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## ONLINE CRISIS COMMUNICATION IN SOCIAL MEDIA: WHAT DID COMPANIES DO WRONG?

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### Abstract:

A crisis which results form a malfunction of an organization can give a permanent damage to the reputation of organizations if it is not handled well. Management of a crisis is a significant task for which organizations should be prepared in advance and organizations should have an emergency plan that they can implement in the time of crisis. In our day and age, social media is a great channel for organizations to build and strengthen relationships with their stakeholders. However, instantaneity of social media is a challenge for organizations because it is not possible to prevent the dissemination of bad news due to social media's viral nature. Reckless behaviors of organizations are not forgiven in social media as bad news are disseminated very fast and the thread of negative comments can lead to an online crisis and reputation loss easily. The aim of this research is to examine online crisis examples in the literature and show what companies did wrong in handling the online crises. First the research provides an understanding for why corporate reputation is important for organizations and then it will lay emphasis on the issue of online crisis in social media. Afterwards, by demonstrating different cases from social media as examples, the researcher will show her argument how the companies in these examples made mistakes and how these online crises should have been managed instead.

**Keywords:** online crises, social media, reputation, management, mistakes

### 1. What is Corporate Reputation?

Corporate reputation is a priceless value which cannot be owned with money. It is the ultimate reflection of the sum of behaviors of a company. How a company treats and maintain relationships with its customers, employees, shareholders, the rest of the society and the environment returns back to the company either a positive or negative way. It is these people who are named as stakeholders who judge the company according to its behaviors in a society. According to Fombrun and Van Riel, reputations summarize assessments of past performance by diverse evaluators who assess firms' ability and potential to satisfy diverse criteria (Balmer and Greyser, 2003: 230). Therefore, corporate reputation is not the perception that a company has about itself. It is about whether people find it as a socially responsible entity. The relationship of a company with its stakeholders affects how a company is evaluated within a society. Therefore, corporate reputation is the combination of good or bad assumptions and estimations that are made relating to an organization by its stakeholders (Çiftçioğlu, 2009: 49). If a company has a good corporate reputation many positive qualities such as being respectable and trustable are attributed to it. However companies which have a notorious corporate reputation are not preferred by many consumers and their infamous fames are scattered fast. Therefore, companies should pay attention to their behaviors and act in a manner that will show them trustworthy and sincere to achieve a better reputation.

## **2. The Benefits that Come Along with a Strong Corporate Reputation**

Creating a positive and strong corporate reputation is not easy process. It requires considerable time, a lot of resources, diligent work and ceaseless energy. However losing corporate reputation can happen suddenly due to an unexpected crisis. Companies which have a strong corporate reputation see its benefits over time. According to Uztug et al., thanks to a strong reputation a company diminishes the risks that consumers perceive when purchasing a product and service, creates positive consumer attitudes and increases sales. It also pulls successful workers and takes the agenda of the media with its corporate news (Uztug et al.,2012: 122).

Companies with a strong reputation do not need to make discounts on their products or services. People buy such companies products as they trust their quality no matter how much money the companies charge. Furthermore, people recommend the products of companies with a strong corporate reputation to their families, friends, neighbors and colleagues. Therefore, a strong corporate reputation has always the potential of positive word of mouth. People talk about how great the products and services of companies having a strong corporate reputation. Thus, companies with a strong corporate reputation is liked and loved by numerous people. This positive attitude has an effect on the increase of sales, as well. People also become brand ambassadors of companies having a strong corporate reputation and defend it to other people in times when the companies come across with a sudden crisis. For this reason, companies which have a strong corporate reputation can overcome crisis easily as their names are sound in the sector.

Also, there is always a severe competition among qualified workers for entering to a company with a strong corporate reputation. Especially, young graduates enter into many competitive exams in order to get accepted to work with companies having a strong corporate reputation in the sector. As companies having a good corporate reputation enchants qualified candidates, they always have a more chance to show progress in their research and development departments. Thus, their brain teams always come up with brilliant ideas that can make them a leading corporation in the sector.

Furthermore, if a company has a strong reputation, corporate news of a company show up in the media frequently and the company doesn't have to pay any money for this. Media representatives always track the developments of such companies closely. They often keep in touch with the public relations specialists of the companies to get the news in first hand. In addition, companies with strong reputation take place in prestigious magazines' global reputation lists such as Fortune magazine or Forbes magazine every year. Companies who can get into such lists gain a superiority over their rivals as they are widely recognized by the public.

## **3. Online Crisis in Social Media:**

In today's competitive environment, companies can come across with different crises caused by economic and technological change, socio-cultural factors and natural disasters (Güçdemir, 2012: 107). According to Merriam-Webster dictionary a crisis is defined as an unstable time or state of affairs in which a decisive change is impending (Merriam-Webster Dictionary, 2016). As stated by Goodman & Hirsch, crisis communication defines that area of communications that comes into play when an organization's reputation, as well as its human, physical, financial, and intellectual assets, come under threat (Goodman and Hirsch,

2010: 156). In the business world, a crisis is the messenger of a required change and it influences the company from a variety of different aspects as mentioned by Goodman and Hirsch. A crisis requires from companies to make a quick decision related to an issue which is bothering. A crisis which occurs in an unexpected way and suddenly is a threatening situation both for the company and its target audience (Mengü, 2013: 52). Therefore, crisis communication is the type of communication that is implemented when the reputation of a company is in danger.

Today, thanks to the Web 2.0 technology, many companies started to have a presence in various social networking sites, microblogs, content communities, virtual worlds, and start to use the internet for both brand visibility and awareness. Companies chiefly use social media to promote the products and services that their brands provide. This way, they establish and strengthen their relationships with their existing and potential customers. However, numerous content that can harm the reputation and image of the companies travel through the internet, and these content not only change consumers' attitudes towards companies, but also direct these people to take action (Uzunoglu et al. 2009: 161). As more and more people are in social media worldwide today, consumers are influenced from the social media content carrying bad news about companies and they may lose their trust towards these companies as a result. While some of these bad news are unfounded, some of them are the reflection of a crisis resulting from the reckless or indifferent behaviors of companies. However, it is not always the company which is to blame. Sometimes, it is the company management which make big mistakes because of taking the wrong decisions. Sometimes, it is the irresponsible employees who drag the companies into a crisis with their behaviors. There are also times when rival corporations create a firestorm with rumors talked about everywhere. Most importantly, it is the unsatisfied angry customers who lead to a crisis after finding support from other unhappy customers. No matter who is the cause of the crisis, there is one fact that the company loses both money and its reputation as a result of a crisis.

What makes bad news travel fast in social media is the reliability of the source and severity of the information. Information that is credible, potentially threatening or severe has the ability to impact a wide audience (Blackshaw and Iyer, 2006). If people trust in the source which disseminate the message, they find it credible. If the information in the message is severe it is conveyed to many people easily and it creates a chaotic atmosphere quickly. According to Goodman & Hirsch, when a crisis breaks out, the crisis team should decide how the organization should respond if anyone is harmed. In addition, the organization needs to decide which next steps need to be taken and who should speak on behalf of the organization to manage the crisis (Goodman and Hirsch, 2010: 156). In order to cope up with an online crisis, crisis communication should be implemented immediately. Especially, the first 24 hours of a crisis is the most important time span because the perception that the organization creates with its first reactions will lead to the formation of a permanent point of view in its stakeholders afterwards (Saymer, 2012: 238-239). Within the 24 hours, companies should let other people know that they are aware of the problem through social media. First of all, the companies affected from the crisis should decide who will speak on behalf of the company. In other words, they should decide on the spokesperson. The spokesperson should act quickly and do not delay his/her speech as delaying the speech means that the company is not capable of fixing the problem. The spokesperson should be credible, transparent and sincere while communicating with the stakeholders influenced from the crisis.

Also, the spokesperson should decide how s/he will address the stakeholders influenced from the crisis. The language used and the tone of the voice is very important. The

spokesperson should not create hatred in her/his speech. S/he should show that the company is taking the control again. The spokesperson should abstain from distorting the truth as it will turn the situation worse. The spokesperson should not blame any other party, instead s/he should show that they are giving an effort to fix the problem. In other words, the spokesperson should show the next steps they will take as a company. Lastly, the message of the spokesperson should convey the same message in every different communication channel that the company uses in crisis communication. For instance if the video of the spokesperson is shared on YouTube, the same video should be shared on Facebook and Twitter, as well. This way, more people can be informed in a short period of time.

In order to prevent an online crisis, companies should be aware of their weak points. As stated by Beal (2014) in order to be prepared for a crisis, it's vital for companies to identify areas of vulnerability before someone else does. If companies take an honest look at the way they conduct business on social media, it should become apparent where they are weak (Beal, 2014: 122). By discovering these weak points and taking precautions in advance, companies can prevent an online crisis before it breaks out.

#### **4. Scope of the Research and Method**

Online reputation is the position of organizations on search engines, blogs, microblogs and social networking sites. When people make researches concerning companies on the Internet, they may come across both positive and negative comments related with the companies. In the era of social media, it is not possible for companies to control the content created by their stakeholders. Therefore, online reputation management is a significant task for companies. Companies can use various monitoring tools such as Google Alerts, Yahoo! Alerts and track their company, brand, product and executive names easily on the web daily or weekly (Wilson, 2011: 114-115). This way, companies have a chance to know about the problems before a crisis breaks out. However, careless companies which lack a social media strategy and monitoring team come across with online crisis and have difficulties in overcoming them. The purpose of the research is to examine online crisis examples in the international literature and show what companies did wrong in handling the online crisis. The author used the existing literature to show her argument about how an online crisis should be handled on social media and how companies can protect their corporate reputation.

#### **5. Online Crisis Communication Examples**

Online reputation management in social media is a fragile issue. Some situations that companies do not pay attention to can get bigger through social media and activate wide masses. In the end, companies can experience reputation loss when they do not expect it. Therefore, companies need to take heed of some points. For instance, using the language properly is an important element that social media representatives should pay attention. A nutrition brand Kellogg's experienced an online crisis in social media when it used the wrong language in Twitter. Kellogg's started a campaign on its Twitter brand fan page and said that it would give breakfast to a child who needed protection on the condition that its followers sent a tweet in 2013. The tweet was written as 1RT = 1 breakfast for a vulnerable (Morse, 2013). Nevertheless, as the campaign was not well-planned in advance, the followers perceived Kellogg's campaign as "if you don't help us to advertise, kids will be hungry" and Kellogg's received a lot of criticism in the end (Feloni, 2016). After seeing the criticism, Kellogg's apologized from its followers immediately and came up with a compensation. The company said that it would donate to the dining halls of schools in poor areas, and it

supported 1000 dining halls that year (Best, 2013). However, the impression that Kellogg's left on its followers was that "Kellogg's was forced to feed hungry children even if you didn't tweet" (Feloni, 2013). In the end, the meaning that Kellogg's campaign created turned into something totally different than what it had been planned. The company made a mistake in using the proper language in the beginning. The inadequate preparation of the campaign led to misunderstandings and reputation loss of the brand, in the end. Therefore, brands should pay attention to the way that they will communicate with their stakeholders. Just from the beginning, they should decide on what kind of an influence they would like to create on their stakeholders.



