UNIVERSITY OF LUSAKA

SCHOOL OF POSTGRADUATE STUDIES

AN EXAMINATION OF MANAGERIAL PERCEPTIONS AND STRATEGIC CHOICES IN ADDRESSING DEPENDENCE ON DONOR AID IN FINANCING EDUCATION IN MALAWI

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DECLARATION

This thesis is purely my own work and that it has not been submitted to this University and any other University for the similar purposes. The information borrowed from other sources has been clearly acknowledged and cited in the position in which they appear.

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I Sichalwe M. Kasanda (Prof) has read and checked the thesis written by Limbani Bartholomew Eliya Nsapato and do hereby confirm that it meets the University of Lusaka set minimum standards. I, therefore, recommend that the document be submitted for verification and examination for the purpose of the award of Doctor of Business Administration.

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I .... and on behalf of the University of Lusaka do

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DEDICATION

Firstly, I dedicate this thesis to all the children in Malawi who struggle with education because government fails them in finding alternative funding sources for the education system. Secondly, I dedicate this work to members of my family and friends who were there with me when studies seemed to take all my family time. Special mention to my wife, Lucy, and our children Praise, Tusaliwe, Rejoice and Ebenezer as well as my parents, relatives and friends who provided moral, social, and economic support. They supported and gave me company especially when things seemed too hard. Without them it would have been very difficult.

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LIST OF ACRONYMS

ACPF	Africa Child Policy Forum
AfDB	African Development Bank
AFRODAD	African Forum and Network on Aid and Development
ANCEFA	Africa Network Campaign for Education for All
ANOVA	Analysis of Variance
ARWU	Academic Ranking of World Universities
AU	African Union
AUC	African Union Commission
CBE	Complimentary Basic Education
CDSS	Community Day Secondary School
CEED	Central East Education Division
CESA	Continental Education Strategy for Africa
CFAS	Computers for African Schools Malawi
CLE	Country-level Prospective Evaluations
CPD	Continuous Professional Development
CSCQBE	Civil Society Coalition for Quality Basic Education
CSEC	Civil Society Education Coalition
CSOs	Civil Society Organizations
CSR	Country Status Report
CSS	Conventional Secondary School
CWED	Central West Education Division
DCS	Development Cooperation Strategy
DEM	District Education Manager
DfID	Department for International Development, United Kingdom (UK)
DIAS	Directorate of Inspection and Advisory Services
DP	Development Partner
DPP	Democratic Progressive Party
DRC	Democratic Republic of Congo
DSS	Direct Support to Schools

DTED	Directorate of Teacher Education & Development
ECD	Early Childhood Development
EFA	Education for All
EGR(A)	Early Grade reading (Assessment)
EMIS	Education Management Information System
EQUALS	Equity with Quality and Learning at Secondary
EQUIP	Education Quality Implementation Program
ESA	Education Sector Analysis
E-SWAp	Education Sector Wide Approach
ESIP	Education Sector Implementation Plan
ESPR	Education Sector Perfromance Report
EU	European Union
FFA	Framework for Action
FTI	Fast Track Initiative
GCE	Global Campaign for Education
GDP	Gross Domestic Product
GEMR	Global Education Monitoring Report
GER	Gross Enrollment Rate
GIZ	Deutsche Gesellschaft fur Internationale Zusammenarbeit
GNI	Gross National Income
GoM	Government of Malawi
GPE	Global Partnership for Education
GPI	Gender Parity Index
HDI	Human Development Index
HESLGB	Higher Education Students Loans and Grants Board
HIV/AIDS	Human Immunodeficiency Virus/Acquired Immune Deficiency Syndrome
ICT	Information Communication Technology
IFMIS	Integrated Financial Management Information System
IIEP	International Institute for Educational Planning
ILO	International Labour Organization
LCD	Least Developed Country

LUANAR	Lilongwe University of Agriculture and Natural Resources
MALICO	Malawi Library Information Consortium
MANEB	Malawi National Examinations Board
MAREN	Malawi Research and Education Network
MCP	Malawi Congress Party
MDGs	Millennium Development Goals
MDHS	Malawi Demographic Health Survey
MEGS	Malawi Economic Growth Strategy
MEJN	Malawi Economic Justice Network
MGDS	Malawi Growth and Development Strategy
MIC	Middle Income Country
MIM	Malawi Institute of Management
MLA	Malawi Learning Assessment
MLFS	Malawi Labour Force Survey
MOEST	Ministry of Education, Science and Technology
MOF	Ministry of Finance
MOFEPD	Ministry of Finance Economic Planning and Development
MoGCDSW	Ministry of Gender, Children, Disability and Social Welfare
MOH	Ministry of Health
MPRSP	Malawi Poverty Reduction Strategy Paper
MRA	Malawi Revenue Authority
MSCE	Malawi School Certificate Examination
MTEF	Medium-Term Expenditure Framework
MUST	Malawi University of Science and Technology
MZUNI	Mzuzu University
NAR	Net Attendance Rate
NCHE	National Council for Higher Education
NED	Northern Education Division
NEP	National Education Policy
NER	Net Enrolment Rate
NESP	National Education Sector Plan

NGO	Non-Governmental Organization
NSO	National Statistical Office
OAU	Organisation of African Unity
ODA	Official Development Assistance
ODI	Oversees Development Institute
OECD	Organisation for Economic Co-operation and Development
ORT	Other related Transactions
OSS	Open Secondary School
OVC	Orphans and Vulnerable Children
pCPR	permanent Classroom to Pupil Ratio
PEA	Primary Education Advisor
PER	Public Expenditure Review
PFM	Public Finance Management
PP	Peoples Party
PSLCE	Primary School Leaving Certificate Examination
PTA	Parent Teacher Association
PTR	Pupil to Teacher Ratio
qTPR	qualified Teacher to Pupil Ratio
REFLECT	Regenerated Freirean Literacy through Empowering Community Technique
RUR	Round University Ranking
PIF	Policy and Investment Framework
PSLCE	Primary School Leaving Certificate for Education
QS UR	Quacquarelli Symonds University Rankings
RTD	Resource Dependency Theory
SACMEQ	Southern and Eastern Africa Consortium for Monitoring Education Quality
SADC	Southern African Development Community
SCD	Systematic Country Diagnostic
SDG	Sustainable Development Goal
SDGs	Sustainable Development Goals
SEN	Special Education Needs
SHED	Shire Highland Education Division

SIP	School Improvement Plan
SIG	School Improvement Grant
SMC	School Management Committee
SNE	Special Needs Education
SSA	Sub Saharan Africa
STD	Standard
SWAp	Sector Wide Approach
SWED	South -West Education Division
SWG	Sector Working Group
TCM	Teachers Council of Malawi
TLM	Teaching and Learning Material
TEVET	Technical Entrepreneurial Vocational Education and Training
TEVETA	Technical Entrepreneurial Vocational Education and Training Authority
TOC	Theory of Change
TTC	Teacher Training College
TWG	Technical Working Group
UDF	United Democratic Front
UIS	UNESCO Institute for Statistics
UNDP	United Nations Development Programme
UNECA	United Nations Economic Commission for Africa
UNESCO	United Nations Educational, Scientific, and Cultural Organization
UNICEF	United Nations Children's Fund
UNILUS	University of Lusaka
UNIMA	University of Malawi
USAID	United States Agency for International Development
WASH	Water and Sanitation Health
WB	World Bank
WFP	World Food Programme

ABSTRACT

An Examination of Managerial Perceptions and Strategic Choices in Addressing Dependence on Donor Aid in Financing Education in Malawi

Introduction:

Malawi suffers from high dependence on donor aid which puts the country at high risk of not being able to sustainably finance and achieve international and national goals in education. Proponents of Resource Dependence Theory claim that managers have two important functions of perceiving the environment and making strategic choices. Malawi's long-term development policy framework, *Vision 2020,* which was launched in 1998 sought to reduce dependence on donor aid. However, there is a disequilibrium between policy and outcome since the dependence is still high 20 years after adopting the overarching policy. Reviewed literature leaves knowledge gap as to whether Malawi's perennial dependence on donor aid is a result of failure by managers to perceive the environment and make strategic choices or other factors. It is thus hard to find pragmatic solutions to the problem. The study set out with the objective of bridging the gap in previous studies by examining managerial perceptions and strategic choices in addressing the problem.

Methods:

The study adopted pragmatic philosophy and utilised the triangulation convergence mixed - methods design that employs both qualitative and quantitative methods to collect and analyse data to examine managerial perceptions and strategic choices towards addressing dependence on donor aid. Based on a mix of purposive and random sampling techniques, the study drew a sample size of 162 respondents at managerial level to respond to study questions. The study also subjected 50 policy and strategy documents to qualitative document analysis.

Results:

The study has established differences in managerial perception and strategic choices which are the source of disequilibrium between policy and outcome on as far as reducing dependency is concerned. In this regard majority (57%) of the respondents correctly perceived the environment of high donor dependency, while 43% of them failed to perceive the environment. Majority of those who failed to perceive the environment included female respondents, older respondents, respondents with lower qualifications, primary school head-teachers and government officers. Secondly, it was the strategic choice of most of the respondents (80%) that government should adopt domestic resource mobilisation as a strategy to address donor dependency in financing the education sector. It was also a strategic choice of most respondents (55%) that government should stop reliance on donor funding. However according to the findings those who failed to perceive the environment also preferred that government continues relying on donor funding, thereby confirming the RDT perspective that managerial perception and strategic choices are key variables for tackling dependency. Thirdly, the study established that apart from differences in managerial perception and strategic choices, other factors which made it hard for government to address dependency and were thus contributors to the disequilibrium between policy and outcome, included weak financial diversification strategy, weak mainstreaming of innovation, weak public financial management environment, and weak management capacity to implement policies and strategies. Fourth, the study established that adoption of a diversified domestic resource mobilisation strategy anchored by an elaborate dependency theory of change would be more effective in addressing dependency on donor aid in the education sector in Malawi.

Conclusion:

From the findings the study concluded that differences in managerial persecutions and strategic choices were the source of disequilibrium between policy and outcome in relation to tackling the problem of high dependence on donor aid in the education sector in Malawi. In addition, while addressing perceptions and strategic choices formed crucial functions in tackling dependency as suggested by resource dependency theorists, managers should also pay attention to other factors that contributed to the disequilibrium between policy and outcome. The study concluded that beyond perceiving the environment and making strategic choices to address dependency as advanced by theorists, in the context of Malawi education managers should develop and implement a diversified domestic revenue mobilisation strategy anchored on a robust dependency theory of change that addresses multiple factors contributing to the disequlibrium between policy and outcome.

Key Words: Managerial Perceptions; Strategic Choices; Resource Dependence Theory; Donor aid; Financing Education.

CHAPTER 1: BACKGROUND TO THE STUDY

1.1. Introduction

This is a study motivated by the researcher's interest in contributing to the debate around finding practical and sustainable domestic solutions to the challenge of financing public education within the context of United Nations Sustainable Development Goals (SDGs), African Union Agenda 2063 and national policies and strategies. Financing for education is an important area of interest for the researcher having been involved in advocacy for inclusive quality education for all while working for national and international organisations in Malawi, Zambia and across Africa for the past twenty years. As iconic Nelson Mandela is always quoted, education is an important weapon which can be used to change the world and so it must be made available and affordable for all. Nothing moves without quality education. This study builds on the researcher's experience and examines managerial perceptions and strategic choices in reducing dependence on donor aid in financing education in Malawi.

Malawi's education policy agenda outlined in the 2016 National Education Policy (NEP) and the 2020-2030 National Education Sector Investment Plan (NESIP) is oriented towards achieving equitable access while improving the relevance, quality and governance and management of the education sector (MOEST, 2020; MOEST, 2016). National policies and strategies in education are linked towards the United Nations Sustainable Development Goals (SDGs) framework which has spelt out the Global Education Agenda 2030 in SDG goal #4 which calls on all countries to ensure inclusive equitable quality education and improve lifelong learning opportunities for all by 2030 (United Nations, 2015). The national policies and strategies also commit to implementing the African Union Agenda 2063 and the Continental Education Strategy for Africa (CESA) (African Union, 2016). The education policy agenda, promised to the around 17.6 million Malawians that currently populate the tiny country, if delivered, could be a huge relief to 37% of the population or nearly 6 million inhabitants who are illiterate and face the prospects of a life encapsulated in never-ending poverty. However, delivering such an ambitious agenda requires substantial investments in financial resources which have remained elusive before and after the country's independence from British colonial rule in 1964. Going forward, the country's leadership, and particularly the managers in the education sector, need to rethink, re-strategize, and refocus financing strategies in order adequately and sustainably finance education goals.

One critical issue that emerges from literature is high dependence on donor aid to finance education and development, which is not only sustainable but also exploitative in that the dependent countries are subjected to unwanted conditionalities imposed by the donors. Resource Dependence Theorists pinpoint that it is the responsibility of managers to ensure organizational survival by reducing dependence on donor aid. In addition, an organisation should not have less than six main sources of funding and should not be in a situation whereby more than 60% of resources are from external sources or more than 30% of the budget come from a single source (Leon, 2009; Mitchell, 2012 & Mofokeng, 2014). In minimizing dependence, managers have two important functions of perceiving the environment (the dependency) and making strategic choices (Delke, 2015; Roholf, 2013); hence "managerial perception" and "strategic choice" are important variables in the study.

Malawi's long-term development policy framework, *Vision 2020*, which was launched in 1998 sought to reduce dependence on donor aid (National Economic Council, 1998). However, there is a disequilibrium between policy and outcome since the level of dependence is still high 20 years after adopting the vision. To conclusively establish the source of the disequilibrium, reviewed literature leaves knowledge gap as to whether Malawi's perennial dependence on donors is a result of failure by managers to perceive the environment, differences in perception and strategic choices, or indeed, other factors. Unless, the disequilibrium puzzle is resolved, it will be hard to find lasting pragmatic solutions to the problem of dependence on donor aid in Malawi's education sector. Informed by theory and practice, this study proposes to solve the disequilibrium referred to above, by critically examining the managerial perceptions and strategic choices for tackling the problem.

Finally, the study responds to the call by UNESCO to intensify research in education goals and financing in line with the UNESCO Education 2030 Framework for Action" (UNESCO, 2015). In this regard the framework guides as follows:

> *"The research community has an important contribution to make in education development in general and policy dialogue in particular. It can develop policy-relevant research, including action research, to facilitate the achievement of the targets, and make knowledge on education available in a usable form for policymakers; develop local and national sustainable capacity for qualitative and quantitative research; help chart progress, propose options or solutions, and identify best practices that are innovative, scalable, and transferable."*(UNESCO, 2015: 22).

1.2. Background to the Research Problem

1.2.1. The education policy agenda at global, continental, and national levels

1.2.1.1 Sustainable Development Goals and the right to education

The study is conceptualised within the global development policy agenda set by the United Nations General Assembly (UNGA). In September 2015, a new global vision, called Sustainable Development Goals (SDGs) Agenda was adopted at the UNGA to replace the Millennium Development Goals (MDGs) adopted in 2000 (UN, 2015). The SDG framework set up 17 development goals and 169 targets, with education being at the heart of the SDGs as SDG#4. The SDG goal for education was to "ensure inclusive and equitable quality education and promote life-long learning opportunities for all" (ibid). The SDG#4 and its related targets replaced the Education for All (EFA) agenda adopted in 2000 within the context of MDGs. The new vision for education was arrived at after stakeholders noted that many children and youths were denied their right to education despite efforts made since adoption of Millennium Development Goals (MDGs) and Education For All (EFA) goals in 2000. Data then showed that an estimated 59 million children of primary school age and 65 million adolescents of lower secondary school age were still out of school in 2013. In addition, many of those in school, estimated at 250 million primary school children were not acquiring basic knowledge and skills to read, write or count well enough to meet minimum learning standard (UNESCO, 2015). By 2018 the number of out of school children had not changed much, with UNESCO reporting that an estimated 258 million children, adolescents and youth, or 17% of the global total, were not in school (UNESCO, 2020: 6).

SDG#4 is embraced by all UN agencies including UNESCO, which coordinates UN programmes on education. Before the UNGA that endorsed the SDG Agenda, UNESCO member states gathered in Incheon, South Korea in May 2015, when they made a declaration, in support of the SDG framework and the new vision for education.

Part of the declaration read:

> *"our vision is to transform lives through education, recognizing the important role of education as a main driver of development and in achieving the other proposed SDGs. We commit with a sense of urgency to a single, renewed education agenda that is holistic, ambitious, and aspirational, leaving no one behind"* (UNESCO, 2015: iv).

The Global SDG#4 targets cover all the levels of education from pre-school to primary, secondary, technical, vocational education and training (TVET), university education, and youth and adult education and life-long learning. Together, there are 7 education targets and additional 3 as means of implementation as presented in the table 1.

Table 1: Sustainable Development Goal # 4 Targets

SDG#4 Targets

- 4.1 By 2030, ensure that all girls and boys complete free, equitable and quality primary and secondary education leading to relevant and effective learning outcomes.
- 4.2 By 2030, ensure that all girls and boys have access to quality early childhood development, care and pre-primary education so that they are ready for primary education.
- 4.3. By 2030, ensure equal access for all women and men to affordable quality technical, vocational and tertiary education, including university.
- 4.4. By 2030, substantially increase the number of youth and adults who have relevant skills, including technical and vocational skills, for employment, decent jobs and entrepreneurship.
- 4.5. By 2030, eliminate gender disparities in education and ensure equal access to all levels of education and vocational training for the vulnerable, including persons with disabilities, indigenous peoples and children in vulnerable situations.
- 4.6. By 2030, ensure that all youth and aa substantial proportion of adults, both men and women, achieve literacy and numeracy.
- 4.7 By 2030, ensure all learners acquire knowledge and skills needed to promote sustainable development, including among others through education for sustainable development and sustainable lifestyles, human rights, gender equality, promotion of a culture of peace and non-violence, global citizenship, and appreciation of cultural diversity and of culture's contribution to sustainable development.
- 4.a Build and upgrade education facilities that are child, disability and gender sensitive and provide safe, non-violent, inclusive and effective learning environments for all.
- 4.b By 2020, substantially expand globally the number of scholarships available to developing countries, in particular, least developed countries, small island developing States and African countries, for enrolment in higher education, including vocational training, information and communications technology, technical, engineering and scientific programmes in developed countries and other developing countries.
- 4.c By 2030, substantially increase the supply of qualified teachers, including through international cooperation for teacher training in developing countries, especially least developed countries and small island developing States. Source: United Nations, 2015.

Source: United Nation (2015: 21).

The SDGs have very significant resource implications across the developed and developing world. Global investment needs are in the order of US$5 trillion to US$ 7 trillion per year (UNCTAD, 2014: xi). Estimates for investment needs in developing countries alone range from $3.3 trillion to US$ 4.5 trillion per year, mainly for basic infrastructure (roads, rail, and ports; power stations; water and sanitation), food security (agriculture and rural development), climate change mitigation and adaptation, health, and education (ibid). In the education sector, achievement of SDG#4 is critical given the high demand for quality education in line with latest statistics. However, it is also a costly affair. Initial costs highlighted in the Global Education Monitoring Report (UNESCO, 2016) had not taken into account targets related to tertiary education, skills for work, adult literacy and scholarships. But it was estimated that providing universal pre-primary, primary and secondary education would cost US$ 340 billion per year, including US$ 50.4 billion for low-income countries and US$ 289 billion for lower middle-income countries (UNESCO, 2015b). It was further estimated that over 15 years (2015-2030) the cost would translate to US$ 5.1 trillion globally, US$ 756 billion in low-income countries and US$ 4.34 trillion in lower middle-income countries (*ibid*). The estimated costs are presented in table 2.

Table 2: Annual total cost by education level, US$ billions, 2012 and 2015-2030 average

	Low income countries		Lower middle income countries		Low and lower middle income countries	
	2012	2015–2030 average	2012	2015–2030 average	2012	2015–2030 average
Pre-primary	0.4	4.4	4.4	26.8	4.8	31.2
Primary	7.3	19.9	60.8	109.5	68.1	129.4
Lower secondary	3.6	11.6	34.5	70.2	38.0	81.8
Upper secondary	3.1	14.5	34.5	82.7	37.7	97.1
Total	**14.4**	**50.4**	**134.2**	**289.2**	**148.6**	**339.5**

Source: UNESCO (2015b: 296) & Wils (2015:14).

Against the costing presented above it was noted that there would be an annual funding gap of at least US$39 billion per year between 2015 and 2030 in low- and lower-middle-income countries to finance SDG#4. Sub Saharan Africa was set to face the most significant education funding gap due to its low-income status and high level of fragility (UNESCO, 2019; UNESCO, 2015).

The government of Malawi is aware of the SDGs and acknowledges in its medium-term development framework, the Malawi Growth and Development Strategy (MGDS) that "the SDGs bind all nations in a pact that ensures upward movement of all countries at the bottom of the ladder through partnerships among themselves and with other first world countries in the development process. Malawi is a signatory to the Agenda 2030 and participated in its formation" (GOM, 2017: 4).

1.2.1.2 Continental Education Strategy for Africa (CESA) 2016 – 2025

The continent of Africa is home to millions of illiterate children, youth, and adults. At the time of the adoption of the SDGs, it was estimated that Sub-Saharan Africa (SSA) was home to 47.6 million illiterate youths aged 15 to 24 years and 181.9 million illiterate adults (UIS, 2015). In addition, the continent harboured 93 million out- of- school children and youths, representing 35% of the global figure. The breakdown included 34.2 million children of primary school age, 24 million children of lower secondary school age, and 34.8 million children of upper secondary school age (UIS, 2016). Furthermore, most children in school do not acquire quality education. It was noted that more than 50% of children in school were not able to read and write, and Africa would need to create 2.2 million new teaching positions by 2030, while also filling about 3.9 million vacant positions (UIS, 2016). By 2018, sub-Saharan Africa's share of global total number of out of school children and youth of 258 million increased from 24% in 2000 to 38%, giving a total of 98 million (UNESCO, 2020: 6).

Against the alarming statistics heads of state of the African Union (AU) meeting in Ethiopia in January 2016 approved a 10 - year (2016-2025) Continental Education Strategy for Africa (CESA), which replaced the plan of action for the Second Decade of Education for Africa (2006-2015), and defined Africa's education ambitions aligned to Africa Agenda 2063 (AU, 2016: 5). Through the CESA, the continent of Africa, not only embraced and owned the global SDGs, but also adapted and made them compatible with aspirations of Africans, mindful that "there is no one-size-fits-all when it comes to wants and needs" (ibid: 5). The CESA set its mission as "reorienting Africa's education and training systems to meet the knowledge, competencies, skills, innovation and creativity required to nurture African core values and promote sustainable development at the national, sub-regional and continental levels". The CESA incorporated from pages 22 to 26 up to 12 strategic objectives to be met by AU members states by 2025, including: (1) to revitalize the teaching profession to ensure quality and relevance at all levels; (2) to build, rehabilitate, preserve education infrastructure and develop policies that ensure a permanent, healthy and conducive learning environment in all sub-sectors and for all, so as to expand access to quality education; (3) harness the capacity of ICT to improve access, quality and management of education and training systems; (4) to ensure acquisition of requisite knowledge and skills as well as improved completion rates at all levels and groups through harmonization processes across all levels for national and regional integration; (5) to accelerate processes leading to gender parity and equity; (6) to launch comprehensive and effective literacy campaigns across the continent to eradicate illiteracy; (7) to strengthen the science and math curricula and disseminate scientific knowledge and the culture of science in the African society; (8) to expand TVET opportunities at both secondary and tertiary levels and strengthen linkages between the world of work and education and training systems; (9) to revitalize and expand tertiary education, research and innovation to address continental challenges and promote global competitiveness; (10) to promote peace education and conflict prevention and resolution at all levels of education and for all age groups; (11) to build and enhance capacity for data collection, management, analysis, communication, and improve the management of education system as well as the statistic tool, through capacity building for data collection, management, analysis, communication, and usage; and (12) to set up a coalition of all education stakeholders to facilitate and support initiatives arising from the implementation of CESA 16-25. (ibid: 22-26). Malawi committed to the African Union Agenda 2063, which was the basis for the CESA (GOM, 2017).

At its approval in 2016, the CESA did not have cost estimates. It was noted in the document that there was need to develop a ten-year education sector investment plan at continental, regional and national levels in participatory and collaborative manner. At continental level, the costs were to include the requisite resources for management, implementation, monitoring, and evaluation; At regional level, the estimated costs of implementing the CESA 16-25 at the level of regional economic communities (RECs), were to include resources required for management, implementation, monitoring, and evaluation with special emphasis on Centre of Excellence, networking, and mobility. Furthermore, at national the cost of CESA 16-25 pertinent objectives were to be estimated in accordance with national priorities" (AU, 2016: 37). However, a costing exercise projected by Lewin (2008) demonstrated that the region would require around US$ 17 billion (Lewin, 2008: 24-26). In addition, the EFA Global Monitoring Report team (UNESCO, estimated that meeting the costs of education for basic till to lower secondary education would cost around US$ 27 billion (UNESCO, 2010: 130). Hence the cost of implementing education programmes in Africa would require at least US$17-27 billion.

1.2.1.3. The Malawi Education Policy and Investment Plan towards 2030

At the finalisation of this thesis, Malawi was in the process of developing a longer-term vision, called Malawi Vision 2063. However, from 2000 to 2020 Malawi's national development long-term vision has been *Vision 2020*, implemented through medium term development framework known as the Malawi Growth and Development Strategy (MGDS) (GOM, 2017:8). The MGDS sets out the agenda for sector policies and strategies including those in education, namely the National Education Policy (NEP) (MOEST, 2016) and the National Education Investment Plan 2020-2030, which operationalises the UN SDG#4(MOEST, 2020). Education and skills development is one of the priority areas of the MGDS with the rationale that "an educated and skilled population will help Malawi achieve economic growth and the SDGs" (GOM, 2017: 43). At a practical level, the NEP (MOEST, 2016) and the NESIP 2020-2030 (MOEST, 2020) guide education and skills programme implementation in the education sector in Malawi. The overarching education policy goal is "to promote equitable access to education and improve relevance, quality and governance and management of the education sector. This will ultimately contribute to sustainable socio-economic development and poverty reduction" (MOEST, 2016: 13).

The NEP has three objectives which include: (1) to create an enabling environment for the expansion of equitable access to education for all Malawians; (2) to improve quality and relevance of education to meet socio-economic development needs of the nation; and (3) to improve the operations and efficiency of the education system through good governance and management to deliver education services efficiently and effectively. Based on these objectives, NEP has identified seven priority areas as follows: (i) Quality, accessible and equitable basic education; (ii) Accessible and quality secondary education; (iii) Quality teacher education (primary and secondary); (iv) Quality and equitably accessed TEVET; (v) Quality and equitably accessed higher education; (vi) Quality and equitably accessed open and distance learning; and (vii) Enhanced Science, Technology, and Innovation in Education (*ibid*:14).

The NESIP is the sector strategy aiming to put the NEP goal and objectives into practice for a period of 10 years. The NESIP goal is to promote equitable access to education and improve relevance, quality, and governance and management of the education sector. The NESIP has outlined strategic objectives for all key sub-sectors including early childhood development (ECD), primary education, out of school education, adult literacy and education, secondary education, higher education, technical, entrepreneurial, vocational education nd training (TEVET), teacher education, inclusive education and cross-cutting themes and system governance and management (ibid). For instance, for primary education the strategic objective is improve equitable access to quality learning for all children in Primary Education. The strategic objective for secondary education is to increase equitable access to quality secondary education for all, while for higher education is to ensure access and equity, quality and relevance and effective and efficient governance and management of the Higher Education subsector (MOEST, 2020: 35-36).

Within this policy framework it must be noted that the education system in Malawi comprises five sub-sectors. These are basic education, secondary education, tertiary/higher education, teacher education, and vocational and technical education. Basic education includes programmes such as Early Child Development (ECD), Primary Schooling, and Out-of-School Youth and Adult Literacy (Kamlongera, 2019: 26). While Malawi's education laws and policies commit to ensure education is enjoyed by all citizens there is high demand and access is limited at all levels with adult illiteracy estimated at 37 %, access to early childhood care and education only at 46%, secondary school net enrolment ratio at 15% and tertiary gross enrolment ratio at just 0.4% (MOEST, 2020). Apart from tackling issues of access, the country needs to address the big concerns of quality and equity at all levels. There is a general agreement that quality of education is poor due to shortage of resources such as trained teachers, classrooms, teaching and learning materials (Hall & Mambo, 2015). As a result, the country continues to register poor learning outcomes from international and national assessments such as the Southern Africa Consortium for Monitoring Education Quality (SACMEQ), Early Grade Reading Assessment (EGRA) and Malawi National Examinations Board (MANEB) (MOEST, 2018). Adequate and sustained funding is thus required in order to address the high demand for education at all levels and mitigate the factors contributing to poor learning outcomes in the system.

The overall estimated financial requirements for both recurrent and capital costs for implementing NESIP for the period 2020-2030 was projected at MK9.9 trillion (US$12.4) billion as presented in table 3 (MOEST, 2020: 68), translating to annual investment of (K1 trillion (US$1.2 billion). Out of the expected total cost of the 2020-30 NESIP, MK8.1 trillion ($10.1 billion), is for recurrent expenditure while MK1.8 trillion ($2.2 billion) is for capital expenditure, representing 82 percent and 18 percent of the overall cost, respectively (ibid: 69).

Table 3: NESIP recurrent and capital costs for the period 2020 - 2030 (MK000,000)

Sub Sector	Budget Type	2021	2022	2023	2024	2025	2026	2027	2028	2029	2030	Total Costs
Basic Education	Development	44,075	44,225	45,640	45,672	45,871	50,091	49,082	49,348	49,640	49,962	473,606
	Recurrent	349,900	417,765	533,165	469,264	515,333	608,178	647,706	697,234	678,210	738,514	5,651,269
Secondary Education	Development	91,205	54,102	118,168	54,102	111,600	54,102	130,800	54,102	169,200	54,102	891,479
	Recurrent	51,842	321,952	89,626	100,149	112,643	170,387	182,244	196,950	159,961	174,204	1,559,958
Higher Education	Development	4,656	4,656	4,656	4,656	4,656	4,656	3,756	3,306	3,306	3,306	41,606
	Recurrent	69,652	70,002	73,742	76,233	80,416	82,489	88,004	90,337	95,885	100,601	827,470
TEVET	Development	28,779	82,891	39,984	27,690	25,934	38,240	25,829	25,823	36,379	36,379	367,928
	Recurrent	1,986	3,311	7,497	998	982	784	731	576	1,096	1,142	19,102
System Governance and Management	Recurrent	4,853	6,131	4,886	4,747	5,218	4,831	4,821	4,952	5,651	5,661	51,353
Grand Total		**646,948**	**1,001,105**	**916,964**	**783,510**	**902,651**	**1,013,758**	**1,132,973**	**1,122,667**	**1,199,326**	**1,163,870**	**9,883,771**

Source: MOEST (2020: 68).

In its funding projections, MOEST (2020) has estimated a massive funding gap of US$6.3 billion, as resources from government are projected at US$5.6 billion while donors are expected to contribute about US$417 million. However, government predicts that while the financing gap is MK5.1 trillion ($6.3 billion), this may reduce further considering that most of the development partners had only provided projections of their financial support for only a period of between 2020 and 2025 (MOEST, 2020).

1.2.2. Framework for financing SDGs and the right to education

1.2.2.1. The United Nations Global Financing Framework

The global, continental, and national policy frameworks have somewhat provided frameworks for financing the SDGs and the right to education. The Addis Ababa Action Agenda (AAAA) has provided the global financing framework based on the declarations at the United Nations

Third International Conference for Financing for Development held in Addis Ababa, Ethiopia from 13 to 16th July 2015 (UNDESA, 2015).

The AAAA made financing policy recommendations in such areas as domestic public resources; domestic and international private business and finance; international development cooperation; international trade as an engine for development; debt sustainability; addressing systemic issues; science, technology, innovation, and capacity building; as well as data, monitoring and follow-up. Recommendations which were aligned to the objectives of this study included domestic resource mobilisation, international aid (through international development cooperation), and innovative finance for development. Regarding domestic resource mobilisation, the framework provided as follows:

> *"We recognize that significant additional domestic public resources, supplemented by international assistance as appropriate, will be critical to realizing sustainable development and achieving the sustainable development goals. We commit to enhancing revenue administration through modernized, progressive tax systems, improved tax policy and more efficient tax collection"* (UNDESA, 2015: 11).

Regarding, international aid, the framework provided that:

> *"International public finance plays an important role in complementing the efforts of countries to mobilize public resources domestically, especially in the poorest and most vulnerable countries with limited domestic resources. Official development assistance (ODA) providers reaffirm their respective ODA commitments, including the commitment by many developed countries to achieve the target of 0.7 per cent of ODA/GNI and 0.15 to 0.20 per cent of ODA/GNI to least developed countries. We encourage ODA providers to consider setting a target to provide at least 0.20 per cent of ODA/GNI to least developed countries"* (United Nations, AAAA, 2015: 26-27).

In relation to innovative financing for development, the framework supported the emerging innovative mechanisms for mobilising additional support. The framework noted as follows:

> *"We welcome the progress made since Monterrey to develop and mobilize support for innovative sources and mechanisms of additional financing by the Leading Group on Innovative Financing for Development. We invite more countries to*

voluntarily join in implementing innovative mechanisms, instruments and modalities which do not unduly burden developing countries" (ibid: 33).

The Education 2030 Framework for Action developed by UNESCO also supported the outcomes of the Third International Conference on Financing for Development (UNESCO, 2015). It acknowledged that "Full realization of the Education 2030 agenda requires sustained, innovative and well-targeted financing and efficient implementation arrangements, especially in those countries furthest from achieving quality education for all at all levels and in emergency situations" (UNESCO, 2015: 26). Regarding public financing the framework suggested the following targets:

> *"National contexts are diverse, but the following international and regional benchmarks are crucial reference points: "allocating at least 4% to 6% of gross domestic product (GDP) to education; and/or allocating at least 15% to 20% of public expenditure to education. Least developed countries need to reach or exceed the upper end of these benchmarks if they are to achieve the targets laid out in this framework" (ibid). Furthermore, regarding domestic resource mobilisation, it guides that "As domestic resources will remain the most important source for funding education, there must be a clear commitment by governments to provide equitable financing commensurate with national educational priorities, needs and capacities to advance the progressive realization of the right to education. Countries will need to increase public funding for education; prioritize those most in need; increase efficiency and accountability*" (ibid: 27).

The Education Agenda 2030 also provided guidance on aid for education, as follows:

> *"While recognising that aid would remain as a crucial source of education finance, education partners therefore need to reverse the decline in aid to education, and fulfil all commitments related to ODA such as the commitment by many developed countries to achieve the target of 0.7% of gross national income (GNI) for ODA to developing countries and 0.15% to 0.2% of GNI to least developed countries. Furthermore, there should be a movement towards increasing aid spent on education according to countries' needs and priorities. Aid to education must be predictable"* (ibid).

1.2.2.2. The CESA strategy on financing for Education in Africa

A review of the CESA provided at least three main sources of funding for education in Africa including national domestic resources, donors, and private sector. The CESA considered national mobilisation of resources as essential. It stated as follows:

> *"Given the importance of national resource mobilization for CESA 16-25 implementation, it is essential that sustainable business models be developed that will reflect the following principles: diversification and increasing of funding sources owing to new partnerships, south-south cooperation, private investments, foreign direct investments, diaspora, foundations and other champions; cost sharing with different stakeholders including tuition fees at all levels; strengthening effective and efficient management resource systems in public institutions; and expansion of private education and training providers"* (AU, 2016: 33).

The CESA also set some financing targets to be applied by members states. For instance, in relation to strategic objective (SO) 6 of the strategy, which aims to eradicate illiteracy, the CESA urged members states to increase the share of the education budget allocated to NFET to at least 10% (AU, 2016: 24). And in relation to SO 9 which seeks to revitalize and expand tertiary education, the CESA called for research and innovation to address continental challenges and promote global competitiveness as well as "honour national commitment to allocate 1 percent of GDP to research and innovation" (ibid: 25). In addition, CESA saw private sector CESA as critical for financing education programmes in the continent. The strategy guided that African Union member states "should provide incentives to the private sector with the view to facilitating its involvement in providing direct financial support to public institutions; granting scholarships; providing mentorship and internships opportunities; supporting the management of levies to support education and training; and contributing to special funds for education and training" (AU, 2016: 33). Furthermore, the strategy urged members states to among others, "enhance private sector investment in the education and training systems through developing enabling legislation and efficient policies" (AU, 2016: 31).

Moreover, the CESA encouraged donor support through a strategy of mobilisation of technical and funding partners. In this regard the CESA provided that the strategy for mobilizing the technical and funding partners would consist of reaching out to the partners at the continental level and beyond so that they provide a strong backing to the implementation of CESA 16-25. However, CESA had this guidance:

> *"Partners are invited to provide meaningful and consistent support to the implementation of the ambitious programmes embedded in CESA 16-25, and this should be achieved through bilateral and multilateral negotiations and partnerships at national, regional and continental levels"* (AU, 2016: 34).

Furthermore, CESA supported innovative financing as a prerequisite for sustainable financing and as a prerequisite for the success of the strategy. Thus, CESA stated:

> *"Innovative mechanisms for sustainable financing and mobilization of resources are a pre-requisite for the success of the CESA. New financing mechanisms to mitigate the burden on the public must be implemented including the effective deployment of the private sector"* (AU, 2016: 33).

1.2.2.3. Framework for Financing the Malawi NESIP 2020-2030

In Malawi, the framework for financing the Malawi NESIP 2020-2030 is conceptualised within three key documents. The documents are *Vision 2020*, *Malawi Growth and Development Strategy III (MGDS III) 2017-2022*, and *the National Education Investment Plan (NESIP) 2020-2030*. As a long-term development policy framework, *Vision 2020* considered sustainable economic growth and development as one of the strategic challenges of Malawi (National Economic Council, 2020: 29). According to the vision, Malawians aspire to achieve sustainable growth and development and become a middle-income country with per capita income of US$1,000 by the year 2020 (ibid). Focus areas in the vision included how to develop the manufacturing sector, increase savings and investment, develop the financial sector, develop tourism, make Malawi and export-oriented economy, develop agriculture, develop mining and how to develop an entrepreneurial culture and skills (ibid). *Vision 2020* outlined five strategies for achieving sustainable economic growth and development. The strategies included developing the manufacturing sector, developing the mining sector, developing agriculture, increasing savings and investment and developing the financial sector.

In addition, *Vision 2020* outlined 13 several strategies that aimed to develop the economic infrastructure. The strategic options included improving physical planning, roads development, rail transport development, water transport development, improving rural transport, promoting efficient electricity supply and distribution, improving supply of petroleum products, reducing dependence on fuelwood, improving communications, increasing access to water, improving sanitation services, and improving the construction industry.

Vision 2020 made reducing dependence on aid and ensuring self-reliance as a strategic goal. The vision statement reads as follows:

> "*By the year 2020, Malawi as a God-fearing nation will be secure, democratically mature, environmentally sustainable, self-reliant with equal opportunities for and active participation by all, having social services, vibrant cultural and religious values and being a technologically driven middle-income economy*" (ibid: 21).

Furthermore, *Vision 2020* made the position about dependence on aid as follows:

> *"Malawi is heavily dependent on donors. In addition, Malawians depend on government for the provision of goods and services. This situation has been aggravated by political statements, which promise help from the government. This has killed the self-help and hardworking spirit among Malawians. The challenge, therefore, is to inculcate a spirit of self-reliance at national and local level*" (ibid: 34).

The vision indicated that the strategic options to strengthen the spirit of self-reliance and community participation included reducing and rationalizing government borrowing and donor aid (ibid).

Some education sector specific strategies for financing education outlined in *Vision 2020* included introducing entrepreneurial subjects in curricula, increasing budgetary allocations to primary education, increasing R&D funding to reach at least 1 percent of GDP, and introducing a research and development (R & D) levy on industry (ibid: 35, 53, 60).

The MGDS identified domestic revenues, external grants, debt (both internally and externally), public private partnerships (PPPs), and regional and international financing initiatives as some of the sources of financing for development in Malawi. In this regard, the MGDS stated as follows:

> *"The MGDS III will be financed through three sources: domestic revenues, external grants, and debt (both internally and externally). Additionally, PPPs for infrastructure programmes shall be encouraged. Other likely sources of financing are regional and international financing initiatives*" (GOM, 2017: 69-70).

The MGDS acknowledged that development assistance (ODA) would continue to play a key role in supporting Malawi's development objectives and the achievement of the SDGs and other international development frameworks" (ibid: 2). Concerning domestic resource mobilisation, the MGDS stated that *g*overnment would continue to focus on the policies aimed at expanding the revenue base and stimulating investment and economic activities. These would include a comprehensive review of the tax system to: (i) develop an efficient tax system; (ii) broaden the tax base by including the huge informal sector which is under-represented within the tax net; (iii) develop tax incentives that promote investments in support of National Development Goals; and (iv) establish ways of improving the tax refund system" (ibid: 26). In addition, the MGDS stated that concerning PPP financing, *w*ith the emergence of private sector investors in major growth sectors such as energy, water, communications, and government policy would promote financing of flagship projects through Public-Private Partnership arrangements (ibid). Furthermore, government would develop the capital market which remains underdeveloped to fund the long-term investment needs of both the public and private sector. To achieve this government would provide a supportive policy, regulatory and institutional framework to spur long-term economic growth. Additionally, to complement domestic resource mobilization efforts, government would mobilize financing resources in large part through concessional borrowing. "This will ensure that the Government debt is maintained at sustainable levels and that the private sector is not crowded out" (ibid: 27).

At education sector level, a review of the national education policy (NEP (MOEST, 2016) showed that the NEP did not offer a detailed framework for financing the policy. The NEP simply stated that "the Ministry of Finance, Economic Planning and Development will be responsible for funding education programmes and related services"(MOEST, 2016: 31). In contrast, the NESIP 2020-2030 dedicated a chapter on financing and funding models. The NESIP identified government and development partners (donors) as main sources of funding, calling for increased support from donors:

> *"The education sector continues to receive the biggest share of the national budget which is projected to increase steadily as the country is expected to benefit from the rapid economic growth in the subsequent years. Despite this, the education sector will require increased financial support from the Development Partners to meet the national targets"* (MOEST, 2020:67).

To facilitate donor financing of the ten-year strategy NESIP suggested at least three funding modalities, including General Budget Support, Education Services Joint Fund (ESJF), donor project/program support (ibid: 75).

1.2.3. The fluctuating donor aid landscape for education

Given the high demand for education and the high cost of funding SDG#4, one of the recommendations from the international community was to ensure increased and sustained financing to make meaningful gains (UNESCO, 2015; GCE, 2015). A review of the financing frameworks at global, continental, and national levels demonstrated that donor aid or official development assistance was one of the sources of finding for the education agenda 2030 (United Nations, 2015; UNESCO, 2015; AU, 2016; MOEST, 2020). The notion of ODA emerged from the 1969 Pearson Commission, which called on the industrialized countries to provide 0.7% of their gross national product as official development assistance. The 0.7% target was reflected in recent commitments under the banners of Millennium Development Goals (MGDs) (Vangelis 2002) as well as international financing for development platforms such the Development Assistance Community (DAC) High Level Meeting in 2014 (OECD, 2014), the Addis Ababa Action Agenda (United Nations, 2015), the 2030 Agenda for Sustainable Development (United Nations, 2015), and in the European Consensus on Development (European Commission, 2016).

Education is one of the social sectors that has enjoyed large volumes of aid at increasing levels since the 1970s. Aid flows to education continued at a steady increase from an average of US$7 billion in the 1970s to US$ 8 billion in the 1990s (Niño-Zarazúa, 2015: 6). Between 1999 and 2003, overall aid to education averaged US$5.5 billion of which US$1.5 billion went to basic education (UNESCO, 2006: 118). Following the adoption of the MDGs and EFA goals in 2000, global aid to education rose from US$6.5 billion in 2002 reaching a peak of US$14.2 billion in 2010 (ANCEFA & IBIS, 2016).

The profile above suggests that donors have consistently provided aid to education over the past 50 years. However, although donors have consistently provided funding for education to least developed countries like Malawi, trends show a fluctuating aid landscape with general declines especially in the Southern Africa region. This is illustrated in figure 1.

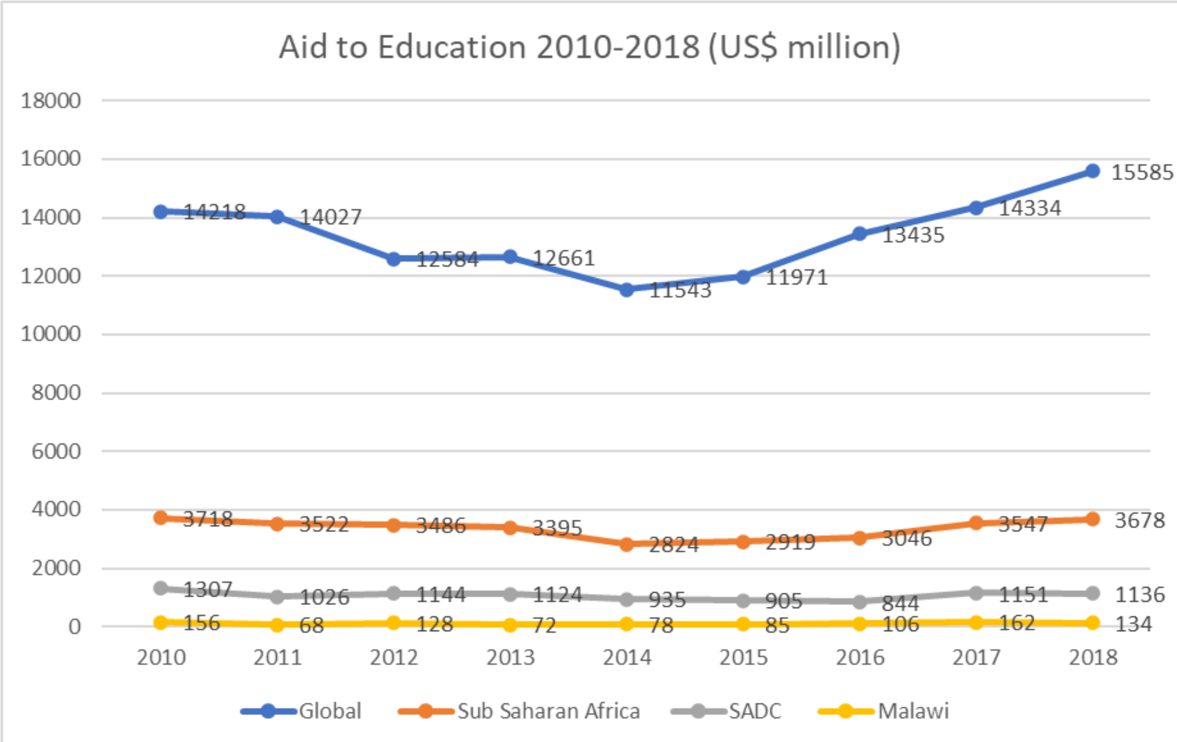

Figure 1: Fluctuating trends in donor aid to education 2010-2018
Source: UNESCO (2012; 2015; 2016; 2017; 2018; & 2020).

Over the period of nine years (2010-2018) figures for global aid to education have been fluctuating from year to year as illustrated in figure 1 above. Trend analysis shows global aid reached US$14,218 million in 2010 but slumped to US$11,543 million in 2014 before rising to US$15,585 million in 2018 (UNESCO, 2012-2020). The share of aid to education versus overall ODA averaged US$13, 373 million and represented 8.9% of global ODA between 2010 and 2017(GCE, 2015: 6; UNESCO, 2016 and OECD, 2019).

Aid to education in Sub Saharan Africa has been among the highest and made up more than a quarter of total global aid to education of US$ 120,358 million in the past nine years (OECD, 2019). From 2010 to 2018 education aid to the continent started with a peak of US$3718 million before slumping to the lowest figure of US$ 2824 million in 2014. In 2015 aid figures began to rise from US$ 2919 million, to US$ 3046 million in 2016 before reaching second highest figure of US$3678 million in 2018. Over the nine years education aid figures to the continent totalled at least US$30135 million (UNESCO, 2012-2020; OECD, 2015 & 2019).

In Southern Africa Development Community (SADC) region where Malawi is located, education aid figures have been on general decline from 2010 to 2018. Starting with a peak of US$1307 million in 2010, aid figures in subsequent years were US$1026 million, US$1144 million, and US$935 million in 2011, 2012 and 2014, respectively. The lowest amount of education aid in SADC over the past nine years was in 2016 at US$844 million. A calculation of aid figures from UNESCO global monitoring reports from 2012 to 2020 showed that aid to SADC region averaged US$1064 million and totalled US$ 9572, representing one third of total aid to the continent. Further calculations showed that 10 of the 15 SADC countries (67%) experienced general decline in education aid received from 2010 to 2018 and these included Zambia, United Republic of Tanzania, South Africa, Namibia, Mozambique, Malawi, Lesotho, Eswatini, Democratic Republic of Congo (DRC) and Botswana (UNESCO, 2012-2020). Comparative analysis showed that total education aid in SADC countries declined by US$171 million from US$1307 million in 2010 to US$1136 million in 2018 a decline of 13%. This decline reflected at country level. For instance, Aid to Tanzania declined from US$323 million in 2010 to US$190 million in 2018, for Mozambique from US$259 million to US$202 million, for South Africa from US$108 million to US$62 million and for Malawi from US$156 million to US$134 million (UNESCO, 2012 and UNESCO, 2018). Table 6 illustrates the extent of the declines.

Table 4: Declining donor aid in education in SADC countries 2020-2018 (US$ millions)

	2010	2011	2012	2013	2014	2015	2016	2017	2018	Totals	Average
SADC Region	1307	1026	1144	1124	935	905	844	1151	1136	9572	1064
Angola	26	42	43	65	85	75	55	36	27	454	50
Botswana	35	19	3	19	32	9	3	20	4	144	16
Comoros	15	14	13	16	16	14	15	16	18	137	15
DRC	145	130	116	132	92	58	97	127	154	1051	117
Eswatini/Swaziland	12	20	8	5	5	7	6	6	8	77	9
Lesotho	21	23	14	10	3	3	8	11	7	100	11
Malawi	156	68	128	72	78	85	106	162	134	989	110
Madagascar	51	49	43	65	85	75	55	82	65	570	63
Mozambique	259	245	216	225	192	174	170	206	202	1889	210
Namibia	21	32	62	68	46	22	16	18	29	314	35
Seychelles	5	2	2	3	1	1	3	140	155	312	35
South Africa	108	90	105	68	39	98	63	64	62	697	77
U.R. Tanzania	323	183	260	262	135	207	179	193	190	1932	386
Zambia	109	77	66	55	71	39	43	37	39	536	60
Zimbabwe	21	32	65	59	55	38	25	33	42	370	41

Source: UNESCO (2012, 2015, 2016, 2017, 2018 and 2020).

Malawi was ranked 4th in total amount of education aid for education received within the SADC region for the period 2010 to 2018. The top five recipients of aid included Tanzania (US$1932 million), Mozambique (US$ 1889 million), DRC (US$1051), Malawi (US$989 million), and South Africa (US$697 million), while the lowest recipients included Eswatini (US$77 million), Lesotho (US$ 100 million and Comoros (US$ 137 million). The details are provided in figure 2.

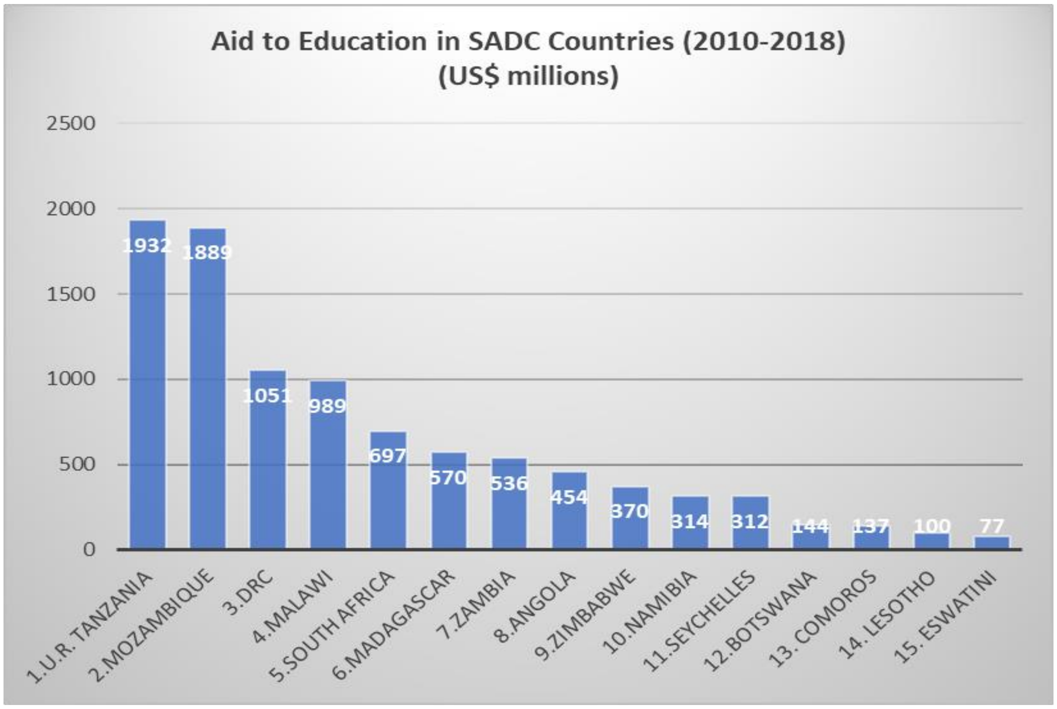

Figure 2: Total Aid to SADC countries in US$ million (2010-2018)
Source: UNESCO (2015-2020).

As one of the highly aid dependent countries, Malawi's ODA for education averaged US$110 million over the period from 2010 to 2018. Analysis showed the education aid figures sailing in ups and downs. For instance, aid declined from US$156 million in 2010 to US$68 million in 2011 before it increased to US$ 128 million in 2012 and declined to US$85 million in 2015. Aid amount reached US$106 million in 2016, before rising to US$162 million in 2017 and declining to US$ 134 million in 2018 (UNESCO, 2018-2020). The fluctuating levels of aid have a bearing on the predictability and sustainability of the national education budget as well as funding allocations to public schools, colleges, and universities (MOEST, 2014).

Malawi's dependence on aid is against a background of a humble economy feeding a population of 17.6 million people (NSO, 2019). The country's economy is small, agro-based, and susceptible to weather shocks. With a GDP of around MK6 trillion (roughly US$8 billion) and GDP per capita of just US$360 (World Bank 2018/Africa Economic Outlook 2018), Malawi is categorised as a least developed country, ranking 171 out of 189 countries on the 2018 United Nations Human Development Index (UNDP, 2018). With poverty hovering around 51.5% nationwide, essential services such as health and education are hard to come by and most families suffer from high dependency ratio estimated at 95 in 2015, then higher than the sub-Saharan Africa average of 86 (World Bank, 2018). Due to the size of the economy, even though the national budget is largely funded by government through taxes and trade, it is characterised by strong competition for resources across many government programmes and sectors as well as huge deficits which are financed by debts and aid money from foreign donors (MOF, 2019).

Recent trend analysis shows that international aid is not 100% reliable because there are several challenges associated with it. The first challenge is that even though there is a constant flow of aid to low-income countries since the adoption of MDGs and EFA goals in 2000, donors have failed to honour the aid target set by the UN of committing 0.7% of GNI for ODA. According to OECD (2016) the net ODA as per cent of GNI was 0.30% in both 2014 and 2015. In 2015 only seven donor countries reached the spending target of 0.7% and these included Denmark (0.85%), Luxembourg (0.93%), the Netherlands (0.76%), Norway (1.05%), Sweden (1.40%), the United Kingdom (0.71%) and the United Arab Emirates (1.09%) (UNESCO, 2017).

The second challenge is that education is no longer at the top of the ODA agenda, and the shift has gone to other social sectors such as health and transport. According to UNESCO (2017), the education's share of total aid (excluding debt relief) fell six years in a row, from 10% in 2009 to 6.9% in 2015, while the share of aid to the health and population sector increased from 11.4% in 2004 to 15.9% in 2013, followed by a sharp fall in the following two years. The transport share, which was two thirds that of education in the mid-2000s, has been equal to it or higher since 2012 (UNESCO, 2017:272). In addition, education attracts less multilateral funding at 34% of total education aid than health at 65% of total aid to health (Steer & Smith, 2015: 6).

The third challenge is that although least developed countries face a huge funding gap and as such deserve significant increases in aid there are indications that inadequate aid may be available for such countries especially in Sub Saharan Africa. Evidence shows that although ODA peaked US$132 billion in 2015, only 30% of total ODA (approximately US$40 billion) was allocated to the least developed countries, the lowest share since 2006 when developed countries committed to mobilising US$ 100 billion per year by 2020 to support developing country efforts (OECD, 2016). In addition, recent trends show that other regions may be getting more donor attention than Sub Saharan Africa in terms of allocation of education aid. For instance, between 2002 and 2010 when there was steady increase in aid, education aid increased by 77% globally but only by 38 percent for SSA (Fredriksen & Kagia, 2013: 48). The share of total aid to the region also slightly declined over time—from 36.1 percent in 2002 to 25% percent in 2018 (OECD, 2016; UNESCO, 2020).

The fourth challenge is that a substantial amount of aid is not reaching recipient countries particularly the low-income countries in Africa. According to evidence, Country Programmable Aid (CPA), which is directly controlled by developing countries in their aid programming, was not fully availed for use by recipient countries. Steer & Smith (2015) noted that by 2013 above 70% of the CPA was made available for expenditure at country level, while 30% remained in the donor countries. Moreover, although total sector-allocable aid for all levels of education reached an average of $11.7 billion from 2011 to 2013, only $8 billion, or about 70 percent, was available for spending at the country level. The low-income country share of CPA that reached countries declined from a peak of 58.9% in 2010 to 52.1% in 2013 (Africa Economic Outlook, 2016: 67). Other challenges of aid are that aid promotes dependency, aid resources are susceptible to corruption, and aid is subject to donor politics (UNECA, 2015 and Ng'ambi, 2011). As international aid cannot be relied upon, the strategic choice in financing SDGs towards 2030, is therefore, for countries to "strengthen domestic resource mobilization, including through international support to developing countries to improve domestic capacity for tax and other revenue collection" (United Nations, 2015). Managers, therefore, need to embrace this strategic choice and look for more strategic options for diversifying revenue collection at country level.

1.3 Statement of the Problem

This study examines managerial perceptions and strategic choices in reducing dependence on donor aid or official development assistance (ODA) in financing education in Malawi. The problem that concerns the researcher is that government of Malawi has developed high dependence on donor aid which puts the country at high risk of not being able to sustainably finance and achieve sustainable development goals and national goals on education by 2030. Donors finance government by means of grants and loans which are channeled both through the national budget and through off-budget projects (Hall & Mambo, 2015, World Bank (2016). At the beginning of 2020 the main donors financing education and other development programmes were UK DFID, USAID, JICA, World Bank, IMF, Irish Aid, and Global Partnership for Education (GPE) (MOEST, 2020).

Malawi’s dependence on donor aid to finance its budget has a long history. The dependence started in the latter days of the colonial era in the 1950s when the UK provided funding through the Colonial Development and Welfare Fund grants amounting to £6 million (MK12 million) up to March 1961 (Phillips Report, 1962). Soon after independence in 1964, other donors joined, including the World Bank which between 1967 and 1983 approved five credit projects which provided support to various areas in education as well as preparation of national education plan (Rose, 2003; World Bank, 1990 & Kapur, *et al*. 1997). From 1991 to 1998, USAID signed agreements with government to fund two projects focusing on girls with grants amounting to US$20 million and US$25.5 million respectively (Moulton *et al* 2002: 22). According to Fagernäs and Schurich (2004) overall bilateral aid was 70% of total financing in education in the 1970s and 50% in the 1980s and since the 1980s, overall grants and foreign loans on average represented equal shares in total financing, adding to 30%. On their part, Carter and Fölscher (2012) noted that between 2004 and 2010 net external aid flows to Malawi averaged about USD 753 million a year and 21% of GNI. In recent years, donor contributions ranged from 53% to 87% of the national budget (averaging 68%) and from 23% to 53% of the education budget (averaging 37%) over the period 2010 to 2018 (MOF, 2019, UNESCO 2020). Figure 2 shows trends in donor contributions to the education sector from 1970 to 2018.

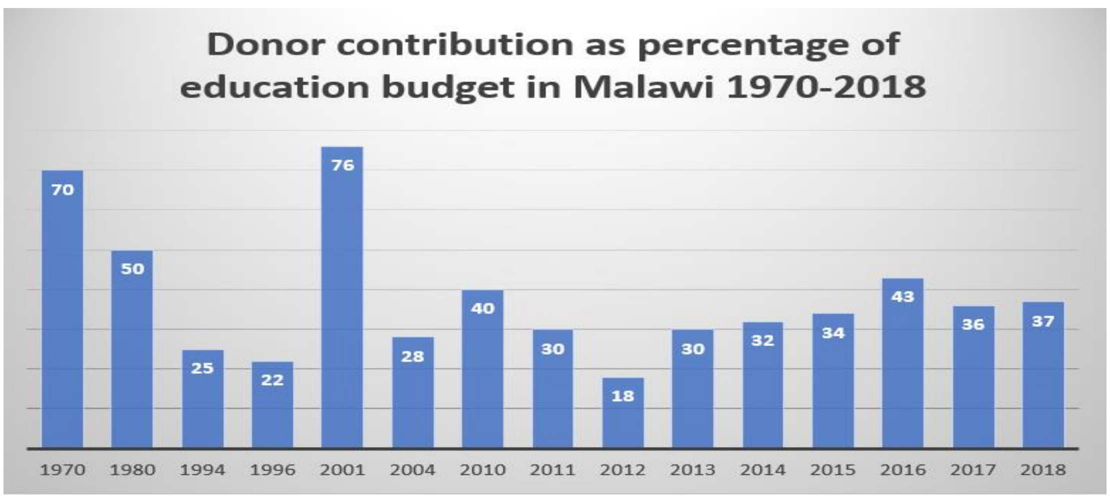

Figure 3: Donor contributions as percpentage of the education budget 1970-2018
Source: Chart created with data from Samer Al-Samarrai (2003), Fagernäs and Schurich (2004), Ng’ambi (2011), JICA (2012), World Bank (2013), Hall and Mambo (2015), & UNESCO (2012-2018).

Malawi's aid per capita is one of the highest in the SADC region. In 2016 Malawi's aid per capita in basic education was $21 (UNESCO, 2018), which constituted 87.5% of the unit cost in the sub-sector of US$24 (MOEST, 2018), while aid per capita in secondary education was US$7 (UNESCO, 2018), which constituted 4.2% % of the unit cost which amounted to US$167 (MOEST, 2018). Compared to other countries Malawi's aid per capita in basic education was second highest in SADC after Seychelles' estimated at US$156 but was sixth for secondary education after Seychelles (US$66), Namibia (US$27), Comoros (US$18), Mozambique (US$11), UR Tanzania (US$10) and Lesotho (US$7)(UNESCO, 2018: 346). Mororver, Malawi's heavy dependence on donor aid is illustated by the fact that its ODA per capita as percent of GDP per capita is highest in SADC region (UNESCO, 2018). Details are provided in figure 4.

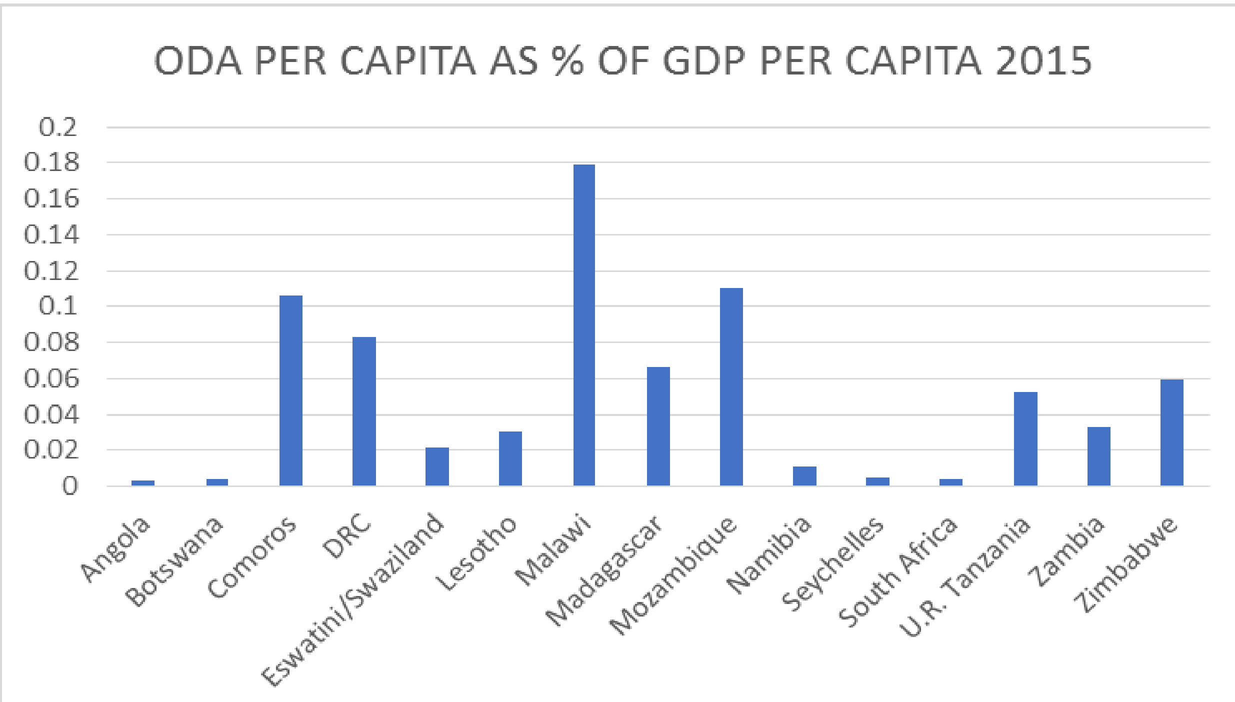

Figure 4: ODA per capita as % of GDP per capita in SADC countries
Source: UNESCO (2018).

The problem of dependence on donor aid in Malawi is against the background of limited domestic sources of funding education and development. Despite growing body of literature on innovative financing and spending, government is just exploiting traditional funding mechanisms which are limited to three, namely government, households, and donors. Government resources largely come from domestic revenues through tax revenues (such as income tax) and non-tax revenues (through departmental receipts and parastatal dividends) and borrowing (domestic and foreign debt) to cover deficits (CSEC, 2017). Households finance education by paying tuition fees, boarding fees, examination fees, school development fees as well as purchase of uniform and teaching and learning materials. Over the past seven years (2013-2020) domestic revenues averaged 18.79% of the GDP, which is below the international benchmark of 20% and local policy (MGDS) target of 24% (MOF, 2017; UNICEF, 2019 & MOF, 2020).

Limited sources of funding have led to failure by government to allocate adequate funding to the education sector. Government has failed to meet the upper end of allocating at least 15-20% of the national budget and 4-6% of the GDP to education as recommended by international stakeholders (UNESCO, 2015; GPE, 2015). Over the past ten years education has been allocated an average of 18% of the budget. In 2019/20 budget the allocation to education was 19.6% of the budget, while for 2010/21 it reduced to 17.5% (MOF, 2019 & 2020). As a result, the budget has been characterized by funding deficits/gaps averaging K19.8 billion over the past four years which have contributed to failure to implement educational programmes and achieve education goals within the time frame. Moreover, budget deficits have grown even as donor contributions have increased in recent years - a thing of concern given erratic and unreliable nature of donor support.

At institutional level, public schools, colleges, and universities, depend on funding from government. For instance, public universities are very much dependent on public coffers with over 70% of university budget being funded by government (MOEST, 2018). In recent times, higher education has constituted around 20% of education sector budget. Most of the public universities report huge deficits year in and year out. With unit cost hovering around an average of K3 million per student per year, government foots more than 80% of the unit cost, since public university fees for sponsored students is around K400,000 for most degree programmes, among the lowest in Africa (MOEST, 2019: MOEST, 2018).

Resource dependence theorists suggest that in an ideal scenario, organizations should have at least six funding sources and avoid a situation where one source of funding makes up 60% of its budget or where external sources constitute more than 30% of the budget (Leon, 2009; Mitchell, 2012 & Mofokeng, 2014). However, the reality for Malawi, as illustrated in table 5, is that donor contribution as percentage of both the national budget and the education sector budget, is higher than 30% which is maximum for organizations that seek to reduce dependence. Moreover, the education sector depends on less than six main sources of funding. Hence, dependence on donors in the education sector could reasonably be categorized as high and risky.

Table 5: Trends in ODA and allocations to Education in Malawi Budget 2010-2018

Description	**2010**	**2011**	**2012**	**2013**	**2014**	**2015**	**2016**	**2017**	**2018**
National Budget ($ million)	1827	1385	1602	1747	1951	1357	1570	1721	1934
Total ODA Malawi ($ million)	1087	799	1190	1173	925	1038	1241	1491	1673
Education Budget ($ million)	296	238	308	291	246	253	249	291	356
Education ODA ($ million)	156	68	128	72	78	85	106	106	134
Percentages	*2010*	*2011*	*2012*	*2013*	*2014*	*2015*	*2016*	*2017*	*2018*
Total ODA as % of National Budget	59	58	74	67	47	76	79	87	87
Education ODA as % of Education Budget	53	29	42	23	32	34	43	36	38
Education budget as % of National Budget	16	17	19	17	13	19	16	17	18

Source: Ng'ambi (2011), JICA (2012), World Bank (2013), Hall and Mambo (2015), UNESCO (2012-2020); OECD (2018-2020) & MOF (2012-2020).

Malawi's dependence on donors for aid is more pronounced due to a funding gap created after the country embraced the global development agenda on education by integrating SDG #4 in its newly developed ten-year (2020-2030) plan called National Education Investment Plan (NESIP). With the urgent need to make an impact on the lives of 2.4 million out of school children and 4.7 million illiterate youth and adults in the country (NSO, 2019), there is an estimated funding gap of MK5.1 trillion ($6.3 billion) out of the estimated K9. 88 trillion ($12.4 billion) required to achieve the new vision in the NESIP (MOEST, 2020). To address the gap, the Ministry of Education has placed high expectation that donors will increase their funding (MOEST, 2020). This expectation perpetuates donor dependency mindset.

Various authors such as Page (2018), Mwanamanga (2015), Wamba and Mgomezulu (2014), and Chiumia and Simwaka (2012) have debated the positive and negative sides of donor aid in Malawi as highlighted in the literature review chapter. However, in line with the theoretical framework for this study, donor dependency is problematic and detrimental to the implementation of organizational plans and organizational survival altogether because among others, external resources are uncertain, unsustainable and attract negative conditionalities (Pfeffer & Salancik, 1978: 26). Resource dependence theorists pinpoint that it is the responsibility of managers to ensure organizational survival by minimizing any situation of dependence (ibid). However, in minimizing dependency, managers have two important functions of perceiving the environment (the dependency) and making strategic choices, hence "managerial perception" and "strategic choice" are important variables as they relate to perception of the environment (Delke, 2015). The study conceptualizes that there is correlation between perception and strategic choice. As noted by Özleblebicia and Çetin (2015) people's perceptions have a direct influence upon their decision-making and consequently, the result of their decisions" (Özleblebicia & Çetin, 2015:297). Moreover, in strategic management, success would depend on a shared perception and vision, since differences in perception and strategic choice can lead to failure, and organizations should thus aim to lessen the differences (Roholf, 2013). Perceptions and strategic choices managers make for an organization can differ widely, partly due to cultural differences affecting mental models and ways to manage, managers´ characteristics such as age, class, gender, generation, and ethnicity (ibid). Hence, as managers perform their functions of perception and strategic choice, there is need to identify and lessen differences through such activities as awareness and training (Roholf, 2013; Keeton and Mengistu, 1992).

