

**THE PRACTICES OF ADULT EDUCATION POLICY FORMULATION AND
IMPLEMENTATION IN ETHIOPIA**

by

MILLION TADESSE WOLDEYES

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Supervisor: Prof. Kofi Poku Quan-Baffour

Co-Supervisor: Dr. Lineo Rose Johnson

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DECLARATION

Name: **Million Tadesse Woldeyes**

Student number: **58555366**

Degree: **DOCTOR OF PHILOSOPHY IN EDUCATION**

The Practices of Adult Education Policy Formulation and Implementation in Ethiopia

I declare that the above thesis is my own work and that all the sources that I have used or quoted have been indicated and acknowledged by means of complete references.

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I further declare that I have not previously submitted this work, or part of it, for examination at UNISA for another qualification or at any other higher education institution.



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All glory, praise and honour to Almighty God who makes all things possible.

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ABSTRACT

Although Ethiopia has been implementing adult education programmes over a long period, the illiteracy rate of the country remains high. This high illiteracy rate ranks the country as one of the lowest literacy rates in sub-Saharan Africa countries. Thus, the purpose of the study was to investigate the practices of adult education strategic policy formulation and implementation in Ethiopia. Specifically, the study was targeted to explore whether this low level of literacy is because of the problem in the systems or approaches that the adult education programme follows, especially, in designing strategic policy documents or in the implementation process of the policy documents or both.

The study used a qualitative research design. This design gives descriptive records focused to understand the real practices of adult education policy formulation and implementation from the data collected through in-depth interviews and document analysis. Two regions, Oromia Regional State and Addis Ababa City Administration were selected for the study by using the purposive sampling technique. From these two regions – 5 zones, 15 districts and 20 adult learning centres – were selected using purposive sampling. From the selected sites, a total of 46 sample participants were drawn for the study. Two theories anchored the study, namely, transformative and adult learning theories.

The theme-based qualitative analysis method was used to analyse data and the following conclusions were drawn: that in Ethiopia, adult education policy documents are formulated centrally at federal level with the support and consultancy of different national and international NGOs and other stakeholders. Such an approach contradicts the principles of adult education stipulated by Knowles. The findings also revealed that due to lack of coordination, commitment, synergy and accountability among implementers, the quality of the adult education programme is compromised. Furthermore, the study revealed that there is limited participation of other stakeholders in critical aspects of the policy planning, organising and evaluating the programmes. It is also noted that the implementers of the programme have limited understanding of the key working policy and strategy documents of adult education sector. Finally, based on

the findings, the study proposed a model for AE programme policy implementation in Ethiopia.

Key terms: adult learning, policy formulation, policy implementation, transformative theory.

TABLE OF CONTENTS

DECLARATION	ii
ACKNOWLEDGEMENTS	iii
ABSTRACT	iv
LIST OF APPENDICES	xiii
LIST OF TABLES	xiv
LIST OF FIGURES	xv
ACRONYMS AND ABBREVIATIONS	xvi
CHAPTER 1: INTRODUCTION TO THE STUDY	1
1.1 BACKGROUND TO THE STUDY	1
1.2 STATEMENT OF THE PROBLEM.....	2
1.3 RESEARCH QUESTIONS.....	3
1.4 AIM AND OBJECTIVES OF THE STUDY	4
1.5 SIGNIFICANCE OF THE STUDY	4
1.6 SCOPE OF THE STUDY	5
1.7 RESEARCH METHODOLOGY	6
1.8 DEFINITION OF KEY CONCEPTS.....	6
1.9 CHAPTER OUTLINE	7
1.10 CHAPTER SUMMARY	7
CHAPTER 2: THEORETICAL FRAME WORK	8
2.1 INTRODUCTION	8
2.2 TRANSFORMATIVE THEORY	8
2.2.1 Concepts of transformative theory	8

2.2.2 Assumptions of transformative theory.....	9
2.2.3 Transformative theory in practice.....	9
2.2.3.1 The role of the educators.....	14
2.2.3.2 The role of the learner.....	16
2.2.3.3 Criticism on transformative theory.....	17
2.2.3.4 Application of transformative theory to this study.....	18
2.3 THEORY OF ADULT LEARNING (ANDRAGOGY)	18
2.3.1 Concepts of andragogy.....	18
2.3.2 Assumptions of andragogy.....	19
2.3.3 The fundamental principles of andragogy	20
2.3.4 Self-directed learning in andragogy	22
2.3.5 Criticism of andragogy	24
2.3.6 Bringing theory into practice.....	24
2.4 INTEGRATION OF THE TWO THEORIES.....	24
2.7 CHAPTER SUMMARY	25
CHAPTER 3: LITERATURE REVIEW.....	27
3.1 INTRODUCTION	27
3.2 CONCEPTUAL UNDERSTANDING AND PERSPECTIVES ON POLICY.....	27
3.2.1 Concept of policy.....	27
3.2.2 Concept of education policy.....	28
3.2.3 Purpose of education policy.....	31
3.3 PERSPECTIVES ON POLICY	32

3.4 INTERNATIONAL PRACTICES ON POLICY FORMULATION AND IMPLEMENTATION	33
3.4.1 The United Kingdom	33
3.4.2 The United States of America (USA)	34
3.4.3 Brazil	35
3.4.4 Kenya.....	36
3.4.5 Ethiopia	37
3.4.5.1 The traditional period (pre-revolution, pre-1974).....	38
3.4.5.2 AE during the modern era	38
1. The Imperial Period (1930 to 1974).....	39
2. The Socialist Period (1974 to 1991).....	39
3. The current status of AE (1991 to date)	40
3.5 POLICY FORMULATION AND MODELS	41
3.5.1 Policy formulation cycle.....	41
3.5.2 Models of policy formulation.....	41
1. The stages model	42
2. The linear model	42
3. The system model.....	42
4. The incremental model	43
3.6 POLICY IMPLEMENTATION	44
3.6.1 Dimensions of policy implementation	45
3.6.2 Indicators for effective implementation of education policy	47
3.6.3 Stakeholders' participation in policy implementation.....	50

3.6.4 Problems associated with policy implementation.....	51
3.7 LESSONS ETHIOPIA CAN LEARN FROM OTHER CONTEXTS	53
3.7.1 Good practices Ethiopia can learn from UK AE system	53
3.7.2 Good practices Ethiopia can learn from US AE	53
3.7.3 Good practices Ethiopia can learn from Brazil AE system	54
3.7.4 Good practices Ethiopia can learn from Kenya AE system	55
3.8 CHAPTER SUMMARY	56
CHAPTER 4: RESEARCH DESIGN AND METHODOLOGY	57
4.1 INTRODUCTION	57
4.2 RESEARCH PARADIGM.....	57
4.3 QUALITATIVE RESEARCH DESIGN	58
4.3.1 Description of the study area and population	60
4.3.2 Sample and sampling methods.....	61
4.3.3 Sources of data.....	64
4.3.4 Data collection methods.....	64
4.3.4.1 Interviews.....	65
4.3.4.2 Document analysis.....	66
4.3.5 Pilot testing	66
4.4 DATA ANALYSIS.....	67
4.5 TRUSTWORTHINESS.....	69
4.6 ETHICAL CONSIDERATIONS.....	71
4.7 CHAPTER SUMMARY	72

CHAPTER 5: DATA PRESENTATION, ANALYSIS AND DISCUSSION.....	73
5.1 INTRODUCTION	73
5.2 PRESENTATION OF DATA OBTAINED THROUGH INTERVIEWS	74
5.2.1 Theme 1: Responsible structures in formulating AE policy documents.....	75
5.2.1.1 Who formulate AE policy documents?.....	76
5.2.1.2 Considering needs of adult learners in policy formulation	79
5.2.2 Theme II: The processes followed in policy formulation and implementation .	81
5.2.2.1 Considering roles and responsibilities of implementer in policy implementation.....	81
5.2.2.2 Organisational structures implementing AE policies	84
5.2.2.3 Human, financial and other resources in policy implementation processes .	85
5.2.2.4 The commitment of stakeholders in implementing policies	87
5.2.3 Theme III: Factors influencing AE policy formulation and implementation	87
5.2.3.1 Stakeholders' participation	87
5.2.3.2 Key stakeholders and aspects of their participation	88
5.2.3.3 Environment in which stakeholders participate	90
5.2.3.4 Understanding of implementers on types of AE policy documents	90
5.2.3.5 Strategies to introduce AE policy documents.....	91
5.2.3.6 Accessibility of AE policy documents to implementers.....	92
5.2.3.7 Understanding the aims and objectives of AE policy documents	93
5.2.4 Theme IV: Challenges faced in AE policy formulation and implementation	94
5.3 PRESENTATION AND ANALYSIS OF DATA OBTAINED THROUGH DOCUMENT ANALYSIS.....	96

5.3.1 Theme 1: Responsible structures in formulating AE policy documents.....	96
5.3.1.1 National adult education strategy document in policy formulation.....	97
5.3.1.2 Implementation guideline document in policy formulation	98
5.3.1.3 Learning for life: master plan document in policy formulation	100
5.3.1.4 Minimum learning competence document in policy formulation	101
5.3.2 Theme II: The processes followed in policy formulation and implementation	102
5.3.2.1 AE leadership and organisation	103
5.3.2.2 National AE board.....	104
5.3.2.3 Resource mobilisation and utilisation	104
5.3.3 Theme III: Factors influencing AE policy formulation and implementation ...	104
5.3.3.1 Stakeholders' participation	104
5.3.3.2 Understanding of implementers on AE policy documents	105
5.3.4 Theme IV: Challenges faced in AE policy formulation and implementation ..	107
5.3.4.1 Unsatisfactory level of expansion of AE	107
5.3.4.2 Inequitable distribution of AE	108
5.3.4.3 Low level of relevance and quality of AE	108
5.3.4.4 Unavailability of appropriate organisations to lead AE	109
5.3.4.5 Imbalanced resource allocation for AE	109
5.4 CHAPTER SUMMARY	110
CHAPTER 6: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS	111
6.1 INTRODUCTION	111
6.2 SUMMARY OF THE RESEARCH PROCESS	111
6.3 SUMMARY OF THEORIES AND LITERATURE USED IN THE STUDY	112

6.4 SUMMARY OF MAJOR FINDINGS	113
6.4.1 Major Findings from In-Depth Interviews	113
6.4.1.1 Responsible structures in formulating and implementing AE policy documents	113
6.4.1.2 The processes followed in policy formulation and implementation.....	114
6.4.1.3 Factors influencing policy formulation and implementation	116
6.4.1.4 Challenges with policy formulation and implementation.....	117
6.4.2 Findings from document analysis on AE policy formulation	118
6.5 RECOMMENDATIONS.....	120
6.5.1 Recommendations on policy formulation	120
6.5.2 Recommendations on policy implementation.....	120
6.5.2.1 Clear guidelines on roles and responsibilities	120
6.5.2.2 Stakeholders' participation.....	121
6.5.2.3 Understanding and common interpretation of policy documents.....	122
6.6 LIMITATIONS OF THE STUDY	123
6.7 FINAL CONCLUSION.....	123
6.8 SUGGESTIONS FOR FUTURE STUDIES	124
6.9 MODEL PROPOSED FOR AE POLICY IMPLEMENTATION IN ETHIOPIA....	126
REFERENCES	1288
APPENDICES.....	142

LIST OF APPENDICES

Appendix A: Unisa ethical clearance certificate	144
Appendix B: Permission request letter	146
Appendix C: Informed consent.....	148
Appendix D: Interview guide for AE officials at federal, regional and zonal levels .	149
Appendix E: Interview guide for AE experts and coordinators at district & centre levels.....	152
Appendix F: Interview guide for adult education facilitators.....	154
Appendix G: Letter of cooperation	156
Appendix H: Turnitin report	157
Appendix I: Letter confirming professional editing.....	158

LIST OF TABLES

Table 4.1: Overview of organisations selected for the study	62
Table 4.2: Description of respondents included in the study	63
Table 5.1: Overview of type and number of organisations selected for the study	73
Table 5.2: Types of interview participants by gender	75

LIST OF FIGURES

Figure 1.1: Map of Ethiopia showing research areas.....	5
Figure 2.1: Transformative learning.....	13
Figure: 6.1 AE policy implementation model.....	126

ACRONYMS AND ABBREVIATIONS

AACEB	Addis Ababa City Education Bureau
AAU	Addis Ababa University
ABE	Adult Basic Education
ACE	Adult and Continuing Education
AE	Adult Education
ALE	Adult Learning and Education
ANFEA	Adult and Non-Formal Education Association
BAE	Board of Adult Education
CLC	Community Learning Centre
CPD	Continuous Professional Development
CSA	Central Statistics Agency
EFA	Education for All
ESDP	Educational sector development programme
ESL	English Second Language
ETP	Education and training policy
FAL	Functional adult literacy
FDRE	Federal Democratic Republic Ethiopia
IFAE	Integrated Functional Adult Education
IFAL	Integrated functional adult literacy
MLC	Minimum learning competencies
MoARD	Ministry of Agriculture and Rural Development
MoE	Ministry of Education
MoH	Ministry of Health
Mol	Ministry of information
MoSA	Ministry of Labour and Social Affairs
MoU	Memorandum of understanding
MoWA	Ministry of Women Affairs
MoYS	Ministry of Youths and Sports
NAES	National Adult Education Strategy

NGO	Non-government Organisations
OEB	Oromia Education Bureau
ORS	Oromia Regional State
REB	Regional education bureau
SDL	Self-directed learning
SWOT	Strengths, weaknesses, opportunities, threats
TGE	Transitional government of Ethiopia
TLT	Transformative learning theory
TVET	Technical and vocational education and training
UK	United Kingdom
UNESCO	United Nations Education, Scientific and Cultural Organization
UNISA	University of South Africa
US	United States
WEO	Woreda (district) education office
ZEO	Zonal education office

CHAPTER 1

INTRODUCTION TO THE STUDY

1.1 BACKGROUND TO THE STUDY

Education is a powerful means and tool to address the issue of poverty through human development measures. It enhances the capacity of the people in terms of appropriate knowledge and skills to acquire economic and social prosperity. Education for adults, in this regard, is viewed as a continuum of knowledge and skills and has proved to be the foundation of economic and social development of the individual as well as the community and the nation at large (Hoppers, 2006:16). Education for adults is a first step towards contributing to the promotion of education to improve the status of the poor, women and marginalised groups (Hoppers, 2006:16; Merriam, Caffarella & Baumgartner, 2007:36).

A person is literate when they can, with understanding, both read and write a short simple statement in their everyday life (UNESCO, 2006:11). Basic education such as literacy opens the minds of people and makes them receptive to changes, new ideas and practices. It helps them to adopt new styles and methods of production and practices thereby raising their income. Basic education, including literacy, makes people mostly ready to accept changes – changes in their life styles, in their methods of production and health practices, thereby enabling them to apply technologies and benefit from such interventions. Functional literacy programmes, for example, seek not only to teach adults to read and write and to make them more productive, but also, through an integrating programme of work-oriented literacy, seek to touch their total lives and to transform their social, economic and value structures (Barton, 2007:245).

Ethiopia embarked on a new education and training policy (ETP) in 1994. The policy was enacted by the transitional government of Ethiopia (TGE) following the demise of the military regime in 1991 (Ministry of Education [MoE], 1994:2). The improvement of educational access, equity, quality and relevance was identified as the major rationale for the introduction of the policy. It was also stated by the MoE that the objective of the new policy would take cognisance of society's needs and indicate future directions. New overall objectives, specific objectives and

implementation strategies with an emphasis on problem-solving approaches were outlined in the policy.

Based on the newly launched education policy, in September 1994, the Government of the Federal Democratic Republic of Ethiopia (FDRE) issued the first focused document known as the “Education Sector Development Strategy” (ESDP I) (MoE, 2005:13). Since then, the strategy has been updated every five years up to ESDP V by updating its focus areas according to global and national imperatives. As a result of the implementation of successive education sector development programmes, access to formal schooling has significantly grown from its previous low level.

Adults can be encouraged to learn, only if they find the programmes related to their life, involve real-life problem-solving and bring about a change in their socioeconomic status. However, in Ethiopia, the limited number of adult education programmes carried out in the past years were inconsistent, uncoordinated and did not bring about significant change in the participants’ livelihoods. The reason was that the programmes only aimed at enabling adults to read, write and do simple arithmetic without relating what they learned to their day-to-day life and development around them (MoE, 2008:10).

1.2 STATEMENT OF THE PROBLEM

In Ethiopia, there is one comprehensive ETP which encompasses all education sectors in one (general education, higher education, adult education and technical and vocational education). Based on the ETP, the Ethiopian Government developed the National Adult Education Strategy (NAES) in 2008 (MoE, 2008:3). Hence, the NAES is a strategic policy document designed to guide all adult education sector programmes in the country.

The main objective of the NAES is to establish a well-planned, organised and coordinated adult education (AE) system that can provide opportunities for youth and adults to access relevant quality learning programmes to enable them to participate competently in the social, economic and political development of the country (MoE, 2008:10).

The strategy delineates four directions of implementation of the strategic objectives: expanding the AE programme; establishing a quality and relevant AE system;

increasing the coverage of AE programme equitably; and creating an institutional system and capacity for continuous AE provision (MoE, 2008:10).

To facilitate the implementation of this strategy, the MoE developed different working documents for AE sector. These are: AE implementation guideline; AE curriculum framework; AE master plan; AE pathway; AE memorandum of understanding manual; AE benchmarks; AE supervision manual; AE facilitation guideline; and AE teaching learning materials development manual.

However, the status of AE has remained low in terms of both accessibility and relevance. There are several problems encountered in the delivery of AE programmes in Ethiopia, such as a high dropout rate, cultural factors, mobility of people, a high workload especially for women, low quality of facilitators, lack of incentives for facilitators, and a lack of interest from the beneficiaries as identified in the NAES of the country (MoE, 2008:11). Although Ethiopia has been implementing AE programmes since 1890s that literacy and basic education were recognised as a means of development and modernity, the illiteracy rate of the country remains high (Mammo Kebede, 2005:23). According to UNESCO (2006:17), 58.5% of the country's population older than 15 years is illiterate. After implementing the NAES for about five years the illiteracy rate of the population aged 15-60 decreased to 53.51% (Central Statistics Agency [CSA], 2011:35). Again, in 2015, the illiteracy rate of the country decreased again to 52.21% (CSA, 2015:57). This high level of illiteracy ranks the country as one of the lowest in sub-Saharan Africa countries. Thus, the problem this study seeks to investigate is whether the low level of literacy is caused by the systems or approaches that AE programme follows, especially in designing strategic policy documents or in the implementation process of the policy documents or both. After identifying what the real problems of the AE programme in Ethiopia are, the study will propose alternative approaches and systems of AE strategic policy formulation and implementation that can fit the local context of Ethiopia.

1.3 RESEARCH QUESTIONS

In order to guide the study the following research questions were formulated.

- What are the practices and challenges of strategic policy formulation and implementation in Ethiopia?

- What processes are used in participation of policy makers and key stakeholders in the formulation and implementation of AE strategic policy in Ethiopia?
- What are the expectations of policy makers and key stakeholders for AE strategic policy formulation and implementation in Ethiopia?
- What are the major factors that influence the formulation and implementation of AE strategic policy in Ethiopia?

1.4 AIM AND OBJECTIVES OF THE STUDY

1.4.1 Aim

The general objective of the study was to examine the practices and challenges of AE strategic policy formulation and implementation in Ethiopia.

1.4.2 Objectives

The specific objectives of the study were to:

- assess the practices and challenges of strategic policy formulation and implementation in Ethiopia?
- investigate the processes that are used by policy makers and key stakeholders in the formulation and implementation of AE strategic policy in Ethiopia.
- investigate the expectations of policy makers and key stakeholders for AE strategic policy formulation and implementation in Ethiopia.
- identify the major factors that influence the formulation and implementation of AE strategic policy in Ethiopia.

1.5 SIGNIFICANCE OF THE STUDY

Justification for the study requires that it should contribute meaningfully to the body of scientific knowledge (Marshall & Rossman, 2011:68). Based on this assumption, the result of the study may be essential for policy makers who play the major role in the formulation and implementation of AE strategic policy in the country. More specifically:

- The study may provide AE authorities and policy makers with valuable information on the overall practice and challenges of AE strategic policy formulation and implementation.

- The study may provide valuable information to AE policy makers and authorities on the level of awareness of the AE implementers (experts, supervisors, coordinators, facilitators) at different levels towards the existing AE strategic policy documents.
- Furthermore, the study may help stakeholders in the AE sector to understand their level of participation in the process of AE strategic policy formulation and implementation. The study may also lead to further in-depth studies in the field of AE strategic policy formulation and implementation.

1.6 SCOPE OF THE STUDY

In order to make the study manageable, it was geographically limited to two regions; namely, Oromia Regional State and Addis Ababa City Administration. Oromia Regional State is the largest region in the country. Hence, the researcher believed that the region could represent the diverse nature of AE programmes in the country. Addis Ababa, as the largest city administration and the capital of the country was selected to represent the nature of AE programme in urban areas.

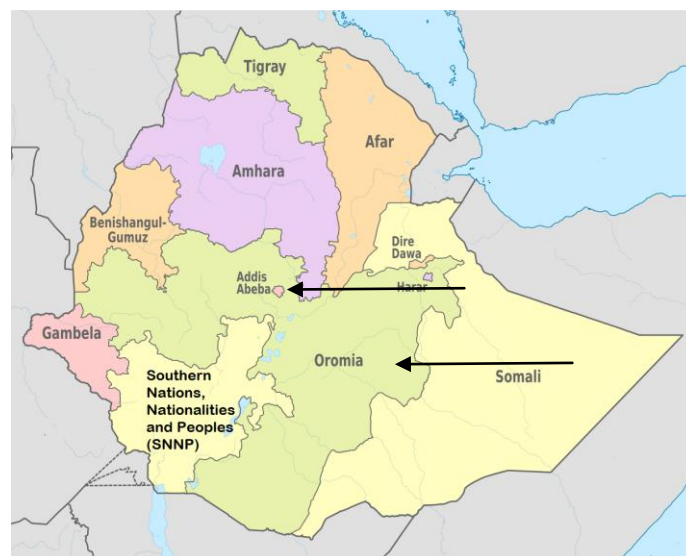


Figure 1.1: Map of Ethiopia showing research areas

Conceptually the study was limited to the formulation and implementation of AE strategic policy in Ethiopia. More specifically, it focused on the processes of AE strategic policy formulation and the current implementation of the strategic policy documents. This was done by conducting interviews and analysing documents.

Although AE programmes are diverse and delivered in different modes, the study was limited to adult basic education programmes (currently called ‘integrated functional AE’) run by the government. The study focused on the process of policy formulation and implementation from top federal level to lower centre level following the existing decentralised political structure of education in the country.

1.7 RESEARCH METHODOLOGY

The purpose of the study was to examine the practices and challenges of AE policy formulation and implementation in Ethiopia. To guide the study the researcher used constructivism paradigm and a qualitative research design using in-depth interviews and documents analysis as data collection methods. The study uses transformative theory and adult learning theory (andragogy) as a basis to approach the basic research questions set by the researcher. Thematic analysis was used to analyse the data. Nieuwenhuis (2007:60) stated that the ultimate aim of qualitative research is to provide insights into the way in which a particular group of people makes sense of their situation or phenomenon that they encounter. The researcher closely interacted with AE authorities and experts at different levels to gain the understanding of how they experience the formulation and implementation of AE strategic policies in the country. The details on research methodology are discussed in chapter 4 of this study.

1.8 DEFINITION OF KEY CONCEPTS

- Adult: is an individual regarded in his/her own culture as having assumed or able to assume the responsibilities, interests and rights (social or legal) of citizen (Jarvis, 1990:5).
- Adult education: AE as used in this study refers to formal and non-formal education and training for out-of-school youth and adults (Tuijnman, 1996: 35).
- Adult education strategy policy: a policy document (NAES) used as a framework to guide AE sector in Ethiopia.
- Key working documents: policy documents (guidelines, frameworks, manuals, directive, etc) prepared by MoE to facilitate the implementation of NAES.
- Policy formulation: Policy formulation is the development of effective and acceptable courses of action for addressing what has been placed on the policy

agenda. It is the decision process by which individuals, groups or institutions establish policies pertaining to plans, programmes or procedures (Hayes, 2014).

- Policy implementation: Implementation is the realisation of an application, or execution of a plan, idea, model, design, specification, standard or policy. In this study, implementation means making use of and putting into practice AE policy documents such as strategies, manuals, rules and procedures as set out by MoE and Regional Education Bureaus (REBs) in Ethiopia.

1.9 CHAPTER OUTLINE

This study comprises six chapters.

- Chapter 1 provides the background to study, statement of the problem, aim and objectives of the study. In addition, the chapter outlines the significance and scope of the study and provides definitions of key concepts. A brief introduction to the research methodology is also provided.
- Chapter 2 deals with theoretical framework of the study. The chapter discusses transformative theory and adult learning theory (andragogy) and their implications for AE policy formulation and implementation in the Ethiopian context.
- Chapter 3 presents review of related literature on AE policy formulation and implementation.
- Chapter 4 presents the empirical research design and methodology used in conducting the study.
- Chapter 5 includes the analysis, presentation and discussion of data obtained from interviews and documents related to the study.
- Chapter 6 presents the summary, conclusion and recommendations of the study.

1.10 CHAPTER SUMMARY

Chapter 1 discussed the background to the study, the problem statement, the aim and objectives of the research, the basic research questions and the research methods. The chapter also discussed the significance of the study for various stakeholders and implementers at different levels and definitions of key concepts. The next chapter (chapter 2) presents the theoretical framework of the study.

CHAPTER 2

THEORETICAL FRAME WORK

2.1 INTRODUCTION

In the processes of conducting research, a theoretical framework is used as the lens through which a study is approached. A theoretical framework provides a basis for addressing a specific problem. For this study, the researcher selected two theories, namely transformative theory and adult learning theory. The chapter therefore discusses the significance of the selected theories to this research. Through a theoretical framework, the researcher can acquire the necessary information for the questions that need to be asked, literature to be reviewed and the research methods to be used to conduct the study (Ndou, 2015:15). Therefore, in this study the researcher used the two theories to guide the study in relation with adult education policy formulation and implementation.

2.2 TRANSFORMATIVE THEORY

2.2.1 Concepts of transformative theory

Different scholars perceive the meaning of transformative learning theory from different perspectives. For instance, Freire (2000:39) understands transformational learning as emancipating people's minds, helping people to shift their perceptions and to struggle for social change. King (2000:69) defined transformative learning theory (TLT) that changes how people understand themselves and the world they live in. It encompasses an awareness of change. According to Cranton (2006:36), transformative theory refers to the process by which people examine problematic frames of reference to make them more inclusive, discriminating, open, reflective and emotionally able to change.

According to Mezirow (2000:26), the major proponent of TLT, the theory refers to reasoning process that people use to participate and react on and reflect their view about the world, which may lead to changes in their view of the world. To bring about this shift, those persons involved in reflective dialogue need to shift their view and motivate members of the group to think about things from different angles. It is important that individuals participating in reflective discussion have clear and correct information about the issue for discussion, and the participants need to be free from

any bias, getting together in a situation of acceptance, understanding and trust. This study was intended to examine the view of the participants on AE policy formulation and implementation whether the current policy documents are developed and implemented in accordance with the discussion made above or not.

2.2.2 Assumptions of transformative theory

Transformative theory was developed by Jack Mezirow in 1978. According to Cranton (1994:22), since 1978, the theory of transformative learning gradually developed into a complex and comprehensive understanding of the way adult learners interpret, validate, and reconstruct the meaning of their experiences. For adult learners to change their beliefs, attitudes, and emotional reactions, they should be involved in critical reflection on their experiences, which in turn leads to a transformation. The meaning schemas that make up meaning structures may change as an individual adds to or integrates ideas within an existing schema and, in fact, this change of meaning schemas occurs repeatedly through learning (Mezirow, 1991:167).

Knowledge, in the twenty-first century, is changing constantly and expanding exponentially. Thus, the concept of lifelong learning has taken on a new meaning in the changing world of knowledge and technology, and adults face a challenge to change by improving their knowledge and skills. This has created the need for a deeper understanding of the way adults learn, and how their learning can be facilitated. The assumption is that facilitators of adult learners should apply different methods of facilitation based on the theory of adult learning (andragogy), which states that adults expect a learner-centred learning environment where they can set their own goals and organise their own learning around their present life needs.

2.2.3 Transformative theory in practice

The active interaction between the following factors plays a significant role in determining the way adult educators assist adult learners to achieve transformative learning (Wang & Sarbo, 2004: 208).

- Different perspectives on adult learning. These philosophies provide the guiding principles for facilitators of adult learners and are internal factors.

- For facilitators of adult learning, learner needs, learner styles, learner experience, learning environment and learner motivation are external factors. Together with facilitators' philosophies, they are the 'what' factors that determine how facilitators of adult learning should go about helping adults learn and hence assume their roles and select their methods for teaching.
- The roles of adult facilitators and their methods of facilitation lead more specifically to how facilitators of adults learning help adults learn. Without the 'what' factors, the process of 'how' may not be achieved in helping adults learn. Hence, transformative learning may not be realised.
- For adult learners to change to a more inclusive and integrative perspective or to 'liberate' them, critical reflection is key to transformational learning.
- The roles of adult facilitators and their methods of facilitation may be impacted by other factors. Contextually adapted philosophies play a role in determining the roles of facilitators, the methods they use to teach and the way they interact with learners. Therefore, learners' critical reflection is greatly impacted by these factors.