**Image 1:** Kellogg's GiveAChildABreakfast campaign on Twitter which created online anger (Morse, 2013).

When a crisis breaks out online, it spreads very fast. In online crises, the negativity passes from social networking sites to the mainstream media easily. Therefore, there is a rule of 45 minutes, 6 hours, 3 days and 2 weeks for managing crises on social media. According to Doorley and Garcia (2015) if the company couldn't determine the reasons why a crisis broke out in 45 minutes, there is a high chance that the crisis will be shared with the mainstream media. In 3 days, more people will have had negative thoughts about the company. If the company can't resolve the crisis in two weeks, the crisis cannot be reparable (Doorley and Garcia, 2015: 312-315). Therefore, a company which decides to show a presence on social media should monitor its name continually on search engines. However, some companies do not take this seriously and they got into trouble from time to times. For instance, sometimes fake accounts are opened on behalf of companies without their realization. That's a situation that damages the reputation of companies as they cannot control the content shared on these fake accounts and these fake sites always pose a threat for an online crisis. For instance, a low budget Australian airline Jetstar experienced such an online crisis due to a fake Facebook account opened on its name (Starke, 2012). The person who opened the fake account by using the original logo of the company answered rudely to the customer questions and left the customers helpless. Getting aware of the situation Jetstar apologized from its customers and contacted with the customers affected from the situation one by one (Ott and Theunissen). While building a strong reputation requires many endeavors and is a hard process, losing it can happen in a short amount of time if companies do not manage their social media presence properly. The mistake that Jetstar made was about not monitoring its name on search engines. If companies do not monitor their names on the web, they cannot estimate where the danger comes from and they are exposed to risks all the time.



Image 2: The Fake Facebook Account of Jetstar which Created Outrage in Customers (Starke, 2012).

Another online crisis that became viral is related with BP, a multinational oil company. After the explosion and sinking of the Deepwater Horizon oil rig in the Gulf of Mexico by BP, presumably 3.19 million barrels of oil had leaked into the Gulf (Ocean Portal, 2016). After this oil leak, BP itself even photoshopped some of its official images that were posted on its website. However, when the fake images were identified, it was seen that BP officials had been editing the pictures by using coloring tools (Hough, 2010). In the end, BP admitted that it changed the colors in the pictures. However, the company should have been transparent instead. Even though, the company apologized from the society, it tried to alleviate the truth by changing the colors of the pictures. This situation led to a loss of trust towards the company. In the end, UCB comedy created a parody video about BP named “BP spills coffee” and released it on YouTube. As stated by CNN, in the parody, one of the BP executive knocks over a cup and spills coffee across the table in the room where they met as a group of executives. One of the executive says “Don’t worry about it-it’s a small spill on a very large table.” In the video, they ridiculously attempt to clean up the disaster (Vasquez, 2010). The video gave a criticism to BP by underlining that BP had failed in cleaning the disaster and the video which went viral was seen by 13.107.328 of people (YouTube, 2016).



**Image 3:** Videos, Fake logos mock BP over oil disaster (Vasquez, 2010).

Online threats also come from anti-sites opened against the brands. Particularly, companies should be aware of anti-sites created on their behalf such as humor sites (Sayimer, 2012: 248). Especially, activists open anti-sites in order to criticize the unwelcomed behaviors of companies by using humor as a criticism tool. The criticism that BP encountered with wasn't only limited with the parody video. Also, an activist comedian opened up an anti-site against BP by using humor. This comedian photoshopped many pictures by showing how BP gave harm to the environment. For instance, he photoshopped a sea turtle lacking oxygen with the BP logo and wrote BP scatters coffee in a video he prepared. He released this video in YouTube and the video was watched by 10 million people (Kamenetz, 2010). BP uses its green logo to show that it is an environment-friendly company. However, the company faced with an online crisis when the activist comedian reached a high number of people quickly. BP also faced with online anti-groups that were opened for criticism. For instance, a Facebook page named "Boycott BP" was liked by more than 640,000 users (Vasquez, 2010). In social media, wide masses were mobilized with the spread of negative comments related with BP, and as BP couldn't fix the actual crisis quickly, it had both financial and reputational loss.



**Image 3:** BP Spills Coffee. The photoshopped logos of the BP by an activist comedian (Kamenetz, 2010).

Other examples related with online crises are about being indifferent to customer complaints. Companies should not ignore customer complaints and they should not postpone taking action. If the company is guilty for some reason, it should give a compensation to the customer who is victimized in order to please him/her. This is a necessity for a better customer service. However, some companies chose to ignore the complaints of customers and they mistakenly thought that ignoring the situation is a solution. A worldwide known airline United Airlines made that mistake in the year 2009. The airline which had broken an exclusive guitar of a musician declined to pay for the damage despite the request of the customer. The musician wrote a song called "United Breaks the Guitars" and shared the video on YouTube. When the video passed to the mainstream media, it was seen by millions and United Airlines agreed to pay for the damage in the end (Aula, 2010). The United

Airlines only paid for the damage of the musician after this online crises. But what happened to the reputation of United Airlines? It's very simple, it had a major reputation loss as it was criticized by millions of people watching the video. Bad news scatter very fast in social media due to its viral nature. As they are more interesting and shareable bad news passes from social media to mainstream media easily, and brands can find themselves within a fireball that they had to give a response, in the end (Fournier and Avery, 2011). The United Airlines made a mistake by being indifferent to a customer request. If United Airlines had made empathy with its customer, the problem could have been solved earlier without becoming a worldwide news. After this online crisis, United Airlines stock price plunged 10% which costed shareholders' 180 million dollars (Wilde, 2013).



**Image 4:** The video named United Breaks Guitars (Wilde, 2013).

If a brand wants to be trustable, it should actualize its promises. The online crisis experience of Dell, a computer manufacturer was related with not actualizing the promise that it had given. A customer named Jeff Jarvins signed for a four year in home warranty service from Dell. However when he had a problem with his notebook's hardware, a Dell technician told him that he had to send the machine to Dell for repair (Beal and Strauss, 2008: 20-21). Jeff Jarvins got angry with the fact that Dell could not solve problem within the scope of an in home warranty service even though he had paid for it. In the end, he discussed the issue in his blog. Jarvins wrote in his blog "Dell lies. Dell sucks.", which ended up changing the customer service practice of Dell (Social Axis, 2012). After this online crisis, Dell made a revolution in its customer service. Dell started customer service programs named Direct2Dell.com and IdeaStorm.com and tried to rebuild its tattered reputation by listening and responding to criticism (Beal and Strauss, 2008: 24). What Dell did wrong in the beginning was not providing a service that it had promised. If companies can't realize its promises, they can lose their trustworthiness. Therefore, companies should be realistic in the campaigns that they prepare.



Image 5: The blog of Jeff Darvins (Social Axis, 2012).

Sometimes, the irresponsible employees can lead to an online crisis with their improper behaviors, as well. In 2009, Domino's Pizza found itself in a viral attack when two employees uploaded a video to YouTube of themselves doing disgusting things to a sandwich before it went out on delivery (Agnes, 2012). The YouTube post hit 1 million views in a short amount of time (Jacques, 2009). After the severity of the problem, Domino's took action straightway. Domino's responded immediately with a letter on its website apologizing and the company fired the employees. Afterwards, Domino's launched an ad campaign in which it showcased customers talking about how little they liked the taste of Domino's (Kerpen, 2015). By apologizing from its customers right away, Domino's did the right thing and it tried to lessen the effects of the crisis. Also, Domino's implemented an image-repairing strategy with its new campaign and tried to gain the trust of its customers again. However, what Domino's Pizza did wrong in the beginning was not giving a training to its employees about its company policies in advance. If employees had been trained about the regulations of the company strictly, they could not have tempted to act in such an irresponsible manner.

## 6. Discussion

Reputation is an extremely important value for organizations. However, building a strong reputation is not an easy process. It's built over time with a lot of endeavors. Reputation management in social media is even harder. Companies which have a social media presence should take proactive actions in order to prevent online crises because they cannot estimate when a crisis might strike due to the viral nature of social media. As it's not possible to control the content shared by stakeholders in social media, companies must be cautious. While some stakeholders such as brand advocates can share positive comments related with the brands in social media, some frustrated customers can emphasize their dissatisfaction by releasing videos, sending tweets, or forming Facebook groups. Thus, companies should have a social media team and a social media policy. They should also monitor the reputation of the company 24 hours a day. Moreover, for emergency situations, companies should have a social media plan that they can implement and they should have a spokesperson who shows the public that they are taking care of the issue as a company. The online crises cases examined in this article demonstrated that companies got into trouble because of using the wrong language in a campaign or ignoring customer complaints. Also not being transparent and not monitoring their names on the web created problems for companies. The improper behaviors of employees led to unwanted results, as well. These examples showed that these companies could not manage the online crises well and they had a reputation loss, in the end. In order to overcome crises in social media, companies should pay attention to the points that

their stakeholders emphasize and try to build stronger relationships with their stakeholders by making the changes they want. They shouldn't remain silent by ignoring the requests of their stakeholders and they shouldn't leave their customers in frustration. Instead, company representatives should make empathy with their customers. In their online communication with their customers, companies should make their customers feel that they are different from the rest of the companies. Furthermore, they should convey the core values that their brand stands for and try to win their customers.

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# **SOCIAL MEDIA USAGE IN CORPORATE COMMUNICATION: THE INTERNAL COMMUNICATION PERSPECTIVE**

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## **Abstract:**

With the usage of internet based social media tools by large masses worldwide, corporations directed their corporate communication endeavors towards these platforms. By meeting with their potential and existent customers who compose their external stakeholders through social media platforms, corporations try to promote their products and services and get feedback from their customers. Especially, brand fan pages opened on social networking sites such as Facebook and Twitter are beneficial social media platforms for managing brand reputation, communicating with customers and understanding customers' needs. Furthermore, by using social media tools in corporate communication, corporations turn into business 2.0 and they get more efficiency from their internal communication activities. Therefore, questions such as what are the advantages and disadvantages of social media usage in internal communication, and how much are social media tools adopted in internal communication by corporations compared to traditional communication tools arouse interest. In this research, the issue of social media usage in internal communication is discussed by taking these questions into consideration.

**Key words:** corporations, social media, corporate communication, internal communication

## **1. Introduction**

With the widespread usage of social media throughout the world, corporations have kept pace with the new technology of this era and have started to use social media tools in their corporate communication activities. The fact that Facebook has 1.650 million monthly users (Socialbakers, 2016) and Twitter has 313 million monthly users (Twitter, 2016) has turned Facebook and Twitter into exciting platforms for corporations. Thanks to Facebook and Twitter brand fan pages, corporations can reach more people without time and place restriction.

Corporations which open brand fan pages on Facebook and Twitter mainly use these social media platforms to create brand awareness, introduce its new activities, create a bond with their existing customers, reach new customers, and manage their corporate reputation. Introducing their products and services on brand fan pages on Facebook and Twitter, corporations try to draw consumers' attention to these pages by preparing contests and sweepstakes and this way they gain new customers. Furthermore, by tracking what their customers say about their business through these platforms, corporations can organize their corporate communication accordingly and can protect their corporate reputation.

Particular statistics also support the fact that social media usage has reached to high levels in external corporate communication. For instance, Fortune 500 companies which has the highest revenue in the U.S.A use social media tools actively. According to Cohen (2015) while 78% of these companies have a Twitter profile, 74% of them have a Facebook profile. Moreover, %33 of them has an Instagram profile and %23 of them has a Pinterest profile. Also, %64 of these companies use YouTube actively.

Small and medium sized companies realizing that social media usage has advantages such as creating new business connections have started to invest in social media tools, as well. A research that had been carried out in the U.S.A on 81 small sized companies showed that %54 of those companies used social media for marketing communication (Broekeimer et al. 2015: 37). Since their budgets are rather limited compared to large size companies, social media is a great tool for small and medium sized companies to become popular.

## **2. Two-Way Communication and Interaction in Social Media**

As social media provides the opportunity of two-way communication that is from the business to the customers and from customers to the business, corporations can have a dialogue with their customers on their brand fan pages and can give answers to their customers' suggestions. Having a dialogue is the most significant aspect that differs marketing communication in social media from the one-way traditional marketing communication.

Corporations, which give up the technique of push marketing that is product and service introduction-oriented and which tend to establish relationships with their customers, become more successful in creating interaction. This way, they both get to know their customers better, and they learn their customers' interests and needs.

