

EDITORIAL

Leadership and Developmental Challenges and Prospects in the Caribbean

Dr. Livingston Smith

The Journal of the University College of the Cayman Islands (JUCCI) is now in its fifth year, and the focus of this issue is leadership and developmental challenges and prospects in the Caribbean.

Section One: Caribbean Development Issues: Leadership, Regionalism and Lessons of Independence

In this section three eminent Caribbean thinkers offer pointed analysis of current realities and a discussion explores how to effectively engage the Caribbean diaspora in Caribbean development.

These contributors are led by Sir Shridath Ramphal, who examines the practice of leadership and governance in the more immediate Caribbean context and in the broader “human” context. He bemoans the failure of leadership that resulted in the demise of the West Indian Federation, and the current slow pace of regionalism. Sir Ramphal similarly examines the state of civil society in the region.

Another eminent contributor, Dr. Warren Smith, President of the Caribbean Development Bank, identifies and discusses the Caribbean’s major anxieties linked to various forms of insecurity, chief among which are those arising from

the economy, climate change, and crime and violence. These should form the basis of Caribbean leadership agenda, he urges in his call for regional approaches. UWI's Professor Brian Meeks, a keen student of the Jamaican and broader Caribbean society, provides a probing critique of the post-independence Jamaican society. He elaborates on what he calls "hegemonic dissolution"-- thirty years of social decay resulting from a rapid breakdown of the social consensus upon which the society was founded at the moment it sought and achieved in independence. Professor Meek's thesis has Caribbean-wide relevance.

This section ends with an evaluation of the extent to which the Caribbean diaspora can be more fully engaged -- beyond the sending of remittances -- in Caribbean development. Kasmally's proposals include the creation of institutions, such as government ministries, especially for this purpose, as well as private sector/ diaspora partnerships.

Section Two: Educational Leadership, Teacher Preparation and Academic Dishonesty

The thrust of this section is that a well-trained mind is the most critical tool of development, with education taking primacy. With this section dissecting some of the current issues in this field, Hutton reports important research in the profiling of high-performing principals in the Jamaican school system. The underlying ethos of his paper is the overcoming of the challenge of applying his research findings to the improvement of regional school systems. Duhaney and Young focus on another challenge facing education -- that of retooling teachers to use educational technology to enhance the teaching and learning environment. Teacher trainers, educators, and students alike should therefore find this paper very useful.

Rounding out this section is Claude Oakley's presentation of empirical evidence of academic dishonesty. The paper by this assistant professor at DeVry University, addresses various forms of cheating, studied from the perspective of developed versus developing countries.

Section Three: Literature

The lone paper in the section on literature is an engaging contribution to the subject of fiction versus non-fiction and the polarity with which they are each traditionally viewed. UCCI's Dr. Stephanie Cooper's analysis of the work of Brodber shows that there is a "fusing of genres," a testament to the continuum between fiction and non-fiction.

UCCI MBA Research

The final paper in this issue is a report on research by UCCI MBA student Susan Dreyer. The paper focuses on the Chinese rise to global dominance and the implication of this for global portfolio management.

Readers will therefore find this fifth issue of the Journal of the University College of the Cayman Islands very informative, challenging, and useful.

LEADERSHIP, GOVERNANCE AND EMPOWERMENT IN THE CARIBBEAN

Keynote Address at the Conference on Leadership,
Governance and Empowerment in the Caribbean,
UCCI, March 2011

*Sir Shridath Ramphal
Former Commonwealth Secretary General*

Abstract

In the Caribbean, education has long been a key to overcoming social, economic and political disparities but, today, the question arises: Has the passion for education abated, relative to its contribution to welfare? While hard-earned freedom to acquire higher education remains intoxicating, Caribbean leaders must remember their dependence on the technical developments that originate elsewhere. The region's countries must observe the mandate that sees each promoting learning in its highest form and encouraging creative research; the area must also unite in purpose, in order to achieve meaningful 'leadership', 'governance', and 'empowerment' in the Caribbean. The area needs to promote becoming a globalised society, with members – independent or not – accepting responsibility for contributing to collective regional goals.

Civil society is also important in order to emit a Caribbean voice that will be accepted abroad as part of international dialogue; regional work requires an authentic regional identity in order to achieve Caribbean empowerment.

But good governance in the Caribbean cannot be assumed; it must be demanded by civil society and delivered as a national birthright, and promoted at the regional level. The Commonwealth Caribbean is a community of sovereign states that must focus on communal regional needs to avoid falling short in the critical areas of leadership, governance and empowerment. The goal? No more haphazard stumbling as disparate neighbours who look beyond the Caribbean for economic and environmental prosperity. Today, more than ever, there must be greater unity and a focus on establishing a Caribbean Commonwealth through achieving a leading role on the world's stage.

KEY WORDS: leadership, governance, empowerment, Caribbean region, Commonwealth, education, civil society, global level, Federation

I am of two minds whether it is better for a speaker to interrupt his audience's conviviality or to pre-empt it. However, the reality is that neither you nor I have a choice tonight. The programme ordains the former. So let me begin on home ground – here at UCCI.

Specifically, I bring greetings and salutations from the University of the West Indies; your efforts and successes at the University College are part of the wider movement for tertiary education in the Caribbean region in which both institutions are engaged. We share a certain comradeship in meeting the challenges of these testing early years of a century that also begin a new millennium.

We have – most of us here – emerged from a generation that recognised, out of harsh reality, that education was the essential escape from social, economic and political handicap. This was not, of course, a new insight peculiar to West Indians. Epictetus, as early as the first century – some 2000 years ago at the start of the first

millennium – had asserted in his “discourses” that “only the educated are free”. Our forebears had no need to read the Greek classics to know how right he was. It was for them the lesson of life.

Today, as we look to the twenty-first century, we have to ask ourselves: Has this passion for education abated in the Caribbean, in which education itself has contributed to welfare? Have the freedoms of this century created an illusion that we no longer have need for a passionate, zealous, unwavering commitment to learning? If so, freedom has sold us short, or we have mistaken for freedom what is merely a transit stop on the way to it. I hope there is still, among parents and young people alike in the Caribbean, a compulsion for education -- that it still comes first in their list of priorities, first among the goals for which they will make sacrifices – or by which governments measure development.

An earlier generation in this region read by kerosene lamps and street lights on the way to learning. Electricity is now more widespread, but are we using it for learning or for distractions of one kind or another? In our increasing appetite for electronics, do we pause to reflect that the satellites perpetually spinning on the geosynchronous orbit over the Caribbean represent someone else's learning, someone else's technology? If we make ourselves mere spectators of these marvels, allow ourselves simply to be entertained, we are accepting that we shall remain dependent illiterates; we are opting for another kind of bondage.

And, beyond us, is it not true that if developing countries generally are not to remain on the margin of prosperity and progress, ways have to be found of responding to higher education needs? If not, a knowledge gap will surely open up, as big as, or

bigger than, the income gap by which we have traditionally measured levels of development. And that is the most serious of all. For human resource development is, after all, the very foundation of economic development. In the world of the third millennium that is at hand, the maxim of Epictetus -- that only the educated are free -- will have the more contemporary meaning that only the educated are free to prosper.

This conference invites reflection on our own situation in the Caribbean, and here in the company of graduates and friends of the University College, which must be the repository of dispassionate truth, we must acknowledge that realisation of our full potential is in our own keeping.

Such outward reach has much relevance for the University College of the Cayman Islands and, for that matter, for the University of the West Indies. What it amounts to is the mandate that each must be a community of learning, in which teaching, in its highest form, and research, in its broadest and most developed sense, are carried out in a context of freedom and creativity. It is a mandate I am sure you are pursuing here in Cayman, however young your institutional life. I wish the University College a great future. To “Connect, Share, Inspire,” as urged in the rubric of this conference, is a noble goal.

That freedom in turn implies responsibility and relevant contribution. I was particularly pleased to know of the role UCCI is already playing through the very fact of this conference and its theme: *Leadership, Governance and Empowerment in the Caribbean* – proof that UCCI is alive to its responsibilities for relevant contribution.

I will address the theme issues of “leadership, governance and empowerment,” but what do the words “in the Caribbean” mean?

Do they mean “not in Cayman,” or “not in Cayman only”? Do they mean “not in the world, but only in our region of it”? I do not think such selectivity was intended; for “leadership,” “governance,” and “empowerment” are simply not susceptible to such narrowing. They occupy a larger space in human affairs. They encompass humanity itself.

For all of us there are bits of writing capturing essential truths that remain half-remembered in our minds until recalled by some evocative moment. For me, tonight, are words written more than forty years ago by Jean Paul Sartre in his introduction to Frantz Fanon’s clarion book *The Wretched of the Earth*. Sartre wrote:

And when one day our human kind becomes full grown, it will not define itself as the sum total of the whole world’s inhabitants, but as the infinite unity of their mutual needs.

How incisively and with what conviction those words assert the oneness of our human condition! How directly they invite the question: Has our human kind yet become full grown? What is the state of “leadership,” “governance,” and “empowerment” in our Caribbean region within global society?

Decades before Franz Fanon’s 1961 book, global civil society in the form of the World Federalist Movement and the International Association of United Nations Associations – and a more internationalist pairing you could not want – came together in San Francisco to celebrate the signing of the United Nations Charter in 1945. For that “charter ceremony” Maya Angelou composed a memorable poem that articulated Sartre’s since expressed insight into human unity and asked the same question of our maturity. She wrote, as only she could, of a wonder that she likened to the great wonders of the world, the wonder of our capacity to acknowledge the eternal unity of

humanity's needs and what she felt was our generation's potential to respond to those needs. She longed for the day when we would reach that point of fulfilment, that moment, as she wrote, "when we come to it." Maya Angelou was musing about humanity's misused potential; she was musing about "leadership" and "governance" and "empowerment" (among other things) at the global level, and so for me, at the level of a globalised Caribbean.

It is in this context that I view "leadership" and I choose episodes in Caribbean affairs – contemporary affairs – to explore its quality; perhaps even its reality.

Norman Manley, Michael's father, might so easily have become the father of the West Indian nation. As it was, when the moment came to lead the nation, political realities at home constrained this great man to stay at home, to decline the mantle of regional leadership and, ultimately, to take Jamaica to a separate independence. The referendum that Manley called to confirm Jamaica's commitment to federation, and through it to West Indian nationhood, was a wrenching experience for him, as it was to prove to be for all West Indians. What a failure of leadership, and not only by Manley who had called the referendum, but by those, like Adams of Barbados, whose stewardship of the Federation contributed to the "No" vote, and by all beyond, like Williams of Trinidad and Tobago, who could not rise beyond the sham arithmetic that "1 from 10 leaves 0."

Next year, 2012, the nation of The West Indies would have been celebrating the 50th anniversary of the independence of the Federation. I wonder what would have happened had Jamaica's referendum gone the other way. What would have happened had the decision -- taken at the 1961 Lancaster House Conference that settled

outstanding details of the federal system and fixed the date for the independence of the Federation -- not been frustrated by the “No” vote in that referendum?

Perhaps the forces working for fragmentation would ultimately have destroyed the Federation, even in a post-independence context. We cannot discount it altogether; but, somehow, I doubt that they would have succeeded had the vote in Jamaica been “Yes” and the West Indies become independent as a federal nation on 31 May 1962. I believe with John Mordecai, who chronicled the federal experience, that the tenuous Lancaster House patchwork would have held, that the Federation would have grown stronger, and faith in it firmer, and that, ultimately, Manley's early vision of a strong West Indian nation would have been fulfilled. Prospects for the Caribbean would now be very different. We have paid a large price for that leadership deficit – for that is what it was.

But the present comes out of the past, and for the West Indies it has had to come out of a rejection of federalism. The present had to be constructed, instead, on a fragile regionalism. Having let federalism slip from our grasp, regionalism became a necessity, and we have spent the last 40-plus years – not always with total conviction – trying to make a virtue of it. That effort has been on the whole a triumph of practicality over inclination, the compulsions of mutual interest in regional co-operation overcoming our natural archipelagic instinct for contrariness and fragmentation. Nowhere were these compulsions more manifest and hints of leadership more promising than at Grand Anse in Grenada in 1989 when, inspired by the vision of Trinidad and Tobago's then-Prime Minister A.N.R. Robinson, Caribbean political leaders committed themselves to the Caribbean Single Market and Economy and established the West Indian Commission for advancing the goals of the Treaty of Chaguaramas. That was 22 years ago.

At the end of last month, CARICOM Heads of Government met again at Grand Anse. They recognised in their communiqué “their concern at the slow pace of the regional integration movement” and that “the most urgent need was for implementing decisions already made and embodied in the Revised Treaty of Chaguaramas, and living by the spirit of unity and collective action that inspired the Grand Anse Declaration which preceded it.”

What had happened, or not happened, in the two decades-plus between Grand Anse 1989 and Grand Anse 2011? Just before the recent meeting, one of the region’s most respected commentators, Sir Ronald Sanders, wrote under the caption, “CARICOM: It’s leadership that’s needed”:

There should be no doubt that the people of the Caribbean Community (CARICOM) are well aware that failure of the regional integration project to contribute to solving the urgent problems which now beset their countries is really a failure of leadership.

The CARICOM Communiqué was a virtual confession -- but for that very reason welcome, for it may just signal change. But will it? Sir Ronald ended his commentary with these words:

CARICOM needs strong leadership, a new vision and new and relevant priorities in a more dynamic structure. Only the leaders can begin the process of overhauling it for the benefit of the region’s people.

I believe this is true and of wide application. And this leadership deficit in the Caribbean cannot be overcome by “people” action – much as we might wish it so! Empowerment in the Caribbean does not justify so large a belief. An empowered civil society does not exist in a practical sense.

What is the record of national or regional civil society within the Caribbean? How

large is its mainstream? How activist is it in changing the region? To be fair, in acknowledging a role for it in national and regional affairs, Caribbean governments have given civil society an opening. It does not have to fight that ideological battle, but civil society has to take advantage of that opening before we can talk with credibility about “empowerment.” How much of civil society in the Caribbean has an effective reach? Civil society, I know, has to be narrowly focused because that is how it functions. But if all civil society does is to concentrate on this narrow little area of focus, the danger is that it will miss its goal, because national decision making will call for the exercise of a larger and more diffuse measure of empowerment.

How searching are the roles of consumer associations, for example, in representing civil society at the people level? How active are the trade unions? We can have a discussion on whether or not they are part of civil society – I think they are, and I know some agree, but I am not sure they all acknowledge that they are. How active was civil society in this larger sense in the recent decision-making process on the Economic Partnership Agreement with the European Union (the EPA), a process that will affect the lives of Caribbean people in profound ways for an immeasurable time? Civil society could hardly claim to have been a vigilant custodian of the rights and interests of the vast majority of the people of the Caribbean. I know there are exceptions, but on this overall experience, we cannot really speak with conviction about an empowered civil society in the Caribbean.

And what about climate change? When the world talks about “climate change” it is talking about our future, not in an indirect way, but very directly. When the world talks of global warming it is talking about hurricanes, about rising sea levels, about storm

surges, about the future of tourism – about our future in the Caribbean – about yours in Cayman.

Our professionals are engaged; they have shared the Nobel Peace Prize for their work and that is wonderful. But I am talking of people, of civil society, whose voice needs to be heard.

There are civil society voices in the halls of international dialogue, but they are almost all the voices of developed country NGOs. They do a great job. They have been doing some of our work; but they are not the best people to do our work, because our work needs our hand, our identity, our involvement. It needs to be authentically ours; but we are leaving it to the NGOs of North America and of Europe to march in the streets of Copenhagen or Cancun.

To the extent that we are involved at long range, we tend to buy into the agendas of the north. Many civil society organizations in the Caribbean are actually funded by NGOs in the north. So buying into those agendas is an almost natural thing. But it does not add up to empowerment in the Caribbean.

If leadership is faltering at the regional level and people are not empowered, governance becomes a critical element of progress. What is the Caribbean balance sheet? One of the attributes of good governance is freedom to be critical of government; that needs to be remembered when we indulge that freedom. The bigger picture in the Caribbean is surely that the region has sustained democracy and preserved the rule of law throughout the post-independence period – over almost fifty years. There have been anxious moments in parts of the region, it is true, but more sporadic than sustained, and always with a return to constitutional norms. Indeed, over the early years

of nation-building, constitutionalism has held sway in the Caribbean: parliamentary democracy, free elections, changes of government, independent judiciaries, press freedom, and the right of dissent are all part of the regional norm – interjectional blemishes notwithstanding.

But those blemishes cannot be ignored; we must hold ourselves to a higher standard in all these areas. It is not only the forms and structures of governance that must pass muster but the substance and quality as well. And there are far too many examples in too many parts of our region of endangered governance values. Of course, our realities of size and circumstance contribute. In the small states that we all are in the Caribbean, governments occupy inordinate space in the governance landscape. The checks and balances that are natural to larger societies are absent in our countries. For us, therefore, there is need for a special level of insistence on practical realisation of the precepts of good governance – as well as intolerance of deviations from them.

Of course, the condition of liberty anywhere is eternal vigilance and there is never any excuse for complacency – hence the necessity for robust and unfaltering accountability. Good governance in the Caribbean, as everywhere else, can never be assumed; it must ever be demanded and delivered as a national birthright.

But there is another level of governance in the Caribbean where the record is palpably not good. It is governance at the regional level. The Commonwealth Caribbean is a community of sovereign states, but instead of sovereignty being tuned to the needs of community, it has been employed to frustrate it. This is contrary in itself; it is absurd when the sovereignty that is avowed is not reality, when reality is powerlessness, not power. In the end we have used the sovereignty we profess, essentially against each

other. The measure of governance that is a precondition of community has been sacrificed on the altar of false gods.

So there is a governance deficit at both the national and – to a much greater extent – regional levels in the Caribbean.

But no discourse on governance (and for that matter, on leadership and empowerment) in the Caribbean can ignore the very special issues of governance in the non-independent Caribbean, issues that are, of course, of direct significance for you here in Cayman. They need a conference to themselves; but it is good to see that they are receiving serious academic attention – witness the book, *Governance in the Non-independent Caribbean: Challenges and Opportunities in the Twenty-First Century*, published in 2009.

In his chapter “Governing the Offshore,” William Vlcek makes a summation that is of more general relevance when he writes, “the leaders and citizens of these small island communities desire equitable treatment and a respectful hearing for their concerns and viewpoint on these governance matters” (2009, 112).

Eight years ago, in my 2003 *Daily Herald* lecture in St. Maarten, which I entitled “Caribbean Challenges in a New World,” I addressed some of these “governance matters”. I recall some words from that occasion for their continuing pertinence:

In the new world of the 21st Century... will the metropolises see sustained, perhaps even enhanced, value in their Caribbean outposts? Will those outposts cling to their metropolises in an economic pragmatism that over-rides identity and even preference? How will the international environment of the 21st century – the new world – influence these choices?

An ethos of freedom and self-determination drove the decolonisation process for the Caribbean that has been decolonised. Will the urge for self-government, for independence, be attenuated in the era of globalisation when sovereignty

becomes a pale shadow of itself? Or, to the contrary, will the interest of the metropolises in their Caribbean possessions so diminish as to leave the islands no option but to defend their interests through insistence on their freedom? In the cost benefit analysis, what elements will prevail? When, increasingly, in a globalised economy, international trade in goods and services is governed by rules that the metropolises seek to fashion in their own interest, who is looking out for their Caribbean 'peripherals'? Are the interests of the non-independent Caribbean islands being taken into [account] at Cancun? Who argues their cause there? As the OECD/Financial Services episode illustrated, the metropole does not argue with itself about the interests of its dependencies. It merely imposes itself on them... are the non-independent islands – whatever their metropole – simply decision-takers, having to make the best of a fortune determined and ordained by others?

Of one thing we must be clear... in the new world, the scope and quality of 'local autonomy' has been eroded....

Today, fewer and fewer matters are wholly 'local' in character; more have external connotations; global considerations play a larger and larger part in their resolution; local decision making is, in greater and greater measure, constrained by non-local factors. In smaller and smaller measure does local autonomy imply a capacity to determine local outcomes. And the erosion continues.

As we enter the second decade of the twenty-first century, not much has changed for the independent or the non-independent countries of the Caribbean. I ended that 2003 address by saying to my St. Maarten *audience*:

You are not 'peripheral' to the Caribbean, and must not believe that you are seen by Caribbean people to be so. But the true way of confirming this is to engage in the kind of dialogue of exploration I am urging. That requires not only your resolve, but that of the countries of CARICOM as well. May the will to act be present on all sides.

The future for which we must prepare is challenging in very many ways and some trends that are already clear should put us on special notice in the Caribbean as a coterie of small, scattered societies striving, often haltingly, towards making a reality of our oneness. This is a good time, therefore, to reflect on that oneness. We can blame

others for many things; for our disunity we can blame only ourselves.

A look beyond CARICOM to our wider Caribbean society, of which Cayman is a part, is more challenging than reassuring. Our history of colonialism has reinforced the separateness of a dividing sea, and Caribbean people have grown up largely as strangers, looking more to our respective metropolises than to each other: neighbours, each looking beyond our Caribbean neighbourhood.

Twenty years ago, the West Indian Commission posed the question, "Apart or together?" not just for CARICOM but for the wider Caribbean; not *what* unity among the Commonwealth countries of the Caribbean, but *why not* a Caribbean Commonwealth; a Commonwealth from the Bahamas in the north, to Suriname in the south; from Central America in the west, to Barbados in the east; a Caribbean Commonwealth encompassing the states, the governments, the people of the entire Caribbean -- of the islands of the sea and the coastal states whose shores are washed by that sea. In that Caribbean Commonwealth, let me say without reservation, that I would see Cayman, and all the islands not yet independent, playing a substantive part.

There was a time, close to our own independence in the sixties and seventies, when we were disdainful and even somewhat arrogant about others not yet independent. Times have changed, however. We have learned the limits of independence; we know that they do not justify superior airs. But there have been changes as well in the roles of the metropolises in relation to more autonomous Caribbean countries, and not always for the best. I do not believe that our vision of a Community of Caribbean States can exclude you, once you are allowed to participate in your own right and, of course, once you wish to do so. There must be a place for all, and a welcome for all who wish to

occupy it.

That Caribbean oneness of which I speak is not really so far-fetched. I recall, nearly 40 years later, how its reality was impressed on my mind as I opened for CARICOM the negotiations with Europe that were to lead to the Lomé Convention. What I said that day in Brussels, speaking on behalf of the Caribbean, were to be the last words we spoke formally with Europe on a regional basis in those negotiations. At our urging, Africa, the Pacific and the Caribbean thereafter would speak only with one voice, often, then, a more united voice than Europe's.

European unity has deepened and widened since then. The community of nine in 1973 is now a community of twenty-seven and it is still growing; its unity has strengthened structurally and in quality. That first emanation of the Treaty of Rome with which we began a dialogue in advance of Lomé 1 is now reaching to the fulfilment of the treaty's vision and, ambitiously, beyond it. Where are we? And, even more to the point, to what are we reaching?

There is a point beyond which regional variety, unless harnessed to the achievement of common goals, becomes a tangled web. On the West Indian Commission twenty years ago, we heard many accents, but we heard overwhelmingly a voice that is authentically regional, espousing not only a regional identity but a regional aspiration for doing things together in ways that will better the condition of Caribbean people.

That yearning for betterment reaches still into every aspect of life, civil and political, economic, social and cultural. It looks, for example, towards more civil societies, more open government, participation in governance beyond the ballot box, and towards a better chance for social and economic achievement for the average West Indian.

We listened with anguish to West Indian complaints about the hassle that is the companion of every West Indian who travels within our region. We heard with dismay the views of West Indian people about the tiresomeness of currency distortions within our economic community. We heard with deepening disquiet the anxieties about declining standards of primary and secondary education in many places, of deteriorating health care, of widening unemployment.

We came to recognise that, whatever our technical accomplishments on the road to economic integration, goals will remain distant unless these requirements for the fulfilment of basic human needs within our region are met in an adequate manner, and, as important, that regional lives are lived in confidence of sustained improvement. If not, no amount of regionalism, no amount of economic or other integration, will displace the “Green Card” as the ultimate in regional aspiration.

Young people of the region readily came forward to give their views and to express their urgent objectives. The enthusiasm for unity is alive in the younger generation, but they are extremely critical about what they see as delay and neglect in addressing their special problems. The growing shortage of employment opportunities, the deterioration in educational systems, and an increasing lack of outlets for their ambitions and creativity concern them deeply. They are not cynical or negative about the situation; they are indeed remarkably realistic about the limits of what can and what cannot be done. Nevertheless, they feel frustrated and do not believe an older generation of political and community leaders can be tuned in to their real needs. Such attitudes are common to all generations; some contemporary leaders were once angry young West Indians who felt similarly ignored.

Today's concerns, however, seem to have an especially keen edge. We have to recognise the particular importance of this phenomenon and seek ways to involve the younger generation more deeply in the processes of development in every area. If we are not successful in this, we can be sure that the best and more dynamic will join the regional diaspora in growing numbers and that those who don't or can't will increasingly reject the social and political order.

Leadership, governance, and empowerment are all encompassed in the responses that have not yet been made in an enlightened way.

Over 270 years ago, Père Labatt, writing about his travels among the islands and states of the Caribbean, invoked a vision of our own identity, so palpable to him, in support of the common destiny to which he saw us all committed as part of a wider Caribbean. He wrote:

I have travelled everywhere in your sea of the Caribbean, from Haiti to Barbados, to Martinique and Guadeloupe, and I know what I am speaking aboutYou are all together, in the same boat, sailing on the same uncertain sea ... citizenship and race unimportant, feeble little labels compared to the message that my spirit brings to me: that of the position and predicament which History has imposed upon you I saw it first with the dance ... the meringue in Haiti, the beguine in Martinique and today I hear, de mon oreille morte, the echoes of calypsos from Trinidad, Jamaica, St. Lucia, Antigua, Dominica, and the legendary Guiana It is no accident that the sea which separates your lands makes no difference to the rhythm of your bodies.

Had Père Labatt sailed this way, he would assuredly have said the same of Cayman – particularly had he travelled at a time of *Batabano!*

So let me end by returning to Maya Angelou's verse about our human capacity to acknowledge the eternal unity of the needs of the world's people and our generations' potential to respond to those needs, in her "A Brave and Startling Truth":

We this people on a small and lonely planet,
Travelling through casual space,
Past aloof stars, across the way of indifferent suns
To a destination where all signs tell us
It is possible and imperative that we learn
A brave and startling truth.

When we come to it

We, this people, on this wayward, floating body
Created on this earth, of this earth
Have the power to fashion for this earth
A climate where every man and every woman
Can live freely without sanctimonious piety

Without crippling fear.

That is when, but only when, we come to it.

When we come to it in the Caribbean, we too will have learnt the “brave and startling truth” that we need not fall short in leadership, in governance, and in empowerment.

Thank you.

**THE ROLE OF LEADERSHIP IN THE TRANSFORMATION OF
THE CARIBBEAN DEVELOPMENT BANK**

Address at the Conference on Leadership,
Governance and Empowerment In the Caribbean,
UCCI, March 2011

*Dr. Warren Smith
President-elect, Caribbean Development Bank*

All of the great leaders have had one characteristic in common: it was the willingness to confront unequivocally the major anxiety of their people in their time. This, and not much else, is the essence of leadership.

John Kenneth Galbraith

Abstract

This address emphasises the major challenges that currently confront the region. Some threaten economic security, while others, such as climate change and crime, potentially jeopardise physical survival. Certain success factors are critical and must become the active focus for good regional leadership, governance, and empowerment. A regional leadership approach is deemed the best option for overcoming national problems, but leaders must understand that Caribbean people feel insecure, in danger of losing control of their destiny in vital areas of social and economic life. Rising poverty levels, especially in rural farming communities, have brought increasing poverty and unemployment; viable alternatives are yet to be identified. The Caribbean also endures fallout from the ongoing global recession, aggravated by the collapse of certain regional financial giants, bringing significant losses to institutional and private investors. Further, threats associated with climate change and increasingly intense and frequent climatic activity mean growing insecurity; regional insecurities are exacerbated by increasing violent crime, often narcotics-related. Caribbean leaders must develop strategies to shift economic activity onto a new growth trajectory; provide resources to dramatically reduce poverty levels; open up new economic vistas; create new industries in our small economies; and re-engineer existing industries to make them internationally competitive. To develop a viable growth path, regional leaders must focus on uniting to fund the development of human capital, revise educational strategies, and insist on receiving a fair share of the funding committed by developed nations to address climate change. In short, regional leaders must make choices, prioritise, and take risks.

KEY WORDS: economic security, good leadership, regional approach, financial fallout, climate change, insecurity, crime, human capital, education strategy, knowledge-based economy, prioritise, electricity cost reduction

INTRODUCTION

I am delighted to participate in the plenary session of the UCCI's Conference on Leadership, Governance and Empowerment in the Caribbean. We meet today to consider this theme at a time when our region is confronted with challenges which, for many of us, may appear daunting, fearsome and even insurmountable. In some ways, they seem to threaten our sense of economic security; they jeopardize our carefree, fun-loving Caribbean way of life. Indeed, sometimes we feel as if nature itself is conspiring against our very existence. Ironically, it appears that the self-confidence of a people whose history has been one of valiant struggle and triumph over adversity is increasingly being eroded.