Malawi's long-term development policy framework, *Vision 2020*, which was launched in 1998 sought to reduce dependence on donor aid (National Economic Council, 1998). In addition, other policies and strategies contain goals and objectives related to reducing dependency on donors and outline several strategies to enhance domestic resource mobilization solutions (GOM, 2001; 2006, 2012 & 2017). However, there is a disequilibrium between policy and outcome, since dependency on donors is still high even after 20 years of developing *Vision 2020* which sought to among others, reduce dependency on donors (National Economic Council, 1998). To conclusively establish the source of the disequilibrium, reviewed literature leaves knowledge gap as to whether Malawi's perennial dependency on donors is a result of failure by managers to perceive the environment, differences in perception and strategic choices, or other factors. Unless, the disequilibrium puzzle is resolved, it will be hard to find lasting pragmatic solutions to the problem of dependence on donor aid in Malawi's education sector. Raising awareness to change managerial perceptions and strategic choices towards dependency and building the capacity of managers through training to innovate and come up with alternative financing options could reduce dependence on donor aid and ensure that more resources are available and sustained to finance education and achieve SDG#4 by 2030.

Informed by theory and practice, this study proposes to solve the disequilibrium between policy and outcome referred to above by examining the managerial perceptions and strategic choices for addressing dependence on donor aid in financing education in Malawi. The examination will include the description and identification of possible differences in managerial perceptions and strategic choices in addressing dependency. The study will apply pragmatic philosophy and employ both qualitative and quantitative approaches to collect and analyze primary and secondary data. Moreover, the study shall apply study findings as well as resource dependence theory, strategic choice theory, human capital theory, public finance management theory and theory of change to make recommendations to inform policy and practice to address the research problem.

1.4 Objectives of the Study

The study was informed by the following objectives:

1) To establish if there are differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi;
2) To establish if there are differences in education managers' strategic choices for addressing dependence on donor aid in the education sector in Malawi;
3) To discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi;
4) To identify funding strategies which have potential to reduce dependence on donor aid in the education sector in Malawi;
5) To define a theory of change for addressing dependence on donor aid in the education sector in Malawi.

1.5 Research Questions

The study was guided by the following research questions:

1) Are there differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi?
2) Are there differences in strategic choices of managers in reducing dependence on donor aid in the education sector in Malawi?
3) Which factors contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi?
4) Which funding strategies have potential to reduce dependence on donor aid in the education sector in Malawi?
5) What should be the key features of the theory of change for addressing dependence on donor aid in the education sector in Malawi?

1.6 Research Hypothesis

Hypothesis 1

- ***H_0*** *: There are significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*
- ***H_1*** *: There are no significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*

Hypothesis 2

- ***H_0*** *: There are significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.*
- ***H_1*** *: There are no significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.*

1.7 Assumptions of the Study

Organisation culture requires that there be a shared belief system among the members (Spender, 1983). Differences in perceptions among organizational members suggest that the existence of such a shared value system (such as strategy development culture) throughout the organization be questioned. But when differences in perceptions among the members are identified, it is easier to target the indifferent individuals for training, development programs and even change programmes to lessen the differences in perception (Keeton & Mengistu, 1992). It is, therefore, important to identify and analyse differences in perception in order to offer practical solutions to a problem such as dependency. Where differences in perception occur, it is necessary that the organisation should strive to lessen the differences (Roholf, 2013: Spender, 1983). Against this premise and in line with the hypotheses presented above, the study had the following assumptions:

1) There is a link between “managerial perceptions” and “strategic choices” since “people’s perceptions have a direct influence upon their decision-making and consequently, the result of their decisions” (Özleblebicia & Çetin, 2015:297). It was thus assumed in this study that there is correlation between perception of dependency and strategic choice to the extent that

differences in perception could result in differences in strategic choices. Where managers perceive dependence to be high, they are more likely to employ several strategies to address financial dependency. However, it is to be noted that choices managers make for an organization can differ widely, partly due to cultural differences affecting mental models and ways to manage, managers´ characteristics such as age, class, gender, generation and ethnicity (Roholf, 2013).

2) The study assumed that significant differences in terms of age, gender, education level and institution type in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi could influence strategic choices in reducing dependency. Respondents who perceive the level of dependence to be high would have a strong feeling against such dependence and propose solutions for breaking away from it, and vice versa.
3) The study assumed that significant differences in terms of age, gender, education level and institution type in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi could lead to the disequilibrium between policy and outcome in reducing dependency.

1.8 Scope of the Study

The scope determines the study boundaries in terms of content, location or geographic limits, methodological limits, and respondent categories (Sidhu, 2009: 59). In terms of content, this study examined managerial perceptions and strategic choices in addressing the problem of dependence on donor aid in financing education in Malawi. The examination included a description of the perceptions and strategic choices of managers of education institutions on the level of dependence in the education sector, their opinion as to whether the strategies implemented by government had a positive effect on reducing dependence on donor aid, and their suggestions regarding the strategies that could make significant contribution towards reducing dependency. The study particularly examined strategies undertaken by public institutions under the Ministry of Education, and covered three levels of education namely, primary education, secondary education, and tertiary education. In these institutions, main respondents were head teachers and principals of schools, colleges, and universities. Additional respondents came from national level stakeholders such as senior education officials at district and national level, directors of government and non-governmental organisations such as NGOs, donors, and members of parliament. The study focused on primary, secondary, and tertiary education levels of education. Due to the nature of the study, the methodology involved purposive and random sampling techniques which offered predictable accessibility of data. Analysis and interpretation of government investment strategies depended on selected variables including perception on level of dependence, perception on government strategies in tackling dependence and recommended strategies with potential to tackle dependence on donor aid in the education sector. Furthermore, the study was conducted within the political and historical context of Malawi particularly in the multi-party era since 1994.

1.9 Significance of the Study

This is an initial study to address donor dependency in the education sector from resource dependence perspective in Malawi. The study is expected to contribute towards debate on Malawi's reliance on donor aid and assist policy makers to develop strategies for tackling dependence. It should assist policy makers and implementers to find lasting solutions to dependency and ensure sustainability and predictability of resources for financing development services such as in education. For the education sector, this study was designed to help stakeholders identify source of funding which would address problems rocking the sector which require funding such as training of teachers, procurement of teaching and learning materials, infrastructure challenges, providing incentives to teachers through good salaries and professional development, as well as effective monitoring and evaluation. On the other hand, the study is expected to assist managers in the Ministry of Education to find solutions to challenges with public finance management at different levels of education. The results of this study can also be replicated elsewhere across sectors in Malawi but also in other countries. Hence this study can serve as a case study from which other sectors and countries can learn from about financing for development.

1.10 Definition of Key Terms and Concepts

Dependence: The situation in which one relies on or need something or someone all the time, especially to continue existing or operating.

Donor Dependence: Dependence on resources offered by donors or foreign organizations.

Dependency: The state of being dependent on donors.

Perception: The way that someone thinks and feels about a company, product, service. It is a thought, belief, or opinion, often held by many people and based on appearances.

Strategic Choice: The decision to select from among the grand strategies considered, the strategy which will best meet the enterprise objectives. It addresses the question “where shall we go”?

Theories of Change: Theories of change are the ideas and hypotheses (‘theories’) people and organizations have about how change happens. These theories can be conscious or unconscious and are based on personal beliefs, assumptions and a necessarily limited, personal perception of reality.

1.11. Chapter Summary

In this chapter the study has been introduced by providing the study background, statement of the problem, research objectives, research questions, hypothesis, assumptions, limitations, and delimitations as well as significance of the study and organisation of the report. From resource dependence worldview Malawi’s dependence on donor aid to finance education could be due to the problem of managerial perceptions and strategic choice or other factors which have led to disequilibrium between policy and outcome. However, literature reviewed has left a gap to explain the real factors contributing to this problem. This study proposes to examine managerial perceptions, strategic choice and other factors that have contributed to the country’s failure to diversify domestic revenue streams amid the growing literature on innovative financing and spending mechanisms which managers could have explored to reduce dependence on donor aid in financing education within the context of SDGs. Key terms and concepts have been defined in the previous section including dependence, perception, strategic choice, and theories of change. The next chapter is concerned with the literature review for the study.

1.12 Organisation of the Report

The report has five main chapters. Chapter 1 is an introductory chapter which provides background to the study. It includes the statement of the problem, research objectives, research questions, research hypotheses and scope of the study. Chapter 2 covers empirical literature review. Chapter 3 discusses the theoretical framework and conceptual framework. Chapter 4 discusses the study methodology which includes the research philosophy, the study design, research population, sampling design and sample size as well as data collection, analysis, and study variables. Study findings are presented and interpreted in Chapter 5, while chapter 6 focuses on the discussion of findings. Finally, in Chapter 7, we find study conclusions and recommendations.

CHAPTER 2: EMPIRICAL LITERATURE REVIEW

2.1. Introduction

In Chapter 1 we provided the introduction and background to the problem being addressed in this study and came up with statement of the problem, study objectives, research questions, hypothesis, and significance of the study. It emerged from the study background that Malawi's economy is small and heavily dependent on donor aid to cater for social services and general development including financing the education sector. High dependence on donor aid puts the country at high risk of not being able to sustainably finance and achieve national goals in education. Proponents of Resource Dependence Theory (RDT) suggest that while organisations will try to reduce dependence, "managerial perception" and "strategic choice" form key functions towards addressing the problem. In this chapter we delve into empirical literature review to provide an overview of sources that were explored while researching the study problem and establish gaps. The chapter surveys books, scholarly articles, and other secondary sources relevant to the problem of dependency on donor funding in the education sector.

The chapter captures five themes that have arisen from the review in line with the research objectives. The first theme discusses managerial perceptions in the face of dependence on donor aid. The second theme discusses managerial strategic choices in the face of dependence on donor aid. The third theme deliberates on factors contributing to disequilibrium between policy and outcome in addressing dependence on donor aid. The fourth theme is related to alternative strategies with potential to reduce dependence on donor funding in the education sector. The fifth theme is related to theory of change to address dependence on donor funding in the education sector in Malawi. The chapter then consolidates the emerging research gaps before concluding with a summary.

2.2. Managerial Perceptions in the Face of Dependence on Donor Aid

The first theme that has emerged from the review of literature is concerned with managerial perceptions in the face of dependence on donor aid. Perception is defined by Young (1956) to refer to sensing, interpreting, and appreciating physical and social processes. The RDT perspective places a great deal of importance on managerial function of "perceiving" and interpreting the environment towards reducing dependence on another actor. In his treatise on RDT Nienhüser (2008) observes that the authors of RDT, namely, Pfeffer and Salancik, take the idea of bounded rationality seriously and consider that "external demands upon the organization are not always recognized" and that demanding actors must deal with the difficulty to judge whether or to which extent her demand has been met. "Thus, the variable "perception" is of great importance for organizational behavior" (Nienhüser, 2008: 14). In their discussion on the significance of "managerial perception" Pfeffer and Salancik (2003) noted that "Organizational environments are not given realities; they are created through a process of attention and interpretation. (...) Since there is no way of knowing about the environment except by interpreting ambiguous events, it is important to understand how organizations come to construct perceptions of reality" (Pfeffer & Salancik, 2003: 13). Besides perceiving the environment, there is need to pay attention to differences in perception among top management, since differences in perceptions among organizational members suggest that the existence of such a shared value system (such as strategy development culture) throughout the organization be questioned. As such organisation should strive to lessen the differences in perception (Keeton & Mengistu, 1992). For the present study, the researcher set out to assess whether managers in the education sector in Malawi do perceive the existence of dependency by seeking to know how they interpreted the level of dependency and establish whether differences in perception did occur among the managers in relation to such personal characteristics as age, gender, academic qualification, and institutional type. The main argument was the actions of the managers stem from a negative perception or attitude towards dependency and the precarious situation exposed to the organisation by the problem. Without a negative perception towards dependency managers may not feel obliged to act.

Whereas several authors expressed that the country was highly dependent on donor funding (Page, 2018; Mwanamanga, 2015; Simwaka, 2012 & Ng'ambi, 2011), a literature search to assess how managers perceive dependence on donor aid in the education sector in Malawi did not yield meaningful results. However, a few documents referred to high dependency on donor funding. For instance, *Vision 2020* acknowledges thus: "Malawi is heavily dependent on donors. In addition, Malawians depend on government for the provision of goods and services. This situation has been aggravated by political statements, which promise help from the government. This has killed the self-help and hardworking spirit among Malawians. The challenge, therefore, is to inculcate a spirit of self-reliance at national and local level" (National Economic Council of

Malawi 1998: 34). The *Policy and Investment Framework for the Education Sector* (MOEST, 2001) observes that “in view of the fact that available government resources can be stretched only so far, a major shortcoming of the current system of education finance is its over-dependence on scarce government resources. Although donor presence is strong especially in the area of development expenditure, such heavy dependence on the donor community poses serious problems of national ownership and sustainability” (MOEST, 2001: 14). The *Education Sector Implementation Plan II (ESIP II) 2013/14 -2017/18* also acknowledges that “the Malawi budget is highly dependent on development partner support (40% of total budget)” (MOEST, 2014: 85). The report of review of the Second *Malawi Growth and Development Strategy* also referred to high dependence on donor funding. The document states that “The development budget in the 2014/15 financial year comprised of 27 percent of the total budget. At least 20 percent of the budget was foreign financed, implying high level of donor dependency; the GoM only financed 7 Percent” (Ministry of Finance, Economic Planning and Development, 2016: 60). Furthermore, general mindset towards dependency on donors and government is also reflected in a couple of official documents. The challenge of “mindset” is acknowledged in the country’s development strategies such as the *Vision 2020*, *Malawi Economic Growth Strategy* (MEGS) and the *Malawi Growth and Development Strategy* (MGDS). For instance, *Vision 2020* observes that dependency spirit is inherent in Malawians. It states: “Malawians depend on government for the provision of goods and services. This situation has been aggravated by political statements which promise help from the government. This has killed the self-help and hardworking spirit among Malawians. The challenge, therefore, is to inculcate a spirit of self-reliance at national and local level” (GOM, 2000: 34). *Vison 2020* broadly talks about Malawians rather than managers; hence this was noted as being too broad to attribute to managers in the education sector. Beyond the reference to dependency in the documents stated above, the researcher was unable to find journal articles or books or publications that gave direct response to how managers perceived dependency and whether there were differences in perception amongst them. The researcher, therefore, concluded that there was a gap in literature in this regard.

2.3. Managerial Strategic Choices in the Face of Dependence on Donor Aid

The second theme that has emerged from the review of literature concerns managerial strategic choices in the face of dependence on donor aid. Strategic choices are important because they are linked to the decision-making function of management. On this, Nienhüser (2008), notes: “A second important function is the decision making and legitimizing function. Management makes decisions on how environmental requirements (and also on internal actors) can be managed and at the same time legitimizes decisions towards stakeholders" (Nienhüser, 2008: 14). There is a link between "managerial perceptions" and "strategic choices" since people's perceptions have a direct influence upon their decision-making and consequently, the result of their decisions" (Özleblebicia & Çetin, 2015:297). However, it is to be noted that choices managers make for an organization can differ widely, partly due to cultural differences affecting mental models and ways to manage, managers´ characteristics such as age, class, gender, generation and ethnicity (Roholf, 2013). There is a wealth of literature on the kinds of methods or theoretical considerations managers could choose from in responding to the challenge of dependency. However, there are five studies published within the period of 2000 to 2018 that appealed to the researcher.

In their seminal paper, Pfeffer & Salancik (2003:92 ff) proposed four methods or options namely adapting, avoiding influence, managing and avoiding dependence and managing conditions of social control. The first option entails adapting in the sense of organizational compliance: one meets the demands of a particular social actor. However, the problem with this strategy is that "one not only gives up scope for action but one also increases the probability of further demands and attempts to influence because other actors judge (due to their bounded rationality) the success of earlier attempts at influencing as an indicator for future success. Thus "meek" organizations enhance the probability of further attempts of domination" (ibid). For the second strategy of avoidance, "one can avoid demands if one creates the illusion that the demand has already been met, one controls or suppresses certain information or increases the cost of information" (ibid). For this option, one can also try to define criteria by which one measures whether a demand was met or not, one can create information oneself or do public relations (PR) work by implementing one's own expert. The third strategy relates to creating alternative resources to manage and avoid dependence. Finally, the fourth option involves "managing the conditions of social control: one can try to dominate controllers or reduce their dominance" (ibid). In critical review, the proposed methods could apply to the Malawian context especially the third option of or creating alternative sources to manage and avoid dependence. However, since the study was done in the United States , it is important that the strategies be tested in the context of Malawi. In addition, the proposed strategies were for organizations in the private sector rather than public sector like for the current study. It will be important to establish whether those methods work for Malawi public education sector.

In 2008 a study by Bess and Dee offered three key strategies for reduction of external dependency especially in the context of higher education and community colleges. The first strategy is dependency reduction by enhancing the organization's ability to reduce dependency on a particular resource by generating new funding flows (Bess & Dee, 2008). The study proposed two ways in which new funding flows could be achieved, one being through building endowments and the other being through marketing. However, the study noted that each of these has flaws. For instance, building endowments can create a dependence on other environmental factors such as the stock market. Marketing requires devoted resources to reach new beneficiaries or establish new programs. The second strategy focuses on achieving 'reverse dependency" by creating external linkages" to become more important to the outside world, thus ensuring a steadier stream of resources". According to Bess and Dee (2008) this strategy allows the organization to create a unique niche within the market and having strong external partnerships". The challenge of this strategy includes expanding the industry infrastructure to attract external markets, high technical abilities and better communication and coordination plans, which would require substantial resources. The third strategy is enactment of a new environment by altering the funding environment altogether to attract more funding partners supporting the institution's mission and ability to help the surrounding economy. According to Koh and Holley (2014) "the best strategy for altering the environment is through lobbying by establishing a supportive coalition of stakeholders with common vision and by involving power brokers such as state officials and board appointees". This strategy may be difficult to achieve but is said to be the most powerful strategy (Koh & Holley, 2014:15). In critical review the findings of this study could apply to higher education learning institutions in Malawi, however, the context could produce different findings due to locational differences.

In 2010, Chikoto (2010) conducted a study on *Government Funding and INGO Autonomy: From Resource Dependence and Tool Choice Perspectives*. Using RDT, the study explored the relationship between the degree of INGO dependency on particular funding streams, especially dependence on U.S. government funding and the effect such dependencies have on organizational autonomy" (Chikoto, 2010:2). According to the findings, to contain control and autonomy the study suggested several strategies such as revenue diversification, due diligence, assessment of the INGO capacity, congruence and fit, collaborations, and partnerships" (Ibid: 236-237). According to the study, revenue diversification helped minimize INGOs‟ external dependence and control by any one funder, giving the INGO the ability and freedom to make holistic policy or operational decisions (ibid: 213-215). Regarding due diligence, the study noted that a loss in INGOs' operational autonomy was largely achieved through *ex ante* and *ex post* controls funding sources imposed on their INGO grantees; controls which constrained the actual use of the decision-making competencies an organization actually possesses. And while an INGO may possess some operational autonomy over how a program is implemented, in actuality, that autonomy is undermined by the extent to which the organization is controlled by the results of the implemented programs, that is, by the burden of reporting. Hence the study highlighted the need for INGOs to know what each funding source is about, and the expectations associated with them in a process called due diligence, by conducting rigorous research of their donors. Learning one's funding environment through due diligence helped the INGO to understand the nature and implications of the "strings" attached to funding, as well as the reporting and other requirements and their impact on the different dimensions of INGO decisions. The goal congruence and fit strategy involves doing due diligence to ensure strong goal congruence of the funders' and those of the INGOs. The study noted that "failure to consciously and strategically seek after goal congruence and fit is likely to result in INGOs implementing funders' projects, thus positioning INGOs as mere appendages of their funding partners" (ibid: 218-219). Another strategy of addressing control involves INGO Collaborations and Partnerships. According to findings of the study this entailed that "the INGO is able to conduct honest assessments of their own capacity and expertise before embarking on a quest for funding. Such self-evaluation may lead INGOs to consider taking on a different role within funding arrangements, such as, subcontracting with a larger INGO or forming a consortium with peer-INGOs that possess complementary comparative advantages" (ibid: 221). In addition, an INGO can opt for contract negotiation, which is "the art of pushing the envelope," which has the potential of allowing INGOs to make inroads in fulfilling their missions in full. Ibid: 224). Moreover, there is also an option for advocacy. Through this strategy the INGO joins other INGOs in advocating for effective ways to provide aid and development assistance. This strategy includes "simply challenging those funding arrangements and funding conditionalities that undermine INGOs' autonomy and the effectiveness of their work" (ibid: 225). The last strategy is "Walk Away", which entails that the INGO simply walks away from funding sources that weaken one's autonomy. However, for an INGO to undertake such a decision, it is imperative that alternative funding sources be identified and secured (bid: 226). In critical analysis the study seemed relevant as it confirmed the need for organizations to reduce dependency and the various strategies employed by INGOs to enhance their autonomy could apply to the Malawi content. However, although the study applied RDT which also applies in the current study, and interrogated respondents to give their strategic choices to regain autonomy in the face of external dependency, Chikoto's research did not seek to operationalize the concept of managerial strategic choices versus dependency. Nowhere in the study were respondents asked to express their opinion as to whether to reduce or end dependency. Moreover, since the study was done in the US, the findings may not apply to the Malawi context due to different, cultural, and structural contexts. Moreover, the study was dealing with INGOs rather than public organisation, being pursued in the present study.

Mitchell (2012) undertook an empirical study on *Strategic Responses to Resource Dependence among Transnational NGOs Registered in the United States* and came up with three main strategies for responding to resource dependence. These are: adaptation, avoidance and shaping. Adaptation involves specific strategies such as alignment, subcontracting or perseverance, whichever case would result in NGOs facing the greatest exposure to external control as the exclusive dependence on one source is enforced. NGOs adopting strategies for avoidance, which include diversification of funding sources, funding liberation, geostrategic arbitrage, specialization and selectivity, are less subject to external control as the exclusive dependence on one source is alleviated. Shaping strategies include donor education and compromise. They provide power for NGOs to reject or reverse external control. Criticism against this study is that the findings work for NGOs rather than public institutions like the Ministry of Education. In addition, the study does not ask the managers to make a choice to reduce or end dependency and so fails to handle conclusively the concept of strategic choices and differences in strategic choices among managers (Mitchell, 2012).

Nyambariga (2018) conducted a study on *Strategic Choice and Organizational Performance of Humanitarian Non-Governmental Organizations in Nairobi County*. The objective of the study was to determine the influence of strategic choice on performance of humanitarian non-governmental organizations in Nairobi County. The researcher administered 33 semi-structured questionnaires to the top management of humanitarian non-governmental organizations in Nairobi County and concluded that strategic choices which were being studied including strategic alignment, sub-contracting, diversification, funding liberation and donor education produced a positive effect on the performance of humanitarian non-governmental organizations.

In terms of alignment, the organisation should continuously conduct external environmental analysis; internal environmental analysis; change humanitarian response strategies to cope with environmental dynamics and undergo structure change. Under sub-contracting, the organization should outsource some non-core functions and make sub-contracting arrangement. Regarding diversification, the organization should have diverse income generating activities and diverse humanitarian focuses. Some of the diversification strategic choices include reaching out to new donors, redesigning program activities to include a cost-recovery component and making money through commercial ventures. As regards funding liberation, the organisation should have diverse finance streams and be open to different sources of financing and finance prospects. Finally, regarding donor organisation, the organisation should occasionally conduct donor sensitization programs, value donor education as strategy for resource mobilization and ensure that donors attend sensitization programs to understand organizational strategies and resource requirements (Nyambariga, 2018: 32-33). Although the study was designed against the backdrop of reducing reliability of traditional donor funding, alongside increase in the humanitarian risks including terrorism and political strife (ibid:12), the study served to confirm the importance of strategic choice function of managers in organizations that are donor dependent but failed to give a conclusive choice of managers as to whether to end or reduce donor dependency. In addition, the location of the study was in Nairobi, Kenya and the findings would lack *locus standi* in Malawi.

What emerges from the five studies above is that managers have several options or methods to address dependence on external factors such as donors. The options include adapting and complying with dependence, lobbying, and advocating against conditionalities, and finding alternative sources of funding through diversification to reduce or end dependence. The options of adapting and lobbying or advocacy against control or conditionalities do not solve the problem of funding gaps or lack of sustainability of funding, even if they worked perfectly. This present study is concerned with minimizing the funding gaps and mobilizing adequate funding to ensure achievement of the 2030 SDGs in education in Malawi while dealing with dependency. Hence, the option of finding alternative sources, through revenue diversification, is more relevant for this study. As noted by Wang and Yao (2016) in their study of NGOs in China, "a diversified revenue portfolio decreases the instability of individual revenue sources, creating greater organizational sustainability when there's a decline in any one source. Revenue diversification not only reduces an organization's dependence on a particular supplier, but also increases its ability to attract resources from other suppliers" (Wang & Yao, 2016: 39). Furthermore, the hypothesis for RDT is that organizations want to reduce or end dependency (Delke, 2015; Roholf, 2013; Pfeffer & Salancik, 2003). The researcher, therefore, conceptualized in this study that the main strategic choice by managers is to reduce or end dependency by finding alternative sources.

The decision to end or reduce reliance on aid could be influenced by awareness of the cost and benefits of aid. Empirical studies and analytical reports on Malawi have debated the positive and negative sides of donor aid in Malawi. On the positive side, Chiumia and Simwaka (2012) among others argued that reversal of donor inflow could slow economic growth and increase tax burden on people. JICA (2012) and Mambo *et al* (2012) have reported that aid helped reduce the education budget deficit over the period 2001 and 2012. However, on the negative side, Wamba and Mgomezulu (2014) observed that excessive reliance on outside donors enabled the donors to identify and define the educational needs of the country, and often impose solutions with minimum consultation with the stakeholders. Mwanamanga (2015) and Chiumia *et al* (2012) noted presence of Dutch disease effects (corruption, political abuse) in Malawi. According to Roberts *et al* (2013) locally, aid-allocation was highly fungible and sensitive to political and ethnic targeting. A general conclusion from this debate is that of a more negative aid experience in Malawi given the main shortfalls of aid elucidated by the various authors. Resource dependency pioneers cement this view by observing that donor dependency is problematic and detrimental to the implementation of organizational plans and organizational survival altogether because among others, external resources are uncertain, unsustainable and attract negative conditionalities (Pfeffer & Salancik, 1978: 26).

Even though the debates on the pros and cons of aid are rich in the literature, the researcher went further with the review of literature to obtain results of empirical studies or official documents within which managers made the strategic choice to reduce or end dependency and establish based on the findings of the studies whether there were differences in choices among managers depending on their personal characters. A review of empirical studies from around the world, failed to yield tangible results in treatment of the theme in this sub-section.

One of the studies was by Gebreyes (2015) who conducted a study of Revenue Generation Strategies in Sub-Saharan African Universities using RDT. The study whose methodology involved a case study of universities in Ethiopia, Kenya and South Africa had the purpose "to contribute to our understanding of how Sub-Saharan African public universities can improve their financial sustainability by diversifying their resources while continuing to accommodate growth in higher education enrolment”(Gebreyes, 2015:36). The study methodology included interviewing top management of the universities under case study. Moreover, the study concluded with several strategies for ensuring financial sustainability and diversification of resources within higher education institutions such as education and short-course services, research and consultancy services, and non-academic services and products (Gebreyes, 2015: 366). In critical review it as noted that the suggested strategies could be applied in universities in Malawi. However, the study did not address the concept of managerial strategic choice in relation to tackling the problem of dependency in the universities under study.

A study on selected countries in Africa (i.e. Angola, Benin, Kenya, South Africa, and Tunisia) established that following the global financial crisis in 2008, most countries were vulnerable to economic shocks due to their dependence on too few export commodities and one or two sectors (OECD/United Nations, 2011). The study recommended that to address the dependency diversification programs should be promoted including minerals processing, expansion of manufacturing activities, production and export of non-traditional agricultural and industrial products and further development of services sectors such as tourism. However, according to study findings, diversification can only work in an enabling environment characterized by investment, governance, private sector enhancement, regional integration, and human resource capacity development. This study, while focusing on how African countries can address dependency and while it came up with different strategies for tackling dependency, failed to portray a direct association between managerial strategic choices and dependency. In the study respondents were not asked to express their opinion as to whether to reduce or end dependency on donor funding.

Recent scholarly studies on Malawi and dependence on donor aid have also failed to treat the subject of managerial strategic choices and dependency. Mwanamanga (2015) conducted a study whose main objective was to assess whether foreign aid had contributed to the economic growth in the developing countries, with Malawi as a case study. Although the study provided some background information about aid dependency in Malawi, in the process acknowledging that the country heavily depended on donor aid, the focus of the study was not related to the issue of managerial strategic choices and dependence on donor funding. Other studies that researched on issue of dependence on donor funding in Malawi such as by Page (2018), Simwaka (2012), Saasa (2012), and Ng'ambi (2012) did not treat the concept of strategic choice versus dependence on donor aid in financing education and development.

However, a review of official documents showed that some government policies and strategies recognise the need to reduce dependence on donor aid and diversify domestic resource mobilisation. *Vision 2020*'s goal includes self-reliance. It states: "By the year 2020, Malawi as a Godfearing nation will be secure, democratically mature, environmentally sustainable, *self-reliant* with equal opportunities for and active participation by all, having social services, vibrant cultural and religious values and being a technologically driven middle-income economy". In the strategic activities, the *Vision 2020* also outlines a strategy for reducing donor aid. It states: "The Strategic Options to strengthen the spirit of self-reliance and community participation include reducing and rationalizing government borrowing and *donor aid*" (National Economic Council of Malawi 1998: 35). Another document, *The Development Cooperation Strategy 2014-2018* makes a declaration to reduce dependency on aid. It states, "Government will work towards ensuring that aid is reduced as a proportion of the national budget" (GOM, 2014: 12). In addition, it outlines several strategies to boost revenue besides aid such as taxation, Private investment, South-South Triangular Cooperation, aid for trade, philanthropy, non-concession public financing, and climate change finance (GOM, 2014). A few other documents mention revenue diversification as one of strategies for enhancing financing for development. These include *National Education Policy* (GOM, 2016) and The *Second Malawi Growth and Development Strategy*. One of the strategies for boosting financing for basic education is outlined by *GOM (2016) as to "*diversify and equitably distribute resources for basic education across the nation" *(GOM, 2016: 185).* On its part GOM (2012) mentions that in order to achieve improved resource mobilization government will *"*diversify sources of Government revenue through "reviewing taxation system, widening the range of debt instrument, enhancing sources of domestic non-tax revenue, identifying new lenders and new borrowing modalities and improving the export base as well as exploring the user pay principle*" (GOM, 2012: 185).* On the other hand, several other documents contain phraseology that supports continuation of donor aid. Two of these are *The Malawi Economic Growth Strategy* (GOM: 2004) and the *Third Malawi Growth and Development Strategy (GOM, 2017).* According to *GOM (2004) "*Government needs to fulfil all the requirements for the resumption of donor assistance. They need to support policy reform. Donors can initiate policy reforms and also provide additional financing" (GOM, 2004: 18). On its part GOM (2017) notes that "Development assistance will continue to play a key role in supporting Malawi's development objectives and the achievement of the SDGs and other international development frameworks" *(GOM, 2017: 2).* However, GOM (2017) also suggests promoting public private partnership and regional and international financing activities (GOM, 2017). Moreover, there is no detailed strategy on how these activities were to be implemented nor is there a report or publication showing the outcome of implementation of the strategies. Therefore, document review shows that there are differences in strategic choice among policy documents with some opting to reduce dependency on donor aid and others pushing for continuation of donor aid. Since there was little evidence from empirical studies on actual strategic choices of managers in the education sector, there is need to do further soul searching to establish the sources of policy differences and contradictions on strategic choice towards ending dependence on donor aid.

2.4. Factors contributing to disequilibrium between policy and outcome

The third theme emerging from literature review deals with factors contributing to disequilibrium between policy and outcome. While managerial perceptions and strategic choices are seen as important variables for managers to reduce dependence in organisations as claimed by RDT, one could argue that other factors could positively or negatively affect efforts to implement policies and strategies. Possible factors include level of innovation, public finance management and capacity to implement policies and strategies.

Innovation is important because it "has always played a decisive role in the economic and social development of countries: it is the main source of economic growth, it helps improve productivity, it is the foundation of competitiveness, and it improves welfare" (World Bank, 2010: 6). Most of the innovative financing mechanisms suggested in the previous sub-sections require that managers think out of the box to create and implement new strategies with high revenue potential (Leading Group on Innovative Financing for Education, 2010; OECD, 2014, & Wils, 2015). However, there are challenges with innovation in Malawi, particularly in the education sector, which could affect generation of innovative strategies to deal with dependency. Some of the challenges include limited monitoring, supervision, and support (MOEST, 2017, p128). Moreover, as pinpointed by Isaacs (2007), most of the innovation projects are heavily dependent on donor support making it difficult for government to sustain them or expand their scope (Isaacs, 2007, p8). Indeed, as noted in the SWOT analysis of innovation in the country, over-dependency on donors is one of the threats of efforts to enhance innovation in the country

(UNESCO, 2014). Figure 13 consolidates the key factors that weaken government efforts at innovating.

Figure 5: Ten Arrows Stabbing Innovation in Malawi

Source: Isaacs (2007); UNESCO (2014); & MOEST (2017).

The challenges and weaknesses in innovation have contributed towards a low ranking of the country on the global innovation index. For instance, in 2018 Malawi ranked no 108 on the Global Innovation Index, with a score of 15.72 out of 100 (World Bank, 2018).

Public finance management could also be considered as a critical factor in development and implementation of new strategies. According to Andrews *et al* (2014), a functioning public finance management system ensures prudent fiscal decisions, credible budgets, reliable and efficient resource flows, and institutionalized accountability (Andrews *et al*: 2014: 6). A reading of publications of various authors including GOM (2002), World Bank (2006), World Bank (2013), World Bank (2015) and CSEC (2017) show that the public financial management system is weak and could cause funding deficits. Some of the cited issues cited by the authors include poor expenditure controls resulting in accumulation of budget deficits and public debts, high levels of corruption, financial scandals such as the cash gate, poor and inequitable resource allocations across sectors and weak accountability of departments and agencies as well as loss of money through illicit financial flows and harmful tax breaks are symptomatic of a weakened public financial management system. Therefore, unless public financial management systems are strengthened and functional, managerial perceptions and strategic choices alone may not be enough to address dependency.

Furthermore, managers could have the right perceptions and make correct strategic choices but lack of capacity (knowledge, skills, competences, and attitudes) could hamper efforts to deal with dependency. Literature reviewed shows serious deficiencies in strategy and policy implementation in the education sector attributed to weak capacity of officials in the sector. One of the challenges contributing to weak capacity is shortage of staff with a reported skills gap for the education sector estimated at least 47% (MOF, 2018). A review of the implementation of the National Education Sector Plan (NESP) for the period 2008-2017 showed that government failed to achieve expected results. The review noted that only 12 of the 51 indicators were achieved and that of the 145 strategies about 25% had not been achieved; while many were still underway and/or partially achieved. According to the review, "our overriding, summary, two-part finding is that (i) the reasonable policies, programs, plans and strategies of the past ten years (and before) have yielded results that are well-below expectations, and (ii) issues related to implementation capacities pose the major challenge to attaining these expectations" (MOEST, 2017: 9). Hence one could argue that there could be other issues or factors that could affect managerial efforts to tackle dependency beyond managerial perceptions and strategic choices.

2.5. Alternative Strategies with potential to reduce dependence on donor aid

The fourth theme emerging from literature deals with alternative strategies with potential to reduce dependence on donor aid in Malawi. In section 2.3 it was concluded that out of the strategic responses or theoretical options available for managers to respond to dependency one option relevant for the present study was that of reducing or ending dependency through seeking alternative sources of funding. In this section the focus is on concrete measures or actions which mangers should undertake in the basis of the theoretical consideration (Pfeffer & Salancik, 1978 & 2003; Nienhüser, 2008). Several authors have made proposals based on empirical studies conducted across the globe and these are reviewed in the following paragraphs.

In their seminal work, RDT pioneers Pfeffer and Salancik suggested that effective concrete strategies which managers could engage in to tackle external dependence include mergers and acquisitions, joint ventures, composing and structuring the board of direction, political actions, and executive successions (Pfeffer & Salancik, 1978 & 2003; Hillman *et al,* 2009; Delke, 2015). For instance, according to Pfeffer and Salancik (1978 & 2003) a merger is a means of reducing uncertainty and controlling resources. In addition, organizations, boards of directors, and supervisory boards of banks co-opt to better gain help to deal with financial uncertainty. Thus, the composition of boards reflects the composition of critical resources needed for the organization's survival (Pfeffer & Salancik, 1978 & 2003). However, these strategies fall short since they would best work for private firms rather than public sector organisations.

OECD and United Nations (2011) joint study on selected countries in Africa (i.e. Angola, Benin, Kenya, South Africa and Tunisia) recommended that to address dependency diversification programs should be promoted including minerals processing, expansion of manufacturing activities, production and export of non-traditional agricultural and industrial products and further development of services sectors such as tourism. While these strategies would work in Malawi, the study methodology did not specifically align findings to minimise funding gaps and dependency in education sector, which is a central theme for the present study.

In 2010 a report by the Leading Group on Innovative Financing for Education came up with nine mechanisms with potential to raise funds and/ or raise the profile of the education cause. These included tax on international financial transactions; local currency education bonds; Education venture fund; diaspora bonds; voluntary contributions from migrants; debt-for-education swaps; Sports levy; Public-private partnerships; and micro-donations from individual bank (Leading Group on Innovative Financing for Education, 2010). Two years later, in 2012, the Leading Group suggested four key mechanisms which were said to be ready to go and had the best potential to raise a large volume of money, including education venture fund, debt conversion development bonds, diaspora bonds, and Travellers Savings Fund for Development (Leading Group, 2012: 4). Although these strategies were said to be of high potential, Leading Group acknowledged that most of these had not been tried in the education sector, and there was therefore, a need to establish their feasibility in individual countries.

In 2013, Filipp and Lerer (2013) reviewed a wide range of innovative financing mechanisms and discussed their utility for education financing, including global taxation/ solidarity levies, debt contract securitization for bonds, development impact bonds (DIBs), debt swaps, IDA buy-downs, debt conversion development bonds, advanced market commitments, impact investing, blended instruments, and microfinance and insurance currently remain underutilized—social impact bonds, impact investing, blended instruments, and other public-private mechanisms that work with the capital markets (Filipp & Lerer, 2013: 8-9). In 2014, OECD report affirmed the following new mechanisms as having potential especially at global level: swapping debts for health, international solidarity levy on air tickets, front- loading finance, and advance market commitments (OECD, 2014). In the same year, a study conducted in Cambodia found that most NGOs used diversification strategy especially through conducting commercial ventures (Khieng & Dahles, 2014). These studies, while providing potential concrete strategies to raise additional income to help reduce or end dependency, lacked contextual relevance for Malawi since they were conducted in other countries.

In 2015, UNECA identified several mechanisms which could be applied in Africa to raise additional resources for development. These included remittances, savings from the curtailment of illicit financial flows (IFFs), diaspora funds, better negotiated mineral contracts and the expansion of Africa's fiscal space (UNECA, 2015: 15). Furthermore, a High-Level Panel established by the African Union Assembly to consider alternative sources for financing for the African Union proposed that revenues of US$1.4 billion could be raised through levies. The report also stated that Africa had the potential to raise between US$5 billion and US$10 billion annually in the international capital market through securitization of remittances from its diaspora communities (UNECA, 2015). Moreover, UNESCO (2015) identified emerging sources for innovative financing in education including diaspora bonds, a financial transaction tax, local currency education bonds, venture funds, voluntary contributions from migrants, debt swaps, sport levies, public–private partnerships and micro-donations from individual bank transactions. On their part, Moumné and Saudemont (2015) highlighted several innovative transparent and monitored financing involving the private sector such as public and private financing through voucher schemes, cash transfer programmes, PPPs, Social Impact Bonds (SIBs), impact investing unlocking local capital such as Corporate Social Responsibility funds, and industry taxation. Other mechanisms included directing a part of national lottery sales, education impact bonds; cancelling debt in exchange for targeted development (global, bilateral, and multilateral agreements); voluntary schemes in which blended value schemes incorporate the donation within the price of marketed good to raise funds through retailer arrangements (Ikea soft toy campaign with Save the Children and UNICEF)(Moumné & Saudemont, 2015: 84-91). In 2016, Armaou (2016) argued for commercialization mechanisms such as fees and sales of goods and services, along with other forms of earned rather than contributed income. Another author, Denis (2016) saw potential in innovative mechanisms such as blended finance; guarantees; local currency financing; green and blue bond financing; GDP-indexed bonds and countercyclical loans (Denis, 2016: 9). In critical review, the studies by UNECA (2015), UNESCO (2015), Armaou (2016) and Denis (2016) offer various options which have not been tried and tested in the context of Malawi. There is, therefore, a need to establish how they are perceived by managers in Malawi and the potential they have for reducing funding gaps in the education sector.

Other studies have also unearthed emerging innovative non-traditional aid and private finance sources such as NGOs, Philanthropies, and non-traditional donors which have big sourcing potential. For instance, in 2014, DAC countries channeled US$ 19 billion in ODA to and through civil society organizations (CSOs) and this accounted for 17.4% of total bilateral aid (OECD, 2016: 157). Philanthropic contributions to development have multiplied by nearly ten in less than a decade, from around US$ 3 billion in 2003 to US$ 30 billion in 2012 (OECD, 2014; OECD, 2016). Emerging foundations involved in social impact projects include Rockefeller Foundation and the Bertelsmann Foundation which are undertaking to support research and networks as well as The Bill & Melinda Gates Foundation and the Ford Foundation which are targeting the use of programme-related investments (OCED, 2016: 107). Nontraditional donors emerging include Russia, China, Korea, Gulf States such as United Arab Emirates and Qatar. These countries contributed about US$11 billion of development financing in 2010, equivalent to 8% of global aid (UNESCO, 2012: 152). According to expert projections, non-traditional sources may contribute as much as US$70 billion per year (Malala Fund, 2015; Burnett & Bermingham, 2010). Odusola (2017) noted that Africa could benefit from the BRICs which are altering the development landscape in the continent. According to Odusola (2017) the potential from innovative financial mechanisms could also generate as much as $550 billion. This includes between $250.0-300.0 billion from carbon tax, bunker fuels and air travel; $100.0-150.0 billion from currency and financial transactions; and at least $100.0 billion from issuance of IMFs Special Drawing Rights, among others (Odusola, 2017: 16).

Private finance also has a big potential as external source of funding for education. According to OECD (2016) in 2014 net private flows from the private sector in DAC member countries to developing countries amounted to US$ 403 billion. In the same year net private grants for developing countries by non-governmental organizations and foundations in DAC countries was US$ 32 billion and represented nearly a quarter of total ODA (OECD, 2016: 159). An example of private financing for development is illustrated by Citi, which is participating in public-private partnerships that are developing new blended finance solutions to mobilize US$ 100 billion in private financing over five years for infrastructure projects in developing countries in support of the SDGs. It will do so by using official funding to better mitigate risk and attract private sector capital (ibid: 71). In India government has initiated mandatory corporate social responsibility (CSR) scheme which requires 1–2% of average net profits from major corporations to flow into CSR efforts, with education being a large priority. This effort is said to generate up to US$2 billion in additional revenues toward public services in India (Malala Fund, 2015). The role of private finance has been recognized in the African Union CESA (2016-2025) which has recommended mobilization of public private partnership, encouraging corporate social responsibility (CSR) and improving the business environment to enhance increased private sector investment in education and training(African Union, 2016).

At academic institutional level, empirical studies conducted from 2012 to 2016 in Zambia, Kenya, South Africa, Rwanda, and Nigeria showed that primary and secondary schools were using alternative strategies such as contributions from pupils and the public, entrepreneurial activities, special events and partnerships with private sector, NGOs, and donors (Olu, 2012; Paxon, 2012; Syacumpi, 2012; Gongera, 2013; Mestry, 2016; and Nwakpa, 2016). For instance, schools in Kisii County in Kenya undertook service-based activities such as hire of school bus, furniture, fields and equipment; commercial activities such as sales of products and getting sponsorships through partnerships with individuals, donors, Government bursaries, NGOs, Religious organizations, and banks; and agriculture-based activities such as livestock farming and crop farming (Gongera, 2013). A study conducted in Zambia established that alternative funds came from Grade 8 and 9 user fees, Parents Teacher Association (PTA) contributions and commercial activities such as running tuck-shop, room hire, managing agricultural product units and hosting special events such as civilian or career days (Syacumpi, 2012). From South Africa, a study by Mestry (2016) observed that schools were engaged in entrepreneurial activities such as sale of advertising space, vehicles, sports kits, donated items as well as hire of school premises during weekends for religious and other social activities (Mestry, 2016). Paxton (2012) noted that the main source of alternative funds for schools were parental contributions in form of school uniform and financial payments (Paxton, 2012). In Nigeria, Olu (2012) and Nwakpa (2016) established the following strategies: using alumni contributions, partnerships with NGOs, donors and business sector, money market and capital market, running school farm, endowments, sale of student handicrafts, staging school plays, and running raffles (Olu, 2012; Nwakpa, 2016).

Various authors have also written about strategies in tertiary and higher education institutions. Newman and Duwiejua (2015) established that tertiary education in Ghana was funded through a variety of sources such as grants from Government of Ghana, the Ghana Education Trust Fund (GETFund), development partners, internally generated funds by the institutions and contributions from students and private sector. In Kenya World Bank (2010) noted that the main sources of funds for public universities were government (providing around 61% in 2007 (World Bank, 2010), and self-generated revenues (accounting for 39% in 2007) realized from research projects. Gebreyes (2015) conducted a study of Revenue Generation Strategies in Sub-Saharan African Universities in Ethiopia, Kenya and South Africa. The study established several strategies for ensuring financial sustainability and diversification of resources within higher education institutions such as education and short-course services, research and consultancy services, and non-academic services and products (Gebreyes, 2015: 366).

In Malawi, few authors have conducted studies on financing strategies at national level or institutional level. CSEC (2017) documented four case studies (appendix 3) from Cameroon, Zimbabwe, Zambia and Ethiopia on emerging innovative funding sources such as debt for education swaps, bond financing, education levy, and diaspora remittances. Together, these four mechanisms were said to have potential to raise additional revenue for Malawi amounting to US$193.7 million (MK141.4 billion) annually, which constituted more than total grants received by government in 2015/16 financial year (K131.0 billion) and amounted to 60% of the 2017/18 education budget of K235 billion (CSEC, 2017: 17). At institutional level in higher education, World Bank (2016) study on public universities such as University of Malawi (UNIMA), Mzuzu University, Lilongwe University of Agriculture and Natural Resources (LUANAR) and Malawi University of Science and Technology established that the institutions got funding from government through annual subventions, from donors through projects, from student fees, from alumni associations and from private sector. Other sources included rent recovery from staff; administrative and overheads costs from projects and consultancy fees; payments for conference facilities, the staging of conferences and workshops; catering; book sales; the renting of sports facilities; facility hiring fees; interest from bank balances; and dividends from medical schemes (World Bank, 2016). Furthermore, a review of various Malawi strategies and policy documents showed that the only domestic sources and strategies included tax and non-tax revenue, private sector, and households (cost recovery and cost sharing) (GOM, 2004; GOM, 2006; GOM, 2012; GOM 2017). Some documents including National Education Policy (GOM, 2016) and The

Second Malawi Growth and Development Strategy have proposed diversification strategies. For instance, according to GOM (2016) "there is need to diversify and equitably distribute resources for basic education across the nation" (GOM, 2016: 185). Most of the innovative mechanisms tried in other countries are missing from such documents.

What emerges from the discussion above is that there are several options which managers in Malawi could choose from as alternative sources of funding for education. However, since most of the recommendations are coming from studies outside Malawi, there is need for empirical evidence from Malawi to establish their potential at country level. It has also been established that not much has been done in Malawi to embrace innovative financing mechanisms. While MOF(2014: 4) observes the need to reduce dependency on aid and commits to domestic resource mobilization, very little had been achieved in that line. A review of various strategies and policy documents (see Appendix 1) shows that the only domestic sources and strategies have included tax and non-tax revenue, private sector, and households (cost recovery and cost sharing). Moreover, apart from TEVET levy and public private partnership sources, there is not much suggested from the emerging strategies that government has implemented to address dependency on donors. At school level, many of alternative sources practiced in other countries are not being utilized in public primary and secondary schools, thereby leading to shortage of resources and heavy dependence on government and donors. Finding alternative sources could be a lifeline, due to high revenue potential in innovative financing. CSEC (2017) documents four case studies from Cameroon, Zimbabwe, Zambia, and Ethiopia on emerging innovative funding sources such as debt for education swaps, bond financing, education levy, and diaspora remittances; but these have not been tried yet by the government.

2.6. Theory of Change for Addressing Dependence on Donor Aid in Malawi

The fifth theme from the review relates to the theory of change (TOC) to assist managers to address dependence on donor aid in the education sector. According to UNDG (2017) a TOC is "a method that explains how a given intervention, or set of interventions, are expected to lead to a specific development change, drawing on a causal analysis based on available evidence" (UNDG, 2017: 3). In addition, TOCs are often depicted visually, through a diagram showing pathways from activities to impact (Gooding et al, 2018: UNDG, 2017). In conceptualising this study, the researcher considered that a theory of change is a very important management tool for ensuring change happens in a systematic way and that desired aspirations including reducing dependence on donor aid are achieved following a logical process.

Gooding, Makwinja, Nyirenda, Vincent and Sambakunsi (2018) published an article which reports experience of using theories of change to develop a framework for evaluating community engagement in research at a clinical research organisation in Malawi. The article established several benefits of using TOC, including that "it helped to construct an evaluation framework focused on relevant outcomes and not just activities. The process of reflecting on intended goals and pathways also helped staff to review the design of engagement activities". On the other hand, the publication noted several challenges which included "practical considerations around time to consider evaluation plans among practitioners (a challenge for evaluation more generally regardless of method), and more fundamental difficulties related to identifying feasible and agreed outcomes (Gooding *et al*, 2018). Changes in perception and strategic choices of mangers in reducing dependency need to be considered in a logical process rather than in a haphazard manner. This is how change can yield to expected results. Managerial strategic objectives and activities designed through a TOC process make it easy to implement and evaluate. In fact, TOC is also good for evaluation. As Gooding *et al* (2018) note, "Theory-driven evaluations tend to focus on generative causation, examining the processes leading to intervention outcomes rather than relying on experimental logic, and they emphasise the role of context in contributing to varied intervention outcomes" (Ibid: 3). Recently, the Global Partnership for Education (GPE) conducted a programme evaluation based on TOC. The results of the evaluation were that "in terms of planning, education sector planning was strong in Malawi prior to GPE involvement, and the most recent plan benefitted from the GPE quality assurance process; in terms of implementation, implementation and monitoring of sector plans remains a challenge; in terms of financing, there is improved harmonization through Common Financing Mechanism (CFM), and most non-salary expenditures financed by donors" (GPE, 2019: xii).

While TOC is beneficial both in strategic planning and evaluation, a review of literature showed that there was limited use of the TOC approach across government ministries, including in the education sector. A document review showed that TOC was embedded in just a handful of official documents. GPE, which is one of the donors of the education sector in Malawi, adopted use of TOC in its country programming which was also a basis for the GPE 2020 Country Level Prospective Evaluation (GPE, 2019). According to GPE (2019) "The generic country-level TOC elaborates on the key changes targeted by the GPE and their main causal explanations, factors, and underlying assumptions that determine them." (GPE, 2019: 7). Another document which has embedded TOC is the *Malawi National Resilience Strategy (2018-2030)* developed by the Department of Disaster Management Affairs National Resilience (GOM (2018). The strategy sets its TOC goal as "a country free of chronic vulnerability, food and nutrition insecurity, and where sustainable economic development creates opportunities for everyone, and where people are resilience to economic and environmental shocks that affect their lives and livelihoods" (GOM, 2018: 17). The first two editions of the *Malawi Growth and Development Strategy (MGDS)* developed in 2006 and 2012 (GOM, 2006; and GOM, 2012) did not include a TOC. The third MGDS (GOM, 2017) contains a TOC but is not related to addressing dependency. The report of the review of the second MGDS (GOM, 2016) recommends development of a conceptual framework, which has "the underlying critical assumptions, including the criteria for the basis of any prioritization. An approach that logically categorises different sectors at the early planning process, and at subsequent stages, for example, into; (a) primary productive sectors, (b) social sectors, and (c) complementary or enabling sectors is proposed. Linkages between the sectors are also critical to articulate at the planning stage" (GOM, 2016: 214). In the education sector, the MOEST National Education Sector Investment Plan 2020 – 2030 is the only policy document produced by Ministry of Education over the past twenty years with an elaborate TOC as presented on page 75 of the plan (MOEST, 2020: 75). This suggests that the Ministry of Education has not fully embraced the TOC approach. Further document review showed that there was no document which presented a TOC special for reducing dependency on donor funding at national or sector levels. Given the significance of the TOC approach, the researcher concluded that TOC was not widely applied in the education sector and that it was necessary to define key features of a TOC that would act as a guide for education managers to tackle dependency, in a systematic, logical way.

2.7. Consolidation of Research Gaps

This empirical literature review chapter has provided an overview of the sources that were explored while researching the study problem. This sub-section aims to expose gaps in the literature which justify further research. Firstly, perception of the environment is a key function of managers on the road to reducing resource dependence according to the resource dependence perspective. Indeed, authors such as Keeton & Mengistu (1992), Pfeffer and Salancik (2003), and Nienhüser (2008) have alluded to this in their empirical studies. From the literature review, one of the reasons provided for managers to perceive the environment is that "people's perceptions have a direct influence upon their decision-making and consequently the result of their decisions" (Özleblebicia & Çetin, 2015:297). And managers must perceive the environment to make right decisions and develop relevant responses towards reducing dependency. While scholars such as Page (2018), Mwanamanga (2015), Simwaka (2012) and Ng'ambi (2011) have attested to the high level of dependence on donor funding in Malawi in general there is little in the literature that reveals how managers in the education sector perceive the level of dependence to be. Very few official policy and strategy documents such as *Vision 2020, The Policy and Investment Framework for the Education Sector, The Education Sector Implementation Plan II (ESIP II) 2013/14 -2017/18* and *Second Malawi Growth and Development Strategy* do perceive the level of dependency as high. Beyond the reference to dependency in the documents stated above, the researcher was unable to find journal articles or books or publications that gave direct response to how managers perceived dependency and whether there were differences in perception amongst them. The researcher, therefore, concluded that there was a gap in knowledge on the concept of managerial perception of dependency. This is a gap which the researcher sought to address through objective 1 of the study.

Secondly, it was discussed in the literature review that resource dependence theorists pinpoint that a second important function for managers is the decision making and legitimizing function, especially on how environmental requirements can be managed and at the same time legitimize decisions towards stakeholders (Nienhüser, 2008). The decision to end dependency is a strategic decision and according to strategic choice theory, choices managers make for an organization can differ widely, partly due to cultural differences affecting mental models and ways to manage, managers´ characteristics such as age, class, gender, generation and ethnicity (Roholf, 2013). Where differences in strategic choice occur, it is necessary that the organisation should strive to lessen the differences because organisation culture requires that there be a shared belief system among the members (Roholf, 2013: Spender, 1983). Given this understanding literature review was conducted to establish what empirical research indicates about managerial strategic choices in the education sector in Malawi, and whether there are differences. However, even though review of official documents provided some pointers as to strategic choices to reduce dependency in line with RDT, there was no documentation about the voice and strategic decisions of the managers themselves. Moreover, a review of official documents showed that some government policies and strategies recognised the need to reduce donor dependency and diversify domestic resource mobilisation. The documents which directly made reference to reducing dependency include *Vision 2020 and The Development Cooperation Strategy 2014-*

2018. Vision 2020 has outlined one of the strategic activities as reducing donor aid (National Economic Council, *1998: 34). Development Cooperation Strategy 2014-2018* states that, "Government will work towards ensuring that aid is reduced as a proportion of the national budget" (GOM, 2014: 12). There were several other documents, like *The Malawi Economic Growth Strategy* (GOM: 2004) and the *Third Malawi Growth and Development Strategy (GOM, 2017),* which supported the continuation of donor aid. According to GOM (2017 "development assistance will continue to play a key role in supporting Malawi's development objectives and the achievement of the SDGs and other international development frameworks" (GOM, 2017: 2). It was concluded from the document review that some policy documents aimed to reduce dependency on donor aid while others aimed to continue dependency, signalling differences in strategic choices and contradictions within policies and strategies. However, a review of studies and publications by Page (2018), Simwaka (2012), Saasa (2012), and Ng'ambi (2012) did not yield any results with regard to strategic choices of managers in the education sector. Therefore, the researcher concluded that even though document review gave some evidence about strategic choice and differences the literature review left knowledge gap on strategic choices of managers in the education sector from other methods of data analysis. This is because document review alone cannot be relied upon as conclusive evidence. As with all forms of research, the findings from document analysis should be corroborated with other sources of information including feedback from organisations managers (Triple S, 2013: 3). Gaps and issues around managerial strategic choice in the education sector in Malawi are addressed in objective 2 of the study.

Thirdly, the review of literature discussed factors contributing to disequilibrium between policy and outcome and so negatively affected successful implementation of government policies and strategies in reducing dependency or in sector performance in general. A review of publications by World Bank (2010), (MOEST, 2017, (Isaacs, 2007), UNESCO, 2014), Andrews *et al* (2014), GOM (2002), World Bank (2006), World Bank (2013), World Bank (2015), (MOF, 2018) and CSEC (2017) resulted in several issues or factors. The factors identified included low level of innovation, weak public finance management and limited capacity to implement. However, even though these factors could apply to the education sector, they were not specific to the issue of dependence on donor aid in the sector. In addition, these issues arose from document review which on its own cannot provide sufficient evidence (Triple S, 2013). The researcher, therefore, concluded that there was a gap in knowledge relating to the need to provide empirical evidence from the field in terms of the factors affecting sector performance and causing disequilibrium between policy and outcome in relation to the strategic choice of reducing dependence on donor aid in education sector in Malawi. This is an issue addressed in objective 3 of the study.

Fourthly, the literature review identified emerging alternative strategies or sources of financing with potential to reduce dependence on donor funding. Several authors made proposals based on empirical studies conducted across the globe. For instance, globally, OECD (2014) established that US$635 billion could be raised a year from just 5 innovative mechanisms namely new special drawing rights issuance, carbon taxes, Billionaire's tax, currency transaction tax, and financial transaction tax (OECD, 2014: 181). On the African continent, UNECA (2015) established that innovative financing and spending could raise at least US$2,850 billion annually for African countries through diaspora remittances, savings from the curtailment of illicit financial flows (IFFs), diaspora funds, better negotiated mineral contracts and the expansion of Africa's fiscal space (UNECA, 2015). Leading Group on Innovative Financing for Education (2012), Filipp and Lerer (2013) and Moumné and Saudemont (2015) have earmarked several mechanism special for the education sector including tax on international financial transactions; local currency education bonds; education venture fund; diaspora bonds; voluntary contributions from migrants; debt-for-education swaps or debt conversion development bonds; sports levy; micro-donations from individual banks; corporate social responsibility funds or industry taxation; directing part of national lottery sales to education; Public-private partnerships and microfinance and insurance funds which are underutilized like social impact bonds, impact investing and blended instruments.

As noted by Leading Group on Innovative Financing for Education (2012), most of these mechanisms have not been explored and the challenge is for countries such as Malawi is to encourage managers to innovate and develop capacity to explore these innovative funding and spending mechanisms. In addition, most of the studies concerned with NGOs or companies which have different make up from the public sector. There seems to be a contextual gap, which requires that the popularity of strategies be checked against the Malawi context within the public sector. Moreover, the authors failed to put figures to the strategies being suggested for one to gauge their potential for addressing dependency on donor funding in a county like Malawi. Since decisions about ending dependency on donors involved managers, there is also need for the managers to be interrogated on what they think about the emerging strategies and their own opinion on what can work in the context of Malawi. This is an issue addressed in objective four of the study.

The fifth issue emerging from the literature, concerns theory of change to help managers reduce dependence on donor funding in the education sector. While authors such as Gooding *et al* (2018), UNDG (2017), GPE (2019), and GOM (2018) agree in the literature review that developing a theory of change would be beneficial in the development, implementation, and evaluation of strategies for reducing dependence, review of official documents for Malawi has shown that application of theory of change approach in the education sector is limited. In the education sector, the MOEST National Education Sector Investment Plan 2020 – 2030 is the only policy document produced by Ministry of Education over the past twenty years with an elaborate TOC as presented on page 75 of the plan (MOEST, 2020). This suggests that the Ministry of Education has not fully embraced the TOC approach. Further, document review showed that there was no document which presented a TOC special for reducing dependence on donor funding at national or sector levels. Given the significance of the TOC approach, the researcher concluded that TOC was not widely applied in the education sector and that it was necessary to define key features of a TOC that would act as a guide for education managers to tackle dependency, in a systematic, logical way. The definition of the Toc would require synthesis of the issues addressed from objectives 1 to 4 of the study. As such the researcher addresses issues of theory of change in objective 5 of the study.

2.8. Chapter Summary

This literature review chapter has provided an overview of the sources that were explored while researching the study problem from the empirical, theoretical, and conceptual perspectives. From the empirical perspective the chapter has provided literature around five themes on managerial perception, managerial strategic choices, factors contributing to disequilibrium between policy and outcome, alternative strategies, and sources to reduce dependence and theory of change to assist managers to reduce dependence. There are several issues as well as research gaps that have been identified from the review of literature which are relevant for the study as presented in section 2.7. The issues and gaps in research require further investigation through a disciplined process of research. The next chapter deals with the theoretical and conceptual framework for the study.

CHAPTER 3: THEORETICAL AND CONCEPTUAL FRAMEWORK

3.1. Introduction

Chapter 2 presented a review of literature whereby an overview of the sources that were explored while researching the study problem from the empirical perspective was provided. This chapter is concerned with a presentation and discussion of the theories and concepts that formed the building blocks of the study. The key sub-sections are on theoretical framework and conceptual framework.

3.2. Theoretical Framework

The theoretical framework for the study was guided by five theories. These were: Resource Dependence Theory (RDT) as a central theory, and ancillary theories, Strategic Choice Theory, Human Capital Theory, Public Finance Management Theory and Theory of Change as illustrated in figure 6.

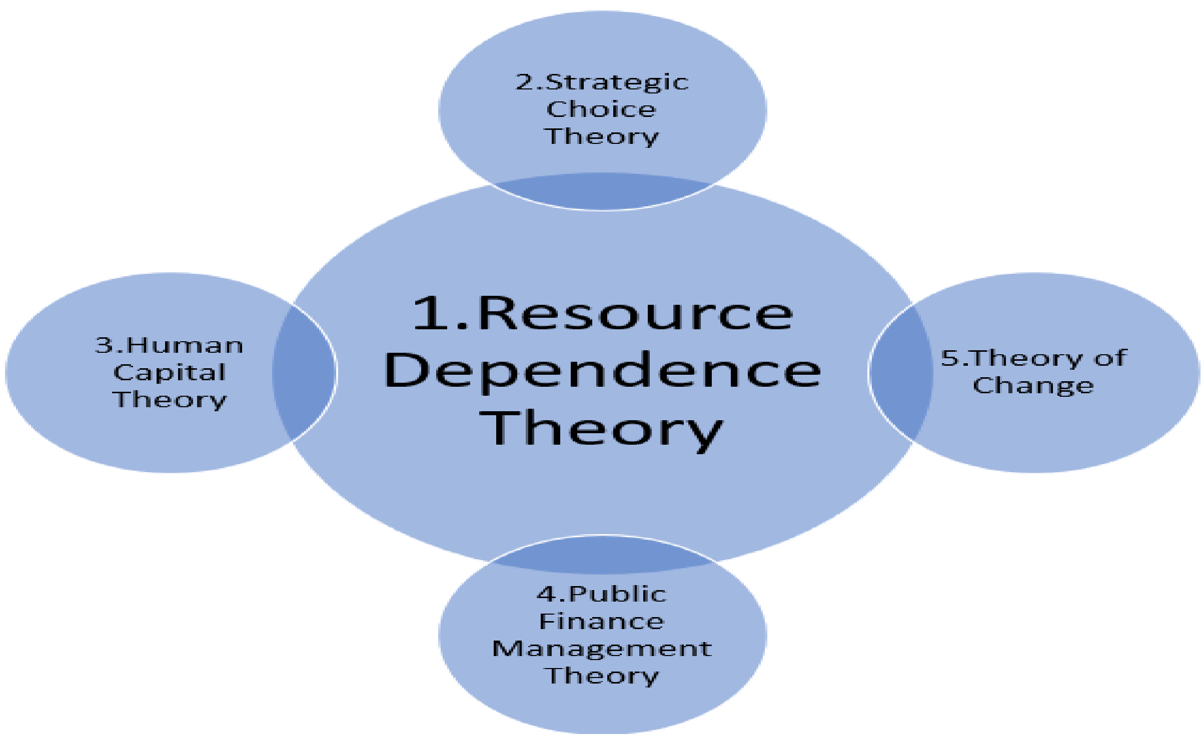

Figure 6: Study Theoretical Framework

Source: The Researcher (2017).

3.2.1 Resource Dependence Theory

The overarching theory that guided the study was the Resource Dependence Theory (RDT). RDT was developed in 1978 at Stanford University by the American business theorist, Jeffrey Pfeffer and the American organizational theorist, Gerald R. Salancik. *Dependence* is defined by RDT proponents as the product of the importance of a given input or output to the organization and the extent to which it is controlled by a relatively few organizations. A resource that is not important to the organization cannot create a situation of dependence, regardless of how concentrated control over the resource is (Pfeffer & Salancik, 1978).

3.2.1.1 Main arguments of RDT

According to RDT proponents, organisations depend on resources to survive, and the only source of the resources is the organizational environment, where other organizations are part of. The appearance of several organizations in one environment leads to the issue that some resources needed by one organization are controlled by another organization. The dependency leads to power relations and creates uncertainty (Pfeffer & Salancik, 1978: 41). Thus, dependency exposes a dependent organization to external control (Pfeffer & Salancik, 1978), environmental uncertainty (Sener, 2008) and absence of financial sustainability (Steinman, 2010). To avoid the negative impact of dependency, Leon (2009) and Rees (2009) cited by (Mofokeng, 2014), suggest that at least 60% of the organization's overall budget must come from at least six different sources. In addition, external sources should constitute no more than 30% of the organization's budget (Leon, 2009; Mitchell, 2012 & Mofokeng, 2014). Even if an organization has twenty donors, it will remain extremely vulnerable if a large portion of the budget depends on only one of these. Any change in this donor's decision can induce a major crisis (Mofokeng, 2014).

There are three critical factors that increase the dependence or vulnerability of an organization to extra-organizational influence and control (Pfeffer & Salancik, 2003; Chikoto, 2010). First, the importance of the resources to a recipient organization determines its level of dependence on a source. This is determined by the magnitude as well as the criticality of the resources. Second, an organization's dependence on its environment is also influenced by the availability of alternative funding sources. As Pfeffer and Salancik (2003) point out access to alternative resources can be constrained through: rules and regulations that may restrict access to other sources; the number of available sources; and the size or importance of the alternatives. Thirdly, organizational dependence is also determined by the extent of the funding source's discretion over resource ownership, allocation, and use. Having such discretion, influence and control is based on resource ownership, the ability to control the actual use of the resources; and when rules are used to regulate resource ownership, allocation, and use (Chikoto, 2010). Delke (2015) has illustrated these factors as presented in figure 7:

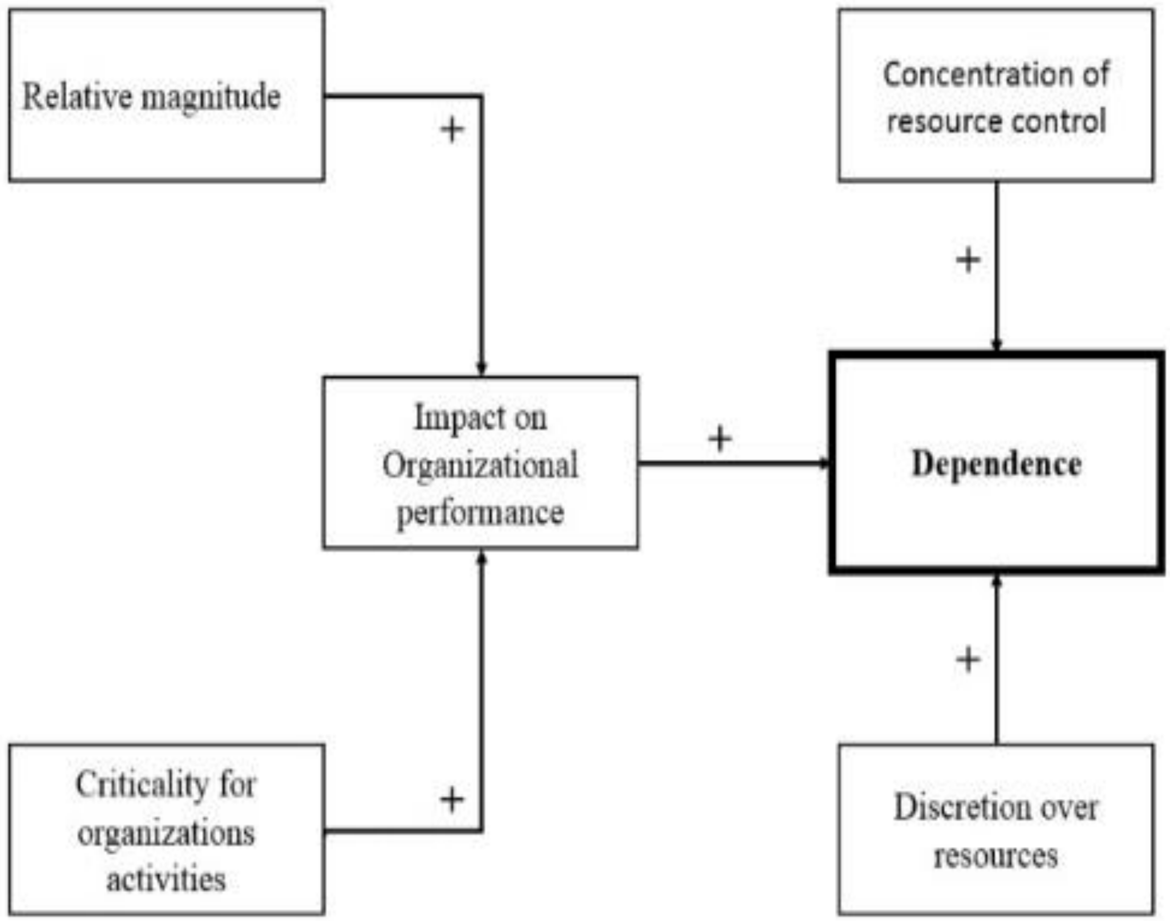

Figure 7: Factors leading to dependency
Source: Delke (2015: 14).

3.2.1.2. The Role of Managers in addressing dependency

According to RDT, dependency is a threat to the continued existence of the organisation because it makes the participation of members more doubtful since resources required for performance of duties become unpredictable. As such it is in the interests of all participants either to abandon the unstable organization for a more stable coalition or to stabilize the uncertainty confronting the organization. The theory points out that it is the necessary responsibility of management to ensure the survival of the organisation by minimizing any situation of uncertainty and dependency (Pfeffer & Salancik, 1978: 26). The general hypothesis of RDT is that "organizations will try to reduce organizational dependency and uncertainty" (Delke, 2015: 12). Managers can reduce dependency and environmental uncertainty by several strategies or actions. The strategies include engagement in mergers and acquisitions, joint ventures, composing and structuring the board of direction, political actions, and executive successions (Pfeffer & Salancik, 1978/2003; Hillman *et al*, 2009: 1-11).

3.2.1.3. Criticism of Resource Dependence Theory

The theory has its critics who present several faults, problems, challenges, or shortfalls. Davis and Cobb (2009) fault the theory on evidence of claims. First, they argue that the analyses of mergers and interlocks were done at the industry level rather than the organizational level, which leaves their results susceptible to claims of an ecological fallacy. Secondly, the tactics for addressing dependency may not work in some environments or for some organizations- e.g. diversification strategy failed for one third of Fortunes 500 companies in the 1980s, outsourcing replaced growth and diversification in 1990s, while board interlocks were rarely practiced and co-optation in board seemed a bad idea given the board's legal duty of loyalty (Davis & Cobb, 2009).