For instance, a personal care brand Nivea started a campaign on its Facebook brand fan page and asked its customers "Nivea means beauty. What does beauty mean to you?" Its customers replied to this question by sharing their experiences. At the end of the campaign, there was high interaction and Nivea enriched its image with its customers' point of view (Neudecker et al. 2015: 74).

## **3. The Benefits of Using Social Media in External Corporate Communication**

Since social media platforms are cheaper and faster compared to the traditional media tools, corporations have shifted their customer service to these platforms and have begun to give after sales support. Unsatisfied customers don't have to wait in telephone lines or they don't have to connect to customer representatives any more. They can convey their messages to corporations easily through social networking sites. Customers can make their complaints on Facebook or Twitter brand fan pages and can give suggestions concerning new product ideas. The interaction that takes place between company representatives and the customers can help to change customers' perceptions regarding the companies.

The business usage of social media has brought several advantages to corporations. According to the research of CompTIA (2012) %61 of the companies better communicated with their customers, %51 cut from their expenses, %36 of them were informed about the industry trends, %33 created new business partnerships, %23 hired new employees and %19 developed new products (CompTIA, 2012). Therefore, corporations which utilized social media not only cut from their communication expenses, but also better communicated with their customers.

The brand fan pages on Facebook and Twitter is a reference source for consumers who read the comments of other consumers before doing shopping. The interaction that takes places among these consumers on Facebook and Twitter brand fan pages is part of an electronic word of mouth and this interaction influences consumers' buying behavior significantly. According to Invesp, while the social media posts of their friends influenced the buying behavior of %71 of American consumers, the social media posts of companies influenced the buying behavior of %78 of American consumers (Saleh, 2014). Therefore, corporations should determine their target audience and choose their posts well.

## **4. Purpose**

International researches which handle the issue of social media usage in corporate communication generally focuses on external communication with stakeholders. The number of researches which examine how social media is used in internal communication is rather limited. Thus, this research will contribute to the literature by discussing social media usage in internal communication. This research seeks answers to these questions below:

- What are the advantages of social media usage in internal communication compared to traditional communication tools?
- How much social media usage is embraced in internal communication compared to traditional communication tools?

## **5. Internal Corporate Communication**

In the literature terms such as internal relationships, employee communication, employee relationships, internal public relations are used in place of internal corporate communication (Welch and Jackson, 2007: 178). Corporate communication which provides the required information to employees for doing their jobs is the social interaction that takes place between business managers and employees via messages, and it reflects the ability of working up a connection with stakeholders in every level of management (Mishra et al. 2014: 185).

For corporations, it is not enough to have a well-defined mission, excellent designed rules, sound values and a good strategy. Employees should be both informed about them and they should be aware of them (Constantin and Baias, 2015: 976). This can be achieved with internal corporate communication. The goals of internal corporate communication are to create a positive feeling of belonging in employees, increase the motivation of employees, develop employees' awareness towards environmental change and inform the employees about the need of the organization to reach its goals despite the environmental change (Welch and Jackson, 2007: 188).

Within the scope of internal corporate communication, employees who are informed about the goals, targets, new developments and past successes of the corporation work effectively and employees who are aware of these elements can differentiate their corporation from others easily. (Dolphin, 2005: 173 as cited in Dutton, 1994). Furthermore, employees should be able to tell their concerns and make suggestions. Employees' right to speak increases their performance and a real information sharing happens this way (Constantin and Baias, 2015: 977-978). In order to achieve a successful internal corporate communication, the communication should be two-way from managers to employees and from employees to managers.

## **6. Internal Corporate Communication Tools**

Traditional communication tools that are used in internal corporate communication are printed materials such as corporate magazines, brochures, petitions, news bulletins, activity reports, and business letters. In addition, a telephone, a corporate television, a bulletin board and meetings can be included to the traditional communication tools used in internal corporate communication. However, in the new digital era, internal corporate communication has gained speed and efficiency with communication tools such as e-mail and intranet. Today, major social media tools that are used in internal communication are blogs, wikis, social networking sites, instant messaging, multi-player game environments, podcasts, and RSS feed. The usage of these Web 2.0 tools in internal corporate communication has turned corporations into business 2.0 according to McAfee's (2006) words.

## **7. Social Media Usage in Internal Communication**

Preferring social media tools in internal communication helps to create a social network within the corporation and increases the work-flow. Employees who use social media tools in internal corporate communication expands their communication networks, they have more people and resources under their hands, and they can contribute to their professional development by using these tools (Miller, 2015). Furthermore, social media tools usage in internal communication smooths over the hierarchy within the corporation and empowers the employees (Lee, 2013:4). Therefore, the usage of social media tools creates a more egalitarian atmosphere within the corporation.

The number of corporations which use social media within internal corporate communication increases day by day. For instance, an American information technology corporation IBM used a social networking site called Beehive whose name turned into Socialblue later and this way it enabled its employees to share photos, videos and links with each other (Sodeman, 2008). Between the years 2007 and 2011, more than 65,000 employees

participated to Beehive and this way employees had a chance to follow their new and ex colleagues (IBM, 2015). An ex-mobile phone producer Nokia used to use a social media tool named Bloghub in its internal communication activities. All Nokia employees throughout the world could connect to each other from this platform and express their thoughts, which increased creativity with the ideas proposed (Carr, 2014).

Social media tools which are used in internal corporate communication compensate certain disadvantages of conventional communication tools. For instance, a conventional communication tool which is printed materials only allows one-way communication. In addition, phone calls and meetings usually take time and e-mails can diminish productivity when they are used wrong (van Zyl, 2009: 9111). The e-mail boxes of employees usually fill up with e-mails that do not interest them. Thus, social media tools have the potential of diminishing the e-mail flood as an alternative information dissemination channel (Annanperä and Markkula, 2010: 412).

The usage of social media tools in internal corporate communication helps the improvement of communication processes and flow. It strengthens the corporate culture. It creates a community and a collective intelligence (Badea, 2014: 74). For instance, wikis can work as a database. In wikis, which are web documents with multiple writers, the content can be changed by other users and amendments to the content can be made. This way a collective intelligence emerges. According to Annanperä and Markkula, corporate resources, documents and regulations can be transformed to a wiki platform and employees can be motivated to contribute to the wiki environment. (Annanperä ve Markkula, 2010: 412). However, for a healthy communication all employees should have the opportunity to access to the wiki platform and should be able to change the content or add new content.

The usage of Twitter in internal communication contributes to the internal communication process from some aspects. According to a research which examines the microblog usage in internal corporate communication, Twitter improves internal corporate communication with its short and frequent messaging characteristic, and it supports communication among colleagues working in other departments (Günther et al. 2009:5). Corporate microblogs that resemble Twitter are also used in internal corporate communication for coordination. One of them is called Yammer. Yammer has some differences from Twitter. For instance, only employees having a valid e-mail address can participate to Yammer and Yammer doesn't have a 140 characteristic word limit like Twitter. Private or public groups can be formed in Yammer, as well (Zhang et.al, 2010:3).

Corporations can also develop corporate microblogs for their usage. A corporate microblog named Communote developed by a software company named Communardo in Germany is such an example. Employees use Communote to provide update (44%), to coordinate each other (%22), to share information (%16) and to ask a question (%14) (Riemer and Richter, 2010: 9). The usage of Communote within the corporation helps to the formation of a successful teamwork.

However, there are some disadvantages of using social media tools in internal corporate communication. Cyber-attacks and the spread of viruses are some of the major possible threats. For instance, instant messaging in internal corporate communication carries the risks of spyware and may lead to the spread of viruses. Also, employees can misuse their work time by chatting with their colleagues (Sisko et al, 2014: 277). The other disadvantages of using social media in internal communication emerge when employees make negative comments about the corporation, share embarrassing comments, or spend most of their time by editing their profiles on social media platforms (Lee, 2013: 4). The lack of the usage of body language or intonation on social media platforms and in instant messaging can lead to misunderstandings during message transfer, as well (Sisko et al. 2014: 277). Also, wiki usage in internal corporate communication has several disadvantages. There is no guarantee of the

accuracy of the wiki entries, and an individual editor often does not have a legal right to a wiki-based article as the whole community shares the authorship (Trkman and Trkman, 2009: 1089).

Some international researches support the fact that social media usage in internal corporate communication increases day by day. For instance, the survey that McKinsey did worldwide indicated that Web 2.0 tools are highly adopted in internal corporate communication. Social media usage increases the speed of access to knowledge (68%), reduces communication costs (54%), decreases travel costs (40%), increases employee satisfaction (35%), and increases revenue (14%) (McKinsey, 2009). Therefore, social media usage in internal communication not only increases the quality of communication, but also connects employees working in diverse geographies.

According to a research carried out in the U.S.A, people prefer to work at companies which use social media in internal corporate communication and they see such companies innovative. The survey of Gagen Macdonald demonstrated that 58% of the participants prefer to work at a company which uses social media in internal communication, 86% would refer such a company to others for employment, 61% feel it is easier to collaborate in such a company, and 60% are likely to feel that such a company is innovative. (Gagen Macdonald, 2012). Therefore, corporations which use social media tools in internal corporate communication are perceived as companies which catch up with the times and they pull experienced employees to their companies easily.

However, some companies don't get efficiency from the usage of social media in internal communication. Such companies think that traditional communication tools are more efficient compared to social media tools. However, these companies are in the same opinion that in the near future social media tools will be the major tools that will direct internal corporate communication. Cardon and Marshall (2015) asked the frequency of social media tools usage in team communication compared to traditional media tools to employees, who are from the Y generation (21-30 years old), the X generation (31-50 years old) and the baby boom generation (51-65 years old) via the survey method. The results showed that traditional communication tools are frequently used in the corporate environment and they are seen more effective for team communication (Cardon and Marshall, 2015: 284). According to a survey carried out by Towers Watson on 290 small and large sized companies located in the U.S.A, Europe and Asia, 56% of the employees used social media tools in internal corporate communication. However only 40% of the employees found social media tools in internal communication effective (Towers Watson, 2013). Zhang and others interrogated the usage of Yammer in a Fortune 500 company and asked how much Yammer is effective. Accordingly, 30% of the employees said I certainly agree and 44 % said I certainly disagree (Zhang et. al, 2010: 6). Thus, the number of people who think that Yammer is effective in internal corporate communication couldn't reach a high majority.

Moreover, the research of Cardon and Marshall (2015) revealed that employees consider face to face scheduled meetings (89%), in-person unscheduled conversations (81%), phone calls on landlines (75%) and phone calls on mobile phones (72%) as effective team communication tools (Cardon and Marshall, 2015: 284). Another research, which examined the social media usage of a company that is operating in different sectors and in different continents, found out that social media tools used in internal corporate communication cannot compensate face to face communication since face to face communication ties people better and enable them to have stronger connections (Tirimi and Galanxhi, 2014: 416). Another research which scrutinized the social media usage of digital natives revealed that even though digital natives use social media frequently in their personal lives, when the matter is internal corporate communication they prefer using traditional communication tools highly (Friedl and Vervic, 2011:85).

Also, some of the corporations see social media as an alternative communication tool and they are not aware of the advantages that social media tools brings to internal corporate communication such as collaboration. For instance, after the 33 face to face interviews actualized with employees working in an international telecommunication company named Telco, it was seen that social media tools were primarily used as an alternative communication channel to inform employees about the company policies rather than creating collaboration (Denyer et al. 2011: 390). According to Tirimi and Galanxhi's research, corporations are hesitant about using social media in internal corporate communication because they cannot ensure information security and they have a concern about leaking information outside (Tirimi and Galanxhi, 2014: 414). Therefore, it looks like corporations cannot completely adopt social media tools in internal corporate communication because of security reasons.