Whenever I begin to feel overwhelmed by the sheer enormity of our circumstances, I like to recall the words of American broadcaster, Paul Harvey, who famously said, "...in times like these, it is good to remember that there have always been times like these."

As I considered what I could usefully contribute to this conference, I could not escape one trend of thought which has been virtually impossible to shake over the past six months: A major preoccupation, given the vast array of pressing issues facing Caribbean countries as they emerge from the world financial and economic crisis, is how do Caribbean leaders narrow their focus for action and settle on the critical success factors, that is, those things which if done right, will secure the achievement of their development objectives?

In my presentation this morning, I will share my thoughts on this preoccupation and accomplish three tasks. First, I propose to identify the essential elements of good

leadership. Let me say, parenthetically, that when I refer to “good leadership”, I am simultaneously embracing the concepts of “good governance” and the “empowerment” of those being led. Second, I will identify the principal tasks – those critical success factors – which require the urgent attention of Caribbean leaders. And third, I will highlight the potential that a regional approach to leadership offers for overcoming national problems.

LEADERSHIP

A great deal has been said and written on the subject of leaders and leadership, but the thoughts which I share with you today represent the embodiment of my own musings concerning the challenges we face as a region and the role which leadership can play in their resolution. For me, the characterisation of leadership attributable to the late Canadian-American economist John Kenneth Galbraith holds a very special appeal. He said:

All of the great leaders have had one characteristic in common: It was the willingness to confront unequivocally the major anxiety of their people in their time. This, and not much else, is the essence of leadership.

In Galbraith’s distillation of leadership, he alludes to the important characteristics of determination, single-mindedness and an acceptance that the focus of leadership must be placed on issues that are most important to those who are being led. I am particularly intrigued with his view that leadership necessitates identifying and understanding “the major anxiety” of those being led.

As with most attempts to simplify complex concepts, Galbraith’s definition of leadership may be described by the economists amongst us as a necessary but

insufficient condition. Nevertheless, it does force me to zero in on what I understand to be the 'major anxiety of our people' – one of the things I want to accomplish today.

Using the Galbraith-ian lens, I will argue that the major anxiety of Caribbean people can, at this time, be captured under the broad rubric of 'insecurity', that is, a generalised sense of losing control of their destiny in a number of critical areas of social and economic life.

INSECURITY ON THE RISE

The Caribbean has always been susceptible to many of the vulnerabilities of small island developing states (SIDS), the consequence of small, open economies with narrow economic bases and, because of geography, also prone to the vagaries of potentially devastating natural hazards. Additionally, the deeper integration of Caribbean economies into the international financial and economic systems, the advent of better communication and greater movement of people across our borders, and the emergence of climate change as a global concern have all served to heighten our sense of uncertainty and foreboding. Let us examine these issues more closely:

Heightened Economic Insecurity

A new era in trade relations between the Caribbean and Europe was ushered in on October 15, 2008, when the two blocs signed an Economic Partnership Agreement. This new agreement was the successor to more than a quarter of a century of unreciprocated preferential access by the Caribbean to the European Union (EU)

market, under a succession of Lomé agreements between the African, Caribbean and Pacific (ACP) countries and the EU.

But the transition to the EPA has come about amid much uncertainty and debate concerning its likely benefits and the region's readiness to access them. While the EPA does portend the long-term prospect of more diversified access to the large European market, and while the dismantling of the preferential arrangement was gradual, to afford the countries an opportunity to restructure the affected industries and diversify production, the fallout and the attendant uncertainty for Caribbean farmers were significant. Rising poverty levels, especially in rural communities, were the result of sharp declines in agriculture production, farm incomes and employment. Hardest hit were the banana producing countries of the eastern Caribbean in which no obvious successor for bananas has yet been identified.

As the Caribbean was coming to grips with these changing international trade relations, the second source of economic insecurity emerged and reawakened concerns about the vulnerability of our economies to external shocks. Indications of possible problems were first signalled in 2008 by:

- the collapse of the US subprime mortgage market;
- declining liquidity in that country's banking system; and,
- loss of confidence in US financial institutions following the announcement that the demise of Lehman Brothers represented the largest bankruptcy in US history, and that Bear Stearns, another large US financial institution with which many Caribbean countries had important business relationships, had also collapsed.

Here in the Caribbean, we have had our own financial fallout. The recent collapse of the Trinidadian conglomerate, CLICO, has reverberated around the region, and resulted in significant losses to both institutional and private investors, despite the Trinidad and Tobago Government's rescue efforts in 2009. The CLICO subsidiary, British American Insurance Company Limited (BAICO), though domiciled in the Bahamas and having its back-office in Trinidad, sold its products primarily in the OECS countries. Nearly 40,000 OECS policyholders are now at risk of losing significant investments.

These developments, together with the knock-on effects of the world recession, have heightened the sense of economic insecurity region-wide. Institutions and industries which the average man in the street assumed were safe have demonstrated with devastating effect that without substantial reform, they have the potential to disrupt or destroy the livelihoods of large segments of our people. I believe that coming out of this crisis, our people are looking to their leaders to work with them in carving out a new road and placing the Caribbean on a different growth trajectory.

Climate Change and Insecurity

I now turn to the second significant area of growing insecurity for Caribbean people, that is, the uncertainties associated with climate change and the increasing frequency and intensity of climatic activity.

Based on the evidence, I am satisfied that climate change and the attendant disaster risk exacerbated and induced by this phenomenon, present a significant

challenge to future economic growth and development sustainability in our region. The economic impact of climate change is already being observed, with infrastructure designed to withstand events with a 1-in-50 return period, now being destroyed long before their design life has ended because of the more frequent occurrence and increasing intensity of natural hazards.

At CDB, we adhere to the view that the Caribbean does not have the luxury of adopting a wait-and-see approach. For some of our borrowing member countries, the projected cost of inaction ranges between 36% and 61% of GDP by 2050, rising to between 89% and 123% of GDP by the start of the next century. Studies conducted by Swiss Re and McKinsey, under the sponsorship of the Caribbean Catastrophe Risk Insurance Facility (CCRIF), indicate that countries in the western Caribbean, such as the Cayman Islands and Jamaica, are especially vulnerable to the consequences of climate change. Therefore, we need to be proactive in our stance and to urgently undertake suitable adaptation measures whilst simultaneously stepping up the transfer of risks through appropriate insurance cover. In this respect, leadership will also require a combination of educating our people about this threat, mobilising finance available for adaptation, and making the necessary investments to secure livelihoods.

Crime and Violence

The third area of insecurity to which I wish to draw attention is the growing and seemingly intractable problem of crime and violence. The incidence of violent criminality has reached almost epidemic proportions in too many Caribbean countries. Although the worst manifestations of this problem are to be found in Jamaica and Trinidad and

Tobago, worrisome signs have emerged in the smaller islands of the eastern Caribbean and the mainland territories of Belize and Guyana.

A growing international trade in narcotics seems to be at the root of the upsurge in violent crimes and especially its most frightening manifestation, the murder rate. The Caribbean's role in this extremely dangerous international enterprise is, in part, the consequence of its favourable location as a transit point between the large North American market for cocaine and marijuana and the principal supply points in Central and South America. This role is further enabled by a woefully inadequate interdiction capacity, corruption in regional security forces, and a growing underclass of unemployed and under-skilled young people living in communities which lack basic economic and social infrastructure.

The 2007 World Bank-United Nations Office on Drugs and Crime (UNODC) Report entitled "Crime, Violence, and Development: Trends, Costs, and Policy Options in the Caribbean" noted that murder rates – at 30 per 100,000 population annually – were higher than for any other region of the world, and in recent years had risen in many countries. The report also concluded that high rates of crime and violence were undermining growth, threatening human welfare, and impeding social development. The economic costs are enormous as rising crime levels generally demand an increase in public expenditures to strengthen the security forces; have a dampening effect on tourism as visitors begin to fear for their safety; and stifle business development as new investment and access to financing become constrained.

THE WORK TO BE DONE / MITIGATING THE ISSUES

My contention, so far, is that the principal anxiety of Caribbean people is the growing sense of insecurity associated with major disruptions in economic life, climate change and the unacceptably high levels of crime and violence. If Galbraith is correct, then herein lies the essence of the Caribbean leadership agenda; the three insecurities which I have proffered should be the principal preoccupation of Caribbean leaders.

But this also gives rise to the question, 'What are the appropriate solutions?' From my vantage point, the most urgent public policy action for the Caribbean is the development of a strategy to shift regional economic activity onto a new growth trajectory and to provide the resources needed for a dramatic reduction in the unacceptably high levels of poverty. The Asian economies have demonstrated so well that a *sine qua non* for drastic and permanent reductions in poverty is rapid and sustained economic growth. Right here in our own backyard, the Cayman Islands has also substantiated this now almost irrefutable reality.

To shift our economies onto a growth trajectory consistent with rapid improvements in living standards, we will need to come to grips with the vulnerability and uncertainty inherent in these economies. To create conditions for opening up new economic vistas for our people, we need to systematically remove obstacles to the creation of new industries in our small economies, whilst re-engineering existing and traditional industries to make them internationally competitive.

REGIONAL APPROACH YIELDING NATIONAL BENEFITS

In many respects, the removal of national constraints to economic diversification can be most effectively and efficiently pursued through regional solutions. In the few minutes

remaining, I wish to highlight some instances where a regional approach can yield significant national benefits.

Regional Co-operation in Energy Transformation

Recently, while speaking at the Northern Caribbean Conference on Economic Cooperation held here in the Cayman Islands, Puerto Rico's Secretary of State Mr. Kenneth McClintock challenged his audience to agree on a regional approach to reducing electricity costs. He made reference to a feasibility study being conducted by the World Bank. I was so intrigued by Mr. McClintock's comments, that I made it my business to locate this study, which makes for extremely fascinating reading. The possibilities for electricity cost reduction and for opening up new economic sectors in most Caribbean states are exciting. The need to vigorously pursue the study's recommendations to bring the preliminary aspects to the full feasibility stage is impatient of further debate. I am convinced that success with deepening international competitiveness and diversifying the production base through the restructuring of our energy industries will depend much less on overcoming technical and financial challenges and much more on the capacity of our leaders to rise above narrow national considerations to seize opportunities for regional co-operation in energy for the common good.

Leveraging ICTs through Regional Co-operation

Except in very few cases, the Caribbean is unlikely to make its way in the world, much less bring prosperity to its people, by promoting low wage industries. The logical

alternative is to follow a growth path that is tied to the development of human capital across a wide range of skill areas. This is a strategy to which several Caribbean countries now appear to be committed. But the development and maintenance of a modern, state-of-the-art education system, from basic through to tertiary levels, is an extremely expensive proposition for micro and small states. In this regard, it is heartening to note the ongoing initiative by the University of the West Indies to leverage the capacity of modern ICTs to develop a single virtual university space as a vehicle to bring university education to the non-campus territories of the Caribbean. If successfully implemented, this project should broaden access to the non-campus territories as well as to remote areas of the larger Caribbean countries, and also have the effect of reducing overall cost and improving the quality of education service delivery.

The use of ICTs in education, especially those technologies which enable the delivery of service over long distances, needs to be rapidly extended to its logical conclusion to all levels of the education spectrum. Every Caribbean child would have access to the best educators available throughout the region. This would immediately break down what is still, in most countries, an elitist system providing education of vastly different quality to different groups of students. I feel very strongly that, with the benefit of focused, persistent leadership in this area, the Caribbean can lift education and training to world class levels, whilst producing the quantity and quality of trained personnel best suited to the development of more knowledge-based industries.

Arguments in favour of transforming the regional education system through the use of ICTs apply generally to the development of a knowledge-based economy. A Caribbean regional ICT4D strategy, already presented to CARICOM Heads of

Government, outlines the requirements for successful transformation, including the important nexus between local and regional activities. The ICT4D document points to the problem of fragmentation at the regional level and the need to rationalise the structure of institutions involved in implementation of different aspects of the project. These constraints need to benefit from focused and determined leadership to ensure that the region is not left behind in this critical area of economic and social modernisation.

Regional Action in Support of Climate Finance

At the United Nations Climate Change Conference in Copenhagen in December 2009, developed nations pledged US\$30 billion of fast-track funding through to 2012, and committed to jointly raise US\$100 billion annually by 2020 for climate change mitigation and adaptation in developing countries. Whilst this might sound like a lot of money, needs far exceed the resources available for this important activity.

If climate change is not to become a serious impediment to the medium- and long-term growth prospects of Caribbean countries, it is going to require tireless and effective champions to ensure that the region gets its fair share of these resources. Our access to such resources would be greatly enhanced through a concerted joint approach by the entire region to identify viable adaptation projects and to package them for technical and economic appraisal by the development partners. This, no doubt, is a classic case of 'the early bird catches the worm.'

REBUILDING CRIME-RIDDEN COMMUNITIES

Crime and violence, I have argued, is now endemic in many Caribbean countries. It is a source of considerable insecurity for our people and it represents a serious drag on our economic growth prospects. I regard it as one of **the** most difficult challenges to overcome because of the power and wealth of the international crime syndicates with which domestic organised crime is now in partnership, and importantly, because of its complex relationship with domestic politics in many Caribbean jurisdictions. Its resolution, therefore, has a coercive as well as a social interventionist dimension. The latter represents the greatest test of leadership, demanding that consensus be secured across the political divide and that power be devolved to civil society organisations which are closest to the people, enjoy their trust, and have a good appreciation of the modalities that can work. Again, a regional approach recommends itself not only because of the regional and international dimension of modern criminality and the need to share intelligence, but also because of the opportunity to share lessons learnt in both the coercive and social interventions.

CONCLUSION

If I seem to have overplayed the need for regional approaches to the resolution of the most pressing problems in our area, it is because I am convinced of their superior efficacy. It is also because development assistance to the Caribbean is increasingly being tied to regional projects. Most leaders quickly recognise that good intentions without access to resources will eventually lead to alienation and frustration.

This morning, I have set out what, in my view, are the principal preoccupations of

Caribbean people, at this time. They of course do not represent the universe of their challenges. But leaders do need to make choices; they need to prioritise and they need to take risks. If they fail to do so, then history will surely be unkind to them. In closing, let me leave you with these words of the late John F. Kennedy, who reminded us: “There are risks and costs to a programme of action; but they are far less than the long-range risks of comfortable inaction.”

I thank you for your kind attention.

THE LEGACIES OF INDEPENDENCE IN JAMAICA:

Towards a Half-century Assessment

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Abstract

Over the last half-century Jamaica has endured periods of turbulent social and political upheaval, the legacy, since 1962, of independent government. The associated hope, expectancy and celebration were short-lived, replaced by riots and widespread politicised gang-warfare. Subsequent migration curtailment combined with growing unemployment to challenge the Jamaican establishment and its steeply hierarchical and symbolically structured social order. This address holds that contemporary unrest and social disparity are rooted in the eighteenth century 'Age of Revolution' and the failure of emancipation to correct the enslavement status quo in much of the Caribbean. Fractured governance helped to determine the political economy and ruling philosophy of Jamaica over the next 150 years; periodic rebellion became a Jamaican reality, culminating with Michael Manley's ill-fated 1970s' and early 1980 regime. Contemporary Jamaican life is characterised by a failure of the political process to improve living conditions; an ever-weakening social order means a widespread rejection of common notions of law and order, right and wrong. The societal norms that bind communities and nation together continue to be diluted by mass migration, broken families and increasing urbanization. Nihilism and crass individualistic materialism have replaced community effort, self-help and collective liberation. Hope for national regeneration and re-discovery of true political meaning may lie in achieving consensus on a new constitution and economic renewal; in focused redressing of past material imbalances; in establishing a new, transparent democracy; and in rethinking the ethical foundations on which Jamaica is built.

KEY WORDS: musical form, cultural expression, Rastafarianism, riots, political economy, rebellion, independent Jamaica, community, social consensus, social decay,

diaspora, history

There is an iconic and unforgettable image, culled from the archives of early Jamaican independence, which stands ahead of many other memorabilia of that tumultuous time. Coming to mind in recent days with his passing, it is the 1962 photograph of Rex Nettleford, in full dancer's regalia, his arms stretched backwards, like the wings of a Boeing 707, his feet appearing not to touch the ground and his proud dark eyes peering into the camera, as if into some undetermined, yet simultaneously very certain future.

I saw this picture again a few weeks ago as a fleeting slide, part of a memorial ceremony for Rex on the Mona campus of the University of the West Indies (UWI), and thought it appropriate, not only for the sense of moment that it conveys, but also for this talk here in Grand Cayman, to which Rex was invited and for which I am but his modest substitute. For in that image, with his arms stretched back in almost supersonic gesture, Rex became frozen, metaphoric, as symbolic of all that independence seemed to offer Jamaica and, by implication as the first Anglophone country to gain it, the wider Caribbean. It was not only the pose, which as I have implied, was replete with promise, hope and speedy delivery, but the very body of the man, which, in its ebony richness, proclaimed the arrival of black Jamaica and the staking of her rightful and democratic claim to ownership of the land of wood and water.

And there are so many other examples that come to mind, drawn from the spectrum of cultural expression. The ebullience of the new hybrid musical form, the ska, which incorporated rhythm and blues with calypso and Latin beats, woven together with the indefatigable Jamaican mento and Rastafarian burru drums, heralded a celebration

of possibilities. Among others joining the musical celebration was Millie Small, whose “My Boy Lollipop” made it to the top of the British charts. And there were the unifying lyrics of many ballads like “Gather together, [be] brothers and sisters, [we’re] independent,” along with the driving carnival-esque beat of classic big bands like Carlos Malcolm and the Afro-Jamaican Rhythms, Byron Lee and the Dragonaires; and, of course, the Skatalites, which in many respects, defined the era.

But the celebrations, as some, like many among the Rastafarians, always predicted, turned out to be short-lived. The bulldozing of Back o’ Wall and the displacement of thousands to build the model community of Tivoli Gardens in West Kingston was, in retrospect, the reassertion of the obverse side of the independence saga. Mervyn Morris, celebrated Jamaican poet, captures the sense of this transition in his typically small poem, “I am the Man”:

I am the man that build his house on shit
I am the man that watch you bulldoze it
I am the man of no fixed address
Follow me now...
I am the man that have no name
I am the man that have no home
I am the man that have no hope
Nothing is mine
I am the man that file the knife
I am the man that make the bomb
I am the man that grab the gun
Look at the clock

And the clock was always ticking. The Chinese riots of 1965, which suggested deep schisms between the entrepreneurial Chinese shopkeepers of downtown

Kingston and their dispossessed black neighbours, were another portent. The 1966 “Ghost Town” curfew to curb violence between the politicised gangs of West Kingston and South St. Andrew, with clear indicators of the future forms that violence would take, was a further omen.

The music lost its pace and the cool and deadly “rock steady” dance, epitomised in the stance and actions of the ratchet-wielding “rude bwoy” gained ascendancy. Derrick Morgan’s remarkable early deejay/dancehall chant, “Tougher than Tough,” was typical of an entire genre that recognized the phenomenon of the “rude bwoy” and praised his pose of resistance in a world of uncertainty. The rude bwoy in Morgan’s song is before the judge and, faced with a certain sentence of a very long time for charges of misconduct and violence, is unrepentant:

Your honour, rudies don’t fear...
Rougher than rough, tougher than tough
Strong like lion, we are iron
Rudies don’t fear no boys, rudies don’t fear....

And the clock stopped ticking and the bomb went off in 1968 when, following the government’s banning of Guyanese-born UWI lecturer Walter Rodney from returning to Jamaica, students marched in protest, were tear-gassed, and thousands of urban unemployed youth – the aforementioned rude bwoys – took to the streets and wreaked havoc in downtown Kingston.

I suggest that 1968 and the eponymous Rodney Riot is as important a dateline in Jamaican and Caribbean history as the 1930s, when the march to nationhood really began, and the early 1960s, when independence was proclaimed. The events of 1968 decisively signalled the assertion that a significant part of the population had

a problem with the independence drama and wished to exit, violently, if necessary, from the stage.

A well-worn narrative in Jamaica suggests that an explanation for this phenomenon is to be found almost exclusively in the realm of political economy. It reads to the effect that the high levels of unemployment resulting from the failure of the industrialization-by-invitation policies followed before independence, coupled with the ending of easy migration to the United Kingdom, led to growing unemployment and immiseration in the burgeoning ghettos of Kingston and St Andrew. The failure to alleviate those conditions and the concomitant social alienation led to the growth of violence and, ultimately, when the right spark came, to the massive outpouring of violence and destruction in the 1968 riots. This, I suggest, is at best only a partial explanation. Something else was brewing in the hearts of the Jamaican poor, beyond albeit convincing realities of abject poverty and 'sufferation.' I suggest that the signals, as intimated earlier, are to be found in the Rastafarian movement, its consistent philosophical engagement with the intellectual notion of independent Jamaica.

For many unfamiliar with the history of the contemporary Caribbean, it may be surprising to learn that Rastafarians were not always seen as potential rock stars with flashing locks emblazoned across trendy tee-shirts and casual wear. Early Rastafarianism came into conflict with the Jamaican establishment because of its consistent rejection of the steeply hierarchical and symbolic structuring of the social order. Thus, the Rastas' radical assertion of blackness, African hair, a creatively modified and often perverted use of both English and traditional "patwa," and

ultimately, the deification of a living black god, was considered anathema and received with shock and opprobrium by the guardians of what was right and proper. Some Rastafarians approached this opposition to what they called “Babylon” – the world of mainstream Jamaica – with a general retreat from that reality in deep, obscure rural communities, while others sought to do frontal combat with the “Beast.” Ronald Henry’s small contingent of Jamaicans and African Americans arrived in Jamaica from New York in 1960 to overthrow the government and demand repatriation to Africa. Ronald’s influence was insignificant, but his father Claudius was head of one of the largest, most influential Rastafarian communities. Ronald’s poorly planned insurgency was defeated and Rastas have never again been associated with this kind of violence in Jamaica, but there is a common thread between this event in 1960 and the Rodney riots eight years later that requires further elaboration.

I propose that the link is to be found in a philosophical conundrum which precedes the independence era and is located in the eighteenth century’s “age of revolution,” including prominently the American, French and Haitian revolutions, which all preceded and informed the emancipation of the British West Indian slaves in 1838. The American Revolution brought with it the idea of radical severance from colonial domination and the inalienable right to freedom of movement and the ownership of property. It stumbled, however, on the extension of those rights to the entire population on the shrill demand of the slave-holding states and concluded in the perverse clause of the early American constitution that black people could only be counted as fractions of a man.

The French Revolution, just a decade later, started with similar hesitations on

granting the rights of liberty, equality and fraternity to the blacks of the Antilles, but, under the Jacobins and spurred on by the revolt in St. Domingue, moved to full emancipation and the recognition of blacks as citizens. This, however, was short-lived; Napoleon, at the moment of his ascendancy, sought to effect a reversion of the emancipation declaration and to re-establish slavery in the formerly highly profitable colonies of the Antilles. He succeeded in the Eastern Caribbean but, in the crown jewel and now revolutionary St. Domingue, his brother-in-law LeClerc failed miserably and, following a sanguinary war, Haitian independence was declared by the blacks in 1804.

The victory of Dessalines' and Pétion's armies brought with it the possibility of a new world, for, of the three revolutions, only in Haiti did liberty in word and practice possess a full and universal meaning. There, blacks were free, not by foreign proclamation but by their own hand. The meaning of this for the plantation societies of the New World and, beyond them, for the wider colonized world of the early nineteenth century, was profound and this was understood perhaps most acutely by the slave owners and their governments. Haiti was forthwith quarantined to prevent the virus of its philosophical example from spreading, and then blockaded and forced into debt to forestall the possible emergence of an economic alternative to plantation slavery.

David Rudder, the outstanding Trinidadian calypsonian, is quite right when, in his 1980s' ballad dedicated to Haiti, he declares, "Haiti I'm sorry we misunderstood you." Haiti's poverty and decrepit politics have always been misunderstood in the Caribbean gaze, as deriving from some severe kink in the DNA of the Haitian people

and society and not imposed in the first instance from outside to achieve the clear end of global isolation.

Haitian marginalization, then, is the background to Anglo-Caribbean emancipation in 1838, which, inevitably, emerges as a compromise with plantation slavery rather than a radical rupture with a fatally flawed and oppressive system. It is the former slave owners who are compensated in 1838 with some £20 million – a princely sum then and a kingly one in today's currency – and not the vast majority of purportedly “free” blacks, who, following the debilitation of slavery, desperately needed resources to get a head-start in life.

For the following 150 years, it is this fatal compromise with the plantation – a direct outcome of the strangulation and failure of the Haitian experiment – which helps to determine the political economy and ruling philosophy of Jamaica. It is a political economy rooted in a marginalization of the vast majority on the fringes of the plantation and a philosophy defined by a partial interpretation of liberty accompanied by a denial of full social and cultural citizenship to the same overwhelming majority of African descent.

This is the motivating tension in the Jamaican dialectic that has been playing out since 1838 without, as yet, any decisive resolution. It is the tension which led to the Morant Bay rebellion of 1865, which found expression in Marcus Garvey and his Universal Negro Improvement Association (UNIA) in the 1920s, and which motivated the labour riots of 1938. This tension was also the force behind the Rodney riot of 1968.

Michael Manley's ill-fated regime of the 1970s was but a newer, though very important, phase of this process. The difference in the 1970s is that, under Manley, matters which had before found expression in popular movements took root in the

government itself, with profound consequences. If Manley's regime is to be historically judged on the basis of its social reforms, then the period from 1972 until 1980 is but one prolonged legislative process, encouraged at first by popular assent, to redress matters of rights, justice and citizenship that should have been concluded a century or more before. Yet Manley's regime failed as its policies became entangled within the web of cold war power pressures and he and his popular support dangerously underestimated the power of entrenched authority and traditional interests at home and abroad.

It is the defeat of Manley's regime in 1980, some thirty years ago, which ironically carries us to the present moment. The supreme effort of attempting to overcome past injustices, and the immense conservative resistance that it engendered, led to a stinging electoral defeat in 1980. With some justification, the events surrounding that general election are now widely described by supporters of both the opposing political sides as the "near civil war events of 1980."

Hundreds died in the internecine violence and both parties armed their supporters in the urban centres of Kingston, Montego Bay, May Pen and elsewhere. Rude bwoys, or the leaders among them, by a rapid process of militarization, became what we today describe as "Dons." Communities that had previously been linked by family and tradition became divided and impermeable armed garrisons. The hope and possibility for a better life, which had been captured in Delroy Wilson's song "Better Must Come" and used effectively by the People's National Party in the 1972 election, shattered and dissipated.

The last thirty years can be understood as a long interregnum in which the features of this moment of defeat have been painfully playing themselves out. I have called it elsewhere a time of "hegemonic dissolution." By this I mean the gradual erosion of a

consensus that had been forged and successfully operated for four post-war decades, from the time of the declaration of Universal Adult Suffrage in the 1940s, until the violence leading up to and electoral defeat following the 1980 elections. This effectively was an alliance between Jamaica's middle and working classes, significantly, though not exclusively, brown and black in their respective compositions. This consensus found expression beyond the narrow sphere of politics. It meant the concession of political dominance to the middle classes in exchange for the granting of social benefits in education, health, employment, housing, and the like, to the working classes.

This consensus was always fraught, but the fact that it brought real benefits is undeniable. Tertiary education is but one obvious instance. In the 1930s, only a handful of the very rich or a tiny cadre of scholarship winners could hope to travel abroad for a university education. Despite its deeply elitist character, by the twenty-first century, tens of thousands of Jamaicans and West Indians, broadly speaking, had benefitted from the University of the West Indies, formed in 1948 as one of the earliest manifestations of this social consensus. The university continues to survive and remains a beacon of possibility for many, but, elsewhere in the educational system at the primary and secondary levels, schools are under severe stress and no longer provide adequate avenues for social mobility, as was more evident in the past.

More obvious manifestations of social decay are to be seen in the sphere of crime. In a well-documented process, the political gangs of the seventies travelled to North America and Britain and became the ruthless "posses" of the 1980s and 1990s. These gangs accumulated wealth far beyond that of their sponsors – the Jamaican political parties – and returned home in an inverse relationship to their original patrons.

This of course is the context of the present unhappy and unsustainable impasse between the United States and the Jamaican Government over the US request under existing treaty for the extradition of one of the most notorious “dons” to face trial on a variety of criminal charges. It is perhaps inappropriate to comment on the details of these still very current events, except to suggest that it is this impasse that best mirrors the significant erosion in notions of order, authority, and of right and wrong that pervades all levels of society, and is a very accurate, if sad, description of the present state of the country.

Equally accurate descriptors are to be found in the sphere of popular culture. The trendy music of the 1970s, often described today as “classic reggae,” was never a single genre, but incorporated a variety of styles and lyrical emphases. Thus, the notion that all classical reggae was a version of Bob Marley and Peter Tosh, with their philosophically inclined and often militant lyrics, is as wrong as to suggest that all contemporary dancehall music is associated with so-called slackness or constitutes a paean to crass materialism.

Yet it would be equally false to propose that nothing has changed. I think it is reasonable to assert that the dominant trend in 1970s’ reggae was the search for some notion of collective liberation. This took a variety of forms, including Pan African unity, as in Marley’s “Africa Unite,” or repatriation to a better place, as in Dennis Brown’s “Promised Land,” both of which share a common search for a collective endeavour in order to overcome adversity. Rarely is there to be found the nihilistic surrender to personal and outward manifestations of wealth that are a stock feature of contemporary dancehall music. Neither, for that matter, is there the divisive notion that self-definition

and survival are only possible within the narrow confines of a street gang.

