	—
2014	4072880*	260125.1	—	—

*R-square: Bloc A=0.9659, Bloc B=0.9420*

*Adjusted R-square: Bloc A=0.9428, Bloc B=0.9027*

*F-statistics: Bloc A=41.79, Bloc B=23.99*

*Prob(F-stat): BlocA=0.0000Bloc B=0.0000*

#### 4.6 Random Effect Estimation

**Table 4.6:** Random Effect Estimation  
Series: PI CAPEX ODA DT TAX INF IR

Variable	Bloc A	Bloc B	Bloc C	Bloc D
C	954711.1*	-943134.6*	350830.2	-1.50e+07
CAPEX	0.364917*	0.0821183*	0.1814139 *	-.0397944
ODA	-1315822	-1109639*	-3038670	6682388
DT	-60.51759*	327.9886*	95.52184	372.4534*
TAX	-184225.7*	66443.46*	22781.95	1014641*
INF	-3235.039	3884.459	-16723.17	-55800.41
IR	191714.3*	-54544.15*	8563.542	-491529.8

R-square: Block A=0.5475, Block B=0.7777, Block C=0.3787, Block D=0.5187

Wald chi2(5): Block A=118.58, Block B=342.80, Block C=59.74, Block D=105.60

Prob > chi2: Block A= 0.0000, Block B=0.0000, Block C=0.0000, Block D=0.000

#### 4.7 Post Estimation Test

**Table 4.7:** Restricted F Test of Heterogeneity (Cross-Sectional and time Specific)

Block A		
	F-statistics	Probability
Cross sectional	9.89	0.0001
Time specific	8.86	0.0000
Block B		
	F-statistics	Probability
Cross sectional	9.62	0.0002
Time specific	4.35	0.0000
Block C		
	F-statistics	Probability
Cross sectional	4.99	0.0000
Time specific	1.06	0.4076
Block D		
	F-statistics	Probability
Cross sectional	60.95	0.0000
Time specific	0.54	0.9749

*Author's Computation, (2016)*

Table 4.8: Hausman Test

Block A		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	20.89	0.0003
Block B		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	19.75	0.0014
Block C		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	40.01	0.0005
Block D		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	50.11	0.0001

*Author's Computation, (2016)*

Thus, overview of the most consistent and efficient model estimations in table 4.5 for each of the blocs reveals that for West African countries, an increase in capital expenditure has significant negative impact on private investment over the years, with other variables such as official development assistance, debt, and tax income which equally and significantly indicate indirect effect of capital expenditure on the private investment. However table 4.5 also reveals that private investment in West African countries has increased over time in the face of rising inflation rate and interest rate. This may be ascribed to increase in the revenue base of these countries involved. For East African bloc it was discovered from the table 4.5 that capital expenditure has over time spurred private investment given the reported positive coefficient of 0.0521504. Notably it was reported in table 4.5 that the positive impact of capital expenditure on private investment in East African bloc is significant. However the reported influence of other variables on private investment reveals that debt and

inflation rate in East African bloc act as significant catalyst to private investment expansion while rising official development assistance, tax income, and interest rate has over the years dampened the prospect of private investment in this bloc. cursory overview of the cross sectional specific effects and period specific effects reveal that there is significant heterogeneity effect for African countries like Mali and Nigeria in the West, while such effect is only significant for Tanzania in the East. Notably also it was discovered that there is significant period specific effect from 1994 till 2014 for West African bloc, but for East African bloc period specific effect is only significant for year between 1996 to 2000, 2002 to 2005, 2007 and 2010 respectively. The reported R-square statistics for blocs A and B reveals that 97% and 94% of the systematic variation in the private investment of West African bloc and East African bloc respectively can jointly explain variation in all the included variables in the two blocs

Table 4.8: Hausman Test

Block A		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	20.89	0.0003
Block B		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	19.75	0.0014
Block C		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	40.01	0.0005
Block D		
Null hypothesis	Chi-square stat	Probability
Difference in coefficient not systematic	50.11	0.0001