In a study focusing on NGOs, Mitchell (2012) argues that resource dependence theorists tend to overemphasize the role of external factors, underappreciate the extent of organisational autonomy and collaborations among inter-dependent organisations. In their critical commentary on the theory Wry, Cobb and Howard (2013) noted that there were other aspects of organisational autonomy beyond the external environment. For instance, they argued that boundary-spanning hybrid organizations are becoming increasingly prevalent, globalization continues to be associated with the growth of multinational corporations and innovation increasingly takes place within networks rather than individual firms.

According to Delke (2015) RDT is often criticized based on the lack of empirical testing of its basis premises. Most of the criticism focuses on the issue that the basic concept and the boundaries of the RDT are not as extensively tested as it should be. However, scholars noticed that it is difficult, almost impossible to test all the hypotheses stated by the RDT (Nienhüser, 2008: 8). Nevertheless, some literature empirically tested some of the RDT hypotheses and variables and can extend or improve the theory (Casciaro & Piskorski, 2005: 191-192). On his part, Gebreyes (2015) whose study focused on revenue generation strategies by higher education institutions in Sub Saharan Africa, criticised RTD for perceiving organisations as rational actors, which maximise their resources; and for paying little attention to the internal aspects of an organisation. Despite all this criticism the researcher argues that the underlying theoretical approach of diagnosing the sources of power and dependence and predicting when and in what direction organizations are likely to respond still yields great insight into organizational behaviour as noted by Delke (2015) and Gebreyes (2015).

3.2.1.4. How RDT Contributes to the Study

The theory contributed to the study in three ways. First, it helped the researcher identify the research problem which hinges on high dependence on donor aid in the education sector in malawi. Secondly, it helped the researcher formulate the research objectives. For instance, the first and second objectives focus on two of the key variables mentioned by RDP proponents as contributing to managerial functions in addressing dependency, which are “managerial perception” and “strategic choices”. Thirdly, the theory provided a framework for defining and discussing the solutions to the research problem. In line with this, the fourth objective of the study discusses the strategic options for dealing with dependency. This is central because according to the theory managers must find strategies for dealing with dependency for organisational survival (Pfeffer & Salancik, 1978). Fourthly, the theory of change defined in objective five was anchored on dependence to assist managers to ensure that organisational change in addressing dependence on donor aid follows a logical path from inputs to outcomes.

3.2.2 Strategic Choice Theory

Strategic choice involves a process whereby a decision or decisions are taken to choose a particular option or direction from various alternatives to pursue a degree of performance (Christensen & Raynor 2003). Moreover, strategic choice is deliberate on winning and is concerned with creating and sustaining growth and other indicators of organisational performance (Christensen, Raynor & McDonald, 2015). According to Nyambariga (2018) strategic choices underpin organisations strategic intent and direction and provide a roadmap for actualizing organisational objectives. The decision-making process gives rise to strategic choices which impact all aspects of the organisation’s value chain (Nyambariga, 2018).

Roholf (2013) observes that Strategic Choice Theory emerged to explain the inadequacies of Resource Dependence Theory and other deterministic theories (such as contingency theory and modernistic theory) by acknowledging the interdependence of environmental factors and stressing the critical role of powerful managers in strategic decision making. The theory underlines top management´s ability to affect organizational actions and performance, and thus it ensures the power of top management to minimise dependence towards other actors in the environment including donors. Sekiguchi (2005) provides what one might consider as a clear description of the strategic choice model, as follows:

> *"The basic framework of strategic choice mode (Kochan, et al., 1984; Katz, and McKersie, 1986) is derived from the paradigm that integrates the traditional theories of industrial relations systems with the literature on corporate strategy, structure, and decision-making. The model starts with the consideration of relevant forces in the external environment that affect employment relationships. A changing external environment induces organisations to make adjustments in their competitive business strategies. In making these adjustments, the range of options considered are filtered and constrained so as to be consistent with the values, beliefs, and philosophies engrained in the mind of key decision makers. As choices are also embedded in particular historical and institutional structures, the range of feasible options available at any given time is partially constrained by the outcomes of previous organisational decisions and the current distribution of power among government agencies, corporations, unions, and other organisations. In this way, industrial relations processes and outcomes are determined by a continuously evolving interaction of the environmental pressures and organisational responses"* (Sekiguchi, 2005: 94-95*).*

Along the lines above from Sekiguchi (2005), Stein, Lake and Powell (1999) note that a strategic-choice approach begins with purposive, intentionalist, rational explanations of behaviour and adds the component of actor interaction. The actors' choices reflect not only their preferences and the constraints they confront but also the existence of other actors making choices. Differences in strategic choice amongst managers can occur due to cultural differences and managers´ characteristics such as age, class, gender, generation and ethnicity (Roholf, 2013). Hence, the first two objectives of this study and corresponding hypotheses aim to explore differences in strategic choices and perceptions.

One observes from the discussion above that strategic choice theory puts top management, also known as the dominant coalition within the organisation at the centre of decision making as the organisation strives to respond to changes in the external environment (Roholf, 2013; Smith, 2011). Decision making is also seen as a crucial function of management according to the RDT perspective (Nienhüser, 2008). According to Nienhüser (2008) "a second important function is the decision making and legitimizing function. Management makes decisions on how environmental requirements can be managed and at the same time legitimizes decisions towards stakeholders" (Nienhüser, 2008: 14). Nevertheless, Roholf (2013) notes that whereas traditional theories such as RDT "assume the organizational environment to be the critical determinant of firm performance, one of the main assumptions of Strategic Choice Theory is concerned with the possibility of the dominant coalition to direct a company´s choices, and thus actions" (Roholf, 2013). Therefore, it seems that both the environment and managerial strategic choice interplay to define the course of action as the organisation responds to the changing environment.

Smith (2011) acknowledges the position taken by Harry Yarger that Strategic Choice Theory is useful because it "opens the mind to all the possibilities and forces at play, prompting us to consider the costs and risks of our decisions and weigh the consequences of those of our adversaries, allies, and others" (Smith, 2011). It was thus considered that the strategic choices of managers in addressing dependency needed to be pursued in a systematic manner by interrogating the managers on what their perception of the level of dependency was and their choices going forward. The study makes a link between perception and strategic choice because in strategic management "people's perceptions have a direct influence upon their decision-making and consequently the result of their decisions" (Özleblebicia & Çetin, 2015:297). Thus, the strategic choice theory provided a central conceptual basis for analysing and addressing the problem being pursued in this study.

3.2.3. Human Capital Theory

The third theory which guided the study was Human Capital Theory (HCT). According to World Bank (2019) human capital "consists of the knowledge, skills, and health that people accumulate over their lives, enabling them to realize their potential as productive members of society and has large payoffs for individuals, societies, and countries" (World Bank, 2019: 50). In Bouchard's view (2008), HCT has its roots in a T.W. Shultz Nobel prize winning article published in the sixties (Schultz, 1961) whose perception was that the future lies in developing the knowledge economy through investments in "human capital" (Bouchard, 2008).

There are several arguments related to education's contribution to the economic and other various sectors. For instance, one of the popular arguments for investing in education relate to return on investment. According to Psacharopoulos and Patrinos (2018), returns on investment in education based on HCT have been estimated since the late 1950s, with the concept that investments in education increase future productivity. Latest figures show that for private rate of return the average is 25.4%, 15.1% and 15.8% for primary, secondary and higher education levels. For social return, the average is 17.5%, 11.8% and 10.5% for primary, secondary and higher education levels respectively (Psacharopoulos & Patrinos, 2018). In Malawi, a study on rate of return concluded that the rate of return to primary education was 5.1%, the rate of return in senior secondary education was 15.4% and rate of return to university education was 66%. According to the study "one additional year of schooling increases lifetime earnings by 10% on average, by 9.7% among male workers and 11.4% among female workers. Hence according to the study, the positive rate of return justifies the need for increased public investment at all levels especially at primary and secondary school levels (Matita & Chirwa, 2009: 23).

Another argument related to the contribution of education to GDP. Several studies confirm that additional years of education have a significant influence on GDP per capita or its growth (Wils, 2015). According to Wils (2015), each additional year of education is associated with an 18 per cent higher GDP per capita. For example, "if a country such as Guinea, which had an average number of 3.3 years of education per person in 2012, progressed to the education level of a country such as Kenya, where the average was 9.0 years, then its GDP per capita could double" (Wils, 2015:19). In Malawi, a study by Matita and Chirwa (2009) confirmed that "one additional year of schooling increases lifetime earnings by 10% on average, by 9.7% among male workers and 11.4% among female workers (Matita & Chirwa, 2009: 23).

Other studies show that education contributes positively to increase in wages and reduction in gender gaps (Leading Group on Innovative Financing for Education, 2012) as well as reduction in poverty (Wils, 2015), promotion of good health (MOEST, 2017) and promotion of peaceful and cohesive societies (UNESCO, 2014). The reasons above build a strong case for investing in education and human capital, since there is a huge price that comes with poor investment in education. The cost of underinvestment in education presents a burden on households. A study quoted by Wils (2015) noted that "underinvestment in education by the public sector results in households' picking up large portions of their children's education bills. Households in low-income countries contribute 27 per cent of all costs, according to an unweighted average of countries (UIS & Pôle de Dakar, 2012; Wils, 2015:60). The HCT was seen as relevant to the study because it helped the researcher to find justification for increased public investment in education. The theory is also critical in making strategic options for reducing dependency especially those related to capacity building of personnel involved in implementing government policies and strategies for domestic resource mobilization as discussed in objective four of the study.

3.2.4. Public Finance Management Theory

The fourth theory which guided the study was Public Finance Management Theory (PFMT). According to Simson, Sharma and Aziz (2011) PMTC encompasses the mobilisation of revenue; the allocation of these funds to various activities; expenditure; and accounting for spent funds (Simson *et al*, 2011). PMTC also deals with all aspects of resource mobilization and expenditure management in government (Howard, 2006). The process of PMTC includes resource mobilization, prioritization of programmes, the budgetary process, efficient management of resources and exercising controls(*ibid*). The main tool for public investment in education is the national budget, which "allows governments to reconcile and implement their policy objectives in concrete terms, and reflects their policy priorities" (ACPF, 2011: 26). Within the international policy agenda, one critical public finance management recommendation in terms of allocation of resources is that countries should allocate at least 15 to 20% of the national budget or at least 4 to 6% of the GDP to education to achieve SDG#4 on education (UNESCO, 2015). Prioritisation in allocation to education is critical since education is considered a public good, which requires sufficient resources. On this point, the United Nations Human Rights Council in its 2016 resolution reiterated that considering that education is a public good, Member States should put in place regulatory frameworks for education providers, to maximise investment in public education (United Nations, 2016; GCE, 2016).

According to Andrews, Marco, Neil, De Renzio, Krause and Seligmann (2014) four main dimensions that a Public Finance Management (PFM) system must promote for it to be considered functional include: prudent fiscal decisions; credible budgets; reliable and efficient resource flows and transactions; and institutionalized accountability (Andrews *et al*, 2014). Table 6 provides details of the key dimensions. PMF reform often faces critical challenges which make it difficult to translate theory into practice. According to Simson *et al* (2011) the challenges include: lack of political will to address political economy constraints, especially where fiscal power is vested in the presidency and the ministry of finance has limited fiscal control; weak capacity among the technical staff charged with managing the PFM system; and poor remuneration and incentive structures that discourage the civil service from performing well. Using the framework of analysis developed by Andrews *et al* (2014), this study considered PMF challenges that would affect the country's efforts to increase domestic resource mobilisation and ensure enough funding for education. In addition, the study used the international framework on allocation to education and protection of public investment in education as a public good in its proposals of ensuring adequate budgetary allocation of funds source from various alternative strategies to education. Hence PFMT guided the study in examining whether the PMF environment and capacity within the education sector contributed to the disequilibrium between policy and outcome in reducing dependency, as outlined in objective 3.

Table 6: Key Elements of a Functional PFM System

1.	**Prudent Fiscal decisions** 1.1. Spending decisions are affordable (deficit, debt levels, debt payments are managed, 1.2. Public debt is taken seriously (government knows what is owed, creditors are paid on time, debt payments are treated as a first(direct) charge), 1.3. Deficits, debts, cash and obligations are at levels not threatening solvency or economic stability in the foreseeable future.
2.	**Credible budgets** 2.1. Comprehensive and regular budgets are formulated that give a binding expression to government public finance priorities and plans. 2.2. Actual revenue policies and collection performance reflect proposals and forecasts, 2.3. Actual spending reflects budgeted promises (in aggregate and in detailed allocations).
3.	**Reliable and efficient resource flows and transactions** 3.1. Cash is provided to spending agencies when agreed, in agreed amounts, 3.2. Salaries are paid in a timely fashion; arrears are low or non-existent, 3.3. Goods and services are procured when planned, at appropriate quality and time, 3.4. Contracts are paid on time; penalties are low or non-existent, 3.5. Financing is available to capital projects when agreed and in agreed amounts, 3.6. Corruption, non-performance losses (with salaries, contracts, etc) are minimal.
4.	**Institutionalised accountability** 4.1. It is possible to track fund flows to service delivery units, 4.2. Financial reports are comprehensive, timely, allow comparison between actual spending and budget decisions; are accessible by political representatives, citizens, 4.3. There is an independent assurance (for instance, through audit) that funds are collected, managed and spent for intended purposes, in compliance with laws and regulations and with regard for value for money, 4.4. Concerns raised by independent assurance exercises are transparently discussed by citizens' representatives and receive timely follow-ups and redress by the executive.

Source: Andrews *et al* (2014: 11); & Bridges and Woolcock (2017: 6).

3.2.5. Theory of Change

The fifth objective of the study was to define a theory of change for addressing dependence on donor aid in the education sector in Malawi. The theory of change will be developed from a synthesis of the findings which will inform the key issues and preconditions for changing managerial perceptions and strategic choices and addressing internal weaknesses that have made it difficult for the country to translate policy into desired outcome in as far as tackling dependence on donor funding within the education sector is concerned. The underlying thinking is that change "emerges as a result of the simultaneous push and pull of multiple political, cultural and social forces involving many individuals and entities" (Hivos, 2015, p7). This sub-section provides background information of TOC by giving a definition and highlighting the key elements which managers need to be aware of to provide a context for tackling complex issues such as the one pursued in the study.

There are several definitions of theory of change from literature. However, two definitions caught the researcher's attention. One of them developed by Hivos (2015), states that theories of change "are the ideas and hypotheses ('theories') people and organisations have about how change happens. These theories can be conscious or unconscious and are based on personal beliefs, assumptions and a necessarily limited, personal perception of reality" (Hivos, 2015: 12). The other definition is from United Nations Development Group (UNDG). According to UNDG (2017) a theory of change is "a method that explains how a given intervention, or set of interventions, are expected to lead to a specific development change, drawing on a causal analysis based on available evidence" (UNDG, 2017: 3). The two definitions describe the logic of change in that change is a disciplined process which is based on assumptions and preconditions within an existing environment. According to UNDG (2017), a theory of change is presented in a diagram or short text as "a neat and succinct way to summarize the purpose of the organisation's work and communicate it to beneficiaries, stakeholders, donors, governments and other partners. It emphasizes real change to counterbalance discussions focused solely on resources, activities and outputs of different members of the organisation" (Ibid: 4).

A TOC explains how activities are understood to produce a series of results that contribute to achieving the final intended impacts. It can be developed for any level of intervention – an event, a project, a programme, a policy, a strategy, or an organization. A TOC can be developed for an "intervention, where objectives and activities can be identified and tightly planned beforehand, or that changes and adapts in response to emerging issues and to decisions made by partners and other stakeholders" (Rogers, 2014: 1). In terms of origins, TOC has been attributed to Everette Rogers who developed diffusion of innovation theory and created a five-stage change process of his own. The five stages are awareness, interest, evaluation, implementation, and adoption. According to Oguejiofo (2018) who applied the theory in nursing, Rogers' change theory "is applied to long-term change projects and is successful when nurses who ignored the proposed change earlier adopt it because of what they hear from nurses who adopted it initially" (Oguejiofo, 2018).

Diffusion of Innovation cannot be ignored in the change process. Innovation is important because it "has always played a decisive role in the economic and social development of countries: it is the main source of economic growth, it helps improve productivity, it is the foundation of competitiveness, and it improves welfare" (World Bank, 2010: 6). The key dimensions of innovation within a firm include product innovation, process innovation, market innovation and organizational innovation (OECD, 2018). The need for innovation is driven by several factors including changing business environment, technological advances, intensified competition and changing customers and needs (Goffin & Mitchell, 2006: 3). Diffusion of innovation promotes the transformation of creative ideas into useful applications by combining resources in new or unusual ways to provide value to society for new or improved products, technology, or services (Holt, 2013). Innovative ideas can be developed through processes of prioritization, implementation, and marketing within the context of people and organization (Goffin & Mitchell, 2006). A highly performing organization requires integration of innovative administration and technical innovation into the organization's operations (Demanpour, 1991). Within the education sector it has been proposed that innovative ideas for financing education and development fall into two sub-categories: 1) innovative sources which help generate new financial flows for sustainable development that may come from various economic sectors; and 2) innovative mechanisms which help maximize the efficiency, impact, and leverage of existing resources (OECD, 2014). In line with study objective, it is assumed that theory of change for tackling dependency cannot be achieved without mainstreaming of innovation in implementation of policies and strategies.

The discussion above shows that a theory of change has many uses. According to Hivos (2015), a theory of change is used for thinking about change at different levels, ranging from worldviews to project level theories of change" (Hivos, 2015: 17). A theory of change also, provides a framework for diffusing innovation and learning both within and between programming cycles. By articulating the causes of a development challenge, making assumptions explicit on how the proposed strategy is expected to yield results, and testing these assumptions against evidence—including what has worked well, or not, in the past—the theory of change helps ensure a sound logic for achieving change" (UNDG, 2017: 4). The reasons for developing a theory of change include, "to identify all the condition that are necessary and sufficient to attain the goal regardless of whether they are within the activity's immediate scope or not", and "to explain the sequence in which the anticipated changes are anticipated to happen – beginning from the current situation" (USAID, 2017). Therefore, a theory of change is a very important management tool for ensuring change happens in a systematic way and that desired aspirations are achieved following a logical process. The development of a TOC is a complex process, and it involves several steps. Hivos (2015) identifies eight steps to the process of developing at TOC which include: 1) clarifying the purpose; 2) describing the desired change; 3) analysing current situation; 4) identifying domains of change; 5) identifying strategic priorities; 6) mapping change pathways; 7) defining Monitoring Evaluation and Learning (MEL) priorities and process; and 8) use and adaptation of TOC (Hivos, 2015). Figure 8 illustrates the steps involved in TOC.

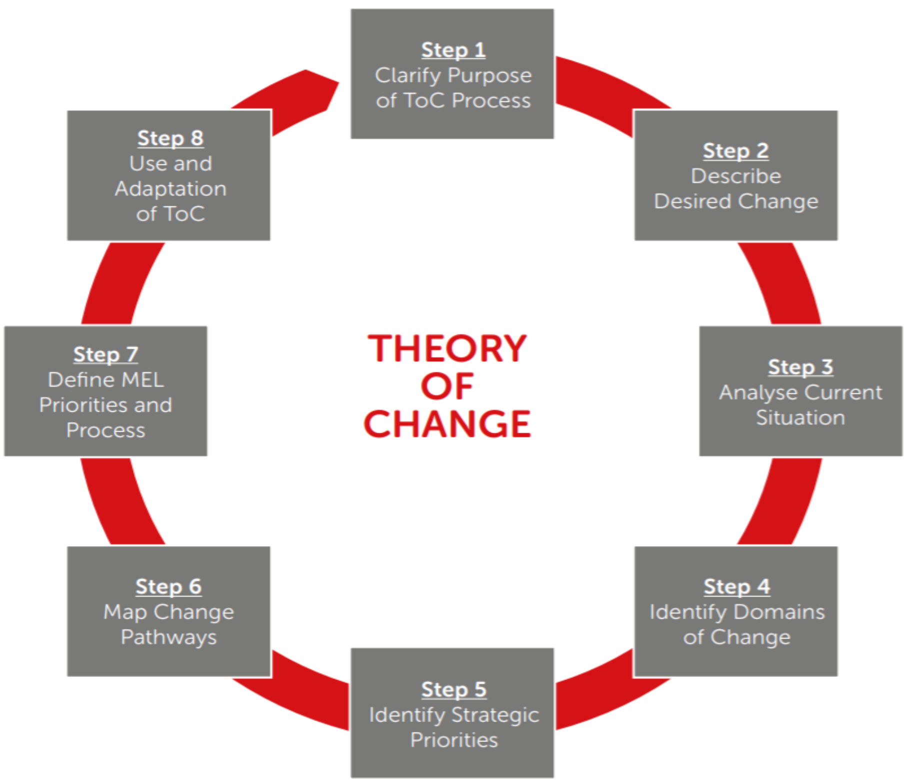

Figure 8: Steps to Developing a Theory of Change
Source: Hivos (2015: 34).

3.3. Conceptual Framework

A conceptual framework is a system of concepts, assumptions, expectations, and theories that structures the research by identifying the research variables and their relationships. It assists with identifying the problem and framing the research questions (Roger, 2014:16). From the theoretical framework discussed in section 3.2, the key concepts drawn from the study objectives are dependence, managerial perception, managerial strategic choice, alternative funding strategies and enabling environment which includes innovation, public finance management, theory of change and managing factors causing disequilibrium between policy and outcome. This is presented in figure 9 and described in the paragraphs that follow.

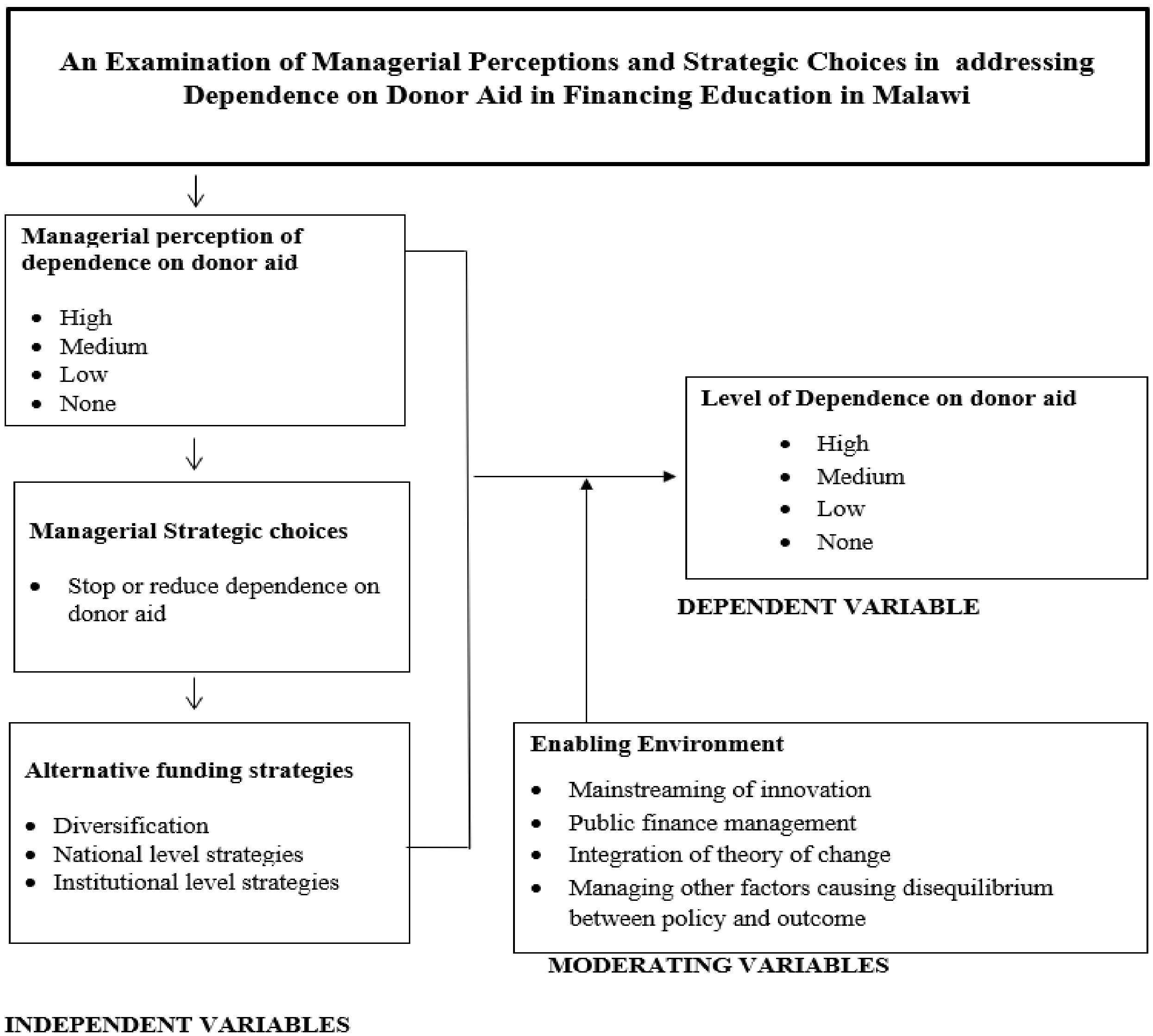

Figure 9: The Conceptual Framework

Source: The Researcher (2017).

The central concept drawn from RDT is “dependence”. The level of dependence can rise from none to low, medium, and high. High level of dependence is not desirable for all organisations. The more an organization is dependent, the higher the amount of uncertainty and the more it will try to reduce uncertainties (Nienhüser, 2008). It is the responsibility of managers to reduce dependence (Pfeffer & Salancik, 2003; Delke, 2015; & Nienhüser, 2008).

> *“What can actor A do now to reduce his dependence? He can first of all try to reduce his need, his “motivational investment”, for resources that B controls. Secondly, A can acquire alternative sources of resources. The dependence of A can be further reduced if resources which he controls become more important for B and/or if alternative sources dry up for B”* (Nienhüser, 2008: 13).

The second concept is “managerial perception”. Perceiving the environment is the first function of managers in reducing dependency (Nienhüser, 2008). Perception is defined by Young (1956) to refer to sensing, interpreting, and appreciating physical and social processes. According to Pfeffer and Salancik (2003): “Organizational environments are not given realities; they are created through a process of attention and interpretation. (...) Since there is no way of knowing about the environment except by interpreting ambiguous events, it is important to understand how organizations come to construct perceptions of reality” (Pfeffer & Salancik, 2003: 13).

Normally, within an organisation there are several individuals in top management, and perception of an issue or problem such as dependency would be similar or could be different. This is the case since the fact that organizations are based on actions of individuals working in a coalition, results in the assumption that the manager’s actions will be based on his subjective perceptions and interpretation of the environment (Nienhüser, 2008: 13). Where differences in perception occur, an organisation could face challenges in making decisions to address the problem. This is because organisation culture requires that there be a shared belief system among the members (Spender, 1983). Differences in perceptions among organizational members suggest that the existence of such a shared value system (such as strategy development culture) throughout the organization be questioned. But when differences in perceptions among the members are identified, it is easier to target the indifferent individuals for training, development programs and even change programmes to lessen the differences in perception (Keeton & Mengistu, 1992). It is, therefore, important to identify and analyse differences in perception in order to offer practical solutions to a problem such as dependency. In Malawi due to the long history of colonialism and dependency on donors and government one would strongly feel dependency is part of the culture and mindset of most Malawians (GOM, 2004). The mindset towards dependency would be exacerbated by the high levels of illiteracy and lack of critical thinking skills in the formal curriculum. This mindset makes one believe that there would be differences in perception of the level of dependency in Malawi. But this is an issue that requires systematic investigation to fathom. It is for this reason that the first objective aims to establish if there are differences in perception on the level of dependence on donor aid in the education sector. The hypothesis is stated below:

Hypothesis 1

***H_0**: There are significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi;*

***H_1**: There are no significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*

The third concept for the study is "managerial strategic choices". This concept arises from the second function of managers, which is the decision-making and legitimatizing function ((Nienhüser, 2008). To come up with a good decision and strategic choices, managers need to first perceive the environment and the problem correctly. As noted earlier under the discussion of "theory of strategic choices" people's perceptions have a direct influence upon their decision-making and consequently the result of their decisions" (Özleblebicia & Çetin, 2015:297).

It was assumed in this study that there is correlation between perception of level of dependence and strategic choice to the extent that differences in perception could result in differences in strategic choices. Where managers perceive dependence level to be high, they are more likely to employ several strategies to address financial uncertainty and dependency. The choices managers make for an organization can differ widely, partly due to cultural differences affecting mental models and ways to manage, managers´ characteristics such as age, class, gender, generation and ethnicity (Roholf, 2013). Hence the second objective aims to establish if there are differences in strategic choices to find strategies for minimising the differences and ensure a shared value system in tackling the problem of dependency in Malawi. Since perception influences decisions of managers, it was assumed that in Malawi, there were differences in strategic choices among managers. Hence the hypothesis for the second objective is stated as follows:

Hypothesis 2

***H_0** : There are significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi;*

H_1 : There are no significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.

The fourth concept is "alternative strategies". The process of strategic choices leads to identification of alternative strategies or solutions for containing the problem of dependency. According to the RDT perspective organizations should have at least six sources of funding to ensure certainty and sustainability (Delke, 2015; Mitchell, 2012; and Pfeffer and Salancik, 1978 & 2003). This suggests that resource diversification is an important consideration under alternative strategies. Diversification strategy has been considered by various authors including Nyambariga (2018), Wang and Yao (2016), Gebreyes (2015), Mitchell (2012) and Chikoto (2010). As noted by Wang and Yao (2016) "a diversified revenue portfolio decreases the instability of individual revenue sources, creating greater organizational sustainability when there's a decline in any one source. Revenue diversification not only reduces an organization's dependence on a particular supplier, but also increases its ability to attract resources from other suppliers" (Wang & Yao, 2016: 39). Furthermore, as discussed in the literature review chapter, alternative strategies can be decided at national or institutional (school, college, university) level. Through objective 4, the present study endeavored to establish which alternative strategies could work in responding to the problem of dependence on donor aid in Malawi.

The fifth concept for the study is "enabling environment". After strategic choices are made and alternative solutions are found, the RDT reveals that managers face constraints which lead to variance in the actions and performance of organizations (Pfeffer & Salancik, 1978: 15). What would these constraints be in the context of Malawi? A review of policy documents and strategies shows that government policies and strategies prepared since 2000 such as *Vision 2020* (GOM, 1998), *Malawi Economic Growth Strategy* (GOM, 2004), *Malawi Growth and Development Strategy* (GOM, 2006 & 2012) and *Malawi Development Cooperation Strategy* (GOM, 2014) have reflected the problem of dependence on donor funding and come up with strategies to reduce dependency and improve domestic revenue generation. This would demonstrate that policy makers perceive the dependency problem as high, hence the need to tackle it through the developed policies and strategies. However, the problem is that despite coming up with such policies or strategies the level of dependency is still high as noted by Ng'ambi (2011), Mwanamanga (2015), World Bank (2018) and UNICEF (2019). This suggests presence of factors or moderating variables perpetuating the problem. For instance, from the perspectives of public finance management theory, human capital theory and theory of change discussed in the previous section, several factors could act as enablers or challenges to identification and implementation of strategies to tackle dependency. These include the extent to which innovation is mainstreamed in resource mobilization efforts, the extent to which public financial management principles are applied, the application of theory of change in planning and assessment of polices and strategies, human resources capacity and other factors. Hence, the study sought to establish if such factors or others could explain the disequilibrium between policy and outcome while addressing the problem of dependency, as pursued in objective three.

From the discussion above, the researcher conceptualised in the study that addressing dependency on donor funding in the education sector in Malawi would require that managers should, first perceive the level of dependency as high and that amongst the managers there should not be differences in perception of the level of dependency and strategic choices. Moreover, the managers should be prepared to tackle possible constraining factors that would lead to low performance and risk the problem of disequilibrium between policy and outcome. Lastly, all this should happen within a well-developed theory of change that demonstrates the logic of how various managerial functions and interventions would result in the desired outcomes. The TOC should be developed at the time of making strategic choices and identifying alternative sources of funding other than donor aid. Consequently, the study had several assumptions. Firstly, the study assumed that differences in managerial perception of the level of dependence on donor aid in the education sector in Malawi may or may not be associated with the manager's age, gender, education level and institution type. Secondly, the study assumed that differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi may or may not be associated with the manager's age, gender, education level and institution type. In line with this, it was also assumed that differences in perception of the level of dependence on donor aid would have a bearing on the manager's strategic choices for addressing dependency. Respondents who perceive the level of dependence to be high would have a strong feeling against such dependence and propose solutions for breaking away from it.

3.4. Chapter Summary

This chapter has presented the theoretical and conceptual frameworks for the study. The main theories anchoring the study have been outlined and key concepts have been identified. Assumptions and hypotheses have also been provided. In the next chapter we look at the study methodology.

CHAPTER 4: METHODOLOGY

4.1. Introduction

In the previous chapter, we discussed the theoretical and conceptual framework for the study. It was noted that the main theory guiding the study was Resource Dependence Theory (RDT); and this was supported by four other theories, namely, Strategic Choice Theory, Human Capital Theory, Public Finance Management Theory and Theory of Change. In terms of the conceptual framework, the key concepts arising from the theoretical framework were discussed. These included managerial perceptions, managerial strategic choices, financing strategies, theory of change, and level of dependence. Assumptions and hypotheses related to these concepts were discussed. This chapter discusses the research methodology that assisted in collecting and analyzing the data. The key methodological elements covered are research design, location of the study, target population, sampling methods and sample size as well as research instruments (their validity and reliability), data collection techniques and data analysis.

4.2. Research Design

4.2.1. Research Philosophy

Research philosophy relates to the development of knowledge and nature of knowledge (Saunders *et al,* 2009). According to Saunders *et al* (2009: 108) the main consideration that influences choice of research philosophy is "likely to be your particular view of the relationship between knowledge and the process by which it is developed", and this could depend on whether one is more concerned with "facts" or "feelings and attitudes" or indeed, a combination of both. Several research philosophies exist including positivism, realism, interpretivism, objectivism, subjectivism, pragmatism, functionalist interpretive, radical humanist and radical structuralist (Saunders *et al,* 2009: 108). Out of this list of philosophies, this researcher opted for pragmatism as the underlying philosophy guiding this research. Pragmatism is a philosophy which started in United states of America in 1870 and is associated with the philosophers Charles Sanders Peirce, William James, John Dewey, Rorty and Rescher and proponents are called pragmatists (Brierley, 2017).

According to Creswell (2012), pragmatists "do not see the world as an absolute unity" and consider truth as "what works at the time" and "not based in a duality between reality independent of the mind or within the mind" (Creswell, 2012: 11). This type of thinking opens the pragmatists to a world of possibilities in knowledge building, and "many approaches for collecting and analysing data rather than subscribing to only one way (i.e., quantitative or qualitative)" (Creswell, 2012). Thus, pragmatism opens the door for mixed methods in research design (Saunders *et al* 2009 and Creswell, 2012). Saunders *et al* (2009) further note that pragmatism allows data collection methodology that mixes both facts (obtained through quantitative data collection approach) and feelings (obtained through qualitative data collection approach. In fact, pragmatism "has often been identified in the mixed methods research literature as the appropriate paradigm for conducting mixed methods research" (Brierley, 2017: 5). Brierley (2007) further notes that "unlike a critical realist approach to mixed methods research, a pragmatic approach gives less influence on philosophical assumptions for the conduct of research methods. By doing this, researchers are less restricted in terms of how they can carry out research". Furthermore, pragmatism considers "what works" to answer research questions rather than making a choice between the positivist/postpositivist or constructivist paradigms (Johnson & Onwuegbuzie, 2004 and Onwuegbuzie & Johnson, 2006). It is, however, to be noted that even though pragmatism gives more freedom about the manner of conducting research, it is not haphazard and does not accept anything, but the design should be adopted thoughtfully (Bryman, 2006 and Freshwater, 2007).

Another attraction is that pragmatism is concerned with problem solving. As noted by Farjoun *et al* (2015), as a philosophy, "pragmatism is concerned with the practical consequences of action and does place problem solving at the centre of its understanding of human action" and "problem solving binds together pragmatism's distinctive ideas about experience, habit, action, and reflexivity" thereby drawing attention to "the concrete context and epistemic uncertainty of human action and to the activities of interpretation, inquiry, deliberation, creativity, and learning they call forth" (Farjoun *et al* 2015: 3). Pragmatism is thus known as a "philosophy of action" and is concerned with "flexible process for building knowledge" (Kilpinen, 2009). Hence, pragmatism "mainly approaches all theoretical and philosophical problems as problems that in final analysis are related to action or behaviour" (Kilpinen, 2009). The starting point as well as the most important determinant of knowledge and how generate it is the research question (Saunders *et al* 2009: 110). As a problem-solving philosophy pragmatism is both analytical and prescriptive. It consists of a set of core ideas or "principles," which include a rich and behaviourally plausible model of human nature, an emphasis on the interplay of action and meaning, a strong distrust of dualisms ("means versus ends"), and an appreciation of recursive influences; it highlights process, time, events, and relations without neglecting structures and entities (Farjoun *et al*, 2015: 2).

In light of the above, there are two main reasons that made the researcher to choose pragmatism. The first reason is that the philosophy supports problem solving. The problem of dependency on donor funding which this research explores requires practical solutions through a disciplined process of research using a complementary philosophical perspective. The second reason is that pragmatism allows the researcher to use mixed - methods approach to data collection and analysis ton respond to the problem. For this study, the mixed-method approach was chosen given that the problem being pursued is a historical and almost a habit in Malawi but also a complex one, requiring facts and figures on one hand as well as feelings and attitudes of respondents to deepen our understanding of the problem and identify solutions to this problem.

4.2.2. Research Approach and Method

Mixed-methods research approach, which is becoming popular in studies related to education (Creswell & Clark, 2012) was adopted for this study. This method is aligned to the pragmatic philosophy of building knowledge. The main reason for choosing this approach is that it allows a researcher to utilise both qualitative and quantitative data sets in responding to the research question (Creswell & Clark, 2012: 557). Qualitative data sets were required to make an in-depth examination or investigation into the financing strategies which government is utilizing to address financial dependency in public education institutions. The examination led into description of strategies, events and activities scientifically without the use of numerical data as required in qualitative studies (Best & Kahn, 2006 and Mugenda, 2003). On the other hand, quantitative data sets were developed to establish the relationship between the dependent and independent variables which required collection, comparison and analysis of numerical data for each independent variable against the dependent variable. As such quantitative methods of collecting and analysing data were suited as noted by Best and Kahn (2006).

The mixed- methods design was also chosen because collecting diverse types of data best provides an understanding of a research problem (Saunders *et a.* 2009: 152 and Creswell (2003: 21). This methodology is based on pragmatism philosophy which seeks law- like generalizations based on a theory or hypothesis and attaches value and meaning to social phenomena (Saunders *et al* 2007: 103). In this study, based on inferential statistics from previous research, law-like generalisations were required to be made particularly when examining the effects of each of the independent variables (e.g. managerial perceptions and strategic choices) on dependency on donor funding.

4.2.3. Research Type or Model

The researcher adopted the Triangulation Convergence Model as a mixed -methods design, illustrated in the figure 10.

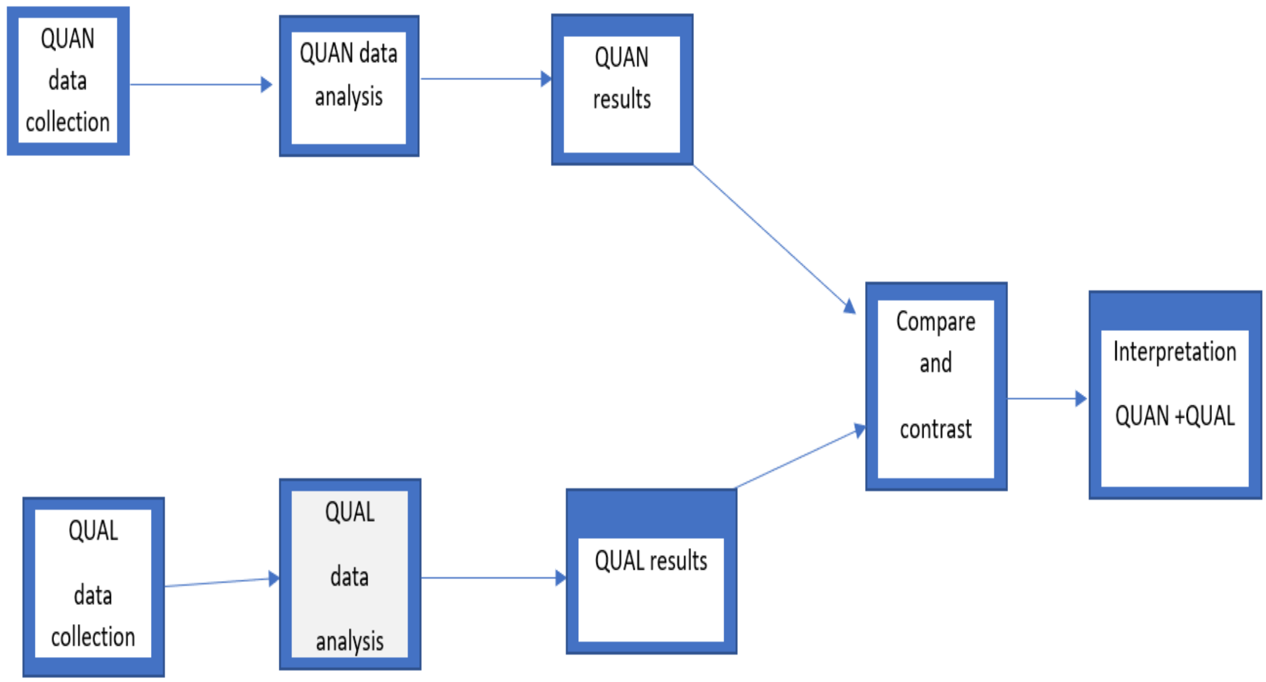

Figure 10: Triangulation Convergence Research model adopted for the study

Source: Creswell & Clark (2012: 558).

The convergent design allows the researcher to collect and analyse quantitative and qualitative data concurrently but separately on the same phenomenon and then the different results are converged (by comparing and contrasting the results) in interpretation (Creswell & Clark, 2012: 558). For this study quantitative data was collected using survey questionnaires to produce descriptive and inferential statistics which were used in data analysis and interpretation. On the other hand, qualitative data was collected using two tools, namely interview schedule and document analysis checklist to produce thematic data which was used in analysis and interpretation. Triangulation of results was done by comparing and contrasting results from the two data sets to assist in final interpretation of the findings by establishing areas of convergence within the data. In line with this model chapter 5 presents the quantitative data separately (see sub-sections 5.3.1 and 5.3.2 on descriptive statistics and inferential statistics) and the qualitative data separately (see sub-sections 5.3.3 and 5.3.4 on results of pragmatic content analysis from interview schedules, and results of qualitative document analysis checklist), followed by a sub-section on triangulation of data where final interpretation and analysis are done (see sub-section 5.3.5). This approach had one major advantage, namely that it was easy to establish emerging patterns (by looking at common findings) as well as differences, in order to draw final analysis and conclusion during interpretation. Where differences emerged, it was easy to go back to the data sets and establish the source of differences and make corrections where necessary. However, the main disadvantage was that it was time consuming and in some cases during merging of results, it provided to be repetitive since some results had to be repeated during interpretation of data. Nevertheless, the model proved to be very useful in validating the results.

4.3. Location of the Study

The problem of dependency on donor funding is a national problem that is affecting the entire country and in particular the education sector in Malawi (Mwanamanga, 2015; Simwaka, 2012). Hence the researcher chose to conduct the study in Malawi (see figure 19 on page 90). Malawi is found in South- East Africa, where it is bordered by Tanzania to the north, Zambia to the west and Mozambique to the east and south" (MOF, 2014: XV). Malawi's total population in 2018 was estimated at 17,563,749 million, up from 13,029,498 in 2008, representing 35% growth in the past 10 years (NSO, 2019: 8). Males represent 49% of the total population at 8,521,456 while female population of 9,042,293 represents 51%. The Southern region has highest population at 7,750,629 (44%), Central region second highest at 43% with 7,526,160 and Northern region least populated with 2,286,960 (13%). 2,783,364 or 16% of the population live in urban areas, whereas 14,780,365 or 84% of the population live in rural areas. 51% of the population (8,894,534) are young people below the age of 18. The number of households in Malawi is estimated to be 3,984,929, providing a household size 4.4 % (NSO, 2019:27). The country covers an area of 118,480 km2 of which 94,276 km is land while 24,400 km is covered by water; it has no coastline and is surrounded by land bodies from all sides, hence its land-locked status" (GOM, 2017). Malawi is divided into three regions, namely the northern, central, and southern regions; and the country has 28 districts, which are further divided into traditional authorities (TA) ruled by chiefs. Each district is divided into constituencies that are represented by Members of Parliament (MPs) in the National Assembly (MOH, 2017: 20).

For practical reasons, the researcher decided to sample districts to collect both quantitative and qualitative data. The sampling of districts was purposefully done to ensure that each of the three regions of the country (North, Centre and South) was represented, rather than based on magnitude of the problem. Hence from the North, the researcher selected Mzimba and Mzuzu districts, from the Centre, the researcher selected Mchinji, Dedza and Lilongwe, while from the South the researcher selected Thyolo, Blantyre, Zomba, and Mangochi. The number selected per district was proportionate to the number of districts in each region, whereby the lowest number is the North, followed by the Centre and then the South, which has the highest number of districts. In total nine districts were selected, two from the North, three from the Centre and four from the South, as presented in figure 11. In these districts, data was collected from public academic institutions (schools, colleges, and universities) as well as stakeholder institutions belonging government, non-governmental organizations (NGOs) or civil society organizations (CSOs), Members of Parliament, and donor organizations. The main criterion for selecting the institutions was their ability or capacity to provide rich data on the subject matter.

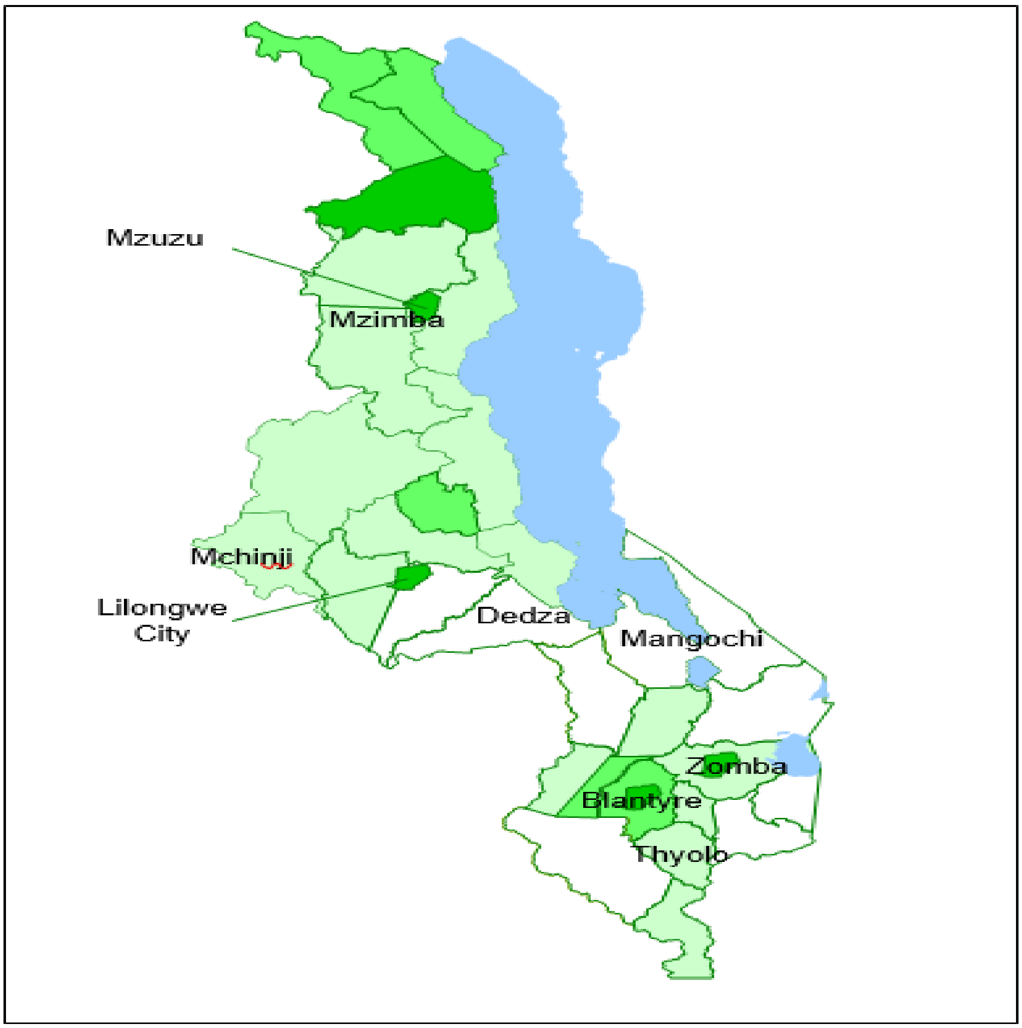

Figure 11: Map of Malawi showing study location
Source: MOEST (2007: 8)

4.4. Target Population

A population is an entire group of individuals, events or objects having a common observable characteristic; it is the aggregate of all that confirms to a given specification (Mugenda & Mugenda, 2003: 9). For the field data collection, the targeted population was stakeholders in the education sector and comprised 906 participants of various categories as presented in table 7.

Table 7: Study Population and justification

Participant categories	**Definition**	**Justification**	**Targeted Population**
(i) Personal level			
Government officers	Directors of planning. Directors of basic, secondary and tertiary levels; Directors of budgeting; from ministries of education and finance, and District Education Managers.	Decision makers and implementers at national, directorate or district levels with ready information on funding plans and strategies	68
Non-governmental officers	Leaders of Education or economy- oriented NGOs, Members of Parliament in education committee or budget committee of Parliament, and donors	Stakeholders involved in planning and policy implementation at national, sector or district levels	114
Teacher Training College Principals	Principals or Deputy principals of public Teacher Training Colleges in targeted districts	Decision makers and policy/strategy implementers at TTC level	4
University Principals	Principals or Deputy Principals of public	Decision makers and policy/strategy	4

	university colleges in targeted districts	implementers at university level	
Primary School Headteachers	Head or deputy head teachers of public primary schools in targeted districts	Decision makers and policy/strategy implementers at primary school level	491
Secondary School Head Teachers	Head teachers or deputies of public district or Community day secondary schools in targeted districts	Decision makers and policy/strategy implementers at secondary level	225
Total			*906*

Source: The Researcher (2017).

The study targeted a total population of 906 persons at managerial level from education sector stakeholder institutions in the country. The persons included senior government officers (from Ministries of Education and Finance), Non-governmental officers (leaders of NGOs, Members of Parliament and donors), Head Teachers from primary schools, Head Teachers from secondary schools and Principals of colleges (teacher training colleges) and university colleges. In general, these persons were targeted because they are recognized as managers, leaders or authorities with decision making power in their organizations, they are often involved in policy and strategy making and implementation and were, therefore, expected to provide rich information about the problem of dependency on donors in the education sector in Malawi. The justification for each of the targeted persons is included below:

a) *Senior government officers (from Ministries of Education and Finance)*: The study targeted senior officers at director level (director of planning, director of budgeting, district education managers) in the ministries of education and ministry of finance. These are key officials in the two ministries who are involved in planning and decision making about financing in the ministries and the districts. As such they would have information about the sources of funding, the level of dependency on donor funding government policies or strategies in relation to financing and overall sector plans and strategies. The ministry of finance in particular is responsible for developing finance strategies and budgets and therefore individuals working there particularly budget officers have information about sources of funding, and level of dependency in the education sector at their fingertips. The total targeted population of senior government officers was 68.

b) *Non-governmental officers (leaders of NGOs, MPs and Donors):* NGOs, members of Parliament (MPs) and donors are key non-governmental stakeholders in the education sector who are involved in policy formulation and implementation at various levels, national, district or school levels. NGOs implement projects in various schools or districts; they take part in formulation of government policies or strategies, and they monitor implementation of government policies, strategies and budgets. The budget monitoring in particular helps NGOs to track sources of funds, funding allocations and utilization at national, district and school level. NGOs are also involved in policy dissemination and advocacy for policy change. Members of Parliament are representatives of the people in the National Assembly which is charged with the power to make laws. In addition, as people's representatives they interact with various stakeholders including the constituents, school leaders, and government officials at district, division and national levels. Members of Parliament also belong to technical committees such as Education Committee and Budget and Finance Committees which are crucial in making decisions about financial priorities and allocations in the national budget, which is eventually debated and passed by the National Assembly. *Donors* provide financial and technical support to schools, colleges, universities and the ministry of education at large. Donors provide funding for formulation and implementation of government policies and strategies in education. Hence, they have a big stake in the management of education in the country. The total targeted population of Nongovernmental representatives (NGO leaders, MPs and donors) was 114.

c) *Head Teachers of Schools and Principals of Colleges and Universities*: The head teacher manages the school (primary or secondary) while the principal heads colleges or universities. As heads, these people make decisions about plans, strategies, activities and financing of their institutions on day-to-day basis. The running of their institutions becomes negatively affected when there is limited funding and would suffer grossly the negative consequences of dependency on donor funding in the education sector. As such these were selected because they were expected to provide rich information about sources of funding, level of dependency, and challenges relating to financing of education in their respective institutions. The targeted population of primary school head teachers in the targeted districts was 491, while for secondary schools was 225, for teacher training colleges was 4 and for university colleges was 4, giving a total of 724 headteachers and principals.

Apart from persons from whom data was collected in the field, the researcher studied 50 national and education sector policy/ strategy documents and review documents published in the past twenty years. There were 25 policy/strategy documents and 25 review documents selected for the exercise. The selection criteria were that the document had to be a policy or strategy document; a national document or education sector document; and that it should contain information about the country's economy and financing of development. Policy/strategy document outline policy or strategy goals, activities and strategies aimed to achieve national or sector objectives. Recognizing that there are often discrepancies between policy and practice, it was decided that other documents to be analysed should be policy or strategy review or assessment reports relating to the implementation of the policies and strategies. Review documents assess or evaluate implementation of national or sector policies/strategies. To ensure credibility, the author of this document selected should be either government institution or an individual hired by government to author the document or recognised civil society organisation and donor or United Nations institution. Based on the criteria above it was expected that these documents contain information about national/sector priorities, development frameworks/theories/models, sources and strategies for financing national policies or strategies, levels of dependency, challenges in policy implementation as well as recommendations around policy planning, financing, and implementation.

From the description above, the targeted population had the capacity to provide information related to the research problem in that they have stake in education program planning, policy and strategy development, financing, management, and implementation of projects and programs in the country.

4.5. Sampling Methods

Sampling is the process of selecting participants from a study population (Creswell & Clark, 2012: 155). Sampling methods are techniques or "methods of arriving at a sample size"

(Mugenda, 2003: 50). The methods for selecting participants can either be random sampling or convenient (purposive) sampling. According to Creswell and Clark (2012) random sampling is a method in which each individual has an equal probability of being selected from the population, ensuring that the sample will be representative of the population, and this method is common in quantitative research. On the other hand, convenient or purposive sampling is a method whereby one identifies the purposefully selected sites or individuals for the proposed study, and this is common in qualitative research (Creswell & Clark, 2012: 155). In consonance with mixed method designs, the study used a mix of qualitative and quantitative sampling methods in order to arrive at the study sample. The qualitative sampling method selected was *purposive sampling*, while for quantitative method it was *random sampling* method. Purposive sampling is used in qualitative designs to allow the researcher to select those participants who will provide the richest information, those who are most interesting, and those who manifest the characteristics of most interest to the researcher (Best & Kahn, 2009: 19). Hence the method was used to select the following categories and sub-categories of participants whose population is relatively small: a) government officers, b) non-governmental officers, c) principles of teacher training colleges and d) principles of university colleges. The participants selected based on purposive sampling were mainly senior managers or leaders chosen in accordance with their functions or roles e.g. in planning, policy and strategy development, budgeting and resource mobilization or allocation. It depended on their availability during the study period. This method ensured that there was broad-based representation of respondents amongst stakeholders of interest. In addition, it ensured that data was gathered from people who had the information at their fingertips since information around sources of public finance, strategies used, and expenditure management is technical and requires specific expertise and knowledge. At district level, purposive sampling ensured that there was a balance in geographical coverage of the data collected. For this study the population of managers that was selected purposefully included senior government officials at national and district levels, representatives of NGOs, MPs, donors and principals from colleges and universities.

On the other hand, and due to their large size, random sampling was applied for primary school head-teachers and secondary school head teachers. The researcher performed selection commands using a Rand () feature in Microsoft Excel (version 2017), which removed bias. The process involved creating a list in excel, followed by creating a random number beside each list entry. The list was sorted out randomly and it made the researcher free to pick any of the consecutive entries generated. The excel list of schools, and educational professionals was obtained from MOEST data base. Documents were purposefully sampled to show a balance between national policy/strategy documents and review documents, and to avoid duplication of documents with similar data.

4.6. Study Sample

A sample is a set of respondents (people) selected from a larger population for the purpose of a survey and it helps to make conclusions and generalizations (Kombo & Tromp, 2014: 78). In order to make good conclusions and generalizations the study should have a sizable number of respondents that form the sample size (Creswell & Clark, 2012). According to Best and Kahn (2009), samples of 30 or more are usually considered large samples and those with fewer than 30, small samples. According to these authors, at approximately this sample size of 30, the magnitude of student's t critical values for small samples approaches the z critical value of the normal probability table for large samples" (Best & Kahn, 2009: 20). Some of the recent studies that addresses dependency like the present study had a sample size ranging from 19 to 100. For instance, Pfeffer (1978) had a sample size of 100 managers, Chikoto (2010) had a sample size of 19, while Gebreyes (2015) has a sample size of 67 and Kumi (2017) had a sample size of 67. Samples sizes for three other studies were more than 100 up to 645 including for Mitchell (2012) which had 152, for Khieng and Dahles which had 312 and for Foster and Meinhard (2000) which had 645.

Informed by the previous studies and the guide by Best and Kahn (2009), the present study had a total sample size of 162 participants for the field data collection. Sampling was conducted using purposive and random sampling techniques. Purposive sampling was used to select 15 government officers, 17 non- governmental officers, 4 college principals and 4 university principles. Random sampling was used to select 68 primary school head teachers and 54 secondary school head teachers from across the study districts. Details of the sample size for field data collection are provided in table 8.

Table 8: Sampling procedures and sample size used for field data collection

Participant categories	**Targeted Population**	**Sampling procedure**	**Sample size**
Government officers	68	Purposive	15
Non-governmental officers	114	Purposive	17
Teacher Training College Principals	4	Purposive	4
University Principals	4	Purposive	4
Primary School Headteachers	491	Random	68
Secondary School Head Teachers	225	Random	54
Total	**906**	Mixed	**162**

Source: The Researcher (2017).

Apart from the field data collection the researcher also sampled 50 documents from which 25 documents that made final analysis. The documents were selected using purposeful sampling to show a balance between national policy/strategy documents and review documents, and to avoid duplication of documents with similar data. In all there were 13 policy/strategy documents and 12 review documents that made the sample. The 13 government policies and strategies included *Vision 2020* by National Economic Council of Malawi (1998), *Malawi Economic Growth Strategy* (MEGS) by Ministry of Economic Planning and Development (2004), *Malawi Growth and Development Strategy 1 by Government of Malawi* (GOM)(2005), *Malawi Growth and Development Strategy II 2011-2016* by GOM (2012), *Malawi Development Cooperation Strategy 2014-2018* by GOM (2014) and *The Malawi Growth and Development Strategy III (2017-2022): Building a productive, competitive and Resilient Nation* by GOM (2017). Other policy/strategy documents were *Policy and Investment Framework* (PIF) by Ministry of Education Sports and Culture (2001), *National Education Sector Plan (NESP) 2008-2017* by Ministry of Education, Science and Technology (MOES) (2008); *Education Sector Implementation Plan II (ESIP II) 2013/14 -2017/18: Towards Quality Education- Empowering the School* by MOEST (2014), *Strategic Plan 2015-2020* by MOEST (2015), *National Education Policy* (NEP) by Ministry of Education, Science and Technology (MOEST) (GOM, 2016), *National Education Sector Investment Plan 2020 – 2030 Final Draft* by MOEST (2020), and

Strategic Framework For Income Generation in Malawian Public Higher Education by MOEST (2018).

The 12 review or assessment documents included *Malawi Growth and Development Strategy (MGDS) II Review and Country Situation Analysis Report* by Ministry of Finance, Economic Planning and Development (2016); *Review of Vision 2020 Final Draft Report* by National Planning Commission (2019), *Mid Term Implementation Review Report for Malawi Growth and Development Strategy (MGDS) III Final Draft Report* by National Planning Commission (2020), *Malawi Public Expenditure Review 2019* by World Bank (2019), and *Annual Economic Report 2020* by Ministry of Finance, Economic Planning and Development (2020). Other review documents included *The Education System in Malawi* by World Bank (2010), *Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II*) by MOEST (2017), *Education Sector Analysis (Basic and Secondary Education)* by Augustine F. Kamlongera (2019), *2018/19 Education Budget Brief: Towards Improved Education for all in Malawi* by UNICEF (2019), *The 2018/19 Education Sector Performance Report: "Strengthening Education Management And Accountability To Improve Learning Outcomes For All* by MOEST (2019), *Analysis of The 2017/18 National Budget Focussing On Education Sector* by Civil Society Education Coalition (CSEC) (2017) and *Innovative Financing for Education in Malawi* by CSEC (2017). The documents were further categorised into two strategic audience levels, namely, national level and education sector level. The configuration of the documents is presented in table 9.

Table 9: Documents analysed in the study

Document Categories	*POLICIES AND STRATEGIES*		*REVIEW/ASSESSMENT DOCUMENTS*	
Audience Level	*National level*	*Education sector level*	*National level*	*Education sector level*
Document Titles	*1. Vision 2020* *2. Malawi Economic Growth Strategy (MEGS)* *3. Malawi Growth and Development Strategy 1* *4. Malawi Growth and Development Strategy II 2011-2016* *5. Malawi Development Cooperation Strategy 2014-2018* *6. The Malawi Growth and Development Strategy III (2017-2022)*	*7. Policy and Investment Framework (PIF)* *8. National Education Sector Plan (NESP) 2008-2017* *9. Education Sector Implementation Plan II (ESIP II) 2013/14 - 2017/18* *10. MOEST Strategic Plan 2015-2020 by MOEST (2015),* *11. National Education Policy (NEP)* *12. National Education Sector Investment Plan 2020 – 2030 Final Draft* *13. Strategic Framework for Income Generation in Malawian Public Higher Education*	*14. Malawi Growth and Development Strategy (MGDS) II Review and Country Situation Analysis Report* *15. Review of Vision 2020 Final Draft Report* *16. Mid Term Implementation Review Report for Malawi Growth and Development Strategy (MGDS) III Final Draft Report* *17. Malawi Public Expenditure Review 2019* *18. Annual Economic Report 2020*	*19. The Education System in Malawi* *20. Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II)* *21. Education Sector Analysis (Basic and Secondary Education)* *22. 2018/19 Education Budget Brief* *23. The 2018/19 Education Sector Performance Report* *24. Analysis of the 2017/18 National Budget Focussing on Education Sector* *25. Innovative Financing for Education in Malawi*

Source: The Researcher (2020)

The discussion above shows that the total sample size was 212 and represents 22% of the targeted population of 956. Since the sample size is beyond 30 considered as minimum for such kind of studies (Best and Kahn (2009) and that it is within the range of most of the previous studies including PHD studies of Chikoto and Gebreyes (Chikoto, 2010 and Gebreyes, 2015) the researcher considered it good enough to help draw conclusions and generalizations for the study.

4.7. Research Instruments

This study utilised both quantitative and qualitative data collection instruments for primary and secondary data collection to align to the research design. For quantitative data, the researcher used a questionnaire. For qualitative data the researcher used an interview schedule and qualitative document analysis checklist. The three instruments used by the researcher are described in the following sub-sections.

4.7.1. Questionnaire

A questionnaire is research instrument which gathers data from the sampled population (Kombo & Tromp, 2014: 89). The questionnaire contains a series of questions which are related to the study objectives and questions. The questionnaire follows a survey design which provides a quantitative or numeric description of trends, attitudes, or opinions of a population by studying a sample of that population. From sample results, the researcher generalizes or makes claims about the population with the purpose being to generalize from a sample to a population so that inferences can be made about some characteristic, attitude, or behavior of this population (Creswell, 2009: 145). In this study the questionnaire was administered to all categories of respondents namely senior education officers, non-governmental officers, head teachers of primary and secondary schools and principals of teacher training colleges and university colleges. The questionnaire was relevant for this study because it allowed the researcher to get managers 'perceptions of dependency and strategic choices as well as select options of strategies from a preferred list. The researcher followed a cross-sectional type of survey approach whereby data is collected within a specified period from the targeted population (ibid). This was done to ensure people's opinions were collected over a specified time. It was also done due to economic reasons given the low budget available for the study and limited timeframe given for the study.

Before going to the field, the researcher designed the questionnaire for the study. The questionnaire had four parts and 21 questions aligned to the study objectives. The first part (Part I) collected demographic data from respondents (gender, age, academic qualification, type of organization represented and data on funding sources and investment strategies at institutional level). The second part (part II) collected data on current funding sources in education institutions (primary and secondary schools). Parts III to Part V asked specific questions relating to the research questions, objectives, and recommendations. The questionnaire was structured and contained both open and closed questions.

During the field data collection process, the questionnaire was administered to all the participant categories excluding those who participated in interviews. Data collection using the questionnaire involved indirect administration of the research instrument and this was done at individual level. The questionnaire was administered indirectly in that the researcher left the questionnaire at the office of the respondent for collection later. To do this, the researcher undertook two visits. The first visit was done to deliver the questionnaire while the second visit was done to collect the filled in questionnaire. On the first visit, the researcher carried the questionnaire and made self-introduction to the head of the institution highlighting the purpose of the research and request for the questionnaire to be filled by the relevant officer. Before leaving the premises after delivering the questionnaire, the researcher obtained an indication as to when to come back to collect the questionnaire. The second visit was done on the agreed date and time. When the filled in questionnaire was given the researcher checked that all questions had been respondent to, thanked the respondent and left the premises. Some questionnaires were delivered through email. The email included an introduction of the research as well as letter of introduction from the school and the attached questionnaire. Questionnaires received through email were downloaded, printed, and filed accordingly, alongside those received by hand. The questionnaire used for the study is appended as appendix 9. The use of the questionnaire was very helpful for the study because it allowed the respondents to answer the research questions confidentially and it removed bias since the answers were given independently. It also saved time because the questionnaires were collected at almost the same time expect for a few ones which were received a week or so later. However, there were some limitations in the use of the questionnaire, including failure by some respondents to fill the questionnaire (see questionnaire return rate in the next chapter) and failure to follow up where some responses were ambiguous or incomplete. Moreover, the respondents could not express their feelings or emotions over the issue of dependence or strategies put in place by government to address them. All in all, the tool was useful and is recommended for future studies.

4.7.2. Interview Schedule

An interview schedule is an instrument for collecting qualitative data by way of asking questions orally (Kombo & Tromp, 2014:92). The interview schedule for the study was structured in that it had a list of questions that covered the study objectives so that each informant was asked the same questions, as in the case of a survey. However, most of the questions were open – ended questions to allow the interviewee to explain his responses or show his feelings or perceptions about dependence on donors and strategic choices in addressing dependence on donor aid in the education sector. Before conducting the interviews using the schedule, the researcher made an appointment.

On the day of the appointment, the researcher carried along a printed copy of the interview guide to the venue of the interview, usually the office of the respondent. On arrival the researcher made self-introduction to the relevant authority and met the respondent. Before asking questions, the researcher introduced the research topic and sought the respondent's consent. The researcher recorded answers from each response in a shorthand notebook.

After the interview, the researcher thanked the respondent and left the office premises. For a few interviewees (around 5 respondents), they preferred that they take the questions through phone and skype, since they were out of their duty station on the day of the interviews. The administration was like the face-to-face interviews, except that the medium changed to using phone or skype. Each of the interviews lasted approximately 40 minutes. Interviews were recorded using a recorder, and a shorthand exercise. Before the recording, the respondent was asked to provide consent. All respondents agreed to be recorded after being assured of confidentiality.

The interview schedule was administered to key stakeholders in the education sector that included Government officers, Non-government officers, College and University Principals, Primary School Headteachers, and Secondary School Head Teachers. Table 10 presents a breakdown of the interviewed respondent categories.

Table 10: Interview Respondent categories and corresponding ID Numbers

Respondent category	**No of informants**	**Corresponding ID Numbers (#s)**
Government officers	11	ID #s 2, 3, 12,25,32,35,38,39,40,64,88
Non-government officers	24	ID#s1, 8,10,11, 15,16, 17, 18,19, 21,31, 36,37, 40,41, 42, 43,46, 50, 78, 82, 85,87 & 89
College and University Principals	3	ID#s 6,20,84
Primary School Headteachers	3	ID #s14,34,53
Secondary School Head Teachers	3	ID#s 24,57,83
Totals	**44**	

Source: The Researcher (2020).

The use of the structured interview schedule was helpful for the study in that it permitted the researcher to interrogate their responses where there was lack of clarity or where the responses were incomplete. The face-to-face interaction helped in depicting the respondents' emotions, feelings or verbal and non-verbal expressions over the research problem. Furthermore, it was possible to quantify some of the responses, for example on how many respondents perceived the level of dependency to be high or how many of them preferred that government should stop dependency on donors or should continue. However, since there was direct contact some respondents were cautious in their responses for fear of their jobs. In addition, it took more time to get an appointment with some of the respondents. In fact, some targeted respondents failed to grant an interview, and this somehow reduce the response rate, as noted in the questionnaire return rate section in chapter 5. All in all, the tool was also useful in that it complemented what was missed in the administration of the questionnaire since it was possible to get clarity on some vague responses and it provided an opportunity for the respondents to ask for clarity on questions being asked. It was also possible to get and record the feelings or emotions of the respondents which was not possible in administration of the questionnaire.

4.7.3 Qualitative Document Analysis Checklist

The third instrument which was used to collect qualitative secondary data was qualitative document analysis checklist. According to Mayring (2002) qualitative document analysis (QDA) "is an investigation method, that focuses on data material and documents, which already exist. The analysis includes exclusively documents, no interviews or other survey material (collected data material)" (Mayring, 2002). QDA assumes that documents are "externalization or objectivation of the author's mind" (*ibid*). As such according to Wood, Sebar, and Vecchio (2020) qualitative documents are used as evidence since they "provide evidence of the way in which we represent and organize ourselves; they reveal how we strive to make sense of our past and inform our future" (Wood *et al*, 2020: 1).

The process of QDA involves several steps including identifying documents to be analyzed, undertaking coding in which broad topics are identified and clustered into themes and concepts and creating a coherent story by interpreting the document according to the research questions and the study conceptual and theoretical framework (Wood et al, 2020; Mayring, 2002). The tool used to gather and analyze data for the QDA is a checklist which contains background information about the documents being considered and defines main topics or questions which the document is expected to respond to (Mayring, 2002).

In line with the mixed method nature of the study, for this study a checklist was developed to provide qualitative information about the document and themes, or codes related to the research questions and study framework, and quantitative information using a score card. To do this the researcher adapted the sample checklist provided by Mayring (2002) and the score card approach adopted by Triple-S (2013) and the resulting hybrid checklist is provided in table 11.