Counterpoise, for instance, George Nooks' excellent mid-seventies' appeal against emerging garrisons and political warfare, "Tribal War" ("Tribal War, we don't want no more of that...tribal war a nuh that we a defend..."), with the current "Gully-Gaza" dispute, in which deejays Vybz Kartel and Mavado foster and create virtual tribes for public relations purposes. In an unfortunate instance of life imitating art, these messages feed back into the community, fostering hostilities far beyond the boundaries of their original geographical spaces. While listening to a web site with the latest soca from this year's carnival in Trinidad, it was saddening to hear one artist echoing, more than a thousand miles away from its origins, the refrain of the Gully-Gaza dispute.

Hegemonic dissolution, then, is this prolonged three-decade moment of social decay, initiated by the collapse of the social consensus that emerged around Universal Adult Suffrage and which came crashing to the ground after the 1980 election. It is characterized by the growing inability of the political system to deliver the promised goods of improved living conditions, by a weakening of the social order through which people no longer automatically adhere to common notions of law, order, and of right and wrong. It is recognised by a loosening of the social glue that holds families, communities and ultimately the nation together, through mass migration leading to the breakup of families and the emptying of formerly settled rural communities. And it is branded by the rapid assertion of nihilism and crass individualistic materialism over earlier notions of community effort, self-help and collective liberation.

These features, of course, are not entirely peculiar to Jamaica. Trinidad and

Tobago has, for instance, just passed Jamaica in its per capita murder rate, and violence, criminality, and corruption are on the increase in many Caribbean islands. The crude lust for wealth without effort is evident at the root of the ongoing world recession and in numerous international instances of financial irresponsibility or outright fraud, as in the financial scandal around the Madoff Ponzi scheme and, closer home, David Smith's Olint empire.

Yet, if a way out of the imbroglio is to be charted, then the peculiar history of individual cases must be excavated in order to search for clues that might help in a possible solution.

I've heard many people from within and outside Jamaica, who, in attempting to propose a way out of the country's parlous economic state, suggest somewhat straightforward macro-economic solutions. The answer, some argue, is simply to increase taxation and reduce budgetary expenditure to acceptable levels. Others argue that to address the unacceptably bad crime statistics we need to pour more resources into the security forces or to redeploy them in a more effective manner. However, through the lens of our previously mooted notion of hegemonic dissolution, both of these proposed cures, while containing justifiable arguments, are severely flawed. A balanced budget in Jamaica's current context requires not just a determined minister of finance, but also a population willing to abide within the terms of the reduced items of expenditure or, more pointedly, the increased items of taxation.

This is only feasible with a renewed consensus in which the overwhelming majority accept, first, the authority of government and, second, the necessity for appropriate austerity measures. If neither of these conditions prevails – in other words, in the

absence of a social consensus – there can be no realistic budgetary balancing.

Similarly, the notion of pumping more money to the security forces implies that the security forces are themselves free of the deeply debilitating features that are characteristic of hegemonic dissolution. Pumping more resources implies that these resources will be put to the legitimate end of fighting crime. Recent events in Jamaica, in which, as some here may be aware, a group of policemen was found diverting weapons from the armoury for sale to gunmen for personal gain, suggest not only the extent of the decay, but also the degree of irrational opportunism implicit in the present moment of greed and personal salvation. For it doesn't take a genius to recognize that the weapons being sold to the criminals will likely be turned against the very policemen or their close associates who are momentarily benefitting from the illegal transaction.

The options, if ever there are simple options to immense and deep-seated social roadblocks, are limited. The first, if things are allowed to drift, will be a more rapid deterioration in law, order, governability, and the quality of life in Jamaica. The idea that Jamaica is a failed state, as mooted by some commentators, is definitively not the case today. I, like tens of thousands of citizens, live a normal life, ferry my children to school, work hard and pay the bills, albeit with a careful eye on personal security. In a failed state there is no security and the classic Hobbesian formula of a "war of all against all" prevails. Jamaica still remains a vibrant society with many spaces for social interaction and the real possibility of social and political renewal. However, that rekindling will not happen, and the real possibility of descent into failed-state territory exists, if the present path of "business as usual" is followed.

Elsewhere in my book *Envisioning Caribbean Futures: Jamaican Perspectives*, I

have made specific proposals of some of the elements that might be necessary if a path of renewal is to be pursued. Among them are:

- The urgent planning and convening of a Constituent Assembly of the Jamaican People at Home and Abroad. This would be a series of meetings in the island of Jamaica and its diaspora that would initiate a conversation around the terms of a new consensus, including elements of rights, reform of the existing constitution, and the compromises necessary for political and economic renewal, and new social arrangements for the rest of the century.
- A determined process of redressing some of the material imbalances of the past rooted in the skewed emancipation arrangements. As suggested previously, the lopsided arrangements around emancipation gave compensatory benefits to the “haves,” and nothing to the “have-nots.” There is the real possibility, in the wake of the imminent collapse of the sugar industry and the fact that the majority of sugar lands are owned by the government, to consider land reform based on the redistribution of government’s sugar lands. This would bring Jamaica in line with the East Asian economies, where, in almost all instances, land reform, significantly equalizing the differences between the poorest and the richest, the rural and the urban, served as the necessary prelude to the rapid development of those economies.

- A new deeper democracy, with enhanced transparency to address the corruption that is implicit in political funding and the possibility of the state being compromised by wealthy drug interests. One of the most corrosive factors in Jamaica today is the deep, cynical distrust of all things political. Only a process of enhancing transparency, so that all transactions become self-evident, and of deepening democracy, in order to include the widest ambit of the people in government, can address this reality. At the top of the list might be included legislation for the recall, through careful procedures, of non-performing members of parliament, and the establishment of constituency committees, with multi-party and community membership to oversee the fair distribution of scarce benefits.
- A rethinking of the ethical foundations on which Jamaican and, by extension, Caribbean society is built. The question of a resuscitated notion of ethics is at the heart of the proposals being advanced here. Without a new look at the meaning of life, what is right and what is wrong, what is the purpose of community and why we should live together in peace, and, ultimately, what is the basis on which we should live together as a nation, then nothing is left but power, atomization and self-fulfillment.

These are only four somewhat dry proposals and they are not accompanied by a road map as to how to implement them. There is never a road map. It requires real people on the ground to see the urgency of the situation, the impossibility of an easy way out, and the bankruptcy of the present path.

But if we were to begin, then I suggest that the conversation must start with representatives of all the political parties and of non-partisan citizens meeting in their workplace, schools, and communities, with one intention – how to start a national conversation that will lead in the direction of a Constituent Assembly of the Jamaican People at Home and Abroad, with ultimately, the power of establishing binding social and political arrangements.

Only then will real people take ideas like these, digest them, discard what they find irrelevant, and engage in the process of bargaining, negotiating, and trading, and when these processes are driven by a genuine desire to participate in social life, and in so doing find creative ways to regenerate family, community and nation, will we re-discover the true and long-lost meaning of politics.

I end with a quote from my friend, the Barbadian poet and historian (though we claim him as Jamaican and he is, in fact, truly Caribbean) Kamau Brathwaite. I have used it before but it remains entirely appropriate to capture this notion of human creativity that is required:

I
Must be given words to shape my name
To the syllable of trees
I
Must be given words to refashion futures
Like a healer's hand
I
Must be given words so that the bees
In my blood's buzzing brain of memory
Will make flowers, will make flocks of birds
Will make sky, will make heaven

The heaven open to the thunder-stone and the volcano
And the unfolding land.

THE CARIBBEAN DIASPORA AND BRAIN CIRCULATION:
Possibilities for the Empowerment of the Caribbean region

Kerry-Anne Roberts-Kasmally

Abstract

Caribbean migration has been a central feature of the region's history for the last 500 years but today, the migration of its skilled and educated citizens is of particular importance since this outward movement of persons has created a significant overseas diaspora. As such, the Caribbean diaspora may be seen as a means by which the region can empower itself in an ever-changing international political economy. It is in this context that the Caribbean can find new ways of engaging its diasporic communities. The realities of the ongoing global financial crisis and the recession of 2009 mean that over-reliance on traditional remittances threatens to destabilize and nullify the region's ability to chart its own development. This paper evolves from a wider study on the Caribbean diaspora; it seeks to advance ideas on how the diaspora can contribute to development beyond that which has been facilitated by remittances. The research is therefore a think piece that strives to advance the concept of 'brain circulation.' It goes further by evaluating the extent to which 'brain circulation' can contribute to the creation of knowledge-based economies, provide space for greater economic governance, and empower the region to own, control and use knowledge for its further development.

KEY WORDS: Caribbean diaspora, migration, brain circulation, brain drain, empowerment

INTRODUCTION

As the Caribbean enters the second decade of the 21st century, issues of leadership, governance and empowerment continue to be of prime topical interest. The changing international political and economic landscape necessitates the entire region becoming more outward looking in its quest to advance developmental goals and objectives. For the Caribbean region, the inability to “attain [its] long-run development objectives” (Lewis 1976, 122) proves disadvantageous to efforts geared at promoting regional governance, empowerment and sustainable development. At the same time, Caribbean states exist in a very different ideological, economic and political arena from that of decades past.

They must now contend with fading preferential treatment, changing international financial rules and regulations, the rise of new world powers, the decline in tourist arrivals and the failure of traditional industries such as banana production. These challenges are compounded by the frequency of natural disasters and the devastating effects which these have had on the economies of Grenada, Cuba, Haiti, Jamaica, and St. Lucia, among others. The changing political landscape has also meant that the region has to form alliances with non-traditional trading partners in Africa and Asia, particularly China. It is under this milieu that the Caribbean diaspora can be seen as an important transnational actor, capable of influencing domestic and international policies.

Caribbean nationals living, working and studying abroad have been traditionally valued for the remittances they send back to their homelands. While the intention is not to utilise, delineate or diminish the role played by traditional forms of remittances, there is a need for the Caribbean diaspora to be leveraged in a greater and more dynamic way. This therefore means that the Caribbean region should be prepared to woo and

utilise the intellectual capacity of their diaspora. That may mean that engaging the intellectual capacity of the diaspora will allow the region to reverse the 'brain drain' phenomenon; encourage 'brain circulation' and empower the region as its people learn how to become creators of knowledge, leaders in the use of new technologies, and innovators of high-end goods and services. Such effort becomes especially crucial since the migration movement not only comprises unskilled persons, it also includes significant numbers of highly skilled, trained, and educated workers.

THE PAST, PRESENT AND FUTURE STATE OF CARIBBEAN ECONOMIES

The Caribbean region has a long history of plantation economies dominated by mono-crop industries owned by multinational corporations (MNCs). This has resulted in a situation where the region's development has become a function of exogenous factors, including international commodity prices and foreign models of development, as well as MNC objectives. As St. Cyr notes, "Caribbean countries lie in close proximity to the world's most developed economic systems yet they are characterised by a few critical facts which set limits on the nature and possibilities for performance in the Caribbean" (St. Cyr 2005, 119). These dependent-style models of development have limited economic growth and development in the region, despite attempts at nationalising key industries, creating high-end tourism markets, and diversifying economies away from traditional mono-crops.

According to Demas, "Contemporary economies of the English speaking Caribbean were formed as appendages to the British economy in the historical phase of Mercantilist and Capitalist expansion" (Demas 2005, 88). Regional economies were

thus treated as derivatives created purely for the interest, conquest and development of metropolitan economies. Williams (1994, 85) observes that for British colonisers, “the tobacco colonies sen[t] home no such wealthy planters as the sugar islands in the West Indies.” It should also be understood that the end of slavery in the nineteenth century was not the result of benevolence on the part of the British colonisers; rather, it was a decision based on economic prudence.

The result of such economic conquest has been the institutionalisation of the infamous “Plantation Economy which [in the Caribbean] has undergone little structural change after 300 hundred years” (Best and Levitt 2009, 13). And as Demas posits:

The challenge posed by the old plantation system which reigned in the English speaking Caribbean from the middle of the 17th century to the 19th century was the building of a New Order – resting on a genuinely integrated society with an autonomous culture and value system, a national economy providing full employment and a rising standard of living – is yet to be, [even] after one hundred years of emancipation. (2005, 89)

Therefore, attempts aimed at achieving economic and political empowerment have always been exacerbated by problems such as low living standards, increasing levels of poverty, unemployment, economic dependence, and a lack of economic and educational opportunities. This is not to say that the region has not attempted to liberate itself from these fetters, but since the beginning of the 1950s when Sir Arthur Lewis’ Industrialisation by Invitation (IBI) strategy was crafted, the state of the global economic order ensured that: (1) Caribbean economies remained under the sphere of influence of

its metropole (for the English speaking Caribbean, that was Britain); (2) that Caribbean economies were restricted to terminal activity, e.g., primary production; (3) that there was free convertibility with metropole currency; (4) that the metropole determined the origin, destination and carriage of trade, and (5) that Caribbean output was disposed of in its metropole. Best (2005) suggests that those “rules of the game resulted in the plantation legacy which represent[ed] an endowment of mechanisms of economic adjustment which deprived [and continue to deprive] the region of internal dynamic” (Best 2005, 44 and Best and Levitt 2009, 13).

By the 20th century, accelerated globalisation processes, the loss of traditional preferential treatment and the current World Trade Organisation (WTO) rule-based system continued – and continue – to derail Caribbean development. Within that setting, the region has had to grapple with the reality of Neoliberal Globalisation and the philosophy of the New World Order (NWO) proclaimed by former US President George W. Bush Sr. It is not surprising that within the Washington Consensus, the region was once again deprived of sustainable economic development. In the case of the Caribbean, “as for many in the developing world, globalization has not brought the promised economic benefits” (Stiglitz 2002, 5). It was under such conditions that “CARICOM countries have [had] to lift their sights towards increasing participation in a global economy which is unfolding in many ways” (Time for Action 1992).

THEORISING THE CARIBBEAN DIASPORA

In the 1950s and 60s, the migration of “unskilled workers from the region was [initially] seen as a safety valve for unemployment and an important adjunct to national incomes”

(Dawson 2007, 2). On the one hand, this outward movement of persons from the region has created a significant overseas diaspora, that is, “a dispersal of a people from its original homeland” (Butler 2001, 189). To explain such movement, Thomas-Hope (2002) identifies various “pull” and “push” factors, including historical, economic, political and societal considerations. Figueroa holds that, “from the Caribbean perspective, migration can be seen as a fluid process with various cycles” (Figueroa 2009, 250). Within these cycles, migrants might be classified as contract migrants, never-to-return migrants, part-life, or family migrants. For the homeland, the prospect of tapping into each group might be a viable option, but it is not without obstacles since each group represents varying values, desires and willingness to contribute to development of the homeland. Thus, for example, “The contract worker may remit more than the family migrant since remittances may be part of the contract obligation” (Figueroa 2009, 245).

On the other hand, the never-to-return migrant may sever all ties and never contribute to homeland development since the decision to migrate may have been born out of a traumatic situation and may “involve a complete family migration” (Figueroa 2009, 246). Examined in this way, knowing which migrant groups to tap into as a means of aiding development becomes an important task. Many Caribbean writers (Orozco 2003; Figueroa 2009; Nurse 2004 and Nettleford 1988) highlight the potential of the Caribbean diaspora, especially since it involves such a massive “flight of intellectual capital,” that is, knowledge, education, skills, training and experience. For the Caribbean, the resultant ‘brain drain’ fosters even more vulnerability in a global arena in which developed countries’ competitive drive is matched by their rapid technological development and innovative models of development.

According to Briguglio (2004), such occurrences make “small states more vulnerable and less resilient” in an ever-changing international arena. But even worse in many ways, the migratory process which began with a coerced movement has now been replaced by one which can be “regarded as more obsessional than rational” and the result of this ongoing migration obsession means that the Caribbean has lost, and continues to lose, “its skilled and educated people” (Thomas-Hope 2002, 17). The statistics are noteworthy:

Caribbean countries have lost 10-40 percent of their labor force due to emigration to OECD member countries. The migration rates are particularly striking for the highly skilled. Many countries have lost more than 70 percent of their labor force with more than 12 years of completed schooling – among the highest emigration rates in the world. Simple welfare calculations suggest that the losses due to high-skill migration outweigh the official remittances to the Caribbean region. (Mishra 2006, 1-5)

Such high regional ‘brain drain’ levels “may well be the normative response to the concept of a global community and a means of extending the limits of small island opportunities to incorporate a wider world” (Thomas-Hope 2002, 20). As such, the Caribbean diaspora can be classified within the contemporary period of diasporisation. Plaza (1998) further suggests that, “university educated Black Caribbean-born men living in Canada [have] developed coping mechanisms” to deal with discrimination they encountered. These include frequent visits home, becoming entrepreneurs and

pursuing upward mobility in the host-land, transferring wealth back to the homeland, and an eventual return home. To the educated migrant, the greatest device for coping with host-land discrimination is a permanent return to the region, but Plaza further contends that these skilled migrants are also in denial, for they hold an image of “home” built on assumptions that “life is simple and issues like discrimination and racism do not exist” (Plaza 1998, 257).

Accordingly, until permanent return is possible, educated migrants continue to seek affirmation by maintaining ties to the homeland via family members and friends. Notwithstanding that, the Caribbean has failed to capitalise on the existence of its entrepreneurial class and the social mobility achieved by its diaspora. This is partly because the diaspora’s contribution to development has remained in the traditional realm of “cash or kind” remittances – a myopic approach that has militated against the transfer of knowledge, skills, the entrepreneurial migrant spirit, as well as their creative potential which is capable of empowering and transforming the region’s economies.

CARIBBEAN BRAIN DRAIN AND BRAIN CIRCULATION

Unfortunately, concepts such as “brain drain” and “brain circulation” are currently better dealt with and promoted by countries such as India, China, Pakistan, Ireland, Nigeria and Brazil. From the Caribbean perspective, the contribution of its diaspora has long-rested in the realm of remittances. The “brain circulation” concept speaks to the transfer of knowledge; skills, professional experience, and expertise; of cross-cutting techniques, the establishment or revitalisation of a skills pool, and the creation of dynamic and innovative businesses using international best practices. However, also

from the Caribbean perspective, the major impediment to engaging this important concept remains its over-dependence on remittances. Thus, for example, remittance figures “grew by 11 percent between 2006 and 2007, and have more than doubled since 2002” (Rathna et al 2008, 1).

Such a narrow-minded response to its diaspora has limited the possibilities of 'brain circulation' and threatens the ability to fully engage the diaspora. Prospects for the region's economic growth accordingly remain tied to exogenous factors instead of those propelled by the creation and ownership of knowledge. It is therefore no surprise that the cost of migration far outweighs benefits derived from the total value of remittances to the region.

For the Caribbean then, the overall cost of the migratory process has meant that:

- (i) The most productive and educated Caribbean nationals are lost to developed countries.
- (ii) Many Caribbean islands are continually subsidizing the developed world in the form of knowledgeable, skilled and talented workers. This subsidy is reflected in regional education systems since primary, secondary and tertiary education is heavily sponsored by area governments.
- (iii) The movement of educated persons from the periphery (undeveloped) country to the core (developed) country results in a severe human resource deficit, “suggesting that these sending nation[s] are at risk of depleting their supply of natural intellectual talent” (Schuster 1994, 437). For instance, countries like Jamaica, St Vincent, Barbados, and Guyana “have lost more than fifty percent of

the labour force in the tertiary education segment and more than thirty [percent] in the secondary education segment” (Sahay et al 2006, 226).

- (iv) The loss of young migrants has further implications since “in the year 2000, six Caribbean countries [had] already found that more than 10 percent of their populations [were] over the age of 60 years and most of the other countries in this hemisphere [were] expected to reach this mark around the year 2010” (Cabness 2004, 22). It is in light of such constraints that the region must be able to craft space for greater economic governance, empowerment and leadership.

WHAT POSSIBILITIES EXIST FOR REGIONAL EMPOWERMENT?

In the Caribbean region, possibilities for real empowerment have to include areas of knowledge creation and technological advancement, as well as the continuous acquisition and use of skills, knowledge and innovative ideas. The Caribbean diaspora forms an important and unconventional means through which the region can empower itself to survive in a technologically driven, increasingly hostile trading environment.

According to Mohammed (2001), “Caribbean states must make the conceptual shift away from maintaining the status quo.” The time has come for the region to embrace ICTs and use its tools to engage the diaspora beyond financial remittances, in order to enhance its level of development. Such empowerment is possible if the region is able to (1) command the use of technology and state of the art production methods, practices and attitudes in its manufacturing industries; (2) transform traditional mono-crop economies into knowledge-based ones that foster innovation, creativity and international best practices; (3) increase the skills and sophistication of its labour force

in line with the demands of knowledge-based economies, and (4), utilise ICTs to electronically engage the diaspora as a crucial agent in development, wherever they are located in the world. These requirements become necessary since “within the last decade, globalization has been fuelled by advances in information and communications technologies (ICTs), with powerful players utilizing IT capabilities” (Mohammed 2001, 69) to gain competitive advantages over less developed states. It becomes apparent that the use of ICTs in the transfer of diasporic skills, experience, knowledge and entrepreneurial capabilities from the host-land to the homeland, is imperative.

HOW CAN POSSIBILITIES LEAD TO GREATER REGIONAL EMPOWERMENT?

In their many attempts at regional governance and economic empowerment, Caribbean nations have embraced strategies ranging from the widening of regional integration to the liberalization of financial markets. The use of ICTs becomes instrumental in these strategies owing to the processes of globalisation, the growth of the Internet and the need to meet new trading environment demands.

In a new trading environment, the Caribbean region must be able to use ICTs “to innovate and upgrade the capacity of [all its] industries” (Porter 1990, 73). However, using ICTs is not a means to an end; rather, it is the enabling force through which ‘brain circulation’ can be realised. In this purest sense, ‘brain circulation’ “suggests that people can work abroad on a temporary basis and return to their home countries to productively invest newly acquired skills in the local economy” (Dawson 2007, 2). However, when ICT tools are incorporated into the process, “electronic transfers” of knowledge without requiring migrants to physically return to the homeland is enabled.

This is so since “increasingly high performance access, communication networks and new technologies” (Foray 2005,113) make virtual contact with the diaspora cheaper, faster and more interactive. According to Schware (2005), “ICTs are increasingly being recognized as essential tools of development...empower[ing] people, enhanc[ing] skills, and increas[ing] productivity.” The use of ICTs in the process of ‘brain circulation’ also provides a means by which the negative consequences and social costs of the ‘brain drain’ can be reversed, for as Brinkerhoff (2009) asserts, “Diasporas have become essential to many national, economic and political agendas, especially to cash-strapped developing countries.”

Diasporic skills may be harnessed by using a variety of tools, including the Internet, telephone, wireless devices and other interactive forms of communication such as tele- and video-conferencing, holograms and laser projection. Technology can thereby act electronically to bridge the gap created by the migration of skilled citizens. Outcomes of this electronic “brain circulation” will provide opportunities for, and improvements in, (i) regional education (e-learning); (ii) human resource training (production methods, technological know-how, work ethics, motivation and mentorships); (iii) adapting best practice or international standards in regional e-business, and e-government services; (iv) entrepreneurship skills (creativity, innovation and competitiveness); (v) technical assistance and consultancy (telemedicine); (vi) recovery of social costs associated with ‘brain drain and, (vii) the creation of knowledge-based economies (international service providers and innovative businesses).

Thus, it seems evident that ICTs and the diaspora can jointly influence Caribbean development in four major areas: Education and training; entrepreneurship; tourism,

and non-traditional industries such as art, culture and film. The cumulative effect of this approach facilitates the creation of a knowledge-based economy with greater diversity, added value and innovation. Furthermore, development undertaken in this manner will allow for emphasis on sectors which have been neglected, especially in the area of entrepreneurship, and the previously-mentioned art and culture.

CONCLUSION

As a subset of the transnational community, the diaspora has increasingly become an important participant in international relations. For the Caribbean, its diaspora is also becoming a crucial component in the region's attempts at greater empowerment.

Accordingly, the diaspora may be viewed as being:

Deeply sympathetic to nation building...more inclined to invest their resources beyond the call of duty because their drive is more zealous and passionate than potential non-West Indian investors. Furthermore, the diaspora is amongst the best equipped to shoulder the responsibility as the sons and daughters who have proven their abilities in the global market place. (Rampersad 2007, 10)

However, despite their potential contribution to regional development, issues such as crime, political and economic stability, and national alienation and resentment threaten to estrange the relationship between the diasporic community and the region. According to Lucas (2007), "the absence of institutionalized platforms to organize [members of] the diaspora and leverage their collective talent and influence" makes

their inclusion in development even more difficult. Thus, the International Organisation for Migration (IOM) suggests that policies to co-opt the diaspora must include “enabling, inclusionary partnership and catalytic roles.” Further, these roles must be pursued at the regional and individual country levels, as well as at the diasporic level.

One significant step has been the creation of specific government ministries or departments to foster a deeper relationship with its diaspora. For example, Dominica has strategically incorporated its “Ministry of Diaspora Affairs” into the “Ministry of Employment, Trade, Industry and Diaspora Affairs.” Moreover, in its “Dominica-Diaspora Policy” the country has sought to include the diaspora in investment, intellectual sourcing, provision of professional services and national development.

Another important prerequisite for engaging the Caribbean diaspora is an understanding of the skills, expertise and knowledge that reside within the group. Such a consideration may seem obvious or simplistic; however, migrant information and privacy concerns may impede governmental ability to create and maintain databases from which skills can be harnessed. For example, in an attempt to encourage its diaspora to register its gamut of skills, “the Jamaican Government has agreed to allow such persons access to government ministries and agencies, permitting them to bid on local contracts and possibly receive discounts on travel to Jamaica” (*The Express Newspaper* 2010).

In the case of Trinidad and Tobago, the private sector, inclusive of the manufacturing and commerce industries, comprise the crucial stakeholders who own dynamic business within the country. For the private sector, partnering with the diaspora becomes an important medium for the “promotion of joint ventures, alliances with

homeland and host-land associations and network collaboration which create opportunities between source and destination countries as well as enhancement of diaspora market demand for Caribbean products and services” (Downes 2006, 37-8). Moreover, private sector support and utilisation of the diaspora to “train Nationals as international service providers who can take advantage of the expanded market access” (Dawson 2009, 12) is crucial. While proactive strategies and policies are required at the level of the sending countries, the diaspora as a transnational group must be available, able and willing to contribute to sustainable development in the region. According to Esman (2006), the contribution of the diaspora to a country’s development hinges on its capacity as well as its desire to make such a contribution. Thus the approaches taken by the region and its governments are crucial in creating opportunities to enable input by those within the diasporic community. Similarly, “institutional frameworks within which the diaspora can be encouraged and coordinated to maximize its developmental impact” (Dawson 2009, 5) are of equal importance.

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PROFILE OF THE HIGH PERFORMING PRINCIPALS:

Some Revelations of the Jamaican School System

Dr. Disraeli Hutton

Abstract

This study explored essential factors which define high performing principals in the Jamaican school system, using a mixed method research approach. Of 999 principals in the public education system, 125 who satisfied the criteria for high performing principals were identified by regional directors, consulting with education officers and senior education officers. Twenty (20) principals selected from the six regional offices, along with the regional directors, were interviewed to determine the characteristics, abilities

and behaviours associated with high performing principals.

Data analysis focused on placing factors associated with high performing principals into categories based on the consistent patterns of behaviours, characteristics and actions which emerged during the interviews. Nine categories were identified, revealing that high performing principals: (a) articulated a philosophy of self and school, (b) emphasized the importance of personal characteristics, abilities and qualities, (c) practiced situational and transformational leadership behaviour, (d) provided a supportive platform for student growth and development, (e) focused on students' academic performance and achievement, (f) emphasized the need for strong staff involvement and support, (g) recognized the psychological benefits of a well-managed school plant, (h) engendered broad-based community relationship, and (i) enjoyed a cordial if sometimes fractious relationship with the Ministry of Education (MOE)

KEY WORDS: high performing principals, leadership, education, schools, students, community, resources, performance, academic achievement

BACKGROUND

The performance of the Jamaican education system has been a long standing concern, (Vision 2030 Jamaica, 2009), a concern that was heightened after *Daily Gleaner* Staff Reporter Glenda Anderson (2004) published the findings of a Dennis Minott study on the Caribbean Secondary Education Certificate (CSEC). In addition to criticising the poor performance of students, Minott asserts that the unacceptable performance of schools in CSEC derived from ineffective leadership from principals. Logically linking with Minott's assertion was the Task Force on Educational Reform's recommendation to strengthen governance of the education system. As the report unambiguously advises, "all principals are to get continuous training in school management and leadership in a variety of accredited institutions" (2004, 36). While it is unlikely that the quality of leadership was the only or even the main factor responsible for the weak performance of students in the CSEC examinations, the leadership provided by principals plays an important role in the overall performance of the education system.