In order to generalize social media usage in internal corporate communication, managers also need to encourage their employees and motivate them. Also, giving trainings to employees about how to use these tools will increase efficiency. For instance, employees working in Telco, an international telecommunication company said that learning new technologies is hard and they take time (Denyer et. al, 2011: 387). Therefore, employees should be given trainings and technical support about the usage of Web 2.0 technologies. Moreover, employees should be given a training about what to share while using social media tools in internal corporate communication. Sharing improper content is something not desired in a corporate environment. Therefore, having some policies about social media usage will prevent such attempts. Employees should be informed about the consequences that they will face in violation of social media policies, in advance (Turban et. al, 2011: 215).

Even though, corporations doesn't give up the usage of traditional communication tools in internal corporate communication, most of them is in the opinion that social media tools will give a direction to corporate communication in the future. For instance, in Cordon and Marshall's research, employees from the X generation and the Y generation think that social media tools will be the leading communication tools in the near future. (Cordon and Marshall, 2015: 13). Furthermore, Tirimi and Galanxhi's research showed that business 2.0 is the right choice for the future and it should be used more for information management as its tools are improving every day and have huge potential. (Tirimi and Galanxhi, 2014: 418).

## **8. Conclusion**

With the Web 2.0 technology, corporations have started to use social media tools both for internal corporate communication and external corporate communication. In order to draw more customers and maintain relationships with their existing customers, corporations open brand fan pages on Facebook and Twitter. Thanks to the two-way communication in social media, corporations can have a healthy communication with their customers. Using social media helps companies to reduce their communication expenses noticeably, as well.

Most of the researches carried out on social media gives priority to external corporate communication. Therefore, this research aimed to draw attention to the internal corporate communication aspect of social media usage. This research handled the advantages and disadvantages of social media usage in internal corporate communication. Corporations which use social media in internal corporate communication are perceived as pioneering. They can reach to information fast. They can connect with their employees working in other locations easily. Using social media tools in internal corporate communication diminishes the traffic of meetings and calls, and it helps to get feedback from employees instantly. The main disadvantages of social media usage in internal corporate communication are coming across with cyber-attacks and the leakage of important information due to cyber-attacks. Also, employees can misuse their time by chatting with their colleagues on topics out of work.

Even though, social media tools are widely used by corporations, it is seen that some corporations haven't gave up using traditional communication tools. Instead, they find traditional communication tools more efficient compared to social media tools. These companies see social media tools as an alternative to social media tools and they prefer traditional communication tools for team work. In order to increase social media usage in internal communication, managers should motivate the employees and give technical support to them. Nevertheless, even the companies which see traditional communication tools more effective in internal corporate communication compared to social media tools think that in the near future, social media tools will shape the internal corporate communication, and it will help companies to have superiority over other companies.

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## The Assessment of Perceptions of Top Managers; Learning Styles, Brand Management, and Real Estate firm Performance

Vissanu Zumitzavan<sup>1st</sup> and Sarinthree Udchachone<sup>2nd</sup>

**Abstract:** *The purpose of this study is to determine the relationship between real estate managers' learning styles and effective brand management on organisational performance. In the context of the current study, real estate managers' learning styles are defined as belonging to a leader, namely owners of housing development organisations, such as CEOs, directors, and managers, as classified into four groups: activists, reflectors, theorists and pragmatists (Honey and Mumford, 2000). Furthermore, this study will focus on one brand management element, brand identity. Brand identity will be measured through the perceptions of the managers to their own brands by using bipolar scales: (1) strong and powerful or weak, (2) desirable or rebrand, and (3) unique or similar to others. Mixed-methods will be used to explore this study. Consequently, organisational performance is defined as the different levels of organisational capability measured by two different aspects: subjective and objective (Zumitzavan, 2011).*

The real estate industry in Thailand is a critical element of the overall global economy. In particular, Colliers International Thailand (2015) has reported that this business sector is a major growth component of an emerging economy and involves a variety of stakeholders: professional designers, architects, construction companies, and building materials producers and suppliers, together with advertising and sales. There are approximately 709 registered real estate firms in Thailand (Department of Land, 2015). Thus, it is obvious that understanding the optimum approach to improving the sale volumes of this business sector could impact the overall economy.

As underlined by a statement by the Bank of Thailand (BOT), the real estate industry is highly important to the Thai economy as this business sector contributes 8 per cent of Gross Domestic Product (GDP) and 7 percent of employment. As highlighted by Brown et al. (2001), within approximately slightly greater than 50 percent of the world's total assets, there is rapid growth in Foreign Direct Investments (FDIs) in the real-estate sector (i.e. real estate trusts, and real estate stocks). It is clear that investors can either select to invest directly in physical property or invest indirectly through investing in the shares of real-estate companies.

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This means that the FDIs strongly support the growth of housing development, improving the Thai economy at the same time. Encouraging growth in this sector could draw the attention of foreign investors, resulting in them becoming partners in the Thai economy as well.

The primary considerations for conducting this research are: firstly, we have previously attained some supporting data indicating that there is a correlation between developments in the real-estate industry and the Thai economy. Secondly, we have discussed matters with

different owners of real-estate firms. Lastly, there is a growing number of the *FDIs* investing in the real-estate sector in the stock market in Thailand at the moment. Hence, these are reasons that the unit of analysis, i.e., the real-estate industry (Village and Housing), may also be an alternative indicator to show at certain levels the significant impacts of the ASEAN Economic Community (*AEC*).

## 1. Introduction

As one of the most recent regional partnerships of the world community, the *AEC* is now operational, with ten member countries, namely Brunei Darussalam, Cambodia, Indonesia, Laos, Malaysia, Myanmar, Philippines, Singapore, Thailand, and Vietnam (Mirza and Giroud, 2004). This community will create different advantages for the region such as (1) single market and production base with free flow of goods, services, investment and skilled labour, and freer flow of capital; (2) competitive economic region; (3) equitable economic development; and (4) integration into the global economy. This suggests substantial development in this region in political, economic, sociological, technological aspects (World Trade Organisation, 2015). Hence, the number of resources available will increase, such as a vast amount of new ventures and services, capital transfers, collaborations, technology transfer, skilled labour, and so forth.

Specifically, the Board of Investment (*BOI*) (2015) has underlined important points to encourage Foreign Direct Investments (*FDIs*). The Royal Thai Government has improved its internal procedures to facilitate businesses and investment in Thailand, including setting up a One-Start One Stop Investment Centre (*OSOS*) providing information and consultative services to investors, with representatives from twenty government agencies associated with investment in Thailand represented at one place since 2009. The *BOI* is being repurposed to become more practical in drawing in projects in the industrial sector, including improving both the quality and quantity of investment. Hence, these approaches may attract a vast amount of investment from outside and inside the country.

Thailand is one of the country members of *AEC*, with a relatively high population of approximately 67.1 million people (World Population Review, 2015). In line with Yap and Wandeler (2010), there has been rapid growth of population in Thailand, affecting the quality of life, in particular, in the population of Bangkok, the capital of Thailand. Crucially, the lifestyles of the people in developing countries are rapidly changing, caused by population growth, developments in transportation, greater lifestyle choices, and so forth (Arifwidodo and Chandrasiri, 2013). More specifically, Thailand, as a developing country, presents an interesting case study to show the overview picture of the relationships involved in how to develop the housing development industry to serve the needs of the residents, considered as customers in Thailand.

## Research Question

This research proposal is designed to examine the following question: “To what extent do the perceptions of the managers of real-estate firms help increase the overall performance of the firms by applying appropriate learning styles and brand management?”

## Research Objectives

This research aims to investigate and understand the relationship between learning styles, brand management, and organisational performance. Hence, there are three objectives:

- To study the relationship between learning styles of the managers of real-estate firms and a firm's performance.
- To study the relationship between learning styles of the managers of real-estate firms, brand management, and the organisational performance.
- To provide recommendation on how to apply effective learning styles of real-estate firms to create supportive brand management which would increase the overall organisational performance.

## 2. Literature reviews

The nature of small businesses means that the manager plays a vital role in determining the creation and development of the organisation. Nonetheless, the relentless drive for personal achievement may reduce growth potential and ultimately may threaten the survival of the small firm (Bellás, 2004). The manager is the key person in the small firm, establishing visions, missions, goals, plans, and organisational goals through strategic direction and, in turn, driving the level of success in the organisation (Worrall et al., 1998; Smith and Tardif, 2009). To accomplish the organisational goals, the manager needs to understand and explain the organisational performance, assisting in steering the organisation to accomplish the goals. Several researchers have suggested approaches to improving organisation, for example through good management to achieve effectiveness, so understanding organisational performance could enable the manager to run the company more effectively at different levels. Hence, it is clear that understanding individual styles of management related to the way individuals learn would be related to the different levels of success of each firm.

As established by Saban et. al (2000), an association exists between individual learning styles and brand management that leads to an improvement in the organisational performance. They suggested that appropriate learning styles for a manager may help the individual to select appropriate brand management to satisfy customers. More importantly, managers with direct responsibility for making decisions regarding what appropriate brand management is supposed to be applied to increase the organisational performance have different learning styles, which would have different ways of dealing with various problems (Roswinanto, 2015). It is clear that to increase organisational performance, an organisation needs to pay attention to maintaining a brand-updating ability including a brand-supportive dominant logic, a market orientation and generative learning styles, in order to allow organisational members to reflect continually on the performance of current brand strategies (Yakimova and Beverland, 2005). In addition, it is important to apply real-estate marketing concepts in this research paper especially since the units of study are housing development firms. As suggested by Sirgy (2014), the key elements of real-estate marketing are related to strategy, personal selling, negotiation, management, and ethics. It is obvious that the key variables to be studied in this research are also related to the real-estate marketing concepts. Logically speaking, once one applies the appropriate learning styles to manage firms, it may show in the way individuals select the appropriate branding management to increase customers' satisfaction and, in turn, increase overall performance.

### Learning Styles

Learning style refers to an individual's way of perceiving, remembering, problem-solving, and information processing (Fleming, 2006). According to Dunn (1984), a learning style is 'the way a person absorbs and retains information and/or skills'. This supports the concept that a person's learning style is affected by an individual's traits such as personality, cognitive style, temperament, sensory processes and age (Fleming, 2006).

Following Honey and Mumford (2000), the learning styles that will be used as the major model in this research classify people into four groups: activist, reflector, theorist and pragmatist. Activists prefer to help their employees by providing them with the chance to learn from observing and reflecting on their work, taking a positive view of what is involved in a new situation, explaining to employees how to work through action, and reacting spontaneously to opportunities as they come up. Secondly, reflector managers are likely to assist their employees by suggesting activities which can be observed, advising how observation can be carried out, classifying ways in which a problem can be analysed, discussing what may happen, evaluating what has happened, providing data or feedback in a controlled learning situation, recommending how to organise a management activity carefully, avoiding taking a lead in meeting employees, emphasising the importance of collecting data before acting, and giving a considered response to requests for help.

The theorist manager is likely to assist employees by showing interest in any intellectually respectable ideas, helping employees to identify the original causes of problems, explaining the systems or concepts involved in an activity, clarifying the logical validity of an answer, introducing complexity, aiming for clarity of structure of purpose, giving explanations with intellectual reasons, and expecting high standards in the quality of data. Last, pragmatist managers tend to help their employees by showing awareness of new ideas and techniques, demonstrating interest in specific action plans, pressing for relevant learning programmes with clear pay off, being open to new situations, believing that there is a possibility of improvement, releasing people for courses, and following specific suggestions on how to improve learning. Since different managers have different ways of perceiving information or knowledge in various approaches, they can transfer or apply that beneficial information or knowledge in different perspectives. More elaborately, Nonaka and Toyama (2002) found that learning styles are related to tacit and explicit knowledge as well as complicated and uncomplicated learning. Likewise, Honey and Mumford (2000) and Jung et al (2008) also endorse the position that learning styles are also correlated with direct and indirect experiences. Logically, this means that different managers acquire different learning styles; they may consequently contribute to creating and selecting different brand management to develop their specific business sectors.