A contextually adapted philosophy helps define the role of adult educators by providing a conceptual framework for incorporation into their facilitating methodologies. More importantly, understanding this complex, interactive process helps facilitators maximise their effectiveness. Adult educators' roles are directly influenced by their philosophical perspectives and related educational purposes. If the objective of AE is to promote the adult learners' transformation and emancipation, then the role of adult educators is to enhance the critical reflection process, which is embedded in the transformational learning theory (Mezirow, 1991:197).

Life experiences and prior knowledge are the two important elements that adult learner brings to the learning process and are used by the learner to make connections to new learning. The difference between adult learners and child learners is that the adult learner has more life experiences and prior knowledge than the child. In the process of adult learning, the environment in which the learning occurs must be free from risk and the learners must feel safe and secure and be

encouraged to participate in new learning. In the facilitation process of adult education programme, learning is the responsibility of the adult learners.

The self-directed nature of the adult learning process determines the content of the learning or what will be learned. Setting learning goals is one of the crucial elements of self-directed learning. Hence, adults appear to have an understanding of the self-directed nature of the process and make conscious decisions regarding the learning through formulation of learning goals for their own learning. In order for learning to take place, adults have to be active participants in what is being learned. Such an active participation of adults is required to ensure that the new knowledge is internalised to the point where the knowledge can be transferred into practical contexts. Since adults have more prior knowledge and more life experiences to bring to the learning situation, internalisation and transfer of knowledge may take less time. The more adults are actively engaged in the learning process, the faster the required knowledge is obtained and the better the knowledge is learned. Active involvement is influenced by a risk free and safe learning environment, self-directed learner characteristics, alignment with life experiences and prior knowledge, immersion, demonstrations, feedback, and learner responsibility as well as motivation for the adult learner (McDonough, 2013: 345).

Transformational learning in AE occurs when it is integrated with life experience of adult learners. The whole notion of transformative learning in AE is to make sense of life experience of the adult learners. Therefore, the main goal of AE is to provide adult learners with the opportunity to be involved in the problem-solving process, which is in line with Paulo Freire's concept of problem-posing education (Kheang, Somanita, 2019:2). Transformative learning can be maximised when self-direction is encouraged among adult learners. The end results of critical reflection in transformational learning are transformation and emancipation. Experience can be considered as key to critical reflection. If the purpose of AE is to transmit culture and social structure to promote social change and to develop individuals open to change and lifelong learning, then it is appropriate for adult educators to be humanistic and progressive. Thus, due to the efforts of the founder of transformative learning, Mezirow, this theory is considered as unique to adults. The theory has identified such factors which produce transformative learning in adult learners. Mezirow, J., & Taylor, E. W. (2009: 58.) understood transformative learning as the process of using

a prior interpretation to understand a new interpretation of the meaning of one's experience in order to guide future action. To conclude, the major differences between adult and child learners are the application of prior knowledge, life experiences and learner responsibility during the learning process: adult learners make conscious decisions regarding the self-directed learning in which they actively participate, and consciously take on responsibility for new learning for various conscious self-directed reasons. Thus, adult educators need to adapt their teaching methodologies and roles to facilitate adult learners' transformative learning.

Adult educators seeking to foster transformative learning within their classes may need to consider the following:

- Creating a climate that supports transformative learning. Taylor (2000:63) suggested that facilitators of adult learning need to be trusting, empathetic, caring, authentic, sincere, and demonstrative of high integrity. The facilitators need to provide learners with immediate and helpful feedback; use activities that promote adult learners' autonomy, participation, and collaboration; help them to explore alternative perspectives; and involve them in problem-solving and critical reflection.
- Knowing the learners and the types of learning activities that most appeal to them. Cranton (2000:65) suggested that thinking types who enjoy logic will appreciate case studies, debates, critical questioning, and analyses of theoretical perspectives. Those who are not comfortable with dialogue and having their ideas challenged may be more successful when learning occurs in harmonious groups in which participants discuss alternative viewpoints. The experiential learner may enjoy field visits and simulations, and the intuitive learner may appreciate brainstorming and games involving imagination.
- Developing and using learning activities that explore and expose different points of view. Cranton (2002:63) suggested using films and short stories to teach adult learners. She also suggested having learners involved in journal writing to participate in self-reflection. The facilitator can ask a learner to write a short autobiographical essay and then ask other learners to review and reflect on the writer's assumptions. Each learner can take a turn at writing their autobiographical essay. Another technique is to use critical incidents to drive a

reflective discourse, in which learners reflect on an experience, either good or bad, and analyse their assumptions and various perspectives. When the facilitator writes and shares as an equal, an atmosphere of trust and openness is fostered.

Our frame of reference or meaning perspective consists of two dimensions, namely “habits of mind” and resulting “points of view” (Mezirow (2008) cited in Gravett (2005:28). As indicated in figure 2.1, Gravett discusses there are three central themes in Mezirow’s theory of transformation: the central role of learners’ existing frame of reference in new learning; critical reflection as relates to meaning transformation; and the verification of beliefs rational discourse.

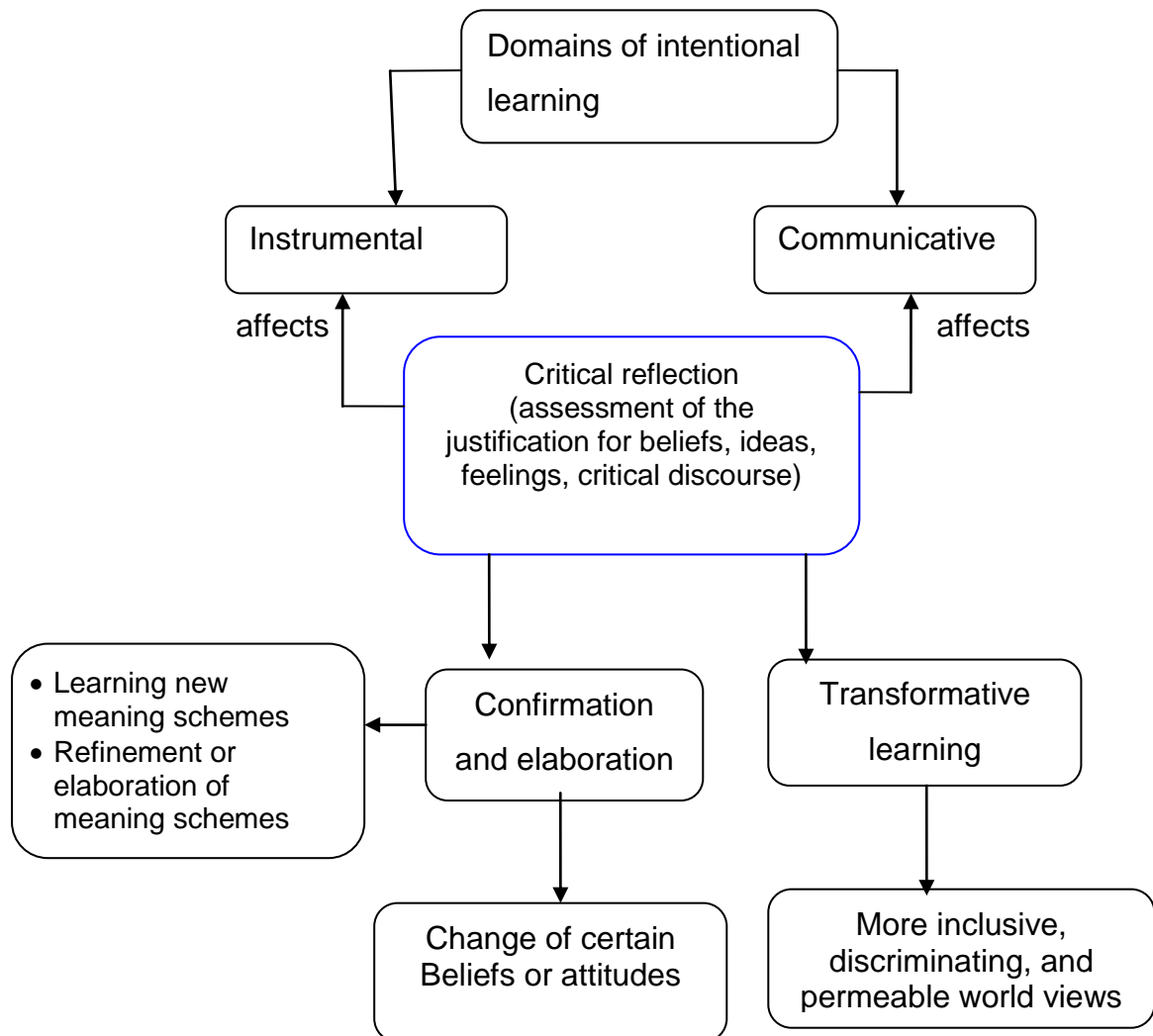


Figure 2.1: Transformative learning (source: Adapted from Sarah Gravett (2005) Adult Learning)

Transformative learning occurs (as indicated in figure 2.1) when, through critical reflection assessment which would be the result of critical discourse, an individual questions and revises old or develops new assumptions, beliefs or ways of viewing the world. Thus, the transformative learning process involves individuals gaining an enhanced level of awareness of their current beliefs and feelings, accompanied by a critique of their assumptions and premises. It also includes an assessment of alternative perspectives, a decision to negate an old perspective in favour of a new one or to make a synthesis of old and new, and a desire to fit the new perspective in to a broader context of one's life.

From the discussion made above, the researcher of this study argues that in order to apply transformative learning theory in adult education programme there are points need to be considered: first, the policy documents of the adult education programme should be design and formulated in promoting critical thinking and reflection; second, the approach in which the adult education programme is lead by should be in line with the theory of transformative learning; third, adult education programme policy makers and implementers have to understand and equip with the principles of transformative learning theory. As it is clearly indicated in chapter 2, under subtopic 1.2 on page 12, the target of this study was to investigate whether the low level of literacy in Ethiopia is caused because of the approach that AE programme follows especially in designing and formulation of strategic policy documents or because of the implementation strategy of adult education programme or both.

2.2.3.1 The role of the educators

To foster transformative learning, the educator's role is to assist learners in becoming aware and critical of assumptions. This includes their own assumptions that lead to their interpretations, beliefs, habits of mind or points of view, as well as the assumptions of others. Educators must provide learners with opportunities to practice recognising frames of reference. By doing so, educators encourage practice in redefining problems from different perspectives (Mezirow, 1997:7). The goal is to create a community of learners who are "united in a shared experience of trying to make meaning of their life experience" (Loughlin, 1993:320).

Educators need to provide learners with opportunities to participate effectively in discourse. Discourse involves assessing beliefs, feelings and values (Cranton,

2006:8). This dialogue has the goal of assessing reasons behind competing interpretations through critical examination of evidence, arguments and alternative points of view. Learners are able to validate how and what they understand, and can develop well-informed judgments regarding a belief. Educators can encourage critical reflection and experience with discourse through the implementation of methods including metaphor analysis, concept mapping, consciousness raising, life histories and participation in social action.

The educator must encourage equal participation among students in discourse. One strategy is to encourage procedures that require group members to take on the roles of monitoring the direction of dialogue and ensuring equal participation. Educators can also encourage dialogue from different perspectives through controversial statements or readings from opposing points of view. It is necessary that the educator avoids shaping the discussion (Cranton, 2006:6).

The role of educators is also to set objectives that include autonomous thinking. By fostering learners' critical reflection and experience in discourse, autonomous thinking is possible. The foundations for thinking autonomously begin in childhood and continue into adulthood. The educator assists adult learners in becoming more critical in assessing assumptions, better at recognising frames of references and alternative perspectives, and more effective in collaborating with others to assess and arrive at judgments with regard to beliefs (Mezirow, 1997:7)

It is the role of the educator to promote discovery learning through the implementation of classroom methods such as learning contracts, group projects, role play, case studies and simulations. These methods facilitate transformative learning by helping learners examine concepts in the context of their lives and analyse the justification of new knowledge.

The educator's role in establishing an environment that builds trust and care and facilitates the development of sensitive relationships among learners is a fundamental principle of fostering transformative learning (Taylor, 1998:4). The educator also serves as a role model by demonstrating a willingness to learn and change. Teachers should provide the environment to allow students to reflect on their transformative learning experiences, but also to allow them to reflect on their

own (King, 2004:2). As a result, professional development is important to assist educators in becoming authentic and critically reflective (Cranton & King, 2003:31).

Mezirow (1997), cited in Cranton & King, 2003:31) outlines three ways in which experience is interpreted through reflection: content reflection is the investigation of the content; process reflection includes checking on the problem-solving strategies that are used in the classroom; and premise reflection is the question of the problem itself.

Transformative learning about teaching occurs when educators critically examine their practice and develop alternative perspectives of understanding their practice (Lysaker & Furuness, 2011:183). It is essential that fostering this critical examination becomes part of professional development. The role of professional development is to assist educators in gaining awareness of their habits of mind regarding teaching (Cranton & King, 2003:31). As this professional development occurs, educators critically examine the assumptions that underlie their practice and the consequences of their assumptions, and develop alternative perspectives on their practice. Educators need education and professional development that will help them to question, challenge and experience critical discussions on school improvement. Transforming educators so they see themselves as agents of social change can be a challenge within education (Lysaker & Furuness, 2011:183).

Hence, the theory helped the researcher to examine the practices of AE policy formulation and implementation in the area through conducting in-depth interview with adult educators. Through in-depth interview the adult educators could critically examine and analysed the current situation of adult education programme and reflect their understanding. In addition to this the theory enabled the researcher to investigate whether the existing policy documents have been developed and implemented in accordance with the philosophy, principles, approaches and theories of adult education or not.

2.2.3.2 The role of the learner

In the process of transformative learning theory, the educator becomes a facilitator when the goal of learning is for learners to construct knowledge about themselves, others and society. As a result, learners play an important role in the learning

environment and process (Cranton, 2006:31). Learners must create norms within the classroom that include civility, respect, and responsibility for helping one another learn. Learners must welcome diversity within the learning environment and aim for peer collaboration.

Learners must become critical of their own assumptions in order to transform their unquestioned frames of reference. Through communicative learning, learners must work towards critically reflecting on assumptions that underlie intentions, values, beliefs, and feelings. Learners are involved in objective re-framing of their frames of reference when they critically reflect on the assumptions of others. In contrast, subjective re-framing occurs when learners critically assess their own assumptions (Mezirow, 1997:8).

The role of the learner involves actively participating in discourse. Through discourse, learners are able to validate what is being communicated to them. This dialogue provides the opportunity to critically examine evidence, arguments, and alternative points of view, which fosters collaborative learning. In the same way, in this study, through in-depth interview, adult learners were given the chance to critically examine the current situation of adult education programme policy formulation and implementation in their locality and reflect their views, feelings and understanding.

2.2.3.3. Criticism on transformative theory

The critics of transformative learning theory generally state that transformative learning focus solely on personal or individual transformation disregarding social interaction and transformation. In addition, (Taylor, 1998) claims that transformative learning is too narrow and it is cognition centred. It makes use of only rational and critical thinking but neglects the role of feelings and emotions. In addition, Boyd and Myers (1998:261) state that transformative learning fails to notice the transformation with the help of developing thoughts and actions as an unconscious process. According to these critics, Mezirow does not mention affective, learning domain where emotions, beliefs and bias play an important role. In fact, for them, reflecting or thinking alone does not function and cannot lead to transformative learning. For some other critics, while transformative learning theory stresses rationality too much, it neglects and never mentions the role of emotional factors (Brooks, 1989), affective

domain of learning, the power of feelings, and aesthetic experience (Kokkos, 2010:9; Raikou, 2016:14). Another critical argument is that the ten phases founded in the transformational learning theory do not explain long-term learning or learning that reoccurs in cycles. According to Newman (2012:49), transformational learning cannot be taken as a holistic theory for all people. Although formal and institutional settings have attempted to introduce elements of transformational learning, transformative learning is mainly regarded as learning theory used in non-formal settings. In this study in considering the critics given by different scholars the researcher tried to use alternative ways of questioning, and managing discussion during interview to get the real feelings of the respondents of the study.

2.2.3.4 Application of transformative theory to this study

Transformative learning is a theory used for transforming problematic practices to form new and independent frames. In other words, the transformation or change in the perspective of the individual can have impact on her or his future experiences.

In this study, to examine the practice of adult education programme policy formulation and implementation both policy makers and programme implementers were participated. In order to collect information in-depth interviews were administered to the participants. During the interviewing process the participants were given the chance to critically examine the processes of policy formulation and the practices of adult education policy implementation in their specific organization. In doing so, the participants were discussed their experiences, feelings, perception, and understanding freely. After the data were collected from the interviewees, organization and critical analysis was made by the researcher.

2.3 THEORY OF ADULT LEARNING (ANDRAGOGY)

2.3.1 Concepts of andragogy

According to Kearsley (2010:3), Malcolm Knowles is the father of the andragogy, “the art and science of helping adults learn.” He compared and contrasted the concept of andragogy with the concept of pedagogy “the art and science of teaching children” (Hamilton, 2011:1). Knowles also suggested the five interrelated assumptions concerning characteristics of adult learners.

As stated by Merriam (2017:21), different authors define adult education in different ways based on their contexts and explain the concept of adult education, models, theories, and principles that how (methodology) or why (purpose) adults learn. What we know about adult learning is that it pervades all fields of practice, ranging from continuing professional education to basic literacy classes to on-the-job training. Learning is a lifetime activity for adults. However, they often do not consider that they are always learning. In this regard, Jarvis (1992 as cited in Merriam, 2017:21) stated that learning is a process of transforming, experience, knowledge, skills, attitudes, values, and beliefs from generation to generation.

In the mid-1960s, educators in the field of AE started investigating adult learning and derived different theories, models and frameworks differentiating adult learners from children. These contributions led to AE acquiring its own identity as a field of study separate from childhood education.

2.3.2 Assumptions of andragogy

The core assumptions of andragogy are summarised below:

- Self-concept: adult learners shift from being dependent on others to promoting self-directed learning as they become mature and able to take charge of their own learning. In other words, as an individual matures, their self-understanding grows from being a dependent personality towards being a self-directed individual.
- Experience: it is assumed adult learners have many experiences gained during their lifetime. It is believed that adult learning is guided by these experiences. When a person matures, they accumulate more experience that provides an increasing resource for adult learning.
- Readiness to learn: Adult learners become eager to learn if they believe the learning will enhance their social standing or improve their lives.
- Orientation to learning: Adult learners are problem-oriented and need to use the new skill, knowledge and experience immediately. It is believed that as an individual matures, their understanding of time shifts from one of future use of skill and knowledge to immediate use, and at the same time their perceptions of learning change from being subject-oriented to problem oriented.

- Motivation to learn: Adult learners have an internal motivation for learning because they know the purpose of their learning is to solve their day-to-day problems.

The assumptions listed above have an impact on the practical execution of adult learning. Regarding the practical implications of the assumptions mentioned above, Knowles (1984:56) suggested the following strategies for adult educators, practitioners and policy makers. Because adults want to know the reason why they are learning something; and a good facilitator wants to make clear their rationale for teaching specific skills, knowledge and attitude, they need to:

- establish a cooperative classroom learning environment;
- evaluate the specific needs and interests of learners;
- formulate learning objectives by considering the skill levels, interests and needs of the learners;
- set sequential activities to meet the set objectives;
- choose appropriate methods, materials, and resources for the teaching and learning process with active participation of the learners;
- appraise the quality of the teaching and learning activities; and
- make amendments as needed while identifying needs for continual learning.

Adults learn by practice, thus, good teaching learning activities focus on tasks that adults can perform, instead of memorisation of content. The purpose of adult learning is to solve the immediate problems of adult learners. Furthermore, adults learn best when the subject is of immediate use, and effective instruction involves the learner in solving real-life problems.

Thus, the intention of this research was to examine whether the policy documents of the AE sector of Ethiopia are in line with the Knowles' assumptions of adult learners or not. In addition, the study also evaluates the application of Knowles' assumptions by AE programme implementers (facilitators, experts, supervisors, coordinators, managers and others) of the AE programme in the country.

2.3.3 The fundamental principles of andragogy

Theoretical concepts of adult learning affect the design and development of training programmes and facilitate the learning experience which should be embedded in all

company courses and training. More and more businesses are becoming increasingly aware that these adult learning principles need to be taken into account in design and development of training courses for end users. In order for adults to learn effectively, training needs to be designed in a way that meets the requirements of adult learning. According to Knowles, Holton and Swanson (1998:64), some of the main principles of AE are:

- **Learn by doing:** Considering adults' life experience is one of principles in facilitating adult learning. Therefore, their learning and training interventions should include active and practical engagement and provide applicable methodologies that will immediately improve their day-to-day lives.
- **Relevance:** There should be meaningful and relevance between the content of adult learning programme and adult learners' lives and their businesses. Adult learners need to be aware of why and how the content is essential to them and how the content can be applied to their lives. The practical applicability and use of the selected content and learning must be understood by the learners. If they cannot see how they can personally apply the learning to their own life and roles, acceptance of the adult learning programme may be significantly decreased.
- **Experience:** Adult learners rely on their past experiences to support their learning. Learning should be contextualised to use language that they are familiar with. The learning programmes need to provide real-life cases and examples in relation to learning. In addition, they should refer to their life circumstances, work and social experiences to bring the meaning of the learning into their world as they understand it.
- **All of the senses:** A multi-sensory learning and teaching methodology is one of the methods needed by adult learners. AE programmes should make sure the programmes meet the needs of audio, visual, reading/writing, kinaesthetic, dependent and independent learning preferences.
- **Practice:** In order to solve their daily problems, adult learners need to be actively involved in learning programmes. Practising skills in a controlled environment allows adult learners to develop self-efficacy in new tasks that prepare them to perform autonomously outside of the learning environment. The more an adult learner can practise new skills, competencies or the application of knowledge, the greater the transformational impact will be.

- Personal development: When designing and delivering AE programmes the inherent personal desires and ambitions of adult learners need to be considered. As adult learners get older, their interest in participating in learning programmes often moves from external drivers like getting a promotion to internal drivers, such as learning out of pure interest in learning something new.
- Involvement: Adults need to be involved in the planning, evaluation and consultation of their own learning process to be fully on board with its successful implementation. Therefore, effective adult learning programmes need to include learner feedback and consultation. Adults need to feel as though they have a sense of responsibility, control and decision-making over their learning.

As discussed above, the purpose of this research is to examine whether the current AE programmes in the study area are being implemented in line with AE principles. Therefore, it can be concluded that AE requires flexibility in the learning situation and the learning programme and most importantly, the educator needs to actively involve the participants (adult learners) in a way that allows them to have a degree of control over what they do, or, in fact, how much they learn.

2.3.4 Self-directed learning in andragogy

Adults are autonomous and self-directing, meaning that they control their own lives and act according to their own laws, beliefs and values. They need to know the benefits, values and purposes of a learning programme. They need to know why they are learning and what they are learning. If they cannot appreciate the purpose or value, they will be reluctant to engage in the learning intervention. Therefore, AE programmes, policies, strategies and methods need to be formulated and implemented based on the needs of the adult learners and the community. For this to happen, adult learners have to be involved actively in planning, implementation and evaluation of the programme at all levels.

Self-directed learning (SDL) is a “process in which individuals take the initiative, without the help of others” in planning, implementing, and evaluating their own learning experiences (Knowles, 1980:81). SDL is an informal process that is first and foremost occurs outside the classroom. In the process of SDL it is the learner who can decide on content, methods, resources, and evaluation of the learning. During SDL, individual learners have the power to determine their own learning process by

identifying their needs, setting goals, identifying resources, executing a plan to achieve their goals, and examining the results of learning.

The advantage of SDL is that learning can easily be incorporated in day-to-day activities at the learner's convenience and according to their learning choice. It can engage the learner in individual activities. It can also involve the learner in exchange of information with professionals and colleagues as in a conventional classroom.

SDL can be difficult for adults with low level literacy skills who may lack independence, confidence, internal motivation or resources. Brookfield (2005:111) suggested that not all learners prefer the self-directed option and that many adults who engage in SDL also engage in more formal educational programmes, such as teacher-directed courses. Within the AE setting, the teacher/facilitator can augment traditional classroom instruction with a variety of techniques to foster SDL for individuals or for small groups of learners who are ready and willing to embark on independent, SDL experiences. Self-direction is a critical component of persistence in AE, helping learners recognise how and when to engage in self-study.

Hamilton (2011:2) suggested the following strategies for managing SDL. The facilitator can assist the learners to:

- perform a self-evaluation of skill levels and needs to determine appropriate learning objectives;
- locate the initial point for a learning programme;
- the necessary material resources (books, articles, content experts) and methods to the learning goal needs to be identified;
- consult a learning agreement with stakeholders that identifies learning goals, strategies, and evaluation criteria;
- obtain methods to decide self-evaluation of work;
- establish positive attitudes and independence relative to SDL;
- give feedback on what they are learning;
- motivate and help learners throughout the process of learning; and
- provide different alternatives as evidence of successful learning outcomes.

Hence, this study examined whether the current AE policy documents are formulated in accordance with SDL strategies as suggested by Hamilton (2011:2) or not. The

study also explores the consideration of SDL strategies during the implementation of AE policy documents at all levels of the structure.

2.3.5 Criticism of andragogy

Brookfield (2005:35) criticised the andragogical theory as “culture blind.” He argued that the idea of SDL and the idea of the learners’ creating a non-threatening relationship with the facilitator of learning may ignore race and cultures that value the facilitator as the sole source of knowledge and direction. In this regard, the researcher agrees that AE programme should accommodate a transactional relationship between adult learners, educators (facilitators, experts), and other stakeholders.

2.3.6 Bringing theory into practice

The art of meeting adults’ learning needs requires having the knowledge of different assumptions, theories or principles of how adults learn. It also needs to use these principles, theories, or assumptions in practice. In order to apply these theories in the process, adult learning scholars suggest that AE programmes should:

- include writing in different situations to encourage self-reflection and articulation of learning because writing is considered as a natural way for individual’s self-reflection, and improving personal writing is a method to bring stories of personal problems, growth, resilience, and dreams into a discussion.
- involve newcomer adults, to enhance their SDL, self-study, and persistence.
- give comments that challenge learners’ understanding and intensify their critical thinking.

2.4 INTEGRATION OF THE TWO THEORIES

In this study the two theories- transformative and adult learning theory (andragogy) complement each other. Self-directed learning is known as a key element in adult education practices in both andragogy and transformative learning. Because, self-directed learning as “a process in which individuals take the initiative without the help of others in diagnosing their needs, formulating goals, identifying human and material resources, and evaluating outcomes” (Knowles, 1975: 75).

Andragogy supported the fact that adults have a need to utilise their previous experiences to guide their thinking system as well as their current learning process, while transformative learning theory is known as the process in which adults are thinking critically while they reflect on their previous learning experiences, so that they can generate a new understanding of their current situations. The intersections between andragogy and transformative learning, thus, are explored through perspective transformation of adults.

Andragogy's qualitative perspective include preparation, setting a climate conducive to adult learning, mutual planning, needs diagnosis, setting objectives, learning design, conducting activities, and evaluation of needs. Similarly, transformational Learning goes through different phases: a disorienting dilemma; self-examination with feelings of guilt or shame; critical assessment of assumptions; recognizing one's transformation process is not unlike what others experience; exploration of options for new roles, relationships, and actions; planning action; gaining knowledge and skill for plans; trying out new roles; building of competence and self-confidence in new roles and relationships; and, reintegration of the new perspective into life. Nonetheless, it is very important to note that the phases of TL are deeply rooted in Mezirow's (1981) charter for andragogy, which asserts that to assist adults in enhancing their capability for functioning as self-directed learners.

The influence of transformation theory and andragogy to promote growth and change in the adult education is as unique as practitioner's experiences in the real world (Knowles, 1995; Mezirow, 1991) and in conjunction with students' teaching and learning philosophies.

Hence, after critically analyzing the responses of the participants on adult education policy implementation the study proposed a model that may work for the implementation of AE programme in the country. The Model is cited at the end of chapter six of this study under sub topic 6.9.

2.7 CHAPTER SUMMARY

In this chapter, the theoretical framework of the study was discussed. The two important theories that anchored the study in relation with AE and policy concepts were the transformative theory and theory of adult learning/Andragogy. Within

andragogical theory, an approach relevant with adult learning – SDL – was discussed. The next chapter (chapter 3) presents a review of relevant literature.

CHAPTER 3

LITERATURE REVIEW

3.1 INTRODUCTION

Chapter 3 presents the review of related literature on the practices and challenges of AE policy formulation and implementation. The emphasis of the review is in line with the four research questions stated in Chapter 1. The literature review is structured according to the following major topics.

- Conceptual understanding and perspectives on policy in general and AE policy in particular;
- International experiences on AE policy formulation and implementation (UK, USA, Brazil and Kenya);
- Ethiopian practices in AE policy formulation and implementation;
- Policy formulation and models;
- Policy implementation; and
- Lessons Ethiopia can learn from other contexts

The terms policy, policy formulation and policy implementation are key terms in this study. These terms are discussed in different sections of the study.

3.2 CONCEPTUAL UNDERSTANDING AND PERSPECTIVES ON POLICY

3.2.1 Concept of policy

Birkland (2016: 132) states that a policy has a purpose to meet: it is designed to achieve defined goals and presents solutions to societal problems. More precisely, policy is government statements of what it intends to do or not to do, including law, regulation, rules and decision. Policy, on the other hand, is a more specific term, which refers to a long series of actions carried out to solve societal problems (Newton and van Deth 2005: 263).