Jamaican public school principals traditionally earned respect from citizens in communities where their schools were located and likewise from the general public because they were perceived as performing an admirable job of managing them. Until the 1960s, the majority of children attended all-age schools up to age 15 (grade nine). That was enough, then, to equip the learner with a basic education – that is, provide sufficient schooling for a population in which the vast majority performed jobs that required minimal or no skills. With the passage of time, however, demand for a more effective educational system became a deafening cry. School leadership has been pinpointed as an important area in ensuring improved performance and as Dinham indicates:

There can be little doubt from an examination of research findings that leadership is important in developing effective, innovative schools and in facilitating quality teaching and learning. ... This is particularly the case in education where so much of what happens depends on collaboration, commitment, trust and common purpose. (2005, 340)

The study on high performing principals sought to identify those who were rated as such by their supervisors and then to elicit from those so identified, what they considered to be the essential factors associated with their effective performance.

CONCEPTUAL FRAMEWORK

The conceptual underpinning for this study rests on the notion that the characteristics and behaviours of principals who demonstrate high performing leadership are determined, among other factors, by the given context in which they have to function.

While schools across the world may have similar goals and objectives, the situation under which Jamaican principals can demonstrate high performance will require different strategies, skills, competencies and abilities.

Kopp, MacGregor and Watson (2008, 3) emphasise the fact that leadership effectiveness can be difficult to evaluate because the organization must deal with other constraining variables. For developing countries such as Jamaica, many of these variables may strongly differ from those that obtain in developed countries. For example, massive school overcrowding, poor and inadequate facilities, and an unacceptably high level of illiteracy are just some of the contextual factors which require a specific kind of leadership intervention by principals in Jamaica (Task Force on Educational Reform. 2004, 33).

With context being a vital factor in determining the nature and type of leadership exhibited by principals, it is therefore incumbent on researchers to identify what is unique, specific and important about high performing principals in the Jamaican public education system. Researchers must also be mindful that there are literally hundreds of factors, characteristics and behaviours on the international landscape which seem to be associated with effective or high performing principals. Further, effectiveness may not be viewed and measured in the same way as in developed countries which over a significant period of time, have achieved qualities of performance resulting from systematic intervention.

Developing countries such as Jamaica are at a stage where principals are required to focus on a wide range of responsibilities in order to have real impact on the performance of the schools they lead. As part of the attempt to build a culture wherein

change is based on evidence emanating from the research that reflects the experiences of the principals themselves, there is likelihood of a greater affinity to the findings and increased possibility of those findings being incorporated in the package of strategies used to improve the role and effectiveness of principalship. In addition, the evidence and findings may represent best practices which can be readily transferred within the Jamaican context and also used as a basis for verifying those factors which have already been associated with high performing principals.

PURPOSE OF THE STUDY

This study is intended to identify the high performing principals in the three types of schools (primary, upgraded secondary and traditional high) in the Jamaican public education system and to determine the factors associated with their perceived effectiveness. This article focuses on the factors which high performing principals associate their institutional leadership success with attainment of recognisable performance.

RESEARCH QUESTION

What characteristics, behaviours and qualities do high performing principals in the Jamaican public school system reveal, that explain why their supervisors positively rate their performance?

THEORETICAL FRAMEWORK

The literature on leadership is replete with broad and specific factors which are

responsible for leadership effectiveness. Indeed, citing Yukl (1994), Hoy and Miskel note, "The leadership literature is huge with over 5000 published studies, and the number continues to increase by the hundreds each year" (2005, 407). One can easily conclude that the study in the area of school leadership is exhaustive, but the fact is, there is continued effort in both developed and developing countries to adequately address the problem of performance in the school system. Thus, research continues apace on effective and high performing principals. Rossow (1990, 34) indicates that while there is agreement that the role of principals is one of the elements responsible for effective schools, there is no such accord regarding factors that are responsible for this impact. Further, even if the role of the principal is vital for effective schools, that role is changing and becoming even more complex.

EARLY LEADERSHIP STUDIES

The study of leadership can be divided into three phases. The first is represented by trait leadership which is based on the study of the traits phenomenon. Linking traits with effective leadership, Hoy and Miskel (2005, 380) divide traits into three categories: Personality, which includes self-confidence, stress tolerance, emotional maturity and integrity; motivation, which embraces power needs, task and interpersonal needs, expectations and achievement orientation; and skills, which includes those which are technical, interpersonal and conceptual.

The second phase of leadership studies focuses on leadership behaviours which gained prominence as a result of the Iowa, Ohio State and Michigan studies. All three demonstrate that when attention is given to the human side of the workplace,

performance is usually enhanced (Hoy and Miskel 2005, 386; Lunenburg and Ornstein 2004, 153; Hanson 2003, 48).

The third phase of leadership studies is associated with the given situation in which leadership has to be practiced. For this approach, leadership emphasises the interaction of psychological traits, the behaviours of leaders, and actual situations which focus significantly around contingency and situational leadership (Lunenburg and Ornstein 2004, 154).

LEADERSHIP AND SCHOOL PERFORMANCE

Determining the factors responsible for effective schools has been the focus of intensive research for the past five decades. Three positions have since emerged. The first comprehensive investigation which considered the role of schools in students' performance emerged from a study conducted by Coleman (1966), which concluded that family background was central to the academic achievement of students and that the impact of schools was limited or none-existent (Coleman 1967, 8). This position came under severe criticism when numerous studies conducted in the 1970s and beyond, demonstrated that there was a relationship between school achievement and school improvement (Gamage, Adams and McCormack 2009, 3).

The second position related to students and school performance focused on the school factors which were responsible for school achievement. Based on studies and reviews relevant to the subject matter, Edmonds (1979, 16) acknowledged that the role of school leadership was a central factor in determining the quality of performance in schools. However, Edmonds also placed school leadership among the factors which

were responsible for effective schools (1979, 16). The third (and still emerging) trend was that while school leaders were critical to school achievement, distributed leadership would further enhance school effectiveness. And as Dinham notes, “The focus of attention has moved from leaders to leadership with the importance of delegation, collaboration, trust and empowerment being increasingly recognized” (2005, 341).

There is also a parallel view which says that even if leadership is playing a significant role in school and student effectiveness, schools’ and students’ performances can only be sustained and bettered by systemic improvements. As Peurach, Holmstrom and Glazer suggest, “The logic of systemic improvement marks a sharp movement toward the development of schools as rational systems organized to support student achievement” (2008, 3). Olson endorses this view by positing, “By approaching leadership as an organizational quality, institutional theory offers a more complex and less hierarchical perspective of social interaction and organizational dynamics than the more dominant technical-rational model” (2008, 8).

METHODOLOGY

Selection of High Performing Principals

A qualitative approach was used for the first phase of this study because the main objective was to determine the factors that were specific to the high performing Jamaican principals. Presented in Table 1.1 are the types of schools in the public education system. Both the regional directors and the central ministry share supervisory responsibility for the performance of principals.

Table 1.1: Types of schools managed by regional directors

Schools are divided into six regions, each supervised by a Regional Director					
Age	Grade	Types of Schools			
18	13	Traditional High/Secondary Schools (Grades 7-13)	Upgraded Secondary Schools (now classified as High Schools since 1988) (Grades 7-13)	All-Age Schools (currently being phased out) (Grades 1-9) Primary and Junior High Schools (currently being phased out) (Grades 1-9)	
17	12				
16	11				
15	10				
14	9				
13	8				
12	7	Primary Schools (Grades 1-6) (Note that some students after completing primary schools are sent to primary and junior high or even all-age schools. This practice has been almost totally eliminated)	All-Age Schools (currently being phased out) (Grades 1-9) --students move on to secondary schools, either traditional or upgraded	Primary and Junior High Schools (currently being phased out) (Grades 1-9) --students move on to secondary schools, either traditional or upgraded	
11	6				
10	5				
9	4				
8	3				
7	2	Early Childhood (Ages 3-5)	All-Age Schools (currently being phased out) (Grades 1-9) --students move on to secondary schools, either traditional or upgraded	Primary and Junior High Schools (currently being phased out) (Grades 1-9) --students move on to secondary schools, either traditional or upgraded	
6	1				
5					
4		Early Childhood (Ages 3-5)	All-Age Schools (currently being phased out) (Grades 1-9) --students move on to secondary schools, either traditional or upgraded	Primary and Junior High Schools (currently being phased out) (Grades 1-9) --students move on to secondary schools, either traditional or upgraded	
3					

Through written correspondence, regional directors were asked to identify effective or high performing principals who, based on their evaluations, were performing in accordance with international standards. Ten (10) factors were identified as criteria for judging and selecting these principals. The factors were based mainly on those published by Reynolds who indicates, "The field now has a body of agreed-upon insights into what constitute the excellent leadership qualities and methods shown by effective or exemplary principals or head teachers" ((2003, 1). Identified factors

included:

- providing a sense of mission for the school community and education in general;
- providing instructional leadership – focusing on the quality of teaching and learning;
- building strong relationships with the community, including staff, parents and key constituents, in a participative approach to the life of the school;
- providing hands-on monitoring of staff and school performance; and,
- improving academic performance – CSEC and Grade Six Achievement Test (GSAT) among others.

Although regional directors have overall responsibility for the operation of schools, they were asked to consult with the education officers who were directly responsible for monitoring and evaluating the performance of assigned principals and schools.

The education officers, together with the senior education officer for each region and the regional director were the panellists who selected the high performing principals. In addition, the regional directors were also required to rank the principals, based on their judgement of performance against the criteria established. This exercise produced a list of 125 principals placed into three types of schools – newly upgraded secondary schools, traditional secondary, and others, including primary, all-age, and primary and junior secondary schools.

Interviewing Principals and Regional Directors

Twenty (20) principals and six (6) regional directors were interviewed in order to identify factors responsible for the classification of high performing principals. The principals selected for interview were those who were ranked 1, 2 and 3 in each type of school for each region. Every principal was visited at his or her school and the semi-interview lasted between 30 and 60 minutes. In addition, all six regional directors who had supervisory responsibility for principals in the school system were interviewed. In both cases, interview guides were used as part of the interviewing process; however, the respondents were asked to speak freely about the activities, actions and strategies they employed to realise the high rating. Each interview was taped using an EMP3 player in order to retain the conversation and dialogue encounter with interviewees.

Selecting and Categorizing Factors Responsible for Principals' High Performance

Stake (2004, 160) points out that meaning can be derived from a situation after collecting enough information on identified instances. As each interview was conducted, efforts were made to categorize those factors responsible for the principals' performance. Fitzpatrick, Sanders and Worthen also advise that the analysis of data begins at the same time that its collection occurs. Further, the researcher "[or] evaluator is formulating categories, reviewing field notes, and collecting more information until different perspectives begin to be fully revealed" ((2004, 360). Based on this approach to data collection and analysis, nine categories were identified which reflected factors related to the approach and actions of the high performing principals.

Findings

Table 1.2 provides information on the number of principals identified as high performing, based on regions and school types. It is instructive to note that only 125 of the 999, or 13 percent of the principals were rated by the regional directors and education officers as being high performing. The data also show that approximately twice the selected number of principals came from regions 1, 5 and 6, rather than regions 3 and 4. One obvious reason was that fewer principals were identified as high performing in the latter two regions. In addition, regions 1, 5 and 6 had the highest population of principals from which to select.

The same pattern held true for the number of principals selected, based on school type. Most high performing principals were from the primary, all age and primary and junior high school categories, which accounted for more than twice the principals in the other two categories, the upgraded secondary and traditional high schools.

Table 1.2: The number of high performing principals (HPPs) identified, based on school types and regions

REGION	SCHOOL TYPE			
	Newly Upgraded Secondary School	Traditional High and Technical School	Primary, All Age and Primary and Junior High School	Total
Region 1	7	9	9	25
Region 2	4	4	9	17
Region 3	2	2	9	13
Region 4	3	2	8	13
Region 5	4	4	19	27
Region 6	9	5	16	30
TOTAL	29	26	70	125
% of HPPs	23.2%	20.8%	56%	100%

by school types				
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Information presented in this table was compiled from data provided by regional offices of the MOE'

Table 1.3 shows that 25.6 percent of the principals were in the age range 50–54, while 57.6 percent were 55 years and over. When these data are combined, 83.2 percent or 104 of the principals' ages range between 50 and 60 and over. This means that over 50 percent of the high performing principals will be out of the system within the next five years and 83.2 percent will be out within ten years. This trend is not unusual and a number of developed and developing countries are having the same experience (Normore 2004, 1). What is important to note is the fact that there were only 21 or 16.8 percent of high performing principals within the age range 35-49. Based on the data presented, most of the principals were over 50 years old, and in fact, only six were within the 35-44 age range. Extrapolating from the data, it is reasonable to suggest that the principals had to hone their skills over time, in order to become proficient in their role as principals. For these high performing principals, optimal effectiveness seems to be attained at the point of their retirement.

Table 1.3: Number of high performing principals (HPPs) identified by age and regions

REGION	Age of High Performing Principals (years)						Total
	35-39	40-44	45-49	50-54	55-59	60 and above	
Region 1	1	3	4	5	10	2	25
Region 2	0	1	1	5	9	1	17
Region 3	0	0	2	4	6	1	13
Region 4	0	0	2	6	3	2	13
Region 5	0	0	2	5	17	3	27
Region 6	1	0	4	7	15	3	30

Total	2	4	15	32	60	12	125
% of HPPs by Age	1.6%	3.2%	12.0%	25.6%	48%	9.6%	100%

Information presented in this table was compiled from data provided by the regional offices of the MOE

As a result of the interviews conducted among the principals and regional directors from traditional, newly upgraded and primary level schools, the following areas of emphasis emerged as essential points of focus in terms of the principals' performance. No attempt was made at the time to rate the impact of each on the categories related to their leadership effectiveness, but effectiveness in one or two categories would not create the level of impact which would enable one to conclude that a principal was high performing. Further, what was clear from the interviews was that all principals who were interviewed did not report that they exhibited the same level of emphasis on the factors identified.

The findings were classified into nine categories and each was further elaborated to provide a graphic picture of what principals reported regarding their beliefs, competencies, abilities and achievements. A further compression of the categories provided three broad areas or super categories: (a) personal competencies, (b) students' performance, and (c) relationship management. The matrix was created in order to better focus the reader on the potent performance indicators related to high performance principals. Nevertheless, these areas could be further explored to determine if they could help distinguish between strong and weak performing principals, especially during the probationary stage of the job. In addition, more studies could be conducted to determine if there is a relationship among these three broad categories.

Figure 1.1: Compressed categories of performance factors related to high performing principals

No	Personal Competencies	No	Students' Performance	No	Relationship Management
1	Articulate a philosophy of self and school	4	Provide a supportive platform for student growth and development	8	Engender broad-based community relationship
2	Emphasize the importance of personal characteristics, abilities and qualities	5	Focus on students' academic performance and achievement	9	Enjoy a cordial but sometimes fractious relationship with the Ministry of Education (MOE),
3	Practice situational and transformational leadership behaviour,	6	Emphasize the need for strong staff involvement and support		
		7	Recognize the psychological benefits of a well managed school plant.		

With a visual frame of the nine categories in context, the detailing of the characteristics, abilities and qualities of the high performing principals is presented below. Thus, the findings of the study show that high performing principals:

1. Articulate a philosophy of self and school which entails a strong set of beliefs and personal conviction about the role of education and the needs and position of the learner.

In an almost unified natural response, the principals shared a strong philosophy regarding the role of education and schooling in the development of the learner. They believe in the supremacy of the learner in the process of schooling and strongly feel that all programmatic activities conducted by the schools should be geared toward addressing the learner's needs and interests. The principals' own sense of commitment

to education results from their perspective that learning is the main vehicle to assist people to achieve economic independence and social mobility. Further, they see education as playing a vital role in personal development, providing the competencies to function in the world of work and realise potential. The principals believe that they could not be effective were there not a personal love for the learner and a confidence in young people's abilities to take the country to the next level of development. The beliefs and convictions arise from the principals' positive and negative experiences in the education system, from the influence of other principals and leaders who they know or have worked with over time, and from their own personal admiration for the profession.

The high performing principals embrace the tenets of the philosophy articulated by the MOE and the Task Force on Educational Reform which hold, "every child can learn, every child must" (2004, 11). They believe that even if all children cannot achieve established performance standards, they *can* all realise a level of performance that will allow them to function in society. One high school principal articulates her vision of the comprehensive approach she takes towards educating her students by pointing out that education cannot be limited to academics, particularly at the primary and secondary levels, but must involve the total development of the child. This principal further emphasises that the other areas of learning, including social, emotional and spiritual angles, are just as important as the academic aspects.

2. Emphasize the importance of personal characteristics, abilities and qualities, which are the central personal elements responsible for their success as principals in the school system.

The high performing principals see their role as the persons in charge of and responsible for the outputs of the school as important personal goals. They demonstrate

the personality, abilities, capabilities and personal drive to perform and achieve. One of them embraces his competitive nature by aspiring to be the best principal. In addition, although he highlights the fact that the possibility of failure brings fear, it does not deter his desire to be the pioneer who first implements changes that will benefit the education system. In other words then, the high performing principals seek to fully engage in those demands or problems that are challenging and that in order to overcome, require much determination, wisdom and fortitude.

They constantly reflect on the problems that schools must address on a daily basis and advance solutions which are shared with teachers and other constituents. They are motivated to action by their own successes and by the situations, incidents and individuals they encounter. The initial desire to become principal is never coincidental; these persons are inspired by the work, commitment and dedication of those whom they have observed, heard about, worked with or encountered from outside or inside the education system.

The high performing principals are self-confident and believe in their ability to provide leadership to enable the school to achieve the goals and objectives being pursued. They spend time literally on the ground, monitoring, observing and intervening in order to maintain and manage a balance between and among all facets of school activity. Both interpersonal and communication skills are assets exhibited by high performing principals; these qualities allow them to build personal relationships with staff members, students, the community and other stakeholders vital to generating trust and a climate of openness and respect.

3. Practice situational and transformational leadership behaviour, which is visionary, engaging, passionate, visible and demanding, but bolstered by

the collective energy of the staff and school community to achieve performance targets.

All the principals interviewed indicate that the action they take is based on the nature and type of situation to be addressed but they agree that their style, in the main, is definitely transformational. At the same time, the nature and complexities of schooling require that they generally seek the involvement of teachers and staff in making decisions. Much consultation goes on, especially in relation to academic matters. This is the most pressing concern for most of the schools, even though they are rated as high performing. The principals see their role as being critical in articulating and implementing the vision and mission of their schools. The business of where the school is headed, what is to be done and how it should be accomplished, are all major responsibilities. They operate within a context that is beyond the limits of the school, that is, a context where their actions are influencing and are being influenced by the needs of the immediate community and the society in general. Working closely with the teachers and the board in some cases, much time is spent clarifying their school's plan. In some cases, consultants are engaged to assist with the development of the plan.

High performing principals are true institutional builders. They seek to transform schools to a point where parents and students actively seek to enrol in the schools they manage, whether newly upgraded secondary, traditional secondary, primary, all-age or primary and junior high schools. These principals demand high quality performance from all constituents, and in turn demonstrate in words, deeds and actions the same or higher quality of performance. High performing principals are standard bearers of excellence for their schools; they constantly use the tradition, successes or 'good name' as platforms on which to build. They work with other principals, especially when

confronted with problems that may be impacting similar school systems. Even in small rural communities within a region or geographical area, best practices are identified and transferred. They promote a culture wherein continuous achievement is paramount to everyone in the school and apply leadership which is open, trustworthy and confident. Further, high performing principals demonstrate strong technical competencies which are apparent in how both academic and administrative matters are handled schools.

4. Provide a supportive platform for student growth and development, because they envision their most important role as facilitating the development and achievement of the students through programmatic activities that target their personal needs and aspirations.

It is clear from the principals' words that their interest in the students is not peripheral but stems from a deep commitment and affection for children and young adults, articulated on numerous occasions by the principals during their interview sessions. This dedication was most prevalent among the principals who headed primary, all-age and primary and junior high schools. Principals in charge of secondary schools seek to get close to the students in order to understand their concerns and needs.

One of the principals' primary functions is to inspire students to make greater personal commitment to their school and education. High performing principals provide structure to support activities related to all aspects of school life. This is rooted in the belief that the expectations of students are best realized in a system where guidance and support represent the central approach to how the school functions. This is evident in the discipline that is demanded, the academic rigour that is promoted, and personal development in terms of dress code and personal etiquette. Correct values and attitudes are emphasised on every occasion to guide student behaviour, both inside and

outside of school.

There is a clear belief that the school has responsibility for developing these competencies because there is no guarantee that the home is in a position to play this role. *In loco parentis* is truly alive even at a time when the popular view contends that parents must play a greater role in their children's schooling experience. In addition to promoting strong values and an ethos of responsibility among students, the principals also support children's performance through a wide variety of interventions, ranging from physical facilities, new and enhanced academic programmes, new technology including computers and software to augment learning, including literacy. In addressing problems related to following instructions, applying critical thinking and listening skills, one principal has developed a learning enhancement programme or curriculum guide, made available to all grade seven students and their parents. Its purpose is to inform both parents and their children what will be covered in the different areas of learning so that they can be better prepared for schooling.

Most of the interviewed principals regard their focus on facilitating the learning process as being essential if student performance is to be improved at all levels and in all types of schools. The challenges are significant, especially in the upgraded secondary schools and are clearly not absent from the traditional high schools. Literacy is one of the main challenges in primary schools, and these principals deem that the provision of an adequate and appropriate support system is vital.

- 5. Focus on students' academic performance and achievement because they are aware of the centrality of this goal to effective schooling; however, they differ based on school types, regarding what should constitute this achievement.**

The majority of high performing principals strongly hold that children should be given every opportunity to perform so that they can realize their own potential and worth. Therefore, alternative strategies must be found to assist the learner to demonstrate competencies that are marketable in the workplace or can earn a place in a tertiary institution. In the newly upgraded secondary school, this is achieved by adding new programmes or providing examination options. Students receive new curricula or programme options which include improved or new technical vocational programmes, music, performing arts, and more

In most cases these newly introduced options are not part of the set programmes offered under the aegis of the MOE. Instead they are funded by the schools themselves through fund-raising efforts and / or donations from private entities, both locally and abroad. The same approach is taken towards the examinations which students take. High performing principals feel that with the chronic learning problems facing some students, the Caribbean Secondary School Certificate (CSEC) should be complemented with other examination options. Students are therefore encouraged to sit a variety of examinations. These include the Secondary School Certificate (SSC), the Jamaica School Certificate (JSC), City and Guilds, and qualification testing in ICT programmes.

In the traditional high school where academic performance has remained at a high level, the concern for the principals is maintaining performance levels, but with incremental gains each year. The emphasis is on achieving higher grades in the subject passes each child earns. Learners are challenged to sit more subjects than those offered by the school, and they are expected to make high scores even though they are personally responsible for preparing for examinations. Targets for performance are

constantly revised and academic performance is monitored at regular intervals in order to identify deficiencies. For some schools, targets for student performance are tied to teacher evaluation and performance measures. Yet equally interesting is the move by some of these principals to get their students directly involved in community programmes designed to assist the infirm and disadvantaged. The aim is to provide assistance, but also to enhance values of kindness and giving.

For the primary and similar types of schools, student preparation for GSAT is the area of focus for high performing principals. One of the highest rated primary school principals indicates that her school has a strong academic orientation and while other types of learning are supported, academic learning is pre-eminent. She confirms that her school demonstrates exemplary performance in two national examinations, the Grade Four Literacy Test and the GSAT.

High performing principals seek to select or develop intervention programmes that target weaker students' needs. Providing training opportunities for teachers at the basic school level is one approach they use to address the problem of literacy at the primary level, but equally important is the parental involvement in counselling and training programmes that prepares them for direct participation in their children's learning processes. Some schools have instituted programmes which provide parents and guardians with the skills to support their children academically, while at the same time assisting them to cope in an environment with standards, rules and regulations.

- 6. Emphasize the need for strong staff involvement and support because they see the quality of the staff, and specifically the academic staff, as a critical factor in achieving excellence in academic performance and developing students' social and coping skills.**

One of the principals' primary roles is to recruit and retain competent staff who

will be able to effectively assist both school and principal in achieving challenging goals and objectives. Of importance is staff involvement in the decision making process, especially related to those issues that will affect them or the students with whom they work. Even where issues being addressed are not critical to their jobs or teaching and learning, teachers are consulted, because the principals recognize that their knowledge and experience may place them in a position to provide informed responses. Referring to the quality staff members working in her school, one principal boasts that the staff will even stay overnight to ensure things are in place if a function is being planned at short notice. She characterises them as persons who are caring and thoughtful.

High performing principals facilitate and support the continuous development of teachers in light of the students' changing needs and the determination that all teachers must be fully prepared to engage them in productive learning. As a standard, these principals also believe that teachers should have the required qualifications in order to be effective. This is especially true in regard to the content areas that the teacher is required to deliver. But it is equally true of teachers who lack the appropriate teaching techniques and strategies to teach effectively. The high performing principals establish and maintain a strong system of supervision of school and classes in order to ensure that the students' academic performance is properly managed. One of the major challenges encountered by principals is the quality of supervision, especially as it relates to successfully managing academic performance.

- 7. Recognise the psychological benefits of a well-managed school plant, which means that the physical environment and the quality of the facilities are true representations of the conscience of the school and the pride the school community has in itself and stakeholders.**

The biggest challenges, as echoed by high performing principals are the

presence of the shift system and overcrowding, which are features symptomatic of many secondary and primary, all-age and primary and junior high schools. They agree that their schools could improve performance much more rapidly if the required time and space were provided to enable them to function as they ought. Notwithstanding chronic problems with school plants and facilities, these principals are still challenging the odds: Some schools are adding classrooms using the school fees, funds donated by alumni and businesses, or funds from activities specifically aimed at raising money to construct buildings. These principals have installed equipment such as computers and software programmes to assist with literacy, and multimedia facilities to enhance teaching and learning. Because of the daily security threat being experienced in many high performing principals' schools, they have installed security features to safeguard both persons and property. Further, in order to make the schools environmentally friendly, they are creating green areas, not only improving on the aesthetics of school surroundings but also contributing to overall student health.

8. Engender broad-based community relationships, which are differentiated by school types but enriched by symbiotic relationships between schools and parents, especially in the case of primary and upgraded secondary schools.

The evidence is convincing that schools of all types that are performing outstandingly are those that have community as the base of their existence. However, the most successful at building community support are the traditional high schools. In addition to the traditional form of parent-teachers associations (PTAs), traditional high schools have systematically built strong alumni who have become the backbone of sustaining their facilities in terms of expansion and upgrading activities. Further, strong relationships have also been established with business organizations that provide a

variety of support ranging from equipment and facilities for academic programmes, to meal assistance for students experiencing economic problems.

The newly upgraded high schools struggle to build community relationships, especially among alumni. More progress is made in building relationships with business organizations, but they do not bring the level of consistent support provided by alumni from traditional high schools. Their short history is a mitigating factor. For all types of schools, the community approach is also present within relationships between principals from similar schools in which ideas are shared to deal with common problems. Thus best practices are effectively garnered from each other.

The involvement of parents in providing support for their children is a major strategy used by principals at the primary level. High performing principals are cognisant of deficiencies in parents' abilities to manage their children, so they implement training and education in parenting skills. This is especially evident among primary school principals, for in their schools, community relationships are particularly important. In some cases, training is provided in basic occupational skills or further education courses are offered, and, where parental literacy is a problem, high performing principals seek to provide classes to address it. This means that at least some schools with high performing principals are taking direct responsibility for enhancing the children's overall performance

High performing principals are less likely to blame the MOE for giving them weak students, especially those responsible for newly upgraded schools. Rather than attempting to keep change at bay, these principals expose the school to the opportunities and pressures brought by change. Instead of being inward looking, they

are aware of the wider environment, including other schools and systems, the community, society, businesses and government. They seek out, foster, and utilise external networks and resources to assist with change.

9. Enjoy a cordial but sometimes fractious relationship with the Ministry, which means that they proceed with initiatives that are determined to be necessary even if they conflict with MOE or regional office policies.

High performing principals recognise that their schools progress rests largely in their hands. Therefore, inadequate resources or policies and regulations that may curtail or retard programmatic activities are obstacles they strenuously resist. They accordingly spend less time criticizing the MOE for not solving their problems and more finding creative and innovative solutions to the problems which confront them. One principal describes the relationship with the MOE as very cordial, and emphasises that this cordiality is necessary as the MOE can make things difficult for them. The principals indicate that they embrace the principle that certain activities and projects can be done without MOE intervention, and they are willing to actively pursue them. At the same time, they hold that MOE policies, regulations and procedures will not become a chattel and opt to pursue activities that the school community decides are critical for achieving desired progress.

Further, the high performing principals concede that they will challenge such policies, regulations and procedures, even at the risk of being sanctioned. But even with their air of defiance, they indicate that they still seek to establish strong working relationships with ministry officials because ultimately, they make decisions regarding the allocation of resources, especially in periods of severe scarcity. For most high performing principals, the school board plays a significant role in the life of the school.

Some of these boards are always active, with highly trained and qualified persons at the helm and it was clear in the interviews that some boards are more influential because of the type of contacts they can mobilise in the wider society.

The role of boards in traditional secondary schools seems to have a greater impact on the school they serve than the boards for newly upgraded secondary and primary, all-age and primary and junior high schools. Regional offices are not seen by the majority of high performing principals as having a significant impact on what they do, and some are even critical of the role played by some of the education officers assigned to their schools. They nevertheless seek to maintain cordial relationships with the regional offices.