Table 11: Qualitative Document Analysis Checklist used in the study

SN	ITEM	DETAIL			
A	**DOCUMENT IDENTIFICATION AND BACKGROUND**				
1	Author	*Individual, institution*			
2	Date of document	*Year of production, publication*			
3	Name of Document	*Title of document*			
4	Document Type	*Whether 1) Policy/strategy or 2) review*			
5	Document audience or level	*Whether 1) national or 2) education sector level or audience*			
B	**DOCUMENT INFORMATION**	**CONTENT RELATED TO STUDY**			
	THEMES/CODES	***SCORE CARD***			
	Theme /Codes	***High***	***Medium***	***Low***	***Poor***
		3	2	1	0
1	Document's refers to dependency on donors (code: MP)				
2	Document presents a strategic choice as to whether to end or reduce dependency on donors (Code: MSC)				
3	Document addresses challenges or *factors* contributing to failure to tackle dependency or implement strategies or policies (Code: F)				
4	Documents offers *strategies* for addressing dependency or alternative sources of financing (Code: S)				
5	Document contains *theory of change* for addressing dependency or implementing strategies or policies (Code: TOC)				

Source: Adapted from Mayring (2002) & Triple-S (2013).

During data collection the researcher developed a table in Microsoft Word (version 2007-2020) which was used to capture details in line with the research questions or themes. In the table, which was serialised to ensure each document had a serial number, the following information adapted from Mayring (2002) was captured about each document: author, date of document, name of document, document type, and document audience or level.

Furthermore, raw information relating to the research questions was extracted from the document and pasted on the table for analysis. All together the thematic information extracted from the document was in five topical areas and corresponding codes: 1)Document's refers to dependency on donors (code: MP); 2) Document presents a strategic choice as to whether to end or reduce dependency on donors (Code: MSC); 3)Document addresses challenges or factors contributing to failure to tackle dependency or implement strategies or policies (Code: F); 3) Documents offers strategies for addressing dependency or alternative sources of financing (Code: S); and 5) document contains theory of change for addressing dependency or implementing strategies or policies (Code: TOC).

By way of strength and limitations of the tool, it can be stated that the QDA checklist helped the researcher to avoid biases in the production of the data, thereby minimising data contamination as observed by Linton, Coast, Williams, Copping and Smith (2019). In addition, the use of scorecard added rigor and enabled the researcher to use quantitative approach to data analysis. Furthermore, analysis of the documents was the best place to locate an elaborated theory of change (relation to objective 5 of the study), which would not be provided by the other tools such as questionnaire and interviews. However, the process was time consuming, which is one of the limitations of the use of the tool. In addition, it was not possible to interrogate the documents where issues were unclear as would happen during an interview of focus group discussion. All in all, the tool assisted in generating documentary evidence around the themes relating to the research objectives and questions, which could be used in data triangulation in the discussion of findings for the study.

4.8. Piloting of Research Instruments

The primary research collection instruments were piloted prior to the main study in order to correct errors in question formulation and clarify concepts. The piloting took the form of pre-testing and it involved administering both questionnaire and the interview schedule guide to respondents, who did not participate in the main study. The piloting took place in Lilongwe and involved 1% of respondents drawn from each category of the targeted population. After the piloting, it was noted that most of the questions were properly designed. However, a few questions, especially on perceptions of respondents had to be revised and recast for more clarity. Therefore, after the instruments were revised, they became ready for administration during the main study.

4.9. Testing for Instrument Reliability, Validity and establishment of trustworthiness

4.9.1. Instrument Reliability

Reliability concerns the degree to which the analysis or findings can be repeated by another researcher. Kirk and Miller (1986:19) define it as the "extent to which a measurement procedure yields the same answer however and whenever it is carried out". To avoid a systematic error due to use of unreliable instruments, the study had to be thoroughly planned. Hence instrument reliability was tested to establish if the instruments used were able to measure consistently with the targeted population. The selected research instruments, especially those used to collect primary data namely the questionnaire, and the interview schedule and document analysis checklist are some of the most widely used and reliable in research (Creswell & Clark, 2012 and Saunders, *et al*, 2009). However, since the researcher used Likert Scale on the questionnaires, the researcher applied Cronbach Alpha test to compute the instruments' reliability. An alpha co-efficient of 0.7 was used as benchmark to prove reliability of the instrument. Thus, the test ensured stability and consistency in scores or response values when the instruments were administered to same group of respondents in repeated trials as noted by Mugenda (2003).

4.9.2 Instrument Validity and Establishment of Trustworthiness

According to Judd, Smith, & Kidder (1991:29) validity is the degree to which the allotted instruments convincingly measure, explore, or describe the phenomenon in hand. To increase the validity, the study used multiple sources of evidence and discussed the controversial definitions as suggested by Gebreyes (2015). Furthermore, validity test was applied to ensure that the instrument measured what it purported to measure with the targeted respondents. This was achieved by aligning the instrument to the research objectives and research questions. Research supervisors validated the research instruments after undertaking a thorough review of the research proposal. Furthermore, during the piloting of the instruments the researcher was able to confirm content validity based on responses from targeted groups. Establishment of trustworthiness or credibility was ensured through use of multiple data sources and triangulation as recommended by Creswell (2012). Data sources included questionnaire, interview schedule and qualitative document checklist. In terms of triangulation results from qualitative data sources (interview schedule and qualitative document analysis checklist) were triangulated with those from quantitative data sources (questionnaire). A dense description of the background information and purposeful sampling ensured the transferability of this research.

4.10. Ethical Considerations

According to Wimmer and Dominic (2005), ethical considerations are observed to ensure that "the researcher does not violate the rights of participants" and "is able to distinguish right from wrong and proper from improper" (Wimmer & Dominick 2005: 68). Key ethical considerations applied during the study included matters relating to permission for the study, confidentiality, mien and decorum, and storage of data as described in the following sub-sections.

4.10.1 Permissions sought to enter the site of study

Before getting to the field to collect data the researcher ensured that the research proposal was approved, and necessary permissions cleared with relevant authorities. Firstly, the research proposal was presented to the supervisor for review. Then, a letter of introduction and authorization to conduct the research was obtained from the Head of the UNLUS Post Graduate Studies (appendix 6). During data collection in the districts, the researcher sought verbal permission from the District Education Managers (DEMs) from the targeted districts to make it easy to access primary and secondary schools. The researcher also prepared a personal letter of introduction (appendix 7).

4.10.2. Confidentiality

At the start of the research each respondent were assured of confidentiality and anonymity of the study findings to safeguard the right to privacy. As such as consent form (appendix 8) was prepared and presented to research respondents before administering research instruments. Personal information such as names, phone numbers, age and sex were not revealed during the report presentation.

4.10.3. Mien and Decorum

The researcher observed a formal dress code during field data collection exercise. In addition, the researcher ensured a friendly atmosphere and upheld good conduct in interacting with respondents in line with the norms and standards within the communities in the sampled locations. The researcher ensured that he observes respect to the respondent and made sure that he was of no harm to the respondent in any way by observing beneficence.

4.10.4. Storage of Data

Data was stored in confidential fashion. Questionnaires were kept in file in a secure location in the researcher's house. Data entered in computer programmes was placed on file with password protection. Data was also put in flash disks which were again placed in a secured location.

4.11. Data Analysis Procedures

This section discusses how data analysis procedures were done. Data analysis was conducted after data collection was completed through the research instruments designed for the study. Data analysis process was chosen to align to the mixed method design by analyzing the qualitative and quantitative data separately and independently using tools suitable to both types of data sets. The type of data generated was both quantitative and qualitative. Quantitative data was obtained from the survey questionnaire and measure of central tendencies was adopted in that frequencies, percentiles, scores and means were used to describe variables in line with study objectives. Qualitative data was obtained from interview schedule and document analysis checklist. From the interview schedule the researcher transcribed verbatim responses to generate manuscript that was subjected to thematic analysis and content analysis. Content and thematic analysis resulted into themes and sub-themes which informed the study results. From document analysis checklist, the researcher obtained thematic scores and notes that were subjected to thematic analysis and content analysis to obtain themes and sub-themes that informed the study results. Thereafter in line with the triangulation convergence model adopted for the study, the quantitative results were triangulated with qualitative findings, through a process of comparing and contrasting results from the two sets of data to acquire a comprehensive understanding of issues related to the study problem and objectives. Presentation of analyzed data was done through thematic analysis tables and figures.

4.11.1. Data Coding and Entry

After collecting data, the researcher did data coding and entry, before undertaking data analysis. All responses to the research questions were coded and entered before analysis. The researcher utilized version 25 of Statistical Package for Social Scientists (SPSS) to code and enter data. SPSS version 25 was selected because it is one of the most advanced versions which has easy features for data entry, coding and analysis. According to Martin and Acuna (2002), SPSS is able to handle large amounts of data, and is efficient. Some of the entered data from SPSS was exported to Microsoft Word and Microsoft Excel (Version 2017) to make it easy to create descriptive statistics such as charts and graphs. Table 12 shows that during coding and analysis there was link between research questions and the applied instruments.

Table 12: Linking Research questions to Research Instruments

Research Questions	**Questionnaire**	**Interview Schedule**	**Document Checklist**
	Questions (Q)/Respondents	Questions (Q)/Respondents	Documents/Reports
1.Are there differences in education managers' perception of the level of dependency on donor funding in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?	Q12. Primary School Head Teachers; Secondary School Head Teachers ; Government officers; Non- governmental officers	Part I: Government officers, Non-government officers, College and University Principals, Primary School Headteachers, and Secondary School Head Teachers.	Part B.1: Government policy and strategy documents; Review and assessment reports from donors, researchers, government, NGOs/CSOs, consultants.
2. Are there differences in strategic choices of managers in reducing dependency on donors in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?	Q. 17, 20-21. Primary School Head Teachers; Secondary School Head Teachers; Government officers; Non-governmental officers	Part II: Government officers, Non-government officers, College and University Principals, Primary School Headteachers, and Secondary School Head Teachers.	Part B.2: Government policy and strategy documents; Review and assessment reports from donors, researchers, government, NGOs/CSOs, consultants.
3.Which factors contribute to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi?	Q14-16. Primary School Head Teachers; Secondary School Head Teachers ; Government officers; Non- governmental officers	Part III: Government officers, Non-government officers, College and University Principals, Primary School Headteachers, and Secondary School Head Teachers.	Part B.3: Government policy and strategy documents; Review and assessment reports from donors, researchers, government, NGOs/CSOs, consultants.
4. Which funding strategies have potential to reduce dependency on donors on donor funding in the education sector in Malawi?	Q18-19. Primary School Head Teachers; Secondary School Head Teachers ; Government officers; Non- governmental officers	Part IV: Government officers, Non-government officers, College and University Principals, Primary School Headteachers, and Secondary School Head Teachers.	Part B.4: Government policy and strategy documents; Review and assessment reports from donors, researchers, government, NGOs/CSOs, consultants.
5. What should be the key features of the theory of change for addressing dependency on donor funding in the education sector in Malawi?	Synthesis of Responses from Q13-21: Primary School Head Teachers; Secondary School Head Teachers; Government officers; Non- governmental officers	Synthesis of responses for Part I-IV: Government officers, Non-government officers, College and University Principals, Primary School Headteachers, and Secondary School Head Teachers.	Part B.5: Government policy and strategy documents; Review and assessment reports from donors, researchers, government, NGOs/CSOs, consultants.

Source: The Researcher (2017).

4.11.2. Qualitative Data Analysis

Qualitative data obtained through the interview schedule was analyzed through thematic approach recommended by such authors as Creswell (2003), Maritz, Poggenpoel & Myburgh (2009). Through this approach, the overarching ideas that represent the underlying ideas were recorded and converted into topics or themes that reflected their meaning. Similar topics\themes were clustered together and placed in columns that were arranged into major topics, unique topics and leftovers. The researcher reviewed all the responses provided by the 44 respondents who granted the interviews and wrote down representative verbatim quotes, tallying them with merging themes and sub-themes. Final analysis and presentation considered a mixture of synthesis, pattern analysis, and key word analysis. Thematic analysis tables were drawn to illustrate key messages that emerged from the data aligned to research objectives, research questions, and research variables.

Qualitative data obtained through document analysis checklist was analysed and interpreted through a mixture of content analysis and thematic analysis. As defined by Triple -S (2013) content analysis in the context of document analysis refers to the process of identifying and collating meaningful sections of the document text while thematic analysis involves examining how patterns within and between the documents emerge as key themes in line with the research questions and the theoretical and conceptual framework (Triple-S, 2013). The documents were read concurrently as data collection progressed, to develop familiarity with the data. The information obtained from the checklist for each document was entered into a Microsoft Word and Microsoft Excel spreadsheet to enable a structured examination of the data.

Throughout the analysis, a log containing notes and emergent ideas was frequently updated. Codes were highlighted throughout the documents to indicate pertinent points. The codes were examined further, and emergent patterns were labelled as potential themes. The findings were reported descriptively and summarised within a visualised framework. For instance, graphs relating to the scorecard were generated from Microsoft excel spreadsheet to help present visual illustration of the patterns across the themes, while thematic tables were generated to illustrate key themes relating to study objectives.

Furthermore, systematic analysis of document analysis checklist was realized through use of a scorecard. The researcher adopted and adapted the scoring tool used by Triple- S (2013) in which each of the thematic areas was assigned a score of between 0 and 3; whereby 3 = high;

2=medium; 1=low; and 0=poor. A score of 3 (high) had to include a clear and/or a consistent reference to a thematic area (code) and would (ideally) also give sufficient information to the reader to judge that this element was referred to sufficiently in the document and in line with the research questions. A medium score (2) would indicate presence of information in line with the thematic area (code) but with insufficient detail to confidently give a score of 3. A score of low (1) would indicate only a brief or cursory reference to the element contained in the thematic area (code) with little corroborative detail, clarity or consistence. The rating poor (0) indicated that there was no information clearly attributed to a thematic area (code). To be considered for analysis and interpretation, a document was supposed to receive a score of between 1 and 3 in at least 3 thematic areas. In total there were 25 documents from a sample of 50 that qualified for analysis and interpretation. These included 13 policy and strategy documents, out of which 6 were national level documents and 7 were education sector level documents. In addition, there were 12 review /assessment documents out of which 5 were national level documents and 7 were education sector level documents. Appendix 11 provides a table with details of documents analysed and the scores.

4.11.3. Quantitative data Analysis

Quantitative data from questionnaires was presented in the quantitative computer program (SPSS, version 25) in order to obtain descriptive statistics and inferential statistics. Descriptive statistics covered means and percentiles. Inferential statistics were used to establish the relationships between research variables. During the quantitative data analysis, the researcher undertook two complementary inferential tests to reach conclusions about the population based upon information contained in the sample. The two tests carried out were Pearson Product Moment Correlation test and Chi-Square test which are some of the most widely used tests in studies related to business and management (Cooper and Schindler, 2008; Saunders et al, 2009; Kombo and Tromp, 2014). This subsection discusses the rationale and key elements of the two tests.

Correlation entails the extent to which two variables are related to each other and it is measured by establishing a correlation co-efficient, which is the number between -1 and +1 representing the strength of the relationship between two ranked or numerical variables. A value of +1 represents a perfect positive correlation. A value of -1 represents a perfect negative correlation. Correlation coefficients between - 1 and +1 represent weaker positive and negative correlations, a value of 0 meaning the variables are perfectly independent (Saunders *et al,* 2009: 589).

Negative correlation means the relationship between two variables for which, as the values of one variable increase, the values of the other variable decrease (Ibid: 596). On the other hand, positive correlation means the relationship between two variables for which, as the value of one variable increases, the values of the other variable also increase (Ibid: 598). Correlational hypotheses state that the variables occur together in some specified manner without implying that one causes the other. Such weak claims are often made whenever we believe that there are more basic causal forces that affect both variables, and when we have not developed enough evidence to claim a stronger linkage (Cooper & Schindler, 2008: 66).

According to Kombo & Tromp (2014), in correlational research studies, data is mainly analyzed using the correlation coefficient through which a researcher attempts to indicate the proportion of sameness between two variables, and Pearson Product Moment Correlation is used to analyze the relationship between isolated independent and dependent variables. While carrying out the analysis, the researcher is only looking at the degree of relationship between variables and not the effect of one variable on another variable (Kombo & Tromp, 2014: 122). As such for data collected from a sample there is also a need to calculate the probability of the correlation coefficient having occurred by chance alone (Saunders *et al.* 2009: 597).

According to Saunders *et al* (2009), the Chi square test enables one to find out how likely it is that the two variables are associated and assess the likelihood of the data in the table, or data more extreme, occurring by chance alone by comparing it with what you would expect if the two variables were independent of each other (Saunders *et al*. 2009: 452). This is done through a comparison of the observed values in the table with what might be expected if the two distributions were entirely independent. This could be phrased as the null hypothesis: 'there is no significant difference' (Ibid). The Chi-Square test is appropriate to use in cases where the researcher uses frequency counts for the dependent variable (Kombo & Tromp, 2014: 124).

The Chi-Square technique helps to test for significant differences between the observed distribution of data among categories and expected distribution based on the null hypothesis. The greater the difference between them the less is the probability that these differences can be attributed to chance. The value of x2 is the measure that expresses the extent of the difference. The larger the divergence, the larger is the x value (Cooper & Schindler, 2008: 484). Interpretation of the Chi-Square test is done in such a way that if the probability of your test statistic proves more extreme having occurred by chance alone is very low (usually p= _ 0.05 or lower), then you have a statistically significant relationship. Statisticians refer to this as rejecting the null hypothesis and accepting the hypothesis, often abbreviating the terms null hypothesis to H0 and hypothesis to H1. Consequently, rejecting a null hypothesis will mean rejecting a testable statement something like 'there is no significant difference between . . .' and accepting a testable statement something like 'there is a significant difference between . . .'. If the probability of obtaining the test statistic or one more extreme by chance alone is higher than 0.05, then you conclude that the relationship is not statistically significant. Statisticians refer to this as accepting the null hypothesis. There may still be a relationship between the variables under such circumstances, but you cannot make the conclusion with any certainty (Saunders *et al* (2009: 450). However, it is important to stress that the establishment of statistical association by means of chi-square does not necessarily imply any causal relationship between the attributes being compared, but it does indicate that the reason for the association is worth investigating. A properly done Chi-square test, may give us the answer by rejecting the null hypothesis or failing to reject it (Minhaz, n.d.: 5).

4.11.4. Data merging and Interpretation

In line with the triangulation convergence model adopted for the study, the results of the two data sets (qualitative and quantitative) were merged during interpretation of findings through a process of comparing and contrasting of the qualitative and quantitative results which aided in validating the findings. Table 13 presents the summary of the data analysis procedures that were undertaken during the study.

Table 13: Data Analysis Procedures

Research Question	Independent Variable (input)	Dependent Variable (Output)	Analysis Approach
1.Are there differences in education managers' perception of the level of dependency on donor funding in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?	Managerial Perception	Level of dependency	▪ Frequencies, ▪ Percentages, ▪ Chi Square/ correlation test, ▪ Content and thematic analysis.
2. Are there differences in strategic choices of managers in reducing dependency on donors in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?	Managerial Strategic Choice	Level of dependency	▪ Frequencies, ▪ Percentages, ▪ Chi Square/ correlation test, ▪ Content and thematic analysis.
3.Which factors contribute to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi?	Contributing factors	Level of dependency	▪ Frequencies, ▪ Percentages, ▪ Content and thematic analysis.
4. Which funding strategies have potential to reduce dependency on donors on donor funding in the education sector in Malawi?	Alternative funding strategies	Level of dependency	▪ Frequencies, ▪ Percentages, ▪ Content and thematic analysis.
5. What should be the key features of the theory of change for addressing dependency on donor funding in the education sector in Malawi?	Theory of change features	Level of dependency	▪ Content and thematic analysis.

Source: The Researcher (2020)

4.12. Limitations of the Study

There were a few limitations for the study, listed below:

1. Firstly, the study presented a broad rather than narrow perspective to address the dependency at a global level. Due to inadequate time and financial resources data collection focused on three levels of education namely primary education, secondary education, and tertiary education (colleges and universities). A comprehensive coverage of all levels would have been desirable but based on the design other levels such as ECD, TEVET, and adult Literacy were left out. Data collection was limited to public education institutions in line with the topic. Data was collected from 9 out of the 28 districts in Malawi. However, the selected institutions were meant to be representative of all the key regions of the country and mainly from education managers.

2. Secondly, the selection of respondents was also restricted to few stakeholders in the education sector such as head teachers, college principals and representatives of government, NGOs, donors and MPs. Some respondents decided not to participate in the study due to time limitations and sensitivity of the topic. However, respondents were assured of confidentiality and that individual details such as names were not recorded but codes were used instead.

4.13. Chapter Summary

The chapter discussed study methodology which helped collect and analyze the data necessary for responding to research questions and filling in the gaps identified through literature review. Among others the chapter considered the following methodological elements: research design, location of the study, target population, sampling methods and sample size as well as research instruments (their validity and reliability), data collection techniques and data analysis. In sum, the study has adopted the pragmatic philosophy to utilize the triangulation convergence model as a mixed - methods design that employs both qualitative and quantitative methods to collect and analyze primary and secondary data with the objective of describing managerial perception towards dependency and discussing strategic choice in the face of donor dependency in the education sector in Malawi. Using a mix of both purposive and random sampling, the study has drawn a sample size of 212 respondents to respond to the research questions. The next chapter provides answers to the research questions with the presentation of data.

CHAPTER 5: PRESENTATION OF DATA

5.1. Introduction

The study was designed to address the problem of high dependence on donor aid in financing the education sector, a situation which puts Malawi at high risk of not being able to sustainably finance and achieve sustainable development goals (SDGs) and national goals on education. The overarching theory that guided the study was the Resource Dependency Theory (RDT); and it was supported by four other theories including Strategic Choice Theory, Human Capital Theory, Public Finance Management Theory and Theory of Change. The theories assisted in identification of key research variables such as “managerial perceptions”, “managerial strategic choices” and “dependency”.

Proponents of RDT suggest that to reduce dependence, managers have two important functions of perceiving the environment (the dependency) and making strategic choices, hence “managerial perception” and “strategic choice” are important variables as they relate to perception of the environment (Delke, 2015). People’s perceptions have a direct influence upon their decision-making and consequently, the result of their decisions” (Özleblebicia & Çetin, 2015:297). Considering this theoretical standpoint, the study set out with five objectives. The first objective was to establish if there were differences in education managers’ perception of the level of dependence on donor aid on donor funding in the education sector in Malawi. The second objective of the study was to establish if there were differences in education managers’ strategic choices for addressing dependence on donor aid in the education sector in Malawi. The third objective of the study was to discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi. The fourth objective of the study was to identify funding strategies which have potential to reduce dependence on donor aid in the education sector in Malawi. The fifth objective of the study was to define a theory of change for addressing dependence on donor aid in the education sector in Malawi.

Chapter 4 discussed in detail the research methodology and outlined the instruments and approaches for data collection and analysis. In short, the study adopted pragmatic philosophy to utilise the mixed methods - approach that employs both qualitative and quantitative methods to collect and analyse primary and secondary data with the objective of describing managerial perception towards dependency and discussing strategic choice in the face of dependence on donor aid in the education sector in Malawi. Using survey questionnaire, interview schedule, and qualitative document analysis checklist, data was collected from respondents at managerial level from the educational institutions and stakeholders in the education sector. Having collected and analysed the data this chapter presents findings for the study. The findings are presented following the order of the objectives and leading research questions under each objective.

5.2. Study Response Rate and gender representation

The researcher administered three research instruments, namely survey questionnaire, interview schedule, and qualitative document analysis checklist. For the survey questionnaire and interview checklist, study participants included primary school head teachers, secondary school head teachers, college and university principals and representatives of stakeholder institutions such as government officials, donors, and NGO/civil society organisations. For the document checklist sampled documents included policies, strategies and review documents at national level and education sector level. However, the study response rate is hereby determined by the data collected from the field using survey questionnaire and interview schedule. For field data collection, the sample size was 162. Table 14 below provides details of responses, non-responses, and response rate.

Table 14: Study response rate

Research instrument	Sample size	Response	Non- response	Response rate (%)
Survey questionnaire	102	86	16	84
Interview schedule	60	44	16	73
Total	**162**	**130**	**32**	**80**

Source: The Researcher (2020).

It can be seen from the table that out of the sample size of 162, the total responses were from 130 while nonresponses totaled 32, thereby recording a total response rate of 80%. Babbie (2007) suggests that a 50% response rate is good enough for any data analysis while 70% and above is very good. Saunders *et al* (2007) suggest that for most academic studies involving top management or organizations, a response rate of approximately 35% is reasonable (Saunders *et al*, 2007: 215). Healey (1991) suggests average response rate of 50% for postal surveys and 75% for face-to-face interviews. On this basis the researcher concluded that at 80%, the present study offered an excellent rate, which is valid for analysis of the collected data. In terms of gender dynamics among the participants there were 101 males and 29 females who responded to the study from survey questionnaires and interview schedule. This shows that males represented 78% of the respondents while females represented 22% (figure 12). There is a big gender gap because in most of the institutions the heads of the organisations (head teachers, principals, directors etc) are males. Hence this is reflective of the situation on the ground.

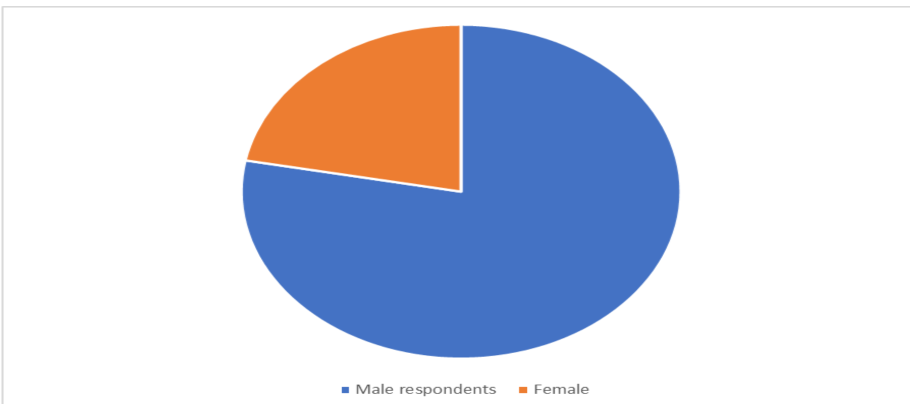

Figure 12: Respondents according to Gender

Source: The Researcher (2020).

5.3 Presentation of data for Objective 1 on Education managers' perceptions towards dependence on donor aid in the education sector

The first objective was to establish if there were differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi. The research question was, are there differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi? Findings for this objective are presented based on four levels of analysis: descriptive, inferential, pragmatic content analysis, and qualitative document analysis levels. Descriptive and inferential levels of analysis relate to quantitative methods while pragmatic content analysis and qualitative document analysis relate to the qualitative methods.

5.3.1. Results of Descriptive Statistical Analysis

Respondents for the survey questionnaire were asked to indicate whether they perceived the level of dependence as high, medium, low or none at all. According to the findings the mean perception was 57% as high, 30.5% as medium, 11.4% as low and 1.1% as non- existent (none). The results of the responses are presented in figure 13.

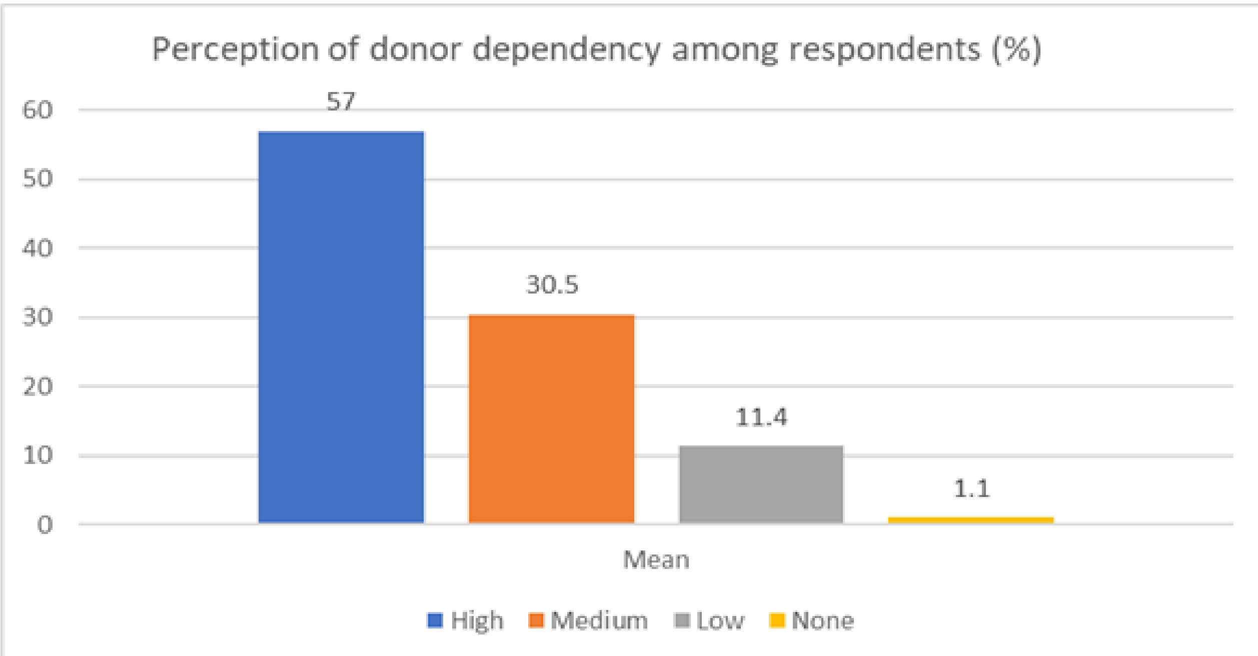

Figure 13: Perception of Donor Dependency among respondents

Source: The Researcher (2020).

In terms of gender 65.2% of the males and 38.9% of the females perceived the level of dependency as high, while 24.2% males and 44.4% females rated the level of dependency as medium. None of the females felt there was no dependency while 1.5% of the males felt there was no dependency. Refer to figure 14.

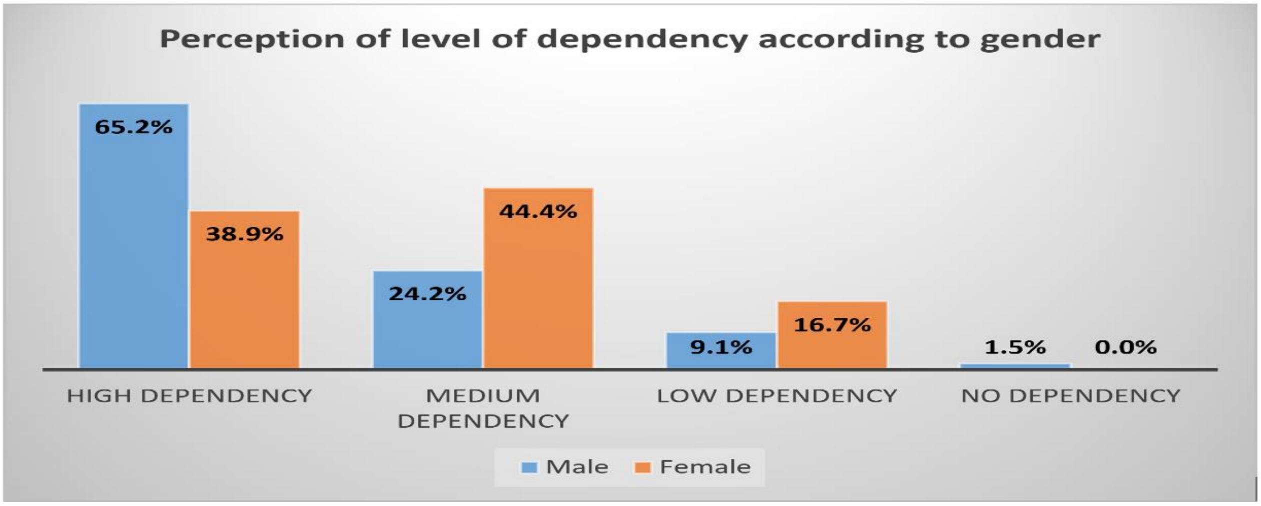

Figure 14: Perception of level of dependency according to gender
Source: The Researcher (2020).

Across the age groups (table 15), 100% of those in the age bracket of 20 years and below as well as 81-100 years perceived the level of dependency as high. 85.7% of those in the age group 21-30 years perceived it high and 14.3% perceived it as medium. 68.8% of those in age group of 31-40 years perceived the level of dependency as high, while 25% perceived the level as medium. Finally, 66.7% of age group 61-80 perceived the level as high while 33.3% perceived it as medium.

Table 15: Perception of Level of Dependency According to Age groups

Level of Dependency	20 yrs or less	21-30 yrs	31-40 yrs	41-60 yrs	61-80 yrs	81-100 yrs	Mean
High dependency	100.0%	85.7%	68.8%	51.8%	66.7%	100.0%	59.5%
Medium dependency	0.0%	14.3%	25.0%	32.1%	33.3%	0.0%	28.6%
Low dependency	0.0%	0.0%	6.3%	14.3%	0.0%	0.0%	10.7%
No dependency	0.0%	0.0%	0.0%	1.8%	0.0%	0.0%	1.2%

Source: The Researcher (2020).

Across institutions (table 16), among primary school head teachers, 48.1% perceived that the level of dependency was high, while 25.9% considered it medium and another 25.9% thought it was low. Among secondary school head teachers, 54.5% perceived the level of dependency was high, while 36.4% of them perceived it at medium level, and 9.1% considered dependency non-existent in the sector.

Table 16: Perception of Level of Dependency According to Institution

Level	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Mean
High dependency	48.1%	54.5%	50.0%	80.0%	46.2%	73.9%	100.0%	100.0%	59.5%
Medium dependency	25.9%	36.4%	50.0%	20.0%	38.5%	26.1%	0.0%	0.0%	28.6%
Low dependency	25.9%	0.0%	0.0%	0.0%	15.4%	0.0%	0.0%	0.0%	10.7%
No dependency	0.0%	9.1%	0.0%	0.0%	0.0%	0.0%	0.0%	0.0%	1.2%

Source: The Researcher (2020).

Furthermore, 50% of the college principals thought of the level of dependency as high, and the other half thought it was medium. Amongst university college principals 80% of the respondents thought the level of dependency was high while 20% thought it was medium. 46.2% of government officials thought the level of dependency was high while 38.5% of them thought it was medium; a total of 85% of these officials thought the level of dependency was low to medium. 100% of representatives of donors and members of parliament thought that the dependency was high. Amongst NGO representatives 73.9% thought the level of dependency was high while 26.1% of them thought it was medium, i.e. 100% of NGOs representatives considered the level of dependency medium to high.

5.3.2. Results of Inferential Statistical Analysis

During the quantitative data analysis, the researcher undertook two complementary inferential tests to obtain findings for the study. The two tests carried out were Pearson Product Moment Correlation test and Chi-Square test. The results are presented in the following sub-sections.

5.3.2.1. Results of the Correlation Test

The researcher ran the Pearson's Product Moment Correlation Test to establish if there was a relationship between the research variables. The researcher set out to test if there was a positive or negative correlation between perception on level of dependency and respondents' gender, age, education level and respondent institution type. The results and observations are presented in tables 17, 18, 19, and 20.

Table 17: Perception on level of dependency versus gender

		Perception on level of dependency	Gender
Perception on level of dependency	Correlation Coefficient	1.000	.202*
	Sig. (1-tailed)		0.034
	N	86	86
Gender	Correlation Coefficient	.202*	1.000
	Sig. (1-tailed)	0.034	
	N	86	86

Source: The Researcher (2020).

Observation: There was a positive correlation (correlation coefficient rS=0.202)

Statistically significant (p =0.034)

Table 18: Perception on level of dependency versus age

		Perception on level of dependency	Age
Perception on level of dependency	Correlation Coefficient	1.000	0.176
	Sig. (1-tailed)		0.054
	N	86	86
Age	Correlation Coefficient	0.176	1.000
	Sig. (1-tailed)	0.054	
	N	86	86

Source: The Researcher (2020).

Observation: There was a positive correlation (correlation coefficient rS=0.176)

Statistically significant (p =0.054)

Table 19: Perception on level of dependency versus academic qualification

		Perception on level of dependency	Academic qualification
Perception on level of Dependency	Correlation Coefficient	1.000	-0.133
	Sig. (1-tailed)		0.114
	N	86	86
Academic qualification	Correlation Coefficient	-0.133	1.000
	Sig. (1-tailed)	0.114	
	N	86	86

Source: The Researcher (2020).

Observation: There was a negative correlation (correlation coefficient rS= -0.133)

Not statistically significant (p =0.114)

Table 20: Perception on Level of Dependency versus stakeholder institution type

		Perception on level of dependency	Stakeholder Institution type
Perception on level of dependency	Correlation Coefficient	1.000	-.249
	Sig. (1-tailed)		0.012
	N	86	86
Organisation Type	Correlation Coefficient	-.249	1.000
	Sig. (1-tailed)	0.012	
	N	86	86

Source: The Researcher (2020)

Observation: There was a negative correlation (correlation coefficient rS= -0.249)

Statistically significant (p =0.012).

5.3.2.2. Results of the Chi-Square Test

The researcher also conducted Chi-square test to examine the association between age, gender, education level and respondent category with perceptions on dependency. This also helped in examining the hypothesis developed for objective 1. Variables were checked to confirm if the expected responses tallied with the observed responses from the experiments, and to establish if the relationship between the variables existed by chance alone using ρ and α values on the Pearson Chi-square scale. When applying the Chi-square test, the null hypothesis is rejected if ρ< α (Saunders *et al* (2009). The Chi-Square test was carried out with the following hypothesis:

Hypothesis 1

- H_0: *There are significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*
- H_1: *There are no significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*

Based on the hypothesis the researcher used SPSS v.25, to run a Pearson Chi-square test, and the following results were obtained (table 21):

Table 21: Chi Square Test Results on relationship between perception and respondent's gender, age, education revel and institution type

	Gender	Age	Education level	Respondent institution type
Pearson chi square	4.493	6.342	18.300	21.147
df	3	15	18	21
Asymptotic Significance	.213	.973	.436	.450

Source: The Researcher (2020).

The Chi-square values for the four chosen variables were 4.493, 6.342, 18.300 and 21.247 as shown in the table with their corresponding degrees of freedom. The pi-values (**ρ-values) had asymptotic significance levels** .213, .973, .436, and .450 for gender, age, education level and respondent institution type respectively, and were all found to be above the significance level (**α=0.05)** of 0.05. According to Saunders *et al* (2009), when applying the Chi-square test, the null hypothesis (H_0) is rejected if **ρ**< **α**. In our scenario, **ρ** > **α** (thus, **ρ > 0.05)** which makes us **fail to reject the null hypothesis** since we do not have enough evidence to suggest an association. Therefore, we can state that there is **no association** found between age, gender, education level and respondent category to the dependency on donor funding in the education sector. By implication, using the authority of Saunders *et al* (2009) and Cooper and Schindler (2008), the researcher concluded that the association between the variables was not by chance but was what one would have expected under normal circumstances. This indicated that the responses from the study respondents were reliable and dependable enough to be trustworthy.

5.3.3. Results of Pragmatic Content Analysis

In this study the researcher used pragmatic content analysis as a tool to describe and present the findings from the interview schedules. The analysis was based on answers provided by 44 respondents who accepted the interviews. To establish if there were differences in perception of the level of dependency, respondents were asked to indicate whether they perceived the level of dependency in the education sector as low, medium, or high. Table 22 shows the results of the thematic analysis pertaining to perception of dependency among the respondents interviewed.

Table 22: Perception of level of dependency among interviewed respondents.

Level of dependency	Number of respondents	Percentage of respondents (%)
High	29	66%
Medium	11	25%
Low	4	9%
Total	44	100%

Source: The Researcher (2020).

As expressed in the table, the researcher noted differences in respondent perception of level of dependency on donors in that that 29 out of 44 informants (representing two-thirds or 66%) perceived dependency level in the education sector to be high; while 11 out of 44 informants (representing a quarter or 25%) perceived the dependency level to be medium and only 4 out of 44 informants (9%) perceived the dependency level to be low.

5.3.4. Results from Qualitative Document Analysis on Perception of Dependency of Pragmatic Content Analysis

The study sought to establish if there were differences in perception of the level of dependency on donor funding in the education sector. For the QDA, perception of dependency was established through word search in the documents. The results of the word search are presented in table 23.

Table 23: Results of Thematic Analysis of documents on perception of dependency.

N	Description	Count	% of documents
1	Documents containing “dependency”	16	64%
2	Documents without “dependency”	9	36%
3	Documents highlighting “high dependency”	7	28%

5	Documents highlighting “medium dependency”	0	0%
6	Documents highlighting “low dependency”	0	0%

Source: Researcher (2020).

As presented in the table 23 majority of documents (64%) perceived the concept of dependency. The documents included Vision 2020 (NECM, 1998), MEGS (MEP&D, 2004), GOM (2005), GOM (2014), MEP & D, 2016), GOM (2017), MOEST (2015), MOEST (2018) and World Bank (2019). On the other hand, 9 documents (36%) failed to perceive the concept. Word search in these documents yielded no results on “dependency” or “level of dependence on donor aid”. Such documents included Ministry of Education, Science and Technology (2008), National Education Sector Plan (NESP); GOM (2016), National Education Policy, Lilongwe: Ministry of Education, Science and Technology (MOEST); National Planning Commission (2019), Review of Vision 2020, Final Draft Report; National Planning Commission (2020), Mid Term Implementation Review Report for Malawi Growth and Development Strategy (MGDS) III. Final Draft Report; World Bank (2010) The Education System in Malawi. Africa education country status report, World Bank working paper no 182. Other documents which did not perceive dependency were: MOEST 2018 Strategic Framework for Income Generation In Malawian Public Higher Education, Lilongwe; MOEST 2017, Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report; Ministry of Education, Science and Technology (MOEST) (2019), The 2018/19 Education Sector Performance Report: Strengthening Education Management And Accountability To Improve Learning Outcomes For All; as well as Civil Society Education Coalition (CSEC)(2017) , Analysis of The 2017/18 National Budget Focussing On Education Sector; and CSEC (2017), Innovative Financing for Education in Malawi, Lilongwe: Civil Society Education Coalition.

Furthermore, of the 16 documents that perceived the level of dependency, 7 documents (44%) perceived it as high while, no document highlighted the level of dependency as either medium or low. Associated terms for “high dependency” were “too much dependence”, “heavy dependence”, and “heavy reliance”. Documents with reference to high dependency included Vision 2020 (MECM, 1998), PIF (MOEST 2001), ESIP II (MOEST 2014), MOEST Strategic Plan 2015-2020 (MOEST 2015), MGDS II (MFEP&D, 2016), Review of Vision 2020 (NPC 2019) and Malawi PER 2019 (World Bank, 2019). For instance, MOEST (2015) notes that “there is too much dependence on development partners for funding implementation of institutional programmes" (MOEST, 2015:58). MEP&D (2016) observes that "at least 20% of the (2014/15 development budget was foreign financed, implying high level of donor dependency; the GOM only financed 7%" (MEP&D: 60). World Bank (2019) notes that "as a small, open economy with an undiversified production and export base and a heavy dependence on aid, Malawi is vulnerable to weather shocks such as droughts and flood" (World Bank, 2019: 14). Table 24 presents how dependency is expressed in selected documents.

Table 24: Thematic expression of dependency in the documents.

Description	***Number of documents***	***Representative quotes from documents***
Dependency	16	"Under the sub-theme "Macroeconomic Stability" the goal is to sustain economic growth, reduce ***dependency*** on foreign aid and generate investor confidence"- *Malawi Growth and Development Strategy* (GOM, 2005: 21).
		"Overall, fiscal space for education remains very limited hence continued ***dependence*** on donors for non-wage expenditure. The Global Partnership for Education (GPE) is one key mechanism for financing education in Malawi"- *2018/19 Education Budget Brief: Towards Improved Education for all in Malawi* (UNICEF, 2019:13).
High dependency	7	"Malawi is ***heavily dependent*** on donors. In addition, Malawians depend on government for the provision of goods and services. This situation has been aggravated by political statements, which promise help from the government. This has killed the self-help and hardworking spirit among Malawians. The challenge, therefore, is to inculcate a spirit of self-reliance at national and local level"- *Vision 2020* (National Economic Council of Malawi, 1998:34).
		"In view of the fact that available government resources can be stretched only so far, a major shortcoming of the current system of education finance is its over-dependence on scarce government resources. Although donor presence is strong especially in the area of development expenditure, such ***heavy dependence*** on the donor community poses serious problems of national ownership and sustainability"- *Malawi Education Sector Policy & Investment*

		Framework (Ministry of Education Sports and Culture, 2001:14).
		"The Malawi budget is ***highly dependent*** on development partner support (40% of total budget" - *Education Sector Implementation Plan II (ESIP II) 2013/14 -2017/18* (Ministry of Education, Science and Technology, 2014: 85).
		"***Too much dependence*** on development partners for funding implementation of institutional programs" - *Strategic Plan 2015-2020, Final Draft* (Ministry of Education, Science and Technology (MOEST), 2015:58).
		"The development budget in the 2014/15 financial year comprised of 27 percent of the total budget. At least 20 percent of the budget was foreign financed, implying ***high level of donor dependency***; the GoM only financed 7 Percent" - *Malawi Growth and Development Strategy (MGDS) II Review and Country Situation Analysis Report* (Ministry of Finance, Economic Planning and Development, 2016: 60).
		"As a small, open economy with an undiversified production and export base and a ***heavy dependence*** on aid, Malawi is vulnerable to weather shocks such as droughts and floods, terms-of-trade shocks such as oil and fertilizer price increases and tobacco price declines, and sudden and sharp declines in capital inflows, including external aid" – *Public Expenditure Review 2019* (World Bank, 2019: 14).
		"Nutrition interventions ***heavily depend*** on development partners" - *Annual Economic Report 2020* (Ministry of Finance, Economic Planning and Development, 2020: 146).

Source: The Researcher (2020).

5.3.4.1. QDA scores on perception of dependency

When it came to scoring, the highest score (3) was given to documents which explicitly referred to "high dependence on donors or donor aid" while the lowest score (0) was given to documents which yielded nothing on the word search. The results of the scores are presented in figure 15.

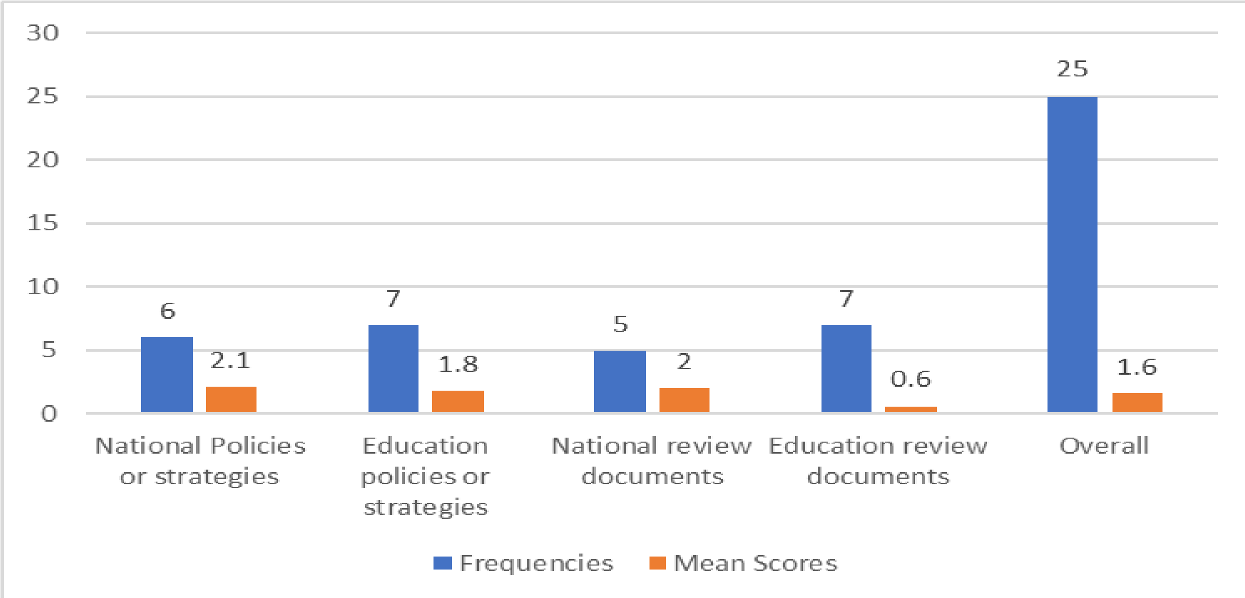

Figure 15: Document scores on perception of dependency
Source: The Researcher (2020).

As indicated in the figure above, the overall score for perception of dependency across the documents was 1.6, signalling low perception. This is consistent with the low percentage (44%) of documents that perceived dependency as high. But the score was 2 (medium) for policies and strategies while it was 1.2 for review documents, a significant difference of -8. 3 out of 5 national policies (60%) had high score on dependency perception; while 2 out of 5 (40%) had low score; 3 out of 7 education policies (43%) had high score while 2 out of them (28%) had a low score as 1 (14%) had a score of medium and another 1 (14%) had a score of poor. Furthermore, 3 out of 5 (60%) review documents had a high score, while 2 (40%) had a low score and 1 (20%) had a poor score. For education level review documents, 4 out of 7(57%) had a low score while 3 (43%) had poor score.

5.3.5. Triangulation of the quantitative and qualitative results in relation to managerial perception of the level of dependency on donor funding in the education sector

In line with the triangulation convergence model (Creswell and Clark, 2003) adopted for the present study, the researcher mixed or compared and contrasted the quantitative and qualitative data that emerged from the descriptive, inferential, pragmatic content analysis and the qualitative document analysis to establish common trends or patterns.

The first objective was to establish if there were differences in education managers' perception of the level of dependency on donor funding in the education sector in Malawi. The research question was, are there differences in education managers' perception of the level of dependency on donor funding in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?

Descriptive analysis showed that 57% of respondents perceived the level of dependency as high, while 30.5% perceived the level as medium, 11.4% perceived the level as low and 1.1% perceived the level as non- existent (none). The perception of the level of dependency also differed across respondents according to age, gender, education level and institution type as presented in figure 16. For instance, across the age groups, 100% of those in the age bracket of 20 years and below as well as 81-100 years perceived the level of dependency as high. 85.7% of those in the age group 21-30 years perceived it high and 14.3% perceived it as medium. 68.8% of those in age group of 31-40 years perceived the level of dependency as high, while 25% perceived the level as medium. Finally, 66.7% of age group 61-80 perceived the level as high while 33.3% perceived it as medium. In terms of gender 65.2% of the males and 38.9% of the females perceived the level of dependency as high, while 24.2% males and 44.4% females rated the level of dependency as medium. None of the females felt there was no dependency while 1.5% of the males felt there was no dependency.

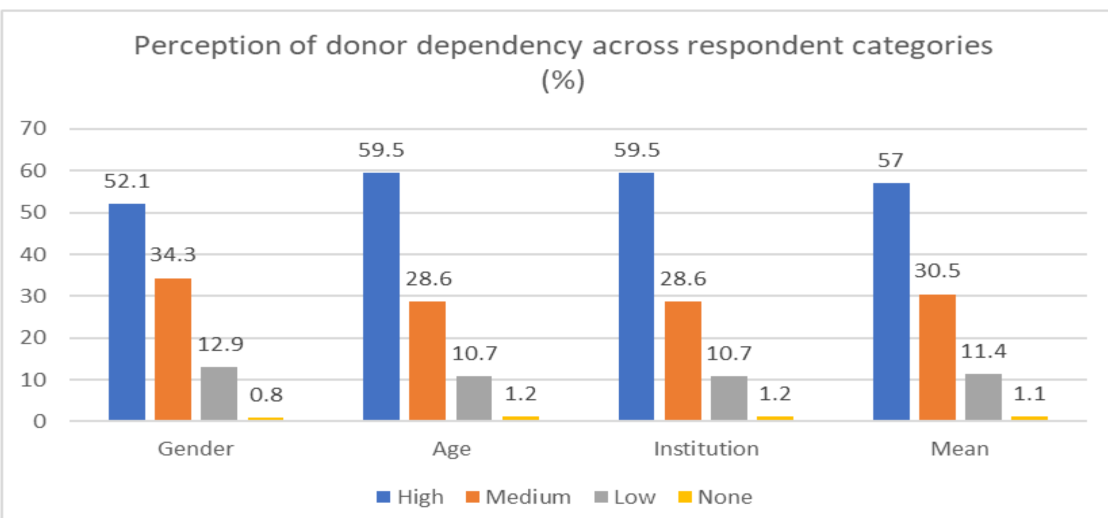

Figure 16: Perception of donor dependency across respondent categories
Source: The Researcher (2020).

From inferential statistics, the Pearson Product Moment Correlation test showed that there was difference in correlation between the variables. There was a positive correlation with statistical significance for two variables, i.e., gender and age; but there was negative correlation for the other two variables of academic qualification and stakeholder institutional type. There was no statistical significance for the academic qualification while there was statistical significance for the stakeholder institution type. The Chi-Square test results showed different values for the variables of gender, age, education revel and respondent category at 4.493, 6.342, 18.300 and 21.247. The pi-values (ρ-value) were all different but found to be above the significance level (α=0.05) of 0.05.

From the pragmatic content analysis arising from the interview schedule, differences were noted about the respondents' perceptions about the level of dependency, whereby 29 out of 44 informants (representing two-thirds or 66%) perceived donor dependency level in the education sector to be high; while 11 out of 44 informants (representing a quarter or 25%) perceived the dependency level to be medium and only 4 out of 44 informants (9%) perceived the dependency level to be low. From the qualitative document analysis, while 16 documents (64%) perceived the concept of dependency, out of those that perceived dependency 7 documents (44%) perceived the level of dependency as high and no document highlighted the level of dependency as either medium or low.

In light of triangulation convergence model, the data sets showed convergence in two ways. Firstly, there was convergence in that according to the data respondents had shown ***differences in perception of level of dependency*** on donor funding in the education sector. For survey questionnaire and interview schedule the differences were in terms of age, gender, academic level and respondent institution type. For the document checklist, there were differences across document categories (national, education level, policy, strategy or review documents). Secondly, there was convergence in that majority of respondents perceived the level of dependency as high (57% from descriptive statistics; 66% from pragmatic content analysis; 44% from qualitative document analysis; an average of 56% across the data collection tools). The following figure illustrates the convergency.

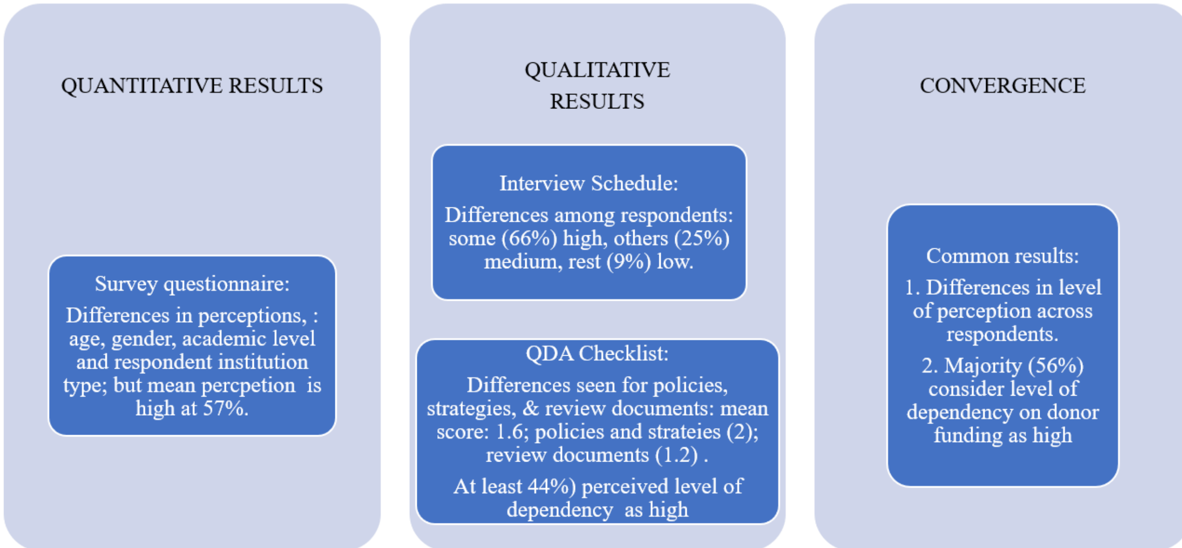

Figure 17: Results of data triangulation for objective 1 on managerial perception.

Source: The Researcher (2020).

5.4 Presentation of data for objective 2 on Education managers' strategic choices for addressing dependence on donor aid in the education sector

The second objective of the study was to establish if there were differences in education managers' strategic choices for addressing dependence on donor aid in the education sector in Malawi. The research question was, are there differences in strategic choices of managers in reducing dependence on donor aid in the education sector in Malawi? Like in the first objective, findings for this objective are presented based on four levels of analysis: descriptive, inferential, pragmatic content analysis, and qualitative document analysis levels.

5.4.1. Results of Descriptive Statistical Analysis

To establish if there were differences in responses relating to strategic choice in addressing dependency on donor funding, respondents were first asked this question: *Government should focus more on strategies for mobilising resources domestically, rather than depend on external resources from donors to sustain funding for the education sector in Malawi. Do you agree or not?* In their responses, 80% of the respondents agreed (strongly and generally) that government should focus more on strategies for mobilising financial resources domestically rather than depend on external resources from donors to finance the education sector. However, 14% of the respondents suggested that government should equally pay attention to both external and domestic resources. Table 25 illustrates the findings.

Table 25: Opinion on whether to focus on domestic or external funding sources

Opinion	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Overall
Strongly Agree	64.3%	36.4%	50.0%	75.0%	78.6%	82.6%	0.0%	100.0%	67.1%
Strongly Disagree	3.6%	9.1%	0.0%	0.0%	0.0%	4.3%	0.0%	0.0%	3.5%
Generally agree	10.7%	36.4%	50.0%	0.0%	14.3%	4.3%	0.0%	0.0%	12.9%
Generally disagree	3.6%	0.0%	0.0%	0.0%	0.0%	0.0%	50.0%	0.0%	2.4%
Use both external and domestic sources	17.9%	18.2%	0.0%	25.0%	7.1%	8.7%	50.0%	0.0%	14.1%

Source: The Researcher (2020).

Secondly, the respondents were asked to state their opinion as to whether government should continue relying on donor aid or not, as a strategic choice towards financing education. The results were analysed and presented gender, age and institutional type.

Gender: Amongst the males, 50.8% expressed that government should stop relying on donor aid, while 49.2% felt that government should not stop reliance on donors or foreign aid to finance education. Among the females, 33.3% thought that government should stop relying on donor assistance, a lower percentage than 66.7% of the females who responded that government should not stop. See figure 18.

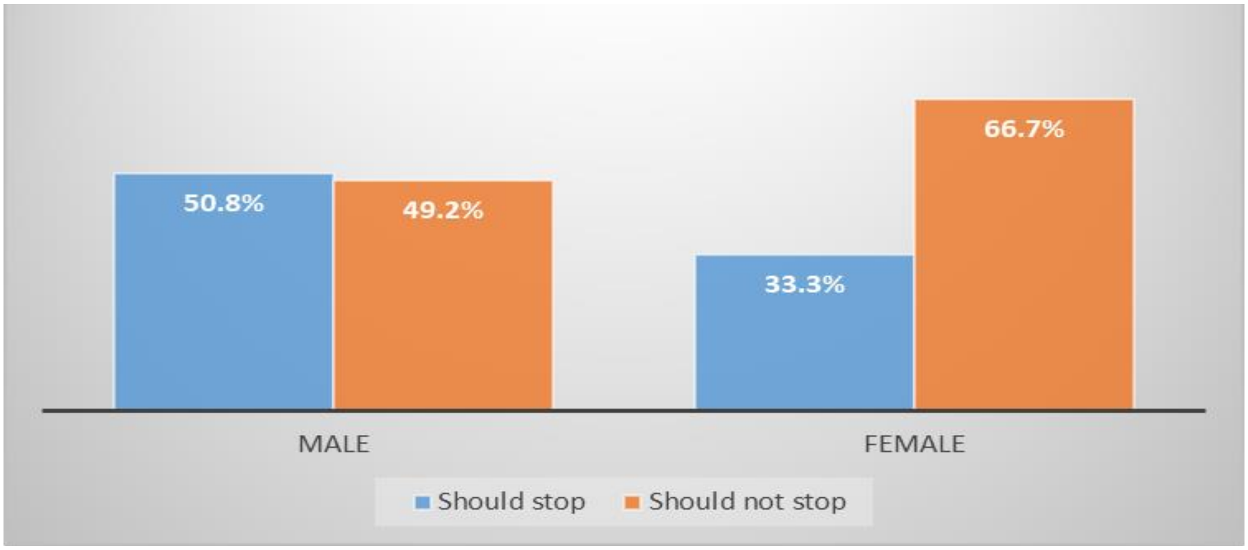

Figure 18: Gender Perspective on whether government should stop reliance on donors
Source: The Reseracher (2020).

Age groups: Amongst the age groups, 100% of those aged 20 years or less preferred that government should stop reliance on donors. Among those with ages 21-30, 66.7% preferred that government should stop reliance on donors while 33.2% stated that government should not stop. Among those with ages 31-40, 56.3% preferred that government should stop reliance on donors while 43.8% stated that government should not stop. Among those with ages 41-60, 42.9% preferred that government should stop reliance on donors while 57.2% stated that government should not stop. Among those with ages 61-80, 33.3% preferred that government should stop reliance on donors while 66.7% stated that government should not stop. Finally, among those with ages 81-100, 100% stated that government should not stop reliance on donors. Details are in table 26.

Table 26: Age group perspective on whether government should stop reliance on donors or foreign aid to finance its education programs

Opinion	20 yrs or less	21-30 yrs	31-40 yrs	41-60 yrs	61-80 yrs	81-100 yrs	Mean
Should stop	100.0%	66.7%	56.3%	42.9%	33.3%	0.0%	49.8.0%
Should not stop	0.0%	33.3%	43.8%	57.2%	66.7%	100.0%	50.2%

Source: The Researcher (2020).

Institutional Level: At primary level 29.6% of head teachers expressed that government should stop reliance on donors, while 70.4% stated that government should not. At secondary level, 54.5% of the head-teachers expressed that government should stop as opposed to 45.5% who thought otherwise. 50% of college principals expressed that government should stop compared to the other half who said it should not. 75% of university principals said government should stop, while 25% said it should not. Amongst NGO representatives 35.7% said government should stop, while 64.5% stated that government should not stop relying on donors. Furthermore, all donors preferred to continue with supporting government. 100% of MP representatives preferred that government should stop. Details of the results are found in table 27.

Table 27: Stakeholder institution perspective on whether government should stop reliance on donors or foreign aid to finance its education programs

Opinion	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Mean
Should stop	29.6%	54.5%	50.0%	75.0%	35.7%	68.2%	0.0%	100.0%	51.6%
Should not stop	70.4%	45.5%	50.0%	25.0%	64.3%	31.8%	100.0%	0.0%	48.4%

Source: The Researcher (2020).

5.4.2. Results of Inferential Statistical Analysis

During the quantitative data analysis, the researcher undertook two complementary inferential tests to obtain findings for the study. The two tests carried out were Pearson Product Moment Correlation test and Chi-Square Test. The results are presented in the following sub-sections.

5.4.2.1. Results of the Correlation Test

The researcher ran the Pearson's Product Moment Correlation test to establish if there was a relationship between the research variables. The researcher set out to test if there was a positive or negative correlation between strategic choice and respondents' gender, age, academic qualification (education level) and institutional type. The results of the test are presented in tables 28, 29, 30 and 31.

Table 28: Respondents' preference versus gender

		Preference	Gender
Gender	Correlation Coefficient	1.000	0.011
	Sig. (1-tailed)		0.461
	N	86	86
Respondent preference	Correlation Coefficient	0.011	1.000
	Sig. (1-tailed)	0.461	
	N	86	86

Source: The Researcher (2020).

Observation: There was a positive correlation (correlation coefficient rS=0.011);
Not statistically significant (p =0.461).

Table 29: Respondents' preference versus age group

		Preference	Age group
Respondent preference	Correlation Coefficient	1.000	0.011
	Sig. (1-tailed)		0.460
	N	86	86
Age group	Correlation Coefficient	0.011	1.000
	Sig. (1-tailed)	0.460	
	N	86	86

Source: The Researcher (2020).

Observation: There was a positive correlation (correlation coefficient rS=0.011) ;
Not statistically significant (p =0.460)

Table 30: Respondent preference versus academic qualification

		Preference	academic qualification
Respondent preference	Correlation Coefficient	1.000	-0.019
	Sig. (1-tailed)		0.430
	N	86	86
Academic qualification	Correlation Coefficient	-0.019	1.000
	Sig. (1-tailed)	0.430	
	N	86	86

Source: The Researcher (2020).

Observation: There was a negative correlation (correlation coefficient rS= -0.019);
Not statistically significant (p =0.430)

Table 31: Respondent preference versus respondent institution type

		Preference	Institution type
Respondent preference	Correlation Coefficient	1.000	-0.164
	Sig. (1-tailed)		0.069
	N	86	86
Organization type	Correlation Coefficient	-0.164	1.000
	Sig. (1-tailed)	0.069	
	N	86	86

Source: The Researcher (2020).

Observation: There was a negative correlation (correlation coefficient rS= -0.164); Not statistically significant (p =0.069)

5.4.2.2. Results of the Chi-Square Test

The researcher also conducted Chi-square test to examine the association between gender, age, education level and respondent institution type and strategic choices. The test was conducted to establish the relationship between gender, age, education level and respondent institution type and respondent's strategic choice for tackling dependency on donor funding in the education sector. The test was based on the following hypothesis:

Hypothesis 2

- H_0 *: There are significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.*
- H_1 *: There are no significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.*

The results were obtained as present in table 32.

Table 32: Results of Chi-Square test on whether government should stop reliance on donors.

	Gender	**Age**	**Education Level**	**Respondent category**
Pearson chi square	4.978	4.485	16.974	12.282
df	2	10	12	14

Asymptotic Significance	.083	.923	.151	.584

Source: The Researcher (2020).

The chi square values in the test statistic for the gender, age, education level and respondent's category were 4.978, 4.485, 16.974 and 12.282 respectively. The pi-values (**ρ-value)** which were .083, .923, .151, .584 were all found to be above the significance level (**α=0.05)** of 0.05. Since the **ρ** > **α** then we fail to reject the null hypothesis (H_0). Therefore, it was noted that age, gender, education level and respondent category were not associated with respondent's opinion on whether government should consider stopping reliance on donors or foreign aid to finance its education programs. By implication the researcher concluded that the association between the variables was not by chance as guided by Saunders *et al* (2009) and Cooper and Schindler (2008) but was what one would have expected under normal circumstances. This indicated that the responses from the study respondents were reliable and dependable enough to be trustworthy. Considering the test results, the researcher interpreted the results to support the conclusion from the descriptive statistics that the study population considers that government should explore domestic resource mobilization strategies and consider stopping dependence on donors to finance education.

5.4.3. Results of Pragmatic Content Analysis relating to the theme of managerial strategic choices

In this study the researcher used pragmatic content analysis to describe and present the findings from interview schedules. The analysis was based on answers provided by respondents during interviews held with stakeholders in the education sector. The respondents were asked to state their opinion as to whether government should stop reliance on donors or foreign aid to finance its education programs. They were also asked to justify their opinion. In total there were 44 responses. Table 33 presents sub-themes and representative comments that emerged during the analysis.

Table 33: Results of thematic analysis from the documents on strategic choice

Theme	Sub-theme	Count	Representative Comments
Managerial strategic choice	End or reduce dependency on donor aid	24	"Government should stop dependency on aid. overreliance on donor aid can derail government focus on its plans in preference to donor interests which are not always aligned to the wider development goals" (ID # 15, 2017)
			"I think government should end this dependency because, firstly, donor aid comes with stringent conditions which sometimes affect the operations of institutions. Secondly, government is forced to adopt system that are not compatible with the social cultural situation in Malawi" (ID # 20, 2017)
			"Yes, stop the dependency on donors. We became independent over 50 years ago. It is a joke we are still beggars till today. This must stop now" (ID # 38, 2017).
	Continue dependency on donors	19	"Malawi cannot entirely stop reliance on donors to finance its social services because Malawi has limited options to generate income apart from the traditional means" (ID #22, 2017).
			"With our economy which has unpredictable performance I think that we cannot stand without the help of donors in education" (ID#34,2017).
			"Don't stop. We have not reached the stage whereby we can say that we are self-reliant" (ID # 44, 2017).
	Not sure	1	"I'm not sure of the options" (ID # 39, 2017).

Source: The Researcher (2020)

Results of the analysis showed that it was the strategic choice of slightly more than half of respondents (represented by 55% or 24 out of 44 respondents) that government should stop end or reduce reliance on donors. On the other hand, 19 out of 44 respondents (representing 43% of respondents) were of the express choice that government should continue relying on donors, while 1 out of 44 respondents (2%) was not sure of the strategic choice. The researcher then noted arguments for and against ending dependency on donors as a strategic choice for financing education.

5.4.3.1. Arguments for ending or reducing dependency on donors

The researcher noted five main arguments put forward by those who were opposed to government's continued reliance on donor funding in the education sector. The first argument was related to donor power and influence which comes about through conditionalities which they impose on government in exchange of aid. At least eight informants addressed this matter (ID # 20, 2017; ID#1, 2017; ID # 12, 2017; ID # 15, 2017; ID #13, 2017; ID # 24, 2017; ID#37, 2017; ID # 42, 2017). A senior education official from Blantyre argued that "conditions are dictated or imposed on citizen which have negative bearing on our country's citizens." (ID#12, 2017). A parent from Lilongwe noted in agreement that, "Donor aid comes with stringent conditions which sometimes affect the operations of institutions. Secondly, government is forced to adopt system that are not compatible with the socio-cultural situation in Malawi" (ID # 20, 2017). In her response a female donor representative noted that donor support should be minimised from core activities, given that "overreliance on donor aid can also derail government focus on its plans, to donor interests-which are not always aligned to the wider development goals" (ID # 15, 2017). A respondent from a government parastatal based in Zomba observed that "donor conditionalities are in most cases self-serving" (ID#1, 2017). Other respondents specifically alluded to the impact of donor conditionalities on the curriculum. A respondent from Thyolo, said donors liked influencing a curriculum and pointed out that "a curriculum that is donor driven is not able to address the challenges the country faces"(ID # 13, 2017). Also, on donor influence on the curriculum, an NGO leader from Mchinji stated that, "If we continue to be donor dependent, we will never develop an education system that addresses our needs. Donors push their own curricula experiments on us because of this. If we can't train our own post graduate people but always depend on scholarships the same result will come" (ID # 24, 2017). A respondent from Mangochi, concurred that donor conditions did not reflect people's wish. He said, “we need to stop reliance on donors because some donor policies are not in tandem with the reality on the ground, meaning they are not solving the real issues” (ID #37, 2017).

Considering this perspective, a senior education official from Thyolo, summed up saying:

> *“Government should stop dependency on donors because, any donation that a country receives from partners has conditions to be fulfilled. Some of the conditions that are being imposed are not good for the recipient country” (ID # 42, 2017).*

The second argument for ending dependency on donors was that donor aid was not sustainable. On this argument an informant from an international NGO based in Lilongwe observed that donor funding was dwindling and so could not be relied upon (ID # 5, 2017). A senior education official from Blantyre was equally worried with sustainability of government programmes. She said, “issues of sustainability are greatly compromised when we rely on external financing” (ID # 12, 2017). An NGO leader from Mchinji agreed, saying that “depending on donors cannot sustain education programmes. Donors have their own conditions which affect Malawi negatively” (ID # 1, 2017). Finally, a respondent from Mzuzu based NGO said argued that sustainability could not be realised if the country depended on donors. He said, “If sustainability is to be realised, we need to stop relying on donors lest we become lazy” (ID # 9, 2017).