The word 'policy', currently, is a widely used concept in our daily communication. According to the Oxford Dictionary, policy means 'plan of action' or 'statement of aims of ideals' (Taylor *et al.* 1997:1). For instance, Koontz and Weihrich (2004:65)

regarded policies as a distinct type of plan along with strategies, rules, procedures, methods and standards.

In the same way, Haddad (1995:15) described policy-making as the first step in any planning cycle, and stated that planners must appreciate the dynamics of policy formulation before they move to designing, implementing and evaluating procedures. It follows from this definition that policy-making is a rational process, but is impacted by factors such as power values, ideals and personal interests which all play a role in articulating what policy is and for whom it is intended (Rundell, Fox & Hoey 2002:109).

Bell & Stevenson (2006:9) argued that policy development is not a self-contained, linear or rational process– rather it is likely to occur at a range of levels almost simultaneously. This has implications for the organization of educational institutions and for their leadership and management.

Once a policy is formulated, the policy-making group needs to empower implementers and equip them with resources and budgets, and set a timeframe for monitoring and implementing the formulated policy (Chang 2006:1; Ratsatsi 2005:1). According to Lather (2004:288) and Caffrey (2009:3) the results of policy are usually evaluated by internal and external evaluators within a set timeframe. The findings of the evaluators determine if the policy and the implementation strategies are in alignment. The progress or success of policy is assessed, and remedies are put in place for deviations or to address difficulties with implementation.

3.2.2 Concept of education policy

Education policy is initiatives mostly by governments that determine the direction of an educational system (Okoroma, 2000:190). Okoroma further discusses education is a distinctive way in which the society inducts its young ones into full membership. So, every modern society needs some educational policies to guide it in the process of such initiation. In the view of Okoroma, educational policy is directed towards increasing the quality of life of a people. Hence, the researcher of this study believes that the objective of education policy should target to satisfy the needs of individual, and community.

For a policy to qualify as an educational policy, it must be distinct from other policies. This is to mean that, educational policy is distinguishable from other policies by the fact that policy on education is part and parcel of educational institutions.

In order to cope up with new technologies, new social movements and changing global economy governments around the world are trying to reform their education policy. As a result, education policy finds itself at the centre of a major political struggle between those who see it only for its instrumental outcomes and those who see its potential for human emancipation (Taylor *et al.*, 1997:10).

The earliest policies in education outlined a range of requirements that governed the administration of government education institutions. These included not only prescriptions for curriculum, pedagogy and assessment but also such matters as the conditions of teacher employment and the physical maintenance of school buildings, as well as the requirements concerning student attendance. Many of these policies were written down in documents that teachers and administrators needed to consult in order to perform their duties.

Policies in education thus had two main functions: to provide an account of those cultural norms which were considered by the state as desirable in education; and to institute a mechanism of accountability against which student and teacher performance could be measured. These remain two of the most important functions of educational policies. However, since the 1960s, education policies have increasingly performed yet another significant function: that of boosting and managing public calls for change, giving them form and direction. As society has become more complex, and interest groups more assertive, governments have had to construct policies which attempt to respond effectively to their demands. Educational policy has thus become a bureaucratic instrument with which to administer the expectations that the public has of education.

Economic restructuring has not, however, been the only factor responsible for a changed policy climate in education. Technological changes have also demanded revision to educational policy, and in particular to curriculum priorities and pedagogical styles. If the emergence of new technologies has changed the patterns

of everyday life and powerfully restructured work and leisure as dramatically as many suggest, then education cannot remain ignorant to these changes. Similarly, changes in social attitudes towards authority, particularly among young people, have also created new pressures for education. As (Taylor *et al.*, 1997:12) has discussed, students brought up on the cultural values of the globalised mass media are unlikely to be comfortable with the requirements of bureaucratically defined regimes of discipline. Such cultural and attitudinal changes have demanded policy shifts in education. At the same time, people are no longer prepared to leave policy making to politicians and bureaucrats. They wish to be involved in the steering of policy processes.

This discussion indicates that educational policies do not emerge in a vacuum but reflect compromises between competing interests expressed by the dominant interests of the existing ideology on the one hand and the oppositional interests of various social movements on the other. While it is true that policies are responses to particular social changes, it is also the case that these changes may themselves be represented in a variety of different ways, and accorded contrasting significance.

Concerning to its formulation, policies are rarely written on a tabula rasa but rather on a well-occupied existing laws, organisations and clients. Policy is thus an instrument through which change is mapped onto existing policies, programmes or organisations, and onto the demands made by particular interest groups. To put forward a policy is to acknowledge that a new policy was needed or that the old policy needed to be revised in response to the changes occurring in society (Bell & Stevenson, 2006:9).

Therefore, formulating and implementing education policy is the responsibility of all concerned stakeholders of the education sector such as government organisations, private agencies, non-governmental organisations and the community at all levels in identifying the need for community, designing and planning, implementing and monitoring and evaluating the education system (UNESCO, 2011:12). UNESCO further explains that education policy needs to provide for the allocation of the necessary resources (human, material, financial, time) to continuously monitor and evaluate the results of the policy. In addition, Chang (2006:1) states that education

policy encompasses designing goals and objectives for access to education, quality parameters, and management of educational resources.

Education policy is a strategy for managing the education system by the government. Thus, the purpose of a policy is shaping the characteristics of human beings and creating productive citizens for the nation. This means that the government is involved in the formulation of rules and regulations that direct the lives of learners, educators, communities and other concerned parties through empowerment and lifelong learning.

3.2.3 Purpose of education policy

In relation to its purpose, policy can be conceptualised as the capacity to allow or constrain movement toward particular goals and particular visions for society (Edmondson, 2004:75). A policy is intended to bring change, but it is negotiated and implemented by people across different sites and under different conditions. Policy implementation is always a human endeavour, involving interpretations, decisions and human agency as power circulates among various groups and individuals.

According to Ball (2013), it is essential to be aware of that education policy has many important functions and purposes driven by many pressures.

Based on the concepts presented above it is possible to summarise major purposes and importance of a education policy as follows (Haddad, 1995:15):

- It provides direction for behaviour within the system.
- It is a value-oriented guideline.
- It is a kind of feedback for both internal and external changes in the system.
- It explains the procedures and requirements for execution and standard monitoring and evaluation.
- It is directly related to authority and control.
- Its purpose and its results are often non-linear and uncertain. This means, different factors can impact the implementation a given policy.

3.3 PERSPECTIVES ON POLICY

According to Areaya (2009:356), because of its highly social, behavioural, and contextual nature, policy is viewed from different perspectives. Some of these perspectives are:

- Policy as a product: there are people who understand, argue and define policy as an action of a government aimed at accomplishing particular, predetermined activities in a given area (Ned et al, 2020:234; Okebulkoa & Kolade, n.d.:2). This way of defining policy views it as a product. Such a policy is aimed at indicating outcomes that must be achieved without clearly indicating how they will be achieved.
- Policy as a process: there are those who understand, argue and define policy as a process that involves negotiation, contestation and struggle between different groups among the larger public aimed at solving social problems (Hill & Varone, 2016:24).
- Policy as principles and outcomes: According to Trowler (2003:95), policy can be understood and be defined as a specification of principles and outcomes related to educational issues which are followed or which should be followed and which are designed to bring about desired goals. In this sense, policy is a statement of intention or practices as perceived by policy makers or as they would like it to be. That is, a policy is a document that attempts to provide rules which others have to follow or describes behaviours that others have to follow. This is the normative nature of social policies in general and educational policy in particular. The normative nature of educational policy among others includes the following features:
 - Education is a social and human activity;
 - Educational policies at all levels deal with human behaviour, attitude and action;
 - Educational policies cannot operate in isolation from the social norms, values and culture;
 - Educational policies, like all social policies, are commonly directed at changing well established patterns of behaviours, beliefs and practices;

- Educational policy is not simply a technical exercise; it is also about creating a good society and good life;
- Educational policy cannot be thought of without first thinking about the people and the context of implementation (Trowler, 2003:95).

3.4 INTERNATIONAL PRACTICES ON POLICY FORMULATION AND IMPLEMENTATION

According to Ulrike (2011:63) and World Education Forum (2001:64), the existing worldwide experiences of the delivery and progress of education with regard to policy formulation and implementation strategies arise mainly from free-market economies. In addition to free-market economies, the current trends of education include the following elements: focus on globalisation, accompanied by the recognition of the importance of education and training, quality, lifelong learning (Ulrike, 2011:63). The following four countries are discussed below with two cases from developed countries, United Kingdom and the United States of America and two from developing countries, Brazil and Kenya.

3.4.1 The United Kingdom

In United Kingdom, adult literacy was not an issue for educational and social policy until the early 1970s. Since the advent of compulsory schooling at the end of the nineteenth century, policy-makers had been preoccupied with children's education. Ad hoc provision of adult literacy education by community groups and local education authorities had been rising unnoticed during the late 1960s.

The 'Right to Read' National Literacy Campaign was launched in 1973 under pressure from the British Association of Settlements, a coalition of longstanding voluntary associations working in local communities to alleviate the social problems of the poor (British Association of Settlements, 1974). This was the first adult literacy campaign implemented in a Western European country.

According to Hamilton and Merrifield (1999:7) in 1975, a Central Resource Agency for Adult Literacy was set up by the UK government to fund special development projects. This project was originally called the adult literacy resource agency and its aim was to publish resource material and develop staff training programmes. In 1980, it was renamed the Adult Literacy and Basic Skills Unit. The effect of this

arrangement was to separate the campaign from debates about the quality of schooling and differences in educational achievement among different social, cultural, and linguistic groups, which are, in fact, highly relevant to an understanding of the need for an adult basic education (ABE) service. The ABE that developed has, however, never fully engaged with issues concerning gender, class, or cultural diversity in relation to literacy. Policy documents and practices have operated with an undifferentiated view of the typical ABE learner.

The principles of flexible, negotiated, student-centred teaching favoured by participants in the original literacy campaign were supported by high-quality materials published by the central resource agency. To its credit, the programme never produced primers or a fixed ABE syllabus. Instead, it published resource packs that teachers could draw from according to individual student need. Later, the teaching learning method moved toward drop-in workshops (known as open learning centres) offering supported self-study (ALBSU, 1992:13; Bergin & Hamilton, 1994:19). This move toward open learning in ABE fits with more general trends in further education colleges, where open learning centres, equipped with computers and self-access worksheets, are now pervasive. These are seen as forward-looking in their use of new learning technologies and cost-effective in that they reduce the need for teacher contact time. After 1992, student writing and publishing still existed, but there was little staff training to support it and few opportunities for weekend workshops or national circulation of the work (O'Rourke & Mace, 1992:13).

3.4.2 The United States of America (USA)

In the early 1950s, the US Department of Education (2013) included an AE section in its education organisational chart. The 1960 writings of Ambrose Caliver, chief of the AE section, US Department of Education, documented the following: Within the broad framework of its mandate to promote the cause of education; the office of education over the years conducted some research and provided some services for AE (US Department of Education, 2013:4).

There are over 4 000 agencies receiving government grants to finance adult literacy programmes. Almost 60% of them are government-funded school districts; 15% were two-year establishments; for example, junior colleges or specialised foundations; 14% were group-based organisations; 4% were remedial organisations;

and the remaining 7% consisted of different sorts of offices. Public local educational organisations normally incorporated state-funded schools, two years specialised or junior colleges; and public agencies incorporated public libraries and correctional institutions. The private, 'not-for-benefits' organisations included group-based associations, places of worship, synagogues or sanctuaries, or national associations that supported literacy. The organisations can be generally divided into the following two groups: public, formal foundations of education, and private organisations. Government funds are allocated to the states and are controlled by an assigned state office of education. Thus, the states distribute funds to the local educational organisations found in different provinces and regions (US Department of Education, 2013).

3.4.3 Brazil

As stated in Alvez (2008:2), after independence in 1822, Brazil focused on developing tertiary education. Primary and secondary education was thus neglected until the 1980s and 2000s. According to Alvez (2008:2), with regard to the laws and policies of Brazil education system, the 1988 the federal constitution gave greater autonomy to the states and the municipalities on education matters.

According to Roberto (2017:2), adult and youth education in Brazil appears to be a contemporary development, but the development of a policy for adult and youth education has been fraught with difficulties. Although work has been done to organise the teaching of young people and adults, which obtained today, it was a mirror of what experience was proposing, every change that occurred in the Brazilian educational system.

In 2013, Brazil commemorated the 50th anniversary of the literacy programme conceived and directed by Paulo Freire, which became known as "*The 40 hours of Angicos*". Although perhaps best remembered as one of the first experiences which employed Freire's literacy method, this programme was based upon a new vision of education and a new epistemology.

The policy established the following guidelines, amongst others (Article 3): Recognition of social participation as a right of the citizen and an expression of his/her autonomy; complementarity, transversality and integration between mechanisms and instances of representative, participative and direct democracy; the

right to information, transparency and social control of public actions; and an amplification of the mechanisms of social control, in an affirmation of the importance of the participation of the citizen which cannot be reduced to the electoral process (Wikipedia, 2012a1).

While delineating the goals (Article 4) of the policy, the decree identified as fundamental goals, amongst others, the need to: consolidate social participation as a method of government; promote the articulation between instances and mechanisms of social participation; develop mechanisms of social participation which are accessible to historically excluded and vulnerable social groups.

Thus, when questioning the legacy of Freire for youth and AE in Brazil, the country needs to consider the challenge of how to develop youth and AE from the perspective and in the spirit of popular education and in such a way as to prepare citizens to participate actively in the democratic process (Roberto, 2017: 8).

3.4.4 Kenya

The government of Kenya placed adult learning and education (ALE) on its development agenda as part of the country's general policy of bringing about accelerated and sustainable socioeconomic development. It recognised the important role played by adult and continuing education in maximising the human resource potential. This commitment is evident in various legislative and policy documents (Kenya country team, 2008:9).

The core responsibility for adult and continuing education rests in the Ministry of Gender, Sports and Social Services. However, provision is made for ALE within the legislative and policy framework which guides the general education sector. Due to its heterogeneous and diverse nature, ALE is aligned to policies in other sectors beyond mainstream education. ALE in Kenya is provided by various stakeholders under the auspices of the Board of AE (BAE). The board was established in 1966 as a statutory body mandated to coordinate, advise stakeholders and regulate promotion of adult and continuing education (ACE) in Kenya. It is the board's responsibility also to advise the Minister, all ACE providers and stakeholders on matters pertaining to ALE. It draws its membership from all key stakeholders

including line government ministries. This all-inclusive membership gives the board a broad perspective on issues facing ALE.

Government management of ALE is centralised. However, as far as the implementation and monitoring of programmes is concerned, the government has appointed field officers at various levels with authority to implement and monitor programmes and make decisions at the provincial and district levels. Major policy issues, especially those with national ramifications, however, have to be referred to the central ministry for decisions at the national level. Different agencies that offer ALE manage their own programmes (Kenya country team, 2008:12).

ALE derives the content of its curriculum from all sectors of human endeavour that include health, agriculture, economy, environment and governance. Attempts are made to ensure that the ALE curriculum is relevant by reflecting the current national needs in these sectors. On the other hand, it is acknowledged that ALE has a major bearing on the achievement of the goals set by these other sectors. This is so because the success of these sectors' programmes invariably depends on the availability of a well-informed, skilled and confident citizenry, the development of which is ALE's central mandate. It is for these reasons that alignment of policies and their implementation has been key in the provision of ALE in Kenya for a long time. It is also the main reason why the stakeholders in these sectors have been invited to serve on the BAE. Collaboration at the field level involves joint campaigns, for example, in urging adults to participate in various ACE programmes such as those on HIV/AIDs or environment conservation; materials development; training; monitoring and evaluation.

3.4.5 Ethiopia

The history of AE is thought to encompass a period that stretches back even to the time before the birth of Jesus Christ. Oral literature and historical monuments (for example, the obelisk of Axum and the rock-hewn churches of Lalibela) seem to indicate the existence of AE programmes particularly for liturgical and vocational skills (Zelleke Woldemeskel, 2007:87). In terms of time, there are two distinct historical periods of AE programme in Ethiopia: the traditional period (church and mosque education) and the era of modern AE.

3.4.5.1 The traditional period (pre-revolution, pre-1974)

The traditional or church and mosque education that started in the Middle Ages lasted until the introduction of modern education in the country in 1908. Both the churches and mosques offered formal learning to school-aged children, youth and adults. The church and mosque schools were usually one-roomed buildings in or near the church and the mosque compound although education sometimes took place under the shade of the tree. In a typical classroom one would find an old teacher, usually a priest, seated on a small stool, with a long stick beside him and the Book of Psalms at his hand while some thirty pupils, in groups of two or three sat on the floor in front of him. Peer learning was highly practised. The more advanced students taught the less advanced, while the priest attended to the former and periodically checked the progress of the smaller children (Zelleke Woldemeskel, 2007:89).

According to Mammo Kebede (2005:4), the introduction of an alphabet in Ethiopia dates back to the fourth century A.D. In earlier times, the alphabet was linked to Christianity and literacy (AE) was confined to the clergy for religious instruction.

In Ethiopia, it was in 1890s that literacy and basic education were recognised as a means of development and modernity. Emperor Menelik II issued a declaration in 1893 to the effect that every child, male or female, should be educated from the age of six. This effort was eventually strengthened by the establishment of a modern school in 1908. More schools were opened as time went by and more children joined schools (Mammo Kebede, 2005:4).

Thus, during the traditional period, AE was left to religious organisations like churches and mosques. This shows that the purpose of the programme was dependent on religion and the contents were focused on only reading and writing. This is in contrast with the modern AE philosophy (andragogy) which emphasises functional AE as propagated by Knowles.

3.4.5.2 AE during the modern era

Even though formal education has been introduced to Ethiopia in 1908, it was available only for elites and top authorities. As a result, in 1974 the level of literacy of the country was only 7% (Ambissa Kenea, 2009).

After the introduction of modern education in Ethiopia, AE passed through three consecutive periods: the imperial period, the socialist regime and the current government.

1. The Imperial Period (1930 to 1974)

The history of AE during the imperial period lasted in 1974. This period was the monarchical regime led by Emperor Haile Selassie I, the last emperor of Ethiopia (1930-1974). He was the last in a series of rulers who, according to Ethiopian tradition, descended from the biblical Queen of Sheba and King Solomon (Zelege Woldemeskel, 2007).

During this time, both government and non-government organisations offered AE programmes in a flexible but semi-organised manner. The learning programmes included Amharic (Ethiopian national language) reading and writing, arithmetic, English, hygiene, geography, history, vocational skills for various trades, home science and child rearing, agriculture, trade and military lessons. During the imperial period, adults attending the programmes were dominantly men. Due to cultural barriers, female adults did not participate equally with their counterparts. There was no age limit for attendance.

During this era, the AE programme seemed to have been comprehensive in terms of content. However, it was defective in terms of the system in that the system favoured only male participants and ignored females. In addition, the curriculum did not consider language diversity because the literacy part of the programme was offered only in a single local language and ignored many other languages of different groups.

2. The Socialist Period (1974 to 1991)

In 1974, a group called the Provisional Military Administrative Council, known as the Derg, was established to run the country, with Mengistu Hailemariam serving as chairman. In late 1974, the Derg issued a programme for the establishment of a state-controlled, socialist economy. Mass education through formal schooling and national AE campaigns were a priority concern of the socialist government. The literacy campaign was relatively successful, initially. As a result of its successes, it received acceptance from the outside world, considering that the campaign aimed to

overcome the poverty situation of the people and the country. Under the acclamation of UNESCO, the government won international awards twice during its lifespan. As implementation of the campaign proceeded, the literacy level of 70% that was claimed as achieved could not be sustained (MoE, 1994:3).

The researcher witnessed that this period was the time when AE programmes boomed; the literacy level of the country reached its peak; and the commitment of the government was high with a high level of community participation. The main problem observed during this era was that the programme was focused only on literacy.

The current status of AE (1991 to date)

Based on the constitutional provisions and guidelines, there are organisations (government, non-government and private), which participate in the provision, organisation and implementation of AE programmes. Several ministries (Ministry of Health, Education, Industry, Labour and Social Affairs, Water Resources and others) provide integrated adult learning programmes based on the policy provision of the constitution (FDRE, 1995:33, Article 90).

The current ETP states that the MoE provides technical and financial support to the regional states to organise and facilitate conditions for the proper implementation of integrated functional adult learning programmes. Such strategies have been found to facilitate the proper use of the available resources (human, material and financial). However, in practice, regional states through the regional education, health, industry, labour, agriculture and other bureaus try to promote efforts through bureaucratic coordination.

During this period (at present time) the level of literacy is decreased from 70% (previous era) to 38% (current time) (MoE, 2008:2). The possible reasons, as argued by the participants in this study and recorded in the working documents of the programme are absence of an organised system that leads the programme; lack of integration among the stakeholders; lack of a well-defined approach; and a shortage of resources, among other things.

3.5 POLICY FORMULATION AND MODELS

3.5.1 Policy formulation cycle

Luke and Hogan (2006, 171), define educational policy formulation “as the prescriptive regulation of flows of human resources, discourse and capital across educational systems towards normative social, economic and cultural ends.” Others, such as Ball *et al* (2012), have conceptualized a “policy cycle” consisting of multidirectional and nonlinear relationships across agenda setting, policy formulation, and policy implementation. As Ball (2013:8) suggests, “Policies are formulated, interpreted and implemented in a variety of arenas of practice and meanings of policy makers do not always translate directly and obviously into institutional practices.

The policy formulation cycle, according to Tsoukias et al (2013:18), consists of a set of sequential actions linked by some main goal or some common public issue. This cycle usually composed of eight major steps: issue identification, defining policy objectives, policy design, policy testing, policy finalisation, policy implementation, policy monitoring and evaluation, policy readjustment and innovation.

Chang (2006:1) proposed four steps that countries can use in the development of education policy: carrying out policy systems analysis; formulating policy; assigning bodies to execute the policy formulated; and evaluating the policy developed and executed. In supporting the above idea, Cockrel (2010:1) and Rebell and Wolff (2009:29) stated that the stages involved in the process of policy formulation include: carrying out surveys on the education system to identify strengths and weakness of the sector; formulating policy based on the result of the sector analysis; assigning persons or departments and capacitating them to execute and follow up the policy; and evaluating the outcomes of the policy. Furthermore, Cockrel (2010:1) and Ratsatsi (2005:1) proposed the following steps in policy formulation: carrying out analysis of the current education system and formulating the policy based on the results of the analysis. Although different scholars in the field of policy science proposed different ways of policy formulation process, the researcher believes that the most important point that needs due attention by policy makers is considering the actual need of the beneficiaries of the policy.

3.5.2 Models of policy formulation

There are a number of models to be considered in the process of formulating policy. The major and commonly used models, among others, are: the stages model, the linear model, the system model, the incremental model, the institutional model, the rational model, the group model, the elite model, and the process model. These models are not competitive but rather complementary as they focus on different aspects of political life, and hence help us to understand separate characteristics of public policies (Bridgman and Davis, 2004:132; Grind and Thomas, 1991:19). For the purpose of this study some of these models are discussed hereunder.

The stages model

Bridgman and Davis (2004:132) promoted the notion of policy formulation and analysis process as a cycle, describing an Australian model that moves through stages from issues identification to evaluation. For instance, they proposed the following seven steps for policy formulation and analysis: analysis of the existing situation; generation of policy options; evaluation of policy options; making the policy decision; planning for policy implementation; policy impact assessment and policy adjustment.

The linear model

Grind and Thomas (1991:19) mapped the linear model of policy formulation process as a decision tree. They suggested a more interactive model and developed frameworks set in a more interpretive paradigm for policy formulation process.

The system model

This model is based on the notion of comparing inputs with outputs and calculates the effect of the throughput (the amount of work that is done or the people that are dealt with) in terms of the value added to the input. This is frequently an analysis in terms of cost benefit. According to Lunenburg and Ornstein (1991:25), policy is seen as the generation and development of a product desired by the community (the input), standardised and transformed by the political system (throughput) and leading to a form of decisions or actions (outputs).

The incremental model

This model suggests that major changes occur through a series of small steps, each of which does not fundamentally cause disruptions to any existing model, and the process is one of disjointed incrementalism (Lindblom & Woodhouse, 1993:79).

In sum, the researcher argues that the steps and models of policy formulation process vary, but a representative view would be that any policy that completes its lifecycle progresses through as many fairly distinct stages from generation to adaptation or reformulation. Those steps and models with the qualitative approach are non-rational based on the belief that there are multiple, competing truths and any policy decisions must include multiple understandings. Therefore, the transformative perspective is informed by a concern to understand the fundamental nature of the social world as it is.

According to Thomson et al. (2012:12), when one relates the process of policy formulation to education, policy-making is increasingly framed by national economic imperatives and driven by the need to be globally competitive.

In Ethiopia, the government is an influential actor in formulating educational standards, policies, directives, manuals, rules and regulations. Furthermore, after analysing different policy documents, the researcher found that the government is strongly driven by national goals and objectives and different international commitments. In supporting this argument, Milana and Holford (2014:63) indicated that those policy initiatives providing solutions have a better opportunity of making their way to the top of government agendas. Thus, the researcher argued that the following guiding points are crucial in the formulation of good educational policy:

- *It should be developed and adopted through a political process which recognises the reality and legitimacy of conflicting interests and desires among its participants;*
- *It should reveal some components of guidance for properly directed and coordinated action towards the achievement of the intended goals;*
- *It should include necessary data for the purposes that should be targeted;*
- *It should be a compulsory guide to the actions of those executing it; and*

- *It should be enforceable and enforced by the community which develops it (Milana and Holford, 2014:63).*

In addition, the researcher suggests that in the process of education policy formulation, it is crucial that the rights of the direct participants of the education system – such as learners, facilitators, teachers, principals, experts, supervisors, officials, community, and civil society – to actively participate in public dialogue need to be promoted. Such participation encourages the group to consider themselves as the main actor to be consulted and recognised during discussions on education policy. However, Hirano et al. (2012:61) argued that, “...ordinary people are rarely asked about the kind of education they desire, what knowledge is meaningful to them, or how they evaluate the education that is currently being offered”.

Concerning the issue under discussion, the researcher believes that the primary purpose of education policy is to satisfy the felt needs of the community. Thus, the education policy should be organised and geared to produce competent professionals to meet these demands. As discussed in this study, the stages model with some modification may be suitable for Ethiopian conditions. In order to apply the stages model, Chang (2006:11) suggested the investigation of the education system by using a strengths, weaknesses, opportunities and threats (SWOT) analysis. This technique enabled the policymaker to analyse and examine the relevance, efficiency, and effectiveness of the inputs and the outputs. This analysis helped to identify critical issues and challenges that provide the format or input for policy formulation.

3.6 POLICY IMPLEMENTATION

Barrett (2004:249) defines policy implementation as the process of translating the policy into action. In this study policy implementation is considered as putting in place the proper design and plan including structures, systems, processes, resources that enable the policy to be executed. It is also referred to as the means and methods applied for quality improvement. In other words, policy implementation is the application of plans, ideas, strategies, designs, systems and standards (Swanepoel, Erasmus & Schenk, 2008:144).

Policy planning is directly related to policy implementation; well-planned policy will lead to successful implementation of the policy. Good planning that can facilitate

effective implementation ought to consider such factors as the planning environment, social environment, political environment, and the financial environment.

According to Gboku and Lekoko (2007:168), policy implementation begins as recommendations from a implementation plan or strategy. They further stated that implementation involves a range of different activities, including:

- Obtaining the resources needed to run the programme (personnel, equipment, materials, buildings, utilities, and so on);
- Identifying the roles and responsibilities of all stakeholders and assigning tasks; Modifying plans based on daily realities and shifting priorities;
- Dealing with unanticipated events and/or consequences;
- Meeting with stakeholders and partners to exchange feedback on progress made, challenges faced, opportunities identified, and satisfaction levels reached, and to negotiate new interventions, conditions of service, and so on;
- Overseeing the provision of planned services, courses of action and programmes to ensure that they are delivered according to the plan; and
- Analysing and assessing performance of the organisation, and its facilitators, learners and workers.

The researcher believes that the implementation stage is critical. Policy implementation requires an implementation plan. Without an implementation plan, policy remains just a plan. In this study, implementation is considered as the application of the existing AE policy documents as set out in Ethiopian NAES by the officials, experts and facilitators in Oromia Regional state and Addis Ababa City Administration of Ethiopia.

3.6.1 Dimensions of policy implementation

In the process of education policy implementation, lower levels (district and school) implementers need to have good awareness of the four key factors of policy implementation – policy, places, people and pace (Honig, 2006:33). For effective implementation of a given policy, the first thing that implementers need to focus on is to understand the type of policy to be implemented. Concerning the awareness of the policy, the finding of this study revealed that “implementers of AE programme at lower levels (zone, district and centre) have difficulties in discussing the types and

purposes of key policy documents of the programme.” This low level of awareness has an impact on the provision of quality AE programme in the area.