DISCUSSIONS

As the literature indicates there is a multiplicity of factors related to effective or high performing principals (Sergiovanni 2009, 28) but in the Jamaican context, the nine broad categories presented constitute the characteristics, abilities and behaviours associated with the country's high performing principals. Based on the researcher's interviews with the high performing principals, the most consistent factor highlighted by all principals relates to personal factors, including strengths, qualities and abilities. Closely associated with the personal factors is the philosophical outlook or the set of beliefs which guides their thinking and overall leadership behaviour. The nature and style of leadership is the third factor which underpins the characterisation of the high performing principals.

Category #1

The personal philosophy which in some cases is rooted in Christian principles is the cornerstone and drive that underpins the personal behaviour and characteristics of the high performing principals. Many respondents identify personal religious faith as being central to their commitment to make a difference in the lives of children. While not specifically commenting on one's religious conviction, Asby and Krug explain, "Your philosophy involves values so dear that they guide your life and can never be compromised" (1998, 54). Speaking directly to the root factor that drives the principals' enthusiasm, Speck also emphasises, "As a principal, you must remember that your core beliefs must guide your actions. Commitment to these beliefs will sustain your efforts to improve the school" (1998, 83). Elaborating further on the significance and role of philosophy, Asby and Krug posit:

Make no mistake: your personal philosophy shapes your educational philosophy and influences the decisions you make on the job. How do your personal values translate to the educational setting? What values or principles lay behind your words and actions when you deal with teachers, students, parents, and others? What pushes your button and really makes you angry? Answering these questions for yourself will lead you to find the word...to clearly and succinctly share your educational philosophy with others. (1998, 55)

Category #2

The interviews confirmed that personal philosophy is the driving force which

accentuates the personal qualities exhibited by high performing principals. These personal factors are employed to build relationships among constituents, including teachers, students, and alumni, to motivate persons to maintain quality performance; inspire the school community to achieve challenging goals; and generally, to bring a transformational approach to school achievement. Dinham points out that the successful principal “exhibits the characteristics they expect of others such as honesty, fairness, compassion, commitment, reliability, hard work, trustworthiness and professionalism” (2005, 347). The importance of personal qualities in effective leadership has been highlighted by Green (2010, 29); Hoy and Miskel (2005, 379); Skrla, Erlandson, Reed and Wilson (2001, 15); and Speck (1998, 18). And, as Lunenburg and Ornstein point out, studies are currently being conducted, to “compar[e] the relationship between traits and leadership effectiveness. The results of these studies are stronger and more consistent than the earlier traits studies” (2004, 141), in demonstrating a relationship between personal qualities and effective leadership.

Category #3

While the principles of transformational leadership (Hoy and Miskel 2005, 396) are practised and fully endorsed by high performing principals, a situational approach to leadership is their dominant type of leadership behaviour. Gorton, Alston and Snowden say, “the nature of a particular situation is considered to be the most important variable determining how the leader operates” (2007, 12). With a focus on the given situation, leadership has to become adoptive and therefore deployed to match the desired impact (Hanson, 2003, 164). Lunenburg and Ornstein, commenting on the situational model of

Hersey and Blanchard (1977) postulate, “matching the situation with the appropriate leadership style” (2004, 170) is central to the effectiveness of leadership. The related leadership styles are: directing, coaching, supporting and delegating (Lunenburg & Ornstein 2004, 170). Collaboration with principals from similar schools is in keeping with the principles of distributed leadership, an approach to leadership that recognizes the complexities of school leadership and the fact that no one person has [all] the ideas and strategies to address the problems that confront them (Hoy and Miskel 2005, 403).

Category #4

High performing principals express a personal love for the children in their care, and they see overall growth of the students in their abilities to function in society and achieve their potential, as being one of their primary responsibilities. While this is the dominant feature in all principals interviewed, the sentiment is most pronounced at the primary level. As Leithwood comments, “Dispositions common to many of these leaders included a tremendous passion and enthusiasm for the education of children. This enthusiasm or passion was typically harnessed to an ethic of care, a set of values about social justice and the equitable education of the students” (2005, 622). Elaborating on the concern demonstrated for the learner, Moos, Krejsler, Kofod and Jensen indicate that successful school principalship is “child-centered and committed toward improving teaching and learning” (2005, 571).

Category #5

Children’s academic achievement has been highlighted as a primary goal,

especially by the traditional high school principals. With school ratings based on their performance in CSEC examinations, the high performing principals have implemented formative types of evaluation to determine student performance at each stage of their academic experience. For the newly upgraded secondary schools, these principals conclude that based on the academic level of their students, the focus of academic performance must be broad-based, utilising a variety of academic programmes and examination options. This is an example of a contextual situation which has forced principals to creatively address the problem. In the primary schools, principals are concerned with the problem of literacy which seems to be a legacy of the weak basic school system and the quality of parental input at that level. Some high performing principals are working with the basic schools to identify and address problems related to reading and numeracy. Moos, Krejsler, Kofod and Jensen (2005, 570), reporting on a study of successful school principals in two Danish schools, show that student learning is a central emphasis in these schools. The transformation of the education system has targeted all levels of the education system for intervention (Task Force on Educational Reform 2004, 2) which will further enhance the work that is now being done by many of these high performing principals.

Category #6

The high performing principals confirm the importance of the academic staff role, emphasising the need for teachers who are committed to the education process but who are also competent in their area of discipline. Continued professional development is also highlighted as being necessary for consistent performance, and high performing

principals are increasingly conducting professional development seminars based on identified needs. Leithwood notes, "Effective principals place a high value on teacher learning and fund staff development inside and outside the school" (2005, 251).

Commenting on the issue of professional development, Dinham suggests that outstanding principals provide every opportunity for academic staff to acquire new competencies in order to perform their jobs more effectively. Speaking to the deeper impact of professional development, he adds, "Through empowering, encouraging and supporting teachers to become learners, these leaders acknowledge and foster the leadership of others" (2005, 351).

Category #7

The school climate is central to the atmosphere that is created by the school for the students who are served. This includes providing space, equipment, and other support facilities for learning. Hutton (2008, 106) cites the KPMG (1998) report, highlighting the severe challenges posed by the physical conditions of schools, and the Task Force on Educational (2004, 60) reported that the situation had worsened and needed immediate attention. But there are also issues related to the security and safety of the children and school community. The learning environment is a critical factor in enabling schools to achieve both the academic and personal needs of the students (Jones and Jones 2007, 270). The high performing principals are cognisant of their responsibility to deal with environmental and physical needs of the schools and students alike, and they are aggressively seeking to provide the appropriate remedy, even without the required support from the MOE.

Category #8

Establishing strong relationships with the community is a cornerstone of support which has become one avenue of garnering resources although the MOE should rightfully be carrying out that function. Alumni, community and PTAs are the entities that have become the backbone for many of these schools. The relationships are not unidirectional because schools are deliberately reaching out to parents in programmes (academic and otherwise) implemented to assist them. As Arnold, Perry, Watson, Minatra, and Schwartz emphasise, “The ability to establish personal relationships with all members of a school community is central to the work of an effective principal” (2006, 3). In highlighting the importance of external relationships, Dinham says, “These leaders place a high priority on establishing and maintaining good communication and relationships with external stakeholders. . . These principals are prepared to seek outside assistance when they cannot solve problems” (2005, 344).

Category #9

The appreciation that high performing principals have of the real limitations of the MOE has forced them to find solutions for many of the problems they encounter. Most importantly, these principals will engage their superiors at the regional office and the MOE to ensure that their activities are carried out, even when there may be conflicts with policies, regulations and guidelines. Dinham best describes the nature of the relationship between the outstanding principals and the education administration: “These leaders use the discretion available to them and push against administrative and systemic constraints when necessary. At times, they tend to be ahead of the system

and profession and act as ground breakers” ((2005, 345). The scarcity of resources which is the factor that motivates principals to solve many of the problems they face is also at the base of many of the antagonistic relations between the MOE and the high performing principals.

SUMMARY, IMPLICATIONS AND RECOMMENDATIONS

Summary

The study isolated nine categories related to high performing principals in Jamaica. These categories reflect the context and nuances which are specific to the experience of Jamaican high performing principals. In addition, categories relating to the physical facilities and environment, and the nature of community relationship provided information which had limited treatment in the literature. The remaining categories were regularly emphasized but the nuances of the Jamaican experience provided some differences. These included (a) articulating a philosophy of self and school; (b) providing a supportive platform for student growth and development; (c) focusing on students' academic performance and achievement; (d) emphasizing the need for strong staff involvement and support; (e) engendering broad-based community relationships; (f) enjoying a cordial but sometimes fractious relationship with the Ministry, and, (g) recognizing the psychological benefits of a well managed school plant.

What is clear from these findings is that the effectiveness of the school still relies greatly on the ability of the principal. The study's findings have also identified factors highlighted by principals that are not consistently highlighted in the literature. For example, the quality of the school plant is seen as important in creating the physical

environment and an atmosphere of schooling which is pleasant, homely, and reflective of the general desire of the learners.

The level of development and achievement of schools is contingent on the principals' ability to demonstrate their own characteristics, qualities, and behaviours. This is especially so for principals from ungraded and primary level-type schools. Traditional high schools obviously do not experience the same pressure to make the academic mark as do the newly upgraded secondary schools. In fact, for some of the traditional high schools, the goal is to maintain the performance levels achieved by focusing on the students who arrive with different experiences and backgrounds, while seeking to improve incrementally on overall school performance.

Implications

With a large number of high performing principals leaving their schools within the next ten (10) years, action must be taken by the education system to fill the leadership gap that will be created. The fact is that where a high performing principal is not replaced by a principal of similar calibre, or the necessary systems and structures are not in place to maintain performance, the school is likely to decline in its effectiveness. The need to deliberately identify, select and train principals to function as high performing in the shortest possible time is an essential task that should be engaged with some alacrity.

With only 125 or 13 percent of the principals identified as high performing, there is a clear indication that regional directors along with their education officers have given a negative evaluation of the performance of principals. Clearly, corrective measures must be taken to transform the situation, especially in light of the fact that effective

schools are associated with effective leadership, as provided by principals. With performance appraisal tools now in place to monitor and judge performance, this number should change significantly.

The vast majority of high performing principals will go into retirement by age 60, that is, over 104 or 83 percent of them will be out of the school system within the next decade. These are persons who still possess the energy, drive and interest to continue to serve education in some leadership capacity. With over 874 or 87 percent of the existing principals in the school system failing to be identified as high performing, the MOE should retain those with the desire to give further service to strengthen the cadre of leaders in the education system. The use of these persons as coaches and mentors would start to change the quality of performance and a number of schools would benefit from a more creative and enlightened principalship.

Recommendations

1. The University of the West Indies in partnership with the MOE should use the results of the study to review, revise and develop academic programmes for training new and existing principals and other senior administrators in the school system.
2. Boards which are responsible for hiring principals should incorporate relevant characteristics, abilities and behaviours to construct advertisements for principals being recruited, to conduct the interviews and to select the candidate for a principal position.

3. The findings of the study could provide some of the important or critical performance measuring factors for principals, based on school types and criteria that reflect standards that a principal should exhibit for each type of school.
4. Regional directors should use the findings as the basis to develop seminars and workshops for new principal orientation, and for the development of those who are already in the system.
5. Principals who will leave the system in the next five to ten years should be used to coach and mentor existing principals who require additional support to enhance performance.

CONCLUSION

The focus on quality leadership is receiving greater attention from all stakeholders associated with the education system. If quality leadership is a critical factor in school performance, the study has demonstrated that extraordinary steps must be taken to increase the pool of high performing principals managing all types of schools in Jamaica. Clearly, a holistic approach which involves effective recruitment, strategic training of new and existing principals and more effective performance management are among the necessary interventions required at this time. For example, in the area of training and education, a collaborative approach which involves the central ministry, training colleges and universities, the professional organizations of principals and teachers, and civil society, must all be mobilized into action.

At the same time every effort must be made to deepen our understanding of the factors responsible for student performance, be it leadership, quality parenting, appropriate curriculum, effective teaching or a combination of these. As intimated

earlier, the progress that is made in improving the performance of the education system will depend on the extent to which educators at all levels rely on the evidence obtained from our understanding of the processes involved, and their ability to apply timely and appropriate strategies to address critical problems.

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RETOOLING TEACHER PREPARATION:
Focus on Educational Technology

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Abstract

The increasing use of technology in the classroom has created a more student-centered classroom environment in which teachers or 'facilitators of learning' encourage students to become more actively engaged in the learning process. This changing classroom environment requires teacher preparation programmes to re-examine how they prepare teachers to effectively use technology to support teaching and learning. Consequently, this paper explores how teacher preparation programmes can utilize the large and rapidly changing technologies to augment teaching and optimise learning.

KEY WORDS: teacher preparation programmes, technology integration, educational technology, information communication and technology (ICT), collaboration

Education is in an interesting transitional phase between its 'ICT-free' past and its 'ICT-aware' future...Over the centuries prior to digital technology, education evolved into a system that used paper technology in a variety of highly sophisticated ways to fulfill its mission to develop and accredit knowledge and skills. Its future must certainly be one in which it extends this capacity to a sophisticated use of digital technology. Like every modern enterprise, education is currently learning and adapting, albeit slowly, to the opportunities afforded by information and communication technologies. Learning technologies make it their business to accelerate the process because the learning cycles of the education system are long, while those of its immediate environment – youth culture, employment demands, [and] scientific knowledge – are short, and changing ever more rapidly. (Laurillard 2007, xv)

The extensive use of various technologies throughout society is changing the way we teach and learn. Such technologies as the Internet and its many resources, smart phones, e-books, video games, interactive whiteboards, and virtual worlds have been influencing the restructuring of the classroom and the teaching and learning process, moving from a teacher centric to a student-centered learning environment. However, while most students are fluent in the use of many of these technologies, a major concern is whether they are being exclusively used for entertainment and social networking purposes, or also for learning. To help students use technologies for

learning, as “facilitators of learning” teachers must develop the necessary knowledge, attitude, skills, and habits, and consider how best to integrate the technologies in the classroom, to engage students in the learning process, and to improve their learning outcomes.

The changing classroom environment demands that teacher preparation programmes review how teachers are being educated to appropriately integrate educational technologies. Perhaps a starting point for this review should be to define what integrating technology means and to examine approaches that have been used to integrate technology in teaching and learning contexts. Harris (2008, 252) describes the integration of technology as the pervasive and productive use of educational technologies for purposes of curriculum-based learning and teaching. Over the years, researchers have found a variety of approaches for integrating technology in teacher preparation programmes (Niess 2008, 246). These include stand-alone educational technology courses, others that model the use of technology, and courses with embedded technology-related content.

A report from the National Center for Educational Statistics (NCES) (2007, 7-8) indicates that approximately half of all teacher education institutions offer stand-alone courses in educational technology. Many institutions also present educational technology within their methodology courses (93 percent); within the fieldwork experiences of teacher candidates (79 percent), and within content courses (71 percent) (NCES 2007, 8). The survey report further reveals that a majority of teacher education programmes prepare their teacher candidates, to a moderate or major extent, to integrate educational technology for a variety of purposes, including enhancing and

enriching classroom instruction. Additionally, a large majority of teacher education programmes agree – strongly or somewhat – that their graduates possess the skills and experience to integrate technology into instruction, and can construct project-based lessons involving educational technology (NCES 2007, 15).

In another report, the American Association of Colleges for Teacher Education (AACTE) and the American Institutes for Research reveal that the use of technology in schools and by teachers varies greatly. It was found that some schools and teachers make use of technology almost 100 percent of the time, while its use is virtually nonexistent with other teachers and in other schools (AACTE 2010, 31). Many teachers continue to feel that they are not adequately prepared to use technology to enhance the teaching and learning process (Duhaney 2001, 23; Niess 2008, 246). If teacher preparation programmes are to alter this viewpoint and thereby succeed in the effort to ensure that pre-service teachers are able to integrate technology in their classroom activities, the programmes need to use different strategies, including core course work in educational technology, faculty modelling, and clinical experiences (Duran, Fossum, & Luera 2006, 31). Teacher preparation programmes, however, may well be at the stage where they need to encourage the integration of technology-related content and usage in the instructional activities within both the content area and pedagogical courses. This could allow teacher candidates to better understand how, when, and where different technologies can be best used to support teaching and learning. It must be stated though, that some teacher preparation programmes are effectively preparing teachers to use technology to facilitate student learning in the content areas, while others are still not doing enough and the vast majority are located somewhere along the

continuum (Strudler & Wetzel 1999, cited in Gimbert & Cristol 2005, 206).

The terms “instructional technology” and “educational technology” are often used interchangeably. It is believed that the latter, which is considered more far-reaching, is often focused on the K-12 environment. The former, on the other hand, is considered appropriate for use in a variety of school and work settings (Lowenthal & Wilson 2010, 39). Scholars and practitioners believe that the definition of either educational technology or instructional technology may differ, based on whether the term is used by an educator or a technologist (Lever-Duffy & McDonald 2011, 5).

The Association for Educational Communications and Technology (AECT), which has been credited with defining these concepts, has moved between both terms (see Lowenthal & Wilson 2010, 38) to clarify the meaning, ultimately adopting “educational technology” but redefining it as “the study and ethical practice of facilitating learning and improving performance by creating, using, and managing appropriate technological processes and resources” (Januszewski and Molenda 2007, 1). While Roblyer and Doering (2010, 5-6) indicate that no single definition serves the field, it should be noted, however, that the concept of educational technology as both process and product remains embedded within this and other definitions.

The foregoing conception of educational technology fits well into the technological pedagogical content knowledge (TPCK) framework (Koehler & Mishra 2008, 3; Mishra & Koehler 2006, 1020), which addresses the effective integration of educational technology in the teaching and learning environment. Within this TPCK framework, Koehler & Mishra (2008, 12) show the complex interaction among content knowledge, pedagogical knowledge and technological knowledge, necessary to successfully

integrate technology in the classroom. As Roblyer and Doering (2010, 50) note, teachers can use this meta-cognitive tool to enhance technology integration in their classroom activities by helping them to visualize how their technology knowledge and skills work in tandem with their other teaching and learning knowledge domains.

As teacher preparation programmes retool, an understanding of the technological pedagogical content knowledge (TPCK) framework (Koehler & Mishra 2008, 3; Mishra & Koehler 2006, 1018) is important in helping teacher candidates successfully integrate technology in teaching and learning. For this to occur, however, as the American Association of Colleges for Teacher Education's (AACTE) Committee on Innovation and Technology (2008, 298) posits, educational technology faculty will need to develop content expertise relative to TPCK, and content area faculty will also need to develop TPCK expertise relative to their disciplines. By using this framework, all faculty involved in preparing teachers should work collaboratively in planning and presenting courses which model not only the integration of technology, but also the combination of appropriate disciplines (e.g., Language Arts with history or social studies, mathematics with one or a combination of the sciences – biology, chemistry, Earth science, physics). This will serve as a model to allow teacher candidates to see how they can collaborate in teaching different disciplines at all levels.

Although many pre-service, novice, and veteran teachers are quite conversant with the use of a variety of technologies, this question lingers: How effectively are they used for curricular purposes? Darling-Hammond, et al (2005, 199) note that if teachers are to develop a curricular vision involving the use of technology for learning, teacher preparation programme designers need to think of their responsibilities as including the

production of technically-literate teaching professionals who have a set of ideas about how their students should be able to use technology within particular disciplines. This is vitally important as increasingly, a variety of technologies are playing an important role as both a goal and support for the curriculum (Darling-Hammond, et al 2005, 200). It is this relationship between educational ideas and technological capabilities that will ensure the successful use of instructional technology in higher education and ultimately in the K-12 classroom environment (Garrison & Akyol 2009, 29).

IMPACT OF TECHNOLOGY INTEGRATION ON TEACHER PREPARATION PROGRAMMES

The successful integration of technology in teacher preparation programmes will be determined by how teacher candidates master what they have learned. In many cases, as was suggested, teacher education programmes are often the last to employ cutting edge technology. In reference to Project Tomorrow's survey, Dennis Pierce (2010, 1) notes that although a large majority of teacher candidates (82 percent) recognize Web 2.0 tools as important for instruction, only one in four is learning how to use them in courses. This may well be because many teacher candidates are familiar with the tools but are unable to conceptualize their use in an interactive learning environment.

Teacher preparation programmes, therefore, need to be innovative in determining how they help teacher candidates change the pedagogy to fit the demands of the period and the students with whom they will be working (Tapscott 2009, 127).

Innovations in teacher preparation programmes are driven by a number of factors, including those listed under the broad headings of the human, technological,

and social contexts. Much has been written about the first two, which are not within the purview of this paper. However, there is insufficient data concerning the social dimension in integrating technology in teacher preparation programmes (Zhao, Pugh, Sheldon, & Byers 2002, 506-7). Although the technical aspect is certainly important, it has been suggested that more attention should be placed on the social and pedagogical dimensions. This focus is necessary as many of the technological innovations were originally developed for use in industry, the military, and science but only later introduced in the educational environment (Brown-L'Bahy (2005, 25). Appropriate focus must be given concerning how students will interact with their peers and teachers as they seek to accomplish the specified objectives of their classes (Brown-L'Bahy 2005, 25; Wang 2008, 416). With the emergence of Web 2.0 tools such as blogs, wikis, podcasts, social networks, and virtual worlds, students are now able to readily interact with their peers and teachers. Unlike Web 1.0 tools (e.g., search engines) which students use passively to find information, Web 2.0 resources facilitate interactivity and are being used to address the social and pedagogical dimensions of technology integration. These resources allow a number of users to participate by editing, commenting, and improving a document collaboratively, rather than each person working alone (Solomon & Schrum 2007, 13).

REVOLUTIONARY OR EVOLUTIONARY?

In rethinking technology integration in teacher preparation programmes and the classroom, questions often arise concerning whether we are faced with a technology revolution or an evolution. Ogunsola and Aboyade (2005, 12) consider a revolution as

being a radical and abrupt change of circumstances or system, and an evolution as involving a gradual development from a simple to an advanced system. The issue of a technology revolution or evolution arises as some developing and underdeveloped countries lack a preponderance of technology, in comparison with the more developed countries. And while the availability of different technologies may not be a major issue in developed countries, access and quality of use continue to be of great concern in the educational environment. Zhao, Pugh, Sheldon and Byers (2002, 512) believe that an evolutionary rather than a revolutionary approach should be adopted in integrating technology in the classroom, as teachers will experience more success and less frustration if they take small, but progressive steps.

This progressive approach to integrating technology in teaching and learning is also recognized by the United Nations Education Scientific and Cultural Organization (UNESCO 2002, 8), which suggests that the adoption and use of information communication and technology (ICT) should be viewed along a continuum. This continuum reflects four broad approaches: Emerging, applying, infusing and transforming. This supports the evolutionary nature with students and teachers moving from a discovery phase (emerging) to one wherein they learn to use the tools (applying), followed by learning to better understand how and when to use them to accomplish particular goals (infusing) and finally, specializing in the use of different information communication technology (transforming).

Other approaches to technology integration may well infer a revolutionary stance, in an environment in which teacher education programmes lag behind in the incorporation of basic technology.

Although Moon (2010, 15) believes that there needs to be a radical change in teacher preparation, which would be revolutionary, he suggests that this change should include a progressive ICT adaptation. Such progressive adaptation, therefore, indicates a preference for an evolutionary rather than a revolutionary approach.

RETOOLING STRATEGIES

The different ways in which technologies are integrated in the classroom for teaching and learning as against entertainment, require priority attention in teacher preparation. Paper technology was the tool of choice in the classroom environment prior to the emergence of digital technology (Laurillard 2007, xv). Consequently, teacher preparation programmes focused on understanding this tool and its uses for teaching and learning. With the shift to digital technologies, teachers and teacher educators are continuously examining how they learn and how they help others learn to teach with technologies (Swan, Lin, and van't Hooft 2008, 172). Changes that are required in the teacher preparation programmes must include approaches that encourage effective use of the different technologies for learning. This must be done not because the technologies are available and are being used extensively, but because they can be used to enhance the learning environment, while encouraging students to engage in the process. However, the students' learning needs and the curriculum must be the determining factors that drive the use of the different technologies in the learning environment (Brown-L'Bahy 2005, 35; Duhaney 2005, 11).

Online activities can help teacher candidates integrate technology in the learning environment while ensuring that students become more involved in the learning

process. More online courses and programmes are now available for teachers (pre-service and in-service) and students. The increasing use of synchronous and asynchronous practices in teaching and learning makes it critical that teacher preparation programmes include formal coursework on instructional practices within these settings (Thompson, 2003 cited in Mullen and Weaver 2008, 36). To accomplish this goal, the blended learning approach might be quite appropriate. Blended learning, even though viewed in a variety of ways, is generally seen as the combination of formats, strategies, or tools for teaching and learning (Duhaney 2004, 35). This combination often involves online and face-to-face modes of teaching and learning (Duhaney 2004, 35; Graham 2006, 5). If teachers are encouraged to use different technologies in their teacher preparation programmes and in professional development activities, it will likely result in the technologies becoming ubiquitous in the classroom.

Videoconferencing tools can be useful in helping with technology integration in teacher preparation. They can be used to help teacher candidates observe how novice and veteran teachers function in their classrooms. Of necessity, this practice will require appropriate approvals, as it will mean allowing teachers, teacher candidates, and university faculty to use one-way or two-way video equipment in the classroom. With videoconferencing, teacher candidates could observe a lesson at a distance and then discuss their observations with the teacher and university faculty. It is important to note that videoconferencing is also being explored as an alternative for the supervision of teacher candidates' clinical experiences. In fact, software has been developed to facilitate the supervision of clinical practice (see Recesso's Video Analysis Tool (VAT) at <http://evirx.com>). Additionally, since many teacher candidates are familiar with

software such as Skype, ooVoo, Elluminate, and VoiceThread, teacher preparation programmes should examine how these tools can be used to help students learn.

The challenge of placing teacher candidates in appropriate classrooms where they can see and engage with good quality practicing teachers can be addressed with the use of videoconferencing resources. Simulation software such as simSchool, which can help teacher candidates understand students' behaviour and learning styles and classroom management techniques, can also provide initial exposure to clinical classroom practices (see <http://www.simschool.org>; Knezek and Christensen, 2009). In addition, partnerships using synchronous or asynchronous technology may be developed across time zones; good teaching is not confined to one country, state, school district or department. Swain and Dawson (2006, 66) make the point for partnership in the integration of technology, in a broader realm. This partnership is looked at as a "village," one in which collaboration can truly take place. Teacher candidates would be able to learn valuable lessons from master teachers through observations and the use of reflective learning. Swain and Dawson (2006, 70) make a salient point that this "village" concept will support mentorship to prospective teachers and learning that takes place will be mutually beneficial to the teacher and the mentor.

As students become more fluent in the use of different technologies and as access to these resources increases, curricula changes will become necessary. Hence, blended learning, involving some form of videoconferencing, and the use of Web 2.0 resources, can help in reshaping the curricula for teacher preparation. Studies have shown that about 55 percent of students are now using Web 2.0 tools such as social networking sites, often visiting these sites several times daily, and devoting an average

of nine hours weekly to the network. Similar trends are also seen among college undergraduates (Greenhow, Robelia, and Hughes 2009, 247). Given these findings, teacher preparation programmes need to help teacher candidates become familiar with these tools and learn to adapt them for use in the classroom environment.

Problem-based, project-based or project-centered learning and inquiry-based learning can help teacher candidates integrate technology into the teaching–learning process. Problem-based learning is not new. It has been used extensively in medical education and is now being employed in graduate, undergraduate, high school, and even elementary education. Through problem-based learning, authentic problems are used to provide the starting point which allows students to grapple with real world challenges, through which they acquire appropriate knowledge and skills that will be relevant even after they graduate (Smaldino, Lowther, and Russell 2008, 82). Problem-based learning is ideal in ensuring that students learn and engage with content while they seek to solve a problem. They work collaboratively with peers and can make extensive use of appropriate technology, while the teacher facilitates learning through questioning, promoting and modelling reasoning and critical thinking (Smaldino, Lowther, and Russell 2008, 83).

Project-based learning offers students considerable flexibility in the learning process. With project-based learning, an individual student, a small group, or an entire class may engage in in-depth inquiry into an authentic task, resulting in a product or a culminating presentation (Cavanaugh 2004, 2011; Kellough and Kellough 2011, 353). It accommodates students' learning styles, encouraging them to use a broader range of capabilities than is allowed in regular classrooms, thus enabling them to engage all

modalities in the process of researching and solving a problem, then to communicate the solutions (Shaffner 2003, 2499). Project-based learning presents teacher candidates with the opportunity to select and use appropriate technologies. As they make use of these tools in working on their projects, research shows that they are more likely to include them in their classroom activities (Cavanaugh 2004, 2012).

Inquiry-based learning bears close resemblance to both problem-based and project-based learning. It is a student-centered, active learning approach that uses questioning, critical thinking, and problem solving as the primary foci (Savery 2006, 16). Through the use of questions, the teacher actively engages students in the investigation of solutions to a problem. Through this process the teacher also encourages discussion and reflections on the findings and the overall experiences (Savery 2006, 16). This strategy offers numerous opportunities for teacher and students to integrate a variety of technologies as they investigate solutions to the given problem. As with the other strategies, if teacher candidates employ the technologies as they work on their assignments, they are likely to learn how, when, and where they can be used in the classroom (Wentworth 2006, 123).