In addition, different academic researchers have found that different customers perceive brands as an approach to express their status (Chen, 2012; Kayaman and Arasli, 2007; Netemeyer et al., 2012). Therefore, building a strong brand is one of the most difficult tasks for a manager. Unfortunately, a mismanaged brand can distribute negative images of the firm and cause brand failure. Therefore, understanding brand identity means developing products to avoid failures (Haig, 2011). In addition, rebranding is another concept to help products survive in the long run. Nevertheless, rebranding may not improve the success of the firm in case individuals or the managers are not aware of how to differentiate themselves to be in a

more advantageous position than others, such as in the case of Consignia, Tommy Hilfiger, British Airways (Haig, 2011).

### Brand Management

The value of brands does not primarily derive from the qualities of the product itself; something resides in brands at the social and spiritual level (Gad, 2001), embracing the relationships between a product and consumers (Cowley, 1996).

Scholars have found that brand management is related to superior ways of enhancing organisational performance. In the housing development market, there are approximately 709 housing development firms in Thailand, according to the Land Development Department of Thailand (2011). Consequently, not only has the number of housing units increased, but design and construction technology has also been improved to match customers' lifestyle choices (Paliwoda et al., 2013). The development of real estate development derived from Thailand's rapid economic growth.

Aaker (2011) suggested that "brand identity is related to the brand equity which is the heart and soul of the brand". However, this study will only focus on brand identity as an indicator. The American Marketing Association (AMA) defines a brand as a name, term, sign, symbol or design, or a combination of them intended to identify the goods and services of one seller or group of sellers and to differentiate them from those of other sellers.

### Brand Identity

Brand identity is similar to an individual's identity in that it provides the direction, purpose and meaning of the brand (Aaker, 1994). In other words, Brand identity is an important element of brand management to distinguish one's brand from another or for it to be remembered. It is part of a brand's management that it can be controlled, such as in the form of the name, logo, and propaganda, because these are how a company defines it. Thus, brand identity must be clearly understood, which could be linked to a company's vision, which is how to build up brands in the same direction. This is the way companies design their values, as well as how to promote them. Identity is also the essence and authenticity of any brand. Hence, if an organisation intends to create a strong permanent image, creating a remarkable brand identity should be considered as a top priority (Behabadi & Farshad, 2009).

In addition, brand identity is a unique set of brand associations that the organisation desires to create. These associations are what customers remember about the brand. In fact, the essence of a brand is that organisations should pay attention to building their own identity which are strong and powerful, desirable and unique which make it different from brand image (Kosteljik, 2008).

In line with Aaker (1994, p.71), brand identity is "How a strategist wants the brand to be perceived", representing a brand image. Brand image cannot be controlled because it comes from how people outside of the company think about the brand. It may occur in one-time experiences influencing a customer's rate of return because the image is the perception of

what people have on the brand. For example, when customers look for a sedan car, in the case there are three choices, namely 1) Mercedes Benz, 2) Volvo, and 3) BMW, all three of them are luxury brands. Mercedes Benz is considered to be a classic and superior brand. Volvo is perceived as a long lasting and high safety brand. Finally, BMW is considered to be a modern-character brand (Owen, 1993).

Brand identity is related to organisational goals, expecting to target different groups of customers (Kotler & Pfoertsch, 2006). Hence, this suggests that different organisations with different organisational goals are influenced by the visions of top managers, which may lead to different levels of organisational performance.

### Organisational Performance

Organisational learning plays a vital role in sustaining a company and achieving its organisational goals, which in turn leads to superior organisational performance. Thus, many authors consider learning to be a fundamental aspect of competitiveness and link it with knowledge acquisition and organisational performance. Scholars seek to show how knowledge can increase organisational performance, and they propose that creating a learning environment may need to be taken into account. In pursuit of the development of learning in the organisation, recent research has confirmed that the capability of the manager to support members of the organisation should not be underestimated, including encouragement of appropriate learning in a way which is productive corporately and individually (Mabey, 2002).

In addition, in terms of organisational performance, there are two main competence measures. Zumitzavan et al. (2009) proposed that there are subjective and objective measures; the former is commonly referred to as the perception of the respondents, while the latter refers to the solid evidence of the annual report of the organisational performance, for instance market share, balance sheet, and financial record. In addition, Guest et al. (2003) recommend that researchers need to take precautions since subjective measures may be varied based on the process of data collection.

In this research, the combination of both measures will be applied circumspective as the nature of a subjective relationship may be wide-ranging during the process of data collection. However, a group of respondents is selected, what may possibly be different is their demographic data. Therefore, research must focus on homogeneity and heterogeneity. At the same time, objective data will be based on a financial record of the organisation in the past five years.

### The Link between Learning Styles, Brand Management, and Organisational Performance

Learning styles are composed of four different styles of learning, namely activist, pragmatist, reflector, and theorist, i.e., four ways in which individuals have a preference for a way of learning and transferring knowledge to others. The findings of existing research show that different styles of learning may lead to different levels of organisational performance. In particular, for the profit sector, top managers are people fully responsible for developing the strategic direction to drive the success of the organisation (Honey and Mumford, 2000).

Hence, understanding the learning styles of the managers of the firm may be advantageous in order to make it possible to make the most of organisational resources in terms of utilising tacit and implicit knowledge to develop effective strategic directions for the firm.

In addition, brand management of issues such as brand identity is related to the strategic direction set by the top management levels of an organisation. Brand identity can be measured through the perceptions that customers have experienced using the products.

Hence, since strategic direction can be set by top managers with different learning styles, different managers may have different concepts of adopting brand management to enhance organisational performance, which can be observed through objective and subjective measures.

### Terminologies

In their manual of learning style, Honey and Mumford (1992, p. 56-58) explained the contributions of different styles of managers.

*Activist:* managers who prefer to help their employees by providing them with the chance to learn from observing and reflecting on their work, taking a positive view of what is involved in a new situation, explaining to employees how to work through action, and reacting spontaneously to opportunities as they come up.

*Reflector:* managers who are likely to assist their employees by suggesting activities which can be observed, advising how observation can be carried out, classifying ways in which a problem can be analysed, discussing what may happen, evaluating what has happened, providing data or feedback in a controlled learning situation, recommending how to organise a management activity carefully, avoiding taking a lead in meeting employees, emphasising the importance of collecting data before acting, and giving a considered response to requests for help.

*Theorist:* managers who are likely to assist employees by showing interest in any intellectually respectable idea, helping employees to identify an original cause of problems, explaining the systems or concepts involved in an activity, clarifying the logical validity of an answer, introducing complexity, aiming for clarity of structure of purpose, giving explanations with intellectual reasons, and expecting high standards in the quality of data.

*Pragmatist:* managers who are likely to help their employees by showing awareness of new ideas and techniques, demonstrating interest in specific action plans, pressing for relevant learning programmes with clear pay off, being open to new situations, believing that there is possibility of improvement, releasing people for courses, and following specific suggestions on how to improve learning.

As suggested by Kotler (2012) and Keller et al (2011), brand management is composed of brand identity and brand equity.

*Brand identity:* the uniqueness of an individual brand identity leading customers to realise its distinctive position and image.

### Conceptual Framework

Figure 1. Conceptual framework



**Independent variables:** Demographic profiles, brand management, and learning styles of the managers.

**Mediator:** Different branding strategies applied in the unit of study.

**Dependent variable:** Organisational performance: the managers of each company will be asked to evaluate their financial performance compared with others in their business sector.

Figure 1. demonstrates the connection between learning styles, branding strategies, and organisational performance. These concepts are applied to elucidate the interpretation of learning styles and branding strategies on organisational performance.

In this research, organisational performance will be measured by applying both objective and subjective approaches, based on the response of the managers of the housing development firms. First, objective measures will be related to the collected data, including the past five years of financial data of each firm regarding Return on Investment (*ROI*), Return on Equity (*ROE*), Return on Assets (*ROA*), and Net Profit Margins (*NPM*). The respondents will be asked to evaluate their organisational performance based on the financial performance of their firms compared to their competitors in the same sector. At the same time, firms' size, demographics profiles, learning styles, brand management, and organisational performance will be used for quantitative analysis of the perceptions of the managers of the firms.

### 3. Methodology

Firstly, the literature will be comprehensively reviewed and summarised. Mixed methods will be applied. First, the quantitative research method will be taken part in the data collection. Questionnaire will be used as a tool to collect the data. Later on, the qualitative research method will be utilised to collect the data. The semi-structured interview will be applied to gather the insightful information from the participants.

#### Hypotheses:

**H<sub>1</sub>:** There is positive relationship between learning styles of the managers and organisational performance.

**H<sub>2</sub>:** There is positive relationship between brand management and organisational performance.

**H<sub>3</sub>:** There is positive relationship between learning styles, brand management, and organisational performance.

In case there is positive relationship between learning styles, brand strategies, and organisational performance, there will be further investigation on the mediation effect. Therefore, the hypothesis would be:

**H<sub>4</sub>:** There is a mediation effect of brand management between the relationship of learning styles and organisational performance.

#### Samples

*Unit of study and sample:* Housing development organisations in Thailand will be the unit of study whilst 709 managers of the firms will be selected as the samples. The random selection will be used to control the bias. The minimum sample size ( $n=160$ ) was calculated by G\*Power calculator, using *F*-test to ran a priori sample size ( $\alpha=.05$ ) medium effect size ( $ES=.15$ ), power of .95, and 8 predictors.

#### Data Collection

Different statistical tests will be applied in this research such as descriptive statistics, one-way ANOVA, correlation, and multiple regression. The major tool for data collection is the survey; the questionnaire will be piloted and developed by experts in the academic research and management fields. In the stage of the pre-test,

approximately 30 owners or managers of housing development firms will be asked to participate in order to answer the questionnaires. Subsequently, the level of validity and reliability will be tested to ensure whether they are at satisfactory levels.

#### 4. Finding / Discussion

This research is to conduct a study to improve the understanding of the perceptions of the managers of real-estate firms in order to increase the overall performance of the firms by applying appropriate learning styles and brand management. The unit of study is the top managers of housing development firms in Thailand, composed of approximately 709 respondents. The survey questionnaire will be applied as a tool to collect data. Different statistical tests will be utilised to test the relationship between independent and dependent variables. Finally, the results of this study would help to increase the overall understanding of how to apply the appropriate learning styles of the top managers in order to appropriately utilise effective brand management to increase overall organisational performance.

#### 5. Limitations and Delimitations

There are different subsectors of the real-estate business in each part of Thailand. Thus, we will use a random selection technique to select the sample from each region. Understanding the personal perception of brand identity is intricate, so we will interview participants for insightful details.