The second determinant factor for policy implementation is clearly identifying the places (situations) where the policy is to be implemented. In Ethiopia, the context in which AE programme is implementing is highly problematic and multi directional. As it is indicated under chapter five of this study AE programme is suffering by the following problems- absence of organised structure to implement the programme; shortage of resources (human, material, financial); lack of active participation from stakeholders; lack of commitment from the government among others. For instance, from the researcher’s personal experience, there are conditions when non-governmental organisations and other civil society players mobilise and support the community to construct adult learning centres, to secure youth and adults’ enrolment and to train facilitators. Most of the time, after the construction of adult learning centres is completed and they are functional, the centres are handed over to the government for public use. In such joint endeavours of multiple actors in the provision of AE, the roles and responsibilities between government, civil society and community are not always clear. In order to overcome the problem, Oromia REB developed a regionalised version of the AE strategy that specifically clarifies the roles of NGOs, the zone education and district education office, the community and private sector.

The third and very critical dimension of policy implementation is differentiating those partners participating in implementing the policy. During AE policy implementation in Ethiopia includes those directly involved in the actual implementation of the programme at all levels of the government structure. These are, programme facilitators at centre level; programme coordinators, supervisors and experts at district and zone levels and officials and policy makers at region and federal levels. In addition, people include stakeholders like government organizations, NGOs, private organizations and concerned individuals who are directly or indirectly participated in the implementation of AE programme.

Similarly, the fourth important dimension is pace. Pace is the speed of implementation which is impacted by the social, political and economic conditions of the country.

3.6.2 Indicators for effective implementation of education policy

According to Hill and Hupe (2002:15), effective implementation of education policy necessitates three major requirements: conformity of the policy with rules, regulations, laws and purposes of the country; attainment of certain preset success indicators; and the improvement observed in the political condition of a policy. On the same issue, Giacchino and Kakabadse (2003:31) evaluated the major factors contributing to effective execution of education policy. They argued that the following three integrated points were essential for successful implementation: the judgment made to determine political accountability; the existence of an effective leadership and the political will; and the dedication of implementers at all levels. The issue of motivation and dedication show the executers' evaluation of the value of a policy. The presence of these indicators in the implementation of AE programme in Ethiopia is found in its lowest level. Because the result of this study showed that there is very low willingness from the political leaders to implement the programme; there is also low commitment of Programme implementers at lower levels of the structure.

In substantiating the idea mentioned above, Fredriksen (2008:49) also listed some of the indicators for effective implementation of education policy. These are commitment of political leaders; having good plan; having a restructuring schedule; the presence of good information exchange channel; and establishing of partnerships with stakeholders.

Furthermore, Chukanyuka (2006:31) suggested four typical requirements and measures in order to appraise the effectiveness of education policy. These are:

- The achievement of the intended purpose – this shows the way the policy meet the set target;
- The involvement of the community – this shows the strategy the community was participated in the implementation of the policy;
- The satisfaction of the community – this shows level of satisfaction of the end users on the implemented education policy; and
- The number of challenges encountered during implementing the policy.

To summarise the discussion above, the effective implementation of education policy requires certain standardised indicators to be applied by the implementers at different levels. These indicators include:

- establishing a sense of cooperation among partners implementing the education policy;
- rewarding individuals and organisations to acknowledge their performance;
- accurate planning and follow up mechanisms; and
- clarity, feasibility and proper work assignments.

There are also external factors influencing the successful implementation of the education policy. These external factors include:

- effectiveness in designing and follow up;
- management and teamwork;
- politics and external environment management;
- ability of executers; and
- assistance from partner agencies, with evidence of ability and socioeconomic conditions of the country.

In support of the summary given above, Fredriksen et al (2008:55) highlights three requirements for the effective execution of education policy. These requirements are considered as prerequisites for the successful execution of education policy.

- Political leadership – commitment from higher level political leaders plays a crucial role in effective implementation of education policy, particularly when the education policy is derived from the existing development plans of the country.
- Careful planning – successful education policy implementation requires accurate planning. This accurate planning needs to pass through series of steps: conducting prior analysis about the scope of the policy; the application of existing financial procedures; designing mechanisms to alleviate possible problems that might be encountered; and establishing a capacity-building system for execution and ongoing evaluation.
- Communication – designing an inclusive information exchange network with concerned education policy implementers and partners is crucial.

To conclude the above discussion, the researcher believes that having a quality education policy alone may not lead to successful implementation. In addition to the nature or quality of the policy, the following key points need to be considered:

- Preparations for policy implementation. This encompasses eagerness from the stakeholders' side to implement the policy, availability of the necessary resources, duration of execution, and readiness in legal framework.
- Readiness of the concerned bodies. This includes the technical, mental and technological preparation of the education experts, principals, teachers, students, the community and others.
- Legal preparation. In order to implement education policy, having legal ground that can protect and respect rights of all stakeholders is mandatory. These improve the mental and technical readiness of the concerned bodies to support the policy execution process.

From the professional expertise of the researcher on the area, most of the time, implementation problem occurs when there is a mismatch between the needs of the direct beneficiaries of the policy and what is planned in the policy. Education policy implementation problems occur when important factors necessary for implementing the policy are missing. Among others, these factors include communication, resources, attitudes, and organisational structure.

The execution of education policy is an active practice, which includes the various components. One of these components is communication. For successful execution of education policy, communication plays indispensable role. Communication enables implementers to exchange guidelines, rules, regulations and reports across the policy implementation structures vertically and horizontally. If the communication is incomplete and inappropriate, this can create misunderstanding among education policy implementers. Of course, execution information not properly exchanged, distorted, vague, or inconsistent may cause serious problems on policy implementation.

The other important factor is resources. Policy implementation resources include material resources, human resources, financial resources and time resources. Human resources include the availability of enough personnel who have the capacity to implement the policy; necessary and important information on execution process of the policy; the mandate to ensure that the policy is implemented as per the set purpose; and facilities like land, equipment and buildings necessary for the successful implementation of the policy. A lack of sufficient resources means that

laws will not be enforced, services will not be provided, and reasonable regulations will not be developed. In addition to communication and resources, disposition or attitude is another key factor that affects policy implementation.

In this regard, the researcher believes that communication, resources, and positive disposition are put in place does not guarantee implementation success. If there is no efficient administrative structure, the problem of implementation can still arise especially when dealing with complex policies, manuals, guidelines, rules and regulations. It may also result in wastage of scarce resources, inhibit change, create confusion, lead to policies working at cross-purposes and, in the end, result in important functions being overlooked.

In Ethiopia, as indicated in the NAES, there are three major problems in implementing AE programmes. These are the unavailability of an appropriate organisation to lead AE, inadequate resource allocation for AE and low level of Relevance and quality of adult education. The available limited resources could not be used because of problems like the unavailability of a coordinating and leading organisation with duties and responsibilities to coordinate these efforts and lack of focus and awareness among the existing educational managers/leaders. If an educational system is to be implemented properly and its final target is to be achieved, its basic human, material and financial requirements should be supplied. Obviously, budget allocated for the education sector by the government is increasing from time to time. However the corresponding share for AE has been very low (MoE, 2008:9). Personnel assigned at the different levels for the sub-sector are few in number and without appropriate training in the area. Therefore, it is believed that a coordinated and strengthened implementation of AE requires an equitable budget and an adequate human resource allocation. In addition to this, for effective implementation of a policy the relevance of the policy to beneficiaries has paramount importance. Since adult education programme is need based- the policy and strategy documents should target to meet the actual need of the community.

3.6.3 Stakeholders' participation in policy implementation

It is believed that the issue of AE is broad and thus involves several sectors. However, it was only in 2005 that the MoE in Ethiopia called for active involvement, ownership and commitment of communities, NGOs and civil society. In ESDP-III, in

addition to the regions which play an active role in organising the programme and preparing materials in the mother tongue, NGOs which work on AE have also been welcomed for the expansion, better local responsiveness and relevance of the programme (Genet Gelana, 2014:22).

The NAES (MoE, 2008) also re-emphasised the active involvement and coordination among those sectors working on education and others for strengthening the programme. Similarly, in ESDP-IV, the Ministry of Education again showed interest in strengthening its partnership with government, the private sector and NGOs for better provision of AE (MoE, 2010). Prompted by this, as indicated above, the Ministry of Education together with five other ministries signed an MoU to make AE programme more integrated (MoE, 2010:38). In the same way, in the master plan for AE, it was stated that the multidisciplinary nature of AE necessitated the inclusion of various sectors in its provision. It reads:

“Functional AE builds on indigenous knowledge and seeks to link writing, reading and numeracy skills to livelihoods and skills training in areas such as agriculture (including off-farm activities), health, civic, cultural education, etc. Such an approach requires delivery by various governmental and non-governmental service providers in multiple settings and also ensures that literacy skills development is meaningful to the learners”. Genet Gelana (2014:22)

The MoE, in addition to government ministries, recognised the active role institutions, universities, TVETs, NGOs and the private sector play in the effective provisioning of the AE programme. However, practice, Ethiopian experience shows that most health extension workers and development agents do not regard AE as their responsibility as the signing ministries' roles are not cascaded to the grass roots for the integrated implementation of the programme.

More specifically, according to Knowles (1980:47), as agents of change, adult educators' responsibilities extend far beyond the routine scheduling of activities. Their responsibilities entail, rather, the involvement of clients in deep analysis of higher aspirations and the changes required to achieve them, the diagnosis of obstacles that hinder the achievement of these changes and the planning of an effective strategy for accomplishing the desired results. Their part in this process is

that of helper, guide, encourager, consultant – not that of transmitter, disciplinarian, judge, and authority.

3.6.4 Problems associated with policy implementation

The gap that often exists between policy formulation and implementation provokes inquiry to identify factors that constrain the effective implementation of educational policies. The problem of policy implementation is traceable to the planning stage which immediately after policy formulation. Okoroma (2006:247) has stated clearly that good planning will ensure effective implementation. Good planning that can facilitate effective implementation ought to consider such factors as the planning environment, social environment, political environment, and financial and statistical problems. In recognition of this observation Aghenta (1984: 239) noted that: For any education policy to achieve its goal, carefully planning has a paramount importance. The plan must take into consideration the following important points: the needs of the society; the political, socio-cultural, economic, scientific and technological realities of the environment in order to survive.

Okoroma (2006:246) further discusses that planned implementation of a policy is constrained by the following factors:

- *over-estimation of available resources – this is a situation where estimated resources are greater than actual available resources to implement a program*
- *under-estimation of the costs of implementing a plan – this happens when cost-estimates do not make adequate provisions for inflation and actual implementation costs become unmanageable*
- *over-reliance upon external assistance – plans that substantially rely upon assistance from foreign sources for their implementation run into hitches when such aid fails to come, and*
- *inaccurate statistical data – planning education requires accurate and up-to-date data. Plans that do not adequately provide for this usually have implementation problems.*

In addition to aforementioned, problems of policy implementation, AE programme implementation experiences three major challenges. First, the communication process – effective implementation requires that implementers know what they are expected to do; as messages pass through any communication network, distortions

are likely to occur which can produce contrary directives, ambiguities, inconsistencies and incompatible requirements. Second, the capability problem – ability to implement policies may be hindered by such factors as incompetent staff, insufficient information, political support, inadequate financial resources and impossible time constraints. Third, dispositional conflicts – implementation of a policy may fail because those charged with the responsibility of implementation refuse to carry out their own assignments.

3.7 LESSONS ETHIOPIA CAN LEARN FROM OTHER CONTEXTS

Under section 3.4 of this chapter, the experiences of four countries – the UK, the US, Brazil and Kenya – were reviewed in terms of AE policy formulation and implementation. Lessons Ethiopia can learn from these countries are summarised in this section.

3.7.1 Good practices Ethiopia can learn from UK AE system

Particular strengths in the UK system include much practice at the classroom level, innovative partnerships, aspects of the accreditation system, alternative routes and progression for learners into further and higher education, and ABE's established place as a statutory requirement.

Despite recent changes, classroom practices in the United Kingdom at their best continue to provide outstanding examples of good practice for the Ethiopian system. Many practitioners remain committed to participatory learning and have experience in nurturing it. Particularly notable are the use of learning contracts, group discussions and projects, the incorporation of student interests in teaching content, and the emphasis on student writing. These are good practices Ethiopia can learn from. The other good experience that Ethiopia can implement that partnerships have the potential to widen participation and increase community accountability.

3.7.2 Good practices Ethiopia can learn from US AE

The prime lesson was that the US as a nation has different types of adult literacy training programmes that can increase opportunities for the adult learners. ABE was intended for the individuals who had not received any kind of formal education during their childhood. Adult secondary education was an alternative kind of training

intended for those adults who had begun their beginners' training, yet could not proceed to optional level for diverse reasons. Notwithstanding this, the English language project was one essential segment of adult literacy instruction for workers whose first language is not English. Furthermore, in all adult literacy training segments, there are different life skill courses, which can help adults to lead a productive life.

Another important lesson in the US adult literacy system was the administration of adult literacy. The US has an effective system that can possibly improve the coordination between the central government, states, and regions by empowering them to provide quality adult literacy instruction and reading proficiency administration. As a consequence AE, of the US government has the knowledge of the organisations that can reach an extensive number of adults who need support. A great number of the organisations that are actively included in adult literacy education activities are charitable organisations.

Still another experience that Ethiopia can draw from the US AE system is the implementation of AE based on a two-directional approach: the conventional classroom configuration and the individualised (coaching and machine supported) guideline with a specific end goal to fulfil the needs of diverse adults. Thus, Ethiopians can imitate all these good practices to enrich their AE system.

3.7.3 Good practices Ethiopia can learn from Brazil AE system

The first best practice that Ethiopia can learn from the Brazilian experience is that, in order to fit the current dynamism of the production system, the AE programme requires workers with a certain level of education. The government has been encouraging the companies to become involved in the efforts to reduce illiteracy and foster schooling for their workers in their own work place. The Ministry of Education and Sports provides the educational supplies for the teachers and students. A prize called 'Education for Quality at Work' was created as part of the youth and AE programme (World Data on Education, 2006/7:43).

The second best practice is that the Brazil government established the 'literate Brazil' programme. It is an attempt to strengthen the partnership between government and organised civil society, on behalf of young people and adults who

have not had access to education. The organisations are acting together to mobilise society in favour of literacy training (World Data on Education, 2006/7:43).

3.7.4 Good practices Ethiopia can learn from Kenya AE system

The analysis made on the Kenyan and AE system, under section 3.4.4 of this chapter, indicates that Kenya follows procedures relatively similar to the Ethiopia AE system. In both cases, AE is provided by various stakeholders under the support of the BAE. There are also good practices that Ethiopia can learn from the Kenyan AE system. Some of these good practices are:

- The AE sector in Kenya has a separate policy to guide AE programmes in the country.
- Kenya acknowledges that literacy of the parents – especially that of the mothers – has a direct relationship with education of their children and has also an impact on the health status of the entire family.
- Education, particularly through its specialised institutions such as the Kenya Institute of Education (that deals with curriculum development) and the Kenya National Examination Council, collaborate closely in policy formulation, curriculum development, implementation and evaluation.

In conclusion, the international practices of AE focus on decentralising the implementation and monitoring process; and on applying active learning and learner-centred learning as the efficient delivery of content are the focus and common features of the current global trends of the AE system (Akkerman, 2011:14; Chan, 2010:4; Shihiba, 2011:92). The existing global AE programmes also target course content, and the integration of policy and practice with national goals (Bishop & Mane, 2003:244; Inyega & Mbugua, 2005:23).

From the discussion above, the global experiences are aimed at the localisation of policy formulation, implementation and assessment. Considering the above discussions, the conclusion can be reached that the latest global focus is on quality and equity. Furthermore, there is greater cooperation regarding financial aid among countries towards the provision and development of AE. There is currently a greater amount of networking between the government, non-governmental organisations, financial institutions and the private sector in relation to the provision of AE. The

current trend is also towards free and compulsory AE, and convergence in all policy areas of AE towards a common goal of human rights. This study assesses whether the processes of policy formulation and implementation in Ethiopia is in line with the current global education perspectives or not.

3.8 CHAPTER SUMMARY

This chapter discussed literature related to AE policy formulation and implementation practices and challenges. Concepts and definitions of policy formulation and implementation, international experiences in the formulation and implementation of education policy, trends and background of AE policy formulation, implementation and practices in Ethiopia, and the participation of stakeholders in AE programme were discussed and their implications for the study were reviewed. The next chapter (chapter 4) presents the research design and methodology of the study.

CHAPTER 4

RESEARCH DESIGN AND METHODOLOGY

4.1 INTRODUCTION

Chapter 4 presents the research design and methodology used to conduct the research. The chapter includes a discussion of the research paradigm, approach, sources of data, selection of research site, population and sampling methods, selection of participants, selection of data gathering tools, data gathering procedures and methods of data analysis. The chapter further discusses trustworthiness of findings and ethical considerations.

4.2 RESEARCH PARADIGM

This study is guided by the Constructivism paradigm which uses systematic procedures check multiple socially constructed realities by the participants of the study (policy makers and implementers) (McMillan & Schumacher, 2014:37). This paradigm is used based on the belief that reality is constructed by individuals and societies based on their experiences and interactions with one another and their interpretations of the world in which they live. Constructivism is such a perspective which is typically seen as an approach to qualitative research (Creswell, 2014:37). Accordingly, this study examines the way AE policy makers and implementers can construct their own realities based on their lived experiences in AE policy formulation and implementation.

In line with the constructivism paradigm, the researcher allowed his judgements and perspectives to play a role in the interpretation of the data, thereby putting more emphasis on values and context and less on numbers (McMillan & Schumacher, 2014:16). Through constructivism paradigm, based on the principle of searching for knowledge by systematically gathering empirical information the researcher investigated the reality constructed by the participants on the practice of policy making and implementing. This is referred to as evidence-based inquiry. In evidence-based inquiry, the researcher provides coherent questions to participants of the study which can be empirically investigated and linked to relevant scientific theories or conceptual frameworks, and then understood or explained within a logical chain of reasoning (McMillan & Schumacher, 2014:16-17).

In using constructivism paradigm, I believe that individual participants of the study understand the sector of adult education policy formulation and implementation in which they live and work. In this case, Individual participants may develop subjective meanings of their experiences on adult education policy formulation and implementation (Creswell, 2014:296). These meanings were varied and multiple, and lead me to look for the complexity of views rather than narrowing meanings into a few categories or ideas (Creswell, 2014:37). Concerning the current study, the goal of the research was to rely as much as possible on the participants' views of the situation being studied. The questions were broad and general so that the participants could construct the meaning on adult education policy formulation and implementation, typically forged in discussions or interactions with other persons. The researcher administered an open-ended questions and listens carefully to what people say or do concerning adult education policy formulation and implementation.

By using Constructivism paradigm the researcher of this study provides descriptive accounts targeted at understanding a phenomenon using data that might be collected through interviews and document analysis. The purpose is to understand the experience of adult education policy makers and implementers on their day to day practices (Ary Jacobs, Irvine & Walker, 2010:29). In addition, Nieuwenhuis (2007:60) stated that the ultimate aim of paradigm is to provide insights into the way in which a particular group of people, adult education policy makers and implementers, make sense of their situation or phenomena that they encounter.

The researcher believes that the subjective opinions of individuals about their experience provide an opportunity to understand the practices of AE policy formulation and implementation from different perspectives. Hence, I used interviews as a data-gathering instrument to enable the respondents to discuss their feelings and understanding freely. In addition, document analysis was used to analyse the content and quality of the AE policy documents developed by MoE and regional education bureaus.

4.3 QUALITATIVE RESEARCH DESIGN

A research design is the researcher's detailed plan of the way in which the research is to be done. It is the plan and the structure of the investigation. McMillan & Schumacher (2014:22) points out that a research plan describes the conditions and

procedures for collecting and analysing data. It includes how data will be collected, what instruments will be used and how the data would be analysed (Creswell, 2014:12; McMillan & Schumacher, 2014:490).

The researcher in this study used a qualitative research design for exploring and understanding the meaning adult education officials, experts, and facilitators ascribed to the practices of AE policy formulation and implementation in Ethiopia. In this qualitative research, the researcher applied a process that involved emergent questions or procedures, where data is typically collected in the participants' setting, and data analysis inductively builds from particular to general themes, and the researcher provided interpretations of the meaning of the data (Creswell, 2014:32). A qualitative research design was, therefore, chosen to conduct the research. In this research, the researcher closely interacted with AE officials and experts at different levels to gain an understanding of how they experienced the formulation and implementation of AE strategic policies in the country.

Qualitative designs can vary significantly, depending on the theoretical framework, philosophical assumptions about the nature of knowledge, and the field of training (McMillan & Schumacher, 2014:344). The focus of qualitative research is on participants' perceptions and experiences, and the way they make sense of their lives (Creswell, 2014: 256; McMillan & Schumacher, 2014: 345).

Creswell (2014: 245) stated that the aim of qualitative study is to describe and explain the patterns related to a phenomenon and it presents what events, beliefs, attitudes, and/or policies impact the phenomenon. In a qualitative study, data is collected directly from the sources, and focuses on participants' understanding, descriptions, labels and meanings (Creswell, 2014:255; McMillan & Schumacher, 2014:345).

The main objective of this study was to assess the practices of adult education policy formulation and implementation in Ethiopia. The intent of the study was to describe and interpret the experiences of participants in light of adult education policy formulation and implementation practices in order to understand the meaning the participants' ascribed to the adult education policy formulation and implementation process in Ethiopia. The purpose of the research was to explore and understand the meanings adult education policy formulation and implementation officials, experts,

coordinators and facilitators from sampled areas attribute to the existing adult education policy formulation and implementation practices in Ethiopia. Hence, the study followed qualitative research approach. In this regard, Creswell (2014: 245) asserts that the aim of qualitative study is to describe and explain the patterns related to the existing practices and it presents what events, beliefs, attitudes, and/or policies impact on the practice. Because qualitative design advocates the study of direct experience taken at face value and sees behaviour as determined by the phenomena of experience (Cohen et al., 2018: 22). Hence, the study employed qualitative research design as it investigated what policy makers and implementers of adult education programme ascribed to the practices of adult education policy formulation and implementation in Ethiopia.

4.3.1 Description of the study area and population

Ethiopia is a federal state composed of nine regions and two city administrations. The regions are Afar, Amhara, Benishangul Gumuz, Gambella, Harari, Oromia, Somali, the Southern Nations Nationalities and Peoples and Tigray. Addis Ababa and Dire Dawa are the two city administrations. These regions and city administrations are also decentralised into zones, districts and local administrations. From these regions and city administrations, one regional state (Oromia) and one city administration (Addis Ababa), the capital of the country, were selected for the study using convenience and purposive sampling techniques.

Oromia is one of the largest region having 19 zones (including West Shewa¹ and South West Shewa). The selected two zones consist of 31 districts (19 districts from west shewa, 12 districts from south west Shewa). In the same way there are 510 adult learning centres in the two zones (316 in west shewa and 194 in south west shewa) (Oromia Education Bureau [OEB], 2019:15). In Oromia REB, the AE programme is coordinated by a directorate lead by a vice bureau head. At regional level, there are five professionals adult educators and a director. In the two zones there are six experts (3 in each zone) and only one focal person at each district level.

Addis Ababa City Administration is sub-divided into 10 sub-cities and 116 districts and has 436 adult learning centres. The three selected sub-cities (Bole, Lideta and

Yeka) together encompass 37 districts (Bole 14, Lideta 10 and Yeka 13). In Addis Ababa City Administration Education Bureau, there is a team that consists of only two professionals who coordinate the AE programme in the curriculum department. At sub-city and district levels there is one focal person that coordinates the AE programme in both cases (Addis Ababa City Administration Education Bureau, 2016/17:3-4).

4.3.2 Sample and sampling methods

Sampling is a process of selecting a group of people, events, behaviours or other elements with which to conduct a study where the research population cannot be managed due to its size (Monareng, 2009:124). Thus, sample is a small portion of the total population or set of objects, events or person that comprises the subject to be studied. According to Polit and Beck (2004:765), in qualitative research the way the sample is designed and sample size chosen, depends on the aims of the researcher.

In this study, in order to select appropriate samples the researcher intentionally chosen purposive sampling techniques. Because purposive sampling enables the investigator to discover, understand, and gain insight on the issue under discussion (Merriam, 2009). So purposive sampling involves the application of specific set of criteria for selecting a research sample (Merriam 2009:77). In purposive sampling, the sample is selected on the grounds of the existing knowledge of the population.

Therefore, regardless of the form of the data, in this study purposive sampling was used in this qualitative research (McMillan & Schumacher, 2014: 349). Accordingly, AE higher officials, experts, programme coordinators, and programme facilitators from Federal MoE, two regional states (Oromia regional state and Addis Ababa City Administration), five zones (two zones from Oromia) (West Shewa and South West Shewa) and three sub-cities (Lideta, Yeka and Bole) from Addis Ababa City Administration were selected purposively. In addition, fifteen districts, nine from Oromia (Woliso, Ilu, Becho, Tule, Sodo Dache, Elfeta, Nono, Liben jawi, Bako) and six districts from Addis Ababa City Administration (District 5 and 7 from Lideta sub-city, District 11 and 13 from Bole sub-city, District 12 and 14 from Yeka sub-city) were selected by applying the same technique. Twenty adult learning centres were

sampled; 13 from Oromia Region namely: Ayetu, Ganda hora, Simbiro cherecha, Teji 01, Marami sire, Abadukasa, Kersa, Debeso, Chobi, Holeta, Ginchi, Guder and Gebadilbeta. The remaining seven centres were from Addis Ababa City Administration (Bolelemi, Bolegerji, Karalo, Tsion No. 1, Burka, Alemaya and Abado).

Table 4.1: Summary of organisations selected for the study

Regions	Zones/Sub-city	Districts	Centres
Oromia	South West Shewa	Woliso Ilu Becho Tule Sodo Dache	Ayetu Ganda hora Simbiro cherecha Teji 01 Marami sire Abadukasa Kersa Debeso Chobi
	West Shewa	Elfeta Nono Liben jawi Bako	Holeta Ginchi Guder Gebadilbeta
Addis Ababa	Lideta	District 5 District 7	Tsion No. 1 Alemaya
	Yeka	District 12 District 14	Karalo Abado Burka
	Bole	District 11 District 13	Bolelemi Bolegerji

In this study researcher used purposive sampling technique to include sample respondents who are available or volunteer or can be easily reached and are willing to participate in the research study (Johnson & Christensen, 2012:230). In this study, the researcher specified the characteristics of sample population of interest and then tried to locate individuals who have those characteristics such as position (working as official, expert, facilitator), experience (working relatively long years in the field) and willingness to participate in the study (Johnson & Christensen,

2012:231). McMillan and Schumacher (2014: 350) suggested that researchers should select sites where specific events such as formulation and implementation of AE policy are expected to occur. Hence, in this study, two regions, Oromia Regional State and Addis Ababa City Administration were purposively selected. Oromia Regional State is the largest region in the country (CSA, 2011:7). It is believed that Oromia is representative of the other regions and Addis Ababa City Administration represents the situation of AE programmes in urban areas. In the same way, two zones (West Shewa and South West Shewa) from Oromia and three sub-cities (Lideta, Yeka and Bole) from Addis Ababa; a total of five zones from the two regions, three districts from each of the five zones (15 districts) and one adult learning centre from each district (15 centres) were purposively selected for the study based on that fact that they ran AE programmes. In addition, the Federal MoE was selected by using the same sampling technique.

From these two regions, respondents for the study were selected from all levels of the education structure based on their involvement in the implementation of AE programme in their respective region, zone, district or centre. Respondents were identified as follows: six AE officials, from federal, region, zone, district and centre level; 20 experts from region, zone and district levels; and 20 AE facilitators at centre level were selected by applying purposive sampling for all cases.

Table 4.2: Summary of respondents included in the study

Organisations	Sample size (Respondents)			
	# Officials	# Experts/	# Facilitators	Total
Federal MoE	3	-	-	3
Regions/REBs	3	-	-	3
Zones/ZEOs	-	5	-	5
Districts/WEOs	-	15	-	15
Centres/CLCs	-	-	20	20
Total	6	20	20	46
Codes used in analysis	Hf01-Hf06	E1-20	F1-20	

4.3.3 Sources of data

Creswell (2014: 255) discusses that in qualitative study, data are collected directly from the sources, and they focus on participants' understanding, descriptions, labels, and meanings. The sources of information used by this qualitative researcher include individuals, groups, documents, reports, and sites (McMillan & Schumacher, 2014: 349). The purpose of the study was to examine the practices and challenges of AE strategic policy formulation and implementation in Ethiopia. Therefore, the sources of the data were primary sources that could give information pertinent to policy formulation and implementation practices.

The officials from Federal ministry of education and regional education bureaus were the primary data sources for this study because as it is indicated in adult education national strategy, adult education policy documents are developed at federal and regional levels. Thus, because of their involvement in adult education policy formulation and implementation they could provide pertinent information on the issue under discussion. Furthermore, primary information was obtained from experts, coordinators and facilitators at zonal, district and centre levels. Because, these group of respondents were the direct implementers of the adult education programme so that they could have the ability to give detail information on the implementation of AE programme. Secondary data sources were also used in the study. Accordingly, working and policy documents such as strategies, manuals, legislation, AE curriculum frameworks and guides, as well as Education Sector Development Programmes and other written documents and related literature to AE policy development and implementation that were available at federal, regional, district and centre levels were reviewed and analysed. Other countries experiences in relation AE policy formulation and implementation were also reviewed and used as sources of information.

4.3.4 Data collection methods

In qualitative research, as suggested by Creswell (2014: 234) researchers usually use multiple forms of data gathering tools, such as interviews, observations, documents, and audio-visual information rather than rely on a single data source. In order to collect the necessary data for the study the researcher used two methods of data collection: in-depth interviews and document analysis (Mertens, 2010: 241).