The third argument for ending dependency on donors was related to economic independence and the need for Malawi to be self-reliant following the political independence achieved over 50 years ago. A representative of the teachers’ union based in Lilongwe stated that government ought to stop relying on donors “to avoid dependency syndrome” (ID # 28, 2017). In support of this view an NGO representative from Thyolo alleged that “foreign donors perpetuate dependency syndrome” adding that the donors also “lower down creativity and remove a sense of ownership of development programmes” (ID # 11, 2017). A visibly agitated member of parliament from Mchinji said that dependence on donors was unacceptable especially after the country achieved self-rule from then British colonial government. He added, “Malawi after 53 years should be able to rely on her own and stop overdependence on donors” (ID # 7, 2018). Furthermore, an informant from a religious institution in Lilongwe, simply said, “this dependency must stop, because it has created economic dependency and killed off initiative” (ID # 26, 2017). Finally, an administrator from Lilongwe University of Agriculture and Natural Resources (LUANAR) said it was a joke to rely on donors after independence arguing that

Malawi needed to be economically independent. “I agree government must stop relying on donors. We became independent over 50 years ago. It is a joke we are still beggars till today. This must stop now”, the informant said with a sense of urgency. (ID #38, 2017).

The fourth argument was that dependency on donors kills off creativity, innovation and initiative. Initiating the argument an NGO leader from Lilongwe said that dependence on donors killed creativity by creating unnecessary comfort zone. She said: “Relying on donor aid will never liberate the sector, it will never push the sector to think of more reliable and sustainable ways of resource mobilisation. Aid is an unnecessary comfort zone” (ID #21, 2017). In his stinging argument a parent from Blantyre, while acknowledging that ending dependency should be a long-term goal, he said that dependency on donors did not only kill creativity and innovation, but it also perpetuated white supremacy which had negative effects on then citizenry.

> *In my view ending reliance on donors should be a long goal with measures put in place now. Donor reliance has an adverse effect on the psyche of learners, teachers, parents and the nation at large. In the form it is currently practiced donor dependency robs the nation of agency, initiative and creativity. It promotes a form of white supremacy which creates bigger problems in how Malawians understand citizenship and the country's place in the world* (ID # 23, 2017).

Concluding the argument, a respondent from Bunda in Lilongwe noted that “any progress that is donor dependent is dangerous for development” (ID # 29, 2017).

The fifth argument was that ending dependency on donors would address uncertainty and ensure that education programmes were implemented efficiently with positive outcomes. According to one informant from Blantyre stopping reliance on donor aid would permit policy makers to make proper estimates of funding for development priorities based on available income (ID # 43, 2018). In his submission a Dedza based senior education official said that stopping reliance on donors would end uncertainty and ensure efficiency in programme implementation. He argued: “Government should stop relying on donors because in that way government would ensure that addressing gaps in education programmes is done in a timely manner and with an attitude of ownership” (ID # 31, 2017).

5.4.3.2. Arguments against ending dependency on donors

Respondents who were not in favour of ending dependency on donors also gave several reasons. The first argument was that the country faced financial constraints with limited funding sources. This view was repeated in responses of 10 key informants (ID # 3, 2017; ID # 18, 2017; ID # 8, 2017; ID # 14, 2017; ID # 6, 2017; ID # 44, 2017; ID # 22, 2017; ID # 32, 2017; ID # 33, 2017; ID # 34, 2017; ID # 41, 2017). Explaining their views respondents noted that the country's GDP was small (ID # 16, 2017) amidst "unpredictable economy" (ID #34, 2017), "the country was poor" (ID # 8, 2017) and "was still developing" (ID # 6, 2017; ID # 44, 2017) and therefore, "could not raise enough resources to finance development" (ID # 32, 2017; ID # 33, 2017, resulting into "a huge deficit which will be irreplaceable" (ID #40, 2017).

The views of a representative of UN agencies summed up the concerns of the respondents on this point. He said, "Malawi cannot entirely stop reliance on donors to finance its social services because Malawi has limited options to generate income apart from the traditional means (e.g. tobacco, which is the main forex earner) perhaps we could be talking of stopping door dependency" (ID #22, 2017). A respondent from Blantyre concluded that, "I think foreign aid should complement government's efforts in financing education" (ID # 41, 2018).

The second argument was that education outcomes would be compromised due to funding challenges. An informant from one of the donor agencies observed that an end to donor funding would have "too much impact on the right to education" and therefore, suggested that funds "be better coordinated and harmonised under the government leadership" (ID# 16, 2017). An informant from the Ministry of Education Headquarters agreed, noting that "we have many problems in the education sector from primary up to the university especially with regard to infrastructure which require more resources" (ID#17,2017).

Another informant from the Ministry while concurring with his colleague added that "government cannot sustain all programmes and will continue to depend on donors" (ID # 19, 2017). A civil society leader based in Lilongwe conceded that "there is still not enough resources to finance education. Just imagine that even with teaching and learning materials alone government does not afford to distribute to schools and as a result, learners don't have enough books in the schools" (ID # 27, 2017). Lastly, a teacher training college representative from Dedza summed up by arguing that donor funding was critical for the sector's efficient achievement of education results as it “helps to scale up output of the institution within short space and time” and so “government should not stop relying on donors” (ID # 36, 2017).

The third argument was that ending dependency on donors would transfer the economic burden on the people since they would be burdened with heavy taxes. A respondent from the district assembly in Mzuzu observed that “stopping reliance on donors will result in heavy taxes on citizens to fill the deficit” (ID # 10, 2017).

5.4.4. Results of Qualitative Document Analysis on Strategic Choices

The second objective of the study was to establish if there were differences in education managers’ strategic choices for addressing dependency on donor funding in the education sector in Malawi. During the QDA the researcher examined sampled documents to establish an indication within the analysed document of the goal, purpose, objective or desire to end or reduce dependency on donor aid to finance education and development.

5.4.4.1. Results of Scores on Strategic Choices

A score of high (3) was given to documents that explicitly indicated the desire to end or reduce dependency, while a score of poor (0) was given to documents which had no information. The results of the scores are presented in figure 19.

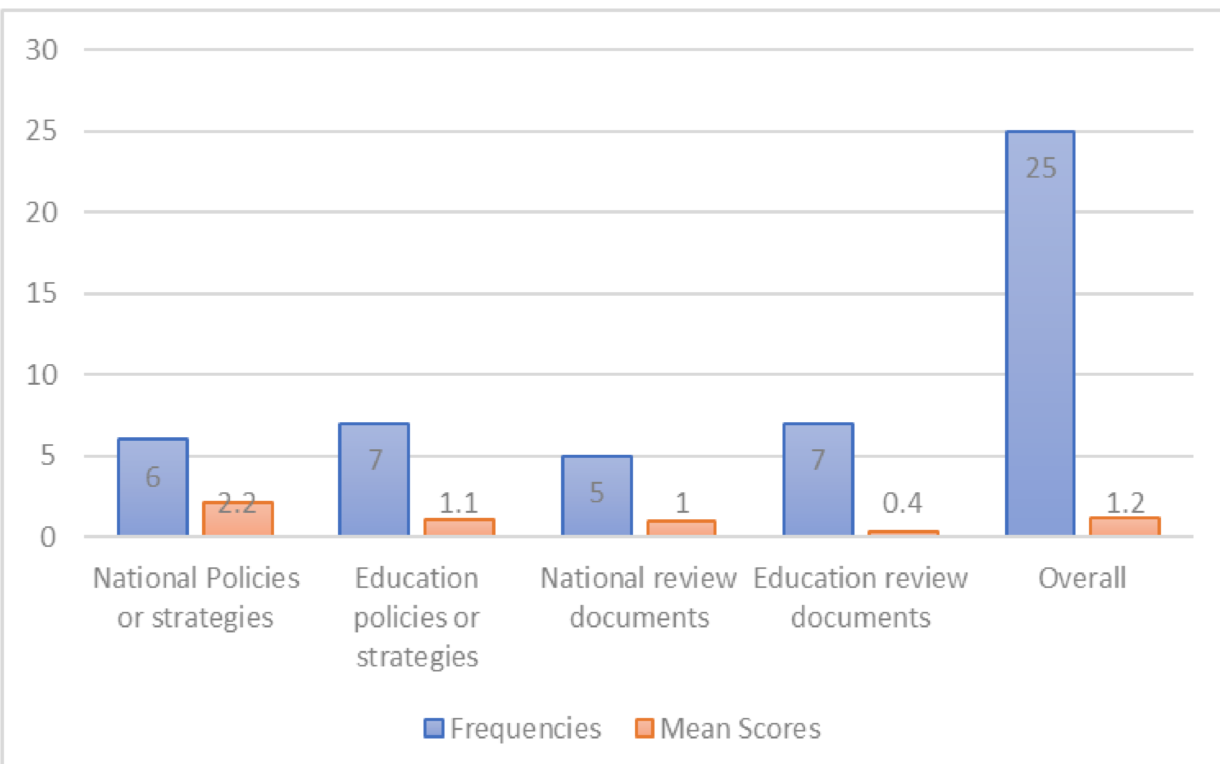

Figure 19: Document scores on managerial strategic choices
Source: The Researcher (2020.

As presented in the figure 19 above, the overall score was 1.2 (low), although it was higher (1.6) for policies and strategies and much lower (0.6) for review documents. 2 out of 6 national polices (33%) scored high; 3 (50%) scored medium and 1 (17%) scored low on strategic choices; for education policies 1 out of 7 (14%) scored high; 5 (71%) scored low and 1 (14%) scored poor on strategic choices. For review documents, at national level 1 out of 5 (20%) had a medium score; 3 (60%) had a low score while 1 (20%) had a poor score on strategic choices; for education documents 1 out of 7 (14%) had a medium score; 1 (14%) had a low score while 5 (72%) had poor score on strategic choices.

5.4.4.2. Emerging Themes under Strategic Choices

There were four themes that emerged from the document analysis in relation to strategic choices. The themes were: 1) End or reduce dependency on donor aid; 2) Mobilise donor aid; 3) Domestic resource mobilisation; and 4) Diversification. These are presented in table 34.

Table 34: Results of Thematic analysis of documents on strategic choices

N	Emerging Themes	Count	Representative quotes from documents
1	End or reduce dependency on donor aid	3	"The strategic options to strengthen the spirit of self-reliance and community participation include reducing and rationalizing government borrowing and donor aid" - *Vision 2020* (National Economic Council of Malawi, 1998: 35)
			"Government will work towards ensuring that aid is reduced as a proportion of the national budget"- *Malawi Development Cooperation Strategy 2014-2018: Making Development Cooperation Work for Results* (GOM, 2014: 12).
2	Mobilise donor aid	9	"The industrial countries and multilateral agencies including the World Bank can strengthen development prospects by enhancing the quantity and quality of external finance. They need to: increase financial support. More financing, both concessional and non-concessional, would greatly strengthen the development effort. Further efforts are needed to provide debt relief. In this regard, Government needs to fulfill all the requirements for the resumption of donor assistance. They need to support policy reform. Donors can initiate policy reforms and also provide additional financing will be far more effective when it supports sound domestic policy reforms"- *Malawi Economic Growth Strategy* (Ministry of Economic Planning and Development, 2004: 18).
			"The role of donors, development and co-operating partners shall be to assist across the board with financial and technical resources to implement the activities outline in the MGDS II. In doing so, they will

			be expected to support and align their activities with the MGDS II priorities"- *Malawi Growth and Development Strategy II* (GOM, 2012: 141).
			"Development assistance will continue to play a key role in supporting Malawi's development objectives and the achievement of the SDGs and other international development frameworks"- *Malawi Growth and Development Strategy III 2017-2022* (GOM, 2017: 2)
			"The education sector continues to receive the biggest share of the national budget which is projected to increase steadily as the country is expected to benefit from the rapid economic growth in the subsequent years. Despite this, the education sector will require increased financial support from the Development Partners in order to meet the national targets. Development Partners are expected to contribute about MK333.7 billion ($417 million) towards implementation of the strategy"- *National Education Investment Plan 2020-2030*(MOEST, 2020: 76-78).
			"Considering fiscal space constraints, donor and private sector support will be required in the short to medium term to boost education investments. In the short-term, domestic and international donor resources are critical to ensuring that the Government can address the huge education financing gap - *2018/19 Education Budget Brief: Towards Improved Education for all in Malawi* (UNICEF, 2019: 14).
3	Domestic resource mobilisation	4	"Mobilization of public and private domestic resources to support development: It is Government's responsibility to mobilize resources for service delivery through of taxes and other receipts from its citizens. Adequate mobilization of Governments' own resources plays a greater role in financing the country's development needs and reducing aid dependency. In turn, Government is more accountable to its citizens for development results"- *Malawi Development Cooperation Strategy 2014-2018: Making Development Cooperation Work for Results* (GOM, 2014: 31).
			"Government of Malawi is strengthening domestic revenue systems in order to improve efficiency and effectiveness of domestic revenue collection in the wake of the declining grants"- *Annual Economic Report 2020* (Ministry of Finance, 2020)
			"To harness domestic financial resources especially from public capital markets in order to effectively finance infrastructure projects using PPPs especially for the flagships"- *Mid Term Implementation Review Report for Malawi Growth and Development Strategy (MGDS) III. Final Draft Report* (National Planning Commission, 2020: 127).
4	Diversification	5	"Additional steps such as investments in energy and transport, and improvements in the business environment could encourage private investment, making the economy resilient to shocks and diversifying the sources of fiscal revenues" – *Public Expenditure Review 2019*(World Bank, 2019: 57).
			"In order to achieve improved resource mobilization, diversifying sources of Government revenue through: review taxation system; widen the range of debt instruments; enhance sources of domestic non-tax revenue; identify new lenders and new borrowing modalities; improve

			the export base; and explore the user pay principle"- *Malawi Growth and Development Strategy II* (GOM, 2012: 185).
			"Diversify and equitably distribute resources for basic education across the nation"- *National Education Plan* (GOM, 2016: 185).

Source: The Researcher (2020).

As presented in the table only 3 documents (12%) expressed the desire to end or reduce dependency on donors, while 9 documents (36%) expressly indicated the desire to mobilise donor aid. Across the documents 4 documents (16%) appealed for domestic resource mobilisation while 5 documents (20%) suggested diversification of government revenue as a strategic choice. Below is a brief description under each emerging theme.

5.4.4.2.1. End or reduce dependency on donor aid

There were 3 documents that expressed desire to end or reduce dependency on donor aid including Vision 2020 (National Economic Council, 1998), and Malawi Development Cooperation 2014-2018 (GOM, 2014). In justifying this strategic choice, Vision 2020 observes that "Malawi is heavily dependent on donors. In addition, Malawians depend on government for the provision of goods and services. This has killed the self-help and hardworking spirit among Malawians. The challenge, therefore, is to inculcate a spirit of self-reliance at national and local level" (National Economic Council, 1998: 34). According to GOM (2014) "government will work towards ensuring that aid is reduced as a proportion of the national budget" (GOM, 2014:12).

5.4.4.2.2. Mobilise donor aid

Under this theme, around one third of the documents (9) analysed expressly indicated the desire to mobilise donor aid. These include MEGS (Ministry of Economic Planning and Development, 2004), MGDS 2 (GOM, 2012), MGDS 3 (GOM, 2017), and NESIP 2020-2030 (MOEST, 2020). According to GOM (2017) "Development assistance will continue to play a key role in supporting Malawi's development objectives and the achievement of the SDGs and other international development frameworks" (GOM, 2017: 2). NESIP 2020-2030 observes that owing to the funding gap to achieve the 10-year plan, "the education sector will require increased financial support from the Development Partners in order to meet the national targets. Development Partners are expected to contribute about MK333.7 billion ($417 million) towards implementation of the strategy" (MOEST, 2020: 78).

5.4.4.2.3. Domestic resource mobilisation

Appeal for domestic resource mobilisation was expressly made in 4 documents including GOM (2012), GOM (2014) Malawi Development Cooperation Strategy GOM (2017) MGDS III and Mid Term Review of MGDS 3 (NPC (2020). NPC (2020) observes the need “to harness domestic financial resources especially from public capital markets in order to effectively finance infrastructure projects using PPPs especially for the flagships” (NPC, 2020: 127).

5.4.4.2.4. Diversification

The theme of “diversification” was expressed in at least 5 documents. For instance, GOM MGDS II (2012) called for “diversifying sources of government revenue” on page 185. MGDS II Review (2016) called for “an urgent need for innovative home-grown solutions”. MOEST 2015 Strategic Plan 2015-2020 suggested the need to identify and diversify financial resources base” and “explore sustainable local alternative sources of funding”. Furthermore, MOEST 2016 (NEP) made a wish to “diversify and equitably distribute resources for basic education across the nation”.

It should be noted that slightly over half of the documents (13) were silent on the overall theme of strategic choice, and therefore adjudged to present no strategic choice on the subject of dependency on donors. The documents included World Bank (2010), MOEST Strategic Plan 2015-2020 (MOEST, 2015), National Education Policy (NEP) (MOEST, 2016), Review of Vision 2020 (NPC, 2019), and UNICEF (2019).

5.4.5. Triangulation of quantitative and qualitative findings in relation to managerial strategic choices in addressing dependency.

In line with the triangulation convergence model (Creswell and Clark, 2003) adopted for the present study, the researcher mixed or compared and contrasted the quantitative and qualitative data that emerged from the descriptive, inferential, pragmatic content analysis and the qualitative document analysis to establish common trends or patterns. The second objective of the study was to establish if there were differences in education managers’ strategic choices for addressing dependency on donor funding in the education sector in Malawi. The research question was, are there differences in strategic choices of managers in reducing dependency on donors in the education sector in Malawi in relation to the manager’s age, gender, education level and institution type?

Descriptive analysis showed differences in strategic choices across age, gender, academic level, and various respondent categories. Findings showed that it was the opinion of the majority of respondents that government should adopt domestic resource mobilization polices and strategies for addressing dependency. 80% of the respondents agreed (strongly and generally) that government should focus more on strategies for mobilizing financial resources domestically rather than depend on external resources from donors to finance the education sector. On the other hand, 14% of the respondents were of the opinion that government should equally pay attention to both external and domestic resources. In terms of gender, more males than females expressed that government should stop relying on donor funding. Findings amongst the age groups, the more youthful groups (20-40 years) preferred for government to stop relying on donors or foreign aid to finance its education programmes while the older groups (41-100 years) preferred that government should continue relying on external aid. At institutional level, on average 51.6% of respondents representing various institutions thought that government should stop relying on donor aid compared to 48.4% who thought otherwise. Majority of respondents from secondary schools, university, NGOs, and MPs thought that government should stop reliance on donors or foreign aid. On the other hand, majority of respondents from primary schools, government organizations and donor agencies thought the reliance on donors should continue. Thematic analysis showed that at least 55% of the stakeholders wished that government consider stopping reliance on dependence on donor funding.

From inferential statistics, the Pearson Product Moment Correlation test showed that there was difference in correlation between the variables. There was a positive correlation with statistical significance for two variables, i.e., gender and age; but there was negative correlation for the other two variables of academic qualification and stakeholder institutional type. There was no statistical significance for all the categories. The Chi-Square test results showed the pi-values (ρ-value) for gender (1.678), age (17.706), education level (33.620) and respondent institution type (57.195) were found to be different and above the significance level of 0.05.

From the pragmatic content analysis arising from the interview schedule, differences were noted about the respondents' strategic choices in addressing dependency. Results of the analysis showed that it was the strategic choice of slightly more than half of respondents (represented by 55% or 24 out of 44 respondents) that government should stop end or reduce reliance on donors. On the other hand, 19 out of 44 respondents (representing 43% of key informants) were of the express choice that government should continue relying on donors, while 1 out of 44 respondents

(2%) was not sure of the strategic choice. From the qualitative document analysis arising from qualitative document checklist, 3 out of 25 documents analyzed (12%) expressed the desire to end or reduce dependency on donors, while 9 documents (36%) expressly indicated the desire to mobilize donor aid.

From the triangulation convergence model perspective, the data sets show convergence in two ways. Firstly, both quantitative and qualitative data sets have demonstrated that respondents have shown ***differences in strategic choices for addressing dependency*** on donor funding in the education sector. For survey questionnaire and interview schedule the differences are in terms of age, gender, academic level and respondent institution type. For the document checklist, there are differences across document categories (national, education level, policy, strategy or review documents). The following stakeholders consistently showed government should stop reliance. These are males, more youthful age groups, and respondents from secondary schools, university, NGOs, and MPs thought that government should stop reliance on donors or foreign aid. The following stakeholders thought that government should not consider stopping (e.g. primary school teachers, government officials, donors, and males, older respondents). As such there is need for time to sensitize and change the attitude of these people. Secondly, both quantitative and qualitative data sets have demonstrated that in general, it is the strategic choice from most to reduce or end dependency on donors (51.6% from descriptive, 55% from thematic (average 53% from personal participants), but only 12% documents for ending versus 36% for continuing) and with majority preferring domestic resources mobilization (80%) versus 14% opting for both donors and domestic sources.

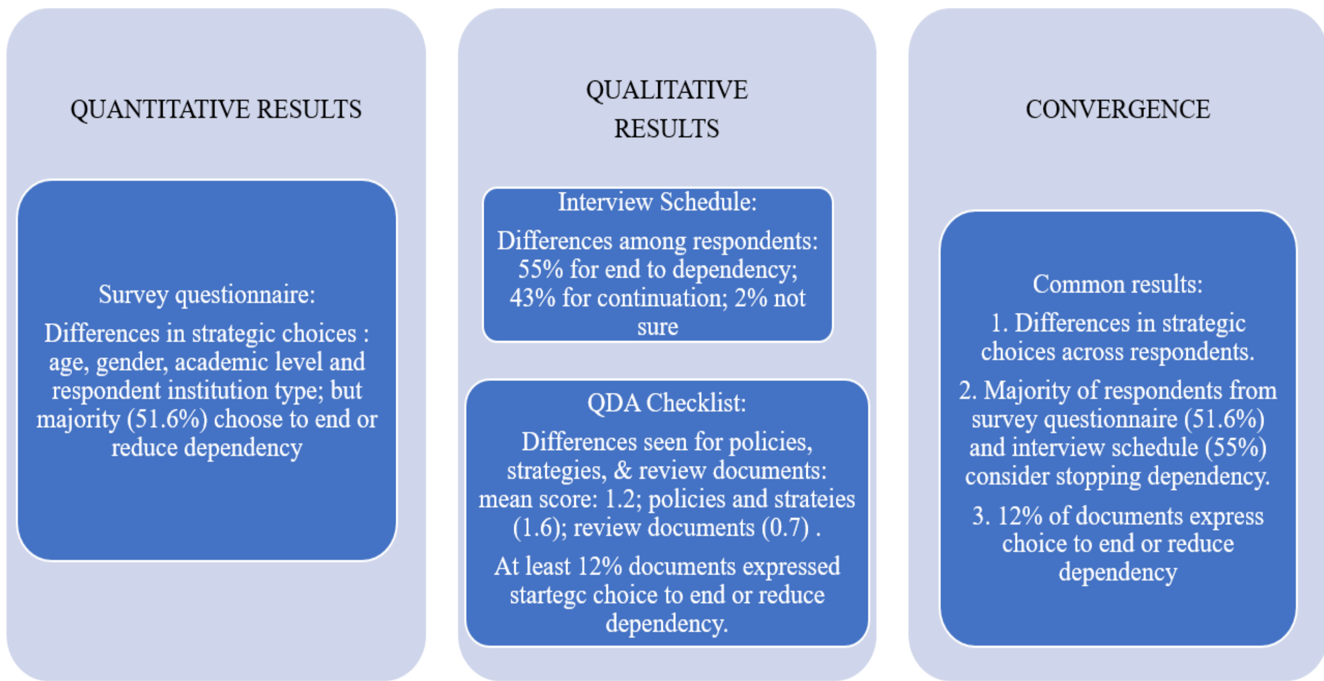

Figure 20: Results of data triangulation for objective 2 on strategic choices
Source: The Researcher (2020).

5.5 Presentation of data for objective 3 on Factors contributing to disequilibrium between policy and outcome

The third objective of the study was to discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi. This was done by reviewing the financing strategies and seeking respondents' opinions on performance of education institutions (primary, secondary and tertiary) to establish the factors negatively affecting efforts to address dependency. The key question for this objective was, which factors contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi? During data analysis responses from the study were aligned to the following sub-themes: sources of funding in education institutions, funding gaps, availability of institution strategy, type of support received from government, stakeholder perception of government performance and factors attributed to the state of performance. Results of the analysis are presented in relation to four levels of analysis employed including: descriptive, inferential, and pragmatic content analysis and qualitative document analysis levels.

5.5.1. Results of Descriptive Statistics

Descriptive statistics were presented in percentiles and means on perception of level of government performance, sources of funding and type of support received from government (MOEST) to tackle dependency.

5.5.1.1. Sources of Funding

Respondents to the survey questionnaire were asked to indicate the main sources of funding from prescribed sources i.e. government subvention, donors, school fees, individuals and community contributions. Results showed that across institutions the following were the main sources in order of ranking: government subvention (35.1%), donors (20.8%), community (20.8%), school fees (16.4%), and individuals (3.2%), as presented in figure 21.

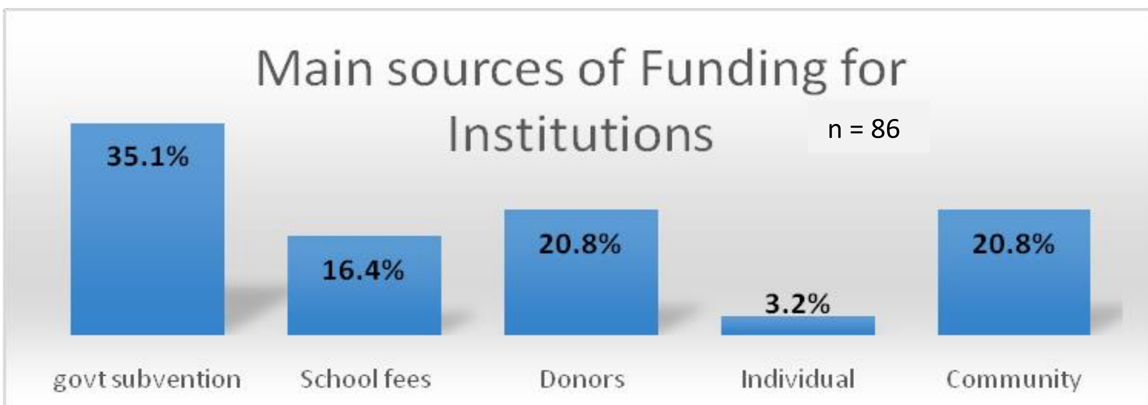

Figure 21: Main Sources of funding for education institutions

Source: The Researcher (2020).

In general, it was observed that 62% of those respondents who cited donors as source of funding indicated that donor share amounted to at least 31% of their total funding, with 36% stating that donor funding accounted for at least 51% of their sources. Other sources were alumni, hire of services and consultancies but these were at a minimal level. At primary level, respondents' data showed that the main sources of funding were government subventions (42%), community contributions (37%) and donors (21%), as presented in figure 22 on page 132.

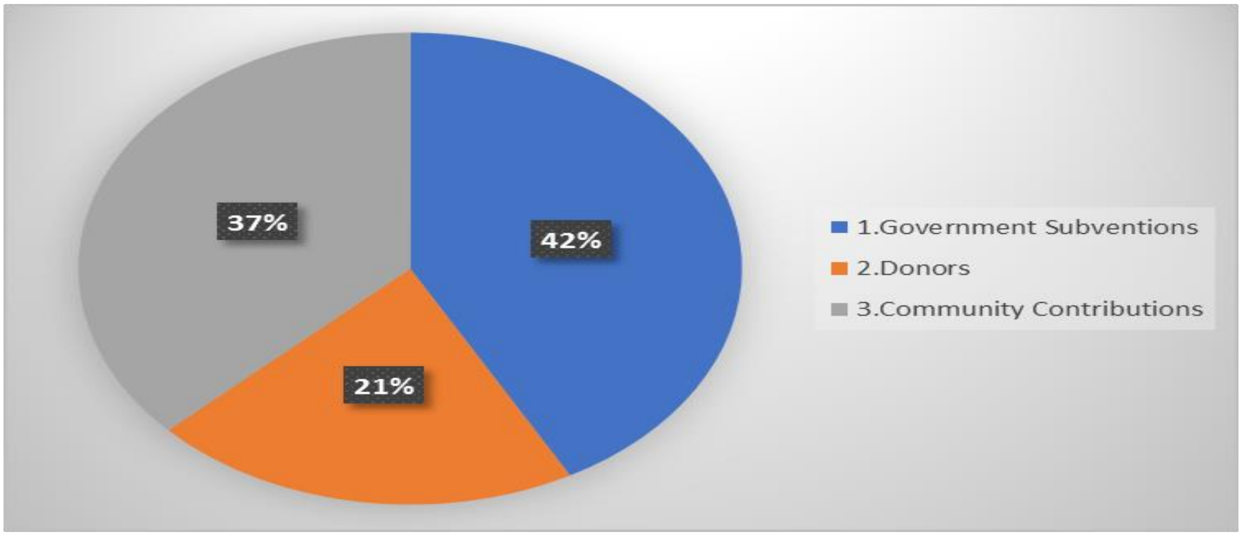

Figure 22: Sources of funding at primary level

Source: The Researcher (2020).

At secondary level, the main sources included government subventions (41%), fees (45%), alumni (5%), and community contributions (9%) as illustrated in figure 23.

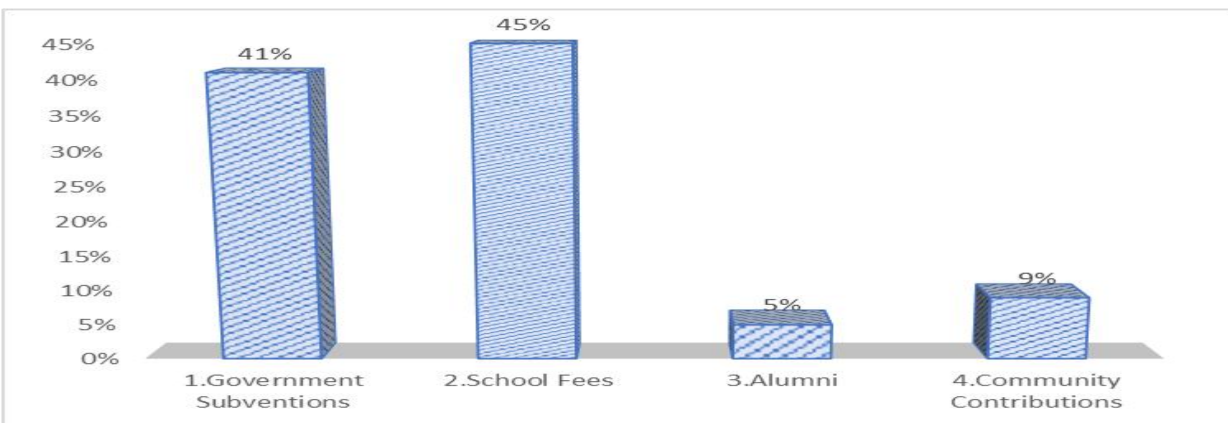

Figure 23: Sources of Funding at Secondary Level

Source: The Researcher (2020).

At tertiary institutional level, the sources of funding were government subventions (50%), donors (25%), hire of services (12.5%) and consultancies (12.5%). See figure 24.

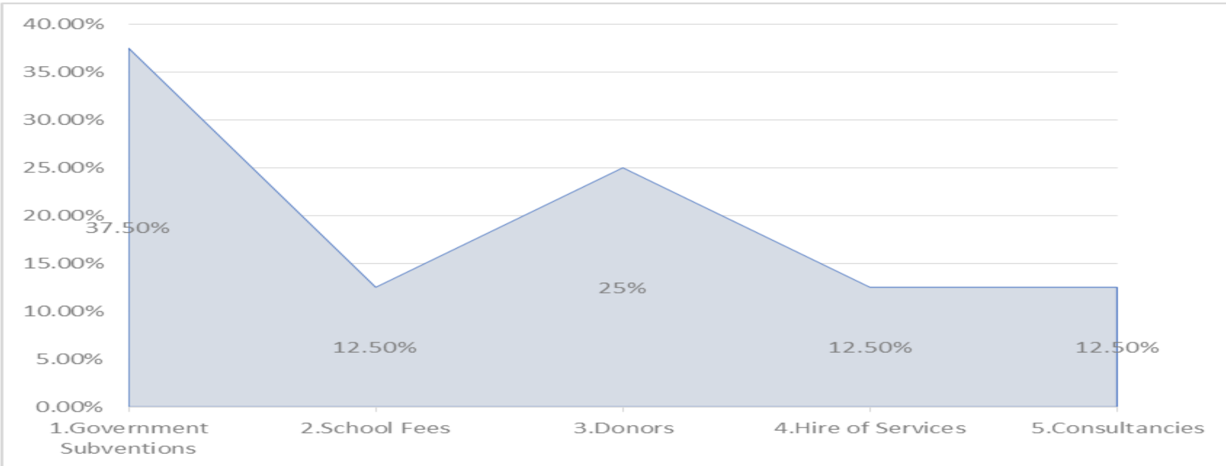

Figure 24: Sources of funding at Tertiary level

Source: The Researcher (2020).

Further analysis of institutional sources of funding showed that there was very high dependency from external sources of financing among the education institutions as shown in figure 25.

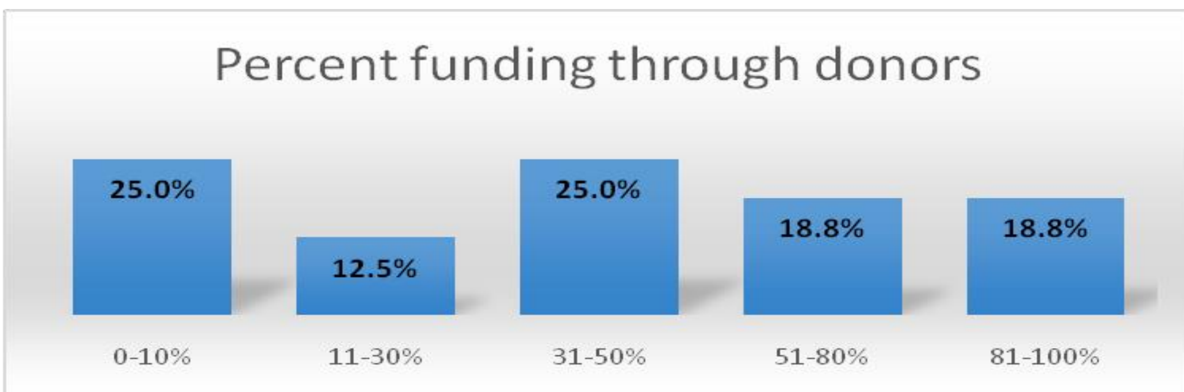

Figure 25: Proportion of funding through donors.
Source: The Researcher (2020).

Information from respondents showed that 63% of the education institutions were 100% dependent on external resources as they were unable to generate any percent beyond 0% from local or domestic sources. Only 28% of institutions stated that they generate between 1 to 25% of their resources locally. Furthermore, 2% stated that they generated between 25-50% locally, while 4% generated between 50-75% and 2% generated between 75-100% locally. Refer to table 35, which gives statistics relating to percentage of funds raised by public institutions from domestic/local resources.

Table 35: Percentage of funds raised from domestic sources

Institution Type	Percent Funds Raised				
	0%	1-25%	25-50%	50-75%	75-100%
Primary School	53.6%	32.1%	10.7%	0%	3.6%
Secondary school	58.3%	33.3%	0%	0%	8.3%
College	50.0%	50.0%	0%	0%	0%
University	80.0%	0.0%	0%	20%	0%
Govt. Org (Ministry, Dept. Division etc.)	75.0%	25.0%	0%	0%	0%

Source: The Researcher (2020).

From the table above, 85.7% of primary schools indicated that they raised between 0 to 25% of their resources locally, more than half (53.6%) of which raised 0% of resources locally. 10.7% raised between 25 to 50% of their resources locally, while only 3.6% reported that they raised between 75-100% of their resources locally. 92% of secondary schools raised between 0 to 25% of their resources locally, and more than half of them (58.3%) of which raised 0% of the resources locally. According to respondents from secondary schools, 8.3% reported that they raised between 75-100% of their resources locally. 100% of the colleges raised between 0 and 25% of resources locally of which half (50%) was at 0% and the other half between 1 to 25%. 80% of university respondents said they raised 0% from local sources while 20% was between 50 to 75%. 100% of government institutions raised between 0 to 25% of resources domestically of which 75% was at 0%.

5.5.1.2. Funding gaps in the education institutions

According to data in the education institutions (primary, secondary and tertiary) the average annual funding gap in 2013 was 37% and the same for 2014; the gap was 39% in 2015 and 42% in 2016, as shown in figure 26.

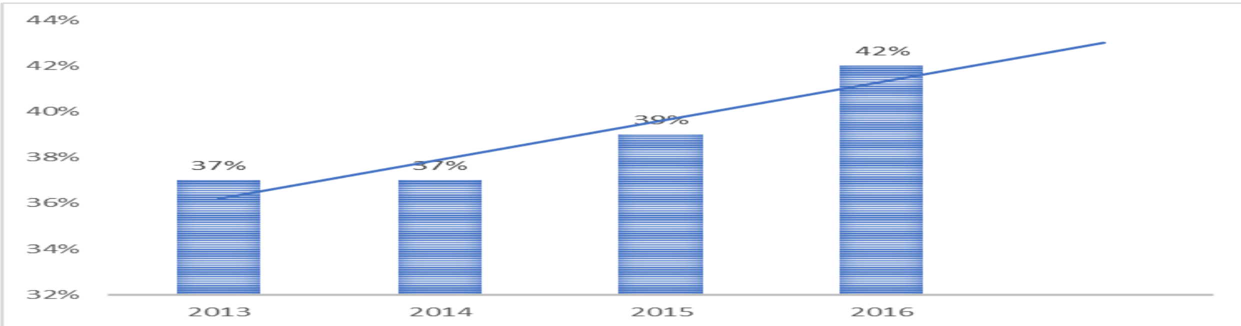

Figure 26: Annual funding gaps in sampled education institutions from 2013 to 2016

Source: The Researcher (2020).

5.5.1.3. Institution strategy and Type of Support received from MOEST to address dependency

Respondents were asked to state whether their institution had a long-term investment strategy for mobilising resources, or a special business unit responsible for resource mobilisation. 88% of primary schools and 100% of secondary schools did not have any investment strategy. In addition, 96% of primary schools and 90% of secondary schools reported that they did not have a special unit responsible for resource mobilisation. Furthermore, only 28% of government /ministry institutions reported having a strategy while 100% of them said they did not have a special unit for resource mobilisation (table 36).

Table 36: Existence of long-term investment strategy and business unit

	Institutions that have a long term (3-5 years or more) investment strategy for mobilizing financial resources			Institutions that have a special business/investment unit and personnel for purposes of raising funds for the activities	
	Have (%)	Don't have (%)	Not sure (%)	Have (%)	Don't have (%)
Primary School	11.1	88.9	0	3.7	96.3
Secondary school	0	100	0	10	90
College	0	100	0	50	50
University	50	50	0	50	50
Govt. Org (Ministry, Dept. Division etc.)	28.6	71.4	0	0	100

Source: The Researcher (2020).

Respondents from the education institutions were also asked to indicate the type of assistance received from Ministry of Education, Science and Technology (MOEST). According to data the types of support included financial support, and strategies, technical support and training in financial management and corporate governance. No training was provided in innovation management. The results are presented in table 37.

Table 37: Type of assistance received from MOEST

Type of Assistance received	Primary School	Secondary school	College	University	Govt. Org
Dev. of Financial Policies and strategies	3.2%	30.8%	0.0%	0.0%	28.6%
Financial support (cash transfer to schools)	61.3%	30.8%	50.0%	50.0%	42.9%
Technical Support	0.0%	15.4%	0.0%	0.0%	0.0%
Innovation training	0.0%	0.0%	0.0%	0.0%	0.0%
Financial mgmt. training	12.9%	15.4%	0.0%	50.0%	28.6%
Training school mgmt. in corporate governance	12.9%	7.7%	50.0%	0.0%	0.0%

Source: The Researcher (2020).

When asked to state whether the support provided by MOEST to the institutions to address financial challenges, and tackle dependency was sufficient, 93% of the respondents stated it was insufficient, while 3.5% said it was sufficient and 1.8% said it was poor as 1.8% said they received no such support. See figure 27.

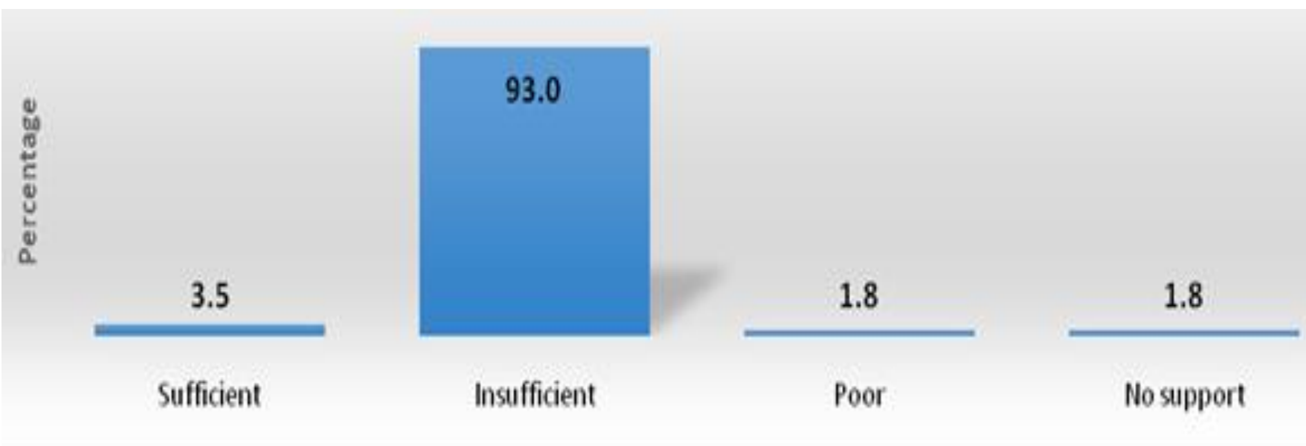

Figure 27: Respondents Perception on Sufficiency of Support from MOEST
Source: The Researcher (2020).

Furthermore, while majority of respondents described the support provided by MOEST as insufficient, the level of sufficiency was different across respondents from various institutions. As shown in table 38, it was at 100% insufficient from 4 out of respondents from 6 categories who respondent to the question i.e. secondary school, university, government and NGOs. It was 92.9% for primary schools. Finally, it was at 50% for Colleges.

Table 38: Level of sufficiency of support received from government

Support description	Primary School	Secondary school	College	University	Govt. Org	NGO
Sufficient	3.6%	0.0%	50.0%	0.0%	0.0%	0.0%
Insufficient	92.9%	100.0%	0.0%	100.0%	100.0%	100.0%
Poor	3.6%	0.0%	0.0%	0.0%	0.0%	0.0%
No support	0.0%	0.0%	50.0%	0.0%	0.0%	0.0%

Source: The Researcher (2020).

5.5.1.4. Respondents 'Perception on whether government strategies were effective in addressing donor dependency

Stakeholders were asked to indicate whether government strategies were either effective, not effective or had no idea. The results are presented in table 39.

Table 39: Whether government strategies are effective in addressing dependency on donors.

	Primary head teachers		Secondary head teachers		Principals		Other stakeholders	
	Freq	%	Freq	%	Freq	%	Freq	%
Yes	3	11.1	1	8.3	0	0.0	6	15.8
No	22	81.5	10	83.3	5	71.4	30	78.9
No idea	2	7.4	1	8.3	2	28.6	2	5.3
Mean	**9.0**	**33.3**	**4.0**	**33.3**	**2.3**	**33.3**	**12.7**	**33.3**

Source: The Researcher (2020).

According to the data presented in the table above, among primary school head teachers, 11.1% perceived government strategies as effective, while 81.5% perceived the strategies as not effective, and 7.4% had no idea. Among secondary school head teachers, 8.3% perceived government strategies as effective, 83.3% ineffective, and 8.3% had no idea. Among college principals, 0% perceived government strategies as effective, 71.4% ineffective and 28.6% had no idea. Among other stakeholders (government, donors, NGOs, MPs), 15.8% perceived government strategies as effective, 78.9% as ineffective and 5.3% had no idea. Furthermore, 78.6% of respondents from government institutions considered the strategies ineffective.

Amongst NGOs, 82.6% perceived government strategies as ineffective, while among donors 50% perceived the strategies as ineffective and among members of parliament 100% thought the strategies were ineffective.

At gender analysis level, 82.1% of male respondents and 73.7% of female respondents perceived the strategies as ineffective. At age group level, 100% of three age categories (20 years or less, 21-30 years or less, and 81-100 years) perceived that government strategies as ineffective. 87.5% of those in the age category of 31-40 years perceived government strategies as ineffective while 75.9% of those in age category of 41-60 years and 66% of those in age group 61-80 years perceived government strategies as ineffective.

5.5.1.5. Descriptive statistics on factors affecting implementation of strategies for addressing donor dependency

5.5.1.5.1 Stakeholder awareness of strategies and policies for addressing donor dependency.

Respondents were asked if they were aware of existence of government financing policies being implemented in the education sector to address donor dependency. Results showed that 56.6% were aware, while 41% were not aware and 2.4% had no idea, as illustrated in table 40.

Table 40: Respondents 'awareness of existence of government financing policies and strategies being implemented in the education sector

Knowledge	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Overall
Aware	39.3%	50.0%	50.0%	75.0%	61.5%	69.6%	100.0%	100.0%	56.6%
Not aware	60.7%	50.0%	50.0%	25.0%	30.8%	26.1%	0.0%	0.0%	41.0%
No idea	0.0%	0.0%	0.0%	0.0%	7.7%	4.3%	0.0%	0.0%	2.4%

Source: The Researcher (2020).

5.5.1.5.2. Stakeholder perception of integration of innovation in financing strategies and improvement policies

Respondents were asked to express their agreement or disagreement with the declaration: "Innovation is adequately integrated in the education sector financing strategies and improvement policies". Results showed that while 50% of respondents strongly (9.6%) and generally (39.8%) agreed that innovation was adequately integrated in the education sector (see table 54) only 12.2% thought government had succeeded in mainstreaming innovation while the majority (56.1%) said government had not succeeded (table 41).

Table 41: Whether stakeholders agree or disagree that innovation is integrated in education strategies and policies

Opinion	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Overall
Strongly Agree	11.1%	10.0%	50.0%	0.0%	7.1%	8.7%	0.0%	0.0%	9.6%
Strongly Disagree	11.1%	10.0%	0.0%	0.0%	14.3%	8.7%	50.0%	100.0%	12.0%
Generally agree	51.9%	40.0%	50.0%	50.0%	21.4%	34.8%	50.0%	0.0%	39.8%
Generally disagree	7.4%	20.0%	0.0%	25.0%	50.0%	21.7%	0.0%	0.0%	20.5%
Not sure/aware	18.5%	20.0%	0.0%	25.0%	7.1%	26.1%	0.0%	0.0%	18.1%

Source: The Researcher (2020).

A follow - up question related to innovation was whether the respondents thought that government had succeeded in mainstreaming innovation in strategies for addressing dependency in the education sector. According to responses, 12.2% of respondents acknowledged that government had succeeded in in mainstreaming innovation in strategies for addressing dependency in the education sector. On the other hand, 56.1% declared that government had not succeeded while 37.1% expressed that they had no idea. The results are expressed in Table 42.

Table 42: Respondents opinion on whether government has succeeded in mainstreaming innovation in strategies for addressing financial dependency

Opinion	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Overall
Succeeded	22.2%	10.0%	0.0%	0.0%	7.1%	9.1%	0.0%	0.0%	12.2%
Not succeeded	48.1%	30.0%	100.0%	50.0%	78.6%	54.5%	100.0%	100.0%	56.1%
No idea	29.6%	60.0%	0.0%	50.0%	14.3%	36.4%	0.0%	0.0%	31.7%

Source: The Researcher (2020).

5.5.1.5.3. The level of financial management in the education sector

Respondents were asked to express their opinion on the level of financial management in education institutions. According to results, around 53% of respondents considered that the level of public finance management in the education sector was medium (44%) to high (9%) while 46% thought it was low (37%) to poor (9%). Refer to table 43.

Table 43: Stakeholders Perception on the level of financial management within MOEST

Level	Primary School	Secondary school	College	University	Govt. Org	NGO	Donor institution	MP	Overall
High	14.3%	20.0%	0.0%	0.0%	7.7%	0.0%	0.0%	0.0%	8.6%
Medium	39.3%	40.0%	100.0%	25.0%	76.9%	38.1%	0.0%	0.0%	44.4%
Low	32.1%	30.0%	0.0%	75.0%	15.4%	52.4%	100.0%	0.0%	37.0%
Poor	10.7%	10.0%	0.0%	0.0%	0.0%	9.5%	0.0%	100.0%	8.6%

Source: The Researcher (2020).

When asked to express their opinion on the extent to which financial management practices in the education institutions address donor dependency only 6.3% males and 5.9% females considered the level as high, while 35.9% males and 35.3% females considered it low as 50% males and 41.2% females considered it medium and 7.8% males and 17.6% females considered it ineffective as presented in figure 28.

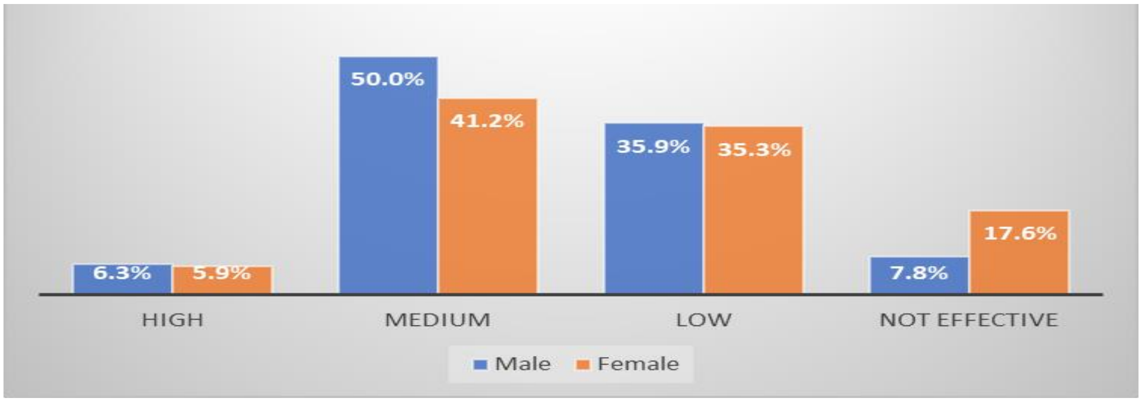

Figure 28: Respondents opinion on the extent to which financial management practices in the education institutions address donor dependency.

Source: The Researcher (2020).

5.5.2. Results of Inferential Statistical Analysis

Statistical testes were done to establish the nature and strength of relationship between gender, age, institutional type and the respondents' institution type on their perception on effectiveness of government strategies in addressing dependency. The results are presented in the following sub-sections.

5.5.2.1. Results of the Correlation Test

The researcher carried out the Pearson Product Moment Correlation test to establish if there was correlation between gender, age, academic qualification and institution type and respondent's perception on effectiveness of government strategies in addressing dependency on donor funding in the education sector. The results of the test are presented tables 44, 45, 46 and 47.

Table 44: Perception of effectiveness of government strategies versus gender

		Effectiveness	Gender
Perception of effectiveness of government strategies	Correlation Coefficient	1.000	0.104
	Sig. (1-tailed)		0.172
	N	86	86
Gender	Correlation Coefficient	0.104	1.000
	Sig. (1-tailed)	0.172	
	N	86	86

Source: The Researcher (2020).

Observation: There was a positive correlation (correlation coefficient rS= 0.104);

Not statistically significant (p =0.172).

Table 45: Perception of effectiveness of government strategies versus age group

		Effectiveness	Age group
Perception of effectiveness of government strategies	Correlation Coefficient	1.000	-0.080
	Sig. (1-tailed)		0.232
	N	86	86
Age group	Correlation Coefficient	-0.080	1.000
	Sig. (1-tailed)	0.232	
	N	86	86

Source: The Researcher (2020).

Observation: There was a negative correlation (correlation coefficient *rS*= -0.080) between age group and strategy effectiveness which was not statistically significant (p =0.232).

Table 46: Perception of effectiveness of government strategies versus qualification

		Effectiveness	Academic qualification
Perception of effectiveness of government strategies	Correlation Coefficient	1.000	0.018
	Sig. (1-tailed)		0.435
	N	86	86
Academic qualification	Correlation Coefficient	0.018	1.000
	Sig. (1-tailed)	0.435	
	N	86	86

Source: The Researcher (2020).

Observation: There was a positive correlation (correlation coefficient *rS*= 0.018);
Not statistically significant (p =0.435).

Table 47: Perception of effectiveness of government strategies versus institution type

		Effectiveness	Institution type
Perception of effectiveness of government strategies	Correlation Coefficient	1.000	-0.092
	Sig. (1-tailed)		0.202
	N	86	86
Institution type	Correlation Coefficient	-0.092	1.000
	Sig. (1-tailed)	0.202	
	N	86	86

Source: The Researcher (2020).

Observation: There was a negative correlation (correlation coefficient *rS*= -0.092);

Not statistically significant (p =0.202).

5.5.2.2. Results of Chi-Square Test

A Chi-square test was also conducted to examine the association between gender, age, education level and respondent category with respondent's opinion on their perception of effectiveness of government's strategies in addressing dependency on donor funding in the education sector. Using the Chi-square test, variables were checked if the expected responses tallied with the observed responses from the experiments.

Using SPSS v.25, a Pearson chi-square test was conducted, and results were obtained as presented in table 48.

Table 48: Chi-Square test results on respondents' characteristics and perception on effectiveness of government strategies in addressing dependency.

	Gender	**Age**	**Education level**	**Respondent institution type**
Pearson chi square	1.850	5.038	7.645	14.431
df	2	10	12	14
Asymptotic Sigf.	.397	.889	.812	.418

Source: The Researcher (2020).

The results showed the pi-values (**ρ-value)** to be .397, .889, .151 and .418 for gender, age, education level and respondent institution type respectively and were all above the significance level (**α)** of 0.05.

5.5.3. Results of Pragmatic Content analysis: Factors contributing to disequilibrium between policy and outcome

It should be recalled that the third objective of the study was to discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi. Pragmatic Content analysis from interview schedule produced results in three sub-themes, namely a) government strategies were effective, b) government strategies were not effective, and c) contributing factors to government failure to implement strategies for tackling dependency and increasing funding for education and disequilibrium between policy and outcome. These results are expressed in table 49.

Table 49: Factors contributing to disequilibrium between policy and outcome

SN	Sub-themes	Representative Comments
a	Government strategies were effective	"Yes, the strategies are effective, because MoEST gets a lion's share from the national budget in Parliament every year. It is one of the top three ministries given the biggest budget trying to reduce dependency on donors" (ID #41, 2017).
b	Government strategies were not effective	"Strategies are not effective because the finances are not enough", (ID #33, 2017).
		"Government strategies are not effective because government is still struggling to meet the demands of public education by giving little from the budget. For instance, there is less effort to build the much-needed infrastructures to meet the growing demand" (ID #43, 2018).
		"We still have instances where donors, NGOs, private sector and other well-wishers are hugely financing our education programmes including printing of books, radio education programmes, education scholarships, constructing teachers houses/classroom blocks etc. This is quite disturbing as the country needs to show seriousness in the education sector to guarantee a learned generation capable of championing development" (ID #3, 2017).
		"The fruits of such effort are not seen especially when standards for education continue to decline" (ID #44, 2017).
c	Contributing factors to disequilibrium	"Financial management is low because of inadequate knowledge and expertise in financial management within MOEST" (ID #37, 2017).

		"There is not any awareness of activities that can change the mindset of the people to be self-reliant" (ID #34, 2017).
		"The general mindset in the public sector is that government must provide for the financial needs of the sector. Most institutions still look up to government for financing their activities" (ID # 1, 2017).
		"The strategies are more of paperwork than actual practical implementation on the ground" (ID #10, 2017).
		"I think institutions are not given an availing or motivating environment to think and act independently. I think public participation, understanding and helping implement policies is very low" (ID # 29, 2017).

Source: The Researcher (2020).

The results in the table above are described in the sub-sections that follow below.

5.3.3.1. Respondents 'opinion on whether government strategies were effective in addressing dependence on donor aid in the education sector.

Findings from the analysis showed that 43 out of 44 respondents thought that government strategies were not effective in addressing dependency in the education sector. Only 1 out of the 44 respondents said the strategies were effective. The researcher also noted evidence highlighted by respondents to suggest that the strategies were not effective and discussed reasons why strategies were not effective as presented in the following sub-sections.

5.5.3.2. Evidence to demonstrate that strategies were not effective

Respondents provided several reasons to suggest that the strategies were not effective. One respondent pointed out that the country's GDP was still very low. He said, "GDP is very low compared to the vast population. Consequently, income is not increased, and business goes as usual" (ID#16, 2017). Another respondent from a UN agency stated that "the financial envelope (education budget) is inadequate to address challenges in the education sector" (ID#22, 2017). In agreement, other respondents (ID#19, ID#53, ID#11, 2017) explained that there were inadequate resources available to support the education sector. "Strategies are not effective because the finances are not enough", indicated a female head teacher from one of the schools in Blantyre (ID#33, 2017). Another respondent from the same district, concurred, pointing out that, "government strategies are not effective because government is still struggling to meet the demands of public education by giving little from the budget. For instance, there is less effort to build the much-needed infrastructures to meet the growing demand" (ID#43, 2018). Due to the low GDP and inadequate budget donors were being involved in financing the education sector. On this point, an NGO leader based in Lilongwe observed that, "we still have instances where donors, NGOs, private sector and other well-wishers are hugely financing our education programmes including printing of books, radio education programmes, education scholarships, constructing teachers houses/classroom blocks etc. This is quite disturbing as the country needs to show seriousness in the education sector to guarantee a learned generation capable of championing development" (ID #3, 2017). One of the district education managers (DEMs) from the central region highlighted that the ineffectiveness of government strategies was being seen in that most programmes in basic education were donor driven (ID # 31, 2017). A northern region-based NGO manager acknowledged that "we normally depend on donor funding for most of our projects" (ID # 9, 2017). An NGO informant from Mchinji noted that the donor dependency was also seen in curriculum development which was an issue of concern. He said, "Government has been dependent on external support for such things as curriculum design. Yet, this is a core duty of a country. It's an issue of concern because donors push their own curricula. There is no levy or special tax to support education" (ID # 24, 2017).

A donor representative observed that while there was some local capacity seen in mobilising recurrent expenditures which were financed through government resources, infrastructure projects were dependent on donor support. "Government strategies are effective because the recurrent expenditures are based on local capacity to generate income. However, there is still some financial dependency as can be seen from government failure to expand the school facilities due to inadequate /unavailability of development funds" (ID # 32, 2017). A respondent from Dedza was visibly worried with the situation arguing that "most of the funds are from donors, therefore becoming ineffective approach and putting the sector in danger, when donors withdraw aid" (ID # 4, 2017). Other informants pinpointed that there was little impact on the ground. For example, a head teacher from a primary school in Thyolo said that his school was "still having inadequate classrooms, desks, toilets, teachers houses and teaching and learning resources, which are needed to facilitate smooth teaching and learning" (ID # 14, 2017). A troubled parent from Lilongwe stated that while primary education was free, schools were still asking for payments from parents to cater for their children's education. He said, "schools still require children to pay school funds, yet it is supposed to be free primary education. Without the funds, schools would be in a much dire situation. Government's macroeconomic policies are not effective in addressing financial dependency in the education sector largely owing to a lot of corruption that is bleeding government resources and government's failure to exact fair taxes from multinationals who have a lot of resources they use to evade and avoid taxes" (ID # 6, 2017). A Lilongwe-based respondent from a religious institution which owns a lot of public schools was worried that, "quality of education remains low, that is why I think the strategies are not effective" (ID #26, 2017). To crown it all, a manager from one of the public universities, based in Zomba, said poetically, that "the fruits of such effort are not seen especially when standards for education continue to decline" (ID#44, 2017).

5.5.3.2.3. Explanations as to why the government strategies were ineffective

The respondents also gave out reasons in explaining why they thought government strategies were ineffective. Several respondents especially head teachers from primary and secondary schools indicated that they were not aware of any strategies that government had put in place to address dependency on donors. For example, a head teacher from a community day secondary school in Thyolo pointed out that "I think like that because there are no clear strategies by government other than the school fees paid by students" (ID #14, 2017). An NGO manager from Mchinji said, "as a nation we would have known of the strategies but as of now there are no strategies" (ID # 35, 2017). An official from one of the donors based in Lilongwe said, "currently there is no strategy with a solid resource mobilization tool, let alone one aimed at reducing financial dependency. Therefore, government remains highly dependent on donors to finance its strategies/programmes" (ID # 15, 2017). One senior manager from the Ministry of Education headquarters in Lilongwe confessed that the ministry did not have a stand-alone strategy for domestic resource mobilisation aimed at reducing dependency on donors (ID#17, 2017).

The other reason given by respondents to explain why they thought government strategies were not effective in tackling dependency was weak implementation of existing strategies. One of the explanations related to this reason was that the ministry of education was not adequately funded to implement the strategies. He said, "The ministry is not adequately funded to implement the strategies. The strategies may be effective, but funding is not adequate" (ID #19, 2017). This explanation was corroborated by a head teacher from Dedza who complained that "some institutions have no resources for generating finances especially in schools" (ID # 30, 2017). A respondent from the District Assembly in Mzuzu said lack of implementation was a problem, highlighting that "the strategies are more of paperwork than actual practical implementation on the ground" (ID #10, 2017). Another respondent from the teacher's unions said the problem was that "the strategies are not implemented effectively" (ID #28, 2017). Other respondents faulted government failure to raise enough revenue from fees due to control by government and lack of willingness by the public. On this point Chairman of one of the public universities said, "government is controlling the raising of tuition fees for (university) students" (ID #20, 2017). A manager from a public university in Lilongwe opined that part of the control was related to lack of conducive environment. He said, "I think institutions are not given an availing or motivating environment to think and act independently. I think public participation, understanding and helping implement policies is very low" (ID # 29, 2017). A senior manager from the ministry of education said the users were to blame on the strategy of cost-sharing. "There is little contribution from the users. As a result, cost sharing is not effective" (ID # 17, 2017).

Respondents also noted that implementation of strategies was weak due to lack of willingness to support resource mobilisation efforts by education institutions (including parastatals) due to mindset problem. An interesting response came from a respondent who is heading one of the parastatals in Zomba, who said, "the general mindset in the public sector is that government must provide for the financial needs of the sector" (ID # 1, 2017).

Another respondent said the mindset was made worse by political or selfish reasons. "I think that government strategies are themselves effective in addressing dependency, but what I find a problem with is the people implementing. The efforts are either misguided or frustrated intentionally for personal or political gains" (ID # 41, 2017).

5.5.3.3. Factors contributing to ineffectiveness of government strategies in addressing dependency in the education sector.

Furthermore, during interviews, it was established that several factors were at play in terms of this perception. The first factor was awareness of government financing policies and strategies. The level of awareness was considered not strong enough. According to statistics, 56% of respondents stated that they were aware while 41% said they were not aware of the policies. The second factor was related to macroeconomic policies. In general, 56% of the respondents indicated that the country's macroeconomic policies and strategies were ineffective in addressing dependency. The third factor was corporate governance and financial management. Data showed that while 70% of the respondents thought the level of corporate governance in the education sector was good, 50% thought its influence in addressing dependency was low or ineffective.

Moreover, most of the respondents thought that financial management capacity within the Ministry of Education was weak and this came out strongly with interviews with ID#s24, 25, 34, 32, 37, 41, and 44). According to respondents, weak financial management status was demonstrated by three main issues. The first issue was perceived weak capacity to plan and implement. The second issue was perceived abuse of resources. The third issue was perceived lack of, or limited accountability of resources spent in the education sector. While some respondents noted positive steps in strengthening financial management capacity, several others pointed to weak capacity in the sector. A male respondent from the Ministry of Finance Treasury Department indicated that the Ministry of Finance, had deployed financial compliance officers to MOEST who were making sure that the Ministry had enough capacity to comply with rules. The respondent then stated that "MOEST is now on top of things" (ID #18, 2017). Another respondent, a female, from one of the donor agencies acknowledged that "systems and rules are in place" (ID#15, 2017).

However, with regard to weak capacity to plan and implement there were several allegations raised by informants which included planning and allocation challenges (ID#15, 2017; ID #31, 2017)), slow implementation of public financial management reforms (ID#16, 2017), record keeping challenges (ID#19, 2017), few qualified personnel (ID#37, 2017; ID#22, 2017), funding delays (ID#43, 2017; ID#34, 2017) and failure to absorb funds received (ID#41, 2018). On the issue of planning, a female manager from one donor agency said, "although systems and rules are in place, the challenge with MOEST starts from planning. The plans don't always tally with the institution's strategic goals and therefore, resources are not always appropriately allocated /spent" (ID#15, 2017). Another donor faulted the ministry due to slow implementation as he stated, "needed reforms are slow to be implemented from the onset of policy formulation" (ID# 16, 2017). On record keeping a senior government official from MOEST headquarters noted that "Record keeping still remains a challenge and this attracts audit queries, though not much and are easily cleared off" (ID # 19, 2017). Furthermore, several respondents spoke on issues with personnel. A civil society district representative from Mangochi observed that "Financial management is low because of inadequate enough knowledge and expertise in financial management within MOEST" (ID#37, 2017). A representative of a UN agency concurred with the lack of personnel capacity especially at lower levels, by stating that "there are few qualified financial experts especially at district and school level and most managers have not been trained in financial management" (ID # 22, 2017). Lack of fund absorption capacity was also observed as a weakness by an NGO manager from Blantyre who said "in most financial years MoEST has failed to use up all the funds allocated to the ministry, a sign of low level of financial management" (ID # 41, 2018).

The sector was also perceived as weak by respondents due to cases of abuse or misuse of resources as alleged by ID#27,2017, ID # 28,2017, ID#40,2017, ID#10 and ID#17. For instance, one NGO manager lamented that "school improvement grant is reported to be highly misused" (ID#27,2017). An informant from the teacher's union was blunter, saying, "there is mismanagement of financial resources in the ministry. There is therefore need to improve financial systems; and monitor financial resources "(ID#28,2017). Corruption is one form of resource abuse coming out strongly in interviews with ID #s 24,2017; 25,2017; 31,2017; 39,2017; and 40,2017). According to a representative of a civil society network, "financial management capacity is medium because there is too much wastage of limited resources through corruption and fraud. In addition, mis-procurement of contracts in education undermines the Ministry's capacity to manage the resources prudently" (ID#40, 2017). According to a private sector representative from Mchinji, there was almost nothing being done to curb corruption. He alleged, "the government is doing nothing in fighting corruption" (ID#25, 2017).

However, the abuse is said to go beyond the ministry of education and involved the government (ID#3, 2017). The informant coming from an NGO coordination network, said: "The issue of financial management goes beyond the ministry. I do not think people can trust the ministry and dislike other government ministries. Government must demonstrate that it can exercise prudence in the utilization of resources. Unfortunately, this must be earned and not to be asked for. Moving forward, the best scenario would be to have all stakeholders (whose trust in government has waned of late) assisting the education sector with financial, material, and technical support to come together and establish a basket fund, for various activities of the sector. The fund's PMU must be at the ministry, but capable of making independent decisions. This will ensure that all resources coming to the sector are utilized for services (ID#3, 2017).

Inadequacies in accountability also came up in interviews as evidence of weak financial management capacity. One informant from donor agencies observed that "there is low financial management capacity because sometimes government fails to account for donor funded programmes e.g. pool fund collapsed due to this factor" (ID#32, 2017). Another informant who is a parent/guardian observed limited accountability in administration of school fees, school funds and the decentralisation process. He said: "Financial management is low, because primary and secondary schools require students to pay "school fund" and "school fees" which have very little accountability. The decentralization process that devolves budgets and funding to district and city assemblies are also facing accountability problems" (ID#23, 2017).

The fourth factor mentioned was related to the level of financial diversification. 53% of respondents thought that the level of diversification of funding sources in the education sector was poor or bad and the majority (63%) thought financial diversification was failing to have an impact in tackling dependency.

Furthermore, analysis of interviews showed that 29 out of 44 participants (representing 66%) were of the view that innovation was not successfully mainstreamed in the education sector to address dependency. 14 out of 44 participants (representing 32%) were either not sure or could not state whether the ministry had mainstreamed innovation while only 1 out of 44 participants (representing 2%) expressed being sure that innovation was mainstreamed in the education sector strategies for addressing dependency. The participant who was sure about mainstreaming of innovation in the sector cited such examples as reforms such as outsourcing of catering and accommodation services in public universities (UNIMA) and the delinking of UNIMA as some of the examples of innovation. He said:

> *"I think that innovation is taking place because for instance at tertiary level, the reforms government is implementing such as outsourcing catering and accommodation (hostels) services to private institutions, the introduction of self-sponsored student admissions and the delinking of colleges of UNIMA to establish new universities are some examples to demonstrate that innovation is taking place in the education sector*" (ID #22, 2017).

On the other hand, the informants who were dissatisfied with levels of innovation in the education sector gave several reasons including the continued dependency on donor funding, lack of clear strategies, mechanisms and plans for innovative financing for the sector and resistance to accommodate new ideas. For instance, at least two informants pointed out that fruits of innovation were not visible (ID # 3, 2017; ID # 44, 2017). Two donor representatives blamed the environment of either giving little room for innovation (ID #16, 2017) or not accommodating new ideas (ID # 15, 2017). Said one of the donors: “Innovative ideas have not been sufficiently mainstreamed in the strategies. They remain standard, not considering new ideas and ways of doing things and don’t effectively address the problem of dependency” (ID # 15, 2017).

Senior education officials from three district assemblies of Blantyre, Mchinji and Thyolo (ID # 12, 2017; ID#34, 2017; ID# 42, 2017) expressed lack of knowledge of any strategies to mainstream innovation in the education sector. One of them said frankly, “There is not any awareness of activities that can change the mindset of the people to be self-reliant” (ID # 34, 2017). Another official simply stated: “I have no knowledge of this” (ID # 12, 2017). Two officials from the Ministry of Education Head office while acknowledging limited innovation in the education sector explained that some of the challenges to innovation included “interference of politics in education matters” (ID # 17, 2017) and restrictions in the budgeting process which “make it not easy to introduce any new activity in the budget” (ID#19, 2017). Other informants blamed the ministry of education for “lack of interest in innovation” (ID # 34, 2017) and conducting “business as usual” (ID # 29, 2017). Because of failure by the ministry of education to mainstream innovation in strategies for addressing dependency on donors, government was said to be exploring limited sources of funding (ID # 32, 2017) and was therefore “much reliant on donor aid” (ID#25, 2017), with education institutions faced with “less resources” (ID # 28, 2017). Moreover, government also created second form of dependency where education institutions (primary, secondary, and tertiary) became dependent on government subventions (ID#1, 2017; ID#44, 2017; and ID # 36, 2017). “Institutions are still dependent on government for funding almost all operations of academic institutions” alleged one parent who at the time of the interview was Chairperson of Council of one of the public universities in Malawi (ID #20, 2017).

To summarise the informants’ views on the extent of innovation in the education sector, let’s consider the following quote from one of the leaders of NGO networks based in Lilongwe:

> *“My view is that fruits of such initiatives should be visible in the running of the education sector in Malawi. Unfortunately, I get more of rhetoric as opposed to achieving intended results in the education sector. In fact, the situation is getting*

worse in some primary schools, with rampant cries of people that free education is not real in Malawi, just an example" (ID #3, 2017).

5.5.4. Results of Qualitative Document Analysis on Contributing Factors

The third objective of the study was to discuss factors contributing to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi. During the QDA, documents were analysed on the extent to which they provided information on factors contributing to failure to implement strategies or policies in general and factors related to tackling dependency in particular. A scorecard was undertaken to establish the documents' intensity in addressing the research objective, while thematic analysis was undertaken to establish emerging themes or factors.

5.5.4.1. Results of Document scores on Contributing Factors

A high score (3) was given to documents that that gave more details around this thematic area, and especially in line with the theoretical and conceptual framework. A poor score (0) was given to documents which provided little or no information on contributing factors. Results of the scores are presented in the figure 29.