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**The Eco system of Student Satisfaction**  
**A Systems Dynamic Approach**  
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**Abstract**

*Indicators of student satisfaction has evolved from enriched learning and employability to a greater number of primary, secondary and tertiary factors both in the internal and external environments of the academia. The processes within an academic institution are primarily service based with the infrastructure being the only tangible form of facility. All process between start (admissions) to the end (graduation) of the academic programs are service based and dynamic. Several inherent variables and sub processes form a part of these processes. With the growing gamut of influencing factors it is imperative to gain a holistic view of the academia through the perspectives of student satisfaction. The affecting variables are mostly inter-dependent and impact each other strongly/weakly and positively/negatively with a direct/indirect impact on cost of quality. Such interdependences make the system complex thereby warranting the need for a systems approach in understanding the dynamics of the variables among themselves and between the factors. The system dynamics approach helps investigate and model the complexities between the factors facilitating forward and backwards loops at all levels of aggregation. A multifaceted model based on the inter-linkages between the factors is the key development of this paper. The model developed in this study links the expenditure incurred in maintaining the quality of the processes (that impact student satisfaction) within an institution to the returns on investment(for quality) that translate to market leadership through student numbers and industry recognition for student employment . This paper also provides the scope for a stock and flow model in terms of a future research.*

**Keywords:** *Student Satisfaction, Quality factors, Systems Approach, Academic Institutions, Causal Loop*

## **1 Introduction**

Road maps to the quality of a process warrants continuous improvement of all affecting processes and by this means the ratings of the sub-processes that form the process. Quality of Education is highly dependent on the quality of an academic institution which in turn is a (validated) notion broadly directed through student satisfaction. Student satisfaction form the crux of most quality assessment studies in the Academia (Allessandro, 2006), (Biju & Nair, 2010), (Devasgayam, et al., 2012), (Steiner & Hyman, 2010). The National Survey of Student Engagement report eleven parameters that correlate largely with student satisfaction that include quality of relationships with peers & faculty, enriched learning , critical thinking, effective working and ability to thrive socially (Christopherson, 2001). Improved student satisfaction is largely indicative of institutional health and effectiveness. The dimensions of satisfaction vary and are an outcome of the curriculum

delivery, teaching and learning practices, infrastructural facilities, personal growth, grade achievements and the learning curve (CEISS, 2003).

**Study Objective:** This study syncs the key dimensions/indicators of student satisfaction in an attempt to connect the dynamics of the influencing variables while providing a contextual framework for the various Critical to Quality factors at the primary secondary and a to an extent the tertiary levels of influence. The outcome of this study will be of use to administrators of higher education institutes to be cognitive of the influencing variables and to proceed to develop/retain the standards for an improved level of student satisfaction. This study restricts itself to development of the model based on the existing evidences found in the literature and published sources.

## 2 Literature review

Quality in academics is a highly contested concept and has multiple meanings for people who are providers, users or both in academia. The indicators and enablers are both internal and external. An exploratory study that investigated into the key indicators of Academic quality enlisted 60 (some overlapping in nature) as critical to quality (Biju & Nair, 2010).

It is imperative for academic institutions to preempt for student expectations and have the latter's experience as a directional indicator. Improving student experience therefore becomes both crucial and relevant for sustainability. This may be accomplished in providing services and rendering the experience of learning though focused attention (Steiner & Hyman, 2010), mapping the deliverables with the student expectations (Opdecam & Everaet, 2012), using technology as a medium to enhance interest in class learning (EASTman, et al., 2011) and /or improving the overall quality of study life while at the institution (Arslan & Akkas, 2014). Student satisfaction is crucial for the sustenance of any academic institution (Harrison, 2014) and is manifested though the indicators (Biju & Nair, 2013) that leads to satisfaction or the lack of it. The various services offered within the portals of an institute both tangible and intangible contribute towards the perceived quality of an institution (Lazibat, et al., 2014). Student efforts are crucial for the quality of an academic institution (Fredrickson, 2012) and is either eliminated from the frame or is over exaggerated while opining (by the student herself) about satisfaction. The costs of providing quality services to the students comes in the form of tangible moneys while providing for improved services and is time based. The market changes are dynamic leading to changes in the quality parameters of any market dependent system. This necessitates updating or up gradation of the facility being provided and thereby an inevitable rise in costs of investment should the change be implemented. This study uses system dynamics to model for the factors that affect student satisfaction.

## 3 Research Methodology & the Model

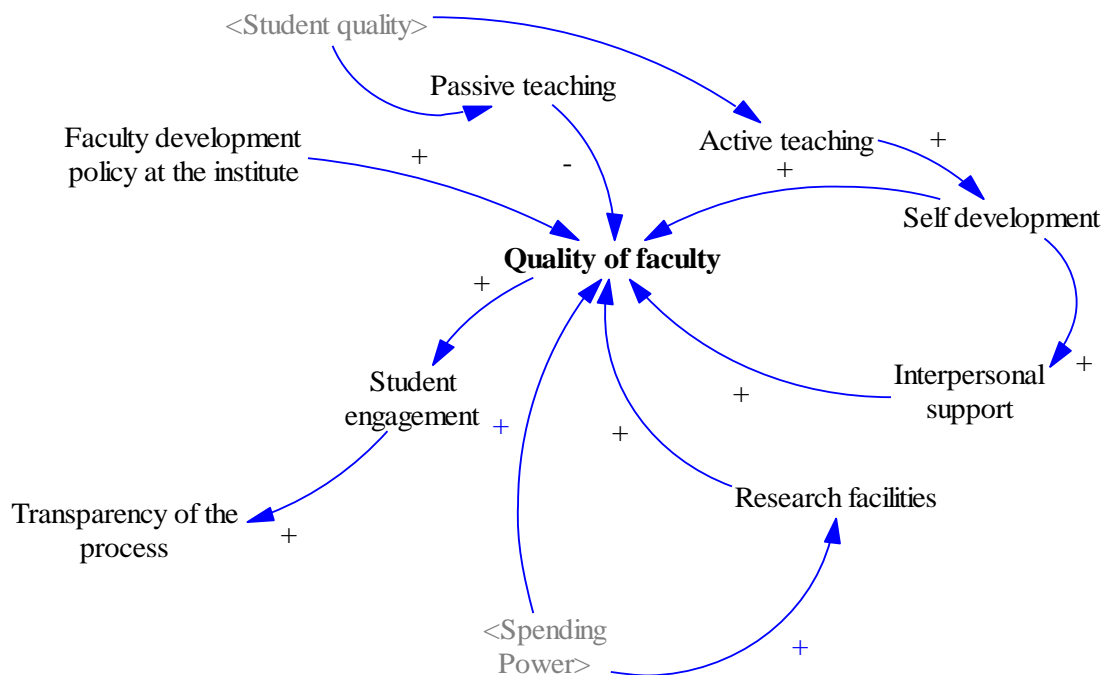
In a study that investigated into the factors that are critical to academic quality and thereby student satisfaction Faculty, Infrastructure, Placement, Industry Interface, Discipline & culture, Research facilities, Evaluation methods, Fee structure, institutional ranking and admission processes were cited (Biju & Nair, 2010). The factors are overlapping in their definitions and may also be classified broadly as services and tangible

manifestations to student experience. The current study considers four factors – Faculty, Infrastructure, Placement and Evaluation methods as the primary factors that affect student satisfaction. Discipline & Culture, Research facilities are cited as moderating factors to the primary factors. The methodology uses the principles of System Dynamics (Forrester, 1994). Drawing inferences and borrowing the results of the various studies (as cited in the literature review section) the model is built on four subsystems

1. Quality of Faculty
2. Quality of Infrastructure
3. Quality of Evaluation
4. Quality of Placement

### 3.1 Quality of Faculty

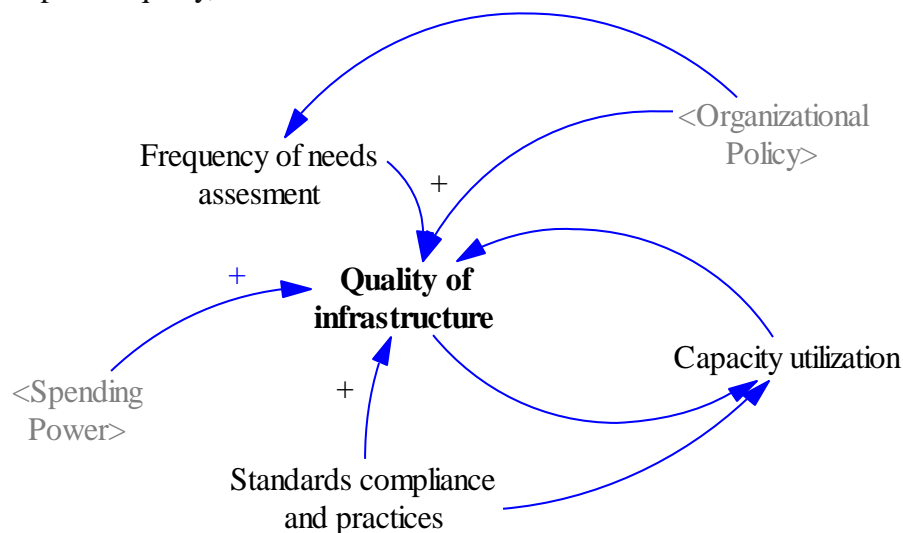
An increased value in learning and a higher level of engagement are outcomes of active and collaborative learning techniques by faculty (Umbach & Wawrzynski, 2005), (Lee & Hoffman, 2014). Studies have reiterated the importance of experiential learning techniques (Devasgayam, et al., 2012), student engagement (Ariani, 2015) and re-emphasized on the need for higher order cognitive activities (Katiliute & Daunorienė, 2011) in the learning process which leads to challenging the students academically thereby enriching their experiences. The quality of faculty is indicated by both personal and institutional factors. Inter-personal support (Tähtinen, et al., 2012) encourage faculty members to provide facilitative conditions both for knowledge sharing and collaboration (Raymond & Kannan, 2014). The quality of work- life (Sathya Narayanan, et al., 2012/2013) which is an offshoot of both self-development and Organizational culture coupled with the styles of teaching (Active/Passive) affects the quality that a faculty brings to the table. Research facilities and research outputs impact the enhancement of the faculty career (Mullen, et al., 2008) (White, et al., 2012) and academic enterprise.



**Figure 1: Factors impacting Quality of Faculty**

### 3.2 Quality of Infrastructure

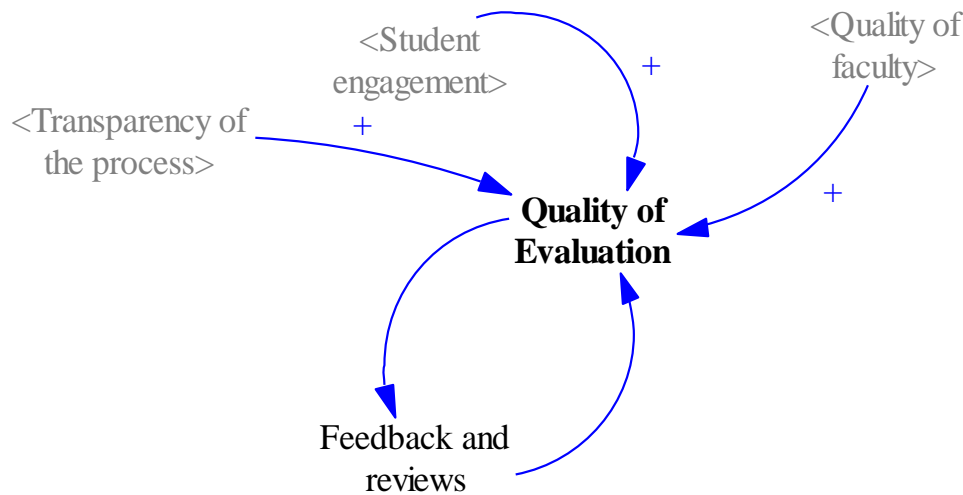
The infrastructure is the tangible proof of quality at the first instance. The facilities provided by the institute if adequate and of high quality will facilitate student comfort (Swayerr & Yusof, 2013) and thereby the satisfaction in that area (Poon & Brownlow, 2015). The organizations/ institution's compliance practices and the frequency of needs assessments are indicative of the quality of the infrastructure (Haddad, 2009). The payback for business due to good infrastructure may be elusive in the short term but is of optimum value in the long run (Knorr, 2005). Needless to say capacity utilization and the organization's policy for infrastructure maintenance impacts the quality (Cornett, 2004). Well facilitated classrooms, laboratories, studios, common rooms and rest rooms provide the much required ambience for better learning. The laboratories were viewed by many as having a strong connection to real problems (Academics, 2005), (Marshall, 1998). It goes without saying that access to up-to-date scientific information is the first condition to quality education and research. University libraries play a central role as the nucleus of scientific literature (Matos, 1999) and technological advancements in information and communication has hugely raised the significance of a library in university. While good infrastructure costs, individuals look for the availability before they pay the price - infrastructure is the only tangible proof of quality,