4.3.4.1 Interviews

The interview guides with open-ended questions were developed by the researcher and presented to the interviewees by following standard interview procedures (Mertens, 2010:242). Using the interview guide, the interviewer (in this case, the researcher), conducted the interview sessions to explore specific topics and to ask specific open-ended questions (Johnson & Christensen, 2012:203).

The researcher regarded the in-depth interview as suitable in that by asking general questions and having participants provide answers in their own words, he gained the necessary information about policy formulation and implementation (Bordens & Abbott, 2011: 272). The interview was conducted as a direct method of collecting information in a one-on-one situation between the researcher and participants on AE policy formulation and implementation (Ary, *et al.*, 2006:480). The interchange takes place between the AE officials, experts, coordinators and facilitators who have experience on AE policy and the researcher who wants to know about the experience in order to provide answers to the research questions. An interview schedule consists of list of open-ended questions were prepared and administered for use by the researcher in a person-to-person interaction (Kumar, 2011:145).

The composition of the respondents ranged from higher officials to AE programme facilitators. Similar interview guides were used for all different categories of respondents with minor modifications to fit with their respective positions.

Interviews were conducted using digital recordings. Interviews need a special type of accuracy in administration if one expects them to yield desired results. Patton (2002) cited in Gray (2009:384) explained that “no matter what kind of interviewing style is used, and no matter how carefully interview questions are worded, all is wasted unless the words of the interviewee are captured accurately”. Following this guideline, the researcher made use of a digital voice recorder for all interviews to ensure that detailed and accurate data would be captured that could be made available for public scrutiny. The audio-recordings captured participants’ perceptions, meaning, definitions of situations, and constructions of reality during the interviews (Punch, 2005:168; Silverman, 2010:288). The interviews were arranged on mutually agreed dates and times. Interviews were planned to last 1½ hours for each interviewee. Appointments were made two weeks prior to the interviews.

4.3.4.2 Document analysis

Another data collecting tool used by the researcher was document analysis. Documents are texts that can be analysed for their historical value (McMillan & Schumacher, 2014:361). Document analysis was focused on the content and quality of the AE policies developed by MoE and REBs. The origin of some challenges facing AE programme implementers and educators in the implementation of policies was also noted. Based on the relevance of the documents to the study, the following documents were read in an effort to collect relevant data informing the study: legislation that guides AE in Ethiopia; education and AE policy documents developed at federal and region levels; and government development and strategy documents. These included the NAES, AE implementation guidelines, the AE curriculum framework, and AE minimum learning competence manual.

The success or failure of document analysis is dependent upon the manner in which it is conducted. To extract the information needed from the documents, the researcher followed guidelines suggested by Creswell (2014:220). These include the identification of useful documents; distinguishing between private and public documents; obtaining permission to use the documents; and determining the accuracy, completeness and usefulness of the documents before obtaining permission to use them. After identification and screening of the documents were conducted

4.3.5 Pilot testing

Pilot testing is another means of checking the accuracy of the instrument (interview) of data collection. Preliminary data was gathered from Oromia Special Zone Education Office, three selected districts in the same zone and three AE centres from selected districts as a pilot test. The organisations included in the pilot study did not take part in the main research work. In these organisations, information was collected from education officials, experts and facilitators.

The preliminary results of the pilot test revealed that few items of the interview guide were not clear to the participants. There were concepts that needed more elaboration and rephrasing. There were also redundant concepts that might have similar answers. Based on the results of the pilot test, ambiguous words and

confusing concepts were rephrased and the necessary modifications were made to the interview guides.

4.4 DATA ANALYSIS

Data analysis in this study (qualitative) was an ongoing process. It does not occur only at the end of the study as is typical in most quantitative studies (Mertens, 2010: 423). In other words, the data analysis in this study started as data is collected. Qualitative data is usually analysed by subjecting it to some form of coding process (Wilkinson, 2000:79). Creswell (2014: 260) addressed the importance of creating a data display and suggested that narrative text is the most frequent form of display for qualitative data. According to Creswell (2014: 235), in the entire qualitative research process, the researcher keeps a focus on learning the meaning that the participants hold about the problem or issue, not the meaning that the researcher brings to the research or that writers express in the literature.

Accordingly, in this study, the information gathered through in-depth interviews and document analysis were triangulated and substantiated by information gained through a review of related literature. Additionally, data obtained from different respondents – higher officials, experts and facilitators and at different times, in different places – was also triangulated for its accuracy and relevance to the issue under investigation. The analysis technique used for this study was thematic analysis.

Thematic analysis: Braun and Clarke (2006:84) argued that thematic analysis is a useful method for examining the perspectives of different research participants, highlighting similarities and differences, and generating unanticipated insights. Thematic analysis is also useful for summarising key features of a large data set, as it forces the researcher to take a well-structured approach to handling data, helping to produce a clear and organised final report (King, 2004:5).

The goal of thematic analysis is to identify themes, i.e. patterns in the data that are important or interesting, and use these themes to address the research question or say something about an issue. This is much more than simply summarising the data; a good thematic analysis interprets and makes sense of it (Clarke & Braun,

2013:17). Thematic analysis is one of the most common forms of analysis within qualitative research.

Therefore, by using thematic analysis the researcher of the current study emphasised on- identifying, analysing and interpreting patterns of meaning (or “themes”) within the qualitative data gained from participants of this study. Through thematic analysis the researcher of this study examined themes or patterns of meaning within data (Braun & Clarke, 2006). In applying this thematic analysis method the researcher emphasised on both organisation and a rich description of the data set and provided a theoretically informed interpretation of meaning. In thematic analysis the researcher goes beyond simply counting phrases or words in a text (as in content analysis) and explores explicit and implicit meanings within the data (King, 2004). In this study, the researcher conducted coding of data as the primary process for developing themes by identifying items of analytic interest in the data and tagging these with a coding label. The researcher followed theme development as a process of allocating data to pre-identified themes. Moreover, he used thematic analysis to analyse qualitative data collected from interviews and secondary sources (document analysis).

More specifically, the researcher followed the following steps to analyse the data obtained through in-depth interview and document analysis (Huberman and Miles, 1994:45).

- Data organisation: The first step of information examination comprised of transcribing the interviews and sorting and organising the information into distinctive categories.
- Sorting out concepts and ideas: After the data organisation was completed, the analyst identified themes and ideas in AE policy formulation and implementation.
- Classifying and coding concepts: Once the researcher had identified concepts originating from the interviewees, the relevant themes were formulated.

In line with the above steps and rules, the researcher first organised and transcribed the interview data and arranged both the interview data and that of the document analysis results into four themes. The researcher perused the two categories of data, coded them and identified the four themes that emerged from them as follows.

Theme 1: Responsible structures in formulating AE policy documents

Theme 2: The processes followed in policy formulation and implementation

Theme 3: Factors influencing policy formulation and implementation

Theme 4: Challenges faced in AE policy formulation and implementation

4.5 TRUSTWORTHINESS

Trustworthiness is one of the strengths of qualitative research and is based on determining whether the findings are accurate from the standpoint of the researcher or the participant, or the readers of an account (Creswell, 2014: 251). In describing the trustworthiness, Gibbs (2007:251) stated that the researcher checks for the accuracy of the findings by employing certain procedures and approaches that are consistent across different researchers and different projects. McMillan and Schumacher (2014: 354) also highlighted that the importance of trustworthiness in a qualitative study is its degree of congruence between the explanations of the phenomena and the realities of the world. Moreover, Cohen, Manion & Morrison (2007:122) suggested that trustworthiness in a qualitative study has many forms and might be addressed through the honesty, depth, richness and scope of the data achieved, the participants approached, the extent of triangulation and the objectivity of the researcher.

To ensure trustworthiness, the researcher triangulated the results from the two different data collection methods used in this study to ensure coherence and consistency, or lack thereof in justifying the discussions. The use of an audio recorder during interviews also complemented and ensured trustworthiness.

Creswell (2014: 251) also urged that trustworthiness of the data collection instruments can be determined by using triangulation which involves using multiple data sources, methods and investigators. Thus, the information gathered from different data sources is triangulated by examining evidence from the sources and using it to build a coherent justification for a theme. Accordingly, various data sources such as policy makers, experts and facilitators, among others, participated in providing information. Furthermore, the information gained from respondents was checked against the working documents and vice versa to ensure the trustworthiness of the information obtained. In so doing, if any deviation was found,

the reasons for this were investigated. For instance, almost all respondents replied that implementation of AE programme was run only by education sector. However, the information gained from the analysis of AE policy documents revealed that implementation of AE programme should be the responsibility of different organisations in collaboration with MoE.

In this study, trustworthiness of the research was established by considering the credibility, transferability, dependability and conformability of the study and findings of the research (Gay et al., 2011:392).

Credibility: Credibility is the level of agreement between the researcher's data and the interpretation and the multiple realities that exist in the minds of the respondents (Ary et al., 2006: 492). It is the researcher's ability to consider all of the complexities that present themselves in a study and to deal with patterns that are not easily explained and replacement for quantitative concept of internal validity (Gay et al., 2011: 392). To ensure credibility, the researcher triangulated data obtained from in-depth interview and documents analysis and examined evidence from the two sources and used it to build a coherent justification for themes (Creswell, 2014: 251). In addition, to ensure credibility in this study the researcher was used tape recorders, for corroboration (McMillan & Schumacher, 2014: 354).

Transferability: Transferability is the quality that makes it possible to derive accruable meaning of information on interpretation available in specific contexts. It is the researcher's belief that everything is context-bound and replacement for quantitative concept of external validity (Gay et al., 2011: 392). Accordingly, transferability of the data was ensured by offering rich and detailed descriptions of the context so that potential users could make the necessary comparisons and judgments about similarity (Ary et al., 2006: 492).

Dependability: Dependability is the stability of information sought and interpretation derived in different situations on specific issues. It is the stability of the data and replacement for quantitative concept of reliability (Gay et al., 2011: 392).

Conformability: Conformability is the possibility of studying the collected objective /systematic information and getting the same or similar conclusions by different researchers. It is the neutrality or objectivity of the data collected and replacement

for quantitative concept of objectivity (Gay et al., 2011: 392). Dependability and confirmability of the data were ensured through the use of an audit trail which the researcher built by keeping records of sampled centres, contextual descriptions, data collection methods, tape-recordings, and other descriptive material that could be reviewed by other people (Ary, et al., 2006: 498).

4.6 ETHICAL CONSIDERATIONS

In a research project, ethics are the principles and guidelines that help researchers to uphold the values in research and the protection of participants (Johnson & Christensen, 2012:99). In line with the ethical considerations, the researcher applied for ethical clearance from the College of Education at the University of South Africa (UNISA), from where permission was granted to conduct the research (UNISA Ethical Clearance Certificate, Appendix A). In order to secure the necessary data from the respondents and organisations, permission from the respective organisations and from the respondents were secured through formal letter of request sent to them. These were Federal MoE, OEB, Addis Ababa education bureau, zone education offices, district education offices and learning centres (Appendix B).

Mertens (2010:342) stated that maintaining participants' anonymity and confidentiality and obtaining their informed consent before conducting the study are important. Confidentiality means that the privacy of individuals will be protected in that the data they provide will be handled and reported in such a way that it cannot be associated with them personally. Anonymity means that no uniquely identifying information is attached to the data, and thus no one, not even the researcher, can trace the data back to the individual providing it (Mertens, 2010:342).

According to McMillan and Schumacher (2014:362), a credible research design involves not only selecting informants and effective research strategies but also adhering to research ethics. In view of that, the researcher ensured participant protection in three major ways, namely: informed consent, voluntary participation, and ensuring the confidentiality and anonymity of the participants. Research participants must be given information on the study, and based on that, asked to indicate their agreement to participate. Their participation would be based on

information that allows them to make an informed decision to participate (Johnson & Christensen, 2012: 107) (Appendix C).

Information that is obtained from respondents may make other people feel bad and lead to strained relationships if exposed. It was therefore important to protect and guard all information that was gathered during the study since it was confidential and had been provided in confidence. Thus, it was important to assure participants that their responses would strictly remain known to the researcher only, by appropriately storing the data.

Voluntarism entails applying the principle of informed consent, and thus ensuring that participants freely choose to take part or not in the investigation and guarantees that exposure to risk is undertaken knowingly and voluntarily (Cohen, Manion and Morrison 2007:52). In this study, each participant was requested to be interviewed and each willingly accepted. All participating individuals were fully informed in advance of the purpose of the study and given an option to discontinue their participation, for any reason whatsoever, at any time during the process. Permission to record the interviews using a digital voice recorder was obtained before the interviews started. This meant that the researcher had to explain to the participants the purpose of this study, the anticipated benefits of study, procedures, risks and the right to ask questions.

4.7 CHAPTER SUMMARY

Chapter 4 discussed the research design and methodology used to conduct the research. The chapter described the research paradigm, approach, population, sample and sampling techniques. Two regional states, five zones, 15 districts, and 15 adult learning centres were selected for the study. Purposive sampling techniques were used in selecting a sample of 46 participants from federal, regional, zonal, district and centre level. The research instrument, the interview guide and document analysis were also discussed. The chapter further discussed the qualitative research method, the use of an audio recorder and the application of theme-based analysis in the study. Finally, the chapter presented trustworthiness and ethical consideration of the study. The next chapter presents the research findings.

CHAPTER 5

DATA PRESENTATION, ANALYSIS AND DISCUSSION OF FINDINGS

5.1 INTRODUCTION

As set out in Chapter 1, this study aimed at assessing the practices and challenges of AE policy formulation and implementation in Ethiopia. This chapter deals with presentation, analysis and discussion of the data collected through interviews from 46 respondents and document analysis. The participants included: AE higher officials, experts, supervisors, programme coordinators, and programme facilitators.

The type and number of the organisations selected for the study is summarised in Table 5.1 below.

Table 5.1: Summary of type and number of organisations selected for the study

Type of organisation	Regions		Total
	Oromia	Addis Ababa	
Zones	2	3	5
Districts	9	6	15
Centres	13	7	20
Total	24	16	40

The data were collected and analysed to answer the research questions restated below.

- What are the practices and challenges of strategic policy formulation and implementation in Ethiopia?
- What processes can encourage participation of policy makers and key stakeholders in the formulation and implementation of AE strategic policy in Ethiopia?
- What are the expectations of policy makers and key stakeholders on AE strategic policy formulation and implementation in Ethiopia?
- What are the major factors that influence the formulation and implementation of AE strategic policy in Ethiopia?

The collected data consisted of interviews from six (6) higher officials (two from federal and four from regions), twenty (20) experts (five from zones and fifteen from districts) and twenty (20) facilitators at centre level. The data obtained through interviews were then coded, analysed and arranged into appropriate themes based on the research questions. The themes included four major documents related to AE policy formulation and implementation.

In line with the steps stipulated under chapter 4, the researcher first organised and transcribed the interview data and arranged both the interview data and that of the document analysis results into four themes. The researcher perused the two categories of data, coded them and identified the four themes that emerged from them as follows.

Theme 1: Responsible structures in formulating AE policy documents

Theme 2: The processes followed in policy formulation and implementation

Theme 3: Factors influencing policy formulation and implementation

Theme 4: Challenges faced in AE policy formulation and implementation

Therefore, the analysis was made based of these four themes and sub themes drawn from the four major themes.

5.2 PRESENTATION OF DATA OBTAINED THROUGH INTERVIEWS

The data collected through interviews were analysed according to the four themes, as outlined above. The themes were organised based on the research questions as suggested by McMillan (2002:1999). A total of 46 respondents participated in the interviews. Table 5.2 below summarises participants of the interviews by type and gender.

Table 5.2: Types of interview participants by type and gender

Gender	Type of Respondents			
	Officials	Experts	Facilitators	Total
Male	6	15	11	32
Female	-	5	9	14
Total	6	20	20	46

All higher officials (coordinators of AE programmes at MoE and region education bureaus level) of the study had master’s degrees in the field of AE and lifelong learning. So, it was assumed that they were familiar with the concepts, theories, principles and methods of adult learning. Most of them (five out of six) had more than five years of service in the area of AE. Two (2) of them were from the Federal MoE, four (4) (2 each) from the two regions. As far as their education background, work experience (2–10 years) and higher position (working at federal and region level) were concerned, they had the ability to provide good insight to the study. The information obtained from the respondents is presented and discussed across the four thematic areas below.

Across all themes of the study, in this section, after presentation of the data obtained from the interviewees, analysis and discussion of the results was conducted by triangulating the findings with the results gained from the document analysis. In order to substantiate the results, further analyses were made in line with related literature, theories and research findings.

5.2.1 Theme 1: Responsible structures in formulating AE policy documents

Some of the sub themes discussed under theme one were: concerned bodies who participate in AE policy and strategy documents formulation; the mechanism in which the needs of the community considered in the process of adult education strategic and policy formulation; and steps followed in the process of adult education strategic policies formulation.

5.2.1.1 Who formulate AE policy documents?

The responses from the 46 participants, namely 6 officials, 20 experts and 20 facilitators from federal, regional, zone, district and centre levels are presented below:

A question related to AE policy formulation was asked the officials and the following response ensued. Of the six officials interviewed, two indicated that the Federal MoE was responsible for the development of policies, rules, regulations, laws, directives, strategies for the education sector in general and AE sub-sector in particular. It came out from the responses of two other officials that REBs also have the responsibility to develop their own policies and strategies based on the framework developed by Federal MoE. An interview with a third official indicated that the policy documents are developed at federal level and regions translate them into their local languages and contexts. He further responded that Federal MoE developed them in close collaboration with regions, NGOs and consultants.

The fourth official interviewed emphasised the MoE's five major responsibilities that are critical in policy formulation and implementation. His words are captured as:

- *developing policies and strategies;*
- *expansion of education;*
- *securing resources;*
- *communication and supporting regions.*

It is deduced from the responses of the six officials that Federal MoE is legally responsible for formulating AE policy documents in the country, confirming the notion that in Ethiopia the formulation of AE policies adopts a top-down approach. As most studies in AE, such as a study conducted by Negassa in 2019 entitled 'Challenges of the implementation of Integrated Functional Adult Education (IFAE) in Ethiopia: A case of Oromiya National Regional State', suggest, a top-down approach in policy formulation is against the principles of AE as espoused in andragogical theory and transformative and SDL adult learning approaches

Of the 20 experts who participated in the study, five of them from zone level, agreed that AE policy documents were developed by team of experts from the Federal MoE, universities, NGOs and consultants from the regions. Nine district level experts and

supervisors from Oromia region reported that it was the OEB who worked in collaboration with partners based on the framework developed by MoE. The six district level experts from Addis Ababa city administration revealed that developing policy documents was the joint responsibility of both Federal MoE and Addis Ababa education bureau. They further noted that after the policy documents are developed, they are validated by team of experts drawn from all levels of the education structure (federal, region, zone, district).

The response of facilitators also documented as follow: Thirteen facilitators from Oromia region stated that the policy documents were developed by the OEB in the Afan Oromo language and distributed to zones, districts and centres. For instance, the words of one facilitator were: *“.....at centre level we receive policy documents from region, zone and district for implementation.”* So, I understand that the documents were developed by OEB and the facilitators played no role in the formulation of the policy documents. The other seven facilitators from Addis Ababa responded that policy documents were developed by zone and district education offices in collaboration with Addis Ababa City Administration.

The results showed that there were observable differences among the three groups of respondents (officials, experts, facilitators) in identifying the body responsible for formulating AE policy documents. The higher officials at federal and regional levels easily differentiated where and by whom the policy documents were developed. From the discussion above, it is possible to conclude that higher officials have good knowhow about the body responsible for the development of the AE policy documents. Their answers are consistent with the information gained from document analysis. However, experts at zone and district levels were confused about the issue under discussion. This indicates that policy formulation is interpreted differently by officials, experts and facilitators. By implication, this shows that there are different understandings and interpretations depending on how and what role each group plays.

Another question was directed at the officials on the processes and steps to be followed during AE policy documents formulation. The essence of the question was to assess the officials' understanding of the processes in policy formulation. Because officials are considered policy makers in the context of policy formulation and

implementation, the expectation was that they should be able to identify the processes involved in policy formulation in the education sector. In response to the question, they expressed their views as follows:

Two of the officials listed the following steps followed during AE policy documents formulation. These are:

- conducting a sector situation analysis;
- identifying the needs of the community;
- considering the direction of the government;
- developing a draft document;
- preparing an action plan;
- preparing the draft document;
- validating the draft document with stakeholders;
- presenting the document to higher officials for approval; and
- distributing the document for implementation.

Two other officials identified the following steps in formulating AE policy documents:

- identifying the actual need of the beneficiaries;
- crosschecking with government development and strategic documents;
- conducting a survey to identify the right thematic areas;
- considering the demand of regions;
- considering the need of the political system (government), donors using participatory methods;
- aligning the document with the regions' context;
- implementing the document;
- evaluating the document; and
- revising the document.

Two of them also pointed out the following steps.

- organising a team of experts;
- providing training/orientation for the team;
- developing the document; and
- implementing the document

When the responses of higher officials were compared with Bridman and Davis's (2004:132) stages model, the responses the officials showed similarity with the model. The model proposes the seven steps for policy formulation. These are:

- analysis of the existing situation;
- generation of policy options;
- evaluation of policy options;
- making the policy decision;
- planning for policy implementation;
- policy impact assessment and policy adjustment.

From the discussion, one can conclude that higher officials have good knowhow about the processes and the steps in the formulation of AE policy documents.

The researcher posed the same question to the 20 experts who participated in the study in order to compare and contrast their level of understanding of the steps followed to formulate AE policy documents. Their views were consistent as summarised hereunder:

- The draft document is prepared at federal or region level;
- The document is sent to stakeholders for comments;
- The regions translate the document to regional language; and
- The document is distributed for implementation

Sixteen of the 20 facilitators showed that they had no idea about the processes and steps to be followed to formulate AE policy documents. One was quoted as saying, *"I do not know how and by whom the policy documents are developed. The already developed documents are sent for us for implementation."* The responses reflected by 80% of facilitators indicate that policy implementers at lower levels of the education structure lack information on the processes and steps of AE policy formulation.

5.2.1.2 Considering needs of adult learners in policy formulation

The interviewees were asked to discuss how the needs of the community and those of adult learners were considered in the process of AE policy document formulation. The responses from the interviewees are summarised below:

Two officials (Hf03 and Hf06) were recorded as saying that the curriculum framework of AE programme was flexible, so the facilitators had the opportunity to contextualise the contents with the local situation. One further elaborated that, due to its flexibility, facilitators usually incorporated the emerging needs of adult learners and those of the entire community. Hf01 expressed a contrary view that most of the AE policy documents were not formulated based on the needs of the adult learners. *“In Addis Ababa, for instance, adult learners want to learn the regular school curriculum. However, the only curriculum offered is the centrally developed curriculum in AE programme”* he emphasised. Hf05 said that during the development of AE policy documents, specific issues were not considered. Rather, in policy documents only a framework and general issues were discussed and considered. He further stated that the curriculum framework was used as a guideline for programme implementers. Therefore, it was the responsibility of the implementers, facilitators in this case, to identify detailed content, methods and strategies in the classroom at centre level.

The responses of the ‘experts’ are consistent with that of officials’ response. One of the experts (E2) said that *“there is no mechanism to incorporate the needs of the community AE policy documents are developed by team of experts centrally at federal and region level.”* The responses of the officials and experts were in line with the result obtained from document analysis.

Concerning the AE curriculum framework, for example, the respondents pointed out that the facilitators had the responsibility to consider the felt needs of the adult learners while facilitating the programme. According to the AE implementation guideline, the curriculum materials developed at regional level are cascaded from the curriculum framework developed by the MoE (2011:8). Then, regions contextualise it to their regional and local situations. The facilitators who participated in this study indicated that in facilitating the programme, they rearranged the contents based on the need of the adult learners.

According to the views of the facilitators, the AE policy document development process in Ethiopia followed the top-down approach. This view is supported by Gboku and Lekoko (2007:24) who stated that, in many countries like Ethiopia, AE programmes are developed by a special department (the adult and non-formal education directorate in the Ethiopian case) established by the MoE. This

department is responsible for developing AE programmes for the entire nation. Programme development under such an arrangement is performed centrally on behalf of regional, zone, district and community-level officers. District and community level implementers may be involved but do not lead the process. The final programme that is passed on from the top to bottom is implemented in and across all regions, zones, districts and centres. The critical factors here are how well the programme reflects the real needs of the beneficiaries and how effectively the programme development process itself captures the most recent and relevant knowledge and interests of the stakeholders (MoE, 2008:15).

This indicates that most stakeholders are generally ill-informed about policy development issues and leave it to the elite to do this, resulting in generic documents that are intended to meet the needs of everyone. Following this argument, one can conclude that policy development in Ethiopia is a responsibility of only few experts at federal and region levels rather than being a collective effort of all relevant stakeholders and the community. Thus, policy formulation is not a product of demand of the community and has little input from the masses.

5.2.2 Theme II: The processes followed in policy formulation and implementation

Within Theme II the following sub-themes emerged and are discussed in this section:

- Roles and responsibilities of implementers in implementing policy documents;
- Organisational structure implementing AE policy documents;
- Adequacy of human, financial and material resources to implement AE policy documents; and
- Stakeholders' participation in the implementation of AE policy documents.

5.2.2.1 Considering roles and responsibilities of implementer in policy implementation

This sub-theme presents the roles and responsibilities of officials, experts and facilitators in the processes of AE policy documents implementation.

Hf04 mentioned his roles and responsibilities as: providing capacity building training for experts, supervisors, facilitators and stakeholders in the regions, zones, districts and centres; disseminating policy documents and materials to stakeholders; conducting supervision and providing support for the implementation of AE

programme; and revising the policy documents in general and curriculum materials in particular.

Hf06 also listed his roles and responsibilities as: *developing policy documents; following up the implementation of AE programme; timely formative and summative evaluation; introducing new practices and approaches; developing and introducing pilot projects and scaling up the good practices; identifying resources for AE programmes; conducting research to resolve different problems encountered in AE programmes, organising symposiums and conferences.* On the same issue, Hf03 explained his roles and responsibilities as follows: *implementing the AE programme; conducting research; coordinating the programmes in sub-cities, districts and centres; offering awareness creation training for implementers and stakeholders; adapting documents to the regional context; and writing reports.*

The responses of the three officials indicate that they had good awareness about their roles and responsibilities in executing AE programmes. The researcher reached this conclusion by comparing the response of the participants with the roles and responsibilities of these actors as stipulated in the AE implementation guideline prepared by the Federal MoE in 2010. The guideline discusses the duties and responsibilities of implementers at MoE level as follows:

- *Preparing the regulations and guidelines;*
- *Formulating national standards for programmes;*
- *Designing a strategy for AE expansion*
- *Giving the necessary technical and professional support to regional education bureaus;*
- *Preparing a syllabus that serve as a base for curriculum development;*
- *Working collaboratively with development offices;*
- *Conducting researches;*
- *Facilitating a forum for experience sharing;*
- *Coordinating preparations of projects (MoE, 2010:20)*

According to the discussion above, the roles and responsibilities of AE actors are clearly stated in the AE implementation guideline. Some of the roles and responsibilities of the MoE include preparing the regulations and guidelines;

formulating national standards; designing a strategy and preparing a syllabus; among others. In supporting this idea, the results of the interview data analysis revealed that the majority of the respondents had good information about their roles and responsibilities in implementing AE programmes.

In comparing with the current poor implementation status of the programme, one may regard this as contradictory, because, as the data revealed, the implementation status of the programme is disorganised; loose vertical coordination among implementers and the poor horizontal cooperation among stakeholders is the norm; and the commitment of all actors in the programme is low. This leads the researcher to the conclusion that having well-stated policy documents and having good information about the programme may not guarantee the effectiveness of implementation of a given AE programme. What is equally important is having a functional organisational system, designing an appropriate AE approach and equipping the system with necessary resources.

The same question was raised with experts and facilitators at zone, district and centre levels. Their responses can be summarised as follows: following up and controlling the implementation of AE programme; identifying people who do not get access to AE; delivering training for facilitators and district level implementers; advocating the programme; hiring facilitators; mobilising the community towards AE programme; and teaching adults.

The information gained from the experts and facilitators revealed that they understood their roles and responsibilities when compared with their roles and responsibilities defined in AE implementation guideline. The guideline defines their roles and responsibilities as follows:

- *Identifying villages in which AE programmes shall take place;*
- *Formulating a short and long plan of district AE*
- *Checking the fulfilment of standards of AE programmes;*
- *Checking the establishment of committees at district and village levels;*
- *Performing/conducting the recruitment, training and employment of facilitators and trainers;*

- *Encouraging the participation of the community in the education sector programmes;*
- *Making decisions on problems raised regarding the AE sector programme;*
- *Implementing AE according to the developed curriculum;*
- *Providing the training and experience; and*
- *Sharing programmes with facilitators (MoE, 2010:21)*

The three groups of respondents (higher officials, and experts and facilitators) listed their roles and responsibilities in the implementation of the AE programme. However, in their discussion, they did not mention the concept of integration as part of their roles and responsibilities, which is highly advocated in many of the policy documents of the AE programme in Ethiopia. For instance, the AE curriculum framework indicates that the contents of the curriculum are drawn from seven areas (health, agriculture, income generation, civic and ethics, environment protection, gender, social life). In addition, the AE implementation guideline recommends integration in many forms such as in terms of content, management, and implementation among others.