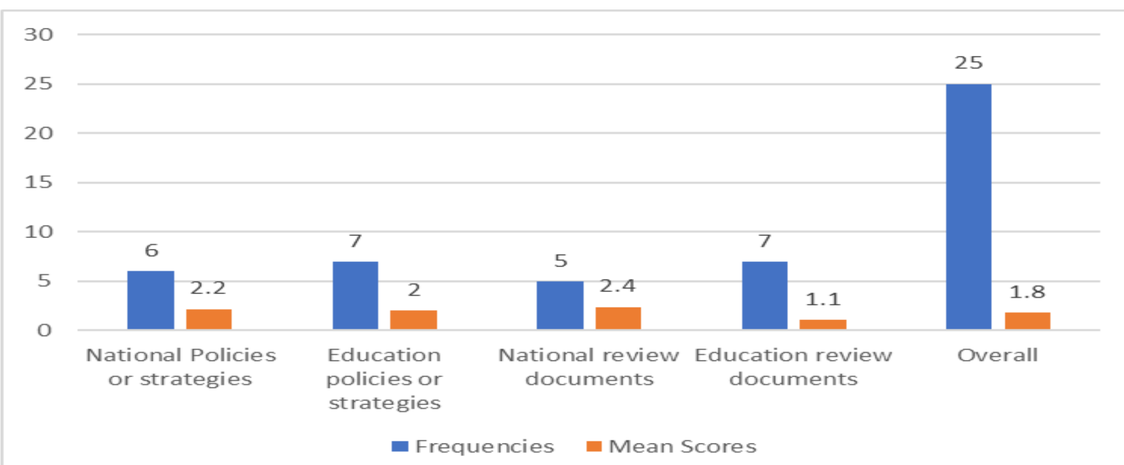

Figure 29: Document scores on contributing factors
Source: The Researcher (2020).

As seen in the figure above, the overall score across documents was 1.8 (which could be categorised as low to medium), while it was 2.1 (medium) for policies and strategies and 1.7 (low to medium) for review documents. A detailed analysis showed that for policies and strategies, 2 out of 6 (33%) scored high; 3 (50%) scored medium, and 1 (17%) scored low. For education policies or strategies 1 out of 7 (14%) scored high; 3 (43%) scored medium, and 2 (28%) scored low on factors. On the other hand, for review documents, at national level 2 out of 5 (40%) had high score and 3 (60%) had medium score. For education related documents, 2 out of 6 (33%) had a medium score while 4 (66%) had low score and 1 (17%) had poor score.

5.5.4.2. Emerging Themes from Document Analysis around Contributing Factors

Emerging themes from the analysis included public finance management, macroeconomic conditions, human capacity gaps, coordination, data/ICT limitations in data collection to inform decision making, policy /regulatory environment and natural factors/disasters. The emerging themes are presented in table 50.

Table 50: Factors contributing to disequilibrium between policy and outcome

N	***Themes***	***Count***	***Sub-themes (where applicable)***
1	Public financial management	16	Corrupt practices; Weak management systems; Delays in disbursing funds meant for school improvement grants; Leakage of resources meant for schools.
2	Macroeconomic conditions	8	Poor, unstable, weak, macroeconomic conditions; Weak economic growth; High debt; High interest rates; Low environment for doing business
3	Human capacity gaps	8	Shortage of personnel and skills; Weak institutional set up; low capacity in school management and leadership;
4	Coordination	8	Weak coordination and collaboration; Poor public private cooperation and dialogue; aid coordination problems.
5	Data/ICT Limitations	7	Lack of data, poor data and information to aid decision making
6	Policy/ regulatory environment	6	Gaps in policy/strategy, lack of awareness, lack of continuity, lack of enforcement
7	Natural factors	6	Floods, drought, strong winds, hailstorms, landslides, earthquakes, pest infestations, disease outbreaks, fire, accidents, refugee influx and civil strife

Source: The Researcher (2020).

These themes presented in the table above, are briefly described as follows.

5.5.4.2.1. Public financial management

One of the emerging themes from the document analysis was weak public financial management with a general feeling that corruption is rampant in workplaces both private and public. This theme was reflected in 13 documents including GOM (2005), MGDS 1; GOM (2014) Malawi DCS; MOEST 2020 (NESIP), NPC 2019 Review of Vision 2020, World Bank PER, MOEST 2017 review of NESP and CSEC 2017. CSEC 2017 highlights that “Financial management issues which have negatively affected education service delivery: corrupt practices, weak management systems, delays in disbursing funds meant for school improvement grants, and leakage of resources meant for schools”.

5.5.4.2.2. Macroeconomic conditions

From the emerging themes, a positive macro-economic environment is required; but the documents point to poor, unstable, fragile, weak, macroeconomic conditions negatively affecting sustainable economic growth. For instance, it was noted in GOM (2005) that the main macroeconomic indicators remained unsatisfactory with the increase in domestic debt stock as a major setback). Another document, GOM (2017), referred to “poor and unstable macroeconomic environment” as one of the factors hindering growth. The issue is also highlighted in NPC (2019) and World Bank (2019).

5.5.4.2.3. Human capacity gaps

Human capacity gaps is another emerging theme from the document analysis. Shortage of personnel and skills to implement strategies and policies is highlighted in the documents as one of the factors hindering implementation of policies and strategies. While MOEST (2015) noted the need to develop human resource capacity by ensuring adequate number of personnel with requisite knowledge skills and competences, MOEST 2017 pointed out that “capacity at central levels of the ministry of education is still weak in terms of numbers, skill sets, leadership and institutional set up”. MOEST (2020) highlighted that “low capacity in school management and leadership is also affecting delivery of education”.

5.5.4.2.4. Coordination

Several documents hinted at challenges in coordination as affecting implementation of policies and strategies. The documents included GOM (2004), MOEST (2016), MOEST (2015), highlighted “weak coordination and collaboration among stakeholders in the education sector especially at ministerial level”. Other document pointed towards “poor public private cooperation and dialogue” (GOM, 2004) and “aid coordination problems” (GOM, 2016).

5.5.4.2.5. Data/ICT limitations

The theme relating to Data or ICT limitations was highlighted in a least 7 documents analysed. MOEST (2015) called for "having up to date ICT in place to support departments operations". MOEST (2017) highlighted that "data reliability is an issue that has been raised both within MOEST and by Development Partners". MOEST (2020) pinpointed "poor data and information including inadequate information on the effectiveness of reforms and costs and returns on investment in operational programming". MOEST (2020) mentioned "limited availability of data for evidence-based teacher education decision making". NPC (2020) noted "lack of data to facilitate planning and decision making".

5.5.4.2.6. Policy/regulatory environment

From the thematic analysis the "policy/regulatory environment" as emerging theme was demonstrated by gaps in policy/strategy, lack of awareness, lack of continuity, lack of enforcement. GOM (2012) highlighted "lack of awareness of policies", while GOM (2017) pinpointed lack of continuity of policies and programmes due to politicization of planning and implementation of programmes during political transitions. MOEST 2008 (NESP) highlighted the need to "put in place relevant policies and strategies due to lack of coherent policies and clear strategies to address overwhelming demand". NPC (2019) faulted weak macro-fiscal framework while World Bank (2019) hinted that "poor economic policies have played a critically important role with the government maintaining higher expenditure levels despite lower incomes". MOEST (2020) noted "absence of higher national qualification frameworks to align the delivery of local context and international standards". One critical consideration documented in the MEGS (GOM, 2004) was the need to "reduce bureaucracy and stop policy reversals". Noting gaps in curriculum, Vison 2020 suggested "introducing entrepreneurial subjects in curricula" (National Economic Council of Malawi, 1998) while GOM (2004) made suggestion to "introduce vocational and technical and business management courses at primary and secondary school levels".

5.5.4.2.7. Natural factors (emergencies, weather shocks)

Last but not least, natural factors were highlighted in the analysed policy documents as posing problems to policy or strategy implementation. (GOM 2005) noted that "low and stagnant yields have been influenced by a "dependence on rain fed farming which increases vulnerability to weather related shocks" among other challenges. GOM (2012) noted that "unfavourable weather conditions and natural calamities of disasters that can derail agricultural production in the country" are among the risks and challenges to the economy. Furthermore, the document highlighted that the disasters which included floods, drought, strong winds, hailstorms, landslides, earthquakes, pest infestations, disease outbreaks, fire, accidents, refugee influx and civil strife, "eroded the ability of the national economy to invest in key social sectors which are important to reducing poverty" (GOM, 2012:73). World Bank (2019) specially notes that "ongoing vulnerability to adverse weather and policy-induced shocks have led to a deteriorating fiscal performance" (World Bank, 2019: 24). Education sector policies/strategies also noted the challenge of the external shocks. For instance, MOEST (2014) noted that "Malawi is prone to natural disasters primarily related to climate variability and Change" (MOEST, 2014: 21).

5.5.5. Triangulation of quantitative and qualitative findings in relation to factors contributing to the disequilibrium between policy and outcome.

The third objective of the study was to discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi. The research question was, which factors contribute to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi? In line with the triangulation convergence model (Creswell and Clark, 2003) adopted for the present study, the researcher mixed or compared and contrasted the quantitative and qualitative data that emerged from the descriptive, inferential, pragmatic content analysis and the qualitative document analysis to establish common trends or patterns.

Descriptive statistics from survey questionnaires showed that 88% of primary schools and 100% of secondary schools did not have any investment strategy. In addition, 96% of primary schools and 90% of secondary schools reported that they did not have a special unit responsible for resource mobilisation. Furthermore, 93% of the respondents stated that support provided by MOEST to the institutions to address financial challenges and tackle dependency was insufficient. In addition, 56.1% of the respondents declared that government had not succeeded in mainstreaming innovation in strategies for addressing dependency in the education sector.

Furthermore, 35.9% males and 35.3% females rated as low the extent to which financial management practices in the education institutions addressed donor dependency while only 6.3% males and 5.9% females rated it as high.

Pragmatic content analysis from interview schedule showed that 56% of respondents were aware of government policies and strategies while 41% said they were not aware of the policies. In addition, 56% of the respondents indicated that the country's macroeconomic policies and strategies were ineffective in addressing dependency. Thirdly, while 70% of the respondents thought the level of corporate governance in the education sector was good, 50% thought its influence in addressing dependency was low or ineffective. Fourthly, 53% of respondents thought that the level of diversification of funding sources in the education sector was poor or bad and the majority (63%) thought financial diversification was failing to have an impact in tackling dependency. Furthermore, 66% of participants were of the view that innovation was not successfully mainstreamed in the education sector to address dependency.

Moreover, qualitative document analysis from content analysis checklist showed contributing factors included public finance management, macroeconomic conditions, human capacity gaps, coordination, data/ICT limitations in data collection to inform decision making, policy /regulatory environment and natural factors/disasters.

In light of the triangulation convergence model applied in the study it was observed that there was convergence around the following factors which are common to both quantitative and qualitative data sets: weak public finance management, unfavourable macroeconomic environment, lack of strategy, human capacity gaps, failure to mainstream innovation. However, other factors which emerged from one set of the data include lack of awareness of policies and strategies, lack of support from ministry, weak coordination, data/ICT limitations, unfavourable legal/policy environment and natural disasters.

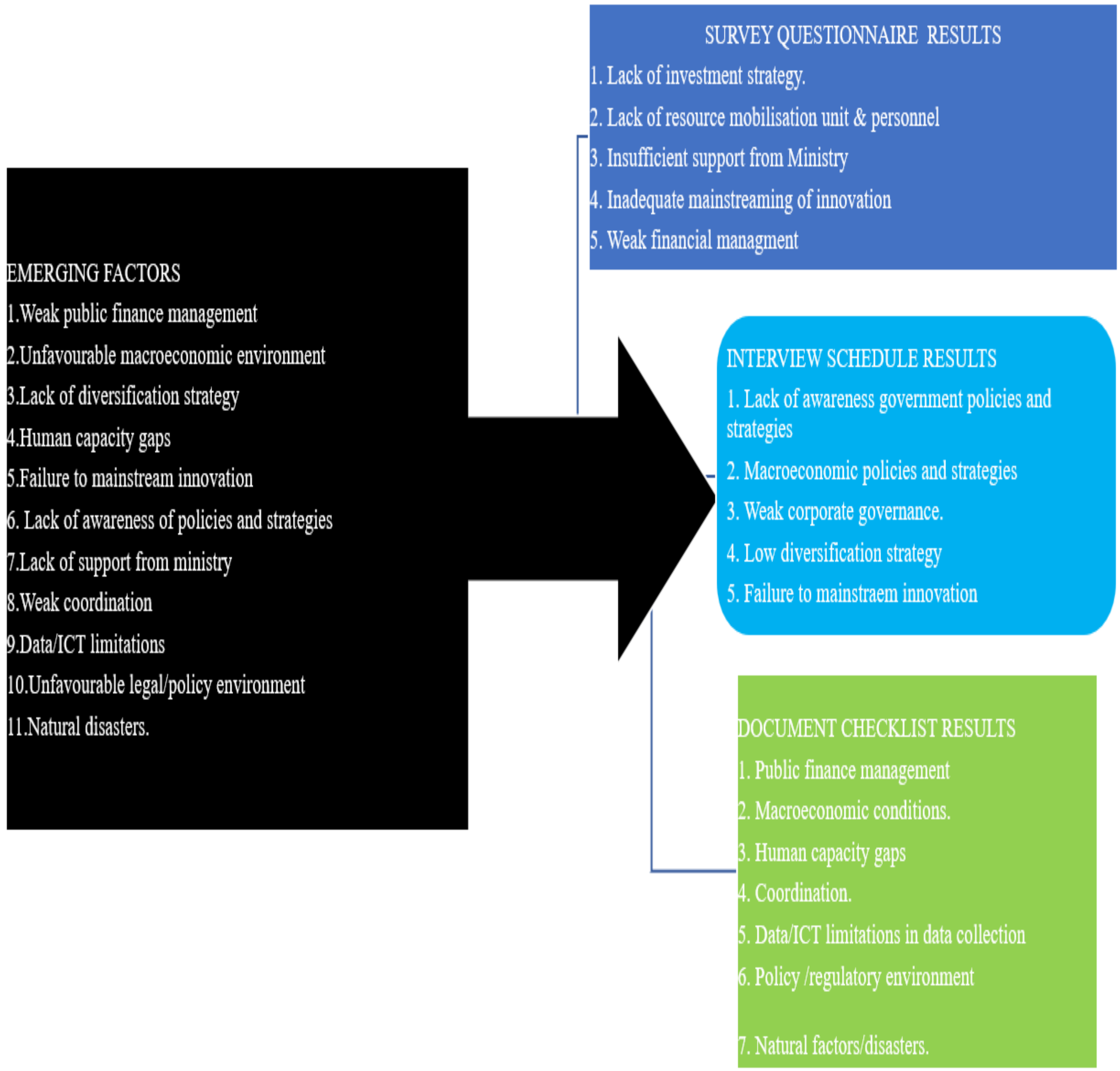

Figure 30: Triangulation of factors contributing to disequilibrium between policy and outcome.

Source: The Researcher (2020).

5.6 Presentation of data for objective 4 on identifying funding strategies with potential to reduce dependence on donor aid in the education sector

The fourth objective of the study was to identify funding strategies which have potential to reduce dependence on donor aid in the education sector in Malawi. The research question was, which funding strategies have potential to reduce dependence on donor aid in the education sector in Malawi? To address this question, respondents were asked to suggest strategies which could contribute more towards increased resource mobilization for education.

5.6.1. Results of descriptive analysis

Respondents ‘opinion was sought on their preference of selected emerging innovative financing strategies for education. The selected emerging strategies were: a) debt conversion bonds, b) Special levies such as education, c) sale of products and services, d) voluntary contributions for education (like PTA/SMC funds, alumni funds and diaspora funds, and e) establishment of special education trust funds (e.g. girls education fund, inclusive education fund). Results showed that 6.7% of respondents preferred debt conversion bond while 19.6% preferred special levels and 13.5% preferred sale of products and services. Moreover, those preferring corporate social responsibility were 21.5% while those preferring voluntary contributions amounted to 17.8% and those supporting establishment of education trust fund were 20.2%. Refer to figure 31.

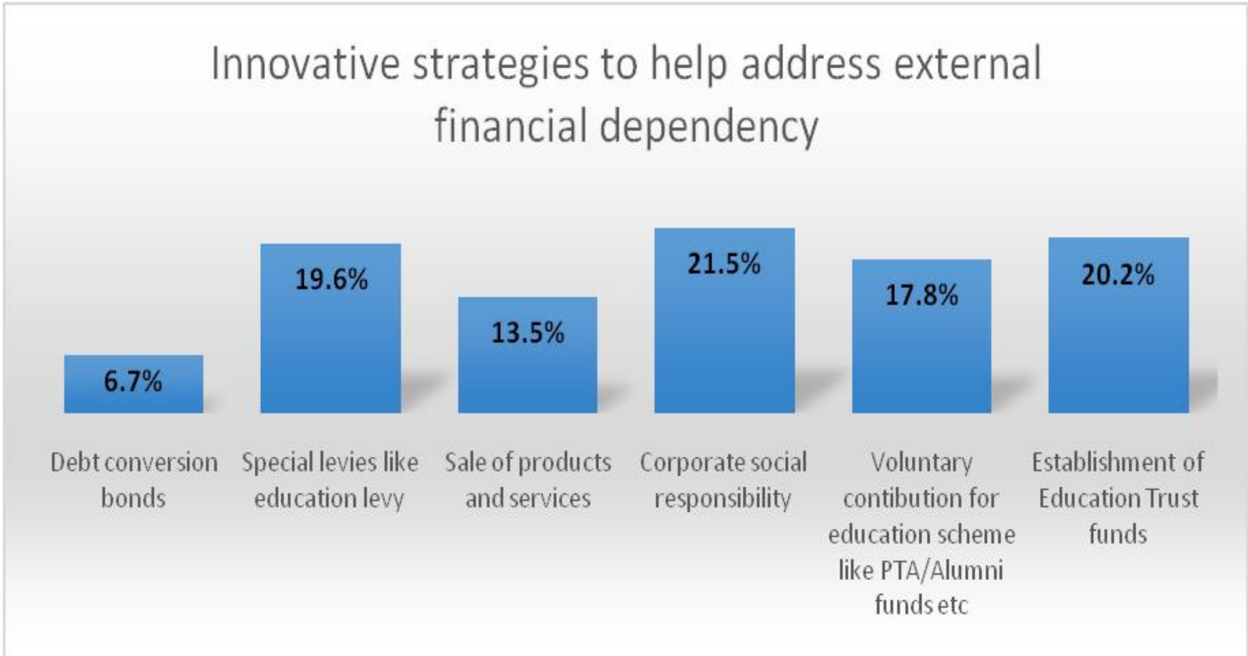

Figure 31: Respondents’ preference on emerging innovative strategies to address external financial dependency

Source: The Researcher (2020).

5.6.2. Results from Pragmatic Content Analysis: Strategies to reduce dependency on donors

During interviews, respondents were asked to propose strategies which they thought could address the dependency syndrome. Results of the pragmatic content analysis are presented in table 51.

Table 51: Thematic analysis of strategies to tackle dependency and increase funding

SN	Proposed Strategies (sub-themes)	Comments from Respondents
a	Fees and cost sharing	"Raising of fees is one of the effective strategies for increasing financial autonomy in higher education" (ID # 20, 2017)
		"Cost sharing must be encouraged for secondary schools and colleges" (ID#40, 2017)
b	Special levies	"I recommend introducing a small levy to support the much growing demand" (ID # 43, 2018)
c	Taxation	"Advocate for abolition of tax holidays for investors and more budget tracking for education funds" (ID # 21, 2017).
		"Increase the tax base" (ID # 40, 2017)
d	Basket Fund	"Moving forward, the best scenario would be to have all stakeholders assisting the education sector with financial, material, and technical support to come together and establish a basket fund, for various activities of the sector" (ID # 3, 2017)
e	Aid grants and loans	"Increase aid or grants and loans at various institutions" (ID # 30, 2017).

f	Education Trust Fund	“First, I recommend creation of Education Trust fund as an effective strategy to deal with the dependency on donors in financing the education sector” (ID # 42, 2017).
g	Corporate social responsibility	“In addition, I recommend corporate social responsibility as a measure to increase funding for education and address the dependency on donors” (ID # 42, 2017).
h	Sensitisation of schools	“Government should sensitize schools the importance of income generating activities in the schools” (ID # 6, 2017)
i	Financial Management	“There is need to improve management to reduce wastage. For example, some people are paid salaries when they are not even in class but are studying an irrelevant course.” (ID#24, 2017).
		“Address corruption and proper financial management systems at school level and zone level” (ID#27, 2017)
j	Results management	“There is need to introduce results-based initiative in the education system from within its resources to enhance accountability and prudence” (ID# 37, 2017).

Source: The Researcher (2020).

The results expressed in the tables above showed that respondents proposed diverse strategies which the researcher categorised into two sub themes: 1) resource mobilisation strategies and, 2) strategies for improved management.

5.6.2.1. Resource mobilisation strategies

There were seven resource mobilisation strategies that the researcher gathered from the interviews. The first strategy was cost sharing through collection of fees especially at secondary and tertiary levels. On this strategy a respondent from Lilongwe proposed that government should stop controlling introduction of tuition fees and encourage cost sharing (ID #20, 2017).

He said, “Raising of fees is one of the effective strategies for increasing financial autonomy in higher education. However, government is controlling the raising of tuition fees for (university) students” (ID # 20, 2017). Another respondent proposed that “there should be a revision of fees that students pay in public schools including the university so that they pay more” (ID # 29, 2017). An NGO network leader recommended that cost sharing “must be encouraged for secondary schools and colleges” (ID#40, 2017). However, other respondents were against the cost sharing strategy. For instance, an NGO leader from Thyolo noted that most Malawians were so poor to support themselves in paying school fees” (ID # 11, 2017). This view was shared by a primary school head teacher from Thyolo, who noted that “poverty level is very high in Malawi; most learners are unable to continue with education due to lack of school fees” (ID # 14, 2017). An official from the treasury noted that while cost sharing was an innovative practice, political interference could come in its way. He said, “Every citizen is perceived poor hence any innovation such as cost sharing is not politically viable” (ID # 18, 2017). The second strategy suggested by respondents was introduction of a special levy for education. In support of this strategy an NGO chairman from Blantyre said, “I recommend introducing a small levy to support the much growing demand” (ID # 43, 2018) while an education official from Thyolo proposed that the levy should be introduced amid other measures such as creation of education trust and corporate social responsibility (ID #42, 2017). Support for the levy also came from an NGO leader from Mchinji (ID #24, 2017). The third strategy suggested by informants was about taxation. On this measure, respondents proposed the need to “advocate for abolition of tax holidays for foreign investors” (ID # 21, 2017) or “exact fair taxes from multinationals” (ID # 23, 2017) and increase the tax base (ID #40, 2017). The fourth strategy was establishment of basket fund. This was supported by the following quote: “Moving forward, the best scenario would be to have all stakeholders assisting the education sector with financial, material, and technical support to come together and establish a basket fund, for various activities of the sector” (ID # 3, 2017). The fifth strategy suggested was aid, grants and loans. This was supported by the following quote: “Increase aid or grants and loans at various institutions” (ID # 30, 2017). The sixth strategy was creation of education trust fund. This was supported by the following quote. “First, I recommend creation of Education Trust fund as an effective strategy to deal with the dependency on donors in financing the education sector” (ID # 42, 2017). Lastly, the seventh strategy was to promote corporate social responsibility. This was supported by the following quote: “In addition, I recommend corporate social responsibility as a measure to increase funding for education and address the dependency on donors” (ID # 42, 2017).

5.6.2.2 Strategies for improved management

Apart from strategies that could raise additional domestic resources for education, respondents proposed several measures to ensure improved management including sensitisation of schools, financial management and results management. On sensitisation of schools, one respondent remarked as follows: “Government should sensitize schools the importance of income generating activities in the schools” (ID # 6, 2017). In line with this, other respondents suggested that there was need for involving more stakeholders including communities in resource mobilisation efforts to ensure impact and ownership (ID # 33, 2017; ID #35, 2017) and decentralising funding systems to the lower levels (at district and school levels) as proposed by a college informant from Dedza (ID #36, 2017). In addition, respondents suggested the need for financial management. To achieve this, respondents suggested the need to address corruption (ID #31, 2017), improve financial management systems to address abuse and wastages (ID # 24, 2017) and ensure prudent use of available resources (ID #38, 2017). A representative quote for this suggestion was as follows: “There is need to improve management to reduce wastage. For example, some people are paid salaries when they are not even in class but are studying an irrelevant course.” (ID#24, 2017). Last but not least, some respondents suggested introduction of results-based management in order to achieve transparency and accountability. One of the respondents said: “There is need to introduce results-based initiative in the education system from within its resources to enhance accountability and prudence” (ID# 37, 2017). Other respondents said results-based management should be supported by promotion of budget tracking exercises such as those carried out by civil society organisations like Civil Society Education Coalition (ID # 21, 2017) to establish if resources allocated to education were producing desired results.

5.6.3. Results from Qualitative Document Analysis on Strategies to tackle dependency and increase financing for education

The fourth objective of the study was to determine strategic options with potential to reduce dependency on donor funding in the education sector in Malawi. The QDA was undertaken to establish what was contained in the documents as strategies, options or alternative sources of funding besides reliance on donor aid. The analysis involved a scorecard and analysis of emerging themes in relation to the research objective.

5.6.3.1 Results of the scorecard on strategies to tackle dependency and increase funding

Scoring was done based on the extent to which the documents provided detailed information on the alternative strategies. A high score (3) as assigned to documents which provided more sources or alternatives, while a poor score (0) was assigned to documents which were blank, silent or offered too little information on the thematic area. The results are presented in figure 32.

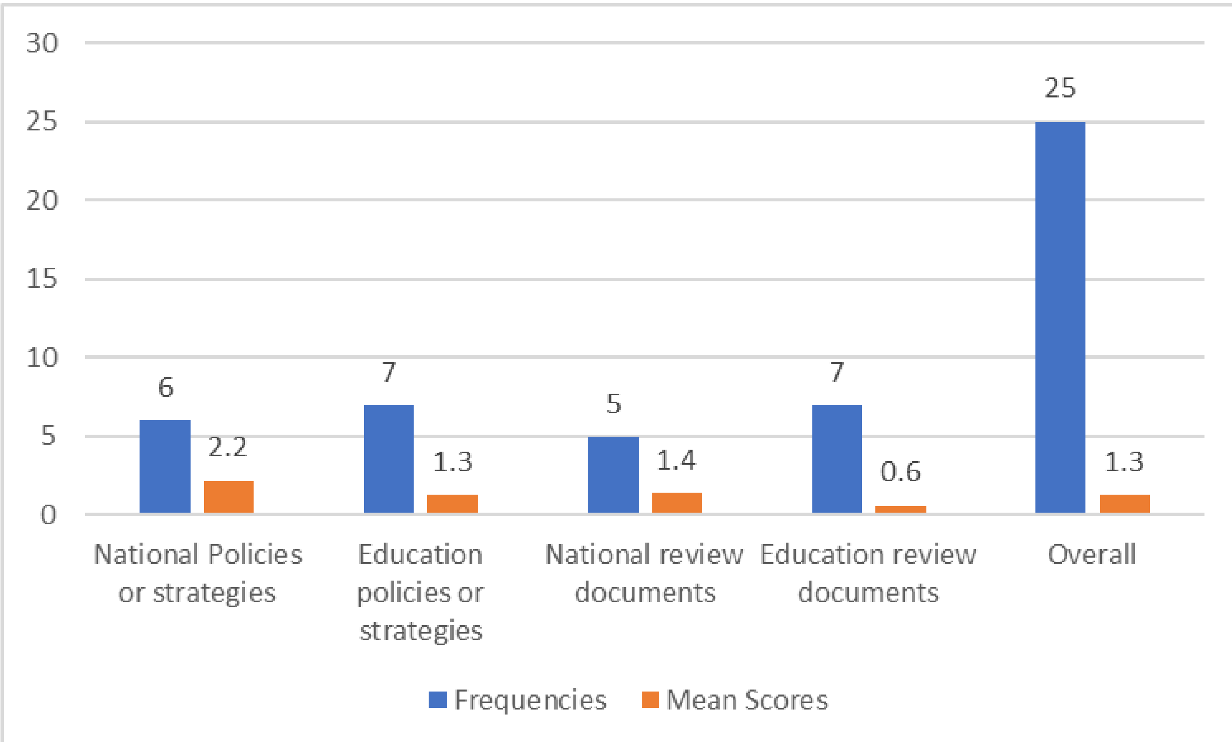

Figure 32: Document scores on strategies for addressing dependency.
Source: The Researcher (2020).

The results showed that the overall score was low (1.3), while it was 1.7 (low to medium) for policies and strategies and 0.6 (low) for review documents. A detailed analysis of document scores showed that for policy and strategy documents, at national level 2 out of 6 (33%) scored high; 3 (50%) scored medium, while 1 (17%) scored low. At education sector level, 1 out of 7 (14%) scored high; 1 (14%) scored medium and 4 (57%) scored low and 1 (14%) scored poor. On the other hand, analysis of review documents showed that at national level, 1 out of 5 (20%) had a high score while 4 (80%) had low score. At education sector level 1 out of 7 documents (14%) had high score; 1 (14%) had low score and 5 (72%) had poor score.

The overall low score suggested that documents offered very weak information on alternative sources of funding to tackle dependency on donor aid.

5.6.3.2 Results of thematic analysis of documents on strategies for addressing dependency

Thematic analysis was undertaken to establish what document contained as proposed strategies for tackling dependency on donor funding or increasing funding to education and development. Up to 15 emerging themes were identified and they included: Taxation; Trade; Debt and loans; Debt swap for education; Public Private Partnerships (PPPs); Special levies or taxes; Bonds (Euro-bonds, diaspora bonds); Remittances from diaspora; Cost Sharing (fees); Community and Household Contributions; Alumni contributions; Special Fund; Consultancies; and Commercial activities. The pareto graph below (figure 33) illustrates these strategies in line with number of counts across the documents.

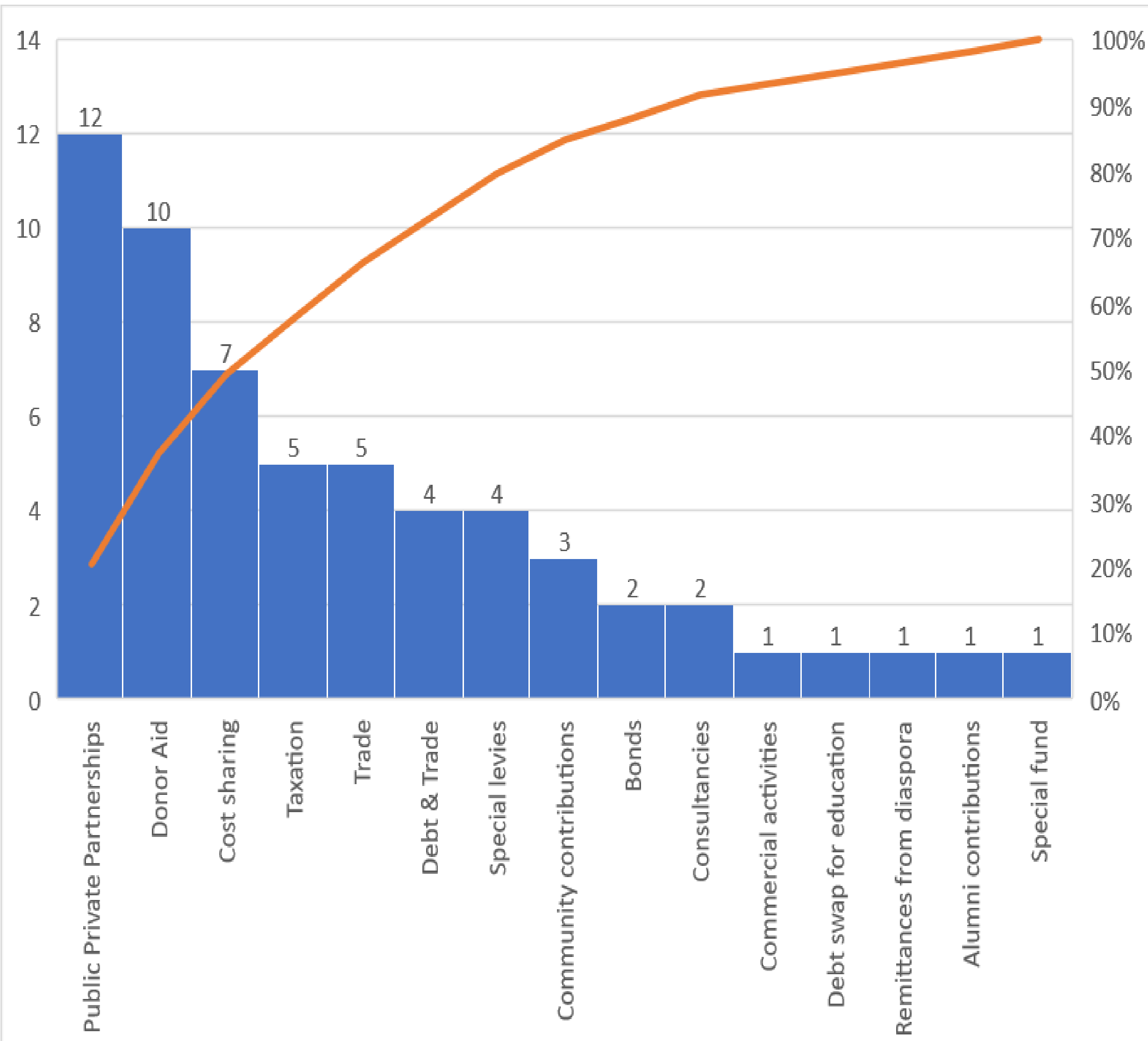

Figure 33: Strategies for financing education and reducing dependency.
Source: The Researcher (2020).

Each of the strategies is briefly described below.

5.6.3.2.1 Public Private Partnerships (PPPs)

According to the results of the document analysis, Public private partnerships as a source of funding was presented in almost half of documents reviewed (12). The private sector is seen as an engine for economic growth (GOM, 2005). In particular, GOM (2016) noted that "there is urgent need for innovative home-grown solutions; focus on growing the domestic private sector (with emphasis on high growth sectors, MSMEs, business public private partnerships (BPPs), joint ventures; combining these with sustained and efficient national revenue collection". Most documents called for improving the business environment to promote PPPs. Furthermore, PPP was recommended in exploitation of minerals and other natural resources, in energy, scaling up tourism investment; exploring potential for local seed/fertilizer manufacturing, agro-processing, integrated cotton industry, new ventures in national parks and wild-life and fisheries sub-sectors (GOM, 2016). In the education sector documents, MOEST (2014) recognised role of private sector by encouraging "public-private partnerships with local publishers and (to help) decentralise book procurement". MOEST (2016) made a call to promote mechanisms for resource mobilisation through PPPs for ODL activities. Further, it recommended "outsourcing of non-core activities of public universities" to the private sector (MOEST, 2016).

5.6.3.2.2. Aid from donors

Aid from donors in form of grants and loans was presented as source of funding in at least 10 documents, signalling that donor aid would continue to be valued unless government were able to raise significant revenues from alternative sources. Documents where this source of funding was highlighted include MGDS 1 (GOM, 2005), MGDS 3 (GOM, 2017) and NESIP 2020-2030 (MOEST, 2020). For example, the education sector implementation plan provided modalities of accessing funding from donors including general budget support, Education Service Joint Fund (ESJF) and Project/Programme support. It was also noted in the plan that government preferred "pooled funding mechanism" (MOEST, 2014).

5.6.3.2.3. Cost sharing

Cost sharing as source of funding was presented in 7 documents. Increasing school fees especially in higher education was recommended as an important strategy for increasing revenue at university level as noted in World Bank (2010), (GOM, 2016) and MOEST (2018). MOEST noted that as a source of funding, cost-sharing could be well achieved if universities are encouraged to decide fees without government restrictions or interference (MOEST 2018). On the other hand, it's noted that "Greater cost-sharing and cost- recovery will target students who benefit most from education and who are most able to pay for it" (MOEST 2001, PIF). For students who can't afford fees, bursary scheme and loan facility to be made available (MOEST PIF 2001).

5.6.3.2.4. Taxation and Trade

During the document analysis "taxation" was highlighted in 5 documents. Tax revenue is long standing source of government financing. Most documents opted for improving the tax system and administration (GOM, 2004) and broadening of the tax base (GOM, 2017I). Just like taxation, "trade" appeared in 5 documents. GOM (2014) recommended maximising revenue from trade through among others "improving GoM trade negotiating capacity through training and full consultation and involvement of the private sector" (GOM, 2004). The Malawi Growth and Development Strategy (GOM, 2005) suggested promotion of "regional integration". On its part GOM (2017) recommended effective participation in "regional and international financing initiatives" to enhance trade.

5.6.3.2.5 Special levies (taxes)

During document analysis four documents suggested special levies as a source of funding. Technical, Entrepreneurial, Vocational Education and Training (TEVET) levy is noted as a step towards a more sustainable funding model for TEVET (CSEC, 2017; Hall & Mambo, 2015). Other levies suggested included: 1 % levy of Research & Development (Vision 2020), 3% levy for education (CSEC 2017), and higher education levy (MOEST, 2018). Within the health sector the Malawi Health Financing Strategy had suggested special levies or taxes such as mobile phone airtime taxes, fuel levies, reciprocal visa fees, health corporate tax, user fees in private wings of district and central hospitals, and for non-EHP services (GOM, 2016).

5.6.3.2.6. Community and Household Contributions

During document analysis three documents suggested community and household contributions. Options on this strategy include use of innovative and local schemes (community savings mobilization, savings and loan associations, supported by certain CSOs on micro-level and pilot basis (GOM 2016).

5.6.3.2.7. Bonds

Furthermore, issuing of bonds (such as euro bond, diaspora bond) was presented in two documents, namely CSEC (2017) and (GOM, 2016). The MGDS II review calls for issuance of Euro Bond to raise funds for specific economically viable sectors (GOM, 2016).

5.6.3.2.8 Consultancies

Two sampled documents suggested use of consultancies. World Bank (2010) proposed this as alternative source for higher education institutions. This source was also mentioned in MOEST (2018) in the strategic framework for income generation in Malawian public higher education where it' has been stated as a good management strategy that prevents "moonlighting" (MOEST, 2018: 6).

5.6.3.2.9. Other Sources (Debt Swap for Education, Remittances from Diaspora, Special Fund, Alumni Contributions, Commercial Activities.

Other sources mentioned in at least 1 document analysed included: debt swap for education, remittances from the diaspora, special fund, alumni contributions, and commercial activities. Debt swap for education is recommended in CSEC (2017) where it is noted that given the rising levels of foreign debt, Malawi could use the example of Cameroon which received debt swap for education from France in 2006, to negotiate with creditor nations such as China to swap debt repayments for education services (CSEC, 2017: 18-19).

Furthermore, CSEC 2017 suggested that remittances from the diaspora offer at least three opportunities in terms of financing for development in general and education in particular. These opportunities are 1) voluntary contributions; 2) diaspora bonds; and 3) securitization of remittances (CSEC 2017: x). In addition, a Special Fund can be established for purposes of financing a need in the education environment.

Documents suggested the need to "create institutions/organizations that can mobilise resources in bulk and support local development on commercial basis, for example, development banks or sector specific funds Export Development Fund, Mining Development Fund, Energy Development Fund" (MGDS 2 Review, 2016). Other documents noted existing special funds that can be enhanced at school level e.g. General-Purpose Fund, Textbook Revolving Fund; School Improvement Grants (Kamlongera 2019); Girls Education Trust Fund (with New Finance Bank) (UNICEF 2019). Alumni contributions as a source of funding was cited in MOEST (2018) as an example of philanthropic funding source in public universities alongside donors (MOEST, 2018: 6). Alumni can also assist primary and secondary schools. But as noted by MOEST (2018), alumni relations are still at an infant stage and there is need for clear polices, goals and goals and substantial strategies to realise significant income from alumni.

Last but not least, commercial or income generating activities by schools, colleges or universities can enhance revenue potential to finance education activities. Examples include managing a commercial farm, running a car garage, running a private clinic, or TV and radio station as is happening in some public university colleges (MOEST, 2018: 29). Other activities include hiring premises for public functions, book publishing, running grocery shop and other income generating activities.

It should be noted that the list of the emerging themes covered above includes at least 5 out of 6 (83%) of the emerging innovative funding mechanisms promoted by funding mechanisms promoted by Leading Group on Innovative Financing (2012 and 2013) and which this study focused on by asking respondents of survey interviews whether they were aware of their existence. These include establishment of education trust fund; special levies like education levy; voluntary contributions for education schemes e.g. PTA /Alumni funds; sale of products and services; and Debt conversion bonds. The one that is missing from the list is corporate social responsibility, which could be considered under public private partnerships. Since they are among those in the emerging themes it means these mechanisms are popular among the documents.

5.6.4. Triangulation of quantitative and qualitative findings in relation to strategies with potential to reduce dependency on donor funding in the education sector.

The fourth objective of the study was to identify funding strategies which have potential to reduce dependency on donor funding in the education sector in Malawi. The research question was, which funding strategies have potential to reduce dependency on donor funding in the education sector in Malawi? In line with the triangulation convergence model (Creswell and Clark, 2003) adopted for the present study, the researcher mixed or compared and contrasted the quantitative and qualitative data that emerged from the descriptive, inferential, pragmatic content analysis and the qualitative document analysis to establish common trends or patterns.

Descriptive statistics showed that 80% of the respondents agreed (strongly and generally) that government should focus more on strategies for mobilising financial resources domestically rather than depend on external resources from donors to finance the education sector. In addition, results showed support for the following emerging innovative strategies: 1, corporate social responsibility; 2, establishment of education trust fund, 3, special levies like education levy, 4, voluntary contributions for education schemes e.g., PTA /Alumni funds, 5, sale of products and services, and 6, Debt conversion bonds.

Pragmatic content analysis from interview schedules showed the following cost sharing (fees), taxation, education levy, creation of an education trust fund, promotion of corporate social responsibility (CSR) and aid, grants and loans. Document analysis checklist produced the following strategies: Taxation; Trade; Debt and loans; Debt swap for education; Public Private Partnerships (PPPs); Special levies or taxes; Bonds (Euro-bonds, diaspora bonds); Remittances from diaspora; Cost Sharing (fees); Community and Household Contributions; Alumni contributions; Special Fund; Consultancies; and Commercial activities.

Results of the analysis showed there was convergence in the data sets around the following common strategies: cost sharing (fees), taxation, education levy, basket fund, corporate social responsibility, aid, grants and loans, and community contributions (including from Alumni, and parents).

However, other strategies which appeared in one data set were trade, public private partnership, remittances from diaspora, basket fund, education trust fund, debt swap for education, voluntary contributions, consultancies, sale of products and services and debt conversion bonds. Refer to figure 34.

DOCUMENT ANALYSIS CHECKLIST RESULTS

1.Cost Sharing (fees)
2.Taxation
3.Special levies or taxes
4.Special Fund
5.Trade
6.Bonds (Euro-bonds, diaspora bonds)
7.Debt and loans
8.Debt swap for education
9.Public Private Partnerships (PPPs)
10.Remittances from diaspora
11. Community and Household Contributions
12. Alumni contributions
13.Consultancies
14.Commercial activities.

INTERVIEW SCHEDULE RESULTS

1.Cost sharing (fees)
2. Taxation
3. Education levy
4. Education trust fund
5. Corporate social responsibility (CSR)
6. Aid/grants
7. Loans

SURVEY QUESTIONNAIRE RESULTS

1. Corporate social responsibility
2. Education trust fund
3. special levies like education levy
4. Voluntary contributions for education schemes e.g., PTA /Alumni funds
5. Sale of products and services
6. Debt conversion bonds.

CONVERGING RESULTS

1. Cost sharing (fees)
2. Taxation
3. Education levy
4. Special fund
5. Corporate social responsibility,
6. Community contributions (including from Alumni, parents)
7. Aid/grants
8. Debt and Loans
9. Commercial activities- sale of products and services
10. Debt swap for education (Debt conversion bonds)

Figure 34: Triangulation of strategies with potential to reduce dependency.
Source: The Researcher (2020).

5.7. Presentation of data for objective 5 on defining a Theory of Change for addressing dependence on donor aid in the education sector in Malawi.

The fifth objective of the study was to define a theory of change for addressing dependence on donor aid in the education sector in Malawi. The research question was, what should be the key features of the theory of change for addressing dependence on donor aid in the education sector in Malawi? QDA was undertaken to establish if documents contained any reference or presentation of theory of change in general and theory of change to address dependency in particular. Results of the analysis were obtained through scorecard. A score of high (3) was assigned to a document which provided an elaborate theory of change for implementing policies or strategies in general and for implementing strategies for addressing dependency in particular. A score of poor (0) was assigned to documents which did not contain information about theory of change.

5.7.1. Descriptive Results

Descriptive results from the document analysis checklist showed that 6 out of 6 (100%) for national policies and 7 out of 7 (100%) for education sector scored poor (0) on theory of change. Furthermore, for review documents, at national level only 1 out of 5 (20%) had a low score on theory of change while 4 (80%) had poor score; for education sector documents 7 out of 7 (100%) had poor score. Overall, across the 25 documents the score was 0 (poor). According to results, the overall score from the 25 documents analysed was 0 (poor) and no document contained an elaborate theory of change for addressing dependency. These results are illustrated in figure 35.

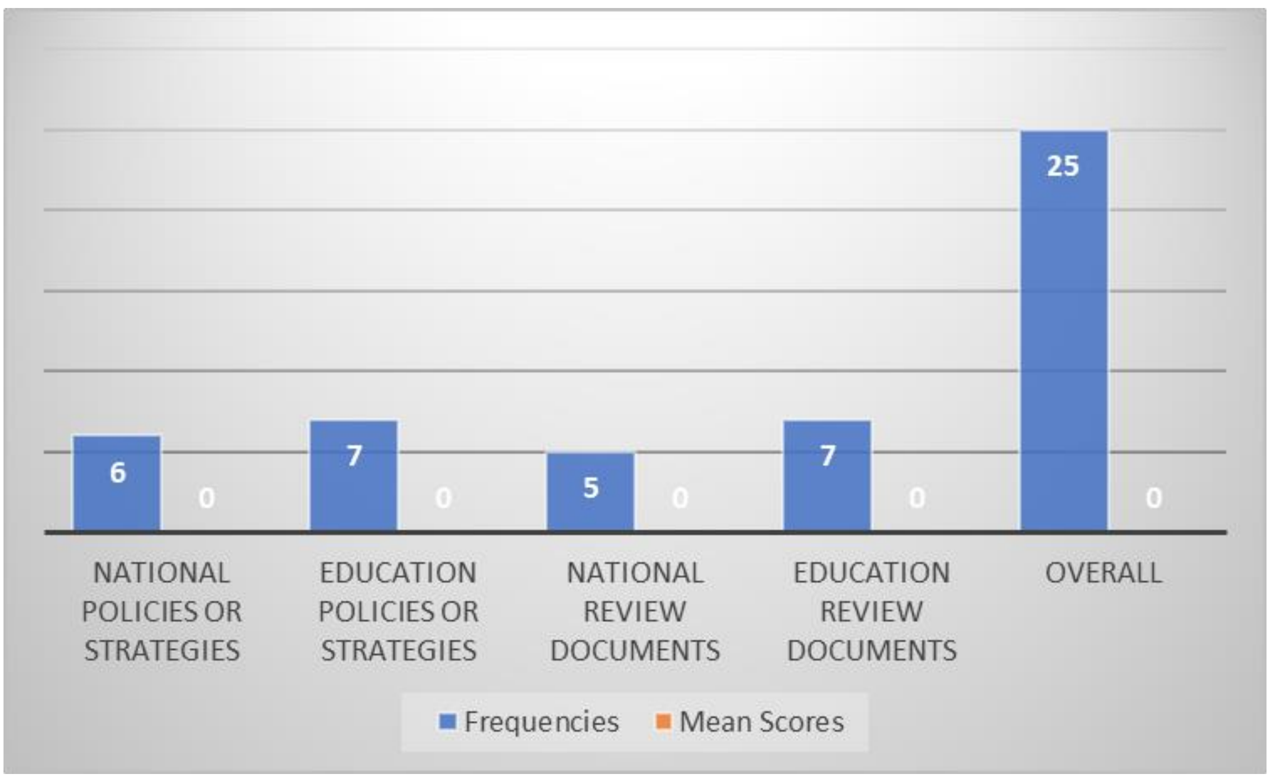

Figure 35: Documentary Scorecard for Theory of Change.
Source: The Researcher (2020).

5.7.2. Thematic Results from Qualitative Document Analysis

A thematic analysis of the documents showed that there was only one document i.e. Malawi Growth and Development Strategy (MGDS) II Review and Country Situation Analysis Report (Ministry of Finance, Economic Planning and Development (2016) which contained a theory of change. However, the information in the theory of change was scanty and not directly related to addressing dependency on donor funding in the education sector. As a result, no themes emerged from the thematic area since no document presented a theory of change to address dependency on donors.

5.7.3. Triangulation of quantitative and qualitative data on findings relating to theory of change to address dependency

Results of the score card and thematic analyses converged on the finding that there was no theory of change addressing dependency on donor funding in the education sector in Malawi. This finding was interpreted to mean that there was a need to develop a theory of change to tackle dependency on donor funding in the education sector.

5.8 Chapter Summary

In chapter 5 data has been presented to illustrate key findings from the study, objective by objective. Data has been presented on managerial perceptions and strategic choices, factors contributing to the disequilibrium between policy and outcome, as well as suggestions on strategic options to increase domestic resource mobilisation and reduce dependency on donor funding in the education sector in Malawi. Both quantitative and qualitative data were presented at four levels of analysis, namely descriptive, inferential, pragmatic content analysis and qualitative document analysis using available tools. Findings from the quantitative and qualitative data sets were further analysed to establish areas of convergence in line with the triangulation convergence model applied in the study. The next chapter is devoted to discussion of findings.

CHAPTER 6: DISCUSSION OF FINDINGS

6.1. Introduction

The study was designed to respond to the perennial problem of high dependence on donor aid which puts the Malawi at high risk of not being able to sustainably finance and achieve international sustainable development goals (SDGs) and national goals on education. The ideal scenario for organizations that seek to reduce donor dependency is that they should have at least six funding sources and avoid a situation where one source of funding makes up 60% of its budget or where external sources constitute more than 30% of the budget (Leon, 2009; Mitchell, 2012 and Mofokeng, 2014). In section 1.3 it was noted that since donor contribution is higher than 30% which is maximum for organizations that seek to reduce dependence, Malawi's dependency on donors could therefore be perceived as high and risky.

The overarching theory guiding the study is Resource Dependence Theory (RDT) which is attributed to Jeffrey Pfeffer and Gerald R. Salancik (Pfeffer & Salancik, 1978). Other supporting theories are Strategic choice Theory, Human Capital Theory, Public Finance Management Theory and Theory of Change. Proponents of RDT suggest that to reduce dependency, managers have two important functions of perceiving the environment (the dependency) and making strategic choices, hence "managerial perception" and "strategic choice" are important variables as they relate to perception of the environment (Delke, 2015). People's perceptions have a direct influence upon their decision-making and consequently, the result of their decisions" (Özleblebicia & Çetin, 2015:297).

While recent government policies and strategies (GOM, 2004; GOM 2006; GOM, 2012; GOM, 2014, and GOM, 2017) do express the need to move out of donor dependency, reviewed literature leaves knowledge gap as to whether Malawi's perennial dependency on donors is a result of failure by managers to perceive the environment and/or due to problems in strategic choice or other factors. Consequently, there is a disequilibrium between policy and outcome, thereby making it hard to find lasting pragmatic solutions to the problem of donor dependency in Malawi's education sector. The study, therefore, set out with the objective of bridging the gap in previous studies by examining managerial perceptions and strategic choices in addressing the problem of donor dependency in financing public education in Malawi. Furthermore, guided by supporting theories of Strategic Choice Theory, Human Capital Theory, Public Finance

Management Theory and Theory of Change the study wanted to establish if there were other factors beyond those espoused by RDT proponents that negatively impact on efforts to deal with the dependency syndrome. As such the study wanted to establish if a relationship existed between perception and strategic choice on one hand and dependency on the other; as well as if other factors drawn from the rest of the theories anchoring the study could deal with the disequilibrium between policy and outcome.

The study adopted pragmatic philosophy to utilise the mixed - methods approach that employs both qualitative and quantitative methods to collect and analyse primary and secondary data with the objective of describing managerial perception and strategic choices and proposing strategic options for dealing with donor dependency in the education sector in Malawi.

The study assumed that respondents who perceive the level of dependence to be high would have a strong feeling against such dependency and propose strategies for breaking away from it. The study also assumed that respondents background (in terms of age, gender, education level, and institutional affiliation) would influence their perceptions and strategic choices towards dependency. In addition, the study assumed that apart from perceptions and strategic choices against dependency there existed other factors which contributed to the disequilibrium between policy and outcome leading to the perpetual dependency on donors to finance education. Moreover, from the growing literature on innovative financing, the study assumed that there existed enough domestic resource mobilisation strategies with high potential to significantly reduce dependence on donors in financing public education in Malawi. Finally, the study assumed that a synthesis of key issues from the findings and guided by the theories anchoring the research, a new theory of change could be developed to address key factors hampering government's efforts of reducing dependency on donors in the education sector.

In chapter 5 findings from the study questions were presented quantitatively and qualitatively, objective by objective. However, the findings were not discussed. This chapter discusses the findings. This is done by summarizing, interpreting and analysing the study findings by stating what they mean in relation to the existing literature and theoretical and conceptual framework and the overall problem. The discussion is sequenced in the order of the study objectives.

6.2. Discussion of findings for objective 1- Managerial perceptions on dependence on donor aid in the education sector in Malawi

The first objective of the study was to establish if there were differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi. The research variable "perception" was operationalized by asking the respondents, what in their opinion was the level of dependence on donor aid in financing education in Malawi. This was done to establish if the education managers and stakeholders were able to perceive the environment or were subject to "bounded rationality" which signals failure to perceive the environment and therefore an impediment to tackling dependency (Delke, 2015). Responses were analyzed to see if there were correlations or differences in perception towards dependency in relation to gender, age, academic qualification, respondent institution type as well as document category.

What were the key findings on this objective? When survey respondents were asked to indicate whether they perceived the level of dependency as high, medium, low or none at all, 57% of them stated that they perceived the level of dependency as high while 30.5% perceived it as medium, 11.4% as low and 1.1% as non- existent (none). Since results of literature review have demonstrated that the level of dependency is high this result was interpreted as meaning that the majority of the managers (57%) correctly perceived the level of dependency as high, while 43% failed to perceive it as high. Pragmatic content analysis from interview schedule showed that 29 out of 44 respondents (66%) perceived the dependency level to be high, compared to 11 out of 44 informants (25%) who perceived the dependency level to be medium and only 4 out of 44 informants (9%) who perceived the dependency level to be low. Since results of literature review have demonstrated that the level of dependency is high this result was interpreted as meaning that 66% of the respondents who were interviewed correctly perceived the level of dependency while 44% failed to perceive the level of dependency as high. From the qualitative document analysis, while 16 documents (64%) perceived the concept of dependency, out of those that perceived dependency 7 documents (44%) perceived the level of dependency as high and no document highlighted the level of dependency as either medium or low.

Data triangulation in line with triangulation convergence model adopted for the study showed two key results. Firstly, both quantitative and qualitative data analyses showed that the majority (56.3% overall but 62% from personal participants) of respondents perceived the level of dependency on donor funding high in the education sector. This result is consistent with observations made by authors such as Mwanamanga (2015), Ng'ambi (2011) and Moundy (2003) demonstrated that dependency on aid from donors was high in the education sector. In addition, the result demonstrates that majority of managers have correct perception of the environment in line with resource dependency theory. Secondly, there was convergence in from the data sets that respondents had shown differences in perception of level of dependency on donor funding in the education sector. The differences were in terms of age, gender, academic level, respondent institution type as well as across document categories. According to strategic management theory, differences in perceptions among organizational members suggest that the existence of a shared value system (such as strategy development culture) throughout the organization be questioned (Özleblebicia & Çetin, 2015: 2). The existence of differences also lends us to accept the first null hypothesis developed for the study which was stated as, *"H0: There are significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi*". Finally, this result means that there is need to lessen the differences in perception of the level of dependency, to ensure a shared value system in tackling national issues of concern such as dependency on donor funding in the education sector.

What could be an explanation for the difference in managerial perception towards the level of dependency on donor funding in the education sector? From RTD perspective, there are three possible explanations on the divergence on the respondent's perception. Firstly, it could be explained by the concept of bounded rationality advanced in the RTD literature by Delke (2015) and Nienhüser (2008) in their support for Pfeffer and Salancik (1978). This concept is assumed to have an influence on the organizational behaviour and addresses the relation of individual actors to their environment (Nienhüser, 2008: 12-29). Delke (2015) notes that bounded rationality "addresses the limits of actors to formulate and solve complex problems by processing information" (Nienhüser, 2008: 12). Delke (2015) notes that processing of this information differs from one individual to another "due to cognitive structures which are learnt through socialization based on cognitive capacities". Nienhüser (2008) observes that "limited capability to process information results in uncertainty for the organization due to failure in the perception of the environment" (Nienhüser, 2008: 12). In this case since literature is consistent about the high level of dependence on donor aid in Malawi, the respondents who perceived the level of dependency as medium or low faced limitations in processing information within the concept of bounded rationality. Raising awareness through civic education or orientation could help address this limitation.

The second explanation could be based on the observation by Bridges and Woolcock (2017) whereby managerial perception and subsequent response towards dependency can be blurred or hindered when the managers are themselves beneficiaries of dependency Bridges and Woolcock (2017) observed that in a context of high donor dependency in Malawi, “it is perhaps unsurprising that government agents consistently refer to a pressure to acquiesce to whatever donors want or are assumed to want. Civil servants consider that to resist a donor project or to ask too many questions is to risk side-lining or transfer. It also means cutting yourself off from the “rewards” that typically come with the implementation of donor projects” (Bridges & Woolcock, 2017: 19).

Based on this observation descriptive statistics showed that respondents who were more dependent on donor funding such as primary school head teachers and government officials downplayed the level of dependence on donor funding because they were themselves beneficiaries of the donor-funded projects. On the other hand, those who perceived the level of dependency as high such as secondary head teachers and college principles and CSO representatives could be less dependent on the donor- funded projects or had more alternatives.

The third explanation could be due to lack of awareness. As Action Aid (2017) suggests awareness or lack of it could influence one’s perception or behaviour. This could explain that the respondents who perceived dependency as high were more aware of the levels and dangers of dependency while the respondents who perceived in a contrary manner lacked such awareness.

The fourth explanation could be due to mindset. One of the challenges in Malawi is the “mindset” of dependency made worse by colonial mentality as well as politicians in the new political dispensation after the dawn of multiparty democracy in 1994. This challenge is acknowledged in the country’s development strategies such as the Malawi Vision 2020, Malawi Economic Growth Strategy (MGDS) and the Malawi Growth and Development Strategy (MGDS). For instance, Malawi Vision 2020 (GOM, 2000: 34) observes that dependency spirit is inherent in Malawians. Vision 2020 noted that Malawians depend on government for the provision of goods and services. This situation has been aggravated by political statements, which promise help from the government. This has killed the self-help and hardworking spirit among Malawians. The challenge, therefore, is to inculcate a spirit of self-reliance at national and local level.

How can change in perception be achieved? From the pragmatic philosophy point of view, Farjoun *et al* (2015) the pragmatic principle of "recursiveness" offers pointers to how this can be achieved. According to Forjoun *et al* (2015), pragmatists "are particularly interested in processes that relate back to themselves in a looping fashion" and as such "they argue that stimulus and response co-evolve and that preferences are not given but shape, and are shaped by, action. Individuals are capable of reflecting on their own actions and revising their habits; they can enact the environments to which they later adapt" (Farjoun *et al* 2015: 6). Thus, the pragmatic notion of recursiveness stresses that these cyclical or looping processes are "ongoing, iterative, and cumulative" and there is thus room for change. Theory of change and the process of diffusion of innovation predict that "media as well as interpersonal contacts provide information and influence opinion and judgment" and use of "opinion leaders and other intermediaries such as change agents and gate keepers" could accelerate the change in opinion or perception (Ayodele, 2012). In light of this, Action Aid (2017) suggests the need for raising awareness and advocacy in order to influence a change in perception or behaviour, policy. Therefore, Action Aid (2017) calls on civil society, as "change agents" to take an active role by raising awareness and support citizens to advocate.

From the Theory of change perspective, the work of top leaders/managers needs to take into consideration the levels of attitude/perception/tolerance towards dependency amongst the members, if there is to be a lasting solution addressing dependency. Change agents and early adopters of innovation and new ways of resource mobilisation could come from those who are less tolerant towards dependency (including males, younger respondents, and respondents from secondary schools, Colleges/Universities, NGOs, and MPs). On the other hand, resistance towards changing the status quo would come from those who are more tolerant towards dependence on donors including females, older respondents, and respondents with lower academic qualifications and those form primary schools and government offices. Therefore, strategies should include both those that change the perception, lessen the differences in perception, and address and reverse the high level of dependence on donor funding.

6.3. Discussion of findings for objective 2 -Managerial strategic choices in the face of Dependency on Donor funding in the education sector

The second objective of the study was to establish if there were differences in education managers' strategic choices for addressing dependence on donor aid in the education sector in Malawi. The research variable "strategic choice" was operationalized in two ways. First, by asking the respondents whether government should adopt domestic resource mobilization policies and strategies for addressing dependency. Second, by asking respondents whether government should stop reliance on donor funding and reason for their choice. Responses were analyzed to see if there were correlations or differences in strategic choices in relation to gender, age and institution.

To determine the strategic choice of respondents, the study first asked respondents as to whether government should adopt domestic resource mobilisation as a strategy to address donor dependency in financing the education sector. In light of results of literature review in chapter 3, the expected answer was that most respondents would opt for domestic resource mobilisation. Results of descriptive statistics showed that 67.1% strongly agreed, 12.9% generally agreed, making a total of 80% in support of the proposition for government to adopt domestic resource mobilisation as a strategy. On the other hand, 3.5% strongly disagreed, 2.4% of the respondents generally disagreed, giving a total of 5.9% who disagreed with the proposition. 14.1% suggested that government should use both external and domestic sources.

The study also asked participants to express their thoughts on whether government should stop reliance on donor funding. In light of results of literature review in chapter 3, the expected answer was that most respondents would prefer government to stop reliance on donor funding. From descriptive analysis, even though the general response was that government should stop, there were differences in strategic choices in terms of gender, age and institutional type. For instance, at gender level 50.8% males said government should stop compared to 33.3% of females. At age group level, majority of those with 20 years and below (100%), 21-30 years (66.7%), and 31-40 years (56.3%) preferred that government should stop while majority of those aged 61-80 years (66.7%) and 81-100 years (100%) preferred that government should not stop, meaning that the younger age groups were more strongly against dependence on donors than the older groups. At institutional level, findings showed that majority of representatives of secondary schools (54.5%), universities (75%), NGO leaders (68.2%) and MPs (100%) wanted government to stop reliance on donor funding. On the other hand, majority of respondents from primary schools (70.4%), government officials (64.3%), and donor institutions (100%) preferred that government should continue relying on donors. At college level 50% were for stopping while the other half was for continuation. Hence more institutions (4) wanted government to stop than those that wanted government to continue (3).

From pragmatic content analysis arising from interview schedule, slightly more than half of respondents (represented by 55% or 24 out of 44 respondents) made a choice that government should stop reliance on donors. On the other hand, 19 out of 44 respondents (representing 43% of respondents) made a choice that government should continue relying on donors, while 1 out of 44 respondents (2%) was not sure of his thought on this question. From qualitative document analysis arising from document checklist, there were differences across document categories (national, education level, policy, strategy or review documents). In this regard, 3 out of 25 documents (12%) expressed the desire to end or reduce dependency on donors, while 9 documents (36%) expressly indicated the desire to continue to mobilize donor aid. Differences in scores across document categories were also noted. While national policy/strategic documents had an overall score of 2.2 out of 3, education policy/strategic documents had an average score of 1.1 (-1.1 difference). For review documents, at national documents had a score of 1 out of 3 compared to a score of 0.4 out of 3 for educational documents (-0.6 difference).

Like for perception of dependency, data triangulation for strategic choices in line with triangulation convergence model adopted for the study showed three key results. Firstly, both quantitative and qualitative data sets demonstrated that in general, it is the strategic choice from most respondents to reduce or end dependency on donors (51.6% from descriptive, 55% from thematic (53% from the personal participants), and 12% from document analysis) and with majority (80%) preferring domestic resources mobilization. Secondly, both quantitative and qualitative data sets demonstrated that respondents had shown differences in strategic choices for addressing dependency on donor funding in the education sector. For survey questionnaire and interview schedule the differences were in terms of age, gender, academic level and respondent institution type. For the document checklist, there were differences across document categories (national, education level, policy, strategy or review documents). The following stakeholders consistently opined that government should stop reliance: males, more youthful age groups, and respondents from secondary schools, university, NGOs, and MPs. On the other hand, the following stakeholders consistently cogitated that government should not consider stopping reliance on donors: primary school teachers, government officials, donors, and males, and older respondents. Thirdly, since as discussed in the empirical literature review the hypothesis for RDT is that organizations want to reduce or end dependency by finding alternative sources (Delke, 2015; Roholf, 2013; Pfeffer & Salancik, 2003), it is argued that those who opted for ending dependency made correct strategic choice, while those who had contrary view, failed to make a correct strategic choice. In this regard a substantial number of respondents at 49.4% and

45% from survey questionnaire and interview schedule respectively (average of 47%) failed to make correct strategic choice in line with resource dependency theory perspective. Amongst stakeholders up to 64.3% of top managers from government offices did not opt for an end to dependence on donor aid. This could explain why only 12% of documents analysed through QDA expressed the strategic choice of ending dependency, while 88% did not. This suggests that failure by managers to make strategic choice led to lack of inclusion of vision or objectives of ending dependence on donor aid in policy documents and reviews. This situation might have led to the disequilibrium between policy and outcome.

The existence of differences in strategic choices leads us to accept the second null hypothesis developed for the study which was stated as, "***H_0*****:** *There are significant differences in managerial strategic choices for tackling dependency on donor aid in education sector in Malawi*". The result of the triangulation is also interpreted to mean that there is need to lessen the differences in strategic choices, to ensure a shared value system in tackling dependency on donor funding in the education sector. Comparing results for objective 1 (perception) and objective 2 (strategic choice), the results showed that respondent categories who perceived the level of dependency on donor funding to be higher were more inclined towards ending donor dependency while those who perceived the level of dependency on donor funding to be lower were more inclined towards maintaining the status quo as shown in Figure 36.

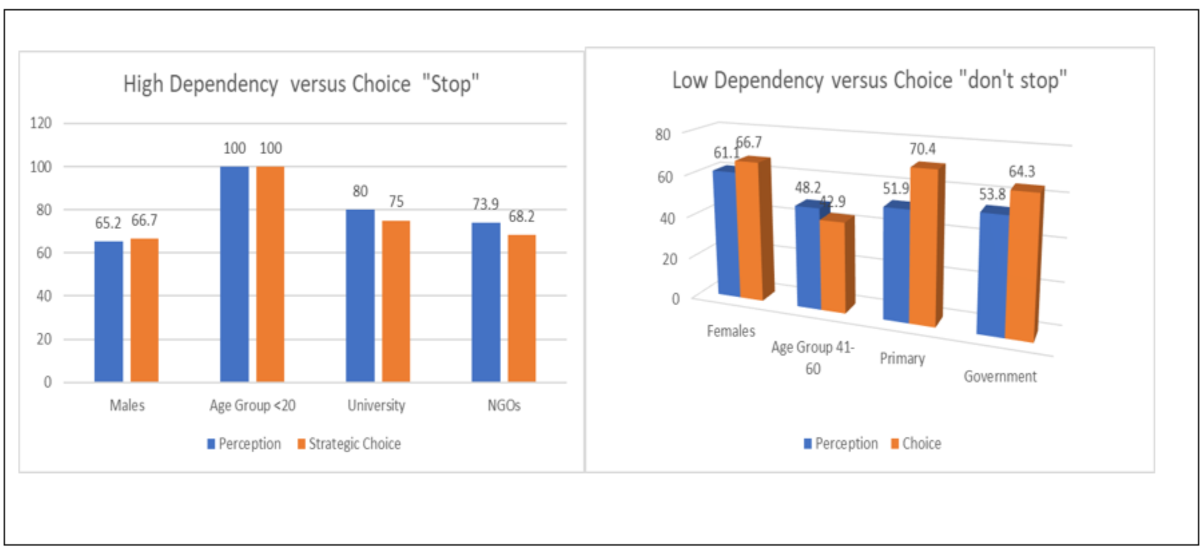

Figure 36: Percepetion of Dependency Versus Startegic Choice

Source: The Reseracher (2020).

Results from descriptive statistics showed that in case of objective 1, more males (65.2%) than females (38.9%) perceived the level of dependency as high. Among the age groups, those aged between 31 to 80 years had lower levels of perception (ranging from 51.8% to 68.8%) than those of 20 years and less and those with 81-100 years (perception of 100%). The descriptive statistics showed that respondents with lower academic qualifications (below Bachelor's degree) were more positive/tolerant towards dependency, than the respondents with higher qualification; at the same time primary school head teachers and officials from government officers were more tolerant/positive towards dependence than respondents from secondary schools, colleges/universities, NGOs and MPs. In the case of objective 2 on strategic choice, 50.8% males said government should stop compared to 33.3% of females. At age group level, majority of those with 20 years and below (100%), 21-30 years (66.7%), and 31-40 years (56.3%) preferred that government should stop while majority of those aged 61-80 years (66.7%) and 81-100 years (100%) preferred that government should not stop, meaning that the younger age groups were more strongly against dependence on donors than the older groups. At institutional level, findings showed that majority of representatives of secondary schools (54.5%), universities (75%), NGO leaders (68.2%0 and MPs (100%) wanted government to stop reliance on donor funding. On the other hand, majority of respondents from primary schools (70.4%), government officials (64.3%), and donor institutions (100%) preferred that government should continue relying on donors. This is depicted in table 52.

Table 52: Respondents who perceived the level of dependency to be high were more inclined towards ending dependency and vice-versa

High Dependency	**End donor dependency**	**Low Dependency**	**Continue donor dependency**
Males	Males	Females	Females
Younger age groups	Younger age groups	Older age groups	Older age groups
Higher academic qualifications	Higher Academic qualifications	Lower academic qualifications	Lower academic levels
Secondary	Secondary	Primary	Primary
University	University	GOVT	Govt
NGOs	NGOs		Donors
MPs	MPs		
Donors	-		

Source: The Researcher (2020).

As shown in the table, like on the question of perception, female respondents, older respondents, respondents with lower qualifications, primary school head-teachers and government officers were the similar respondent categories that perceived the level of dependency as low and hence failed to correctly perceive the environment. These respondents who preferred that government should continue relying on donor funding would be a cause for increased differences in perception and strategic choices and consequently, result in disequilibrium between policy and outcome, since they would most likely show resistance to reduce donor dependency.

The results above, therefore, support and confirm the RDT perspective (Delke, 2015) that managerial perceptions and strategic choices are important variables or factors for tackling donor dependency. Furthermore, female respondents, older respondents, respondents with lower qualifications, primary school head-teachers and government officers both wrongly perceived the level of dependency as low and preferred that government should continue relying on donor funding. Therefore, the findings help to provide an explanation as to why despite government policies and strategies providing for the need to strengthen domestic resource mobilisation and reduce donor dependency, the country was still highly dependent on donors.

6.3.1. The pros and cons of dependence on donor aid

The findings arising from the discussion on respondent strategic choices have also revived the debate on the pros and cons of donor aid (See table 73). Most of the reasons are also supported by existing literature. For instance, on the pro side, some respondents gave reasons for continuation of donor aid including that the country faces financial constraints with small GDP and amid limited choices, an argument posed by Mwanamwanga (2015); and that donor ending donor aid would lead to heavy taxes on the citizens to fill the deficit, an argument by Chiumia (2012).