**Figure 2: Factors impacting Quality of Infrastructure**

### 3.3 Quality of Evaluation

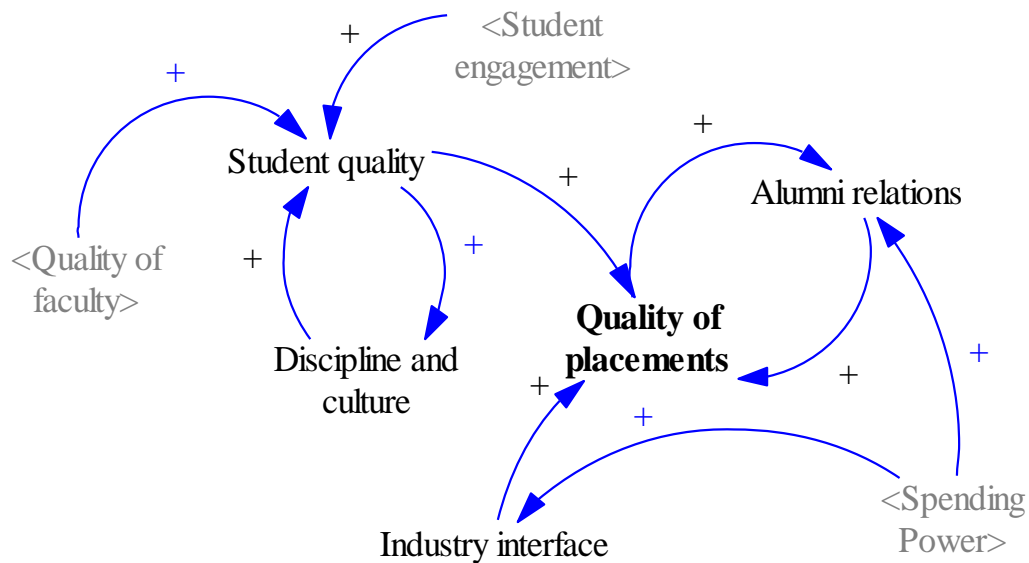
Fairness, clarity and transparency deliver quality in terms of evaluation. High student engagements promote clarity in student evaluation while feedbacks and reviews have an inter-correlation to the latter (Santiago, 2009). The methods of evaluation are also dependent on the market needs and the changing scenarios. With changes in the methods comes the need to assess the rubrics, need for change and the impact of the evaluation techniques on the student's learning curve thereby affecting the student satisfaction. In a reverse path, the transformative power of an effective teacher impacts the student's evaluation (by the faculty) positively and thereby the backward feedback by the student (about the faculty) on faculty performance (Tucker & Stronge, 2005). Ethical practices reflect positively on the image of the institute and thereby the quality of student learning.



**Figure 3: Factors impacting Quality of Evaluation**

### 3.4 Quality of Placement

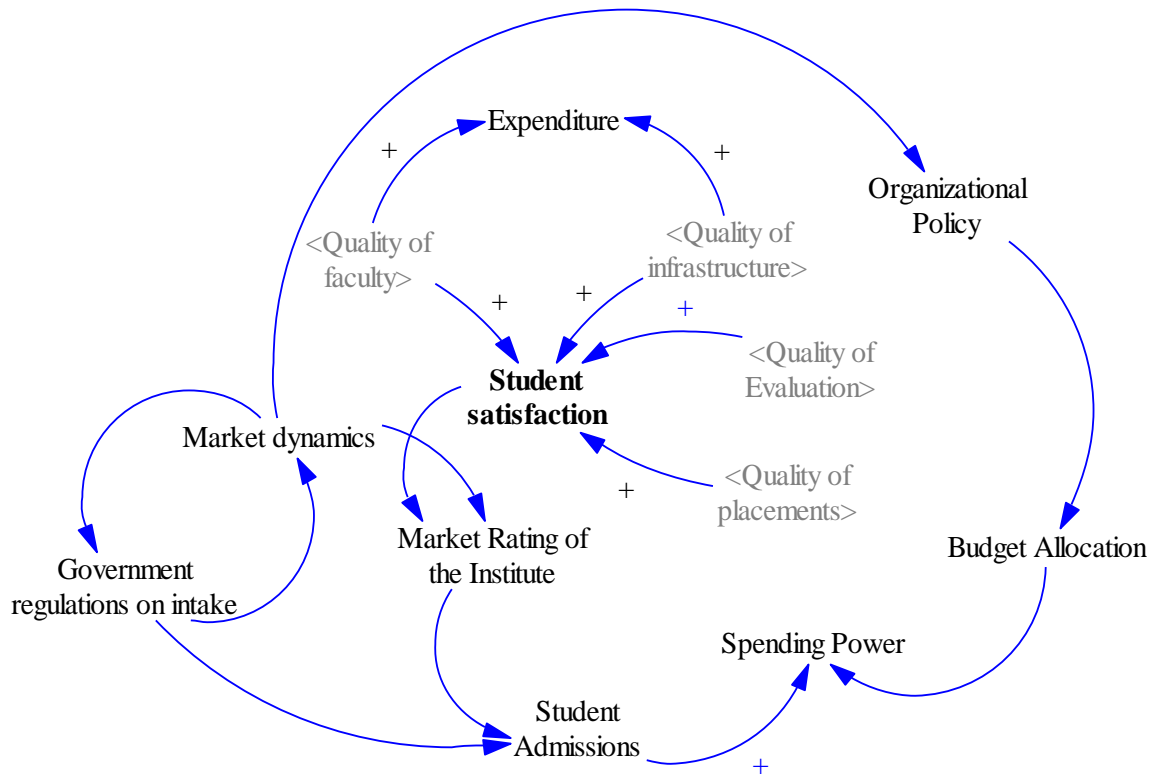
While the first three factors are internal processes placement as a process overlaps both internal and external environments. Industry interface brings experiential learning to the classroom through the industry experts who interact with the students and the experiences the students gain while at internship. The quality of efforts drawn in this direction has a direct impact on the student learning and thereby student satisfaction. The quality of placements is a cumulative and a positive outcome of industry interfaces, alumni relations and the institution ranking (Weeks et.al (2014)). Effective job market decisions are an outcome of student quality which manifests itself in the form of alumni relations who in turn are the (good will payback) source of quality placements.



**Figure 4: Factors impacting Quality of Placement**

### 3.5 Cost of Quality

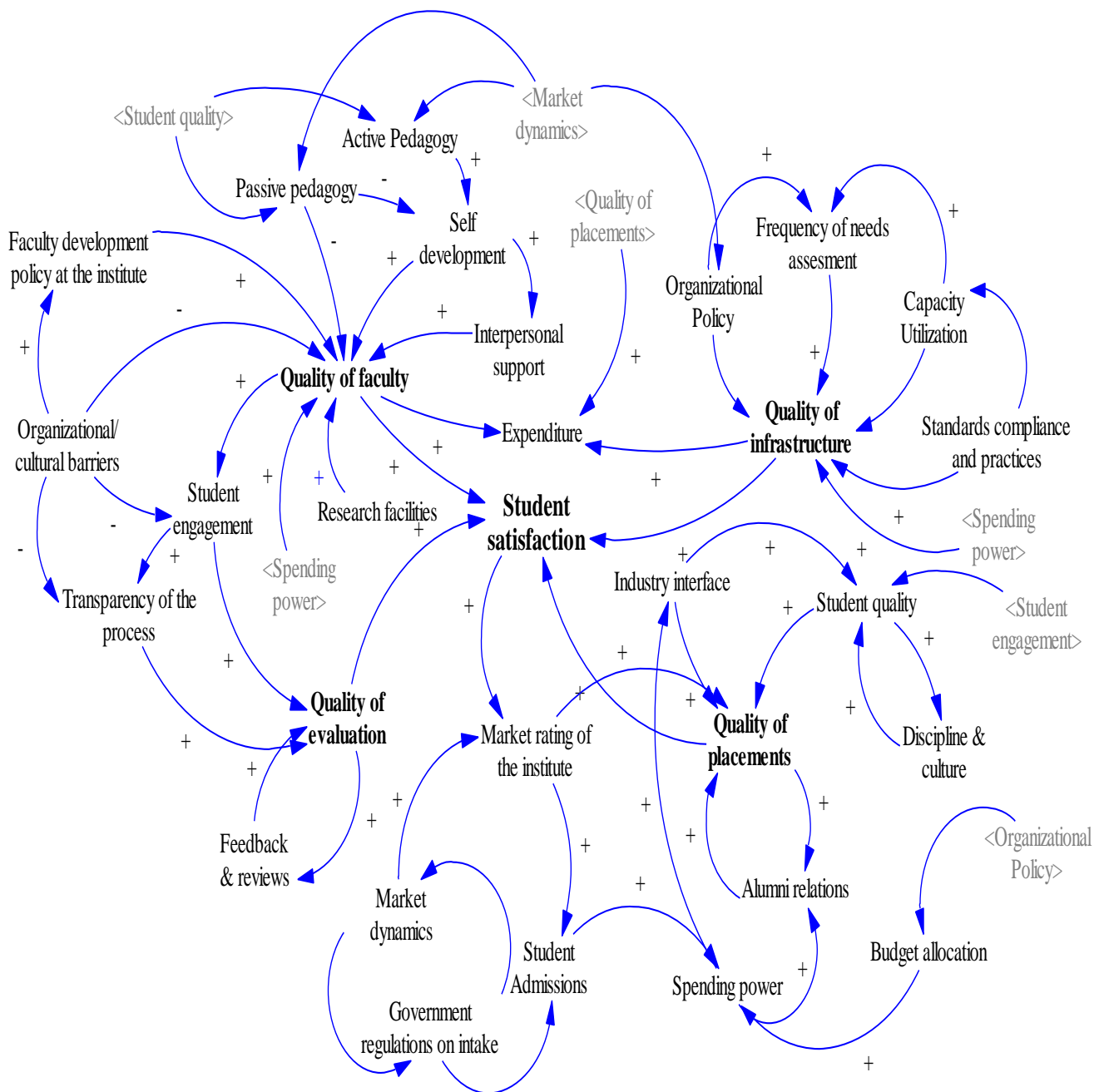
Quality comes for a price and thereby the cost of student satisfaction (Metcalf, 2005) . Cost of higher education in terms of providing quality faculty, good infrastructure, effective evaluation and employment is a growing value variable which can be maneuvered effectively to transform into an investment leading to increased student numbers (income) which is an output of high student satisfaction. The cost of education must concur with the services received by the student. Hermawan et. al. in an extensive study on the higher education image and cost state that the image of the universities and education cost directly and indirectly affect the increase in student trust (2014).



**Figure 5: Causal Loop diagram showing factors impacting Student satisfaction**

## 6 Model overview and Conclusion

The key finding of this study is the inter-linkage between the affecting factors of student satisfaction and that of both expenses and income. This study is a conglomerate of several studies undertaken in this domain and has connected the different findings into a holistic causal loop. Four key processes were identified as crucial to student satisfaction for the study, each of which is a grouping of several sub process. The model includes 27 impacting sub processes some of which also have two way interactions. A direct impact of cost of quality is the expenditure involved. The model indicates student satisfaction as an impacting factor on the market rating of the institution and hence an effect on student numbers which enhances the spending power of the institution. The latter is also dependent on Government regulations, Organizational policy and market dynamics. This study restricts itself to the development of the causal loop diagram. This work may be extended and a stock and flow diagram may be developed. Overcoming the limitation that some of the variables are latent and hence depend on further significantly observable parameters and/or may be observed in terms of perceived ratings, the then developed stock and flow model will validate the changes expected in the dependent variable thereby justifying the systems perspective.