5.2.2.2 Organisational structures implementing AE policies

Higher officials of this study were asked “Which organisational structures or system in the country implements AE policies and programmes?” The responses from higher officials at federal and region levels revealed that the programme is fully led by the MoE.

For instance, Hf03 explained that there is a national board established at federal level to lead the AE programme in the country. Members of the board were drawn from seven ministries, including the MoE. The board was led by the state minister for general education and the secretary of the national AE board was the directorate for AE in the MoE.

Hfo6 and Hf01 responded that it was MoE which took a leading role in implementing the AE programme in Ethiopia. The leader and secretary of the board were from the MoE. They further pointed out that even though the government advocated integration, in practice, the programme was run by the education sector only.

The implication of the above responses is that the MoE has no mandate to run the AE programme independently because all policy documents of the AE sector emphasise that the programme should be run by boards and a technical committee drawn from different related ministries at all levels, not by education sector only. It also indicates that these line ministries need to sign a memorandum of understanding to implement the programme collaboratively. The researcher believes that MoE is not carrying out the responsibility in accordance with the law, and that may be one of the contributing factors for poor implementation of AE programme in the country.

5.2.2.3 Human, financial and other resources in policy implementation processes

According to the NAES (MoE, 2008:17), if an educational programme is to be implemented properly and its final target is achieved, its basic human, material, and financial requirements should be fulfilled. Although the budget allocated for education sector by government is increased from time to time, the corresponding share of AE has been very low. Personnel assigned at different levels in the sub-sector are very few in number and do not have appropriate training. Therefore, it is believed that a coordinated and robust execution of AE requires a fair budget and human resource allocation at national and regional levels to support the development of text books, curriculum/syllabus and facilitator preparation.

The respondents were asked a question regarding the adequacy of human, materials, and financial resources to implement AE programme. The common points discussed by the majority (38 out of 46) of the respondents are summarised below:

- A critical shortage of professionals at all levels and the programme lead by paraprofessionals. The shortage of trained professionals in the field of AE was a serious hindrance to the implementation of the AE policies in Ethiopia. In support of this finding, the national AE peer review conducted by MoE in collaboration with DVV International (Institute for International Cooperation of the German Adult Education Association) revealed that the sector, especially, at zonal, district and centre levels was led by paraprofessionals; hence, its implementation is not effective (MoE, 2018:28). The researcher also understood that the lower levels (centre and district) of AE structure were run by individuals who had no expertise

in the field of AE. Therefore, this is one of the contributing factors to the poor implementation of the programme.

According to Hf01, the critical shortage of professionals was due to misuse of the existing professionals in the field. Since the implementation of the NAES (launched in 2008), some public universities were producing professionals with bachelor and master's degrees for the sector. There were at least 10 public universities providing training in bachelor and master's degrees in the field of AE. A large number of students had graduated from these universities since 2017. However, many of these graduates were involved in teaching at primary and secondary schools. The reason was that the majority of the positions were occupied by paraprofessionals and/or professionals in other fields.

- Lack of finances and materials to run the programme at all levels: The responses of the respondents revealed that in Ethiopian education system, there is no clear guideline for budget allocation for the AE programme. As a result, the AE programme gets its budget from the general education budget. Concerning budget allocation, ESDP-V indicates that, in most regions, learning materials development was a challenge due to lack of finances and limited capacity among teacher trainers and facilitators; most facilitators did not have a facilitator's guide; and handbooks for learners were scarce due to budgetary constraints or ineffective resource allocation by regions (MoE, 2015:66). In support of this idea, Abadi (2018:117) argued that there was poor commitment by the regional government and education bureaus to allocate sufficient finances for the AE programme. He further explained that the budget allocated by the government was not spent on publication of primers, teaching materials and other important expenses during ESDP-IV.

In supporting the results of the interviews, Negassa (2019:108) stated that many of the poorest local, rural, and urban centres in Oromia region do not have access to adequate financial resources necessary to establish appropriate training centres for the AE programme. The government placed much emphasis on children's education. The training of AE was not generally provided at formal schools; but in the open air, at religious institutions, and household level which might contribute to the demotivation of adult learners to attend the programme.

Providing training materials along with recruiting and training facilitators costs money, and the allocated financial share from formal school budgets is generally not sufficient to establish an education system for adult learners. This implies that the poor implementation of the AE programme in the country might be the result of this critical shortage of finance, teaching-learning materials and lack of commitment from the government.

5.2.2.4 The commitment of stakeholders in implementing policies

Under this sub-theme the interviewees were asked to evaluate the commitment of stakeholders towards AE programme. From their response majority of the respondents argued that there is very low commitment among the stakeholders towards AE programme. Concerning this issue the response of one facilitator (F5) is presented as follows: *“... In truly speaking, I am working in AE sector until I can secure another job. Because at this position the monthly salary paid for me is about 1200 Ethiopian Birr (equivalent to 40 USD). With this amount of money, it is difficult to lead an independent life. As a result, I am forced to live with my family to get their assistance. In addition to this, there is no chance to continue and upgrade my education in the same field. The only chance that I have is to shift my career to formal education and join teacher training colleges to teach children. Because of these reasons, I am not committed to work in this sector.”*

5.2.3 Theme III: Factors influencing AE policy formulation and implementation

5.2.3.1 Stakeholders' participation

In this respect, the information obtained from interviews conducted with AE officials and implementers revealed that resource mobilisation should not remain solely a responsibility of government, the MoE and REBs, but should be a shared responsibility by local communities, workers, non-governmental organisation, private organisations, associations and individuals. The respondents also identified ways of resource mobilisation for the AE programme. Some of the ways that need to be applied by programme implementers are: preparing a lottery for fund raising; project proposal writing; taxation (establishing a licence for AE); regular budget provision by central, regional and woreda governments; community and learners' contributions; and grants and donations from NGOs and private organisations.

In support of the idea stated in the AE implementation guideline and the interview results above, the master plan for the AE programme also recognises the leadership role of the Federal MoE and acknowledges that AE is not only the responsibility of any one group. Government ministries and institutions, universities, technical and vocational education and training (TVET), NGOs and the private sector all have a significant role to play.

In relation to stakeholders' participation in the implementation of AE programme, respondents at all levels of the two regions indicated that the contribution of other sectors to the implementation of AE was low. In this regard, one of the zonal experts (E7) of the Oromia region reported that, "*AE was intended to be executed by the joint efforts of different sectors. Some of these are: education, agricultural and rural development, health, gender and other development related sectors, but these sectors do not consider AE programme as part of their duty and responsibility. They have left the duty to the education sector. Thus, in practice, the programme is run by education sector at all levels of the structure.*"

5.2.3.2 Key stakeholders and aspects of their participation

In response to the above question, the respondents (officials and experts) agreed that different bodies are directly involved in implementation of AE programme. Among the different kinds of stakeholders' participation that have been documented, according to Gboku and Lekoko (2007:147), are representational participation, information sharing, consultation, joint decision-making, acting together and building independent community initiatives.

In order to implement AE programme effectively, according to the AE implementation guideline, the MoE, line ministries, and other government institutions need to increase their level of collaboration and networking with NGOs and associations working in this sector and development partners in the areas. This is because they have expertise in their different areas of specialisation (MoE, 2011: 22). The guideline further discusses some of the areas of collaboration for these organisations and associations: utilisation of existing structures; research and documentation exchange; provision of technical support in specialised areas of training; resource mobilisation; training materials development and production; lobbying and advocacy;

curriculum development; and monitoring and evaluation among others (MoE 2011: 23).

From the discussion above and the researcher's personal experience, there are many stakeholders participating in the implementation of AE programmes in the country. However, these stakeholders are not participating in an organised manner. As a result, their contributions have not made a significant change to the low literacy level of the country.

Concerning the involvement of the community as stakeholders, MoE (2008:9) stated that the involvement of the stakeholders must put the community at the centre of the whole process. In the same way, OEB (2008:11) highlighted the significant role of the community in the success of the AE. The document mentioned the following as the major activities that require maximum participation of the community:

- *selecting and preparing education programme centres;*
- *building facilitators' accommodation and reading rooms up on their own choices, facilitating all the necessary conditions;*
- *selecting curriculum content based on their own needs and interests;*
- *preparing an educational plan;*
- *thoroughly participating in the programme,;*
- *monitoring and evaluating the process;*
- *participating in learning and those who are educated in teaching;*
- *providing especial assistance for women and girls to learn;*
- *participating in the recruitment and evaluation of facilitators;*
- *providing the necessary facilities and assistance for coordinators, teachers and supervisors, mobilised to monitor adult non-formal education programme;*
- *taking part in contributions or support activities necessary to strengthen adult non-formal programmes; and*
- *following up and evaluating adult non-formal programmes (OEB, 2008:11).*

The data presented above show that there are different categories of stakeholders participating in implementing AE programme in the country. Although much has been done by the government (MoE) and NGOs, the level of illiteracy still remains high and the implementation of the programme is poor. This situation implies that there is

no established system that coordinates stakeholders' effort and resources towards the effective implementation of AE programme. This brings about a duplication of efforts and a waste of resources. This researcher has serious doubts about the so-called 'IFAE approach' the government is currently using in running the AE programme.

5.2.3.3 Environment in which stakeholders participate

The existence of a national strategy and more than 10 working policy documents should provide a conducive environment for the stakeholders to participate in the programme. The respondents commented that the existing structure of the sector is not functioning properly because the programme is run by a committee (board) at all levels of the government political structure where there is no accountability for the failure or success of the programme.

From the information provided by the respondents, it can be argued that the presence of guidelines, manuals, rules and regulations alone may not bring about the intended result. In addition to these system documents, what is equally important is having well-established organisational structures. A responsive and needs-based approach is mandatory.

5.2.3.4 Understanding of implementers on types of AE policy documents

The respondents (officials and experts at federal, region, zone and district level) were asked to differentiate and discuss some key AE policy documents. The higher officials from federal level and the regions listed almost all the required policy documents and mentioned the purposes of the documents. One of the reasons for differentiating between the documents was that, because of their position, they had attended a range of short-term and long-term workshops, training programmes, discussions and meetings provided by the government and NGOs at regional, national and international level. On the other hand, the experts from zonal and district levels listed only a few of the key policy documents. Some of the reasons were that there was no awareness creation programme for newly employed personnel; there was a high turnover of the personnel; and there was an absence of an organised system to run the programme as per the strategy and policy documents.

The participants were asked to give their perceptions on the knowledge of AE programme implementers towards AE policy documents. It can be inferred from the responses that the policy must be conceptually clear and simple, theoretically sound, and stated in terms of desired changes achieved among target groups. Discussing and interpreting of the policy process, and the role and responsibilities of the policy implementers, could further contribute to the generation of feasible, realistic and affordable policy options. This could be implemented to the benefit of the public. The finding indicates that implementers of AE policies should master the focus areas and essential principles or aims and objectives of each policy that regulates their performance or the execution of their duties.

Knowledge of education policies is essential for all AE implementers entrusted with the core responsibilities of implementing them for effective implementation of the programme. Theirauf (1999:45) described knowledge as “information about information”. Information could therefore be said to constitute data with relevance and purpose. It is generally believed that if an organisation can increase its effective knowledge utilisation by only a small percentage, great benefits will ensue (King 2009:23). Knowledge of the policy should therefore be part of the AE implementers’ area of development or empowerment. Policy requires an intellectual interpretation and analysis amongst colleagues of the course to follow to achieve objectives most effectively, as proven by experience.

The discussion shows that the implementers of AE at lower levels (zone, district and centre) exhibited difficulties in discussing the types and purposes of key policy documents. This low level of awareness has an impact on the provision of quality AE programme in the country.

5.2.3.5 Strategies to introduce AE policy documents

The researcher posed questions related to strategies established by the government to introduce the existing AE strategic policy documents to implementers and stakeholders. The majority of the respondents (43 out of 46) replied that, there was no organised system in the sector to introduce AE policy documents to the programme facilitators, programme coordinators, supervisors and officials. They also mentioned that government organisations, NGOs, and other private organisations very seldom provided short-term training for them.

The transmission of policy into practice is more complex than the government's part of policy development. There are serious and neglected issues about whether and how national policy can be effectively implemented locally and what needs to be in place for this to occur. Identifying, delivering and demonstrating where the system is working well helps to build credibility and enables staff service users and stakeholders to learn from experience. Reflecting upon the overall implementation process during the final stages of implementation allows implementers to identify strengths and weaknesses that occurred during the process so as to inform and improve future applications.

Implementation of policies takes place after policy adoption. Policy implementation involves the actions carried out by the public or private individuals or groups (Cloete & Wissink, 2000:166). Policy makers are politicians whereas policy implementers are managers and employees of the education sector. Top-down and bottom-up perspectives in policy implementation have much to do with policy makers and implementers.

The above responses make one understand the importance of communication in the implementation process of the AE policies. Effective, ongoing communication is critical in motivating staff, overcoming resistance to change, and giving and receiving feedback. It is also essential for building and maintaining trust among staff. Internal systems and processes that support effective communication are, therefore, vital for education institutions. Monitoring and evaluation are essential to determine whether desired indicators are being met and outcomes achieved. Such activities also help to identify risks to implementation and inform future actions.

5.2.3.6 Accessibility of AE policy documents to implementers

The respondents were asked about the accessibility of strategic policy documents at their workplaces and use of these strategic policy documents in their day-to-day implementation of AE programme. The respondents working at district and adult learning centres level agreed in their responses that the strategic policy documents developed by MoE and OEB were not readily available at their workplaces. As a result, the AE programmes in their district and centres are not run as per the policy documents. For instance, the national AE demands that AE programme should be run by different stakeholders in an integrated fashion. However, as the respondents

pointed out, in practical terms, the major actors of the programme are from the ministries of education, health and agriculture and rural development without much involvement of those in the districts and at the learning centres.

It is clear from the above responses that the people who implement the policies at the grassroots level are not involved in formulation of such policies. It was also observed that the implementers at district and centre levels do not have most of the policy documents or know their names. This implies that they are implementing the policies without understanding or knowing them. The lack of knowledge limits AE programme at the grass root level in traditional literacy approach-reading, writing and numeracy.

5.2.3.7 Understanding the aims and objectives of AE policy documents

In order to check the knowledge of the respondents about the policy documents, they were asked to list the goals and objectives of four selected policy documents, namely, the NAES, AE programme implementation guideline, minimum learning competencies (MLC) in AE programmes and the AE curriculum framework.

The responses to the above item indicate that most of the zonal AE coordinators have a basic knowledge of the AE policy documents listed above. For instance, the words of one zone level expert (E17) on the aims of NAES included: *for poverty reduction, to improve life of the community and for social and economic development*. When this response is compared with the aim stipulated in NAES which reads “to build democratic and good governance culture; to bring about a change on social life the society through expansion of AE; to ensure sustainable economic development through quality and relevant AE” the responses of the expert was in line with the goals stated in the NAES.

The AE experts at district level and facilitators have very limited knowledge of AE policy documents aims and objectives. In this regard, 17 out of 20 facilitators replied that they had no idea about the aims of the policy documents. This result indicates that the actual implementers of the AE programme lack clear understanding of policy documents. This might be a reason for the poor implementation of AE programmes in the two regions (Oromia and Addis Ababa).

5.2.4 Theme IV: Challenges faced in AE policy formulation and implementation

The question of the factors influencing the formulation and implementation of AE policy documents was posed to all groups of participants. Their reflections were organised and discussed under the four themes. In relation to the formulation of AE policy documents (Theme I) the respondents highlighted the following major challenges.

The response from the respondents showed that AE policy documents were prepared at federal level (top-down approach) and distributed to regions for implementation. Both document analysis and interview results confirmed that policy documents were developed by MoE at federal level. The researcher believes that such an approach contradicts the core principles of the AE approach proposed by Knowles. The principle states that, in the formulation of AE policy documents, the direct beneficiaries of the programme, adult learners and the community need to participate in all aspects of the programme from planning to evaluation. The rationale, according to Gboku and Lekoko (2007:151), is that people should be involved in making the decisions that affect their lives. This means that they should be able to express their views and make suggestions and requests that can be integrated into the development of programmes.

With regard to the implementation of AE programme (Theme II) the following challenges were identified by the respondents:

- Absence of well-defined structure to lead the programme. Concerning this challenge, the respondents discussed that the planned institutional system, including the National AE Board and technical committee, was not well organised, which resulted in continued fragmentation of AE provision. This negatively affects the implementation, coordination, linkages between programmes and monitoring. In this regard one of the officials (Hf05) said that *“currently the implementation status of the programme is not planned well; there is loose coordination among implementers and stakeholders; low commitment from implementers, stakeholders and political leaders’ side to run the programme.”* As a result, AE boards and technical committees at federal, regional, zonal and district levels were not operating effectively and lacked

dedicated experts to lead the programme, so most of the learning centres did not get technical support.

- Inadequacy of resources. As identified by this study, the AE sector is suffering from a critical shortage of both human and non-human resources. In Ethiopia, adult learning sites vary depending upon the local conditions. It can be buildings of churches or mosques, halls, formal school buildings or any convenient place. These centres need to be equipped with adequate facilities like benches, desks, toilets, running water, electricity and teaching-learning materials, among other things, in order to provide quality education. However, the practice in Ethiopia, according to the results obtained from the respondents, revealed that the centres were not equipped with the facilities mentioned above. The root cause for this is the allocation of minimal finances by the government.
- Shortage of trained facilitators. The complex nature of teaching adults needs facilitators to identify facts about adults' behaviours to convince them of the importance of the programme; to understand and manage adults' behaviour; to create alternative approaches to simplify learning; and to organise learning, ideas and thoughts when making a verbal or written presentation (Negassa, 2019:112). The respondents reaffirmed that there was no established system that provided training to facilitators to empower them. In most cases, facilitators were recruited from the community and directly participated in facilitation work without training or with short-term orientation. Such practices might have an impact on the provision of quality education. This in turn leads to poor scheduling, implementation, monitoring and evaluation and reporting of the programme.

Concerning the participation of stakeholders (Theme III) in the formulation and implementation of AE policy documents, the respondents mentioned weak coordination of different actors of the programme as one of the challenges. Concerning this point, the AE implementation guideline recommends close collaboration among different ministries by signing a memorandum of understanding. However, in practice, as stated by the one of the respondents (E10), *“the coordination among sector ministries in the horizontal relationship is weak and the vertical relationship is limited only within the education sector.”* This situation implies that there is no established system that coordinates stakeholders' efforts and resources towards the effective implementation of AE programme. This also brings

about duplication of efforts and a waste of resources in the implementation process. For instance, Hf01 stated that the *AE board established at federal level had not met for the last two years*. Some of the contributing factors, according to Hf03, were *lack of commitment, absence of clear structures that enabled the stakeholders to participate in the AE programme, the absence of clear guidelines and lack of accountability mechanisms for the stakeholders on how to participate on the programme*.

Challenges on implementers' awareness (Theme IV) on AE policy documents were discussed by the respondents during the interview sessions. Lack of awareness about AE policy documents was revealed in the responses of the informants. Specifically, respondents at lower levels of the education structure had serious problems in identifying the key AE policy documents and their objectives and contents. In addition, the facilitators affirmed that the AE sector was challenged by a high turnover of facilitators. Some of the reasons were low income, job insecurity, and absence of a conducive environment for implementing the programme. In Ethiopia, facilitators of AE programme earn a monthly salary of 1200 Ethiopian Birr which is equivalent to 40 USD. The absence of an organised system in the sector to introduce or orient AE policy and strategic documents to the programme facilitators, programme coordinators, supervisors and officials was another challenge discussed by the respondents.

5.3 PRESENTATION AND ANALYSIS OF DATA OBTAINED THROUGH DOCUMENT ANALYSIS

As stated in Chapter 4, document analysis was used as one of data gathering tools. In order to collect pertinent data for the study, various AE policy documents were identified, read and analysed. The analysis of the four policy documents was conducted in line with the research questions and the five thematic areas identified. The documents included the NAES, AE implementation guideline, learning for life: master plan for AE in Ethiopia and AE minimum learning competence. These policy documents were analysed in line with the four themes as follows.

5.3.1 Theme 1: Responsible structures in formulating AE policy documents

In the process of education policy formulation, teachers and other education professionals such as supervisors, experts, programme coordinators, facilitators,

learners and communities need to be consulted through public debates and discussion. This means, they should be involved as the main actors during debates on public education policies. Their perceptions and desires for education should be the basis for developing a public education policy agenda (Hirano et al., 2012:61).

5.3.1.1 National adult education strategy document in policy formulation

As stated in NAES, the document is formulated with the assumption that AE is contributing as an integral part of the implementation of different development policies, strategies and packages. Some of these packages are: *agriculture and rural development, industrialisation, health and packages directly related to youth and women*. These packages are targeted to achieve accelerated and sustained development and to end poverty in the country. With the assumption that AE policy is complex and it makes important contributions to many other policies such as the economy, health, family, agriculture, gender and others through providing awareness and empowering the community.

The document further discusses the development of a strategy for AE becoming a necessity to expand and strengthen AE discourse. The document, moreover, discusses how and at what level it is formulated and it reads as: “... *the strategy for AE has been developed by Federal MoE with active participation of all stakeholders*”.

The responsibility for AE policy formulation is often divided across several ministries and organisations- education, agriculture, health, gender, NGOs, private organisations. These ministries and organisations contribute to the implementation of the AE policy at all levels with local institutions such as adult learning centres, schools, local administrators, and districts education offices, region, and national level. However, the European Commission (2015: 22) seems to have a differing view that the “*shared responsibility among stakeholders often results in a situation where the adult learning policy is fragmented and its efficiency suffers from insufficient coordination*”. An impression is created here that while the NAES policy document may have been developed at federal level by MoE in conjunction and consultation with stakeholders (ministries and organisations), their participation in the process of formulating the document and their roles are not clearly articulated. The lack of clarity in the practice may contradict with the principles of andragogy which says adults must participate in the preparation of policies and regulations that guide their

learning as espoused by Knowles assumption in andragogy. Adults participate more in educational programmes if they are involved in the programme development process (UNESCO 2007:87). Hughes (2003:27) acknowledges that policy development is a conscious goal selecting process, which is undertaken by stakeholders in a decision-making process and should include both action and inaction decisions.

Concerning the issue discussed above the researcher believes that one of the contributing factors for low implementation of AE programme in the country is that the demands of the entire community were not properly addressed in the existing policy documents. According to Abdi and Kapoor (2009:57) since AE philosophy is learner-centred, emphasis is that adult learners have to participate in identifying their learning needs and interests, and that their learning needs should be centred in their own problems and experiences. Therefore, the process of policy documents formulation has to follow bottom-up approach so as to incorporate the felt needs of the community in the policy documents.

5.3.1.2 Implementation guideline document in policy formulation

In Ethiopia, AE programme has been undertaken by government, non-governmental organisations and the communities for years. These organisations that run AE programme work separately, have their own curriculum, leadership, implementation, and assessment and examination strategies (MoE, 2010:1)). To coordinate and help According to the MoE (2010:3) the AE programme implementation guideline was formulated on the basis of the third five years educational sector development programme (ESDP-III) and national adult literacy strategy, which stipulates the importance of coordination in helping the previously isolated effort made by different organisations and effectively implement the AE strategy prepared at the national level. In addition to this, MoE (2010:3) asserts, the following reasons necessitated the preparation of the implementation guideline:

- *requirement by the government that policies and strategies should have implementation guidelines;*
- *to lead the adult literacy programme as part of the general education policy;*
- *to implement the adult literacy programme efficiently;*

- *to meet the objectives of the then millennium development goals (MDG);*
- *to help the programme leaders at all levels to be able to play their roles individually and collaboratively;*
- *to answer questions raised regarding the facilitators, supervision and monitoring in a clear way;*
- *and to maintain transparency and accountability in the implementation of the programme.*

Although the necessity of this implementation guideline is indicated as mentioned above the actual implementation of the programmes as observed in this study revealed poor, uncoordinated, and much left to the education sector, with little involvement of other stakeholders, particularly the adult learners, who are directly affected by the policy guidelines.

From the discussion above, it is possible to conclude that the policy formulation and implementation in adult programme sector do not achieve the goals set by the government. The possible reasons as discussed national survey report conducted by MoE and DVV International the programme guideline is challenged by lack of joint planning, implementation, monitoring and evaluation (M & E) system. Although there are quarterly, biannual and yearly forums of AE board and technical committees, in practice, the sectors involved are not active and lack commitment. It was observed from the documents that there were some attempts to produce sector based AE guideline, planning and implementation system at district and centre levels but this has not yet materialised. In addition, there is a pressing need to adapt and practice a programme implementation guideline with technical capacity, resource allocation, and monitoring and evaluation mechanisms across sectors.

Concerning the development of AE curriculum materials, the guideline indicates that the participation of stakeholders needs to be considered. Stakeholders shall participate in the curriculum development process. As it is indicated in the guideline, it is the responsibility of the AE board and technical committee at all levels of the structure. Due to lack of commitment and absence of accountability from the two groups (AE board and technical committee) the participation of stakeholders not yet considered. Some of these stakeholders are: personnel at the education and development offices at various levels (from federal to grassroots level) and those

offices which include education, agriculture as well as labour and social affairs offices.

Furthermore, the information obtained from the guideline suggests that the curriculum materials development should go through the following stages: *needs assessment or situation analysis, prioritisation of content areas of needs, deciding on the formats of the materials (text, work book, among others), preparation of the first draft, pre-testing, preparing final draft by incorporating the comments from pre-testing, field-testing, final production and distribution, and evaluation during implementation*. However, an observation of the actual practices of AE programme curriculum development practices indicates that, the curriculum is cascaded from the curriculum framework developed by MoE (MoE, 2011:8). Regions also contextualised it to their regional and local situations with professional support of AE department, commissioned experts and the teachers training colleges.

As indicated in the documents in Oromia, for example, the regional AE curriculum framework was developed by the regional AE directorate based on the general framework of AE curriculum framework developed by MoE (OEB, 2010:10). As it is stated in OEB's AE implementation guideline, AE professionals and experts gather information on different thematic areas across sectors in the region. The information is refined with professionals and technical team members and approved by the AE board. The AE focal person, facilitators and community extension workers develop weekly lesson plans, based on the localised curriculum before they conduct the actual teaching – learning activities (OEB, 2010:10).

5.3.1.3 Learning for life: master plan document in policy formulation

One of the policy documents identified and analysed for this study was the learning for life: master plan for AE programme. The document was developed by MoE in 2010 for the period of ten years 2010 -2020. The purpose of the master plan was to create the necessary structures, programmes and tools to provide access to quality AE services to every youth and adult in Ethiopia. The master plan recognises the leadership role of the Federal MoE and acknowledges that AE is not the responsibility of any one single group. Government ministries and institutions, universities, TVETs, NGOs and the private sector all have a significant role to play to build on existing initiatives and structures. The document indicates that five federal

level ministries have signed a memorandum of understanding with MoE, to enhance coordination and collaboration. It recognises and respects the roles and responsibilities of each partner and stakeholder, whether they operate at international, national, regional, zonal, district and community level.

In contrast to the NAES, that did not indicate the participation of other stakeholders, a master plan has been developed through a systematic and comprehensive participatory process. Under the guidance of the MoE and DVV international (international NGO working on AE), a team of consultants conducted a systematic collection of data and information from multiple sources. This data and information were reviewed and analysed and the conclusions were put forward in a draft document to key multi-sectoral stakeholders. Members of the regional education bureaus, NGO representatives, and officials from various ministries, academics, and representatives of the non-profit and private sectors provided advice and feedback. According to the relevant documents which were analysed through dialogue, the group put forward recommendations to improve equitable access to relevant quality AE services to Ethiopians. Among others, the documents suggested that AE should be a compulsory and citizens' right in building socio-economically viable and justice society in ever changing local and global environments. The researcher believes that in the process of the development of this policy document the direct beneficiary of the programme, the community, was ignored. The representatives of the community need to participate in planning, implementation and evaluation of AE policy to achieve its goals (Knowles, 1980:81).

5.3.1.4 Minimum learning competence document in policy formulation

According to the MoE (2012:7), a minimum learning competence document was developed by the stakeholders' forum in 2011. The stakeholders who participated in the development of this document, were drawn from the: *ministry of agriculture and rural development, ministry of labour and social affairs, DVV international, Pact Ethiopia, Ben Ethiopia, adult and non-formal education association (ANFEA), Addis Ababa city administration education bureau, region education bureaus, TVET agencies and Federal MoE*. Since this document was prepared at federal level by the MoE participants in this study from Federal MoE and region education bureaus have the mandate to participate in the development of the document. The mandate

given to these stakeholders' forum was to develop minimum learning competence document based on the NAES developed in 2008 by the MoE. This minimum learning competence document encompasses the knowledge, skills and attitude expected from adult learners at all levels of the AE.

The document basically emphasises on seven contents already identified by NAES. These are: health, income generation, civic and ethics, environmental protection, gender and social life. In line with these seven contents, skills of literacy (reading, writing and numeracy), problem-solving and decision-making.

Based on the analysis made on the four AE policy documents above, it is clear that all the policy documents were developed at federal level by team of experts. Then, based on the framework of the policy document developed at federal level, regions cascade it to their contexts and translate the policy document in -to their local languages. The researcher, therefore, argues that AE is community based programme which the entire community should participate in its planning, implementation and evaluation. It is therefore mandatory to include the felt needs of the local community through involving them in all aspects of the programme.