The aforementioned strategies lend themselves to teacher candidates and their instructors collaborating on investigating effective multidisciplinary teaching and learning approaches. Through this process they can model the use of different types of educational software to promote skills-based learning, problem solving and inquiry learning, or multiple combinations of each (Maloy, Verock-O'Loughlin, Edwards, and Park Woolf 2011, 176). Although these strategies are student-centered, it does not mean that the teachers are not playing a significant role, for as facilitators of learning,

they are guiding the learning process and encouraging students to be proactive in that process. Hmelo-Silver, Duncan, & Chinn 2007, 101; Kirschner, Sweller and Clark 2006, 79; Schmidt, Loyens, Van Gog, and Paas 2007, 91 and Sweller, Kirschner, and Clark 2007, 115 all discuss the usefulness of these strategies and the constructivist approach in teaching and learning.

Problem-based, project-based, and inquiry-learning strategies across the teacher preparation curriculum and in our schools can help teacher candidates better learn and practice ways in which they can engage students. With their fluency in using different technologies, students are more likely to “learn a process of discovery and critical thinking instead of just memorizing the teacher’s information...collaborate among themselves and with others outside the school” (Tapscott 2009, 130), in addition to adapting to their own learning styles. This may also help teachers learn how they might work more collaboratively in developing teaching teams, which at the 7–12 grade levels, could result in lessons being planned and presented together, as a unit incorporating different disciplines, rather than a subject being taught in isolation. With this approach, students would no longer need to be restricted to blocks of 40 minutes for different classes in a discipline (see Tapscott 2009, 128). Because the elementary school teacher is usually a generalist teaching all disciplines, used appropriately, these strategies may be more easily implemented. Borko, Whitcomb, and Liston (2009, 7) indicate that teacher educators must collaborate with colleagues in programmes and departments across campuses to forge a coherent and developmental vision for how they will integrate digital technologies that support the development of tech-savvy teachers.

The era of learning in isolation, as done at the secondary level, may need to be reconsidered. Schools continue to plan and operate on the models of the agricultural and industrial eras instead of that which is appropriate for the information age or knowledge society.

The industrial era, an improvement on the one-room school house of the agricultural period, tended to maintain the status quo with the introduction and enforcement of strict rules and regimented behaviour, identical curricula and expectations for all students, and an emphasis on basic skills of literacy and numeracy (Long and Holeyton 2009, 36; Ogilvy 2006, 8; Leland and Kasten 2002, 6-7). We continue to prepare teachers to teach according to what was established to suit those earlier eras. Many teacher candidates are guided and mentored by university and clinical instructors who are not themselves technologically adept (Young 2008, 118). With students' increasing use of various technologies, teachers must now be prepared to facilitate learning among students who are fluent in using these tools. Consequently, the conventional methods of teaching and schooling are now called into question (see Topscott 2009, 121). And as Wentworth states:

Preparing tomorrow's teachers to integrate technology into their instruction requires [that] university faculty provide pre-service teachers with examples of, and experiences with, learning enhanced by technology. For this to occur, teacher educators must first adopt the knowledge, dispositions, and practices associated with effective technology integration. Successfully integrating technology into a teacher preparation programme includes, at a minimum, rethinking curriculum and methods of instruction, providing mentoring and support for associated faculty

members, and developing collaborative relationships among university faculty, pre-service teachers, teachers, and school districts. (2006, 116-117)

CONCLUSION

Teacher preparation programmes must be redesigned to take into consideration the increasing use of various technologies in the teaching and learning environment. The integration of videoconferencing along with Web 2.0 tools can help address the need to expose and encourage teacher candidates to use different technologies during their teacher preparation programmes and beyond. An exposure to problem-based, project-based, and inquiry-based learning can be helpful in preparing teacher candidates to design and implement learning activities which will fully engage students in the new classroom environment. Additionally, encouraging the use of TPCK in teacher preparation programmes will help teacher candidates to situate the use of different technologies in proper perspectives as they integrate them across the curriculum and use them to more actively engage students in learning.

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EMPIRICAL EVIDENCE ON ACADEMIC DISHONESTY: Caribbean and United States Institutions

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Abstract

Academic dishonesty in education institutions has become one of the most debatable issues in universities and colleges. No academic institution can claim it is completely insulated against this epidemic that appears to be spreading at an alarming rate. While academic dishonesty may be rampant in some Caribbean institutions of higher learning, to this point there are no empirical data available. On the contrary, much is reported about the existence of dishonesty in educational institutions across the United States. This paper examines the issue of academic dishonesty, and reports on the results of a recent study based on students attending four Caribbean institutions and five US universities, all located in the same geographic area. This quantitative study comprises 1017 participants at the undergraduate level (business major students) of these nine institutions of higher education. The following areas are addressed in this paper:

- 1. Comparison between designated first and third world institutions*
- 2. Frequency of academic dishonesty by region*
- 3. Gender and academic dishonesty cum regional area*
- 4. Gender differences and frequency of academic dishonesty*

The study revealed that, relative to issue #1, there was statistical significance between the two groups; for issue #2, there were higher levels of compliance among students

from first world institutions; regarding issue #3, there was statistical significance between the two groups, and, for issue #4, across regions, the outcomes were different between male and female students.

KEY WORDS: academic honesty, academic misconduct, plagiarism, cheating, integrity, designated institutions, geographical region, hypothesis

INTRODUCTION

We can look at academic dishonesty from many points of view. For example, a clear case of cheating occurs when students copy from each other. There are times, however, when cheating takes another form, such as when students programme selected sections of text into an electronic device, thus gaining an unfair advantage over their fellows. The Center for Academic Integrity defines academic honesty as follows:

Academic honesty is a commitment, even in the face of adversity, to five fundamental values: honesty, trust, fairness, respect, and responsibility. From these values flow the principles of behavior that enable academic communities to translate ideals into action. An academic community flourishes when its members are committed to the five fundamental values. Integrity is built upon continuous conversations about how these values are, or are not, embodied in institutional life. (1999, 4)

As part of its fundamental values, the center also lists a climate built on trust and honesty, and posits, "Honesty is the foundation of teaching, learning, research and service and the prerequisite for all realization of trust, fairness, respect and responsibility" (Fundamental Values of Academic Integrity, 5). Further, there is clear

understanding that there is no educational institution that can claim it is insulated against academic misconduct. In the end it does not matter whether the educational institution is located inside or outside the United States. There are no prior studies that link universities with respect to academic misconduct between US-based institutions and designated Caribbean universities. This study makes that comparison.

PURPOSE OF THE STUDY

Much of what we know today about academic dishonesty, a term used interchangeably with academic misconduct, has been reported by researchers mainly concerned about the epidemic among US-based universities. The impression was that it was only those institutions that are concerned about, or are factually reporting about, academic dishonesty. In reality, however, academic dishonesty can be traced back to the 18th century when students taking Chinese civil service exams were found to cheat. And until this study, nothing was known about students from the Caribbean, many of whom come to the United States to pursue tertiary education. This specific study accordingly examines academic behaviour among students of designated first and third world institutions.

THEORETICAL FRAMEWORK

In reviewing academic dishonesty as an issue among college students, it appears that with the unrelenting stream of stories coming to light regarding the extent of academic dishonesty in our institutions of higher learning, this phenomenon has taken on significant importance. Desruisseaux (1999) laments that, globally, academic fraud is approaching epidemic proportions.

That academic dishonesty is not new to the education system is also evident since researchers continually report the extent of this deviant behaviour. And while the exact prevalence rate is unknown, it appears that based on reviews, figures range between 13 and 95 percent (May and Lloyd, 1993; McCabe and Trevino, 1993; McCabe and Bower, 1994; Clark, 1994; Kerkvliet and Sigmund, 1999).

Numerous studies undertaken by various researchers (McCabe and Trevino, 1993; McCabe and Pavela, 2000; Prescott, 1989; Schreiner, Insley, Kehaya and Kendall, 1999; Vitro and Schoer, 1972; Singhal, 1982; Fishbein, 1993, and Rowe, 2004) indicate that academic dishonesty resembles an outbreak of cancer for which a cure has yet to be discovered. Its infiltration of academe is so pervasive that some professors are barred from accessing federal grant funds (Chronicle of Higher Education, 2006). Although this parallel has been drawn purely as a reference point, it nevertheless underscores the extent of academic dishonesty in the education system.

In a study on academic dishonesty, cheating and plagiarism, Jones, et al. (2001), note that cheating takes place when information is shared among students during the taking of an examination. They cite examples of cheating as occurring when the same paper is used repeatedly in several courses by the same student. They further explain that students' lying to protect their fellow students constitute cheating.

One of the critical issues in any discussion on academic dishonesty is deciphering what comprises plagiarism. According to Scanlon (2006), technology has made plagiarism easier because it facilitates the almost painless simplicity of the cut and paste phenomenon. In discussing plagiarism in the context of the Internet, the author states:

The notion that Internet-assisted student plagiarism is on the rise has become part of the conventional wisdom about education in the 21st century. Although empirical studies suggest the case may be overstated, many schools and universities are using online plagiarism-detection services to sniff out cribbing. (Scanlon 2006, 1)

While Scanlon (2006) acknowledges the high incidence of plagiarism among university students despite tough measures such as detection services, he fervently believes that the issue of academic dishonesty will not go away until university administrators address the more fundamental questions relating to pedagogy and ethics.

RESEARCH QUESTIONS

The following research questions represent the focal point of this study. The responses are evaluated based on the two regional areas (designated first and third world institutions) examined here:

1. Is there a difference in academic conduct between designated first and third world students?
2. Is there a difference in the frequency of academic misconduct between designated first and third world students?
3. Is there a difference in gender, relative to academic misconduct between designated first and third world students?

4. To what extent does gender difference impact the frequency of academic dishonesty relative to designated regional areas?

METHOD

Participants

In recognizing that academic misconduct is not confined to just one institution, the sample was drawn from the population of undergraduate business students from nine educational institutions of higher learning located both in Georgia in the United States (first world), as well as in two Caribbean countries (third world). Data were collected from 1017 participants. At the time of the study, the students were pursuing undergraduate degrees in the business divisions of each college.

Procedures

In this study, data were collected at the class meeting at times convenient to instructors. A voluntary field research associate, identified ahead of the study by the principal researcher, had responsibility to work with each class instructor in administering the survey. In some institutions, class scheduling meant more than one visit to the universities. However, students were only allowed to participate once. The rule was fully enforced because prior to the start of each survey session, a notice was read by the voluntary field research associate or the class instructor. Questionnaires were distributed by the voluntary field research associate.

Instrumentation and Data Collection

Fowler explains that the accuracy of data analysis is a function of the method used to collect the data (2009, 115). In addition, he explains that two critical factors

leading to “good measures” are the design of the instrument as well as determining what to measure (115). Similarly, Creswell emphasizes the need for properly constructing questions (2005, 364). He fervently believes that good questions will often encourage participants to complete the questionnaire. Again, Nardi asserts that the wording of items is important (2006, 76). As for the language, he firmly posits, “items should reflect the educational level and reading language abilities of those filling it out” (79).

For this research, the creation of an original instrument was important because it needed to be tailored to the goals and objectives of this specific study. The survey instrument contains 62 items divided into seven sections. Each section was delineated to obtain responses to items relating to attitude, cheating behaviours, personal traits, and parents’ perspectives through the eyes of respondents, personal information, and self-esteem. Although 62 items were included in the questionnaire, only three (items 23, 24, and 33), were reported in this study.

Finally, the instrument makes extensive use of the 4-point Likert-type scale that shows variations between strongly agree (4) and strongly disagree (1). There are 43 Likert-type items (66%) among the 62 items. Gliner and Morgan (2000) support the notion that when questionnaires are structured using easy to use Likert items, it brings a greater level of efficiency when analyzing data.

FINDINGS AND DISCUSSION

Comparison between designated first and third world institutions

Table 1.0 Cross-tabulation of first and third world institutions

Count

		Q23		Total
		1(Yes)	2 (No)	
Regional Area	first world	144	270	414
	third world	256	332	588
Total		400	602	1002

Table 1.0 provides the response to item 23. Respondents were asked to indicate whether they had ever been academically dishonest in college. Statistics for the table were based on cases with valid data. A value of “1” indicates the students did engage in some acts of dishonesty while a value of “2” denotes that students did not. Responses from respondents were delineated into regional areas. Students from the US universities were designated first world whilst those attending Caribbean universities were designated third world.

An assessment of the results shows that approximately 41% (n = 414) of respondents were from designated first world universities, while 59% (n = 588) were from designated third world institutions. Responding to the question, *Have you ever been academically dishonest?*, approximately 35% (n = 144) of the respondents from first world universities indicated that they had. Similarly, some 44% (n = 256) of students from designated third world universities reported having been academically dishonest.

There was noticeable encouragement in relation to students who indicated that they were not academically dishonest. For first world designated universities, approximately 65% (n = 270) of the students reported no academic dishonesty. On the contrary, however, only 56% (n = 332) of students from designated third world institutions confirmed their academic honesty. When comparing the conduct of the

students from both regional areas, the implication is that there is a higher level of compliance among students from designated first world universities than exists with students at third world universities. In other words, there was a 65% (n = 270) compliance from designated first world institutions, compared with 56% (n = 332) from third world designated institutions.

Table 1.1 Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
Pearson Chi-Square	7.764 ^a	1	.005		
Continuity Correction ^b	7.403	1	.007		
Likelihood Ratio	7.811	1	.005		
Fisher's Exact Test				.006	.003
N of Valid Cases	1002				

a. 0 cells (.0%) have expected count less than 5. The minimum expected count is 165.27.

b. Computed only for a 2x2 table

Table 1.1 provides the results of the chi-square tests used to assess whether there were differences within the groups. With 1 degree of freedom, and $\alpha = 0.01$, the critical table value χ^2 is 6.63. Since the computed $\chi^2 = 7.764$ is greater than the critical table value, we conclude the differences between groups are statistically significant ($\chi^2 = 7.764$, $p = 0.005$), and we reject the associated null hypothesis.

Frequency of academic dishonesty by region

Table 2.0 Cross-tabulation of frequency of academic dishonesty

Count

	Q24	Total
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		None	1 – 2 times	3 – 4 times	More than 4 times	
Regional Area	first world	263	107	19	25	414
	third world	335	147	51	55	588
Total		598	254	70	80	1002

Table 2.0 collates responses based on item 24. They were asked to state the number of times they had been academically dishonest in college. Responses were cross-tabulated with the two regions being studied. Overall, 41% (n = 414) of respondents indicated they were from designated first world institutions, while approximately 59% (n = 588) stated they were from designated third world institutions.

Assessments were made in terms of the frequency of academic misconduct between students of designated first and third world institutions studied. In relation to designated first world institutions, some 64% (n = 263) of respondents reported they were not involved in any form of academic misconduct. Approximately 26% (n = 107) indicated that, in about one to two instances, they did engage in academic misconduct, while around 4% (n = 19) indicated dishonest involvement occurring three to four times. In addition, approximately 6% (n = 25) confirmed involvement in excess of four times.

Evaluations of students from designated third world institutions show that approximately 57% (n = 335) of respondents noted that at no time did they ever engage in any form of academic dishonesty. However, some 25% (n = 147) of respondents reported that they did engage in academic dishonesty one to two times, compared to 9% (n = 51) who were reportedly involved in academic dishonesty three to four times. A further 9% (n = 55) indicated their involvement in academic dishonesty on more than four occasions.

Trends among students of the designated first and third world institutions are instructive. There were higher levels of compliance among designated first world institution students in the category designated “none” (64%) in contrast to designated Third world students (57%). In contrast, in designated third world institutions, they reported slightly better results in the category denoted “one to two times” (25%) compared to 26% in the same category at the designated first world institutions. However, in the “three to four times” category, first world students exhibited greater honesty in that only 4% stated they were involved in academically dishonest practices, in contrast to 9% noted in the same category by students from third world institutions. Similarly, the trend continued in the category denoted “more than 4 times”; for example, in this category, first world students fared better as only 6% of students were culpable in contrast to 9% of third world students.

Table 2.1 Chi-Square Tests

	Value	df	Asymp. Sig. (2-sided)
Pearson Chi-Square	10.962 ^a	3	.012
Likelihood Ratio	11.362	3	.010
N of Valid Cases	1002		

a. 0 cells (.0%) have an expected count less than 5. The minimum expected count is 28.92.

The chi-square test results are presented in Table 2.1, and evaluate whether there are statistical differences between the groups. Using 3 degrees of freedom, and with $\alpha = 0.01$, the critical table value χ^2 is 11.35. Since the computed $\chi^2 = 10.962$ is less than the critical table value, we therefore conclude the differences between groups are not statistically significant ($\chi^2 = 10.962$, $p = 0.012$), and we accept the associated null

hypothesis.

Gender and academic dishonesty *cum* regional area

Table 3.0 Cross-tabulation of academic dishonesty and gender by region

Count

Q33			Q23		Total
			1(Yes)	2 (No)	
Male	Regional Area	first world	84	110	194
		third world	107	72	179
	Total		191	182	373
Female	Regional Area	first world	60	157	217
		third world	148	258	406
	Total		208	415	623

Table 3.0 provides data relevant to items 23 and 33. Respondents were asked to state their gender (item 33), and to indicate whether or not they had engaged in academic dishonesty (item 23) since entering college. An assigned value of 1 means students did engage in academic dishonesty. An assigned value of 2 represents confirmation that students did not engage in any form of academic misconduct. The statistics presented in the table are based on all the cases with valid data in the specified range, relative to the data in each cell. Hence, missing values are not taken into account when doing the calculations.

Using Table 3.0 as a reference point, male respondents account for 37% (n = 373) while female respondents account for 63% (n = 623). In the male category, approximately 52% (n = 194) are from designated first world institutions, while the

remaining 48% (n =179) are from designated third world institutions. Further analysis within the male category shows that 43% (n = 84) of respondents from first world institutions reported that they have been academically dishonest. Approximately 57% (n = 110) noted that they have not been academically dishonest. In relation to designated third world institutions, within the male category, approximately 60% (n = 107) of respondents admitted they have been academically dishonest while some 40% (n = 72) stated they did not engage in academic dishonesty.

In the female category, approximately 35% (n = 217) are from designated first world institutions while the remaining 65% (n = 406) are from designated third world institutions. Analysis in this category reveals that 28% (n = 60) of the respondents from first world institutions reported having been academically dishonest, while some 72% (n = 157) noted that they have not. In relation to designated third world institutions, within the female category, approximately 36% (n = 148) of respondents admitted academic dishonesty, while approximately 64% (n = 258) stated they did not engage in any form of academic cheating.

Relative to the preceding paragraphs, there are some notable trends between students from designated first and third world institutions that affect female students. In relation to designated first world female students, there was a higher level of compliance (72%) than demonstrated by designated third world female students (64%). Similarly, fewer first world female students (28%) engaged in academic dishonesty than did their counterparts in designated third world institutions (36%). Hence there was a higher level of compliance among first world female students, compared with third world female students.

Table 3.1 Chi-Square Tests

Q33		Value	df	Asymp. Sig. (2-sided)
Male	Pearson Chi-Square	10.117 ^a	1	.001
	Continuity Correction ^b	9.468	1	.002
	Likelihood Ratio	10.166	1	.001
	Fisher's Exact Test			
	N of Valid Cases	373		
Female	Pearson Chi-Square	4.928 ^c	1	.026
	Continuity Correction ^b	4.540	1	.033
	Likelihood Ratio	5.008	1	.025
	Fisher's Exact Test			
	N of Valid Cases	623		

a. 0 cells (.0%) have an expected count less than 5. The minimum expected count is 87.34.

b. Computed only for a 2x2 table

c. 0 cells (.0%) have an expected count less than 5. The minimum expected count is 72.45.

The chi-square tests were performed comparing students who reported involvement in academic dishonesty relative to gender differences, with those who did not. The results are contained in Table 3.1. This was assessed in terms of gender distinction as well as regional areas. For male students, with 1 degree of freedom, and $\alpha = 0.01$, the critical table value χ^2 is 6.63. Since the computed $\chi^2 = 10.117$ is greater than the critical table value, we conclude the differences between groups (based on regional areas) are statistically significant ($\chi^2 = 10.117$, $p = 0.001$), and we reject the associated null hypothesis. In terms of female students, with 1 degree of freedom, and $\alpha = 0.01$, the critical table value χ^2 is 6.63. Since the computed $\chi^2 = 4.928$ is less than the critical table

value, we conclude the differences between groups (based on regional areas) are not statistically significant ($\chi^2 = 4.928$, $p = 0.026$), and we accept the associated null hypothesis.

Gender differences and frequency of academic dishonesty

Table 4.0 Cross-tabulation of gender differences and frequency of academic dishonesty

Q33			Q24				Total
			(None)	1 – 2 times	3 – 4 times	Greater than 4 times	
Male	regional area	first world	110	46	17	21	194
		third world	79	50	23	29	181
	Total		189	96	40	50	375
Female	regional area	first world	150	61	2	4	217
		third world	254	97	28	25	404
	Total		404	158	30	29	621

Table 4.0 contains the tabulated results based on the responses to items 24 and 33. For item 24, respondents were asked to indicate the number of times they engaged in academic misconduct. These responses were cross-tabulated with the results from item 33 relating to identification of gender.

An analysis of the results shows that in relation to male students from designated first world institutions, approximately 57% ($n = 110$) stated that at no time were they involved in any form of academic misconduct, while 24% ($n = 46$) indicated their involvement in academic misconduct approximately one to two times. Similarly,

approximately 9% (n = 17) confirmed involvement between three to four times while 10% (n = 21) admitted involvement of more than four times. In contrast, from the viewpoint of students from designated third world institutions, 44% (n = 79), stated they have never been involved in academic misconduct. Approximately 28% (n = 50) of these students reported engaging in academic misconduct between one to two times compared to 13% (n = 23) who stated involvement in academic misconduct between three to four times. Some 15% (n = 29) admitted being involved in excess of four times.

An evaluation of female students from designated first world universities revealed some findings that have remained constant. Approximately 69% (n = 150) of these students stated they have never been involved in academic dishonesty, while 28% (n = 61) admitted involvement between one to two times. However, only 1% (n = 2) reported involvement of between three to four times while 2% (n = 4) stated they did engage in academic misconduct in excess of four times.

In contrast, the findings from female students of designated third world institutions were less encouraging. Approximately 63% (n = 254) stated they had never been involved in academic misconduct, compared with 24% (n = 97) who admitted involvement one to two times. Approximately 7% (n = 28) reported having been academically dishonest between three to four times, compared to 6% (n = 25) who admitted more frequent culpability.

Table 4.1 Chi-square tests

Q33		Value	df	Asymp. Sig. (2-sided)
Male	Pearson Chi-Square	6.989 ^a	3	.072
	Likelihood Ratio	7.013	3	.071

	N of Valid Cases	375		
Female	Pearson Chi-Square	18.040 ^b	3	.000
	Likelihood Ratio	21.983	3	.000
	N of Valid Cases	621		

a. 0 cells (.0%) have expected count less than 5. The minimum expected count is 19.31.

b. 0 cells (.0%) have expected count less than 5. The minimum expected count is 10.13.

Chi-square tests were calculated on a gender-based comparison of students who reported the number of times they had been academically dishonest. The results are presented in Table 4.1. Regional assessment followed. For male students, with 3 degrees of freedom, and $\alpha = 0.01$, the critical table value was $\chi^2 = 13.28$. Since the computed $\chi^2 = 6.989$ is less than the critical table value, we conclude the differences between groups (based on regional areas) are not statistically significant ($\chi^2 = 6.989$, $p = 0.072$), and we accept the associated null hypothesis. In terms of female students, with 3 degrees of freedom, and $\alpha = 0.01$, the critical table value was $\chi^2 = 13.28$. Since the computed $\chi^2 = 18.040$ is greater than the critical table value, we conclude the differences between groups (based on regional areas) are statistically significant ($\chi^2 = 18.040$, $p = 0.000$), and we reject the associated null hypothesis.

CONCLUSION AND RECOMMENDATIONS

Academic misconduct in institutions of higher learning represents one of the greatest challenges, not only to faculty but also to university administrators. It is clear from this study that no university is insulated against academic misconduct. Similarly, there is academic dishonesty across geographic regions, that is, in developed as well as developing countries.

The evidence presented here in this study relates to nine universities encompassing Jamaica and Grand Cayman in the Cayman Islands (both designated as Caribbean and third world), and five universities located in Georgia in the United States (designated first world). While no wide, sweeping statements can yet be made, the results provide several trends relative to the conduct of the student respondents.

Conclusions based on statistical evaluations provide some startling results, as encompassed in the statements which follow. In making the comparison between first and third world students, it was found that students in third world countries were more academically dishonest than those in first world institutions of higher learning. The lack of resources in third world countries could be a contributing factor.

The frequency of academic dishonesty was examined by region. The frequency was measured based on the number of times reported by respondents. The participants from first world institutions reported a higher level of non-involvement (64%) than third world students (57%). The frequency of academic dishonesty in the category of one to two times was approximately the same for each group. There were contrasting results in the three- to four-times category. There, participants from the first world institutions reported 4% involvement, which was more than twice lower than third world students'. In other words, there was a higher percentage of involvement in dishonesty in the three- to four-times category among third world students than was reported by their counterparts in the first world institutions. The position was exactly similar in the more-than-four-times category. The differences between the groups were not statistically significant.

A further assessment was used to determine the extent of any difference in

gender and the relative impact on academic dishonesty between first and third world students. The results were astonishing: Male students from third world countries were more academically dishonest than their counterparts in first world institutions. Similarly, female students in third world institutions reported a higher level of academic dishonesty than female students in first world institutions.

To synthesize the study, the researcher sought to determine the extent to which gender difference impacts the frequency of academic dishonesty, based on designated geographical region. It was found that in all four categories (that is, “none”, “one to two times”, “three to four times”, and “more than four times”) students from first world countries were less involved in academic dishonesty than were their counterparts in third world institutions. In other words, there was a higher degree of compliance with “good behaviour” among first world students than was demonstrated in third world educational institutions.

IMPLICATION FOR FURTHER STUDIES

Although the results are more favourable in terms of academic conduct in first world institutions than their counterparts in third world countries, there is cause for concern in both regions. As indicated previously, none were insulated against academic dishonesty. The study shows that students’ academic dishonesty is like a cancerous disease; it demands the highest attention from faculty as well as education administrators. Admittedly, there is no “one size that fits all” but educational institutions must achieve a balance between faculty research and the pedagogical aspects of teaching and learning. The reward systems for faculty must be reviewed so that

teaching methods are not sacrificed to the need to bring in institutional research grants. As instructors, we are obligated to ensure that proper teaching methods are employed by faculty so that students can feel they can succeed with their studies rather than having to resort to deviant behavior in the classroom.

Finally, one of the greatest implications against good conduct in the classroom is the challenge to the value of scholarship. The real challenge is that which relates to originality and creativity. As long as students are engaged in academic misconduct, the value of their diplomas will continue to be brought into question; it matters not whether the students hail from first world or third world educational institutions of higher learning.

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CONTINUITY BETWEEN GENRES:
Finding the Continuum in
Erna Brodber's Fiction and Selected Non-fiction

Dr. Stephanie Fullerton-Cooper

Abstract

It has long been argued that a distinction between fiction and non-fiction works should be maintained, but this viewpoint is being challenged, particularly in contemporary writing where the "fixed" line between the genres is becoming increasingly blurred and the content fused. Jamaican author Erna Brodber advocates this challenge, positing that her non-fiction and fiction present the shared belief that the past must be revisited and its lessons applied to the present in an effort to construct and realize the promises of a bright future – and to permit growth and development in the African Diaspora. This notion of moving forward only after looking back is also reflected in her fiction, for she uses fictional events and characters to emphasise her non-fiction findings. Brodber further holds that real events may include failure to meet stated objectives, and research (constant evaluation) may therefore be necessary; she accordingly ensures that constant evaluation also defines her novels. In short, Brodber's non-fiction consciously has bearing on her fiction and her fiction is clearly impacted by her training as a sociologist and historian.

Brodber's fiction, then, might be viewed as alternative narratives that address various issues as raised in her exploration of the society and expressed in her non-fiction. Importantly, while her non-fiction invariably precludes commentary on social realities, there are no such restrictions with her novels, and she frequently uses her fiction to address issues raised in her non-fiction. Common threads in her writings confirm that the line between scholarly and fictive writing is not fixed; there is a fusing between genres that testifies to the fact that fiction and non-fiction can be read as a continuum.

KEY WORDS: genre, continuum, fiction, non-fiction, constant evaluation,

It has long been argued that the distinction between works of the imagination (fiction) and works that result from an actual experience (non-fiction) should be maintained. In his exploration of theories of fiction, English Professor David Herman refers to one school of thought which posits "...fictional discourse is limited, segregated from non-fictional discourse, not in principle but merely in fact" (Herman 1998). He makes reference to Walton's 1990 theory of fiction as make-believe and therefore distinct from

non-fiction as fact. The line between scholarly and popular writing has long been thought of as fixed and should remain so as fiction was said by Newsom (1994) to assault “our very idea of order and the way the universe is or ought to be.”¹

This notion, however, is increasingly challenged in contemporary writings as in scholarly writing, storytelling is seen to be a necessary good rather than a necessary evil. According to Jill Lepore in *Historical Writing and the Revival of Narrative*, “much history today is written under the banner of narrative ... a writer who wants to challenge his reader betters his odds to success by telling a story” (Lepore 2002). In a letter to her publisher, Doris Lessing, author of *The Golden Notebook*, admits that she had originally intended to write two books, “a novel” and “a book of literary criticisms” – a fiction and a non-fiction, respectively. She admits, “Thinking about these two books I understood suddenly that they were not two books but one; they were fusing together in my mind” (Lessing 1964).