*Author's Computation, (2016)*

Thus, overview of the most consistent and efficient model estimations in table 4.5 for each of the blocs reveals that for West African countries, an increase in capital expenditure has significant negative impact on private investment over the years, with other variables such as official development assistance, debt, and tax income which equally and significantly indicate indirect effect of capital expenditure on the private investment. However table 4.5 also reveals that private investment in West African countries has increased over time in the face of rising inflation rate and interest rate. This may be ascribed to increase in the revenue base of these countries involved. For East African bloc it was discovered from the table 4.5 that capital expenditure has over time spurred private investment given the reported positive coefficient of 0.0521504. Notably it was reported in table 4.5 that the positive impact of capital expenditure on private investment in East African bloc is significant. However the reported influence of other variables on private investment reveals that debt and

inflation rate in East African bloc act as significant catalyst to private investment expansion while rising official development assistance, tax income, and interest rate has over the years dampened the prospect of private investment in this bloc. cursory overview of the cross sectional specific effects and period specific effects reveal that there is significant heterogeneity effect for African countries like Mali and Nigeria in the West, while such effect is only significant for Tanzania in the East. Notably also it was discovered that there is significant period specific effect from 1994 till 2014 for West African bloc, but for East African bloc period specific effect is only significant for year between 1996 to 2000, 2002 to 2005, 2007 and 2010 respectively. The reported R-square statistics for blocs A and B reveals that 97% and 94% of the systematic variation in the private investment of West African bloc and East African bloc respectively can jointly explain variation in all the included variables in the two blocs

Estimation results for blocs C and D presented in table 4.10 reveal that capital expenditure exerts positive influence on the private investment of central African bloc with specification for countries including Cameroun, Gabon, and Equatorial Guinea, while the impact of capital expenditure on private investment in Southern African bloc (particularly for countries like Botswana, South Africa and Mozambique) is negative. The result reveals that other variables exert positive impact on private investment in Central Africa except inflation rate. For Southern African bloc however variables including official development assistance, inflation rate and interest rate exert negative influence on private investment while the impact of debt and tax income tend to be positive. From the result it was observed that there is significant cross-sectional specific effect for Gabon in the central African bloc and for south Africa and Mozambique shows significant cross sectional effect in the Southern African bloc. The reported R-square values for bloc C and D stood at 0.4035 and 0.7880 which implies that about 40% and 78% of the systematic variation in private investment in Central African bloc (represented by Cameroun, Gabon and Equatorial Guinea), and Southern African bloc (represented by Botswana, South Africa and Mozambique) can be jointly explained by all the included explanatory variables such as capital expenditure, official development assistance, debt, tax income, inflation rate and interest rate.

## V. CONCLUSION AND POLICY RECOMMENDATIONS

Sequel to the findings of sensitivity of private investment to differences in economic characteristics of SSA which gives room for sample analysis in the four sub–regions of SSA, the results revealed that there is negative and significant relationship between capital spending and private investment in both West Africa and Southern Africa while the findings also showed significant direct relationship between capital spending and private investment in East Africa. In case of Central Africa, the results indicate that capital expenditure has no significant impact on private investment. It is therefore concluded that

private investment in East Africa is highly sensitivity to economic reforms like macroeconomic variables such as mild inflation and productive debt stock. This may be attributed to good institutional framework and high quality of public investment. In line with these finding, Governments of SSA countries should continue to raise the share of government capital spending and also direct it to public infrastructure services such as electricity, water, port and ICT, education and health and Agriculture for effective improvement in the delivery of services. Moreover, the quality and efficiency of capital expenditure in SSA should be improved through excellent institutional framework, fiscal discipline and quality and integrity of legal system. The international financial bodies like IMF, World Bank, African Development Bank and other multilateral institutions should be mobilized to make their substantial contributions to the countries of SSA most especially non-resources rich countries, landlocked countries and fragile countries like central African countries through financial programmes, its policy advice and its technical assistances.

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