On the cons side, one of the arguments for ending donor aid is that it could help minimise donor power and influence which come in the form of conditionalities, this is the external control argument posed by RDT proponents (Mitchell, 2012; Chikoto, 2010). The other argument is about the uncertainty and unreliability of donor aid due to declining trends in aid. This is argument by Wils (2015), UNECA (2014), Mgemezule (2014). Another argument is ending reliance on donors could promote creativity and innovation. Putting it in another way one would argue that dependency on donors kills creativity and innovation. This is argument advanced by the UNESCO study (UNESCO, 2014). Thirdly ending donor aid could assist in programme efficiency. This is similar to the argument advanced by Mwanamanga (2015) and Chikoto (2010), whereby conditionalities of donors as well as unpredictable release of funds brings about inefficiency in programme implementation. The main arguments are presented in table 53.

Table 53: Respondents arguments for or against ending dependency on donors for financing education

SN	Why end Dependency	Why Not end Dependency
1	Minimise donor power and influence through unfavourable conditionalities	Country faces financial constraints with small GDP and limited alternative sources available
2	Donor funding is dwindling and so unsustainable	Doing so would compromise resources given the many problems needing finances in the sector
3	For the country to be self -reliant and gain economic independence	Stopping donor aid will lead to heavy taxes on citizens to fill the deficit
4	To promote creativity and innovation	
5	Address uncertainty in resource flow and gain efficiency in program implementation	

Source: The Researcher (2020).

6.4. Discussion of findings for objective 3- factors contributing to disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector

The third objective of the study was to discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi. This objective was formulated after noting that a review of national policies and strategies such as Vision 2020 (National Economic Council of Malawi, 1998), MEGS, MGDS and DCS (GOM, 2004; 2006; 2014) showed that government had recognised the need to diversify funding sources and stop over-reliance on donors. However, the problem of dependence was persisting long after adopting such strategies. Further, it should be recalled that the research question on this objective was, “apart from perceptions and strategic choices which other factors contribute to the disequilibrium between policy and outcome in addressing dependence on donor funding in the education sector?”

The previous sub-section has already described and established differences in managerial perceptions and strategic choices while adopting perceptions and strategic choices as being among the factors influencing dependency on external dependency. The theoretical and conceptual framework discussed in chapter 2 gave us a menu of other areas which managers need to pay attention.

The RDT prescribes development of diversification strategy as a solution to dependency syndrome (Mitchell, 2012; & Gebreyes, 2015). From the Theory of Change, the process of diffusion of innovation proposes the mainstreaming of innovation and adoption of innovative solutions/strategies in organisations as being central for success (Rogers, 2005). Public Finance Management Theory promotes a functional system which addresses core areas such as prudent fiscal decisions; credible budgets; reliable and efficient resource flows and transactions; and institutionalized accountability (Andrews et al, 2014). Theory of Change address further issues of strategy and performance by making sure that pre-conditions about change and performance are in place (USAID, 2017 and Hivos, 2015). Finally, the HCT provides a framework for advocating for public investment in the education sector (Leading Group on Innovative Financing for Education, 2012 & Wils, 2015).

Hence, based on the theoretical and conceptual framework and as demonstrated in the findings chapter, respondents were asked questions pertaining to these areas particularly on strategy (diversification) availability and effectiveness, mainstreaming and level of innovation and level of public finance management.

One of the findings presented in chapter 5 was that while 56.6% of the respondents to the survey questionnaire stated that they were aware of government policies and strategies in place to address dependency 41% of them were not aware and 2.4% had no idea about the existence of any strategy. In addition, when asked to state whether their institution had a long-term investment strategy for mobilising resources, or a special business unit responsible for resource mobilisation most of the respondents from educational institutions said they had none. For instance, 88% of primary schools and 100% of secondary schools did not have any investment strategy. In addition, 96% of primary schools and 90% of secondary schools reported that they did not have a special unit responsible for resource mobilisation. Finally, findings showed that most of the respondents acknowledged that policies and strategies put in place by government to tackle dependency on donors were not effective. This was acknowledged by 81.5% of primary school head teachers, 83.3% secondary school head teachers, 71.4% of college principals, 78.6% of respondents from government institutions, 82.6% of respondents from NGOs, 50% from donors and 100% from MPs. Results from pragmatic content analysis from interview schedule showed that according to 53% of respondents the level of diversification of funding sources in the education sector was poor or bad and 63% of the interviewees expressed that diversification was failing to have an impact in tackling dependency. Therefore, the findings were interpreted to mean that one of the factors why government policies and strategies failed in tackling dependency was that education institutions lacked a robust diversification strategy which was known and owned by the key stakeholders in the sector.

Another finding from the study was related to integration and mainstreaming of innovation in the education sector as a hallmark of Diffusion of Innovation Theory. According to descriptive statistics, 56.1% of respondents thought government had not mainstreamed innovation. According to pragmatic content analysis from interview schedule, 29 out of 44 informants (representing 66%) were of the view that innovation was not successfully mainstreamed in the education sector to address dependency on donors. Compared to other countries, Malawi ranks low on the Global Innovation Index at position 108 out of 189 countries (UNDP, 2018). Malawi's innovation landscape faces several challenges including foreign currency regulations, access to financing, inadequate supply of infrastructure, tax rates, corruption, crime and theft, inflation inefficient government bureaucracy, poor work ethic in national labour force, inadequate educated workforce, insufficient capacity to innovate and restrictive labour regulations (UNESCO, 2014). Hence in light of the above, the researcher interpreted the findings to mean that weak integration and mainstreaming of innovation is one of the factors contributing to failure to address dependency in the sector.

Furthermore, one of the findings from the public finance management theory perspective was related to public finance management environment in the education sector. Descriptive statistics showed that 53% of respondents considered the level of public finance management in the education sector was medium (44%), while 37% considered it low and only 9% considered it high. In addition, when asked to express their opinion on the extent to which financial management practices in the education institutions address donor dependency only 6.3% males and 5.9% females considered the level as high, while 35.9% males and 35.3% females considered it low as 50% males and 41.2% females considered it medium and 7.8% males and 17.6% females considered it ineffective. Therefore, the findings from the study were interpreted to mean that one of the factors negatively affecting efforts to reduce dependency in the education sector was weak public finance management environment.

From HCT theory, findings show that failure to implement government policies and strategies is due to weak management capacity. According to several respondents of interviews, the education sector was negatively affected by weak implementation of existing strategies. One of the explanations related to this reason was that the ministry of education was not adequately funded to implement the strategies (ID #19, 2017). This explanation was corroborated by a head teacher from Dedza who complained that "some institutions have no resources for generating finances especially in schools" (ID # 30, 2017). A respondent from the District Assembly in Mzuzu said lack of implementation was a problem, highlighting that "the strategies are more of paperwork than actual practical implementation on the ground" (ID #10, 2017). This problem has been raised in several reviews of the sector conducted in the past five years. For instance, reviews conducted in 2012 and 2017 revealed perennial "management dysfunction" while calling for building of capacity and managing performance to increase chances of success in domestic mobilisation efforts (MOEST, 2017 and Mambo *et al*, 2012). Qualitative document analysis from content analysis checklist showed contributing factors included public finance management, macroeconomic conditions, human capacity gaps, coordination, data/ICT limitations in data collection to inform decision making, policy /regulatory environment and natural factors/disasters.

Emerging factors from the various data sets included weak public finance management, unfavourable macroeconomic environment, lack of diversification strategy, human capacity gaps, failure to mainstream innovation, lack of awareness of policies and strategies, lack of support from ministry, weak coordination, data/ICT limitations, unfavourable legal/policy environment, and natural disasters. However, in line with the triangulation convergency model adopted for the study, the following factors were common across data sets: (1) weak public finance management, (2) unfavourable macroeconomic environment, (3) lack of diversification strategy, (4) human capacity gaps, and (5) failure to mainstream innovation. These are illustrated in figure 37.

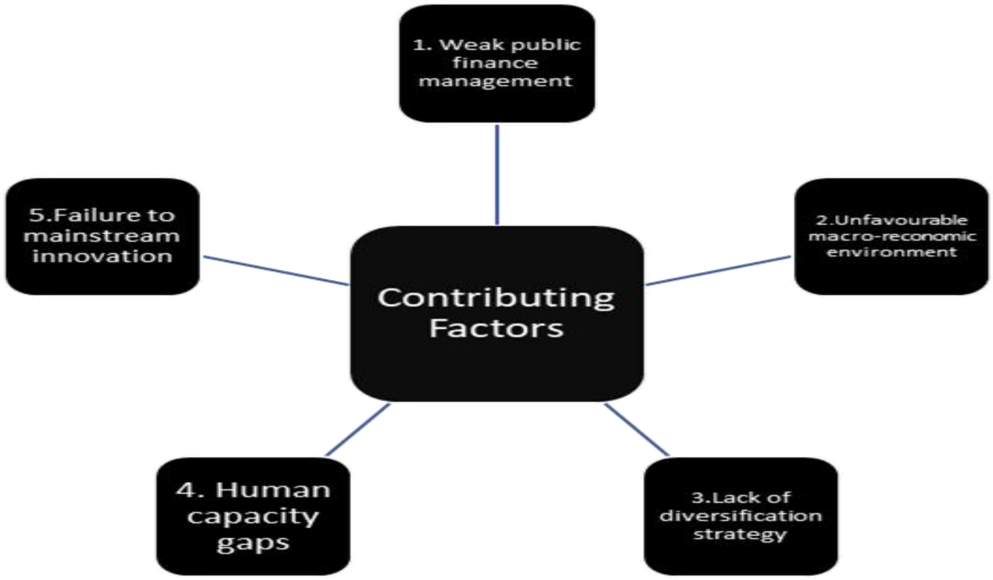

Figure 37: Factors affecting government performance

Source: Researcher (2020).

The factors above have led to several challenges related to financing and sustainability of education institutions at primary, secondary and tertiary levels. The challenges include limited sources of funding which have led to annual funding gaps. Evidence from the findings show that across the institutions the main sources of funding were only five, namely, government subvention (35.1%), donors (20.8%), community (20.8%), school fees (16.4%), and individuals (3.2%). In general, according to descriptive statistics, it was observed that 62% of those respondents who cited donors as source of funding indicated that donor share amounted to at least 31% of their total funding, with 36% stating that donor funding accounted for at least 51% of their sources, signalling a risky situation according to proponents of RDT (Mitchell, 2012; Leon & Rees, 2009). Due to limited sources of funding, the education institutions faced annual funding gap ranging from 36% in 2013 to 42% in 2016.

The discussion above shows that apart from managerial perceptions and strategic choices factors contributing to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector include weak public finance management, unfavourable macroeconomic environment, lack of strategy, human capacity gaps, failure to mainstream innovation. Therefore, government's strategies for addressing dependency should take into such factors; focus on domestic resource mobilisation strategies and funding sources; integrate innovation and enhance public finance management policies and strategies.

6.5. Discussion of findings for objective 4 – identifying funding strategies with potential to reduce dependence on donor aid in the education sector.

The fourth objective of the study was to identify funding strategies with potential to reduce dependence on donor aid in the education sector in Malawi. The research question was, which funding strategies have potential to reduce dependence on donor aid in the education sector in Malawi? To achieve the objective respondents were asked two questions. First, to indicate whether they supported selected emerging innovative funding mechanisms proposed by proponents of innovative financing for education. Second to propose other strategies with potential to reduce dependency on donor funding. Pragmatic content analysis was applied to consolidate suggested potential strategies for Malawi.

6.5.1 Respondents backing for emerging innovative funding mechanisms

The study sought to gauge respondents' opinion on emerging innovative funding mechanism. A review of empirical studies by OECD (2009: 2014); Leading Group on Innovative Financing for Education (2012); UNECA (2015); OECD/UN (2011), Armaou (2016) and CSEC (2017) has unearthed several mechanisms which could be employed as strategies for increasing domestic resources for education in many countries including Malawi. In seeking to establish awareness and popularity of some of the notable emerging innovative funding mechanisms promoted by Leading Group on Innovative Financing (2012 and 2013), respondents were asked to choose their preference from a predetermined list. The list included the following six mechanisms: corporate social responsibility, establishment of education trust fund, special levies like education levy, voluntary contributions for education schemes e.g. PTA /Alumni funds, sale of products and services, and Debt conversion bonds. Findings showed that from these emerging global strategies for enhancing domestic resource mobilization, respondents preferred the following strategies from highest to lowest preference: 1) corporate social responsibility; 2) establishment of education trust fund; 3) special levies like education levy; 4) voluntary contributions for education schemes e.g. PTA /Alumni funds; 5) sale of products and services; and 6) Debt conversion bonds. Section 5.6.3.2 has also noted that emerging themes from qualitative document analysis included 5 out of 6 (83%) mechanisms.

The findings suggested that there was awareness about the emerging innovative funding mechanisms evidenced by the fact that each of the funding mechanisms was preferred by a certain percentage of the respondents. Secondly, the level of awareness differed from institution to institution. For instance, for primary schools, their top preferences were voluntary contributions for education, establishing an education trust fund and corporate social responsibility. For secondary schools their top three were voluntary contributions, sale of products and services and special levies like education levy. For colleges their preferences were corporate social responsibility, establish an education trust fund and special levy like education levy. For Universities, the top ones were special levy, debt conversion bonds and sale of products and services/corporate social responsibility. For government representatives, preference was on special levy, corporate social responsibility and sale of products and services. NGOs preferred corporate social responsibility, education trust fund and voluntary contributions. Debt conversion bonds were least supported at 6.7% (probably because they are least known among the respondents). This implies that there must be a consultative and validation process with heads of institutions before these funding mechanisms can be adopted.

A critical examination of the responses showed that although there was awareness about the need to find alternative sources, most schools and colleges were undertaking just a few of the strategies taking place in other countries such as Kenya, Rwanda, Zambia, South Africa and Nigeria as demonstrated in section 3.2.7.4. For instance, at primary and secondary level, the evidence presented in section 5.4.1.2 showed that the common sources of funding were government subvention, donors, communities and alumni. There was little evidence that the institutions were involved in entrepreneurial activities, conducting special events or creating partnerships with other actors such as private sector, NGOs and foundations to finance the schools. As shown in the table 54 below, most of alternative sources being tried in other countries are not practiced in Malawi schools.

Table 54: Comparison of alternative sources of funding from other countries to sampled schools

Alternative sources of funding from other countries (Kenya, Rwanda, Zambia, South Africa, Nigeria	Sources of funding in sampled primary and Secondary schools in Malawi
User fees, PTA contributions, alumni contributions, and individuals from the general public; Running tuck-shop to sale items, hire of school premises and property, money and capital market, raffles, endowments; managing a school farm (agribusiness); Partnerships with NGOs, donors, private sector,	Government subvention, donors, community school fees, and individuals, alumni.

etc; Special events such as Civilian/ career days, staging plays	

Source: Olu (2012), Paxon (2012), Syacumpi (2012), Gongera (2013), Mestry (2016) & Nwakpa (2016).

6.5.2. Respondents' views on other strategies to diversify funding sources

During interviews, respondents were asked to suggest strategies for increasing domestic resources for financing education and tackle dependency on donor aid. Pragmatic content analysis from interview schedule showed that respondents suggested both resource mobilisation strategies and strategies for improved financial management. There were four strategies that the researcher gathered from the interviews for increasing domestic resource mobilisation. The first strategy was cost sharing through collection of fees especially at secondary and tertiary levels. The second strategy suggested by interviewees was introduction of a special levy for education. The third strategy suggested was about taxation. On this measure, respondents proposed the need to "advocate for abolition of tax holidays for foreign investors" or "exact fair taxes from multinationals" and increasing the tax base. The fourth strategy included other measures, such as creation of an education trust fund, promotion of corporate social responsibility, creating an education basket fund, and seeking aid, grants and loans.

Results of triangulation of quantitative and qualitative data (survey questionnaire, interview schedule and document checklist) presented in section 5.6.4 established the following strategies: cost sharing (fees), taxation, education levy, basket fund, corporate social responsibility, aid, grants and loans, and community contributions (including from Alumni, parents). Other strategies were trade, public private partnership, remittances from diaspora, basket fund, education trust fund, debt swap for education, voluntary contributions, consultancies, sale of products and services and debt conversion bonds.

Apart from strategies that could raise additional domestic resources for education, respondents from interview schedule proposed several measures to ensure improved management including improved implementation of resource mobilisation strategies, improved financial management of available resources and improved transparent and accountability of resources. For improved implementation of resource mobilisation strategies informants suggested sensitising schools on the importance of income generating activities at school level, involving more stakeholders including communities in resource mobilisation efforts to ensure impact and ownership, decentralising funding systems to the lower levels (at district and school levels), and minimising political interference in resource mobilisation efforts. In order to improve financial management, respondents suggested the need to address corruption, improve financial management systems to address abuse and wastages and ensure prudent use of available resources.

Furthermore, respondents suggested the need to promote transparency and accountability through such measures as promoting results-based financing initiatives, and budget tracking exercises such as those carried out by civil society organisations like Civil Society Education Coalition (CSEC).

6.5.3. Consolidation of Strategies with Potential to address dependency at National level

Based on the findings from the study, the researcher used pragmatic content analysis to identify 10 strategies with potential to reduce dependency on donor funding in the education sector. These strategies are Debt for Education Swaps, Bond financing, Education Levy, Diaspora remittances, corporate social responsibility, tax collection, elimination of illicit financial flows, cost sharing, assets from pension funds, and elimination of repetition rates in primary as illustrated in figure 38. Each of these strategies and revenue generation potential is described in detail below.

6.5.3.1 Debt SWAP for Education

Using the case of Cameroon, as a highly indebted country, Malawi could benefit from a debt for Education swap (or Debt swap). According to CSEC (2017), if 20% of total external debt in 2016 (USD1,789.6 million) were swapped for ten-year national education sector plan implementation, then US$357.9 million could have been available as additional funding for education (US$35.8 million annually). Similarly, if 20% of external 2018 debt of US$2163 million (World Bank, 2018) were swapped for financing the NESIP 2020-2030, US$432.6% would be realised, translating to annual additional revenue of US$ 43.3 million for the sector.

6.5.3.2 Bond Financing

Using the case of Zambia, if Malawi issued a ten-year Eurobond of at least US$ 2 billion and 20% of that were meant for education, this source could potentially secure at least US$400 million for the sector for 10 years, which translates to annual revenue potential of US$40 million.

6.5.3.3. Education Levy

Malawi is already implementing a levy in the education sector known as a Technical Entrepreneurial Education and Training (TEVET) levy. The TEVET levy is based on a 1 per cent contribution of the payroll from both public and private employers, managed by TEVET Authority (TEVETA). The levy potential could be maximized by expanding the scope of the levy in terms of coverage (i.e. to cover the whole education sector) as well as in terms of volume (i.e. to increase the percentage) using the case of Zimbabwe where 3% is levied on employees to support the country's AIDS programme. The education level potential in Malawi is that it would generate revenue amounting to an annual average of K49.9 billion (US$68.4 million).

6.5.3.4 Diaspora Contribution

Using cases from Ethiopia and DRC, Diaspora contributions could raise funding for education through contributions, securitization of remittances and diaspora bonds. These strategies could generate US$49.5 million annually for education. (Source: CSEC, 2017)

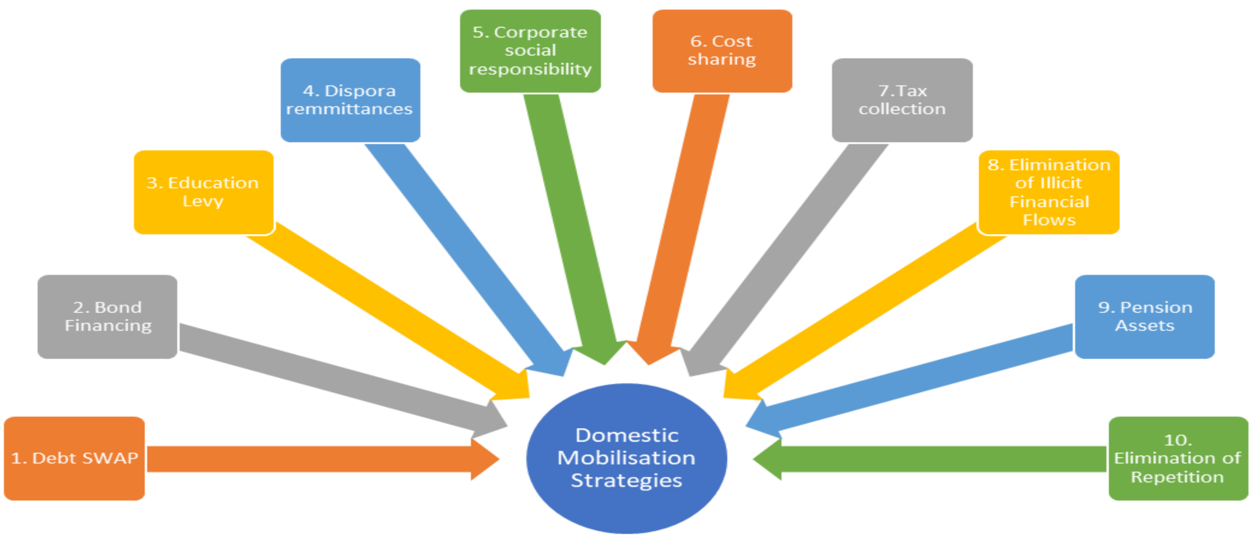

Figure 38: 10 promising domestic resource mobilisation strategies

Source: The Researcher (2020).

Below we examine the potential of the six extra strategies not included in the CSEC (2017) study. These are: Corporate Social Responsibility, cost sharing, taxation, elimination of illicit financial flows, pension assets, and elimination of repetition in primary.

6.5.3.5 Potential of Corporate Social Responsibility

Respondents suggested that corporate social responsibility (CSR) should be tried as a strategy to increase funding for the education sector. Education and Health are some of the sectors where organizations are known to be focusing their CSR responsibilities in Malawi according to a publication by Kayuni and Tambulasi (2012). These organizations engage in CSR due to various motivations including boosting the corporate image of the company, acting as a branding strategy and that it provides free publicity (Kayuni & Tambulasi, 2012 and Bello *et al*, 2017).

Examples from South Africa and India show that indeed CSR could play a big role in supporting education if well structured. According to Moumné and Saudemont (2015: 85) in South Africa, 1 per cent net of profits must be directed to CSR investments activities and these have doubled since 2001 and 2013 (more than 40 per cent of the USD 700 million spend has been put into the education sector). However, the authors note that most CSR mandates are carried out at the discretion of the enterprise, so education is not always the sector in which the funds are invested.

In the case of India, the authors note that "if 2 per cent of the USD 2 billion was applied to education in India, companies could enroll India's 17.8 million out of school children (age 5-13) into school. By using 0.14 per cent of available CRS funds, companies could help enroll 50,000 girls in school. Only 16 per cent of CRS funds would be required to enroll 100,000 children at risk of child labour. And by spending 0.25 per cent of available CRS funds, companies could help enroll 100,000 children with disabilities in school (Moumné & Saudemont, 2015: 85). Malawi has a lot of companies and businesses most of them foreign multinationals from South Africa, UK and China. If a tax were imposed on these companies like in India, a lot of funds could be raised to support the education sector and other sectors that are underfunded.

For instance, there is a big potential from financial institutions which are making good profits in recent history. According to the Financial Institutions Supervision Report 2018 prepared by the Reserve Bank of Malawi (RBM) a total of 6 categories of financial institutions (Banks, General Insurance, Life Insurance, Pension sector, Capital Market and Microfinance) had total net assets valued at K3141.9 billion (RBM, 2019). The details are presented in figure 39.

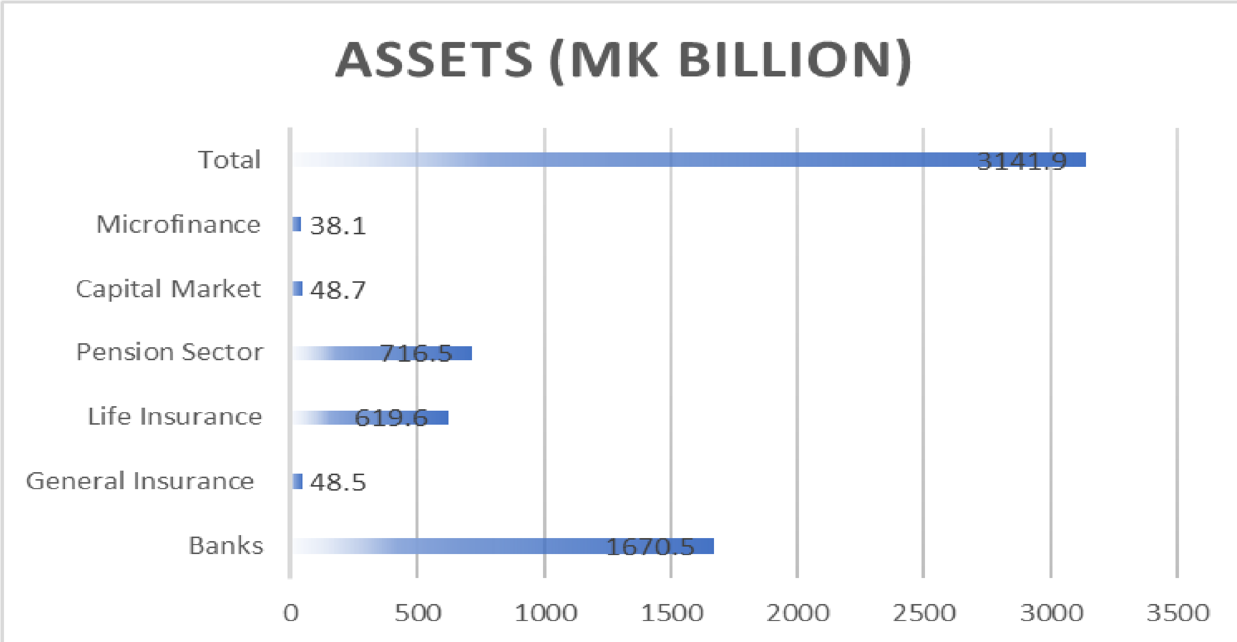

Figure 39: Assets of Financial Institutions 2018 (MK' billion)

Source: RBM (2019).

From figure 39 it is evident that the highest assets are owned by the banks with total assets estimated at K1,670.5 billion (RBM, 2019: 11). Like in India if 2% tax were levied on these assets as CSR by the banks to education, this could raise at least K33.4 billion (US$46.4 million). If the CSR levy were imposed on all the financial institutions with total assets worth K3141.9 billion, this could translate to K62.8 billion (US$87 million). If other businesses or industries such as agriculture, tourism, mining, energy, and retail were roped in, the revenue potential could even be much higher. However, in Malawi there are three critical barriers to CSR which need to be addressed. These include financial constraints, a lack of top management interest, and lack of awareness in CSR (Bello *et al* 2017: 16). There is need for government to address these issues in order to attract CSR from several business institutions.

6.5.3.6 Potential of Taxation

Malawi's domestic resource mobilisation largely depends on performance of taxes and a higher performance in tax collection is a big potential for increase in domestic resource mobilisation to support sectors such as education. For instance, according to Ministry of Finance (MOF, 2019) in 2018/19 financial year total revenue and grants amounted to K1.121 trillion (representing 19.9% of the GDP) out of which K1.052 trillion (90%) was from domestic revenue. Therefore, the recommendation by respondents around taxation is in tandem with economic trends and government's development cooperation strategy 2014-2018(MOF, 2014). The call for increased tax collection comes against a history of failure to collect tax to match with international benchmarks or national targets, whereby tax revenue as percent of the GDP has not been consistent with and often below MGDS projection of 24% and international benchmark of 20%. For instance, in 2013/14 the collected tax was 20.18% of the GDP, followed by 18.26% in 2014/14, 17.57% in 2015/16, 19.80% in 2016/17, 18.62% in 2017/18 and 18.80% in 2018/19. Except for 2013/14 government failed to achieve the international/MGD targets. Interestingly, tax performance had positive variance only in two years in which the tax to GDP ratio was surpassed or was close to 20% (2014/15 and 2016/17). In concrete figures, in 2017/18 taxes amounted to K861.9 billion against an end-year revised target of K870.9 billion reflecting an under performance of K8.9 billion. In 2018/2019 taxes collected were K968.9 billion against a Mid-Year target of K978.7 billion thereby underperforming by K9.7 billion; (MOF, 2019: 9,16). For the four years whereby tax collection target was not achieved (2014/15; 2015/16; 2017/18 and 2018/19) the cumulative underperformance amounted to K56,225 million (US$70,090 million). The above details are illustrated in table 55.

Table 55: Tax revenue performance versus GDP 2013/2014 to 2018/2019

Year	GDP at current prices (K' million)	Tax Revenue performance K' million			Tax Revenue as percent of GDP		
		Targets/ Estimates	Outturn	Variance	International benchmark	MGDS Target	Actual
2013/14	1,924,110	328108	388360	+60252	20%	24.2	20.18%
2014/15	2,534,472	482883	462908	-19925	20%	24.1	18.26%
2015/16	3,213,173	582076	564441	-17635	20%	24.0	17.57%
2016/17	3,812,566	708837	754909	+46072	20%	24.0	19.80%
2017/18	4,629,404	870860	861944	-8916	20%	24.0	18.62%
2018/19	5,152,743	978678	968929	-9749	20%	24.8	18.80%

Source: MOF (2017, 2018 & 2019); & GOM (2012 & 2017).

Malawi's tax to GDP ratio has been lower compared to other countries in recent years (UNICEF, 2019), as presented in figure 40.

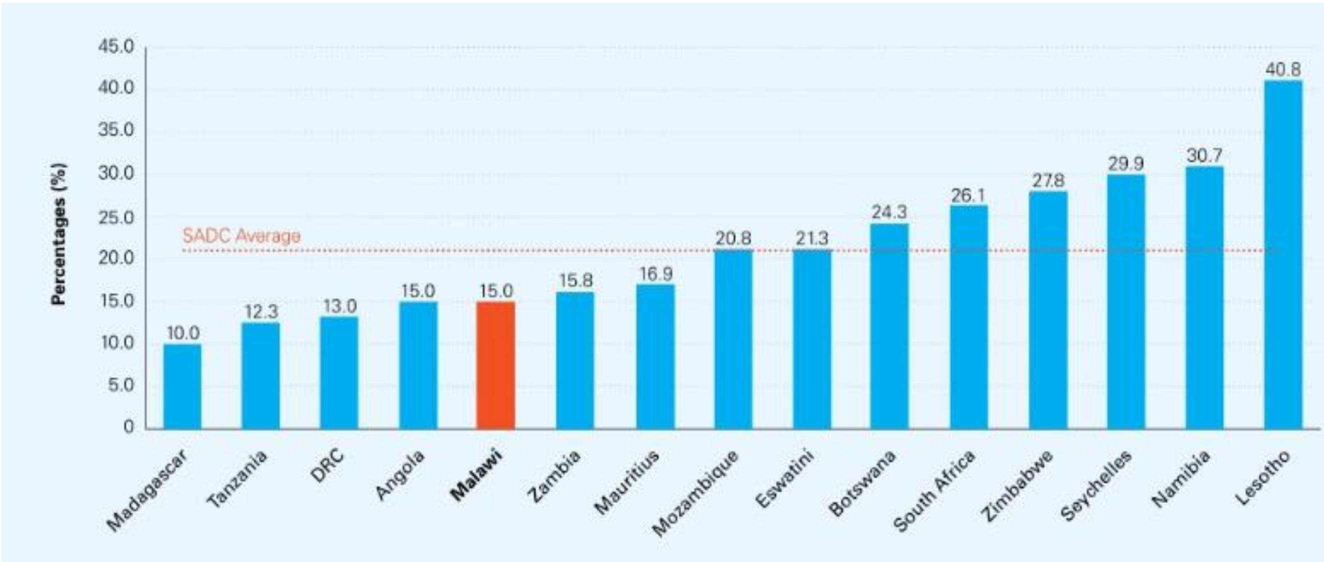

Figure 40: Average Tax to GDP Ratio of SADC Countries (2010 – 2016)

Source: UNICEF (2019: 12).

Gaps in revenue mobilization have led to increase in budget deficits and higher dependence on donors for grants. Therefore, it is critical for government to manage tax administration to increase tax collection and minimise dependence on donors as demonstrated in table 56. Increased tax collection, however, needs to be done strategically to avoid increasing the tax burden on the poor. A study by Chiumia and Simwaka (2012) noted that Malawians were heavily burdened and that previous studies had shown that a rise in tax burden was associated with a decline in economic growth in Malawi with an overall elasticity of 0.88. In addition, a study by Aiko & Logan (2014) noted that majority of the population did not support taxation as a source of revenue for the government.

Table 56: Improved tax performance and its impact on dependency on donor grants

Year	GDP at current prices (K' million)	Improved tax performance			Impact of additional revenue on donor grants		
		Revenue Outturn	Revenue at 24% of GDP	Additional revenue	Grants outturn	Additional revenue – Grants	Observation
2013/14	1,924,110	388360	461786	73426	79183	-5757	Grants dependency at K5757 million
2014/15	2,534,472	462908	608273	145365	79392	65973	Grants dependency eradicated, leaving surplus of K65, 973 million
2015/16	3,213,173	564441	771162	206721	131007	75714	Grants dependency eradicated, leaving surplus of K75, 714 million
2016/17	3,812,566	754909	915016	160107	143600	16507	Grants dependency eradicated, leaving surplus of K16, 507 million
2017/18	4,629,404	861944	1111057	249113	70155	178958	Grants dependency eradicated, leaving surplus of K178, 958 million
2018/19	5,152,743	968929	1236658	267729	115136	152593	Grants dependency eradicated, leaving surplus of K152, 593 million

Source: GDP, revenue and grants outturn figures taken from MOF Budget Documents for 2016/17; 2017/18, 2018/19 & 2019/20.

Given the tax burden Malawians are already suffering, the country needs to embrace the "tax justice model" as one way of getting the better out of taxation. According to ANCEFA (2018), the tax justice financing model is based on the understanding that tax incentives are a reduction in tax bills offered by Government. In the words of ActionAid, tax incentives are a form of public spending, reducing national budgets to spend on other things (Action Aid, 2017). As such, the Tax Justice model is premised on curbing loss of resource through prolonged tax incentives. The Tax justice model calls for a pro-poor policy for granting incentives and using some of these resources to fund education by earmarking a specific proportion of tax to finance equitable, inclusive, quality public Education. Malawi has suffered losses from tax incentives and illicit financial flows. ActionAid (2015) revealed that Malawi lost US$43 million (K19.4 billion) from 2009 to 2014 through harmful tax breaks that were granted to Paladin Africa Limited, an Australian mining company. This is a case where Malawi Government agreed with Paladin on a Royalty Rate reduction of 1.5% instead of the recommended 5%, Resource Rent Tax exemption was set at 0% compared to the recommended 10%, import value added tax (VAT) exemption was agreed at 0% instead of the recommended 17.5% and Corporate Income Tax was agreed at 27% instead of the recommended 30%. Another study by Action Aid (2017) noted that Malawi lost MK20 billion ($117.6 million) a year on average during 2008-12 from tax incentives given to corporations, which could have increased the education budget by 27% (ActionAid, 2017).

6.5.3.7 Potential from Elimination of Illicit Financial Flows

Furthermore, it is estimated that Malawi loses 10% of the GDP annually through illicit financial outflows which translates to about US$300 million (K135 billion). The cumulative annual loss through tax incentives and illicit financial flows is US$417 million (MK155 billion) which could be converted into gains. Therefore, it can be argued that gains from improved tax collection (K39 billion) and tax justice (K155 billion) have potential of generating up to K194 billion in additional revenue which could significantly eradicate the need for donor grants and tackle funding gap in social sectors like education.

6.5.3.8 Potential of cost sharing

The proposal by respondents for government to intensify cost sharing schemes is worth considering while being mindful of potential challenges. First it is to be noted that cost sharing is not new in Malawi as households contribute to fees which contribute towards government revenue for the education sector.

At primary level, education is free based on the 1994 Free Primary Education policy. However, even though primary education is free, communities make some contributions towards procurement of resources for schools. In 2013 Civil Society Education Coalition (CSEC) observed that 100% of primary schools demanded some form of payments from pupils to supplement government funding. The categories of payments included: Tuition fees, Development Fund, Textbook Revolving Fund, Mock Exam, Exam payments, Examination fees, PTA fund, and General-Purpose Fund (GPF) (CSEC, 2013: 35). In addition, up to 49 % of primary schools asked their learners to contribute to the school development funds with fees per learner ranging from MK150 to MK500. According to the study, the average per learner contribution across all schools was MK143.67 (CSEC, 2013). At secondary level, students pay fees even though recently government removed some of the fees paid by students). The fees range from K18,000 ($20) in community day secondary schools to MK 90,000 ($102) for national boarding secondary schools (Action Aid, 2017: 3) against an average unit cost for 2017/18 of K116,448 (US$132) as reported in the 2017/18 EMIS document (MOEST 2018, p27). According to MOEST (2018), households contribute 20% of the recurrent cost in a year in form of fees while government contributes about 80% of the recurrent cost (MOEST, 2018: 175).

At higher education level, annual fees in public universities are at K400,000 (US$555), while government subsidy per student varies from one university to another. For instance, according to MOEST (MOEST, 2018: 96), in 2017/18 financial year at University of Malawi the subsidy was K3,681,544 per student, while the subsidy was K1,170,000 at Mzuzu University, K4,133,539.43 at LUANAR, and K3,984,943 at MUST, giving an average of K3,242,506.61 (4,503$). From the EMIS report of 2017/18 (MOEST, 2018) one establishes that household contribution in form of fees averages 11% of recurrent costs while government contributes 89% of the recurrent cost at higher education level.

Household contribution in Malawi schools (secondary and tertiary) is lower than in other countries based on evidence from recent studies. A USAID report of 2010 noted that the 30% of the unit costs of secondary education paid by households was relatively low compared to the African average of 48% (USAID, 2010, p132). According to Wils (2015) households in low-income countries contribute 27 % of all costs, based on an unweighted average of countries based on UIS and Pôle de Dakar data of 2012 (Wils, 2015: 60). While a recent study comparing countries across Africa noted that that overall, higher education institutions in Africa generate about 30 percent of their income (Amankona *et al,* 2018) in Malawi higher education institutions generate an average of 20% against a policy target of 28% (MOEST, 2017: 23).

The above evidence shows that there is room for improvement in terms of cost sharing. Cost sharing is supported given large wage gains associated with a secondary education in the country, estimated at 123 percent higher than wages of illiterate workers (Castell *et al*, 2010). If Malawi can increase the household expenditure at secondary and tertiary levels to reach at least 30% of the recurrent costs, the overall income generated would increase and reduce the funding gap for education.

To illustrate that increasing household expenditure has potential for increasing revenue, World Bank (2016), developed a model of increasing tuition fees for Malawi higher education institutions. The model showed that if tuition fees then at K55,000 per year were to be increased to reach 30%, 50% or 70% of the unit cost, additional revenue generated would reach K 572 million, K1,265 million and K1,958 million respectively, as presented in table 57.

Table 57: Modelling of Tuition Fee Options in Higher Education to Increase Revenue

				Tuition fee option			Additional income		
	Enrollment	Unit cost	Estimated tuition fees	30% of Unit Cost	50% of unit cost	70% of unit cost	@ 30% unit cost	@ 50% unit cost	@ 70% unit cost
Medicine	733	907,112	55,000	272,134	453,556	634,978	159,158,929	292,141,548	425,124,167
Agriculture	544	661,207	55,000	198,362	330,604	462,845	77,988,982	149,928,304	221,867,626
Environmental Studies	322	610,362	55,000	183,109	305,181	427,253	41,250,969	80,558,282	119,865,595
Sciences	677	575,912	55,000	172,774	287,956	403,138	79,732,727	157,711,212	235,689,697
Engineering	412	559,563	55,000	167,869	279,782	391,694	46,501,987	92,609,978	138,717,969
Nursing	536	532,426	55,000	159,728	266,213	372,698	56,134,101	113,210,168	170,286,235
Law	134	486,836	55,000	146,051	243,418	340,785	12,200,807	25,248,012	38,295,217
Education and Media Students	478	399,420	55,000	119,826	199,710	279,594	30,986,828	69,171,380	107,355,932
Applied Science	582	358,635	55,000	107,591	179,318	251,045	30,607,671	72,352,785	114,097,899
Developmental Studies	476	330,264	55,000	99,079	165,132	231,185	20,981,699	52,422,832	83,863,965
Social Science	627	323,535	55,000	97,061	161,768	226,475	26,371,934	66,943,223	107,514,512
Humanities	910	259,663	55,000	77,899	129,832	181,764	20,837,999	68,096,665	115,355,331
Build Environment	398	213,378	55,000	64,013	106,689	149,365	3,587,333	20,572,222	37,557,111
Education	1039	129,190	55,000	38,757	64,595	90,433	−16,876,477	9,969,205	36,814,887
Commerce	630	91,930	55,000	27,579	45,965	64,351	−17,275,230	−5,692,050	5,891,130
Total							572,190,259	1,265,243,766	1,958,297,272

Source: World Bank (2016: 120).

Borrowing from the World Bank (2016) model with some variations, it can be demonstrated that increasing fees in secondary and tertiary institutions to reach at least 30% of the recurrent unit cost could bring about additional revenue of at least K10.9 billion. This can be increased to K39 billion, as demonstrated in the table 58.

Table 58: Revenue Potential from Increased Household Contribution (in K' million)

Level	Recurrent Cost (2017/18)	% of Household Contribution (2017/18)	Amount of Household Contribution	Household Contribution Options as percentage of recurrent cost			Additional income at various percentage levels		
				30%	50%	70%	@ 30%	@50%	@70%
Secondary	30,400	20%	5,000	9,100	15,200	21,280	4,100	10,200	16,280
Tertiary	39,800	13%	5,100	11,940	19,900	27,860	6,840	14,800	22,760
Totals			10,100	21,040	35,100	49,140	10,940	25,000	39,040

Source: Projections made from Recurrent cost and household contribution figures presented in EMIS Report for 2017/18 (EMIS, 2018)

The additional revenue from increased household contributions could have significant reduction of the funding gap. Recent EMIS data (MOEST 2018) shows that a three-year funding from coring 2015/16 financial year, 2016/17 financial year and 2017/18 financial year averaged K18.8 billon. If household contribution reached 30%, this could have reduced the average funding gap by K7.86 billion (42%). However, if it reached 50% or 70% then there would be no funding gap. In fact, at 50% and 70% MOEST would have had additional revenue amounting to K6.2 bn and K20.24 billion to cater for other needs in the education sector.

However, though with high revenue boosting potential, cost- sharing through progressive increase in fees is likely to face challenges. The United Nations 2030 SDG agenda recommends free lower secondary education (UNESCO, 2015; UNDP, 2015), which means that continuation of cost sharing at this level may contravene the global policy agenda. In fact, in response to the SDG

Agenda 2030 the government of Malawi made a move towards free secondary education in 2018 by announcing the abolition of some of the user fees including tuition fees (K1,500/ year), from 25th September 2018, and Textbook revolving fund (K500/year) and General-purpose fund (K750/year) from 1st January 2019. Under the policy students shall pay MK 3,250 (US$4) less in fees. However, as noted by the World Bank (2019), there are costs that student will continue to pay, with total school fees ranging from a high of MK 95,000 (US$126) per year for national schools to a low of MK 8,250 (US$11) per year for CDSSs (World Bank, 2019: 11). The justification for removing some of the fees is to remove all barriers preventing children from accessing secondary education (MOEST, 2018, Ministerial Circular). This move was in contradiction with a recommendation MOEST made in its own publication a year earlier, in which it called for increased cost sharing measures between government and parents/guardians to improve the amount of resources in the sub-sector (MOEST, 2017: 24).

In addition, two influential publications (USAID, 2010 & Action Aid, 2017) noted that cost sharing had negative impact on equity and inclusion especially for poor households that could not afford paying for their children's education. In 2010 USAID noted that even though the contribution of households to secondary education was lower in Malawi than other countries, rather than increasing the fees (cost-sharing), there was need for increased public funding of education because "the poor, by far, bear the burden of under-funding, hence arguing for increased, and more equitably distributed, public funding of secondary education" (USAID 2010: 132). On its part Action Aid (2017) noted that the cost of education hinders the attendance of the poorest households, with net attendance rates at secondary level ranging from 41% in the highest income group (top quintile), to 19% for the next highest, and below 11% for the lower income groups. According to Action Aid (2017) this "in turn shapes the learning opportunities of children in Malawi and creates and entrenches social inequalities" (Action Aid, 2017: 3).

Moreover, although the global trend reflects that universities are sometimes funded using student fees raising student fees is a contentious issue in Malawi. It is argued that most Malawians are indigent and cannot afford to pay for tertiary-level education. Hence, government introduced a University Students Loan Scheme for Malawian students, to help them meet their financial obligations. However, this approach only addresses the fees issue since being needy is not only in relation to the fees (Kufaine, 2019).

Despite criticism against cost-sharing a compelling publication has demonstrated that reduced cost-sharing or abolition of school fees does not really benefit the poor in Malawi. Kadzamila *et al (*2019) have noted although government introduced free primary education in 1994, children from poor households fail to complete primary education and proceed to secondary education. In addition, although household cost reduces immediately after abolition of fees, household expenditures increase overtime.

> *"Government requires additional funding to pay for lost revenue due to free education. Unless government gets additional revenue and spends more to finance free education, it is households that pay the gap. Household costs increase overtime. For instance, "Household costs of education substantially reduced following FPE from MWK539 in 1983 to MWK284 in 1998 but increased to almost to their pre-FPE levels (MWK426) in 2001" (*Kadzamira *et al, 2019).*

A study by Action Aid (2017) noted that "even though public primary school is tuition free, the indirect costs (such as school uniforms, meals, transportation, learning materials, infrastructure maintenance or cleaning) pose a barrier for poor families in Malawi" (Action Aid, 2017: 3). For this reason, even though government had recently announced abolition of some fees in secondary education, there was no guarantee that such a move would benefit poor families. Kadzamila *et al* (2019) observes:

> *"Fee-free secondary education will require additional resources to compensate for the lost revenue (and more resources e.g. teachers, buildings), with implications for the need for greater investment in primary education, particularly lower classes for the sake of equity. Given experience from the free primary education, the majority of disadvantaged children are more likely to drop out before completing primary school and transition to secondary school. Only 15% of the poorest children in rural areas enter secondary school, and almost no one completes lower secondary compared to 68% and 37% of the most advantaged children respectively. Without reforms at primary poorest children have little chance of benefitting from abolition of fees at secondary level" (*Kadzamila *et al, 2019).*

Where cost-sharing is maintained there is need for government to put in measures to ensure that children from under-privileged households who are unable to pay fees are supported through a bursary scheme (at secondary level) and a loan scheme (at tertiary level). There is, however, need for increased funding for both the bursary and loan schemes given that some of the needy students fail to access the facilities thereby risking dropping out from secondary or tertiary education.

6.5.3.9 Potential from Pension Assets

Idle pension funds form a big potential to boost domestic resources especially for infrastructure projects which are needed in the education sector to construct classrooms, teachers house, toilets among others. According to AFDB (2018) "Africa sits on a vast amount of pension funds, insurance funds, and sovereign wealth funds collectively worth more than US$1 trillion. But the continent is struggling to use these funds to invest money that is desperately needed to close its infrastructure financing gap of between US$68 and US$108 billion" (ADB, 2018).

According to Jadoo (2019), participants of Pension Funds & Alternative Investments Africa conference held in Mauritius, noted that a conservative estimate is that pension funds in the six largest sub-Saharan African countries will see their assets grow from USD 600 billion in 2020 to almost USD 7 trillion by 2050. Jaddoo (2019) observed that the New Partnership for Africa's Development (NEPAD) had come up with an initiative supported by the African Union Heads of State which encourages member states to allocate 5% of their assets to financing the continent's infrastructure, from what is currently a low base of approximately 1.5%, in order to bridge the infrastructure gap of at least US$68 billion (Jaddoo, 2019).

In Malawi, government in 2011 enacted the Pension Act with the primary objective of promoting financial security in retirement by mandating all employers to put their employees on a pension scheme and remit the requisite pension contributions to a pension fund (Kabambe, 2019: 30). According to Kabambe (2019) a secondary objective was to promote accumulation of national savings that would support national development through various investment. Chihana (2017) observes that in Malawi infrastructure development bonds could tap into idle long-term pension funds which are a cheaper alternative to Traditional Bank loans which are usually short term and carry higher rollover/refinancing risk. Growth of pension assets has averaged 37.3% from K59.5 billion in 2010 and has been supported by mandatory contributions and investment returns (Chihana, 2017). Latest figures show that since the passing of the Malawi Pensions Act in 2011, the number of people with pensions has increased from 102 505 in 2011 to 422 993 as at March 31, 2019, with six pension service companies as opposed to three at the beginning (Phiri, 2019). Phiri (2019) further notes that annual contributions collected have increased from a meagre K8.6 billion in 2011 to K98.3 billion in 2018, while pension assets have increased from K74.8 billion in 2011 to

K757.4 billion in March 2019, which is about 14.4 percent of the gross domestic product (GDP) currently at about $6.5 billion (about K4.8 trillion). RBM projects that by 2019, pension assets will be at K894 billion and increase further to K1.1 trillion by 2020. Table 59 shows trends in pension assets since 2011.

Table 59: Growth in Pension Assets 2011 to 2020 (K' billions)

Year	2011	2012	2013	2014	2015	2016	2017	2018	2019	2020
Assets	74.8	101.7	177.8	247.5	312.2	380.8	532.2	716.5	894*	1,100*

Source: Chihana (2017); Kabambe (2019); Phiri (2019) & RBM (2019).
*Projections by RBM (2019).

If the education sector in Malawi got 20% of the K1,100 trillion assets offered by the pension funds by way of a ten-year infrastructure development bond, there could be K220 billion available for infrastructure projects in the sector which could benefit more the tertiary institutions. Over the ten years, the annual additional funding from pension assets would amount to K22 billion ($30.5 million), which would reduce the average ODA to education of $99 million (K71.2 bn) by 30%. While there is potential to invest in infrastructure using pension funds, government needs to address some obstacles faced by corporations in the process. One of the obstacles has to do with taxes as noted by Phiri (2019) in an online publication. Phiri (2019) notes that during a symposium on pension funds' investments in infrastructure organised by the Reserve Bank of Malawi (RBM) on 30th April 2019, stakeholders pointed out that taxes such as value added tax (VAT) and capital gains tax imposed on infrastructure were hindering pension fund managers from investing a huge chunk of pension funds in infrastructure development, resulting in most of the money being invested in short-term instruments. Other issues noted by Chihana (2017) are that pension assets are mostly invested in short term investments despite having long term liabilities and that a significant proportion of assets is invested in government securities – mostly funding recurrent expenditure as opposed to developmental projects. There is also a need to raise awareness since there has been little progress in directing some of the funds towards infrastructure project (Kabambe, 2019).

6.5.3.10 Potential of elimination of repetition in Primary Schools

Over the past five years number of repeaters (corresponding repetition rates) in primary school level have been on an increase from 832,896 (18.5%) in 2012/2013 to 1,170,337 (23.9%) in 2016/17. This has tripled increase in the money lost annually through repetition from K7.6 billion in 2012/2013 to K23.0 billion in 2016/2017. Annually, government loses an average of K14.5 billion, translating to K72.5 billion lost over the past five years through repetition in primary schools, as shown in table 60.

Table 60: Financial Loss Through Primary School Repetition 2012/2013 To 2016-2017

YEAR	PRIMARY ENROLMENT	REPETITION RATE (%)	NO OF REPEATERS	PRIMARY UNIT COST (K)	FINANCIAL LOSS (K)
2012-2013	4,497,541	18.5	832,896	9,186	7,650,982,656
2013-2014	4,670,279	19.2	896,110	10,519	9,426,181,090
2014-2015	4,670,279	21.9	1,021,681	12,977	13,278,787,957
2015-2016	4,804,194	23.3	1,123,535	17,045	19,150,654,075
2016-2017	4,901,009	23.9	1,170,337	19,675	23,026,380,475
Total money lost through repetition for the past five years					**72,532,986,253**
Average annual loss through repetition for the past five years					**14,506,597,251**

Source: Enrolment, repetition rates and unit costs taken from Ministry of Education Annual Education Statistics Publications: EMIS 2017; EMIS 2016, EMIS 2015, EMIS 2014 & EMIS 2013.

This money wasted through repetition amounting to K14.5 billion (US$20 million) could be used to buy teaching and learning materials, construct teachers' houses, construct classrooms, and pay salary arrears for teachers, thereby easing some of the perennial challenges experienced in the sector. The money could also reduce the annual funding gap of K18.8 billion by around 77% and reduce reliance on donor grants by 20%. Therefore, government should address repetition to avoid undue losses in the system and enhance domestic resource mobilisation potential.

6.5.4 Aggregating potential from domestic sources in tackling dependency on donors

Appendix 5 presents a modelling of revenue potential from the 10 funding strategies discussed in the previous section. The aggregate potential additional funding is US$2020 million at national level and US$527 million at education sector level as shown in figure 41.

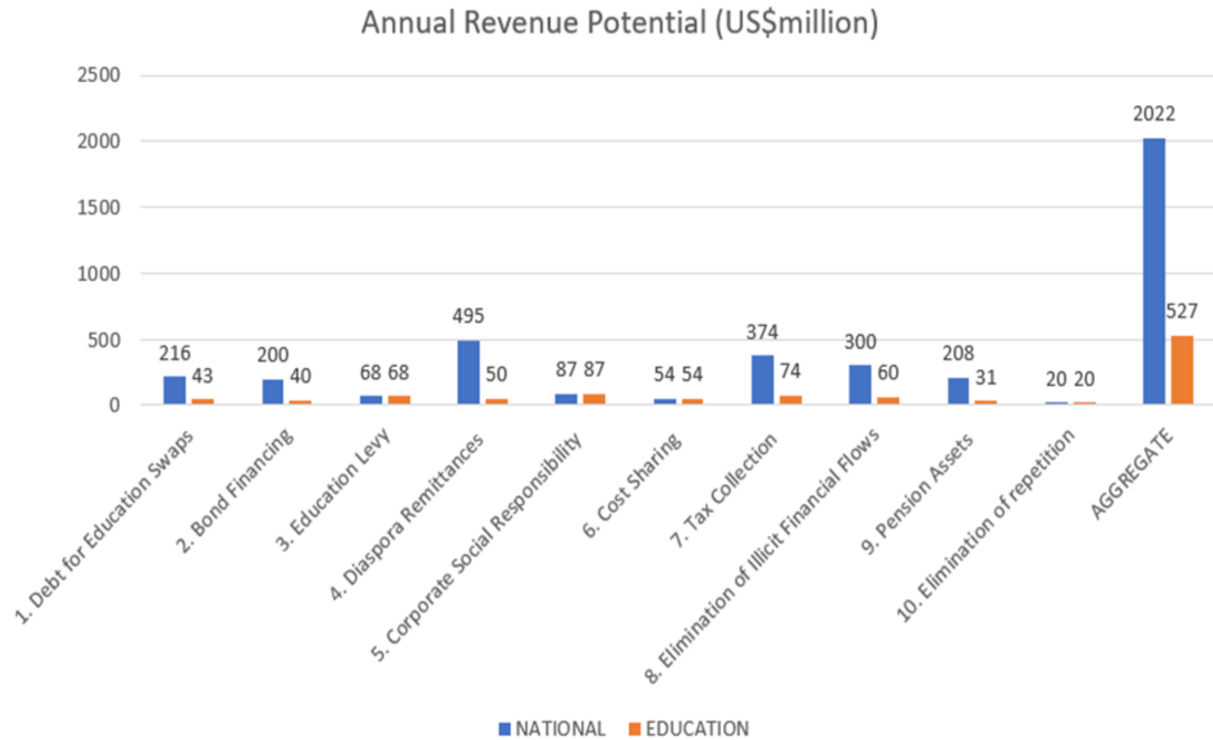

Figure 41: Annual revenue potential from proposed domestic mobilisation strategies

Source: The researcher (2020).

The potential National annual additional funding of K1.456 trillion (US$2022) from the ten strategies is equivalent of the entire 2019/20 national budget of K1,425 billion (MOF, 2019) or twice the average annual donor grants of US$1.1 billion. It is also 9 times as much as the deficit of K155.9 billion projected for the 2019/20 budget (MOF, 2019). Figure 42 shows the comparison.

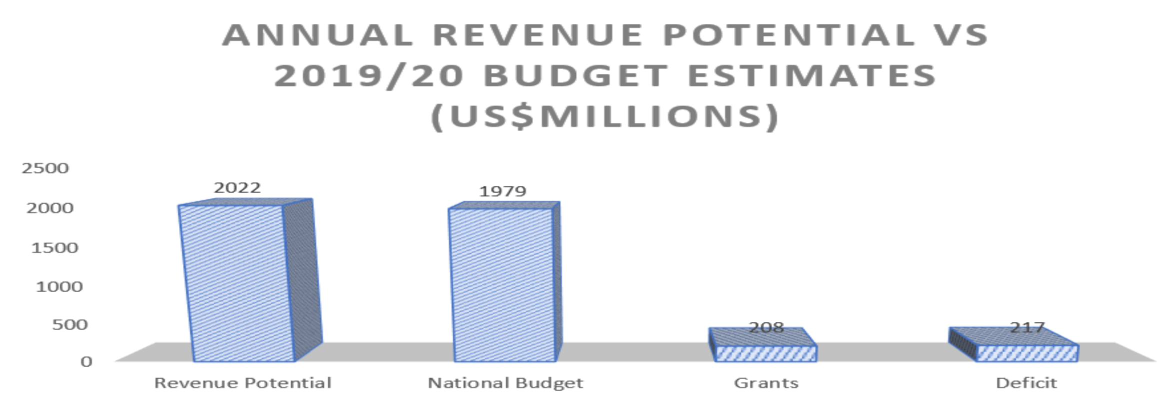

Figure 42: Annual revenue potential vs Budget (2019/20), Grants and Deficit

Source: Budget grant, deficit figures from MOF (2019); Revenue potential from The Researcher (2019).

At sector level, the potential sources together amount to K379 billion (US$527 million) annually for the education sector (which is more than twice as much as the 2019/20 education sector budget of K172.8 billion (MOF, 2019) or five times the average annual donor grants of US$99 million to Malawi for the period 2010 to 2017 (figure 43).

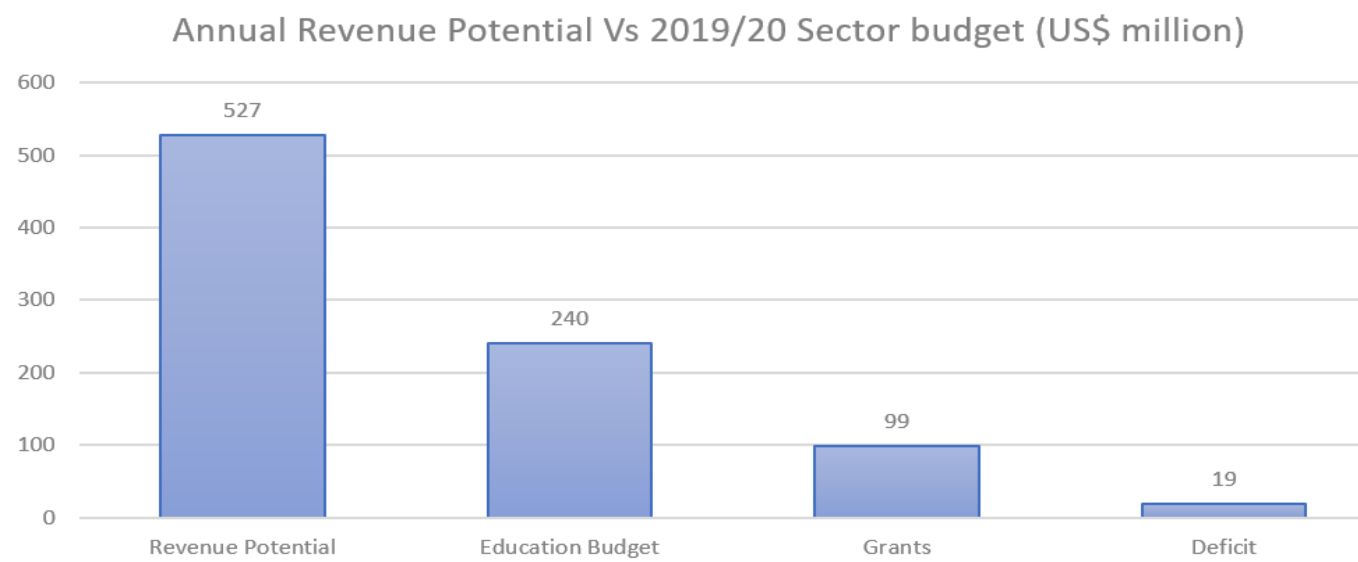

Figure 43: Annual revenue potential compared with education budget, grants and deficit

Source: MOF (2019) & MOEST (2018).

The potential for education is also 28 times the annual deficit for the education sector estimated at K18.8 billion (MOEST, 2018). The comparison is presented in the figure 42. This potential could drastically reduce (eliminate) the need for reliance on donors and address deficits in the education sector.

6.5.5. Recommended Institutional Level Strategies

The ten strategic options discussed in section 6.4.3 and 6.4.5 are more applicable at national level given their coverage and high level of effort required to produce adequate revenue to finance education and reduce dependency on donors. Findings from the study have noted that at micro level primary schools, secondary schools, and tertiary institutions (public colleges and universities) face the most negative effects of underfunding and donor dependency since they run on the ground. Moreover, even though they are funded through national coffers, the individual institutions needed to address secondary dependency which comes about when government is not able to meet their budgetary needs. Hence it is critical for managers at institutional level to grow their revenue diversification skills in order to generate more income for local operations. For this reason, the sub-section below, discusses strategies with potential to raise revenue at school, college and university levels.

6.5.5.1. Strategic Options for raising revenue to reduce dependency at Primary School Level

Primary schools in Malawi account for over 80% of total student enrolment in educational institutions (MOEST 2019). However, with introduction of free primary education in Malawi and contribution of the same as government policy (GOM, 2017), primary schools depend on subventions from government and contributions from donors and communities to make ends meet, but with little success as huge budget deficits cause declines in quality of education, with negative impact of the nearly 5.5 million students enrolled at that level. From the study findings, presented data shows that at primary level there were three main sources of funding in sampled schools were government subventions (42%), community contributions (37%) and donors (21%). However, funding gap at primary school level averaged 73% of the budgets of schools with data over the period 2013-2016, representing the highest gap compared to 16% at secondary. Hence the need to scale up income generating activities at that level.

Descriptive statistics on new funding mechanisms showed that respondents from primary schools preferred voluntary contributions for education, establishing an education trust fund and corporate social responsibility. Given the capacity at school level, realistic sources could be voluntary contributions for education and corporate social responsibility. Establishing an education trust fund could work better at national level.

Pragmatic content analysis from interview schedule showed that respondents recommended re-introduction of primary school fees, legalisation of PTA funds and school development funds, and the promotion of income generating activities in general. PTA funds and school development funds are already being implemented in many schools (CSEC, 2017) and so they may not be something difficult to adopt for most schools. However, Malawi is currently implementing free primary education and government policy is to continue with the policy. Hence re-introducing primary school fees, even as it has high potential to generate incomes in primary schools, would be a difficult legal task to accomplish.

Literature reviewed from other countries such as Zambia, Kenya, South Africa, Rwanda, and Nigeria provides several options applicable to primary schools. These include contributions from pupils and the public, entrepreneurial activities, special events and partnerships with private sector, NGOs and donors. Concerning contributions from pupils and the public schools have options for collecting user fees, PTA contributions, alumni contributions, and individuals from the general public. Regarding entrepreneurial activities schools have possibilities for running tuck-shop to sale items, hire of school premises and property, money and capital market, raffles, endowments; and managing a school farm (agribusiness). Schools can also engage in partnerships with NGOs, donors, private sector, etc.

Furthermore, schools can organise special events such as civilian days, career days and staging plays (Olu (2012); Paxon (2012); Syacumpi (2012); Gongera (2013); Mestry (2016) and Nwakpa (2016). Some of the strategies obtained from literature are already being tried in Malawi such as PTA funds, school development funds and voluntary contributions from the general public. However, the rest of the activities remain to be tried in most schools.

The activities above demand that the school should develop entrepreneurial skills and ensure that school fundraising strategies don't come at cost of quality education delivery (Syacumpi, 2012 & Mestry, 2016).

6.5.5.2. Strategic Options for raising revenue to reduce dependency at Secondary School Level

Secondary education in Malawi caters for around 400,000 students in public and private schools, with public enrolment catering for majority of the Malawians. Most of the public secondary schools in Malawi face funding gaps in their operations with an estimated 16% gap from the sampled schools with data. The situation is worse for community day secondary schools (CDSS) which account for majority of school enrolment at secondary level and yet are poorly funded (Mathematica, 2019; MOEST, 2019). Presented data shows that at secondary level the main sources of funding in sampled schools were school fees (45%), government subventions (41%), alumni (5%) and community contributions (9%).

Descriptive statistics on new funding mechanisms showed that respondents from Secondary schools preferred voluntary contributions, sale of products and services and special levies like education levy. Due to legal and practical reasons the education levy would better be handled at national level, but schools can strategies on voluntary contributions and sale of products and services. Pragmatic content analysis from interviews showed that respondents recommended raising of school fees, bursaries and school development funds among income generating activities at secondary school level. Raising of school fees could bring about an issue since government abolished tuition fees, textbook revolving fund and school development fund as a measure towards introducing free secondary education (MOEST, 2019). As such increasing of school fees would face policy and legal challenges.

Most of the strategies from literature reviewed from Zambia, Kenya, South Africa, Rwanda, and Nigeria recommended at primary level above are also applicable to secondary schools. However, as noted in those countries there is need to develop skills and capacity to balance between entrepreneurial activities and provision of quality education (Syacumpi, 2012 & Mestry, 2016).

6.5.5.3. Strategic Options for raising revenue to reduce dependency at College and University Level

The World Bank (2016) reports that public universities in Malawi such as University of Malawi (UNIMA), Mzuzu University, Lilongwe University of Agriculture and Natural Resources (LUANAR) and Malawi University of Science and Technology get funding from government through annual subventions, from donors through projects, from student fees, from Alumni Associations and from private sector. Other sources include rent recovery from staff; administrative and overheads costs from projects and consultancy fees; payments for conference facilities, the staging of conferences and workshops; catering; book sales; the renting of sports facilities; facility hiring fees; interest from bank balances; and dividends from medical schemes (World Bank, 2016). Findings from this research revealed that at tertiary institutional level, the main sources of funding were government subventions (37.5%), donors (25%), hire of services (12.5%), school fees (12.5%) and consultancies (12.5%). However, most colleges and universities face huge deficits which require extra measures to increase the funding base and reduce dependency.

Descriptive statistics on new funding mechanisms showed that respondents from colleges and universities preferred special levy, debt conversion bonds and sale of products and services. Except for debt conversion bonds the other preferred sources could be applicable for colleges and universities. Pragmatic content analysis from interviews showed other options that could assist colleges and universities such as raising school fees, increasing bursaries, and engaging in other income generating activities. From the national level strategies, cost sharing (by increasing the fees), and use of idle pension assets could help enhance revenue generation capacity for colleges and universities. Furthermore, experiences from other universities in Africa and elsewhere in the World, would assist Malawi universities in increasing their revenue base. For instance, research projects and maximization of student enrolment through a dual track system as practiced by Universities in Kenya (Gebreyes, 2015) have not been fully explored in Malawi.

6.5.6. Implications of proposed strategies for education managers

The discussions under objective 4 show that managers have good suggestions on strategies to increase domestic resources for financing the education sector and what is needed is for government to provide a framework for making suggestions or accepting new ideas, innovations in line with diffusion of innovation framework. According to findings, for improved implementation of resource mobilisation strategies study respondents suggested sensitising schools on the importance of income generating activities at school level, involving more stakeholders including communities in resource mobilisation efforts to ensure impact and ownership, decentralising funding systems to the lower levels (at district and school levels), and minimising political interference in resource mobilisation efforts.

In addition, the findings show that it's not enough to suggest and implement the strategies. It is equally important to improve management of the resources acquired in order to maximise the use of the resources generated. To achieve high levels of pubic financial management respondents suggested the need to address corruption, improve financial management systems to address abuse and wastages and ensure prudent use of available resources. There is also need to to promote transparency and accountability through such measures as promoting results-based financing initiatives, and budget tracking exercises such as those carried out by civil society organisations like Civil Society Education Coalition (CSEC).

Moreover, there is need for government to explore the potential of each of the strategies and adopt those that have higher potential to generate significant revenue to replace or help reduce reliance on external resources. Most importantly, the adopted strategies need to be elaborated and implemented. This comes against the background that a review of six most recent national development strategies (short to medium term) has shown little elaboration and implementation of strategies. These six strategic documents are (a) Malawi Poverty Reduction Strategy Paper (MPRSP, 2002) (b) Malawi Economic Growth Strategy (MEGS, 2004), Malawi Growth and Development Strategy I (MGDS I, 2006-2011) (d), Malawi Growth and Development Strategy II (MGDS II, 2011-2016), (e) Development Cooperation Strategy (DCS, 2014-2018) and (f) Malawi Growth and Development Strategy III (MGDS III, 2017-2022).

Furthermore, from literature review and the study theoretical lenses, certain things must happen to maximise the revenue potential above. First, from the RDT, there is need to ensure a change in perception from dependency on donors to self-reliance and domestic revenue diversification.

Second, from the Human Capital Perspective, there is need to build a strong investment case for education so that more resources should be mobilised from the public, private sector and households. Third, from Diffusion of Innovation perspective, there is need to encourage innovation and increase managerial performance. Finally, from the public finance management perspective, there is need to ensure fiscal discipline and promote value for money, so that mobilised resources reach the intended beneficiaries in an equitable manner.

6.6. Discussion of findings for objective 5 – defining a theory of change for addressing dependence on donor aid in the education sector

6.6.1. Introduction

The fifth objective of the study was to define a theory of change (TOC) for addressing dependence on donor funding in the education sector in Malawi. In section 5.7 it was noted from results of the score card and thematic analyses converged on the finding that there was no TOC addressing dependency on donor funding in the education sector in Malawi. This finding was interpreted to mean that there was a need to develop a theory of change to tackle dependency on donor funding in the education sector. Going forward, which theory of change (TOC) can tackle dependency on donor funding? What would be the key features or elements of the TOC? From the findings presented in chapter 5 and discussed in this chapter, this study proposes a TOC towards ending high dependency on external donor grants and limited domestic resource mobilisation capacity, which shall be named Dependency Theory of Change (DETOC). This is informed by the pragmatic philosophical world view which seeks solutions to developmental problems. An introduction to TOC has been provided in section 2.1.5 of this paper. However, just to emphasize that DETOC is developed to contribute to philosophy through a disciplined process of change from dependency on donor grants to self-reliance on domestic resource mobilisation strategies.

6.6.2. How is Theory of Change developed?

How is TOC developed? Development of a TOC should be governed by basic principles. Some of the principles include that it should be developed consultatively to reflect the understanding of all relevant stakeholders; it should be grounded in, tested with, and revised based on robust evidence at all stages; and it should support continuous learning and improvement from programme design to closure (UNDF 2017: 5). Furthermore, according to Roger (2014) A TOC development process should begin with a good situation analysis. This involves identifying the problem that the intervention seeks to address; the causes and consequences of this problem; and the opportunities, for example, synergies with other initiatives, or existing resources that can be leveraged or strengthened (Rogers, 2014:3). Other important stages include clarifying aspects of the problem to be addressed, developing theories or activities to be conducted to address such aspects (inputs), and development of short term, medium term and long-term indicators (outputs, outcomes, and impacts) (Hivos, 2015; Roger, 2014 & USAID, 2017). The TOC is presented like a results chain or logical framework that links together the inputs, outputs, outcomes and impact (Rogers, 2014). In general, TOCs are presented in a short narrative as well as in diagrammatic form (USAID, 2017; UNDAF, 2017 & Roger, 2014).