Jamaican author Erna Brodber can be said to offer a response to the question of whether the genres can be fused, or whether they must at all times exist as individual entities. It is this fusing together of the fiction and non-fiction genres of which Lessing made mention that is seen when Brodber’s works are looked at. She presents these genres as not being separate but part of a larger discourse. In an attempt to highlight this view, this paper examines Brodber in her roles of sociologist, social historian, anthropologist, and novelist. It looks closely at her fiction and non-fiction writings that are born out of these varied disciplines. Of particular interest is the tracing and analysis of the similar chords running throughout her works, irrespective of whether the work being examined is a sociological, historical or psychological paper; whether it is fiction;

or whether Brodber is being viewed in light of her interactions with her community in a social historian capacity. Much attention is therefore given to thematic concerns that appear in both her fiction and non-fiction. For example, both genres examine her writings as social commentary, or rather as a means of speaking back to various social concerns. Some such concerns are: negative and positive perceptions of the Caribbean woman; moving forward after looking back – that is, revisiting the past to understand the present and thereby create a better future; and the subversion of race, colour and class differentiations, among others.

Brodber's fiction and non-fiction also share stylistic concerns which are likewise explored. For example, her method of gleaning information as a sociologist and historian (via interviews, observation, examination of records, etc.) is also reflected in her fiction. Attention is given to her use of tone and the narrative voice, as well as to how the writer structures her works for greatest impact. The diversity of Brodber's writings speaks to the fact that students of literature, of history, of sociology and a range of other disciplines can share an interest in her writings and this can facilitate cross-disciplinary studies, thereby destroying the compartmentalization of disciplines that has too long defined education. Irrespective of the genre, a perusal of Brodber's works will reveal that her thematic concerns have not changed in writings that span decades – from the 1970s to 2003 and beyond. Brodber's first three novels lend new and varied perspectives and, following the link between her fiction and non-fiction, provide an element of interest. This then is the context in which one should read Brodber's fiction and non-fiction works -- as a continuum.

In literary circles, Erna Brodber's non-fiction is less well known than her first three

novels, *Jane and Louisa Will Soon Come Home*, *Myal* and *Louisiana*. Brodber's non-fiction is largely sociological or historical undertakings that the writer embarked upon, usually as part of a wider project. Her sociological and historical writings were at times requests for feedback from various government agencies in Jamaica, or other groups charged with bringing about change.

Brodber clearly states in *Evaluation of the Adult Literacy Programme*, for example, that the study was initiated by expressed concerns of "the Social Welfare Commission and other allied organizations" (Brodber 1971). In *Programme Planning In a Multi-Cultural Milieu* (Brodber 1977), she makes reference to another of her papers, *Abandonment of Children in Jamaica* (Brodber 1974), outlining that this study was undertaken because the Child Care and Protection Division of the Ministry of Youth and Development in Jamaica had some concerns that needed answers. Whether her works function as a part of the "Women in the Caribbean Project", as *Afro-Jamaican Women and their Men* (Brodber 1982) does; whether it starts as a case study and evolves into a novel as the birth of *Jane and Louisa* is described; or whether it is a face-to-face interaction with members of her rural community as expressed in *The Continent of Black Consciousness: On the History of the African Diaspora From Slavery to the Present Day* (Brodber 2003)², Brodber's works function as an interrogation of the lives of the common people who make up the societies she studies. Through her exploration of them, Brodber helps her readers to see themselves reflected within these works, as through her writings she offers poignant analyses of society and the condition of those who people it.

Making reference to West Indian historian Elsa Goveia, Brodber states, "the

historian ... must involve himself in understanding the thoughts, habits and institutions of the people in the society...” (Davies and Fido 1990, 1).³ Although Goveia here speaks directly of the historian, this truth can also be applied to the sociologist or the creative writer, as all three functions are filled by Brodber and the statement is proven to be true of her in whichever capacity. When one considers the functions and expectations of Brodber’s works then, one is able to see that the role of the historian, sociologist, and creative writer is more than that of recorder, researcher or expresser of a fecund imagination. They can and must also use their craft to unearth and impact the behaviour of the people; to exorcise self-doubt and enable vision; and to compel introspection. The writer is expected to involve himself in understanding and lending clarity to the people he studies and strive to bring enlightenment and improvement to them. This is an apt summation of what Brodber uses her works – fiction and non-fiction – to do. The two are not binary opposites, but one is a reflection or a continuation of the other.

Several aspects of the writer’s creative expressions can be examined to prove this theory. One example lies in the fact that very often it is information that is unearthed in one sociological or historical research that leads to the exploration of new subjects in ensuing research papers. In *Life in Jamaica in the Early Twentieth Century – a Presentation of Ninety Oral Accounts*, Brodber shows this link:

The voices of the respondents in the fieldwork for *Abandonment of Children in Jamaica* (ISER, 1974), advised that there was a problem-solving unit called the “yard.” Informants in the fieldwork for the *Study of Yards in the City*

of Kingston (ISER, 1975), located these yards. (1980)

The information unearthed from one study led to another. This expansion of enquiry which informs her non-fiction is also seen in Brodber's novels, in each of which shared ideas and even character names are repeated. This continuity is further noted in her intensified exploration and presentation of women in all three novels under examination. In *Jane and Louisa*, we meet women who are far from the relevant model that Brodber wants to create for the Caribbean. Nellie's fragmented female self, with her concept of rotting and being an object of shame, is an apt example. In the end her potential is seen, but it is in *Myal* in the depiction of women like Mrs. Holness, Euphemia and Mary Riley – women who are willing to make sacrifices for the advancement of their children – that a more "ideal" model of the woman is seen. *Louisiana* completes this image in the sire-ing of Ella by Mammy King and Lowly, resulting in the rebirth of a community through this one woman who "give[s] people their history" (Brodber 1994, 125).

In order for growth and development to take place in the African diaspora, Brodber's non-fiction and fiction present the shared belief that the past must be revisited and its lessons applied to the present in an effort to construct and realize the promises of a bright future. When her non-fiction is examined, it is realised that the final Second Sunday Seminar of *The Continent of Black Consciousness* highlights this. Here, Brodber takes Woodside's longstanding stories, partners them with historical records and other data and writes Woodside's history. Brodber uses birth and death records to validate the stories that had been passed from one generation to another in her community. What she presents in this final lecture is a detailed, scholastic paper, based

not on stories or half-truths, but on the use of these records to tell “the half that had never yet been told,” an oft-repeated phrase in *Myal*. Brodber quotes Brathwaite towards the end of the lecture when she says that through writing the village history, she was able to help her community members move forward as they could now “see the face of ordinary black folks, so-called slaves, freedmen and their free-born descendants” (Brodber 2003, 179).

This notion of moving forward only after looking back is reflected in her fiction as well, as after being cured of her mysterious illness, *Myal*'s Ella does the same; looking back at what had transpired in her history of marriage, she realizes that Selwyn had robbed her of her possibilities. It is what she does with this gained knowledge that Brodber conveys as the ideal. Ella decides to teach her young charges with this new “awareness of certain things” (Brodber 1988, 107). Her ability to evaluate her situation and make firm decisions about the future suggests that her own mis-education will not be perpetuated – will not be passed on to her students. Brodber uses this character to emphasise the findings of her non-fiction.

The need for constant evaluation is one other area where continuity is seen when Brodber's fiction and non-fiction are examined. For instance, Brodber's *Evaluation of the Adult Literacy Programme* was undertaken to find out why the programme was failing to meet its stated objectives. What she found was that the planners had failed to make constant and continuous evaluation of the programme at various stages, an integral part of their plan. Realising from her non-fiction that this can result in failure, constant evaluation defines Brodber's novels. A case in point is that Mammy and Lowly frequently comment on Ella and evaluate her ‘appropriateness’ for the task at hand in

the initial stages of *Louisiana*. They attempt to determine whether this “green” girl with “little horse sense” could indeed be entrusted with the large task they were about to set her: “Who is this gal with some bits of me and some bits of you? ... This be the kid? ... Will she do? ... Best I have seen” (Brodber 1994, 17).

Of her three novels, *Jane and Louisa* perhaps best displays how Brodber’s non-fiction is brought to have bearing on her fiction. As Carolyn Cooper reports in *Out of the Kumbia*, “*Jane and Louisa Will Soon Come Home* was not conceived as a novel: [Brodber] set out to write a case study in Abnormal Psychology” (Davies and Fido 1990, 279). This novel then, started out as an exploration of “inside of people’s heads” (O’Callaghan 1986, 2) and was meant to be non-fiction – a case study on “dissociative personality” for Brodber’s students. This fact demonstrates the impact on her novels of her training as a sociologist and historian and as one who has dabbled in psychology. *Jane and Louisa* can literally be said to have evolved out of Brodber’s non-fiction. The novel brings with it all the investigative methodology of the sociologist, and demonstrates Brodber’s belief that this style is also good for fiction.

Brodber’s fiction then might be viewed as alternative narratives that address various issues as raised in her exploration of the society and expressed in her non-fiction. Unfortunately, the unearthing of social realities is, for the most part, reported in her non-fiction without much opportunity for comment, that is, for Brodber’s opinions to be expressed. There are no such restrictions with her novels, however, and very often Brodber uses these to reflect and “speak back to” issues raised in her non-fiction. For example, the images of women that are presented in *Perceptions of Caribbean Women – Towards a Documentation of Stereotypes* (Brodber 1982, 2) are a realistic portrayal of

the type of women that existed in Jamaica, Trinidad, and Barbados between 1838 and the post-independence era. There is not much Brodber can do to impact these women; she can only highlight them. In her novels however, she is able to subvert findings by presenting female characters who are different or by showing what might befall characters who live up to that particular image.

This is noted in *Myal* in the portrayal of Maydene Brassington and Miss Gatha, whom Brodber uses to subvert Caribbean women's preoccupation with race and class, as observed in *Perceptions of Caribbean Women*. Through these characters, she creates a new kind of citizen, where colour and class are of little importance and where, despite differences, peaceful co-existence is possible. Maydene, described as being "true to any place or situation that she found herself in" (Brodber 1988, 13), celebrates the beauty of the cusp – the meeting of two disparate points" (Brodber 1988, 13), or "the meeting of unlikes" (Brodber 1988, 15). This is representative of the harmony that is shared between her and Miss Gatha, who characterizes the concept of healing. Their differences are clear – Maydene Brassington is the Christian pastor's white wife and Miss Gatha embodies elemental African beliefs and practices. Still, Brodber portrays them as rising above historical quarrels that go with race. They exemplify the notion of forgiving without forgetting and they acknowledge and admire each other's differences:

She loved her and felt that she was loved. They
never ever spoke but neither needed words to know
that each was happy that the other existed. (Brodber 1988, 17)

This notion of peaceful coexistence reflects additional continuity between genres, as seen in Brodber's successful alignment of themes as well as styles in her fiction and nonfiction. That is, although *what* Brodber says is central to both her non-fiction and fiction, *how* she conveys her messages is equally fascinating. When one examines Brodber's style, it is seen that her stylistic devices, as employed in her novels, very often originate in her non-fictional works.

As sociologist and as historian, and in her effort to understand the subject under probe, Brodber has examined church records as seen in *Black Consciousness*; media reports as reflected in *Perceptions of Caribbean Women*; and students both in and outside of classroom settings, as in *Programme Planning in a Multi-Cultural Milieu*. In her non-fiction she has also used various methods to glean information, such as interviews, observation, and in some instances participation as in *Afro-Caribbean Women and their Men*. She questions what is presented on the surface, delving beneath in an attempt to uncover new realities. These are the necessary formats and methods that inform the work of a "socio-historian", and it is these investigative formats that Brodber also employs in her novels. In this way she again shows continuity between and within the two genres as, as an experimental novelist, Brodber imports from the non-fiction what for fiction is experimental in terms of style.

In *Life in Jamaica in the Early Twentieth Century* (1980, 4), Brodber makes the point that she was interested in the non-verbal as well as the verbal communication of the interviewees. This undertaking to interview ninety old people in Jamaica and record her findings is similar to the project Ella assumes in *Louisiana*. Ella's aim was to record the history of the old woman, Mammy King, lest it die with her. In the process she

records what Mammy said on her tape recorder, but also informs her, “Mammy, I’m reading your face” (Brodber 1994, 13). Even Mammy’s laughter is considered important, as Ella insists that “two ha’s are better than nothing” (Brodber 1994, 13).

The tone of the non-fiction is often reflected in the fiction. In the three novels under probe, the narrative voice is never wavering in its convictions and speaks with authority about life in a rural community. It is familiar with the folktales and anecdotes of the people and so can tell with clarity and precision two Brer Nancy stories in *Jane and Louisa*. Similarly, the tone Brodber assumes in her non-fiction writing *Emancipation – The Lessons and the Legacy* (Brodber 1995) is one that is authoritative and one that clearly comments on the harsh realities of slavery. Brodber’s tone in this lecture is reflective of the convictions of characters like Mass Cyrus in *Myal*, who is firm in his stance that Ella’s cure would not take place in his Grove – “No Siree. No Sir.” Brodber’s tone is also reflective of the women in the novels and in the research papers, who refuse to accept second-class status, when compared to the men in their lives. Miss B, for example, in *Afro-Jamaican Women and their Men*, convincingly states:

My husband couldn’t boast pon me yu know ... for
him weed piece a grass, him plant him red peas,
him plant him cassava ... me weed fi mi. Me
plant cassava (Brodber 1982, 30)

An analysis of how Brodber structures her writings shows yet another common thread despite genre. She tends to structure the area of focus in her non-fiction in an ideal manner to draw relevant conclusions and make plausible recommendations. In *Evaluation of Adult Literacy Programme*, she structures the subject – the folk – in terms

of rural or urban, age, occupation and sex, as she realizes that social and economic factors will determine the participants' reaction to the lessons being taught. At first glance, many critics believe that Brodber's novels abhor this structure and are instead a collection of abstract thoughts and expressions as well as characters that are hard to understand. At the start of each novel, the reader is met by a disembodied voice that speaks on a range of subjects. The characters are presented in different stages of their lives, but there is not necessarily a clear charting of childhood, adolescence and adulthood. Indeed, it is not unusual for Brodber to flashback to a character's childhood, in the middle of presenting him as an adult.

This seemingly structurally disjointed style represents a difference from the detailed and neatly structured non-fiction, but one is captured by Brodber's style once it is understood that there is order to her seeming structural disorder. The flashback technique that Brodber employs in *Jane and Louisa*, for example, is an interesting way of displaying the fragmented nature of the protagonist. The constant shift in focus typifies the confusion and fragmentation that Nellie's experiences have created for her. It is also reflective of the historical trauma and the alienation that is such an integral part of her past as well as that of Africans in the diaspora. When one understands that Brodber's style reflects her message, that her style shows characters that are confused and groping for meaning and order to their fragmented reality, the detail and order that informs Brodber's non-fiction is seen in her fiction as well. The reader is purposely made to experience the confusion that the central character is also undergoing. Hence, when the character comes into a new knowledge of herself, the reader does, too, as Brodber's style immerses the reader into the unfolding story.

Such total immersion of the readership into the experiences of the novels' characters is a stylistic device Brodber adapted from her role as anthropologist. It refers to the "observer" becoming completely immersed in the activities of the "subject." As observer, the reader is invited to experience what the characters – as subjects – are feeling and thereby fully grasp the writer's message. Rather than examining a community from the outside, anthropologists in the twentieth century chose to become immersed in the day-to-day activities of the subject they were studying, in order to more fully comprehend their differences. Anthropologist Margaret Mead is said to have been one of the first to conduct research in this manner. According to Tarraugh Flaherty, Mead wrote on "topics that focused on women's roles, childrearing, and other issues which clarify gender roles in primitive cultures and aspects of American society" (Flaherty, accessed 2006). All this she did through "field experience," that is, rather than conduct research from a distance, she became a part of the reality she was questioning and eventually commented on her chosen subject from within the group. Brodber reflects this anthropological style in her novels as she invites the reader to become infused in the reality of her characters by creating scenarios that invite them to experience, with Nellie, the sense of loss and displacement that pervades *Jane and Louisa*; experience the stones hitting Myal's necromancer Ole African, and to also experience the possession of Ella's body by the venerable sisters in *Louisiana*.

Whether examined in her role of novelist, anthropologist, sociologist, historian or social activist, common thematic and stylistic concerns like the subversion of race, class and colour differentiations; the need to revisit the past to understand the present and create a brighter future; the pervasive narrative voice; and the creation of strong

(especially female) characters define all of Brodber's writings, emphasising that these genres are not binary opposites, but are instead parts of a larger discourse. It can be concluded, then, that an examination of Brodber's works, regardless of the genre, provides a response to the argument of whether the distinction between works of the imagination (fiction) and works that result from an actual experience (non-fiction) should be maintained. The common threads in her writings prove that the line between scholarly and fictive writing is not fixed. As Doris Lessing discovered, and Brodber's works prove, there is a fusing between genres that testifies to the fact that fiction and non-fiction can be read as a continuum.

ENDNOTES

1. David Herman makes reference to Newsom in *Theories of Fiction and the Claims of Narrative Poetics*. English Department: North Carolina State University, <http://www.jstor.org/view>
2. Erna Brodber. 2003. *The Continent of Black Consciousness: On the History of the African Diaspora From Slavery to the Present Day*. London: New Beacon Books Ltd. This is a compilation of Brodber's activities with her community members in Woodside, St. Mary, Jamaica. Brodber wrote the village's history and in an effort to have them fully comprehend West Indian History and simultaneously, their own roots, conducted a series of seminars called the Seven Second Sunday Seminars, presentations that are recorded in this text. It is the recordings of this book that help to validate Brodber as social historian.

3. As expressed in the Introduction to *Out of The Kumbla: Caribbean Women and Literature*. Eds. Carole Boyce Davies and Elaine Savory Fido. 1990. Trenton, NJ: Africa World Press, Inc. 1

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THE RISE OF CHINA:

Susan Holmes-Dreyer

Abstract

Harsh austerity measures of advanced economies, implemented as a result of the global financial crisis, have diminished the economic growth potential of advanced regions. The high economic growth rates of newly emerging economic powers such as China have come to the foreground as portfolio investors seek alternative financial markets in order to optimize returns on their investment portfolios.

This report examines China's economic growth and questions the sustainability of such growth. The report highlights the current inflection point in the present growth rate trend of China. It explores the economic, social, and political strengths and weaknesses of this region and identifies potential high risk factors that could obstruct sustainable economic growth. It establishes the crucial deciding factor for the long term success of China, to be dependent on the extent to which China's predicted deceleration in terms of economic growth will occur. It ascertains that a 'hard landing' (i.e., a rapid deceleration of economic growth) will result in a long-term interruption of economic growth as experienced in Japan. Conversely, a 'soft landing' (i.e., a gradual decrease in growth) will result in successful global economic integration, as in South Korea.

The research report establishes that as the economic geography of the world changes, it is fair to assume that the implications of this change should be reflected within the geographical asset allocations of international investment portfolios. Given significant risks inherent in investing in the Chinese market, however, these shifts should not be proportional to the changes on the economic side.

KEYWORDS: China, foreign portfolio investments, economic growth, implications for investment managers, currency, inflation

INVESTOR PREREQUISITES

Before embarking upon an investment strategy, investors should fully review their current financial situation and identify future investment objectives and goals. A full risk analysis should be undertaken in conjunction with the investor's financial advisor.

RESEARCH TIME FRAME

The research for this thesis was undertaken during the time period June 2010 to May 2011 and covers research materials up to and including 31 December 2010.

OBJECTIVES OF THE STUDY

The objective of this study is to consider the rise in the Chinese economy and the subsequent shift in focus of portfolio investors in order to capitalize on the anticipated future growth potential by investing in this region. It is important to understand the fragmentation and resultant changes caused by seemingly non-correlating aspects between developed and emerging market economies.

This report delves into the current emerging market scenario and questions the various thought processes behind it. It investigates the underlying causes and the contributing factors towards this current phenomenon and questions if the financial map has indeed been re-drawn. It considers the possibility of global imbalances brought on by a combination of differing aspects such as capital mobility and increased global liquidity caused by accommodative monetary policies of advanced economies. It examines the possibility that the growth surge is merely a by-product of such global imbalances, ultimately fuelled by the relentless pursuit of investors seeking enhanced yields and capital returns on their portfolio investments. Thus the essential question thereafter will be how the 'new world order' will affect the overall geographic weighting and asset composition for an investor seeking an internationally diversified foreign portfolio. Of course, the standard disclaimer will always apply to every investor: all investment strategies and decisions should be made in consultation with a professional

investment advisor.

RESEARCH QUESTIONS

In assessing the rise of China and the implications for global foreign portfolio investment managers, the main considerations of the research proposal were to:

1. Assess the growth cycle of China to date.
2. Consider the anticipated development of China as a future major economic force.
3. Identify the implications that the future economic growth forecasts and developments could have for global investment managers and their investment clients.

RESEARCH DESIGN AND METHODOLOGY

This study was undertaken in order to assess the economic rise in China and the implications that this would have on foreign portfolio investment. Combined qualitative and quantitative research methods and techniques were utilized for this academic work. The qualitative methods involved a thorough investigation of the current and historic financial research and analysis already conducted by leading economic organizations such as the International Monetary Fund, the World Bank and the Organisation for Economic Co-operation and Development. Qualitative research methods also allowed a broad and very flexible approach to this vast subject matter. The research traced the origin of the current growth cycle of China, followed it to its current status, and highlighted similarities to other Asian economies while reviewing the outcome of these situations. Seeking to understand the phenomena in China, an in-depth analysis of quantitative and qualitative studies of the global competitive rankings across a ten year

period of a sample range of advanced and developing market economies was undertaken. The analysis identified strengths and weaknesses and economic trends throughout these regions. Global financial forecasts of highly regarded financial institutions were utilised in order to understand the future growth predictions for China and key macro risk scenarios were identified.

Qualitative studies were supplemented with quantitative research, thus allowing the research to be further conducted in a most specific and factual manner. A careful assessment was undertaken for economic statistics such as gross domestic product (GDP) numbers, inflation rates and global stock market returns for the sample regions. This permitted a distinct specification of the independent and dependent variables that formed part of the investigation. The results of this quantitative analysis allowed for an overall objective result and conclusion.

LITERATURE REVIEW

Between 1979 and 2010, China transformed itself into one of the world's fastest-growing economies. The implementation of economic and trade reforms that commenced in 1979 have assisted in this phenomenal economic growth story. In January 1979, diplomatic relations between the United States and China were re-established. In July 1979, a bilateral trade agreement was signed between the two countries; "most favoured nation treatment" was reinstated for China in 1980. In 2001, China entered the World Trade Organization (Morrison 2010, 1).

Since 2001, China has emerged as a formidable power in the world economy,

averaging annual GDP growth rates of 10 percent per annum and in so doing, has taken its place as a dominant force in global manufacturing. This rapid economic growth is predicted to continue for at least another decade, if not two or three. Meanwhile, the US and China are the two largest economies in the world today and seem to be caught in an awkward relationship. Exacerbated by the global financial crisis, their trade and economic policies have become so intertwined that the one cannot function without the other. As the effects of the global recession have set in, it would seem that this situation has intensified.

China's economic policy relies on growth in exports, which is stimulated by Western demand. This in turn provides economic stability in an environment in which labour is plentiful and job growth is important to preserve social stability. As China continues to accumulate a massive current account surplus, their managed exchange rate policy leaves them with little alternative but to invest a large portion of their foreign reserve surplus in US Treasury bonds. The United States, on the other hand, requires investors in Treasury bonds in order to finance their budget deficit (Prasad 2009, 223-224).

The interdependency of these two economic forces has generated tension with each power calling "foul" as their perceptions increase of one benefiting at the expense of the other. Bilateral trade relations have become strained and many economic powers have called for a tougher stance on China's failure to implement World Trade Agreement obligations, for example, protection of intellectual property rights, and health and safety standards of Chinese-made products (Morrison 2010, 1). Additionally, the "Managed Exchange Rate" currency policy of the Chinese is a huge bone of contention

in the international arena; it is a common perception and complaint that this, amongst many other irregularities within the Chinese growth policy, provides an unfair competitive advantage in the pricing of Chinese exports.

CHINA: FRIEND OR FOE – OPPORTUNITY OR THREAT?

The phenomenal macroeconomic success of China has led to much debate. It is understandable that suspicion and fear will emerge when a country appears to be on an exponential and seemingly unstoppable growth path. Prudence in this case begs that questions and issues raised should have plausible answers and outcomes; after all, history has shown on numerous occasions, the outcome of a power imbalance.

IS CHINA'S GROWTH SUSTAINABLE?

In order to address the various concerns and issues that are currently being raised, one must examine the reality of the Chinese growth case. Is it sustainable, or will the policies that created it eventually destroy it? There are two opposing schools of thought in this debate, one that believes that with a few minor policy adjustments, China's growth is sustainable, while the other holds that the Chinese economic boom is not built on sound economic principles and its collapse is inevitable. In his paper entitled "Is the Chinese Growth Miracle Built to Last?" Prasad argues, "...things are indeed different in the sense that China's present situation makes a growth collapse unlikely" (2007, 1). He does acknowledge, however, that there are deep structural problems within the Chinese economy that China's policymakers will need to address in order for the growth miracle to continue (2007, 1).

Again, Prasad believes that the sustainability of growth in China is not the fundamental problem. Rather, he contends that it is more the hidden costs within the current growth model that require attention. He warns that policy distortions within Chinese economic policies do not allow room for manoeuvring should an extreme event take place, be it social, political, or financial. He emphasises that this issue is a weak link within the Chinese strategy and, acknowledging that there is a long list of issues needing attention, Prasad further notes that the majority of these items would be covered in part by addressing three key areas: (a) flexible renminbi exchange rate policy, (b) effective and independent Chinese monetary policy, and (c) improvement of the Chinese banking system (2007, 1-38).

While the apparent weakness within the financial system does create cause for concern, Prasad holds that there are intrinsic strengths in the system. The fact that the Chinese investment boom has been largely funded by domestic savings and that the stock of foreign exchange reserves are well beyond reasonable precautionary norms, bodes well in favour of the growth case. He notes that although the government sector is dominant, China's private sector is vibrant and expanding at a rapid rate; he acknowledges that numerous reforms have been made to both state-owned enterprises and banks (2007, 1-38).

WILL THE RENMINBI BECOME A WORLD RESERVE CURRENCY?

Whether the renminbi becomes a world reserve currency is currently a pivotal question within the international financial markets and media. The global financial crisis has

recently illustrated the vulnerability of internationally traded currencies. There are schools of thought that anticipate a depreciation of the US dollar as a result of the turmoil within the United States; ironically, the crisis emphasized the perception of the safe haven status of the US dollar and US Treasuries as an international currency reserve when volatility and uncertainty was at its peak.

As China emerges as a major power within the global economy, it is relevant to consider whether its currency will also play a major role. Dobson states in her paper entitled “Will the Renminbi Become a World Currency?” that the first major question would be, if in fact the Chinese authorities would want to encourage the international use of the renminbi. The second would be whether the outside world would accept the currency of an economy with substantial party control (2009, 1-30).

The renminbi is not currently used internationally; it does not circulate internationally and is not used in invoicing China’s imports or exports. The reason for this is the capital control restrictions that have been put in place by the Chinese authorities, in essence to protect the Chinese economy which is fragile due to the underdevelopment of its financial and capital markets.

Dobson states that there are many factors that contribute to the international use of currencies and before capital control restrictions can be liberalised or even considered by the Chinese, structural reforms and further development of the Chinese financial system would have to take place. She emphasises many pertinent issues that are relevant to using a country’s currency as an international store of value. It is a complex and risky process and consequently all thoughts of a ‘quick fix’ regarding the free trade of the Chinese currency are cautioned. Failure to address the complexities of

the required financial reforms, which would in time allow a free and orderly open trade of the renminbi, could have catastrophic consequences for the Chinese economy (examples of this were illustrated during the 1997 East Asian currency meltdown). This remains fresh in the minds of many of the countries that were victims of this crisis (e.g., South Korea and Thailand, as well as the western investors whose investment portfolio values were significantly impacted as a result of the crisis) (2009, 1-30).

Likewise, in her discussions regarding the international use of currency, Dobson refers to the works of Tavlas, Hartman, and Cohen who list the following basic considerations when assessing the advancement of internationalisation of a currency: (a) a low and stable inflation rate, (b) open, deep and broad financial markets, and (c) the country's share of world output (2009, 4).

In their empirical analysis of variables that correlate with a currency's share in world financial exchange reserves, Chinn and Frankel state that inflation is cited as the most significant variable of all factors (2005, 9). An implication of their study indicates that based on the global share of China's GDP, and its relatively low and stable inflation rate, the renminbi has potential to become a major international currency. It would, however, fail the litmus test on factor (b) listed above (i.e., the noticeable absence of open, deep and broad financial markets).

DEEP, BROAD, AND OPEN FINANCIAL MARKETS

There are a number of essential components that contribute to the international perception of an "open, deep and broad" domestic financial system. While the Chinese system is deep, it lacks breadth due to the dominance of the domestic markets by

government-owned or controlled banks.