To conclude, in order to formulate policy documents in general and AE policy documents in particular, it is mandatory to conduct systematic document analysis. As it is indicated in theoretical framework (chapter two) of this study, the first action needs to be considered during policy document formulation should be analysing the existing policy documents in the sector (Chang, 2006:1). This helps for policy makers to identify the strengths and weaknesses of the current policy documents (Cockrel, 2010:1).

5.3.2 Theme II: The processes followed in policy formulation and implementation

Based on the NAES the MoE has developed the AE implementation guideline. In the process of analysing the policy documents emphasis was put on this guideline because it directed the focus of the discussion of the implementation of AE programme in the country. The NAES further delineates the level of implementation of AE policy documents in terms of AE leadership and organisation, national AE board and resource mobilisation and utilisation to implement the programme (MoE, 2008:20).

As it is indicated in the document, the main goal of this implementation guideline is to implement (practice) the AE programme effectively and efficiently. Its specific objectives are to: ensure the quality of education provided by AE programme; enhance the capacity of stakeholders to implement and manage AE programme at different levels; ensure quality assurance and standardisation of AE programme in the country. It is also to strengthen mechanisms for new working system and collaboration among stakeholders; ensure systematic and continuous assessment of adult learners' achievement; ensure transparency, accountability and efficient management of finance and other resources; create coordinated leadership and monitoring at all levels and strengthens the leadership (MoE, 2010:6).

It has been clear from the discussion so far that the AE programme has well-stated objectives in place. However, from observation it is clear that the actual implementation of these objectives in practice, is entirely different. For example, some of the major challenges reported in ESDP V document revealed that: the provision of AE programme is poor; the coordination of responsible stakeholders is very weak and the programme is left solely in the hands of the MoE; there is also critical shortage of resources (material, human and financial) to implement the programme as per the set standard. Some of the issues needs to consider during the implementation of AE are:

5.3.2.1 AE leadership and organisation

The two policy documents reveal that AE is based on the needs of the beneficiaries and requires multi-faceted activities. Adults want learning, which is related to their daily lives, help them to solve their problems and bring changes to their lives. To bring a change on the lives of these groups of communities, various ministerial offices are to play their roles by providing different educational and training programmes. This makes partnership in leadership is necessary for the success of the programme. Accordingly, AE leading organs are formed at different levels based on the decentralised administrative principles. The decentralised system of the government starts from the federal level and goes to the local community level. Although the system is decentralised, at all levels of the structure (federal, region, zone, district, school/adult learning centre) the programme is run by the education sector.

5.3.2.2 National AE board

As indicated in the policy documents AE programme in Ethiopia is governed by a national board. This board is the highest leading organ of which relevant national ministries such as education (MoE), agriculture and rural development (MoARD), health (MoH), women affairs (MoWA), youths and sports (MoYS), labour and social affairs (MoSA) and information (Mol) participate. Theoretically the board has the responsibility to lead AE programme in the country. However, in practical situation according to document analysis, the boards at all levels are not functional and the programme is run only by the education sector.

5.3.2.3 Resource mobilisation and utilisation

The implementation guidelines for AE programmes recognise human, material and financial resources as very important in implementation of policies. In order to make the implementation of AE programme successful, the mobilisation of adequate resources from different sources, their proper allocation and utilisation at all levels is mandatory.

5.3.3 Theme III: Factors influencing AE policy formulation and implementation

5.3.3.1 Stakeholders' participation

The NAES (MoE, 2008:10) emphasised the active involvement and coordination among those sectors working to strengthen the AE programmes in Ethiopia. The document states that to ensure quality in the programme development, different stakeholders shall participate in the curriculum development. In addition to the above, the, AE implementation guideline lists the type of stakeholders who should participate in the curriculum development for the AE programme. These are: personnel at the education and development offices at various levels (from federal to local levels) including those from education, agriculture, labour and social affairs offices, non-governmental organisations, administrative officials in the area, community leaders and authors,.

In addition to this, the strategy presents stakeholders who perform monitoring and support supervision in AE programme. These include AE facilitators, joint supervisors and inspectors, local communities, administrative personnel, politicians,

non-governmental organisations civil societies organisation, programme leaders, coordinators, development workers (eg. agriculture, health, etc) and adult learners.

5.3.3.2 Understanding of implementers on AE policy documents

According to the AE implementation guideline, the purposes of capacity building in the AE sector include ensuring effective and high-quality implementation of the AE programme; equipping implementers with knowledge, skills and practices; and providing the necessary support for the implementation of AE (MoE, 2010:10).

As stated by national AE strategic document (MoE, 2008:16), one of the indispensable inputs for quality AE and effective implementation of the programme is the availability of competent teachers or facilitators and implementers. Since adults have their status in the society and are owners of rich experiences, teaching them requires a special methodology. The competences of facilitators and implementers have great importance for the delivery and effectiveness of AE. In building the capacity of facilitators, supervisors, coordinators and other experts the document delineates the following guiding strategies:

- *Raise the capacity of programme managers, training institutions, facilitators and experts to the required level;*
- *Establish a system to train facilitators and provide the training in teachers' training institutions;*
- *Recruit facilitators from the surrounding community who are at least completers of 10th Grade and accepted by the community;*
- *Provide needs-based training by different teachers' training and agricultural extension training colleges, known for providing AE, after checking their capacity and work programme;*
- *Provide capacity-building training for supervisors and experts assigned to AE at federal, regional and district levels in higher education institutions;*
- *Develop a strategy to encourage academicians in universities and training institutions to carry out research in the sub-sector and train experts properly to enable them contribute to strengthen AE;*
- *Render budgetary and other support to enable universities and other training institutions to carryout appropriate AE programmes.*

Based on the strategies designed by NAES AE implementation guideline identifies detail procedures of the capacity-building programme (MoE, 2010:10). The procedure is categorised in to two parts: short-term and long-term capacity building training.

- Short-term training includes awareness enhancement and training on information about the programme organised at different levels for federal and regional AE personnel and members of the technical committee, district and local AE personnel through panel discussions and seminars. Concerning teachers serving as facilitators and instructors at different colleges (e.g. teachers' training colleges, agricultural colleges, technical and vocational colleges, and health extension training centres), training of trainers can be organised at the central level on AE development principles, thoughts, and adult teaching methods (andragogy).

Concerning the training of the facilitators, the document suggests that 15-day programmes should be organised at regional and district level for agriculture and rural development agents, health extension workers and alternative basic education facilitators which enable them to provide AE. The training should be given at teachers' training colleges or at agricultural training institutions as well as technical and vocational colleges. Those who train as agricultural development agents and health extension workers should be trained in methods of teaching adults (andragogy) by integrating this with the training package in each institution.

Six-week training should be organised by the regions for those who are newly recruited and will train and serve as AE facilitators and the training should be provided at regional teachers' training colleges. For the purpose of awareness development and provision of information about the programme, forums should be organised at different levels as needed for civil associations, NGOs and private organisations.

- Long-term training. The documents indicate that to enable AE to play its role in eradicating poverty and developing products and increased productivity, it is essential to strengthen the capacity of personnel by following systematic working principles in planning the programme, coordinating its implementation, monitoring and evaluation. Accordingly, continuous professional development training should be organised at teachers' training colleges by the coordinators of the regions for

personnel and supervisors who are at work in the regions and districts. Those colleges and universities providing formal education programmes should be encouraged to train personnel in the area in a wider range and necessary support shall also be made for them. Higher education institutions should conduct researches to encourage the development of knowledge, skills and attitudes of individuals or community groups through which they shall put a knowledge base for AE programme.

Even though different awareness creation strategies are designed by MoE the practical implementation of these strategies, according to the document analysis is very low and insignificant. Facilitators in the study were facilitating adult learning without any orientation. As a result, the AE programme in the country focuses on only the literacy part of the programme as opposed to integrated functional literacy.

5.3.4 Theme IV: Challenges faced in AE policy formulation and implementation

Different AE policy documents, reports and research findings have identified various challenges that AE sector encountered. After analysing the implementation of AE programme the NAES (MoE, 2008:4), four major challenges of the sector were identified.

5.3.4.1 Unsatisfactory level of expansion of AE

To secure fair distribution of finances and to ensure equitable and active participation in politics within the social and economic development of a country, it is necessary to make educational services accessible to society at large. However, AE programmes carried out by regions in previous years were deficient as far as their continuity and sustainability were concerned, as they were limited to a few regions and areas in their coverage. Most of them were managed without planning or programming, and lacked sustainability. In view of the limited effort made to increase the accessibility of educational services to the economically active segment of the society (the adult), the illiteracy rate could not be reduced to the required level. Unavailability of adequate information on the current situation of AE is another problem. To enable adults to participate competently in the country's development efforts, it is vital to design an AE programme that complies with government development strategies and packages (agricultural and rural development, health, women and youth

development packages) and serves as a tool for accelerated and sustained use of these development activities.

5.3.4.2 Inequitable distribution of AE

The indicators of equity of education, among others, are the balanced distribution of educational services between urban and rural communities and between men and women. The existence of equitable growth among regions as well as between rural and urban areas raises self-confidence among citizens and serves as a reliable foundation for the ongoing establishment of a democratic system in the country. Despite all the above-mentioned advantages of AE, only some regions have made a limited effort the last years. The participation of women was found to be extremely low due to erroneous traditional perceptions, inappropriateness of the programme and being fully loaded with work at home. This discrepancy in participation should be narrowed to reduce the illiteracy rate. The government, then, is expected to work harder than before to benefit all adults equally and help them to contribute to the eradication of poverty and achieve sustainable development.

5.3.4.3 Low level of relevance and quality of AE

Due consideration should be given to quality and relevance of AE besides its distribution, expansion and participation. Basically adults are motivated to participate in AE if the programme is related to their needs and day-to-day activities, and if they find the education offered applicable to solve their current problems. However, because the limited AE programmes launched in the past years were targeted only to enable adults to read, write and do simple arithmetic without being related to their day-to-day life and development around them, it was impossible to bring about significant changes in the participants' livelihood.

One of the basic inputs for quality education is the availability of competent facilitators (teachers) in the required number. The recruitment of facilitators for AE remained inconsistent in the past years, and no system was established for institutionally organised training.

Another issue related to quality of education is inadequate preparation of curricula and publication of books as well as scarcity of textbooks and other teaching aids. Though efforts were made to prepare teaching learning materials, development,

publication and dispatch of need-based and relevant educational materials to the users were not done successfully, due to discontinuation of the programmes. AE was not also supported by educational mass-media (TV, Radio).

5.3.4.4 Unavailability of appropriate organisations to lead AE

An educational undertaking will be successful if favourable condition is created for the society to discharge its share of responsibility collectively. Following the decentralisation of the administrative system in the country, districts were made responsible for the implementation of development programmes of all sectors, including education. It is believed that the different ministries have been successful in educating and training youth, women and unskilled men based on different extension and development packages implemented in previous years. There are also indications of efforts and experiences made in regions through governmental and non-governmental organisations in the education sector.

The final goal of all the efforts being made by the different ministries and organisations is to build the capacity of the productive part of the society and thereby help them to improve their livelihoods and competently participate in the national effort for development. AE can also play an instrumental role in disseminating development strategies and packages among the beneficiaries. However, the available limited resources could not be used properly because of problems like unavailability of organisations which could take on the duties and responsibilities of coordinating these efforts and lack of focus and awareness among the existing educational managers/leaders.

5.3.4.5 Imbalanced resource allocation for AE

If an educational system is to be implemented properly and its final target is to be achieved, its basic human, material and financial requirements should be fulfilled. Obviously, the budget allocated for the education sector by the government is increased from time to time, but the equitable share for AE has been very low. Personnel assigned to the different levels for the sub-sector are few in number and lack appropriate training in AE. It is therefore argued that a coordinated and strengthened implementation of AE requires a fair budget and human resource allocation.

5.4 CHAPTER SUMMARY

Chapter 5 presented, analysed and discussed data collected through documents analysis and semi-structured interviews. First, the chapter introduced the five thematic areas on which the analysis was based. Second, four AE policy documents were analysed and discussed. Third, data collected through semi-structured interviews with 46 informants were presented and analysed under the five themes and sub-themes. The next chapter (Chapter 6) presents a summary of the findings, conclusions and recommendations

CHAPTER 6

SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 INTRODUCTION

In the previous chapter, the results of the study were presented, analysed and discussed in detail. The purpose of the study was to examine the practices and challenges of AE policy formulation and implementation in Ethiopia. The research questions were designed to examine the processes and measures in identifying factors that influence policy formulation and challenges faced in AE policy document development. The chapter summarised issues raised with theories and literature used in the study. The findings identified different factors contributing in the implementation of AE policies, such as, the roles and responsibilities of AE programme implementers; the adequacy or lack thereof of human, material and financial resources; and the commitment of stakeholders, among others. The conclusions drawn in this study are summarised in the sections below. The chapter also provides recommendations that are directed at various stakeholders involved in policy formulation and implementation as reflected through interviews and document analysis in the study. The chapter concludes with suggestions for further studies in relation to policy formulation and implementation.

6.2 SUMMARY OF THE RESEARCH PROCESS

The aim of this study was to assess the practices and challenges of AE policy formulation and implementation in Ethiopia. The study emphasised two major points. The first point was AE policy formulation practices and the second major point was on the practices of AE policy implementation. To guide the study the following four research questions were formulated.

- What are the practices and challenges of strategic policy formulation and implementation in Ethiopia?
- What processes can encourage participation of policy makers and key stakeholders in the formulation and implementation of AE strategic policy in Ethiopia?
- What are the expectations of policy makers and key stakeholders on AE strategic policy formulation and implementation in Ethiopia?

- What are the major factors that influence the formulation and implementation of AE strategic policy in Ethiopia?

This study was guided by the constructivism paradigm. This paradigm is based on the belief that reality is constructed by individuals and societies based on their experiences and interactions with one another and their interpretations of the world in which they live. The paradigm directed the research design, which was a detailed plan of how the research was to be done. The qualitative approach was used in exploring the meaning individuals or groups ascribe to AE policy formulation and implementation. Hence, in this study, two regions, Oromia Regional State and Addis Ababa City Administration were purposely selected. Five zones, 15 districts and 15 adult learning centres were included purposively in the study. In the same way, the Federal MoE was also selected by using the same sampling technique. A total of 46 respondents participated in the interviews. Six (6) government officials, 20 experts and 20 facilitators were selected from the two regions using purposive sampling. The interview and document analysis guides were used as instruments in data collection. The collected data were analysed by using a thematic analysis technique. To ensure trustworthiness of data, the researcher triangulated two data gathering instruments, complemented by use of a digital recorder.

6.3 SUMMARY OF THEORIES AND LITERATURE USED IN THE STUDY

The study was guided by the two theories – transformative theory and the theory of adult learning, namely, andragogy. The theories were used in underpinning and exploring the practices and challenges of AE policy formulation and implementation in Ethiopia through investigating the experiences of AE authorities, experts, supervisors and facilitators.

Transformative theory provided the participants an opportunity to reason out, participate in, react on and reflect their view about the world, and to see how changes in AE policy formulation and implementation were needed (Creswell, 2003:33). To support transformative theory, in order to examine whether the policy documents of the AE in the country are formulated and implemented in line with the Knowles' assumptions and principles of adult learning or not, the theory of andragogy was used.

In order to generate ideas, to form significant questions, to instrumentalise the process of research design, to support the process of writing-up with rationale evidences and to establish credibility, the literature on the field of AE was reviewed. The literature used in this study focused on the major topics based on the research questions and themes. They included the following:

- Conceptual understanding and perspectives on a policy;
- International practices on policy formulation and implementation;
- Ethiopian practices in policy formulation and implementation;
- Policy formulation and models;
- Policy implementation;
- Participation of stakeholders in AE programme; and
- Lessons Ethiopia can learn from other contexts.

6.4 SUMMARY OF MAJOR FINDINGS

This section summarises the major findings obtained from document analysis and interviews.

6.4.1 Major Findings from In-Depth Interviews

6.4.1.1 Responsible structures in formulating and implementing AE policy documents

Of the 46 respondents who participated in the interviews for this study 41 (89%) agreed that the MoE has the mandate to develop policies, rules, regulations, laws, directives, and strategies for the education sector in general and the AE sub-sector in particular. The major factors that drive MoE to formulate AE policy documents are the situation at grass root level (problems), the needs of the learners and the government's response to the community and international commitments on educational issues. The remaining five interviewees (11%) said that the policies, rules, regulations, laws, directives and strategies for AE sector were developed at region level. A general view of all those who were interviewed was that different regions should be mandated to translate policy documents into their indigenous languages and implement them according to their contexts.

Concerning the formulation of adult education policy documents, all 46 participants agreed, during the interviews, that in the process of AE policy documents

development, some specific issues are not considered. Rather, the policy documents provide a general framework for implementation. They further explained that most of the AE policy documents were not formulated based on the needs of the adult learners. In Addis Ababa, for instance, adults are interested to learn the regular school curriculum. However, the system forced them to learn centrally developed curriculum.

As indicated in the findings, about 80% of facilitators of the programmes at the centres lack awareness of the processes and steps of AE policy document formulation.

6.4.1.2 The processes followed in policy formulation and implementation

Regarding the roles and responsibilities in policy formulation and implementation, the findings from the interviews as stated by higher officials revealed that roles and responsibilities did not include capacity-building training for experts, supervisors, facilitators and stakeholders at regional, zonal, district and centre levels. In addressing this shortfall, the interviewees stated that disseminating policy documents and materials for regions and stakeholders; conducting supervision and providing support on the implementation of AE programme; and revising the policy documents in general and curriculum materials in particular should be prioritised and monitored on regular basis.

The roles and responsibilities of higher officials were stated among others as:

- *developing policy documents and following up the implementation of the AE programme;*
- *conducting timely formative and summative evaluations;*
- *introducing new practices and approaches;*
- *developing and introducing pilot projects and scaling up the good practices;*
- *identifying resources for the AE programme;*
- *conducting research to resolve different problems encountered in the AE programme; and*
- *organising symposia and conferences.*

The roles and responsibilities of AE experts and facilitators at zone and district levels were summarised as mainly in the management and implementation of AE programmes and activities; identifying people who do not get access to the AE programme; ensuring completion of courses by the learners; delivering training for facilitators and district level implementers; advocating the programme; hiring facilitators; mobilising the community towards AE programme; and teaching adults

The majority respondents (45 out of 46) replied that there was no organised system in the sector in introducing AE policy and strategic documents to the programme facilitators, programme coordinators, supervisors and officials. However, officials and experts at zone level pointed out that occasionally, the government organisations, NGOs, and other private organisations provided short-term training for these stakeholders, who were directly involved in the programme.

Seventeen of the 20 (85%) facilitators working at districts and adult learning centres stated that the strategic policy documents developed by MoE, Oromia and Addis Ababa Education Bureaus are not fully available at their workplace. The participants suggested that in order to remedy the situation, the national AE programmes should be run by different stakeholders in an integrated manner. Some of the major actors of the AE programmes that should be included in policy formulation are the ministries of education, health, agriculture and rural development.

The findings revealed that AE coordinators at zonal, district and centre levels have limited knowledge of the AE policy documents, and do not know the contents of these policies that they are implementing. From this result one may conclude that the actual implementers of the AE programme lack clear understanding on the guiding policy documents of the programme. This may again lead to poor implementation of AE programme in the two regions.

Informants of the study conceded that the community was the frontline participant of AE programme. Among the activities that required maximum participation by the community, as stated by higher officials, were:

- selecting and preparing education programme centres;
- building facilitators' accommodation and reading rooms up on their own choices;
- facilitating all the necessary conditions;

- selecting curriculum content based on their own needs and interests;
- preparing an educational plan;
- thoroughly participating in AE programme;
- monitoring and evaluating the process;
- participating in learning and those who are educated in teaching;
- providing special assistance to women and girls to learn;
- participating in the recruitment and evaluation of facilitators;
- providing the necessary facilities and assistance for coordinators; teachers and supervisors;
- taking part in contributions or support activities necessary to strengthen AE programmes; and
- following up and evaluating AE programmes

Respondents also noted that lack of monitoring and evaluation and reporting skills at all levels meant that the quality of AE programmes and their relevance to the daily lives of many participants and the community could not be assessed effectively in the implementation process.

6.4.1.3 Factors influencing policy formulation and implementation

The planned institutional system, including the national AE board, was not fully developed, which resulted in continued fragmentation of AE provision and meant that efficient implementation, coordination, linkages between programmes and monitoring was difficult. For instance, one of the higher officials indicate that “...*many of the AE policy documents acknowledge the programmes should run in an integrated fashion so that different responsible ministries and other concerned bodies need to actively participate in all aspects of the programmes.*” The study revealed that the AE programmes and practice was left only to the MoE. AE boards at federal, regional, zonal and district levels were therefore not operating effectively and lacked dedicated experts to lead the programmes, culminating in most of the learning centres not getting technical support. In both regions (Oromia and Addis Ababa), learning materials were a challenge due to lack of budget, limited capacity among teacher trainers and facilitators; and most learners did not have facilitators’ guides

and handbooks for learners due to budgetary constraints or ineffective resource allocation by regions.

Concerning implementers' awareness on policy documents, the majority (15; 75%) of 20 experts at district and zone levels, who participated in the study and 18 (90%) of facilitators at adult learning centres level replied that they did not have a clear understanding of the key working policy and strategy documents in the AE sector. Some of the reasons listed by the respondents were the lack of an awareness creation programme for newly employed personnel; high turnover of the personnel; and the absence of an organised system to run the programme as per the strategy and policy documents. On the issue of implementers' awareness on policy documents, only a few officials from zonal education offices replied that they had a good understanding of AE policy and strategy documents. They argued that, because of their position, they had attended different short-term and long-term workshops, training programmes, discussions and meetings provided by the government and NGOs at regional, national and international level on the issue under discussion and other related issues.

6.4.1.4 Challenges with policy formulation and implementation

As it was indicated in Chapter 4 of this study, this was the last theme for data collected through in-depth interview. The theme focused on major challenges as indicated by respondents of the study and summary of the finding are presented below.

The vast majority (93%) of the respondents explained that AE programmes policy documents formulated in Ethiopia were produced by the MoE. They argued that the integration of different stakeholders was not implemented in practice. The respondents further discussed that the AE policy documents were formulated at federal level by team of experts using a top-down approach which contradicts the andragogic principles of Knowles.

There is critical shortage of human, materials, and financial resources to implement the AE programme. As a result, the programme is led by paraprofessionals. Resources allocation for AE differs from region to region, and from district to district.

In addition, there is no clear guideline for the budget allocation for the AE programme. University graduates are unable to join the programme.

There is very low commitment of stakeholders towards the AE programme and the degree of commitment varies from region to region and across levels. In regions like Oromia and SNNPR (Southern Nations nationalities and Peoples Region), there is good commitment of stakeholders to implement the programme. Even at federal level, the commitment of the stakeholders is very low and AE programme is left to the education sector only. Other sectors that have direct responsibility to implement the programme and those who have signed memoranda of understanding to implement AE programme were not committed. Some of them sought information about the programme for reporting purpose.

6.4.2 Findings from document analysis on AE policy formulation

The document analysis of AE policy and strategy documents revealed that AE policy documents used in this study, namely the NAES, AE implementation guideline, The Learning for Life: Master Plan for AE in Ethiopia and AE minimum learning competence were developed centrally at federal level with the support and consultancy of different national and international NGOs.

The findings made on the master plan policy document instituted in 2010 revealed that the master plan for AE was developed through a systematic and comprehensive participatory process under the guidance of the Ministry of Education and the direction of DVV International (MoE, 2010:2). On the development process, a team of consultants conducted a systematic collection of data and information from multiple sources (MoE, 2010:3). This data and information was reviewed and analysed and the conclusions were put forward in a draft document to key multi-sectoral stakeholders. Members of the regional education bureaus, NGO representatives, and officials from various ministries, academics, and representatives of the non-profit and private sectors provided advice and critical feedback. Through dialogue, the groups mentioned above put forward recommendations to address the many challenges in improving equitable access to relevant quality AE services to Ethiopians.

The stakeholders that participated in the development of AE minimum learning competency were drawn from: Ministry of Agriculture and Rural Development,

Ministry of Labour and Social Affairs, DVV International, Pact Ethiopia, Ben Ethiopia, ANFEA, Addis Ababa City Administration education bureau, Oromia Region Education Bureau, Addis Ababa TVET agency and the Federal MoE.

The findings on the implementation of AE indicated that it is based on the needs of the beneficiaries and required multi-faceted activities. To bring about change in the lives of communities, various ministerial offices such as the MoE, MoARD, MoH, MoWA, MoYS, MoSA and Mol must play their different roles by providing appropriate educational and training programmes. Hence, a collective leadership is required if successful implementation of policies is to remain effective and relevant. However, implementing structures are formed at different levels based on decentralised administrative principles.

As indicated in the AE implementation guideline, in Ethiopia the AE programme is governed by a board. This board is the highest leading organ in which ministries having a need for AE, such as MoE, MoARD, MoH, MoWA, MoYS, MoSA and Mol are the members.

In order to make the implementation of AE programme successful, the mobilisation of adequate resources from different sources, their proper allocation and utilisation of it at all levels is mandatory. Resource mobilisation is a shared responsibility by local communities, workers, NGOs, private and business organisations and associations.

The NAES illustrated that to ensure quality while developing the AE programme, different stakeholders need to participate in the curriculum development, monitoring and support supervision in AE programme. These are personnel at the education and development offices at various levels (from central to village levels) and those offices which include education, agriculture as well as labour and social affairs offices, NGOs that run the programme, administrative government officials in the area, and community leaders/elders.

In order to implement the AE education programme effectively, the MoE, line ministries, and other government institutions are expected to increase their level of collaboration and networking with NGOs working in this sector and development partners in the areas.

6.5 RECOMMENDATIONS

The previous section presented a summary of findings of the study. This section presents some recommendations made for this study. The recommendations made in this section arise out of the triangulation of information gained from a review of related literature, document analysis and interviews from which research results were drawn.

6.5.1 Recommendations on policy formulation

The findings obtained from document analysis and interviews indicated that almost all AE policy documents are developed centrally at federal level, largely by consultants of different national and international NGOs and other stakeholders. However, such a top-down approach contradicts the principles of adult learning. Adults want learning to be related to their daily lives, to help them solve their problems and to bring a positive change to their lives. Therefore, the study recommends that AE policy documents should consider the felt needs of the community at grassroots level. In addition, policy-making structures should consist of representatives from all stakeholders including the community. The roles and responsibilities of each stakeholder should be defined, and clear guidelines should be provided. There is a need for the government to develop an integrated AE policy that contextualises the working strategy and a holistic programme guideline which considers the indigenous knowledge, skills and needs of the local community at all levels.

6.5.2 Recommendations on policy implementation

6.5.2.1 Clear guidelines on roles and responsibilities

The research findings confirmed that there is a very poor implementation of AE programmes in the country due to lack of clear guidelines on roles and responsibilities of implementers of the programme. The reasons for this poor performance as identified by the research findings are that the programme is led and implemented by elected boards and technical committees with no clear guidelines on coordination, commitment, synergy and accountability of these members. This study further observed through the findings that the AE programmes are facilitated and coordinated by unqualified implementers, who are, in turn, expected to lead and

guide the programme. In order to obviate this shortcoming, the study recommends that the AE programme should be facilitated and coordinated by qualified experts in the field and facilitators with relevant job descriptions and grading in line with civil service provisions/standards. Hence, the MoE (the government) should establish a system that enables the AE sector to be led by qualified AE professionals. In addition, it is recommended that the government should establish an independent organisation to lead the AE sector in the country with the full mandate of implementing adult education programme.

6.5.2.2 Stakeholders' participation

AE programmes are community-based activities that need to be planned, organised, implemented and evaluated in a participatory manner so as to alleviate the problems of the community. The whole focus of the programmes should be on the betterment of lives of the community. The findings of this study revealed that the participation of the community is very limited almost in all aspects of the execution of the AE programmes. Limiting the participation of other stakeholders, particularly the community, negatively affects the effectiveness of the programmes and should be addressed. Therefore, it is recommended that the AE centres and district education offices together with other stakeholders such as district agriculture and rural development offices and district health offices and others should mobilise the community and promote the AE programmes. Furthermore, the use of different media and community-based organisations such as meetings, conferences, “idirs” (community-based social support), “ikubs” (community-based financial support), churches and mosques, should be incorporated to strengthen and disseminate needed information for all stakeholders.

From his personal experience and observation, the researcher suggests that in order to implement the AE programme effectively, the MoE, line ministries, and other government institutions should increase their level of collaboration and networking with NGOs working in this sector and development partners in the areas. This is because they have strengths in their different areas of specialisation. Hence, areas of collaboration between these organisations can be the use of existing structures; research and documentation exchange; technical support in specialised areas of training; resource mobilisation; training materials development and production;

lobbying and advocacy; curriculum development; and monitoring and evaluation of the programme, among others.

6.5.2.3 Understanding and common interpretation of policy documents

Knowledge and understanding of education policies is essential for all AE implementers assigned with the core responsibilities of implementing them for effective implementation of the programme. Adult educators' ability to make sense of AE policy documents must be considered. Enough time must be devoted to educators' training which must be more informative and regular. The study revealed that respondents were of the view that the policy formulators and implementers lacked clear understanding about the key working policy and strategy documents of AE sector. Some of the reasons listed by the respondents were the lack of an awareness creation system for newly employed personnel; high turnover of the personnel; and an absence of an organised system to run the programme as per the strategy and policy documents. In order to overcome this problem AE implementing organisations need to establish continuous needs-based awareness creation system. Knowledge and understanding should be regarded as continuous professional development (CPD) programme for the AE sector. Through CPD, therefore, the AE implementers should get first-hand information on the programme/policy documents for implementation, on the one hand, and they can also upgrade their professional knowledge, on the other hand.