6.6.3. Elements of the Proposed DETOC

DETOC is based on the problem addressed by the present study, the conceptual and theoretical framework, and uses findings from the study as evidence for the propositions in the results chain. The theory also informs the recommendations for the present study outlined in chapter 7. The key elements for DETOC articulated in sections 6.5.3.1 to 6.5.3.6 draw explanations from reliable resources and authors including Hivos (2015), USAID (2017), Roger (2014), and UNDAF (2017).

6.6.3.1. What is the problem and what is the Solution?

The first step in developing a theory of change involves identifying the problem, or issue that requires change (Rogers, 2014: Hivos, 2015). For DETOC the problem has been outlined in section 1.3. of the study where it is highlighted that Malawi suffers from perennial problem of high dependency on donors which puts the country at high risk of not being able to sustainably finance and achieve national goals in education. Key indicators of this problem are the fact that donor funding represents more than 30% of the education budget and there are limited sources of funding at national and institutional (level) leading to huge budget deficits (MOEST, 2019). The solution to this problem is based on the Resource Dependency Theory (RDT) advanced by Pfeffer and Salancik (1978 & 2003). Proponents of the theory suggest that the solution to resource dependency is revenue diversification (Pfeffer & Salancik, 1978 & 2003; Mitchell, 2012 and Delke, 2015). Therefore, it is our proposition that the high dependency on donor aid could be solved by adopting and implementing a diversified domestic resource mobilisation strategy. This strategy will ensure predictable and sustained long -term financing for education, leading to reduced dependency on donors.

6.6.3.2. Root causes

Having identified the problem, the next stage in the theory of change is to identify the root causes of the problem which include the aspects of the problem which the intervention will address (Rogers, 2014). Based on the theoretical and conceptual framework outlined in chapter 2 the study has identified several causes or factors. From the RDT perspective continued dependency on external donors is down to two key variables, namely, “managerial perception” and “strategic choice” which come about due to failure in the perception of the environment (Delke, 2015 & Gebreyes, 2015). These variables or factors have been confirmed by findings for the study presented and discussed in chapters 5 and 6. In addition, based on variables developed from the Diffusion of Innovation Theory, Public Finance Management Theory, Human Capital Theory and Theory of Change discussed in Chapter 3 as well as findings presented in chapter 5 and discussed in chapter 6, the study finds the following as additional factors: weak public finance management, unfavourable macroeconomic environment, lack of diversification strategy, human capacity gaps, failure to mainstream innovation. These factors are worsened by lack of an appropriate TOC in strategy formulation. These variables and factors are addressed in DETOC in section 6.5.3.3 below to achieve the desired outcomes and impact.

6.6.3.3. Inputs

Hivos (2015) and Rogers (2014) advise that it is important to develop theories, activities or inputs which will help tackle the root causes of the problem. According to Rogers (2014) this should be done when there is agreement about the current situation and the desired situation that the intervention is intended to contribute to producing. The theory should assist on how to get from the current situation to the desired situation (Rogers, 2014:3).

According to RTD proponent (Delke, 2015 & Mitchell, 2012) the problems of managerial perception and strategic choices can be tackled by assisting the managers to change their perceptions and choices so that they correctly perceive the environment. The theories that address this challenge are Diffusion of Innovation Theory and Theories of Change which recommend raising awareness and providing necessary information to the targeted groups in order to change behaviour or perception (Roger, 2014; Hivos 2015, & LaMorte, 2019). In addition, the problem can also be tackled by strong lobby, advocacy and networking (Action Aid, 2017). The RDT challenges managers to develop necessary strategies to address dependency (Pfeffer & Salancik, 1978 & 2003). Since this study has noted the lack of a robust domestic resource mobilisation diversification strategy, we propose that managers of the education sector should be lobbied to develop one, informed by feasibility evaluation of each potential revenue generation strategy at national and institutional levels. Furthermore, the weaknesses in finance management, programme implementation capacity and weak integration of innovation will be addressed by developing and implementing capacity building plans in each of these areas in order to addresses the weaknesses and improve capacity and performance. These actions will be guided by insights from the Diffusion of Innovation Theory, Theory of Change, Public Finance Management Theory and Human Capital Theory. Furthermore, performance reviews and evaluations will be done periodically to track progress. It is expected that these activities will bring about the desired outcomes which are listed in the next sub-section.

6.6.3. 4. Outputs

Outputs are the immediate effects of programme/policy activities, or the direct products or deliverables of programme/policy activities (Roger, 2014; OECD, 2010). Outputs are what are produced as result of inputs and are the tangible, immediate, and intended products or consequences of an activity within the organisation's control or influence - the deliverables" (USAID, 2017). An example of output is the number of vaccines administered (Roger, 2014).

In light of the activities /inputs proposed in the section above (6.5.3.3) the main outputs for this TOC include: the number of awareness campaigns conducted for managers on perceptions and strategic choices; the information briefs or charts provided to managers on issue of dependency; the organised lobby, advocacy and networking events to influence policy and strategy change; and feasibility conducted for each of the potential revenue generation strategies. Other outputs will include the number of resource diversification strategy and capacity building plans for managers around innovation, public finance management and performance management. Finally, other outputs will be training workshops for managers and monitoring and evaluation plan that will assist in tracking progress.

6.6.3.5. Outcomes

USAID defines outcomes as conditions that result indirectly from the outputs of the project's or others' interventions or from other changes in the context. They do not happen immediately after an intervention, they depend on more than the actions of project personnel and require changes in knowledge, behaviour and attitudes or evolutionary change in the environment (USAID, 2017). Outcomes can be short term or medium term and are a central part of the TOC as a precondition for the achievement of impact of goal (Rogers, 2014). For DETOC awareness activities highlighted in the previous sub-section (6.5.3.4) should result into increased knowledge about problems of donor dependency and changed perception and strategic choice. In addition, development and implementation of a robust domestic revenue diversification strategy should lead into adoption of innovative resource mobilisation strategies and more funding sources for the education sector. Furthermore, development and implementation of capacity building plans in areas of innovation, finance management, performance management and others should result into strengthened capacity and improvements in those areas. In addition, development and implementation of a monitoring and evaluation plan should lead to a more effective results -tracking system and learning opportunities that will help address challenges encountered in implementing the domestic revenue diversification strategy. In general, education institutions should increase locally generated income, reduce budget deficits and become less and less dependent on external sources of finance.

6.6.3.6. Impact

Successful TOC should finally lead to impact or impacts but only after the outcomes are achieved. Impacts are the positive and negative, primary and secondary long-term effects produced by a development intervention, directly or indirectly, intended or unintended (OECD-DAC, 2010; Roger, 2014). For DETOC the impact will be achieved with the reversal of the problem. Key impacts for this project will be sustained domestic financing for education. With the achievement of the impact, it is expected that education institutions will have diversified sources of income and that contributions of external sources such as donors will be reduced to a bare minimum of less than 30% of the budget as espoused by proponents of RDT (Leon, 2009; Rees, 2009, & Mitchell, 2012). The narrative regarding key elements of DETOC is presented diagrammatically in figure 44 on page 234.

6.6.3.6. How to Apply this theory of Change

DETOC has been proposed as a guide to education managers and policy makers on the thinking that is required to develop strategies that will help in change in perception and strategic choice towards reduce dependency in the education sector. The complex problem of dependency requires complex solutions which should be developed and implemented following a logical order. As noted by UNDAF (2017), a TOC provides an opportunity for managers and stakeholders to guide the development of programme strategies through thinking together about the causes of development challenges and selecting the right strategy based on evidence, learning and deliberate consideration of assumptions and risks. As such leadership of educational institutions provide much of the causal, partnership, resource and contextual risk analysis that should be used to develop a theory of change. In its application, DETOC should be reflected in the institutions narrative and results matrix, including in the selection of outcomes, indicators to measure progress, risks and assumptions, and partnerships necessary to achieve results. As a guide and as something not yet tested, DETOC should not be considered as a religious book but should be adapted and adopted by managers who seek to move away from dependency syndrome. It is also hoped that the theory can apply to sectors beyond education.

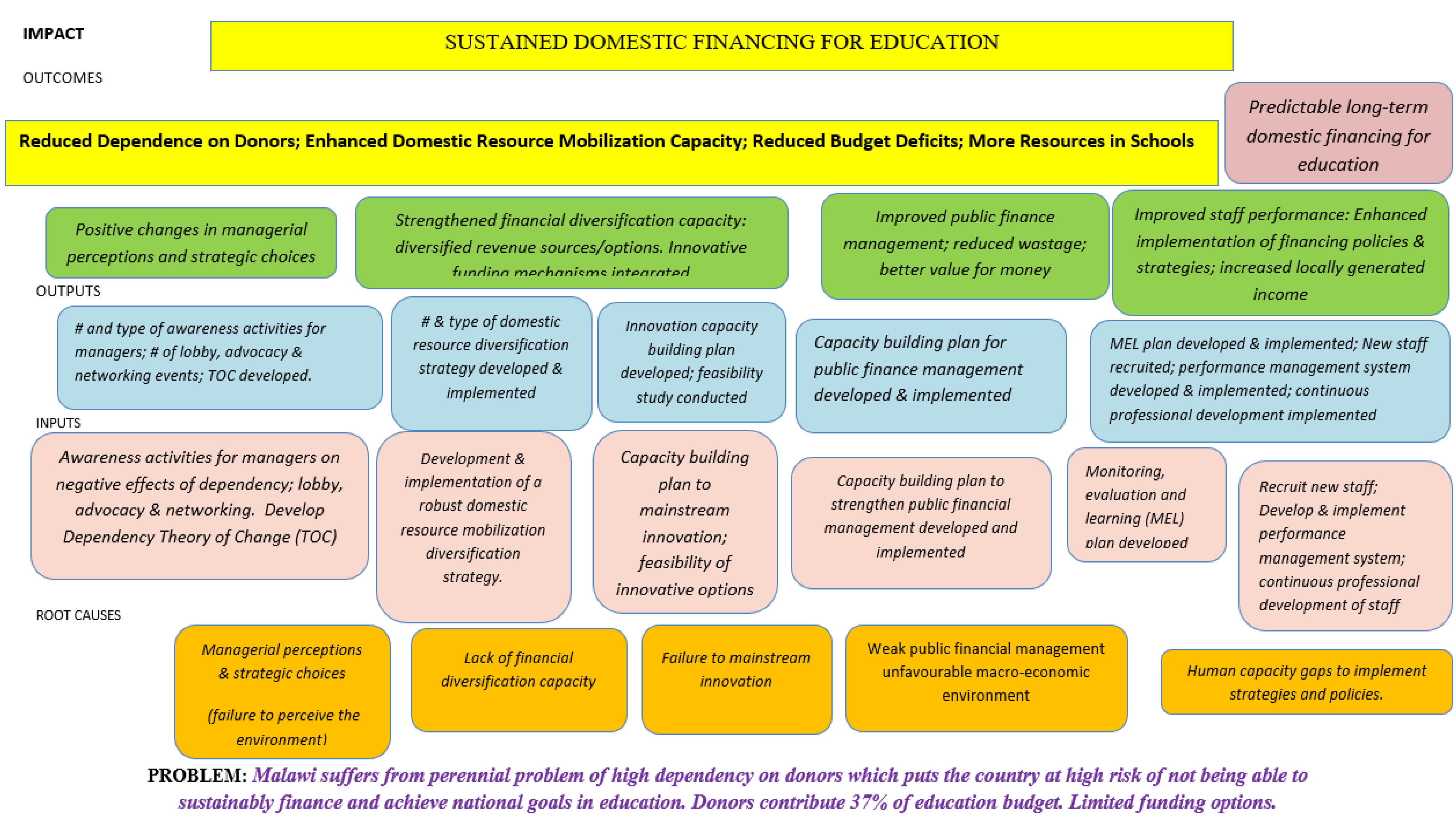

Figure 44: Dependence Theory of Change

Source: The Researcher (2020).

6.7. Chapter Summary

The chapter has discussed the study findings in line with study objectives and research questions. discusses the findings. The researcher embarked on the study with the overall objective of describing managerial perception towards dependency and discussing strategic choice in the face of high dependence on donor aid in the education sector in Malawi. The chapter has been able to establish differences and a link between managers perceptions and strategic choices in responding to the problem of dependency. The chapter has also demonstrated that apart from managerial perceptions and strategic choices there are several intervening factors that have made it difficult for the country to find lasting solutions to the problem of dependency on donors in financing education in a sustainable way. These factors include weak public finance management, unfavourable macroeconomic environment, lack of strategy, human capacity gaps, and failure to mainstream innovation. The situation is worsened by lack of substantive theory of change to translate policy and strategy into action. Towards the end of the chapter a theory of change, called DETOC, has been developed which should be able to inform managers in the education sector at various levels, to find lasting solutions to the problem of dependency on donor funding in financing education at national and institutional levels. The presentation of findings in the previous chapter and discussion of the same in the current chapter in line with the study theories and conceptual framework, have provided a solid argument towards the achievement of the research objectives. Furthermore, supported by theory and evidence from the study, a strong case has been built to enable drawing of conclusions and recommendations going forward, and this is the central theme for the next chapter.

CHAPTER 7: CONCLUSIONS AND RECOMMENDATIONS

7.1. Introduction

In the preceding chapter, findings from the study have been discussed in detail. The study was designed to respond to the problem of high dependence on door aid which puts the Malawi at high risk of not being able to sustainably finance and achieve international and national goals on education. Proponents of RDT suggest that to reduce dependency, managers have two important functions of perceiving the environment and making strategic choices, hence "managerial perception" and "strategic choice" are important variables as they relate to perception of the environment (Delke, 2015). People's perceptions have a direct influence upon their decision-making and consequently, the result of their decisions" (Özleblebicia & Çetin, 2015:297).

The study adopted pragmatic philosophy to utilise the mixed methods approach that employs both qualitative and quantitative methods to collect and analyse primary and secondary data with the objective of describing managerial perception towards dependency and discussing strategic choice in the face of donor dependency in the education sector in Malawi. The methodology proved practical and helpful in providing facts, figures and sentiments with regard to how managerial perceptions and strategic choices influenced the choice of strategies for addressing dependency in Malawi. Quantitative methods permitted the researcher to collect data through survey questionnaire administered to respondents and analyse the same data with help of correlation and inferential statistical analysis. This was very useful when describing and analysing managerial perceptions and strategic choices and analyse quantitative data through survey questionnaire. Quantitative data also enabled the researcher to use numbers to build a case on divergence in perceptions among different perceptions and strategic choices. Such numbers would have been impossible to come up with using qualitative methods. On the other hand, qualitative data helped the researcher to generate and describe ideas, feelings, and suggestions from respondents during interviews in relation to justification for choice of strategies for reducing dependency and explaining why government was not succeeding in its policies and strategies for addressing tendency. The description of these feelings could not be possible using quantitative techniques. Hence as noted by Gebreyes (2015), the use of multiple methods of data collection proved to be complementary, as one method was able to fill the gaps left by others (Gebreyes, 2015:417).

Five specific objectives informed the study findings. The first objective was to establish if there were differences in education managers' perception of the level of dependency on donor aid in the education sector in Malawi. The second objective was to establish if there were differences in education managers' strategic choices for addressing dependency on donor aid in the education sector in Malawi. The third objective was to discuss factors which contribute to the disequilibrium between policy and outcome in addressing dependency on donor aid in the education sector in Malawi. The fourth objective was to identify funding strategies which have potential to reduce dependence on donor aid in the education sector in Malawi. The fifth objective was to define a theory of change for addressing dependence on donor aid in the education sector in Malawi.

The study was guided by the following key research questions:

1) Are there differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?

2) Are there differences in strategic choices of managers in reducing dependence on donor aid in the education sector in Malawi in relation to the manager's age, gender, education level and institution type?

3) Which factors contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi?

4) Which funding strategies have potential to reduce dependence on donor aid in the education sector in Malawi?

5) What should be the key features of the theory of change for addressing dependence on donor aid in the education sector in Malawi?

This chapter endeavours to provide conclusions and recommendations for the study considering the theory of change developed in Chapter 5 which has been based on the Resource Dependency Theory (RDT) as the overarching theoretical lens and four support theories which include Strategic Choice Theory, Human Capital Theory, Theory of Change and Public Finance Management Theory, as well as empirical evidence presented and discussed in the previous chapters.

7.2. Study Conclusions

From the findings the study concluded that differences in managerial persecutions and strategic choices were the source of disequilibrium between policy and outcome in relation to tackling the problem of high dependency on donor aid in the education sector in Malawi. In addition, while addressing perceptions and strategic choices formed crucial functions in tackling dependency as suggested by resource dependency theorists, managers should also pay attention to other factors that contributed to the disequilibrium between policy and outcome. Below are specific conclusions under each of the research objectives.

7.2.1. Conclusion on objective 1- Differences in managerial perception of the level of dependence on donor aid in the education sector

The research question for the first objective was, are there differences in education managers' perception of the level of dependence on donor aid in the education sector in Malawi?

In view of the presentation of data and the ensuing discussions the researcher concluded that differences exist in education managers' perception of the level of dependency on donor funding in the education sector in Malawi in relation to the manager's age, gender, education level, institution type and document category. These differences can be attributed to the respondents who failed to correctly perceive the level of dependence as high such as majority of female respondents, older respondents, respondents with lower qualifications, primary school head-teachers and government officers. The differences significantly led to failure by managers to translate aspirations in *Vision 2020* into short to medium term policy documents at both national level in education sector level. This resulted into only 44% of the documents perceiving the level of dependency as opposed to the other 56%. RTD guides that respondents who failed to correctly perceive the level of dependency, failed to perceive the environment, and this is a cause of uncertainty and dependency (Delke, 2015).

This leads to the final conclusion that failure to perceive the environment coupled with differences in perception of level of dependency on donor aid in the education sector in Malawi explains the disequilibrium between policy and outcome and is consequently one of the main reasons for the high dependency on donors in the sector.

7.2.2. Conclusion on objective 2- Differences in managerial strategic choices in addressing dependence on donor aid in the education sector

The research question for the second objective was, are there differences in education managers' strategic choices in reducing dependence on donor aid in the education sector in Malawi? Two key conclusions emerged under the second objective.

Firstly, findings presented and discussed in chapters 5 and 6 led the researcher to conclude that differences exist in education managers' strategic choices in addressing dependence on donor aid in the education sector in Malawi in relation to the manager's age, gender, education level, institution type and document category. Like for the first objective, the difference in strategic choices can be attributed to the respondents who failed to correctly make the strategic choice of stopping dependency such as majority of female respondents, older respondents, respondents with lower qualifications, primary school head-teachers and government officers. The differences in strategic choices among managers resulted into differences in strategic choice in policy documents with just 3 out of 25 documents analysed (12%) expressing the desire to end or reduce dependency on donors, while 9 documents (36%) expressly indicated the desire to mobilize donor aid. Just as it was pointed out in the conclusion for objective one, these differences reflect lack of shared value and must be lessened according to strategic choices theory (Özleblebicia & Çetin, 2015).

Secondly, it was concluded that managerial choice of strategy was shaped by their perception towards the level of dependency. This was because according to findings respondents who perceived the level of dependency as high, preferred that government should stop reliance on donor funding while these who perceived the level of dependency as low preferred that government should continue with dependency. The correlation test showed that there was a positive correlation between perception of level of dependency and the tolerance towards perpetuation of dependency on donors particularly in terms of gender and age. This confirmed the RDT standpoint that managerial perceptions and strategic choices are key variables in tackling dependency (Delke, 2015). Thus, the findings helped to provide part of the explanation as to why despite government policies and strategies providing for the need to strengthen domestic resource mobilisation and reduce donor dependency, the country's education sector was still highly dependent on donors.

7.2.3. Conclusion on objective 3 -Factors contributing to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector

The third objective of the study was to discuss factors that contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector. The research question for this objective was, which factors contribute to the disequilibrium between policy and outcome in addressing dependence on donor aid in the education sector in Malawi? According to RDT perspective, functions of managers in minimizing external dependency depend on two key variables, namely, "managerial perception" and "strategic choice", which according to Delke (2015) constitute important sources of dependence due to failure in the perception of the environment. However, findings from the study have demonstrated that apart from managerial perceptions and strategic choices, other factors contributing to the disequilibrium between policy and outcome in addressing dependency on donor funding in the education sector in Malawi include weak public finance management, unfavourable macroeconomic environment, lack of strategy, human capacity gaps, and failure to mainstream innovation. Based on this conclusion it is hereby argued that for the RDT proponents to opine that dependency on donors boils down to two variables of 'managerial perception' and 'strategic choice' is but a half-truth especially in the context of Malawi. The performance measurement related to addressing dependency needs to move beyond the two factors and add those that have emerged from the findings, while noting that the real means available also depend on the functional structure of the Malawian society. In conclusion, the cause of disequilibrium between policy and outcome, is more complex, as it goes beyond performance of the two managerial functions suggested by resource dependence theorists.

7.2.4. Conclusion on objective 4 - Strategic options can make significant contribution towards reduced dependence on donor aid in the education sector at national and academic institution level?

The fourth objective of the study was to identify funding strategies which have potential to reduce dependency on donor funding in the education sector in Malawi. The research question was, which funding strategies have potential to reduce dependency on donor funding in the education sector in Malawi? The study concluded that there is high potential for revenue diversification to reduce dependence on donor aid, rather than relying on a single source or few sources of funding. Results of the quantitative and qualitative data analysis showed there was convergence in the data sets around the following common strategies: cost sharing (fees), taxation, education levy, basket fund, corporate social responsibility, aid, grants and loans, and community contributions (including from Alumni, and parents). In the discussion of findings, the researcher identified 10 strategies with high potential of significantly reducing dependence on donor aid in the education sector in Malawi. The 10 strategies are Debt for Education Swaps, Bond financing, Education Levy, Diaspora remittances, corporate social responsibility, tax collection, elimination of illicit financial flows, cost sharing, assets from pension funds, and elimination of repetition rates in primary education. Together these strategies have an annual national revenue potential of K1.456 trillion (US$2022) and education sector potential of K379 billion (US$527 million), which can significantly reduce reliance on donor aid and reduce funding deficits towards implementation of SDG 4 on education by 2030. The US$527 million for education is equivalent to five times the average annual donor grants of US$99 million to Malawi for the period 2010 to 2017, and 28 times the annual deficit for the education sector estimated at K18.8 billion (US$19 million). It is also equivalent to 44% of the average annual NESIP budget of US$1.2 billion and is US$110 million more than the US$417 million pledged by donors to support the NESIP for the first 5 years. The study has also identified additional sources that can be applied at institutional level (primary, secondary, and tertiary level). Hence there is need to adopt a diversified domestic resource mobilisation strategy to tackle dependency in the education sector in Malawi. Adopting revenue diversification strategy is consistent with RDT perspective which points out that “a diversified revenue portfolio decreases the instability of individual revenue sources, creating greater organizational sustainability when there’s a decline in any one source.” (Wang & Yao, 2016: 39). However, the road to total independence from donor funding would have to be gradual rather than drastic to address issues relating to differences in perception, strategic choices as well as management capacity to implement innovative alternative funding mechanisms.

7.2.5. Conclusion on objective 5 -defining a theory of change to address dependence on donor funding in the education sector

The fifth objective of the study was to define a theory of change that will assist policy makers to implement strategies recommended to address dependence on donor aid in the education sector. The study question for this objective was, what should be the key features of the theory of change for addressing dependence on donor aid in the education sector in Malawi? The study concluded and affirmed that policies and strategies of government lacked a defined theory of change (TOC) to address dependence on donor aid in the education sector in Malawi. Hence the researcher has proposed and defined a new TOC, namely, Dependency Theory of Change (DETOC) included in section 6.5. Features of the theory include the issue being addressed, inputs, outputs and outcomes. According to the theory, the high dependency on donor aid can be solved by adopting and implementing a diversified domestic resource mobilisation strategy, which will ensure predictable and sustained long -term financing for education, leading to reduced dependency on donors. It is hoped that DETOC will guide education managers in developing logical strategies and activities for addressing the challenge of dependency on donor funding.

7.2.6. Conclusion on Study Hypothesis

The study had two hypotheses as follows:

Hypothesis 1

- ***H_0*** *: There are significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*
- ***H_1*** *: There are no significant differences in managerial perceptions of the level of dependence on donor aid in the education sector in Malawi.*

Hypothesis 2

- ***H_0*** *: There are significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.*
- ***H_1*** *: There are no significant differences in managerial strategic choices for addressing dependence on donor aid in the education sector in Malawi.*

Testing of the hypotheses was done using Chi-Square test. The test was conducted to examine the association between age, gender, education level and respondent category with perceptions and strategic choices. Variables were checked to confirm if the expected responses tallied with the observed responses from the experiments using ρ and α values on the Pearson Chi-square scale. When applying the Chi-square test, the null hypothesis is rejected if $\rho < \alpha$ (Saunders et al, 2009). For hypothesis 1, the Chi-square test pi-values for respondent gender, age, education and institution type were 4.493, 6.342, 18.300 and 21.247 respectively and their asymptotic significance levels .213, .973, .436, and .450 were all above the significance level (α=0.05) of 0.05. The data showed significant differences in respondent perception on level of dependency.

For hypothesis 2, the Chi- square p values, for respondent gender, age, education and institution type were 4.978, 4.485, 16.974 and 12.282 respectively. Their corresponding asymptotic significance levels were .083, .923, .151, .584 respectively, and were all above the significance level (α=0.05) of 0.05. The data also showed significant differences in respondent strategic preferences or choices of respondents. During interpretation of results, on the authority of Saunders et al (2009) we failed to reject the null hypothesis since the p values were greater than the significance level (α=0.05). The study therefore concluded by accepting the null hypothesis, noting that there were significant differences in managerial perceptions and strategic choices.

7.2.7. Contributions of the Study to Theory

The study contributes to resource dependence theory (RDT) advanced by Pfeffer and Salancik (1978; 2003) which predicts that organisational characteristics and organisational environment will influence the strategies for addressing resource uncertainty within the organisation. The theory also predicts that an external organisation emerging from the environment will control the behaviour of a dependent organisation that seeks from it the critical resources for survival. In general, the present study has succeeded in affirming that perceiving the environment and making strategic choices are key functions of managers in reducing dependency. At the same time the study has identified other factors which affect policy and strategy implementation which would be the source of disequilibrium between policy and outcome, suggesting that managers have more functions to perform to tackle dependency rather than just perceiving the environment and making strategic choices. The study has also suggested domestic resource mobilisation strategies/revenue streams which have potential for increasing funding to the education sector and tackling the problem of dependency on external donor funding in Malawi.

Moreover, the study has led to the development of Dependency Theory of Change which is expected to guide managers in development of robust domestic resource mobilization diversification strategies for tackling dependency. These contributions have helped unlock the puzzle highlighted in the problem statement relating to the source of the disequilibrium between policy/strategy and outcome in addressing dependency on donors. This study has been able to explain the factors which affect managerial efforts to address dependency in the education sector including managerial perceptions, strategic choices, differences in managerial perception and strategic choice, weaknesses in innovation, weaknesses in public finance management, weak capacity to implement strategies, and lack of a theory of change to anchor revenue diversification strategy. Furthermore, the study has confirmed previous theory and expanded the framework to cover other theories, resulting in generating new knowledge.

Thus, this study has contributed to the growing literature on research dependence theory by providing empirical evidence in discussing the problem of dependency and offering suggestions for reversing dependency on donor aid within the context of Malawi.

7.2.8. Contribution of the Study to Philosophy

From the menu of various philosophies that guide the pursuit of knowledge such as positivism, realism, interpretivism, objectivism, subjectivism, pragmatism, functionalist interpretive, radical humanist and radical structuralist (Saunders *et al* 2009: 108), the study adopted pragmatism as a relevant philosophy for responding to the research questions. The characteristics that attracted the researcher to apply this philosophy were that among others, pragmatism opens the door for mixed methods in research design (Saunders *et al*, 2009 and Creswell, 2012) and that it is concerned with problem-solving (Farjoun *et al,* 2015). In this research pragmatism allowed the researcher to investigate a real-life research problem and apply mixed methods to understand the problem better and find practical solutions. Thus, the study adopted Creswell's (2012) triangulation convergence mixed methods design for collecting and analysing quantitative and qualitative data in order to address the research problem.

In the course of the study, qualitative and quantitative data was collected and analysed which provided descriptive, inferential and pragmatic content analyses which built on existing literature to draw conclusions from the study. Primary qualitative data was collected through interview schedule to establish differences in managerial perceptions and strategic choices in tackling dependency on donor funding. The results of such analysis were presented in verbatim quotes from the respondents. Quantitative data was collected through a questionnaire which was administered to respondents who included primary school head teachers, secondary school head teachers, college principals and representatives of government, donors, NGOs and MPs. With the help of SPSS (version 25) collected data was coded and analysed and presented in form of percentiles, means, and frequencies which constituted the facts and figures relating to the study objectives and research questions. Testing of hypotheses was done using two complementary statistical tests, namely Pearson Product Moment Correlation test and Chi-Square test.

The two data sets allowed the researcher to triangulate, interpret and discuss the findings as well as draw conclusions and recommendations from the study. The study recommendations have included practical solutions on how to address the problem of dependency on donor funding in the education sector in Malawi. Finally, a theory of change on how these recommendations could lead to the desired change has been proposed by the study in search of solutions as a key feature of pragmatic philosophy. This study has contributed to adjustments of the main theory (RDT) to better tackle dependency by using concepts from other theories, namely, strategic choice theory, human capital, public financial management theory and theory of change theory.

7.3. Study Recommendations

Based on the findings and guided by the theory of change developed for this study called DETOC, the study makes the following recommendations to help managers in the education sector to tackle the problem of high dependency on donor aid in the education sector.

7.3.1. Study recommendations for objective 1 relating to managerial perception of dependency

1) The Ministry of Finance and Ministry of Education should jointly hold a national conference on education financing by end of 2022 at which issues of dependence on donor funding should be discussed to raise awareness on the level of dependency and its impact on sustainability of education programmes.
2) The Ministry of Education should hold awareness meetings in education districts and divisions in 2021 and 2022 to raise awareness on the impact of dependency and the need to find alternative ways strategies for mobilizing funds at school, college, and university levels.
3) The Ministry of Civic Education and Ministry of Information and Culture, with support from the National Initiative for Civic Education (NICE) and Ministry of Education should by end of 2022 develop a medium-term strategy for rising awareness about mindset change and the culture of dependency to inculcate the spirit of self-reliance among Malawians.
4) Civil society organisations led by the Civil Society Education Coalition, should hold public awareness events in meetings or through the media on the level of dependency and the need to find alternative solutions starting from 2021.
5) Civil society organisations and Ministry of Education should hold joint meetings with MPs so that they should raise the issue of dependency in Parliament especially during budget sessions beginning with the budget seating of Parliament in 2021.

6) Head teachers and Principals of schools, colleges and universities should have regular meetings with their staff members on issues of education financing and level of dependency, beginning 2021.

7.3.2. Study recommendations for objective 2 relating to managerial strategic choices to address dependency

7) The Ministries of Economic Planning, of Finance and of Education should jointly hold public consultations on strategic choices in addressing dependency as part of consultations for long term vision for malawi (Malawi Vision 2063) replacing the vision 2020. The consultations should be held from 2021.
8) Civil society organisations led by civil society education network should undertake advocacy campaigns against dependency on donor funding targeting education managers and other stakeholders in the education sector from 2021. The campaigns should include spreading messages on strategic choices and alternative sources of financing the education agenda.
9) The Ministry of Economic Planning and Finance should by end 2021 develop a long-range domestic resource mobilisation diversification strategy for the Malawi Vision 2063 which should include alternative strategies to donor aid, grants and loans. To ensure alignment by all sectors, the strategy should be disseminated at a meeting involving planning and budgeting officers for all ministries including Ministry of Education.
10) The Ministry of Education should develop a robust domestic resource mobilisation diversification strategy for the NESIP 2020-2030 which should be based on an elaborate theory of change and start its implementation by the beginning of 2022. All key stakeholders including education managers at national, district and division levels should be sensitised on the robust strategy to increase awareness and support towards its implementation.
11) Head teachers for primary schools and secondary schools, and principals of colleges and universities should facilitate development of long-range strategic plans in line with NESIP 2020-2030 and include a resource mobilisation strategy that should integrate strategic choices for tackling dependency at institution level. The plans should be developed by end of 2022, with technical support from the Ministry of Education.

7.3.3. Study recommendations for objective 3 relating to factors which cause disequilibrium between policy and outcome

12) The Ministry of Economic Planning, Finance, Local Government and Education should by 2022 hold a review meeting on policy and finance management to raise awareness among line ministries on issues or factors which hinder effective implementation of policies and strategies, and come up with a strategy for addressing key issues.
13) The Ministry of Education should develop a capacity building strategy for its managers in the areas of innovation, public financial management and strategy performance management to strengthen capacity in these areas by end of 2022. The strategy should include key performance indicators for managers to facilitate continuous assessment and professional development.
14) The Ministry of Education should beef up the skills among its staff by recruiting staff with technical expertise in innovation management, public finance management, and performance management in order to improve knowledge, skills and attitudes required for implementation sector policies and strategies. The recruitment should be initiated by end of 2021.
15) The Ministry of Education should undertake annual performance reviews which should be focused in the areas of innovation, public financial management and strategy implementation. The performance reviews should be followed by development of action plans for improvements with clear performance targets.
16) The head teachers for primary schools and secondary schools, as well as principals of colleges and universities should integrate performance management in conditions of service to ensure effective and efficient implementation of policies, plans and strategies at institutional level.
17) The head teachers for primary schools and secondary schools, as well as principals of colleges and universities should develop capacity building plans for their institutions to assist them in implementing recommendations arising from performance reviews for staff.

7.3.4. Study recommendations for objective 4 relating to strategies which have potential to reduce dependency on donor funding

18) The Ministry of Education in collaboration with Ministry of Economic Planning and Finance should conduct a feasibility study for the recommended innovative funding strategies to determine their potential for mobilising resources for the education sector. This should be conducted by end of 2021.

19) The Ministry of Education should disseminate outcomes of the feasibility study proposed in number 17 above and use them in strategy development to boost domestic resource mobilisation in the education sector.

20) The Ministry of Education should train all managers of educational institutions (primary, secondary, colleges and universities) by 2023 in areas of entrepreneurship to strengthen the capacity for management of income generation activities in the education institutions.

7.3.5. Study recommendations for objective 5 relating to the Theory of change for addressing dependency on donor funding

21) The Ministry of Education should develop an elaborate dependency theory of change for the education sector which should guide the development and implementation of a robust domestic resource mobilisation diversification strategy by 2021. The theory of change should be developed with inputs from all the key stakeholders at national, division, district, and institutional levels to ensure ownership and support during implementation.

22) Educational institutions including primary schools, secondary schools, colleges, and universities should develop theory of change for resource mobilisation at school level which should be aligned to the elaborate theory of change developed by the Ministry of Education, as proposed in recommendation 21 above.

7.3.6. Recommendations for future research

23) There is need for a capacity gap assessment for the Ministry of Education, Science and Technology (MOEST) in involvement in diversification and resource mobilisation: at headquarters and institutional levels (primary schools, secondary schools, colleges etc.). The assessment will help come up with concrete strategies for addressing the gaps and strengthening domestic resource mobilisation capacity of the sector.

24) Further research should be undertaken on factors that contribute to successful domestic resource mobilisation. This should include a deeper analysis of how age, gender, academic level and institution type influence managerial perception towards dependency and revenue diversification in the education sector. This is important because it can contribute to finding long lasting strategies for addressing factors and perceptions that could hinder or enhance domestic resource mobilisation efforts.

25) There is need for a detailed appraisal of the proposed innovative funding mechanisms (domestic resource mobilisation) in Malawi. The appraisal should include the feasibility of

each proposal and the extent of potential for addressing the funding gap and dependency on donors in implementing education sector policies and strategies.

26) Further research could be conducted on the research subject explored in this paper, but with a wider sample and extending to other sub-sectors such as ECD, Adult Literacy and TEVET that were not explored in the study and using other research designs. This could give a full picture of the issue of dependency and bring in more evidence of strategies that can be explored to address resource gaps and dependency in the education sector considering the needs and limitations of each sub-sector.

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APPENDICES

APPENDIX 1: Primary Unit Cost (MK) across Education Districts in Malawi (2010-2017)

Education Division (ED)	2010/11	2011/12	2012/13	2013/14	2015/16	2016/17	Average	PSLCE 2018
1.Central East (CEED)								
Dowa	2295	4881	9597	9908	20446	17053	64180	77.1
Kasungu	3151	4172	12858	9876	21458	18074	69589	69.6
Nkhotakota	3464	5648	4441	9441	19747	15118	57859	70.8
Ntchisi	3132	5739	3997	10071	20252	15320	58511	79.5
Salima	2986	5451	4525	8957	19475	14632	56026	83.8
Average CEED	***3005.6***	***5178.2***	***7083.6***	***9650.6***	***20275.6***	***16039.4***	***61233***	***76.2***
2. Central West (CWED)								
Dedza	2699	4349	14768	9045	16928	17960	65749	80.2
Lilongwe C	5,567	5772	6,781	10,441	13876	15995	58432	89.9
Lilongwe RE	3838	4753	14677	9347	19087	15901	67603	71.6
Lilongwe RW		6087	12200	11336	20944	19503	70070	83
Mchinji	3353	5008	16010	10552	17530	15049	67502	79.6
Ntcheu	3074	4798	11378	12776	22258	20208	74492	74.4
Average CWED	**3706**	**5128**	**12636**	**10583**	**18437**	**17436**	**67308**	**79.8**
3.Northern (NED)								
Chitipa	4377	6949	11179	13351	22596	18570	77022	58.9
Karonga	3695	5209	10037	11613	18990	16527	66071	45.6
Likoma	6993	26531	27190	36244	39220	34164	170342	70.7
Mzimba North	4018	5548	10296	12074	24244	19124	75304	80
Mzimba South	4018	5894	9193	11270	21063	17553	64973	59.1
Mzuzu City	6328	6978	11418	13556	18970	19273	76523	89.5
Nkhata Bay	3776	5757	10510	12291	39220	17553	89107	78.1
Rumphi	5135	7218	12207	13860	26547	25482	90449	68.3
Average NED	**4290**	**8761**	**12754**	**15532**	**26356**	**21031**	**88724**	**68.8**

4.Shire Highlands (SHED)								
Chiradzulu	3677	6162	7780	10359	20845	17342	66165	80.9
Mulanje	2606	4666	6978	9237	19551	16267	59305	88.2
Phalombe	2710	6915	22,660	7,500	14885	18172	72842	86.3
Thyolo	2773	5275	7929	8,637	17189	11752	53555	83.9
Average SHED	**2942**	**5755**	**11337**	**8933**	**18118**	**15883**	**62967**	**84.8**
5.South East (SEED)								
Balaka	3119	6569	10869	10005	18326	15436	64324	83
Machinga	2698	5152	7408	8098	18967	17490	59813	70.1
Mangochi	1439	4787	15861	8,700	15218	16148	62153	72.2
Zomba Rural	7151	5217	47853	9040	28007	17397	114665	75.3
Zomba Urban	2936	8488	3452	18173	36513	30024	99586	88.4
Average SEED	**3469**	**6043**	**17089**	**10803**	**23406**	**19299**	**80108**	**77.8**
6.South West (SWED)								
Blantyre City	4916	5336	5749	8289	14071	13527	51888	76.4
Blantyre Rural	4191	5108	10646	9751	24611	21869	76176	65.4
Chikwawa	2718	4582	43379	8,610	15399	13968	88656	67.8
Mwanza	3803	8951	1721	11121	18099	16787	60482	86.8
Neno	3232	7414	2141	9785	18291	12665	53528	73.5
Nsanje	3027	6158	4485	8544	22279	19547	64040	71.2
Average SWED	**3648**	**6258**	**11354**	**9350**	**18792**	**16394**	**65795**	**73.5**
AVERAGE TOTAL	**3510**	**6187**	**12042**	**10809**	**20897**	**17680**	**71022**	**77**

Source: MOEST (2011, 2013 & 2014); CSEC (2013); MOEST (2017); & MOEST (2018).

APPENDIX 2: Funding strategies as outlined in main government policies

N	Policy Document and Reference	Domestic Funding Sources/ Strategies	External Funding Sources and Strategies
1	Malawi Poverty Reduction Strategy (MPRS) (GOM, 2002:98)	• Domestic tax revenue • Debt (domestic)	• Grants (donor inflows) • Debt (external)
2	Malawi Economic Growth Strategy (MEGS) (GOM, 2004: 19)	• Government • Private sector	• Development cooperating partners
3	Malawi Growth and Development Strategy (MGDS I) GOM, 2006	• Government	• Donor funding • Debt relief
4	Malawi Growth and Development Strategy (MGDS II) GOM (2012: 119)	• Domestic revenue	• External grants • Borrowing
5	Development Cooperation Strategy (DCS) GOM (2014)	• Taxation/domestic resource mobilization • Private investment	• South-South Triangular Cooperation • Aid for trade • Philanthropy • Non concession public financing • Climate change finance
6	Malawi Growth and Development Strategy (MGDS III) GOM, 2017:69	• Domestic revenue (tax and non-tax revenue) • Public Private Partnership	• External grants and debts • Regional and international financing activities
7	Policy and Investment Framework (PIF) (MOEST, 2001)	• Public finance • Cost sharing & cost recovery • Private sector	• External sources

8	National Education Sector Plan (NESP) (MOEST, 2008)	• Government (domestic resources) • Private sector • Efficient spending mechanisms (ODL, parallel courses)	• Development partners
9	Education Sector Implementation Plan (ESIP) I (MOEST, 2009:91)	• Domestic resources	• Development partners (aid flow)
10	Education Sector Implementation Plan (ESIP II) (MOEST, 2014: 65)	• Government of Malawi	• Development Partners

Source: Various National and Sector Policies and Strategies as indicated

APPENDIX 3: Case Studies on Innovative Financing with Potential for in Malawi

Case Study 1: Cameroon: Debt SWAP for Education

In June 2006 Cameroon signed an agreement with France called "Contrat de Désendettement et Développement" (C2D) as a way to help ensure that the additional debt relief was converted into investments that would help achieve the MDGs. The agreement made available €1.17 billion of debt to be used in three five-year tranches. The first tranche was worth €537 million of which €90 million was dedicated to Cameroon's Education Sector Strategy (ESS)—€45 million to support the increase of contract teachers from 2006 to 2011 and €45 million to build schools starting late 2011. Program evaluation showed that from France's perspective, C2D allowed them to support important projects that would be difficult to fund with traditional ODA. It improved dialogue with the Cameroon government and allayed concerns from French MPs that were concerned about corruption and improper use of budget funds freed as a result of debt forgiveness. From Cameroon government's perspective, the money used to service its debts was being returned to the country and used to fund its own poverty reduction strategy with minimum disruption to existing policies and systems. While the program was criticized for its costly and complex administrative processes and that it did not end the country's debt servicing, the program had been hailed for proving to be an important tool to provide additional aid to Cameroon. (Source: UNESCO, 2011).

Potential for Malawi: Using the case of Cameroon above, as a highly indebted country, Malawi could benefit from a debt for Education swap (or Debt swap). If 20% of total external debt in 2016 (USD1,789.6 million) were swapped for ten-year national education sector plan implementation, then US$357.9 million could have been available as additional funding for education (US$35.8 million annually)

Case Study 2: Zambia: Model #2: Bond Financing

Until recently, the Zambian Government has been relying on concessional and non-concessional loans from multilateral and bilateral institutions such as the World Bank, the International Monetary Fund (IMF) and donor countries for budget and project financing. The World Bank's reclassification of Zambia to a lower Middle-Income Country implies that Zambia has now become richer than before. As a consequence, bilateral and multilateral financiers reduced concessional loans from

Zambia to other needy countries in the lower income bracket hence the country becoming a victim of its own success. As a matter of policy, the Zambian Government still prefers the use of concessional resources where available (Ministry of Finance, 2014). With the unpredictability and dwindling of traditional sources of income over the years, coupled with the severity of the global economic crisis in advanced economies, Government has had to diversify its financing sources by resorting to commercial borrowing from external markets – hence the issuance of sovereign bonds in 2012 and 2014. Zambia's entry onto the sovereign bond market was through the issuance of a ten-year US$750 million Eurobond at a coupon rate of 5.375%. The issuance of the sovereign bond was meant to finance several infrastructure projects in energy, transport, rehabilitation of tertiary hospitals and access to finance to sustain growth (Ministry of Finance, 2012). In order to augment funding to the selected investment projects under the first Eurobond, Government successfully issued a second Eurobond amounting to US$1 billion in 2014 at a coupon rate of 8.5%.

Potential for Malawi: If Malawi issued a ten-year Eurobond of at least US$ 2 billion and 20% of that were meant for education, this source could potentially secure at least US$400 million for the sector.

Case Study 3: Zimbabwe Levy

Zimbabwe has used a levy or tax as an innovative instrument for financing the Zimbabwe Trust Fund. According to Atun et al (2016), established in 2000, Zimbabwe's AIDS Trust Fund received proceeds from a 3% tax levied on formal sector employers and employees. Of the total funds collected, 50% was earmarked for ART programmes, 10% for prevention programmes, and the remainder toward program administration and support. The funding generated in 2000–2008 was not available as the estimated figures were distorted due to hyperinflation. In 2008–2011, the levy generated US$ 52.7 million (89.8% of the US$ 58.7 million in total domestic public HIV spending) with US$ 5.7 million generated in 2009, US$ 20.5 million in 2010 and US$ 26.5 million in 2011 (Rifat Atun, Sachin Silva, Mthuli Ncube, and Anna Vassall (2016).

Potential for Malawi: Malawi is already implementing a levy in the education sector known as a Technical Entrepreneurial Education and Training (TEVET) levy. The TEVET levy was introduced based on a 1 per cent contribution of the payroll from both public and private employers, managed by TEVET Authority (TEVETA). The TEVET levy is used to fund programmes approved by the TEVETA Board. The levy has enhanced the budget of TEVETA accounting for 92.5% of TEVETA income over the period 2007/08 – 2011/12 (World Bank, 2013:77). In 2016/17 a total of K5,795,170,000 was raised from the TEVET levy at 50% compliance level. The levy potential could be maximized by expanding the scope of the levy in terms of coverage (i.e. to cover the whole education sector) as well as in terms of volume (i.e. to increase the percentage). If the levy covered the whole education sector and the percentage were increased from 1% to 3% as per the case of Zimbabwe AIDS programmes it would generate revenue amounting to an annual average of K49.9 billion (US$68.4 million).

Case Study 4 : Diaspora Contribution -Bonds and Remittances : Ethiopia and DRC

Ethiopia Diaspora Bonds: Remittances are important to the country as a whole and constitute a substantial part of its GDP. The gross income of Ethiopian Diaspora is between 10 and 20 billion USD per annum and almost as much as Ethiopia's USD13 billion GDP in 2006. The amount of remittances in USD more than tripled from 2000 ($53 million) to 2006 ($172 million). In 2014 the Ethiopian government issued its second diaspora bond (after the first one, called in 2008 the Millennium Corporate Bond (MCB), the Grand Renaissance Dam bond (GRDB was issued in 2008). The bond was set to mature in five and 10 years and its varying interest rates were structured using London Interbank Offered Rate (Libor): they offered five years at Libor +1.25%, six to seven years at Libor +1.5% and eight to 10 years at Libor +2%. Like the MCB, the government issued the GRDB in foreign currencies (US dollars, British sterling and Euros) as well as in the domestic Ethiopian currency.

DRC Diaspora Remittances and Contributions: A New Beginning is located in the eastern part of the Democratic Republic of the Congo (DRC). It is a diaspora co-development project organized by Congolese Genocide Awareness, Inc. (CGA), which is a U.S.-based non-profit organization dedicated to working to enhance the quality of life for Congolese Genocide survivors. It is also an important fund-raising actor among the Congolese diaspora community. The project was started after the war in eastern Congo to provide help to women and children who had suffered in war atrocities. The microfinance project helps the victims of war to re-gain their economic independence and find their place in the post-conflict society. It arose as an initiative of a small group of Congolese Americans, who contributed initial funding and technical know-how, and worked with the Congolese community on finding suitable principles for facilitating the lending groups. The diaspora-based core group organizes regular fundraising events among the Congolese American diaspora members, and visits the Congolese communities to help with training and follow-up. It engages people with different skill sets from the diaspora community for assistance with different aspects of the project — including teachers, business people, community facilitators, and microfinance experts. In 2013, diaspora economic remittances to the DRC amounted to USD 7 billion — which was only about 1 billion less than the Republic of the Congo Government Budget for 2014. Particularly in fragile post-conflict contexts, the importance of diaspora remittances for national development is paramount.

Potential for Malawi: Malawi could benefit from contributions from diaspora whose remittance inflows grew by over 80% from US$21 million in 2010 to US$38 million in 2015 over a period which registered an average annual percentage increase of 16%. Diaspora contributions could raise funding for education through contributions, securitization of remittances and diaspora bonds. If the diaspora were organized to contribute 30% of their remittances towards education this could raise an additional US$3.8 million for education annually and US$38 million over ten years. A 10-year diaspora bond like in Ethiopia focused on investments in education could raise an additional US$400 million for education. Finally, securitization of diaspora remittances at 15%, could raise an additional US$5.7 million annually, and US$57 million in ten years. Over a ten-year period, resources from diaspora remittances could raise at least US$495 million, translating to US$49.5 million annually for education.

Source: CSEC (2017), Innovative Financing for Education in Malawi, Lilongwe: Civil Society Education Coalition (pages: 17-33)

APPENDIX 4: Innovative Funding Models with revenue potential for Education in Malawi

Model	Annual Potential (US$ million)	Merits	De-merits	Mitigation Measures
1.Debt SWAP for Education	35.8	• Increased Funding for Education Program: • External debt Reduction • Positive Impact on the Balance of Payments • Supports the creditor for development policies • Official Development Assistance increase. • Offers possibility of Recovery of some of the debt: • The donor receives favorable international publicity	• Domestic debt increase • Problem with additionality • Policy conditionality • Transaction costs	• Ensure fiscal prudence to reduce domestic debt accrual • Ensure that prioritization of programs or projects benefiting from debt swaps is aligned with the debtor country's own national and education sector development plans • Problem of additionality can be addressed by ensuring that the instrument is gauged against previous and predicted trends of donor support for education as well as debtor country budget lines reserved for the sector • Governments should negotiate for favorable conditions or terms of the debt swap • To reduce transaction costs there is need to ensure that the instrument is system-aligned, using existing debtor country systems in the

				education sector to the maximum extent possible
2.Bond Financing (Euro Bond)	40	• Diversification of financing sources • Helps finance import-intensive expenditure • Strengthening macroeconomic discipline • Benchmark for pricing corporate bonds. • Low volatility • Highly liquid on secondary markets • Bondholders protected by law • Government bond issues enjoy tax exemptions • Cost of borrowing lower than bank loans	• High interest payments, • High fees and transaction costs • Threats to macroeconomic stability • Administrative Capacity constraints • Risks associated with project feasibility and possible delays in long term projects	• address fiscal performance challenges through fiscal consolidation • implement macro-economic policies that open up and then deepen their debt capital markets. • develop the institutional infrastructure necessary to foster the growth of local bond markets through establishing rating agencies, improving secondary market trading platforms, developing exchanges explicitly for trading in bonds, upgrading clearing and settlement systems and revamping the regulatory environment • Negotiate for lower interest rates and longer maturities • widening creditor sources to reduce the appetite for Eurobonds • Institute measures to address the existing institutional and legal bottlenecks in debt management • National governments should

				ensure that the bonds issued by state and municipal governments are rated by independent credit rating agencies, both to help provide investors with credible information on the nature of the bonds in which they intend to invest and to create ratings benchmarks for other types of debt • the financial reforms necessary to support the development of bond markets in Africa.
3.Education Levy	68.4	• Levies are easy to determine and calculate. • Levies directly add additional revenue. • Revenues from taxes and levies can be earmarked or ring–fenced	• Ring–fencing reduces fungibility of public funds. • Additional tax burden on the taxpayers. • Fundamental questions especially in the way they are utilized or managed.	• Levy should be modest charge on high volume transactions • Raise awareness to taxpayers on importance of investing in education • Align levy to national education strategy • Transparency and accountability in use of funds • Enhance revenue collection capacity • Create jobs and improve working conditions including salaries
4.Diaspora Fund through Remittances	49.5	• Reliable sources of foreign exchange earnings. • More than three	• High cost of sending remittances especially in Africa. • Lack of or stringent)	• Government should improve quality of engagement with

		times official development aid (ODA) • Steady growth, and resilient to shocks • Less volatile and more stable than all other external flows	regulations, inadequate (or lack of) laws and policies. • Inadequate financial literacy • Lack of awareness on diaspora bonds and securitization of remittances.	the diaspora and promote spirit of patriotism among diaspora to encourage investment in own country • Ensure policy coherence by mainstreaming diaspora-related matters in national and local development policies, as well as sector policies to create an enabling business environment that is conducive for diaspora entrepreneurship and investments • Reducing transaction costs of migrants' remittances (advocate for lower costs) • Issue diaspora bonds in local currency to reduce cost • Creation of an incentive device for the diaspora such as an annual lottery rewarding the migrants who made

				a donation. • Enhance the regulatory environment • Credit enhancements and investor protections • Donors to offer technical assistance aimed at improving government understanding of structuring bond offerings • Develop the technical skills of migrant/diaspora entrepreneurs

Source: Passas, (2015), Plaza, and Ratha (2011), Maloumby-Baka, & King'ombe(2015), OECD (2014), Leading Group on Innovative Financing for Education(2012), Hope (2016), Douste-Blazy, (2015), Chijioke (2015), Ayuk, (2017), MOF (September 2014), UNESCO (2011), Wolf, & Opoku-Owusu, (2016), & Atun (2016).

APPENDIX 5: Modelling of Revenue Potential From 10 Funding Strategies

Funding Strategy	**Description**	**National revenue potential (K, Million)**	**Education revenue potential (MK' million)**	**Education revenue potential ($million)**	**Notes**
1.Debt for education SWAPs	Swapping external debt valued at $2163 million for development	155736	31147	43.3	*20% of debt allocated to education*
2.Bond financing	Issuing ten-year Eurobond valued at $2000 million	144000	28800	40.0	*20% of the Eurobond allocated to education*
3.Education levy	Levy at 3% of wage bill	49248	49248	68.4	*Public levy for education*
4.Diaspora remittances	Diaspora contributions, bond, and securitization of remittances	356400	35640	49.5	*Diaspora support for education*
5.Corporate social responsibility	A 2% levy on private sector financial institutions assets valued at K3141.9 billion	62800	62800	87.0	*Levy on private sector using India example*
6.Cost sharing	Fees at 70% of unit cost in secondary and university	39040	39040	54.2	*Increasing household contribution*
7.Taxation	Increasing tax to GDP ratio & eliminating incentives	269300	53670	74.4	*Aiming to reach 24% tax to GDP ratio*
8.Elimination of illicit financial flows (IFFs)	Preventing annual loss of $300 million (K135 billon) through IFFs	216000	43200	60.0	*20% of revenue going to education*
9.Pension Assets	Infrastructure bond or loan from idle pension assets	149480	22000	30.5	*20% of idle pension assets allocated to education*
10. Elimination of repetition	Reducing repetition at primary which costs K14.5 billion annually	14500	14500	20.1	*Government should aim to achieving 0% repetition rate*
Total	**Annual aggregate potential revenue from the 10 sources**	**1456504**	**380045**	**527.4**	

Source: The Researcher (2020).

APPENDIX 6: Letter of Introduction from University Of Lusaka

UNIVERSITY
OF
LUSAKA

Plot No. 37413, Off Alick Nkhata Mass Media, P. O. Box 36711, Lusaka
Phone: +260 211 233407, 258409, Fax: +260 211 233409, E-mail: ictar@zamnet.zm, unilus@zamnet.zm

All correspondence should be addressed to the rector

26th October, 2017

TO WHOM IT MAY CONCERN

Dear Sir/ Madam,

RE: FINANCING PUBLIC EDUCATION PREDICAMENT: AN EXAMINATION OF THE EFFECTIVENESS OF INVESTMENT STRATEGIES IN ADDRESSING FINANCIAL DEPENDENCY IN MALAWI

This letter serves to introduce Mr. Limbani Eliya Nsapato, Student Identity Number DBA1521027 as a bona fide student of the University of Lusaka pursuing a Doctor of Business Administration degree.

Mr. Nsapato is required to submit an assignment as part of the requirements for the award of the Doctor of Business Administration degree and therefore seeks to collect data from your institution. His assignment title is stated above. The data will be used solely for Academic purposes and a copy of the assignment can be availed to you upon request.

Any assistance given to him will be greatly appreciated.

Sincerely,

Mwamba Chanda (Mr.)

DEPUTY REGISTRAR

Passion for Quality Education! Our Driving Force

APPENDIX 7: Letter of Self -Introduction

C/O University of Lusaka

Department of Post Graduate Studies

11th November 2017

The Director/Principal/Headmaster

Dear Sir/ Madam,

RE: ACADEMIC RESEARCHER INTRODUCTION

I, Limbani Eliya Nsapato, postgraduate student at the University of Lusaka, am undertaking an academic research whose topic is: An Examination of Managerial Perceptions and Strategic Choices in Addressing Dependence on Donor Aid in Financing Education in Malawi. The objectives of the research are: 1) To establish the level of dependency on donor funding in the education sector in Malawi; 2) To critically examine how stakeholders perceive government performance regarding policies and strategies for addressing dependency on donor funding in the education sector in Malawi; and 3)To determine the strategies that can make significant contribution towards increased domestic resource mobilization for financing the education sector in Malawi. To enable me to come up with findings of the research, I have developed a questionnaire, which is aimed at gathering information from education stakeholders in the country. Your institution was identified as a key stakeholder and you are kindly requested to fill in the questionnaire with accurate information in the spaces provided. The information you provide will be treated with utmost confidentiality and that your identity will not be revealed.

You are requested to return the filled questionnaire by the 30th of December 2017. In case you have questions, do not hesitate to contact me any time. Thanks, in anticipation of your cooperation.

Yours faithfully,

Limbani Nsapato

Phone +265880025678

APPENDIX 8: Informed Consent

NAME OF STUDY INVESTIGATOR: Limbani Eliya Nsapato
TITLE OF STUDY: An Examination of Managerial Perceptions and Strategic Choices in Addressing Dependence on Donor Aid in Financing Education in Malawi

Dear Parent/Guardian
Kindly go through this form carefully and fill it in. In case you chose to allow your child to contribute in this research, tick (√) the suitable answers and appendix your signature and date at the bottom.

• It was clarified to me orally and/or in black and white what the research is all about	**[ ]YES** **[ ] NO**
• I am informed that the study will be: student at the University of Lusaka, am undertaking an academic research whose topic is “An Examination of Financing Public Education in the Face of Dependency on Donor Funding in Malawi”.	**[ ]YES** **[ ] NO**
• I am aware that my child needs my consent to participate in this study	**[ ]YES** **[ ] NO**
• I am aware that all details about my child will be totally preserved in firm confidentiality and his/her name shall not be disclosed	**[ ]YES** **[ ] NO**
• I am aware that any responses and confidential data my child will give will be absolutely used for the study reasons only and will be done away with at the end of the research work	**[ ]YES** **[ ] NO**

I am willingly giving consent that my child gets involved in this investigation and that a copy of this form is given to me for my information.

Parent/Guardian: ………………………………………………… (Signature).
Date: …………………………………………………………

APPENDIX 9: Questionnaire

RESPONDENT/QUESTIONNAIRE /CODE...

TOPIC: An Examination of Managerial Perceptions and Strategic Choices in Addressing Dependence on Donor Aid in Financing Education in Malawi

KEY INFORMANT QUESTIONNAIRE

INSTRUCTIONS: This questionnaire has been developed to facilitate collection of primary data to assist in the realisation of the academic research on the topic: *An Examination of Managerial Perceptions and Strategic Choices in Reducing Donor Dependency in Financing Education in Malawi*. Please answer all questions in the various parts, unless stated otherwise. Do not write in the column labelled "For Official Use Only". The questionnaire should be filled in and as soon as possible be handed to the researcher by contacting him on 088 0025678 or 099 484 6688 or email: lnsapato@gmail.ocm.

Date of completion for questionnaire……………………………Place ………………………

Name of Institution…………………………………………………….

Date stamp/signature……………………………………………………………......

N	QUESTIONS	FOR OFFICIAL USE ONLY
	PART I : DEMOGRAPHIC INFORMATION **(Note: This section should be answered by all respondents)**	**Do not write in this column**
1	What is your gender? (circle). 1. Male. 2. Female. 3. Other (specify)…	
2	What is your age group (circle): a. 20 years and below	

	b. 21-30 years c. 31-40 years d. 41-60 years e. 61-80 years f. 81-100 years	
3	What is your highest academic qualification? (circle) a. Primary School Leaving Certificate of Education (PSLCE) b. Junior Certificate of Education (JCE) c. Malawi School Certificate of Education (MSCE) d. College/University Diploma. e. Bachelor's Degree f. Master's Degree and above g. Other…………………………………………….(specify)	
4	What is the type of organisation/Institution you represent? Circle below.. a. Primary School b. Secondary School c. College d. University e. Governmental Organisation (Ministry, Department, Agency, Section, District, Division, etc) f. Non-governmental organisation (NGO)/Civil society organisation (CSO)-including NGO, Community Based Organisation, Religious Organisation, g. Donor institution/foundation/philanthropy h. National Assembly (Member of Parliament) i. Traditional Leader- Chief, TA, Village Headman, etc	

	j. Private individual/Community member k. Other…………………………(Specify)	
	PART II : CURRENT FUNDING SOURCES AND INVESTMENT STRATEGIES **(Note: answer this part if only you are one of the following:** • Head Teacher/Representative of Public School, College, or University • District or Division Education Manager • MOEST Principal Secretary/ Director of Planning/Budget	
5	Give details regarding funding in your institution for the past four years	
6	What are the main sources of funding for the institution/organisation? And what is the approximate share in percent terms. (indicate in the table below).	

Year	**Total budget (MK)**	**Total funds raised /received**	**Total expenditure**
2016			
2015			
2014			
2013			

N	**Funding Source**	**Share in percent estimates**				
		0-10	**11-30**	**31-50**	**51-80**	**81-100**
a	Government subvention					
b	School Fees					
c	Alumni					

	d	Donors (grants, projects, budget support etc)							
	e	Individuals/philanthropy							
	f	Community contribution							
	g	Loans/bonds							
	h	Other (specify …………)							
7	Does your institution have a long term (3-5 years or more) investment strategy for mobilising financial resources? Circle the answer below: 1. Yes…………………. 2. No…………………. 3. Not sure/aware……………..								
8	Does your institution have a special business/investment unit and personnel for purposes of raising funds for the activities? 1. Yes…………………. 2. No…………………. 3. Not sure/aware……….								
9	What percentage of the total funds raised by your institution are from domestic resources (ie raised by the school through income generating activities)……………………………%								
10	What type of assistance do public education institutions get from the government (eg from Ministry of Finance, MOEST HQs , DEM or other departments) directly to support the institutions financing? Circle the appropriate below. 1. Development of financial policies and strategies 2. Financial support -cash transfer to the school 3. Technical support for budgeting and fundraising 4. Innovation training or financing								

	5. Financial management training 6. Training school management in corporate governance 7. Other………………Specify	
11	How would you describe the support received from government/MOEST in addressing the financial challenges experienced in the education institutions ? Choose one: a. Sufficient b. Insufficient c. Poor d. No support	
	PART III: PERCEPTION OF DEPENDENCY IN EDUCATION SECTOR **(Note: This section is to be completed by all respondents)**	
12	What is your perception of the level of dependency on external funding sources for the education sector in Malawi? Choose one appropriate response below a. High dependency b. Medium dependency c. Low dependency d. No dependency	
	PART IV: GOVERNMENT PERFORMANCE IN INCREASING DOMESTIC RESOURCE MOBILISATION	
13	Are you aware of existence of government financing policies being implemented in the education sector?......ANSWER 1…………YES……..2. NO……….	
14	What are the current strategies the government is using to mobilise	

	domestic resources to finance the education sector?	
15	In your opinion are the strategies by government satisfactory in reducing financial dependency in financing public education in the country ? Choose one from below by circling. a. Yes b. No c. No idea	
16	Which factors do you think have contributed to the satisfactory/ unsatisfactory performance of government in its efforts/strategies for mobilising domestic resources? (Examples can include: macroeconomic factors, diversification, corporate governance, innovation, historical, geographical, public finance management, socio, legal, political etc) -- -- ---	
	PART V: RECOMMENDED STRATEGIES TO INCREASE DOMESTIC RESOURCES AND TACKLE DEPENDENCY **(Note: This section is to be completed by all respondents)**	
17	Government should focus more on strategies for mobilising financial resources domestically, rather than depend on external sources to sustain funding for the education sector in Malawi. Do you agree or not? Choose one option below by circling. 1. I strongly agree 2. I strongly disagree 3. I generally agree 4. I generally disagree 5. I think government should equally pay attention to both external sources and domestic sources of financing	

18	The following are emerging innovative strategies developed internationally to increase domestic resources. Which one/s do you recommend for government to adopt or intensify to significantly address external financial dependency in the education sector? Multiple options can be selected from the list below. a. Debt conversion bonds (Swapping debts for education); b. Special levies such as Education levy c. Sale of products and services d. Corporate social responsibility e. Voluntary contribution scheme for education like PTA/SMC Fund, Alumni funds and Diaspora funds f. Establishment of Special Education Trust Funds e.g. girls special fund, inclusive education special fund etc g. Others--- specify	
19	Which other measures should government undertake to ensure increased and sustained domestic financing for education in Malawi? Such as improvements from traditional sources- taxation, aid/grants & loans, Cost sharing (secondary school or college fees), addressing corruption, improve financial management systems, illicit financial flows etc. -- --	
20	In your opinion, government should consider stopping reliance on donors or foreign aid to finance its education programmes? 1.YES………………2. NO………………..	
21	Give a reason for your answer to number 21 above -- -- --	
	END OF QUESTIONNAIRE. THANKS FOR YOUR RESPONSE.	

APPENDIX 10: Interview Schedule

TOPIC: An Examination of Managerial Perceptions and Strategic Choices in Addressing Dependence on Donor Aid in Financing Education in Malawi

Date of interview……………………Place …………………Time……

Respondent Code: .... Gender……………

Name of Organisation …………………………

Type of Organisation……………………………

PART I: PERCEPTION OF DEPENDENCE ON DONOR AID IN THE EDUCATION SECTOR

How do you perceive the level of dependency on donor funding in the education sector? Is it high, medium, low or non-existent? Give a reason for your answer.

PART II: STRATEGIC CHOICES IN ADDRESSING DEPENDENCE ON DONOR AID IN THE EDUCATION SECTOR

In your opinion do you think government should stop relying on donors to finance its development initiatives including education? Why do you think so?

PART III: CONTRIBUTING FACTORS TO DISEQULIBRIUM BETWEEN POLICY AND OUTCOME

Are you aware of existence of government financing policies being implemented in the education sector? What are the current strategies the government is using to mobilise domestic resources to finance the education sector? Are you satisfied with the performance of government in implementation of strategies for mobilising domestic resources and addressing donor dependency in the education sector? Which factors do you think have contributed to the satisfactory/ unsatisfactory performance of government in its efforts/strategies for mobilising domestic resources?

PART 4: ALTERNATIVE FUNDING STRATEGIES

Which strategies do you think can make significant contribution towards the bid to increase domestic resource mobilisation and reduce dependence on donor aid in the education sector? What needs to be in place to ensure better performance of government in increasing domestic resources for education and achieve education goals?

This is the end of the interview. Thanks for your cooperation.

APPENDIX 11: List of Documents Analysed and thematic Scores.

N	Document	QDA Thematic Scores					
		1	2	3	4	5	AVG
		MP	MSC	F	S	TOC	
	Part 1: Policy and strategic documents						
1	National Economic Council of Malawi 1998, Vision 2020. Lilongwe. Government of Malawi.	3	2	2	2	0	1.8
2	Ministry of Economic Planning and Development (2004), Malawi Economic Growth Strategy (MEGS, vol 2) 117 pages.	1	3	2	3	0	1.8
3	Government of Malawi (GOM). 2005. Malawi Growth and Development Strategy 1, Lilongwe:	3	1	2	2	0	1.6
4	GOM (2012). Malawi Growth and Development Strategy II 2011-2016.	1	2	3	1	0	1.4
5	GOM (2014). Malawi Development Cooperation Strategy 2014-2018: Making Development Cooperation Work for Results.	3	2	1	3	0	1.8
6	GOM (2017). The Malawi Growth and Development Strategy III (2017-2022): Building a productive, competitive and Resilient Nation.	2	3	3	2	0	2
7	Ministry of Education Sports and Culture. Malawi Education Sector (2001), Policy & Investment Framework (PIF)	3	1	2	2	0	1.6
8	Ministry of Education, Science and Technology (2008). National Education Sector Plan (NESP), Lilongwe: Ministry of Education, Science and Technology. 52 pages.	1	1	1	1	0	0.8
9	Ministry of Education, Science and Technology (MOEST, 2014). Education Sector Implementation Plan II (ESIP II) 2013/14 -2017/18: Towards Quality Education- Empowering the School. Lilongwe: MOEST. 148 pages.	3	0	3	0	0	1.2
10	Ministry of Education, Science and Technology (MOEST), 2015. Strategic Plan 2015-2020, Final Draft, Lilongwe: MOEST. 67 pages	3	1	2	1	0	1.4
11	GOM (2016). National Education Policy, Lilongwe: Ministry of Education, Science and Technology (MOEST).	1	1	2	1	0	1
12	MOEST (2020), NATIONAL EDUCATION SECTOR INVESTMENT PLAN 2020 – 2030, Final Draft June 2020. Lilongwe: MOEST. 206 pages	0	1	1	1	0	0.6
13	MOEST (2018) Strategic Framework For Income Generation In Malawian Public Higher Education, Lilongwe: MOEST. 32 pages.	2	3	3	3	0	2.2

	Part b- Policy/strategy reviews and reports						
14	Ministry of Finance, Economic Planning and Development (2016). Malawi Growth and Development Strategy (MGDS) II Review and Country Situation Analysis Report. Lilongwe: Ministry of Finance. 253 pages.	3	2	3	3	1	2.4
15	National Planning Commission (2019). Review of Vision 2020, Final Draft Report. Lilongwe: National Planning Commission	3	0	3	1	0	1.8
16	National Planning Commission (2020). Mid Term Implementation Review Report for Malawi Growth and Development Strategy (MGDS) III. Final Draft Report.	0	1	2	1	0	0.8
17	World Bank (2019). Malawi Public Expenditure Review 2019: Putting Fiscal Policy on a Sustainable Path. Lilongwe.	3	1	2	1	0	1.4
18	Ministry of Finance, Economic Planning and Development (2020), Annual Economic Report 2020, Lilongwe: Ministry of Economic Planning and Development. 231 pages.	1	1	2	1	0	1s
19	World Bank (2010). The Education System in Malawi. Africa education country status report, World Bank working paper; no. 182.	1	0	2	1	0	0.8
20	MOEST (2017). Review of the Malawi National Education Sector Plan (NESP) and the Education Sector Implementation Plan II (ESIP II). Final Report.	1	0	2	0	0	0.6
21	Augustine F. Kamlongera PhD (2019), Education Sector Analysis (Basic and Secondary Education). Lilongwe: MOEST. 145 pages.	0	0	1	0	0	0.2
22	UNICEF (2019), 2018/19 Education Budget Brief: Towards Improved Education for all in Malawi. Lilongwe: UNICEF.	1	1	1	0	0	0.6
23	Ministry of Education, Science and Technology (MOEST) (2019), The 2018/19 Education Sector Performance Report: "Strengthening Education Management and Accountability to Improve Learning Outcomes for All ". Lilongwe: MOEST. 214 pages.	1	0	0	0	0	0.2
24	Civil Society Education Coalition (CSEC) (2017), Analysis of the 2017/18 National Budget Focussing on the Education Sector. Lilongwe: CSEC. 45 pages.	0	0	1	0	0	0.2
25	CSEC (2017), Innovative Financing for Education in Malawi, Lilongwe: Civil Society Education Coalition. 59 pages.	0	2	1	3	0	1.2
	Overall Average	**1.6**	**1.2**	**1.8**	**1.3**	**0**	**1.2**

THE END