An assessment by Union Bank of Switzerland (UBS) of the Chinese bond market has highlighted problems such as a lack of liquidity, and an underdeveloped credit market (Dobson 2009, 12). McKinsey Global Institute suggests in their studies that important efficiency gains could be obtained by reforming the Chinese financial system (2006, 1-16). Additionally, financial regulatory bodies are underdeveloped and compromised in their effectiveness by a weak domestic financial policy; the ultimate state reporting system does raise questions as to their independent status.

The lack of openness via current capital control restrictions seriously impedes the development of the Chinese domestic market. Strict exchange controls apply to both foreigners and Chinese residents and are inwardly focused on protecting the Chinese economy. For example, Chinese residents may only convert renminbi to cover foreign exchange transactions pertaining to the payment of imports or to remit dividends and interest to service foreign obligations. Similarly, renminbi balances acquired by foreigners cannot be freely moved out of the country. There have been, however, some relaxations and in 2005, Hong Kong banks were permitted to offer renminbi deposits to individuals. Even so, foreigners may not presently purchase Chinese assets in exchange for foreign currency. Restrictions such as these limit the attractiveness of the currency.

Capital controls on outflows are in place; Chinese individuals and companies holding US dollar accounts in China are permitted to invest in foreign equities and bonds via Chinese-based Qualified Domestic Institutional Investors. Additionally, state-owned enterprises are allowed to purchase assets abroad. The Chinese Sovereign

Wealth Fund, which is managed by the China Investment Corporation, is permitted to hold some of its foreign exchange reserves in real assets. These funds have been used to purchase interests in foreign-based institutions such as Blackstone Partners (a US private equity firm) and a minority holding in Barclays Bank PLC.

China specifically restricts capital inflows on short-term funds, thus controlling speculative foreign portfolio investment by foreigners, whereas foreign direct investments into long-term sustainable projects are permitted. Capital intended for investment into the Chinese domestic financial markets is limited to foreign companies which have met the criteria to attain Qualified Foreign Institutional Investor status. The size and placement of these funds is, however, controlled by the Chinese authorities. As has been illustrated in the brief dialogue and consideration of many of the academic and economic experts within this field, the global financial implications that are involved in the transition of a country from an emerging market to a world power are many and complex. The fact that the Chinese economy has reached the stage where it finds itself today, in a manner that has not previously been seen in global development, makes the way forward for a successful and meaningful integration complicated and risky. The fragile state of the global economy post-2008 does not assist this process and there are many unknown variables that could derail the development.

Yet the rise of China is a reality; the financial might behind this country is unquestionable in that it is a measurable fact. China is undoubtedly an economic force within a global context.

G7, SOUTH KOREA, AND BRIC COUNTRIES – EMPIRICAL FINANCIAL MARKET

ANALYSIS

We have reviewed thus far, the many crucial components that relate to the potential economic growth and underlying investment performance of a region. Given the many events that have impacted the global economy in recent history, such as the global financial crisis between 2007 and 2009 and the East Asia financial crisis of 1998, it is necessary to undertake empirical analysis on financial market statistics, in order to understand, evaluate, and establish trends that have arisen as a result of the impact that such situations have had on specific economies of the world.

Although the emerging markets are closing the gap between their levels of GDP per capita and those of the developed world, current research suggests the absence of complete convergence within and more specifically, between, the developing and advanced economies of the world. On this basis, one would anticipate some disparity in the underlying financial data within such regions. It is therefore appropriate to engage in an objective analysis of historical statistics in order to gain further insight and a factual understanding of the implications that this would have on the investment outperformance of emerging markets.

G7, South Korea, and BRIC Countries – Percentage Share of World GDP

Figure 1 reflects the percentage share of the world's GDP, accounted for by the G7, South Korea, and BRIC economies during the period 1980 to 2010. The figure also reflects projections of anticipated performance for these regions for the years 2011 to 2014. The US' world share has decreased from a peak of 23.10 percent in 1994 to 20.15 percent in 2010. The forecast through 2015 anticipates this trend will continue.

Conversely, the Chinese world share of GDP increased from 5.27 percent in 1994 to 13.25 percent in 2010. The 2015 prediction of 16.15 percent indicates a continuation of this bias and implies that China's share of the world's GDP will surpass that of the US in the foreseeable future and in so doing, in terms of GDP statistics based on Purchasing Power Parity (PPP), China's will become the largest economy in the world.

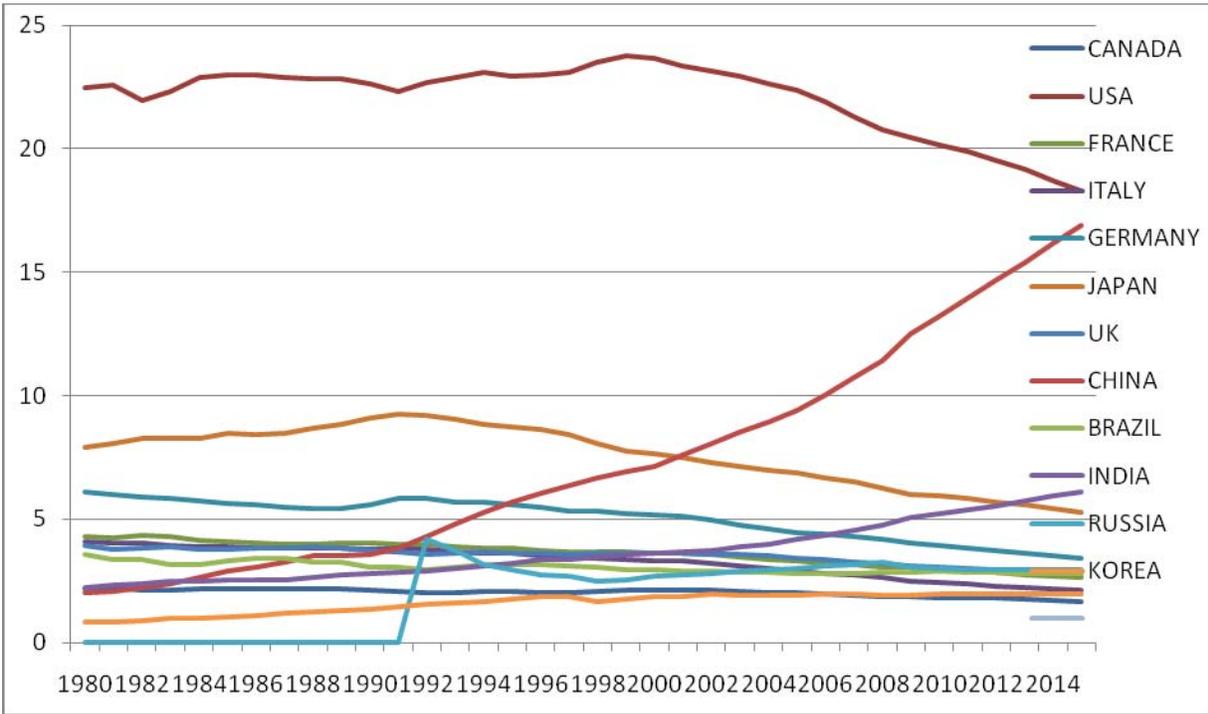


Figure 1. Gross Domestic Product based on Purchasing Power Parity (PPP) Percentage Share of World Total (source: International Monetary Fund, 2010)

G7, South Korea, and BRIC Countries – GDP based on PPP per Capita

Figure 2 reflects GDP based on PPP per capita. Interestingly, this graph illustrates a different scenario to that of Figure 1: In terms of GDP statistics based on PPP, China appears to be on a growth trend that will overtake the US. However, if one

considers these figures on a per capita basis, the average income per person in the G7 and South Korean regions is greater in comparison to that of the population of the BRIC countries. This synopsis reflects the earlier observations of income disparity and widespread poverty within the BRIC region and highlights the need for domestic demand to be stimulated via an increase in wages and living standards for the majority of the populations within these countries. It is anticipated that the Chinese currency will appreciate in value over the next decade; such a rise would elevate income levels within China by increasing the purchasing power of the average Chinese citizen (i.e., imports would be cheaper). Additionally, the predicted gain in the exchange rate would improve the innovative capacity of the Chinese economy, further enhancing the levels of income within China. Similar trends will occur within other BRIC countries, although China leads in this respect. This would create a sustainable economic growth pattern.

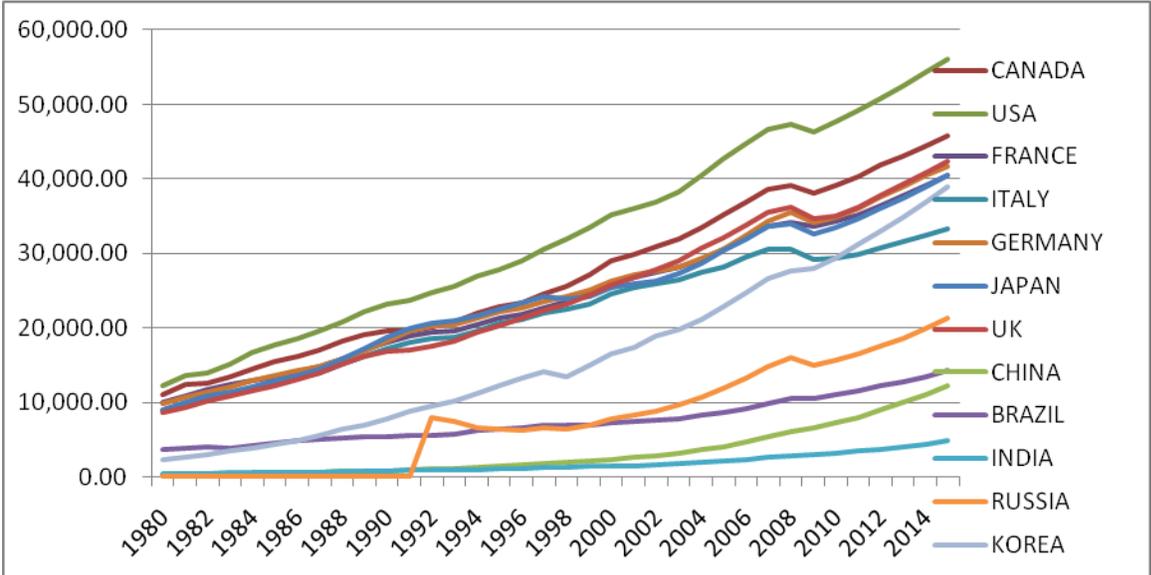


Figure 2. Gross Domestic Product based on Purchasing Power Parity (PPP) per capita GDP (source: International Monetary Fund, 2010)

G7, South Korea, and BRIC Countries – GDP based on PPP per Capita – Relative to US

Figure 3 illustrates the PPP per capita relative to US\$D1.00. This figure effectively levels the playing field and allows for a more subjective and relative comparison. By equating the earning power of each region to the US, it is noted that on average, for every US dollar earned by someone in the US, a person in China would earn the equivalent of US\$D0.15, while a person in India would earn US\$D0.07. On this basis, Russia, at US\$D 0.33, reflects the 'highest' GDP per capita for the BRIC countries. Within the G7 economies, Canada records the highest comparison number at US\$D 0.82. The projections for 2015 reflect an increase in the Chinese figure to US\$D 0.22. This figure implies that China has a long way to travel before reaching the economic level of the US on an income per capita basis.

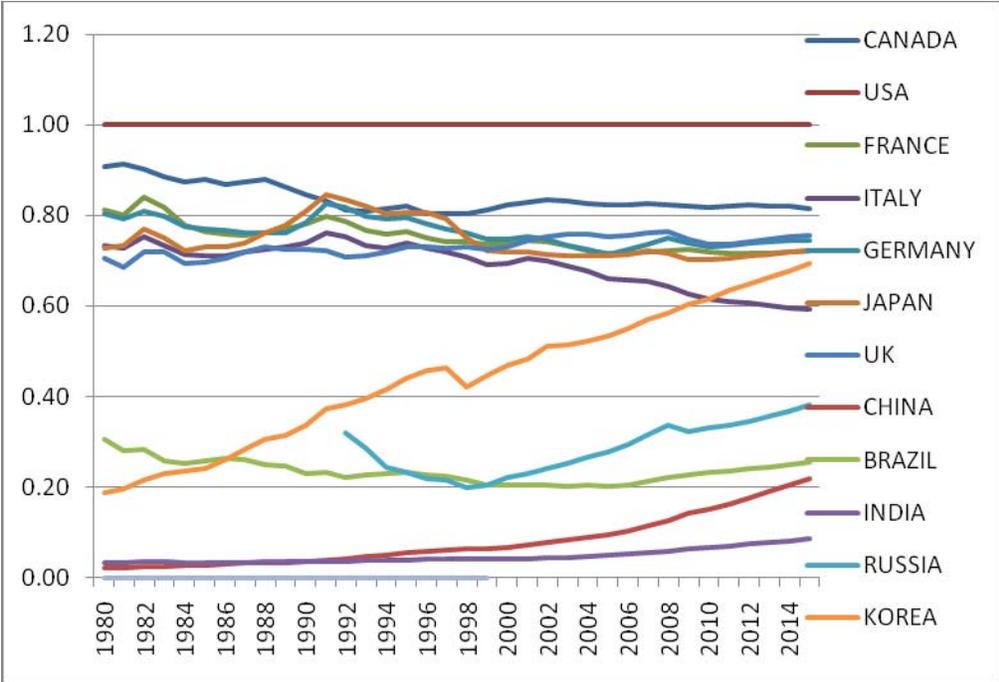


Figure 3. Gross Domestic Product based on Purchasing Power Parity (PPP) per capita GDP – Relative to US (source: International Monetary Fund, 2010)

The analysis of inflation correlation statistics is reflected in Table 1. The results indicate a distinct relationship between the G7 countries, South Korea, and the US; the rate of inflation between these regions displays a large and positive correlation. The BRIC countries are at variance with the US with significantly smaller correlations. The data suggests that an appropriate inflation hedge for BRIC-based investors would be an investment within the advanced economic regions and vice versa.

Table 1: G7, South Korea, and BRIC Countries – Correlation of Inflation Rate (1980-2015)

	Canada	USA	France	Italy	Germany	Japan	UK	China	Brazil	India	Russia	Korea
Correlation with USA	0.85	1.00	0.84	0.86	0.74	0.88	0.93	0.11	0.12	0.32	0.18	0.90
Correlation with China	-0.04	0.11	-0.03	0.09	0.16	0.12	0.09	1.00	0.54	0.19	0.65	0.11
Average inflation rate percent	3.33	3.43	3.36	5.25	2.16	0.99	3.71	5.12	331.26	7.70	75.14	5.29

(Source: International Monetary Fund, 2010)

Table 2 compares the GDP growth performance across the countries within the sample countries. The growth performance of China stands out, as does that of India and Korea. Nevertheless, the correlations indicate that there are higher correlations with the US economy than with the Chinese economy across the sample countries, with the exception of Brazil, which has a GDP growth rate that is more highly correlated with China than with the US. This indicates the dominant role of the US economy, likely driven by its huge consumer market and large trade links.

Table 2: G7, South Korea, and BRIC Countries – Correlation of GDP Growth Rate (1980-2015)

Country	Canada	USA	France	Italy	Germany	Japan	UK	China	Brazil	India	Russia	Korea
Correlation with USA	0.86	1.00	0.45	0.65	0.44	0.31	0.68	0.31	0.09	0.20	0.08	0.34
Correlation with China	0.24	0.31	-0.25	0.07	-0.09	-0.05	0.29	1.00	0.41	0.05	-0.32	0.15
Average GDP Growth rate percent	2.56	2.69	1.91	1.33	1.66	1.97	2.20	9.87	2.95	6.37	2.26	6.19

(Source: International Monetary Fund, 2010)

Empirical Analysis of Stock Market Returns – G7, South Korea, and BRIC

Countries

In order to identify and provide both an overall trend and relative comparison of the returns for a US dollar-based investor within the G7, South Korea, and BRIC stock markets, empirical analysis has been conducted on the key benchmark indices of the G7, South Korea, and BRIC countries. Table 3 provides details of annual total returns; for comparative purposes, total returns (i.e., indices inclusive of dividend payments) have been calculated in US dollar terms and expressed as an annual percentage.

Table 3: G7, South Korea, and BRIC Countries – Stock Market Returns 1980-2010 (Annualized USD)

Country Index	US S&P500	UK FTSE100	France CAC40	Germany DAX30	Japan Nikkei225	Canada S&PTSX	Italy FTSEMIB	S Korea KOSPI	Brazil Bovespa	Russia RTSI	India SENSEX30	China SSE50
12/31/1980	31.52%			-3.39%	8.33%	25.12%					24.83%	
12/31/1981	-4.85%			1.98%	7.95%	-13.86%		22.86%			53.61%	
12/31/1982	20.37%			12.72%	4.36%	0.20%		-1.76%			3.56%	
12/30/1983	22.31%			40.01%	23.42%	30.35%		-6.03%			7.25%	
12/31/1984	5.97%	23.22%		6.06%	16.66%	-5.96%		17.53%			7.49%	
12/31/1985	31.05%	14.64%		66.43%	13.61%	20.84%		14.68%			93.98%	
12/31/1986	18.54%	18.86%		4.84%	42.61%	5.71%		66.87%			-0.55%	
12/31/1987	5.67%	2.01%		-30.18%	15.31%	3.06%		92.62%			-15.69%	
12/30/1988	16.34%	4.71%	57.39%	32.79%	39.86%	7.28%		72.76%			50.68%	
12/29/1989	31.22%	35.09%	27.14%	34.83%	29.04%	17.10%		0.28%			16.87%	
12/31/1990	-3.13%	-11.53%	-24.79%	-21.90%	-38.72%	-17.96%		-23.48%			34.63%	
12/31/1991	30.00%	16.32%	17.31%	12.86%	-3.63%	7.85%		-12.24%			82.09%	129.41%
12/31/1992	7.43%	14.18%	5.22%	-2.09%	-26.36%	-4.61%		11.05%			37.01%	166.57%
12/31/1993	9.92%	23.96%	24.30%	46.71%	3.05%	31.85%		27.67%			27.94%	6.84%
12/30/1994	1.28%	-7.79%	-15.15%	-7.06%	13.57%	-0.21%		18.61%			17.36%	-22.30%
12/29/1995	37.12%	25.14%	2.62%	7.32%	1.36%	14.15%		-14.06%	-1.26%		-20.79%	-14.29%
12/31/1996	22.68%	16.37%	27.21%	27.78%	-1.82%	27.89%		-26.24%	63.76%	141.80%	-0.81%	65.14%
12/31/1997	33.10%	28.49%	32.85%	47.11%	-20.42%	14.79%		-40.46%	44.84%	97.94%	18.60%	30.22%
12/31/1998	28.34%	17.59%	33.96%	17.71%	-8.36%	-1.73%	45.18%	49.49%	-33.46%	-85.15%	-16.50%	-3.43%
12/31/1999	20.89%	20.67%	53.52%	39.10%	37.71%	31.43%	20.26%	85.11%	151.93%	197.42%	63.83%	20.19%
12/29/2000	-9.03%	-7.97%	1.09%	-7.54%	-26.60%	7.46%	2.48%	-50.83%	-10.72%	-18.24%	-19.51%	52.54%
12/31/2001	-11.85%	-13.72%	-20.44%	-19.79%	-22.90%	-12.58%	-25.98%	40.33%	-11.02%	84.15%	-16.22%	-19.70%
12/31/2002	-21.97%	-21.54%	-31.77%	-43.94%	-17.86%	-12.31%	-27.26%	-7.03%	-17.01%	38.73%	6.64%	-16.50%
12/31/2003	28.36%	17.73%	18.47%	37.08%	25.53%	26.34%	14.40%	32.03%	97.33%	61.51%	75.41%	11.57%
12/31/2004	10.74%	11.29%	9.94%	7.34%	8.55%	14.37%	18.27%	13.72%	17.81%	8.82%	14.87%	-13.99%
12/30/2005	4.83%	20.77%	26.21%	27.07%	41.22%	24.02%	19.57%	56.91%	27.71%	85.61%	44.13%	-5.76%
12/29/2006	15.61%	14.57%	20.60%	21.98%	7.85%	17.04%	20.32%	6.10%	32.93%	71.25%	48.38%	133.46%
12/31/2007	5.48%	7.61%	4.33%	22.29%	-10.14%	9.77%	-2.89%	34.60%	43.65%	19.89%	48.38%	97.65%
12/31/2008	-36.55%	-27.35%	-39.38%	-40.37%	-40.73%	-32.38%	-45.03%	-39.59%	-41.22%	-71.88%	-51.50%	-64.61%
12/31/2009	25.93%	26.75%	26.78%	23.85%	20.85%	34.35%	23.25%	51.71%	82.66%	131.19%	82.90%	82.26%
12/31/2010	14.82%	12.62%	0.15%	16.06%	-1.35%	17.27%	-9.90%	22.16%	1.04%	23.56%	18.90%	-12.97%

(Source: Personal Communication/Bloomberg Information Systems)

The recent returns within the developing economies are impressive, hence the increased and almost fever pitch attraction to these markets by foreign and domestic portfolio investors alike. However, stockholders are cautioned to take note of the negative returns for the period 1997-1998, which reflect the tremendous impact the East Asian financial crisis had on the emerging markets. Many investors experienced significant losses on their emerging market portfolio investments during the period as the financial systems within these regions collapsed. Contagion spread as foreign investors fled to the financial sanctuary provided within the advanced economic regions of the US, UK, and Europe.

The extreme fluctuations and volatility of returns within the developing regions indicate a possibility of low levels of transparency and disclosure within these financial markets. These factors tend to surface when financial markets experience periods of uncertainty and the result is often reflected in sudden and wide fluctuations of stock price movements that are not always necessarily based on market fundamentals alone (Aivazian, Han, and Hejazi 1998, 91-83).

Research conducted on the GLOBAL COMPETITIVE INDEX reports has emphasized fundamental weakness within the institutional frameworks of the BRIC regions and more specifically China. This determinant dramatically raises the risk level of portfolio investments within emerging markets.

G7, South Korea, and BRIC Countries – Correlation of Stock Market Returns 1980-2010

The increased volatility factor of emerging markets has been identified as a

heightened risk for investors contemplating active financial participation within the developing market economies via portfolio investment. In order to understand possible hedging factors for an investor, one needs to consider the potential correlation or non-correlating factors that exist between advanced and developing economies' stock markets. Table 4 examines this aspect.

Table 4: G7, South Korea, and BRIC Countries – Correlation of Stock Market Returns 1980-2010

	US	UK	France	Germany	Japan	Canada	Italy	S Korea	Brazil	Russia	India	China
Percentage Return	S&P500	FTSE100	CAC40	DAX30	Nikkei225	S&PTSX	FTSEMIB	KOSPI	Bovespa	RTSI	SENSEX30	SSE50
Since Index Inception	12.65%	10.47%	11.20%	12.18%	4.58%	9.25%	4.05%	17.18%	28.06%	52.44%	23.80%	31.12%
2000-2010	2.40%	3.71%	1.45%	4.00%	-1.42%	8.48%	-1.16%	14.56%	20.29%	39.51%	22.94%	22.18%
2007	5.48%	7.61%	4.33%	22.29%	-10.14%	9.77%	-2.89%	34.60%	43.65%	19.89%	48.38%	97.65%
2008	-36.55%	-27.35%	-39.38%	-40.37%	-40.73%	-32.38%	-45.03%	39.59%	-41.22%	-71.88%	-51.50%	-64.61%
2009	25.93%	26.75%	26.78%	23.85%	20.85%	34.35%	23.25%	51.71%	82.66%	131.19%	82.90%	82.26%
2010	14.82%	12.62%	0.15%	16.06%	-1.35%	17.27%	-9.90%	22.16%	1.04%	23.56%	18.90%	-12.97%
Correlation with US	1.00	.87	.75	.73	.48	.71	.87	.15	.52	.43	.40	.34

(Source: Personal Communication/Bloomberg Information Systems)

The review of the historic rate of returns realized between the G7, South Korea, and BRIC countries reveals a high correlation between investment performances of the G7 countries. Albeit at a lower rate of correlation, the BRIC countries display correlations which indicate that factors influencing the overall performance of the advanced countries do have a similar but less pronounced effect on the developing economies. The only country that appears to act independently of the sample countries is South Korea. With this in mind, an investor must consider if the increased return potential justifies the heightened risk levels; such an elevated exposure to risk should be considered within the framework of an investor's overall risk analysis before an investment is made.

INVESTOR PREREQUISITES

A full risk analysis should be undertaken in conjunction with an investor's financial advisor and a suitable risk profile identified. A risk profile is a measure of how risk averse an investor is. Successful investing requires an understanding by the investor of the fundamental risk and return relationship; for example, if one increases risk, one increases the likelihood of a higher investment return in the long-term. This scenario, however, is characterized by increased volatility in the short term. Additionally, investors should be aware of the potential risks of investing in a currency that is not their base currency and the effect any changes in exchange rates may have, whether up or down, when converting the returns back to the base currency.

CONCLUSION

The US subprime mortgage crisis of 2007 was the central cause that triggered the landslide that would in time become a global financial crisis. The astonishing events of this monetary-driven catastrophe have challenged the previously held economic status quo by systematically diluting the balance of economic power traditionally held by the advanced economies. China appears to be one of the beneficiaries of this new division of power, hence portfolio investors' interest in this newly emerging economic powerhouse. The essential question is: To what extent will this new financial world power affect the overall composition of an internationally diversified international portfolio?

The quantitative analysis of China's economic growth across the past three decades confirms the change that has occurred within the global economic and geographic landscapes. This rapid economic growth has highlighted the tremendous potential for higher returns for foreign portfolio investors (FPI) within this region. As the Chinese economy matures into that of a major economic power, it is fair to assume that FPI numbers will increase.

The impressive history of economic growth in China is justifiably the result of a consistent and disciplined pace of economic and financial reforms that have occurred across the past 30 years. The research indicates that the Chinese growth model is not unique and has been used before by other East Asian countries, specifically South Korea and Japan. These particular regions both experienced severe financial crises during their crucial developing stages; many FPI investors sustained severe financial loss on their investments during these times of turbulence. Economic models indicate that the Chinese economy is at an inflection point; there is

consensus that the rate of economic growth in China will slow over the coming decades. The vital unknown is the extent to which the Chinese deceleration process will occur, and how sharp that reduction in growth will be. The key question for the FPI is whether China will experience a 'hard landing' similar to that of Japan and experience negligible returns on investments, or a 'soft landing' similar to that of South Korea, and experience above average returns on their investments. Uncertainty rules at this juncture; the global economy is fragile with many unknown variables that could deflect global recovery. In essence, the extent of the deceleration process in China is very much dependent on the revival of the overall global economy.

The Global Competitiveness Index assessments of the medium- and long-term growth drivers that pertain to the China region highlight serious weaknesses in significant areas such as the Chinese financial system, which is fundamentally weak. Prolific deficiencies in the transparency of reporting financial data, doubtful corporate governance procedures, and prohibitive capital flow regulations, all indicate a financial system that is underdeveloped and probably unable to withstand any sudden crises that might occur (e.g., a stock market crash brought about by the deflation of an asset bubble). Experiences from the 1998 East Asian financial crisis affirm the speed at which such crises can happen and the resulting contagion effect on other emerging market regions. These are crucial potential risk factors for FPI investors to consider when assessing the risk/return potential for strong and consistent returns on investment.

There is little doubt that the Chinese economy is capable of generating strong economic growth, which could translate into potentially higher investment returns on

FPIs within the China region. This certainly presents an attractive investment proposition for foreign investors. The potential for higher returns gives rise, however, to higher risk and on this basis, it is advisable that in general investment terms, the geographic asset allocations of international investment portfolios should include a relatively small weighting to China (i.e., smaller than its share in the global economy). As the Chinese market transitions from a developing market to an advanced economic region, the geographic weightings will increase accordingly.

From an individual investor's perspective, the percentage geographic weighting within the investment portfolio should be determined by that investor's appetite for risk; accordingly, a high risk profile investor will hold a larger geographic weighting to China than that of a low risk profile investor. The volatility factor of the higher risk portfolio will increase; however, there will be a greater potential for higher investment returns if China's growth development is successful.

It is acknowledged that the Chinese financial markets are underdeveloped. As a result of this, foreign access is controlled and restricted and the entry and exit points to access this market are complicated. The investable universe of the Chinese FPI market is limited by such factors. In order to gain a well-diversified investment within the Chinese region, investors could consider a core purchase (via authorized agents) of Chinese-domiciled investment instruments, as well as the purchase of equities of listed international companies that have strong trade connections within China (e.g., the purchase of Australian commodity suppliers to China). On this basis, if Chinese growth continues to increase, these companies should flourish and the investor will receive the benefit via an increase in the underlying value of these shares.

It is important for investors to be aware that due to the currently precarious state of the global economy, heightened risk factors exist and there are many unknowns that could create a setback in the global recovery. On this basis, sound, professional investment management is essential; on-going risk assessment within this untested region is a pre-requisite that will assist in formulating a sound and evolving investment strategy for this region.

Given the dramatic economic rise of China, it is fair to assume that this change will be reflected within the geographic allocations of international investment portfolios. As China develops, transparency and disclosure will be enhanced and systemic risks reduced through financial and institutional developments within its economy. As this occurs, the expectation is that the geographic weightings will increase as well. On this basis, an astute investor should ensure that the investment portfolio has a limited exposure to Chinese investments.

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