Regarding the accessibility of strategic policy documents at their workplace and use of these strategic policy documents in their day-to-day implementation of the programme; the majority of the respondents working at district and adult learning centre level stated that the strategic policy documents developed by MoE and regional education bureaus were not available for use. Hence, all responsible bodies who run the programme (government, non-government and private) need to design mechanisms to provide AE strategy and policy documents to actual implementers and stakeholders.

To achieve full commitment to the success of the programme, ministries and bureaus of regional states, districts and NGOs relevant to implementing AE programme should bring about a meaningful change among adults in their respective occupations. They should also conduct massive awareness creation campaigns and

popularisation activities at regional, district and centre levels to create a common understanding of the contributions of AE, such as accelerating development, creating a democratic culture, eradicating poverty, as well as its importance in improving individual and societal living standards. It also contributes to develop awareness among implementing bodies, partners and society by applying different awareness creation and advertising methods (mass-media, posters, conferences, workshops, meetings and social media). There is a need to increase the coverage by encouraging society, development agencies, NGOs and civic societies to implement the programme or give financial and material support to AE.

6.6 LIMITATIONS OF THE STUDY

The first limitation is that AE programmes in Ethiopia are run by both government and non-government organisations. The study was focused only on AE programmes run by government and programmes run by non-government organisations were not included in the study. As a result, the findings of this study might not show the full picture of the implementation of the programmes in the study area. The other limitation is that with a sample size of only 46 participants, the findings are not intended to be generalised as they may not apply elsewhere. Outcomes of similar studies at other regions can, however, be compared for results and trends.

6.7 FINAL CONCLUSION

In Ethiopia, adult education programmes implemented so far were challenged by inconsistency, lack of coordination, shortage of resources, lack of conducive environment, and did not bring about significant change in the participants' livelihoods. These problems ranked the country as the one with the lowest literacy rate in sub-Saharan Africa countries. These challenges initiate the researcher to investigate the practices and challenges of adult education strategic policy formulation and implementation in Ethiopia. Specifically, the study was targeted to explore whether this low level of literacy is because of the problem in the systems or approaches that the adult education programme follows, especially, in designing strategic policy documents or in the implementation process of the policy documents or both.

To address these problems four guiding research question were formulated. The research was guided by constructivism paradigm and qualitative design. To frame the study transformative theory and adult learning theory (andragogy) were used.

Two regions, Oromia Regional State and Addis Ababa City Administration were selected for the study by using the purposive sampling technique. From these two regions – 5 zones, 15 districts and 20 adult learning centres – were selected using purposive sampling. From the selected sites, a total of 46 sample participants were drawn for the study. In order to collect data from the respondents in-depth interview and documents analysis were administered. The theme-based qualitative analysis method was used to analyse the data and major findings were drawn (as indicated under 6.4 of this chapter). The summary of the major findings are:

Finally, based on the major findings listed under 6.4, the study suggested recommendations for AE programme implementers, policy makers and stakeholders found at all levels. Detail recommendation was given in accordance with four major themes and sub themes and in line with the four basic research questions. In addition, the study also proposed a model for AE policy implementation in Ethiopia as indicated under sub topic 6.9.

6.8 SUGGESTIONS FOR FUTURE STUDIES

The current study was targeted at AE policy formulation and implementation. There are other policies and issues that are not covered by this study. Therefore, the researcher suggests that the following policy-related thematic areas need to be researched.

- The impact of applying Integrated Functional AE (IFAE) approach in the country and the experiences of other countries in implementing this approach (if any).
- Inclusion of indigenous knowledge, skill and attitude in AE: the missed element.
- Examining the practices and prospects of post-literacy programme as a stepping stone for lifelong learning.
- Incorporating literacy elements in different government-led community-based development programmes such as agriculture and health extension programmes in the country.

- The understanding and application of the andragogical method by community-based development programme agents/workers.

6.9 Model proposed for AE policy implementation in Ethiopia

After thoroughly analysing AE theories, policy related literatures, other countries experiences, and policy and strategy documents of Ethiopia the study proposed AE programme implementation model for Ethiopia. Figure 6.1 shows the proposed model.

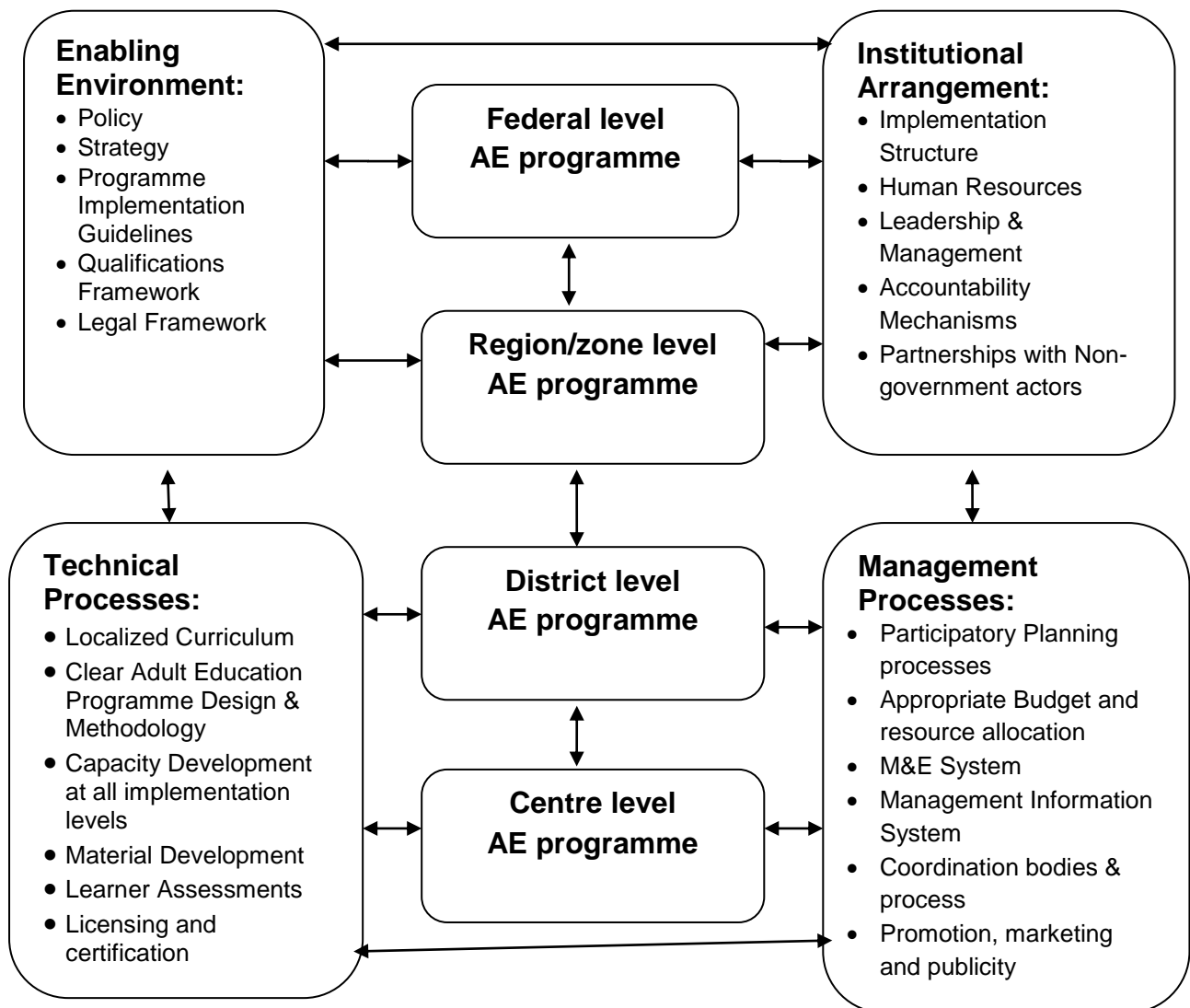


Figure: 6.1 AE policy implementation model

Programmes have goals to achieve. The key to meet these goals lies in structuring the way in which these goals are reached. As it is discussed in chapter three, of this study, implementation is defined as ‘to put in to effect according to definite plan and procedure’. Implementation involves two major aspects: developing the

implementation plan and putting the plan in to action. In order to put the plan in to action different components and processes which are interconnected and interdependent with feedback loops needs to be arranged. Each component and process is needed to make up the complete implementation system and has to fulfil its own role and function.

In Ethiopia, AE programme is implemented across federal, regional, zone, district and centre levels. The arrows show each level of implementation and imply so-called 'vertical integration', meaning links and feedback loops between each level.

The definition and scope of adult education are therefore interpreted as per the roles, responsibilities and mandates at each level of the structure. In this regard, four main components are required for proper implementation of adult education programme, namely:

- **An Enabling Environment:** This refers to policies, strategies, directives and programme guidelines, etc. that provides an enabling environment for programme design and implementation. Although the enabling environment usually emanates from the macro level and the role-players responsible for formulating policies, strategies and guidelines, etc. (usually national ministries), these documents have to be interpreted and ultimately implemented at community level. Therefore the link from all levels of the structure is important.
- **Institutional arrangements:** A functioning implementation implies stakeholders and role-players that take responsibility at each level as per their mandate to ensure adult education services are delivered at community level. Institutional Arrangements refer to the arrangements within an institution and other structural arrangements, staffing, job descriptions, etc., as well as coordination and integration arrangements between sectoral institutions. It also considers partnerships with civil society, private sectors and other role-players and the roles and contributions that they can play and make.
- **Technical Processes:** Refers to the core business of AE implementation as per the implementation plan. It includes implementation processes such a

curriculum design, material development, training of trainers, etc. All required processes to ensure ultimately adult education services are delivered.

- **Management Processes:** Refers to the support implementation functions without which Technical implementation processes cannot take place.

In summary, in the proposed policy implementation model there are a range of activities linked to each other that turns inputs (people, information, money, etc.) into outputs (services delivered) with the aim of meeting policy and operational objectives.

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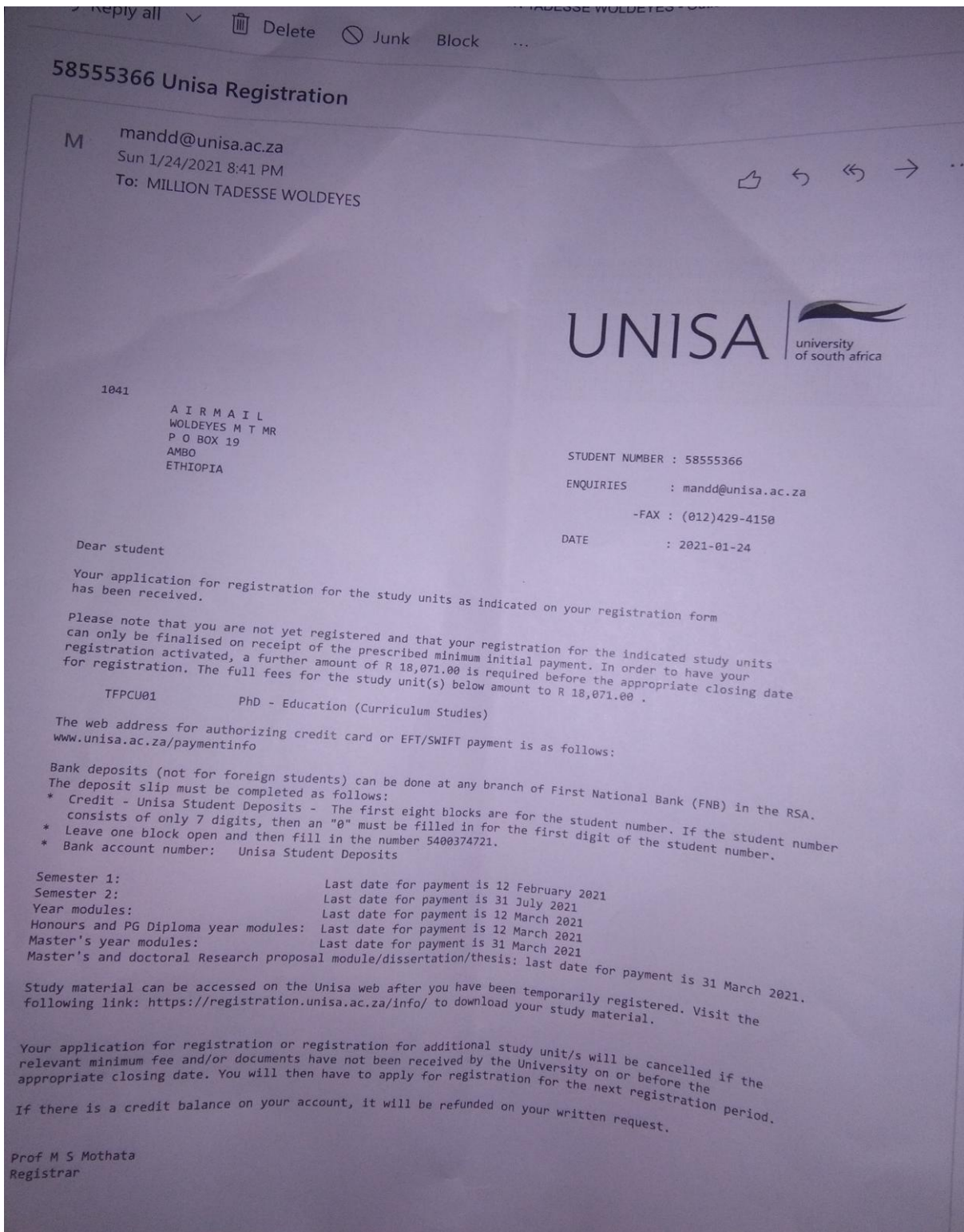
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APPENDICES



APPENDIX A: UNISA ETHICAL CLEARANCE CERTIFICATE

UNISA 
university
of south africa

UNISA COLLEGE OF EDUCATION ETHICS REVIEW COMMITTEE

Date: 2017/09/13

Dear Mr MT Woldeyes

Ref: **2017/09/13/58555366/02/MC**
Name: Mr MT Woldeyes
Student number: 58555366

Decision: Ethics Approval from
2017/09/16 to 2022/09/13

Researcher:
Name: Mr MT Woldeyes
Email: milliont1997@yahoo.com
Telephone: +251 911 197097 / +251 116552335

Supervisor:
Name: Prof KP Quan-Baffour
Email: quanbkp@unisa.ac.za
Telephone: +27 12 4842808

Title of research:
The practices of Adult Education policy formulation and implementation in Ethiopia

Qualification: PhD in Education

Thank you for the application for research ethics clearance by the UNISA College of Education Ethics Review Committee for the above mentioned research. Ethics approval is granted for the period 2017/09/13 to 2022/09/13.

*The **low/medium/high risk** application was reviewed by the Ethics Review Committee on 2017/09/13 in compliance with the UNISA Policy on Research Ethics and the Standard Operating Procedure on Research Ethics Risk Assessment.*

The proposed research may now commence with the provisions that:

1. The researcher(s) will ensure that the research project adheres to the values and

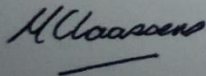
principles expressed in the UNISA Policy on Research Ethics.

2. Any adverse circumstance arising in the undertaking of the research project that is relevant to the ethicality of the study should be communicated in writing to the UNISA College of Education Ethics Review Committee.
3. The researcher(s) will conduct the study according to the methods and procedures set out in the approved application.
4. Any changes that can affect the study-related risks for the research participants, particularly in terms of assurances made with regards to the protection of participants' privacy and the confidentiality of the data, should be reported to the Committee in writing.
5. The researcher will ensure that the research project adheres to any applicable national legislation, professional codes of conduct, institutional guidelines and scientific standards relevant to the specific field of study. Adherence to the following South African legislation is important, if applicable: Protection of Personal Information Act, no 4 of 2013; Children's act no 38 of 2005 and the National Health Act, no 61 of 2003.
6. Only de-identified research data may be used for secondary research purposes in future on condition that the research objectives are similar to those of the original research. Secondary use of identifiable human research data requires additional ethics clearance.
7. No field work activities may continue after the expiry date 2022/09/13. Submission of a completed research ethics progress report will constitute an application for renewal of Ethics Research Committee approval.

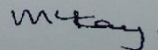
Note:

*The reference number **2017/09/13/58555366/02/MC** should be clearly indicated on all forms of communication with the intended research participants, as well as with the Committee.*

Kind regards,



Dr M Claassens
CHAIRPERSON: CEDU RERC
mcdtc@netactive.co.za



Prof V McKay
EXECUTIVE DEAN

APPENDIX B: PERMISSION REQUEST LETTER

- i) Federal MoE
- ii) OEB
- iii) Addis Ababa education bureau
- iv) Zone education offices
- v) District education offices
- vi) Learning centres

The Practices and Challenges of Adult Education Policy Formulation and Implementation in Ethiopia

Date _____

I, Million Tadesse Woldeyes, am doing research under supervision of Professor KP Quan-Baffour and Doctor LR Johnson in the College of Education, towards a PhD at the University of South Africa. I am inviting you to participate in a study entitled “The Practices and challenges of Adult Education Policy Formulation and Implementation in Ethiopia”.

The aim of the study is to assess the practices and challenges of adult education strategic policy formulation and implementation in Ethiopia. Your organisation has been selected because your organisation has the responsibility to run adult education programme in the country and I believe that you have the potential to provide me the necessary information on the policy formulation and implementation of adult education programme in the country. The interview mainly focuses on adult education strategic policy formulation and implementation. The interview will be arranged at a mutually agreed date and time which will last for one and half hour.

The benefits of this study lies on its contribution in providing clear understanding to senior officials, policy makers, key stakeholders on whether the current level of adult illiteracy rate in the country is because of the strategic policies that the country is following or the problem in the implementation of these strategic policies.

The study has no potential risks envisaged. Feedback procedure of the result of the research will entail organising workshop/seminar/discussion forum.

Yours sincerely

A handwritten signature in black ink, appearing to read 'MTW', with a large, stylized flourish extending downwards and to the left.

Million Tadesse Woldeyes

Researcher

APPENDIX C: INFORMED CONSENT

CONSENT TO PARTICIPATE IN THIS STUDY (INTERVIEW)

I, _____, confirm that the person asking my consent to take part in this research has told me about the nature, procedure, potential benefits and anticipated inconvenience of participation. I have read and explained to me and understood the study as explained in the information sheet. I have had sufficient opportunity to ask questions and am prepared to participate in the study.

I understand that my participation is voluntary and that I am free to withdraw at any time without any consequences. I am aware that the findings of this study will be processed into a research report, journal publications and/or conference proceedings, but that my participation will be kept confidential unless otherwise specified. In addition, I agree to the digital audio recording of the discussion and I have received a signed copy of the informed consent agreement.

Participant _____
Name Signature Date

Researcher Million Tadesse Woldeyes
Name Signature Date

APPENDIX D: INTERVIEW GUIDE FOR ADULT EDUCATION OFFICIALS AT FEDERAL, REGIONAL AND ZONAL LEVELS

Date: _____

Part I- Personal Information

- 1.1 Sex: _____
- 1.2 Qualification: _____
- 1.3 Position: _____
- 1.4 Service year in adult education sector: _____
- 1.5 Region: _____

Part II- adult education strategic Policy Formulation

- 2.1 Who is the responsible body to formulate adult education strategic policy documents in the country or your region?
- 2.2 Where do you think adult education strategic policy documents in the country or your region are formulated?
- 2.3 What is the process of adult education strategic policy documents formulation?
- 2.4 How are the needs of the community considered in the process of adult education strategic policies formulation?
- 2.5 What are the major steps followed in the process of adult education strategic policies formulation?
- 2.6 What major factors motivate the developers to formulate adult education strategic policies?

Part III- Adult Education Policy Implementation

- 3.1 As an adult education sector higher official, what are your roles and responsibilities in the implementation of adult education strategic policies?
- 3.2 What do you think is the reason for high adult illiteracy rate in the country or your region?
- 3.3 Which organisational structure or system in the country implements adult education strategic policies in the country?

- 3.4 How do you evaluate the existence of adequate human, financial and material resources for effective implementation of adult education strategic policy documents in the country or your region?
- 3.5 How do you evaluate the commitment of key stakeholders to implement adult education strategic policy documents in the country?
- 3.6 What are the major difficulties presently experienced by adult education sector in implementing adult education strategic policy documents?

Part IV- Participation of key Stakeholders and Implementers in the Formulation and Implementation of AE strategic Policy Documents

- 4.1 Who are the key stakeholders of adult education sector in Ethiopia?
- 4.2 In what aspects of adult education programme do the stakeholders participate?
- 4.3 How conducive is the environment for the stakeholders to participate in adult education programme?
- 4.4 To what extent do they participate in adult education programme?

Part V- Understandings of key Stakeholders and Implementers on adult education strategic Policy Documents

- 5.1 Do you think adult education programme implementers at different levels and stakeholders know the existing adult education strategic policy documents? If “yes”, what are the indicators?, if “no”, why?
- 5.2 As an adult education sector higher official, what are your roles and responsibilities in the implementation of adult education strategic policies?
- 5.3 What are the strategies do you use or apply to introduce adult education strategic policies to implementers and stakeholders?
- 5.4 Do adult education implementers at different level use these strategic policy documents properly? If “yes”, what are the indicators? If “no”, why?
- 5.5 How accessible are the policy documents to all levels of the structure?
- 5.6 Please list some of adult education strategic policy documents currently being implemented in the country?
- 5.7 Do you have copies of adult education strategic policy documents developed at national level?
- 5.8 Please list down the aims and objectives of the following policy documents?

1. NAES
2. Adult education Programme Implementation Guideline
3. Minimum Learning Competencies (MLC) in Adult Education programme
4. Adult education Curriculum Framework

Part VI- Major Factors that Influence the Formulation and Implementation of adult education strategic Policy Documents

- 6.1 What are the major challenges encountered by adult education sector in the process of adult education policy formulation process?
- 6.2 What are the major challenges encountered by adult education sector in the process of adult education policy implementation process?
- 6.3 What possible solutions do you suggest to alleviate the challenges you mentioned under 6.1 and 6.2 above?

APPENDIX E: INTERVIEW GUIDE FOR ADULT EDUCATION EXPERTS AND COORDINATORS AT DISTRICT & CENTRE LEVELS

Date: _____

Part I- Personal Information

- 1.1 Sex: _____
- 1.2 Qualification: _____
- 1.3 Position: _____
- 1.4 Service years in adult education sector: _____
- 1.5 Region: _____

Part II- adult education strategic Policy Formulation

- 2.1 Who is the responsible body to formulate adult education strategic policy documents in the country or your region?
- 2.2 Where do you think adult education strategic policy documents in the country or your region are formulated?
- 2.3 How is the needs of the community are considered in AE strategic policy documents?

Part III- Adult Education Policy Implementation

- 3.1 As an adult education coordinator, what are your roles and responsibilities in the implementation of adult education strategic policies?
- 3.2 What do you think the reason for high adult illiteracy rate in your district or centre?
- 3.3 How do you evaluate the existence of adequate human, financial and material resources to implement adult education strategic policies in your district or centre?
- 3.4 How do you evaluate the commitment of key stakeholders to implement adult education strategic policy documents in the country?
- 3.5 What are the major difficulties presently experienced by adult education sector in implementing adult education strategic policies in your district/centre?

Part IV- Participation of key Stakeholders and Implementers in the Formulation and Implementation of adult education strategic Policies

- 4.1 Who are the key stakeholders of adult education sector in your district or centre?

- 4.2 In what aspects of AE programme do the stakeholders are participate?
- 4.3 How conducive is the environment for the stakeholders to participate in the implementation of adult education strategic policies in your district/centre?
- 4.4 To what extent do the stakeholders participate in the implementation of adult education strategic polices?

Part V- Understandings of key Stakeholders and Implementers on adult education strategic Policies

- 5.1 What are some the existing adult education strategic policy documents?
- 5.2 What are the awareness raising methods experienced on adult education strategic policy documents?
- 5.3 Please list some of adult education strategic policy documents that you are currently being used?
- 5.4 How accessible are the adult education strategic policy documents at your office?
- 5.5 Please list down the aims and objectives of the following policy documents?
 - 1. NAES
 - 2. Adult education Program Implementation Guideline
 - 3. Minimum Learning Competencies (MLC) in Adult Education program
 - 4. Adult education Curriculum Framework

Part VI- Major Factors that Influence the Formulation and Implementation of adult education strategic Policy Documents

- 5.1 What are the major challenges encountered by adult education sector in the process of adult education policy implementation process?
- 5.2 What possible solutions that you suggest to alleviate the challenges you mentioned under 6.1 above?

Appendix F

Interview Guide for Adult Education Facilitators

Date: _____

Part I- Personal Information

- 1.1 Sex: _____
- 1.2 Qualification: _____
- 1.3 Position: _____
- 1.4 Service Year in Adult Education sector: _____
- 1.5 Region: _____

Part II- adult education strategic Policy Formulation

- 2.1 Where do you think adult education strategic policy documents in the country or your region are formulated?
- 2.2 How the needs of the community are considered in adult education strategic policy documents?

Part III- Adult education policy implementation

- 3.1 What are your roles and responsibilities in the implementation of adult education strategic policies?
- 3.2 What are the reason for high adult illiteracy rate in your district or centre?
- 3.3 How do you evaluate the commitment of facilitators to implement adult education strategic policies in your centre?
- 3.4 How do you evaluate the existence of human, financial and material resources to implement adult education strategic policies in your centre?
- 3.5 How do you evaluate the satisfaction of adult education facilitators?
- 3.6 What are the major difficulties presently experienced by adult education sector in implementing adult education strategic policies in your centre?

Part IV- Participation of key stakeholders and implementers in the implementation of adult education strategic policies

- 4.1 Who are the key stakeholders of adult education sector in your centre?
- 4.2 In what aspects of adult education programme do the stakeholders are participating?
- 4.3 How do you evaluate the presence of conducive environment for the stakeholders to participate in the implementation of adult education strategic policies in your centre?


Part V- Understandings of key stakeholders and implementers on adult education strategic policies

- 5.1 What are some the existing adult education strategic policy documents?
- 5.2 What are the awareness raising methods experienced on adult education strategic policy documents?
- 5.3 Please list some of adult education strategic policy documents that you are currently being used?
- 5.4 How accessible are the adult education strategic policy documents at your office?
- 5.5 Please list down the aims and objectives of the following policy documents?
 - NAES
 - Adult education Program Implementation Guideline
 - Minimum Learning Competencies (MLC) in Adult Education program
 - Adult education Curriculum Framework

Part VI- Major factors that influence the implementation of adult education strategic policy documents

- 6.1 What are the major challenges encountered by adult education sector in the process of adult education policy implementation process in your centre?
- 6.2 What possible solutions that you suggest to alleviate the challenges you mentioned under 6.1 above?

APPENDIX G: LETTER OF COOPERATION


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Institute of Education and Behavioral Sciences
Ambo University

Ref. no IEBS/89/2011
Date 22/06/2011

To:

- **Federal Democratic Republic of Ethiopia Ministry of Education**
- **Oromia Region State Education Bureau**
- **Addis Ababa City Administrative Education Bureau**
Addis Ababa

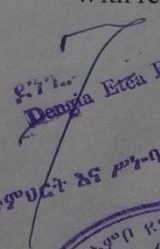
Subject:- Letter of Cooperation


Dear,

Mr. Million Tadesse Woldeyes, a staff of Ambo University, is a PhD student at the University of South Africa and presently conducting a research in a study entitled “**The Practices of Adult Education Policy Formulation and Implementation in Ethiopia**”.

By attaching herewith the Ethics Approval/Clearance which testimonies that the researcher is allowed to collect data and a letter of request for permission to conduct research at your organization, I would like to request your usual cooperation and support to the researcher so that he is able to collect appropriate data from your organization.

With regards,


Dengia Eteka Bekisa
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APPENDIX H: TURNITIN REPORT

10/12/2020

Turnitin

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APPENDIX I: LETTER CONFIRMING PROFESSIONAL EDITING



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5 October 2020

Declaration of professional edit

THE PRACTICES AND CHALLENGES OF ADULT EDUCATION POLICY FORMULATION AND
IMPLEMENTATION IN ETHIOPIA

by

MILLION TADESSE WOLDEYES

I declare that I have edited and proofread this thesis. My involvement was restricted to language usage and spelling, completeness and consistency, referencing style and formatting of headings, captions and Tables of Contents. I did no structural re-writing of the content.

I am qualified to have done such editing, being in possession of a Bachelor's degree with a major in English, having taught English to matriculation, and having a Certificate in Copy Editing from the University of Cape Town. I have edited more than 200 Masters and Doctoral theses, as well as articles, books and reports.

As the copy editor, I am not responsible for detecting, or removing, passages in the document that closely resemble other texts and could thus be viewed as plagiarism. I am not accountable for any changes made to this document by the author or any other party subsequent to the date of this declaration.

Sincerely,

A handwritten signature in black ink that reads "Baumgardt".

UNISA: D. Ed. Education Management

University of Cape Town: Certificate in Copy Editing

University of Cape Town: Certificate in Corporate Coaching

Professional
EDITORS
Guild

Jacqui Baumgardt
Full Member

Membership number: BAU001
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