**Figure 6: Causal Loop showing impacting factors of Student Satisfaction**

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## Stolzmann's influences on Schumpeter's interest theory

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### ABSTRACT

This paper investigates Joseph Schumpeter's interest theory by specifically focusing on the influence of the relatively unknown author Rudolf Stolzmann. Though Schumpeter spoke about Stolzmann in his early works, the influence has so far not been part of a research paper. The aim of this paper is to show that major contents of the interest theory were developed from a critical review of Stolzmann's "Soziale Kategorie der Volkswirtschaft". It can be demonstrated that the definition of entrepreneurial profit and the importance of a bank for interest can already be found in Stolzmann's first book. This paper claims that Stolzmann played a certain or even a major role for the interest theory of Schumpeter. However, this does not mean that there are no differences between Schumpeter and Stolzmann in general.

**KEYWORDS:** Joseph A. Schumpeter, Rudolf Stolzmann, interest theory, methodology, ideal type,

**JEL CLASSIFICATION:** B00, B13, B40,

### I. INTRODUCTION

Joseph Schumpeter fully developed his interest theory within the framework of *The Theory of economic development* (1912). Some important theories were already discussed in his habilitation thesis *Das Wesen und Hauptinhalt der theoretischen Nationalökonomie*. Thus far, his theory has not been particularly well received in the literature. The main and most important criticism came from Eugen von Böhm-Bawerk in 1913. According to Böhm-Bawerk, Schumpeter was the first economist to deny the existence of interest in a static economy. Böhm-Bawerk also referred to Schumpeter's theory as the *dynamic interest theory*. Although he recognized Schumpeter's valuable personal qualities, he thought that his dynamic interest theory had completely failed and was misleading (Böhm-Bawerk, 1926, pp. 520-521). Gottfried Haberler (1951) came to a similar conclusion. Similarly, he rejected the thesis of the non-existence of interest in a static economy. Murray Rothbard (2005) indicated that Schumpeter started his theory from the Walrasian perspective, but he could not accept that interest is a consequence of the marginal productivity of capital. Schumpeter was too much of a student of Böhm-Bawerk to accept this explanation of interest as Schumpeter was a representative of the concept of imputation, in which the values of products are imputed back to productive factors. In addition, he showed that capital goods can be categorized into the two original factors of production: land and labor. This meant that no interest can exist in equilibrium (Rothbard, 2005, p. 98). This critique also refers to the non-existence of interest in the static economy. An interesting review of Schumpeter's interest theory came from Lionel Robbins (1930). For Robbins the interest theory of Schumpeter was definitely wrong, but "it was wrong in a way that has positive significance" (Robbins, 1930, p. 211). As long as private property and exchange are assumed in a static economy, it is difficult to conceive a state in which capital earns no net income. However, for the case that private property and exchange are not assumed, capital is not increasing in a static economy (Robbins, 1930, p. 212). Concerning the concept of a static economy, Schumpeter was definitely influenced by the classical economist (Smith, Ricardo, Mill) and by Leonel Walras, Alfred Marshal

and John Bates Clark from the neoclassical side. Clark (1965)<sup>1</sup> reached his conception of the static economy by abstracting the forces of social progress. Clark also found “dynamic factors” which are valid “in any given society” (Robbins, 1930, p. 203) and he could be seen as one of the fathers of the “dynamic economy” (Clark 1905).

More recently, there are some interesting studies on the methodology in the complete studies of Schumpeter by Peter Kesting (1997) and Yuichi Shionoya (2004, 2005). Both authors stressed that Schumpeter specifically uses an instrumentalist or ideal-type approach in *The Theory of Economic Development*. Fritz Machlup (1951) developed preliminary studies on the methodology of Schumpeter. He found that Schumpeter used a mix of methods, but he did not mention the concept of ideal types. Even in his paper about ideal types, Fritz Machlup (1960) did not refer to Schumpeter. Schumpeter’s interest theory could be regarded as a part of a “universal social science” (Shionoya 1990).

There is one interesting author who played a certain role for the development of this universal social science and especially for the interest theory. This author has not often been mentioned in the secondary literature to Schumpeter and his name is Rudolf Stolzmann. Long before Shionoya and Kesting, Rudolf Stolzmann (1919) asserted that Schumpeter used ideal types for his interest theory. Stolzmann (1896) criticized Böhm-Bawerk for his interest theory and his thesis concerning interest that it is an “economic category” and not a “social category”.

This paper wants to show that Stolzmann had an impact on the development of the interest theory of Schumpeter. The question is which concrete elements of Stolzmann’s theory influenced Schumpeter.

The paper is structured as follows. The second section offers a short summary of the works of Rudolf Stolzmann as an economist, philosopher and sociologist, as his works are not well known especially in the English literature. The third section examines Schumpeter’s interest theory and differentiates between *interest in a static economy* and *interest in a dynamic economy*. Finally, the fourth section focuses on the influence of Stolzmann on the interest theory of Schumpeter.

## II. THE WORKS OF RUDOLF STOLZMANN

Stolzmann’s scientific target was a reform of the theory of economics which should be an advice for economic policy. In the dominating economic theory at the time when Stolzmann lived, one had abstracted too much from reality and therefore the theory was not able to advise economic policy.

Karl Diel (1941) only partly added Stolzmann to the “social law movement of economics”. The main representatives of this German movement in economics were Rudolf Stammler and Karl Diehl (Caldwell, 2001, p. 650). For Diehl, Stolzmann’s works had an eclecticism character. He tried to synthesize his “social organic theory” with the Austrian marginal utility school (Menger, Böhm-Bawerk, Wieser) (Diehl, 1941, pp. 83-84). Normally, Stolzmann is not explicitly mentioned in the basic books of the “History of economic thought”. One of the few who mentioned Stolzmann were Heinz Rieter (2014) and Stavenhagen (1964) and they added Stolzmann together with Rudolf Stammler and Karl Diehl to the “social law movement of economics” (Rieter, 2014, p. 154). Rudolf Stolzmann considered himself a representative of the “social economic theory”.

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<sup>1</sup> Clark’s book “The distribution of wealth” was published in 1886.

A comprehensive rendition of the works of Stolzmann is not possible at this juncture. It is only possible to give some important indications of his works. According to his own statements, Stolzmann advocated a Neo-Kantian philosophy (Stolzmann 1925). He represented the maxim “back to Kant”, but his “Neo-Kantianism” is not without contradictions. There are also major influences of Hegel, Neo-platonic and Platonic philosophy. One can find these influences in his later writings “Grundzüge einer Philosophie der Volkswirtschaft” (1925) and “Wesen und Ziele der Wirtschaftsphilosophie” (1923). Stolzmann often refers to the “microcosm-macrocosm-doctrine”. The human being is a mirror of the whole macrocosm (Stolzmann, 1925, p. 15). Philosophy also contains the society as an “ontological form of existence”. The society is a “mesocosm”. Stolzmann could be a creator of this word. For example Dopfer et. al. (2004) published a paper called: “Micro-meso-macro” where they used the term “meso” in a different way than Stolzmann. Mesoeconomics is part of the new political economy today. For Stolzmann mesocosm is an ontological form of existence between the macrocosm and the microcosm. The society as a whole is an ethical genus. Stolzmann always refers to the analogical method and the mesocosm could be also regarded as a mirror of the macrocosm. However, the mesocosm is above the microcosm in a hierarchical order (Stolzmann, 1923, pp. 17-19). Stolzmann distinguished between two major ontological categories, namely, the “social category” and the “natural category”. The social category corresponds to the mesocosm and the natural category is consistent with the term “nature”. In his first book, Stolzmann used the natural category synonymously with “economic category” (Stolzmann, 1896, p. 2-5). Because of the mentioned hierarchical order of Stolzmann, the social sciences are “above” the natural sciences in the hierarchical order. Therefore, economics has to be superficially considered as a social science and not as a natural science. This can be derived from the Neo-Kantian and Neo-Platonic thought of Stolzmann. The classical economic thought (Smith, Ricardo, Mill) is mainly based on natural science. For Stolzmann the philosophy behind the classical thought is materialistic. The same is valid for Böhm-Bawerk and Schumpeter. The consequence of Stolzmann’s thought is that, for the economic theory, legal order and the power of relationships have to be the initial point. The classical economist, Schumpeter and Böhm-Bawerk did not regard this argument as important (Stolzmann, 1925, pp. 66-81).

Schumpeter refers indirectly to Stolzmann in his habilitation thesis of 1908 and emphasizes that, from his methodological and epistemological nature, the economic theory has to be a natural science. Economics is composed of natural laws. Contrary to Stolzmann, Schumpeter wanted to separate economics and philosophy. It is not possible to connect these two sciences as an architectonic whole (Schumpeter, 1908, pp. 534-536). In his habilitation thesis, Schumpeter can be observed as a representative of the classical and neoclassical position. Particularly the influence of Walras was important (Kurz 2005). In 2009 Schumpeter wrote an interesting, but relatively unknown essay “On the concept of social value”. There is one note at the end of the essay (Schumpeter, 1908, p. 231):

*“Especially Professor J.B. Clark, whom the writer desires especially to thank for the kindness in revising this manuscript. It is interesting to note that Professor v. Wieser’s “natural value” is a kind of “social value”, too. Much less importance than to either of these attaches to Stolzmann (Die soziale Kategorie, 1896).”*

Schumpeter already refers directly to Stolzmann in this essay. He already changed his position in comparison to his habilitation thesis in 1908 a little bit. For example “...every demand on the market is therefore an

*individualistic one, although, from another point of view, it often is an altruistic or social one*". Especially in a communist society the values are "social values" and there are "social marginal utilities". Additionally the distribution of wealth "...is important for determining values and shaping production ...". (Schumpeter, 1908, pp. 214-215). These arguments look very similar to Stolzmann. The legal order and the power of relationships are important for determining a value of a good.

Schumpeter changed his position in the "Theory of Economic Development" again. Swedberg made a reference to an interview of Schumpeter 1944: „[...] a general view of the economic process, whose main characteristics is that this process can ultimately be understood only as an expression of an interaction between economic and social elements.“ (Swedberg, 1995, p. 531). After 1920 the economic theory was a part of the "social economic theory" which consisted of the „economic theory, economic history and economic sociology (Swedberg, 1995, pp. 536-537). The change of his position between his habilitation thesis and "The Theory of economic development" was demonstrated by many authors (for example: Vanberg, 2015, p. 94 and Kurz 2012). A part of this change of mind of Schumpeter goes back to Stolzmann according to the view of the author. Schumpeter for example mentioned Stolzmann in the "Theory of Economic Development" again (Schumpeter, 2006, p. 16). From this citation and from the essay 1908 it becomes obvious that Schumpeter studied the works "Die Soziale Kategorie der Volkswirtschaft" (1896) and "Der Zweck in der Volkswirtschaft" (1909) of Stolzmann. It is also important to note that Stolzmann had a (relatively unknown) controversy with Böhm-Bawerk (1924)<sup>2</sup>. The basis of this controversy was the value theory of Stolzmann. For Stolzmann the value of a good is determined mainly by the legal order of a society. The economic laws are finally dependent on the legal order. Böhm-Bawerk replied that each economy had to be based on a legal order, but the whole explanation of Stolzmann was simply too trivial. Hans Esser (1971) wrote a dissertation about this value debate between Stolzmann and Böhm-Bawerk. This dissertation is probably the best secondary literature about Stolzmann.

### III. INTEREST THEORY OF SCHUMPETER

Before Schumpeter's interest theory is addressed, it must be noted that Schumpeter already worked out a part of his theory of the "Theory of economic development" in his habilitation thesis "Das Wesen und der Hauptinhalt der theoretischen Nationalökonomie" (Schumpeter 1908). To clarify Schumpeter's interest theory, it is useful to separately investigate the various differences between a static or stationary economy and a dynamic economy.

Schumpeter distinguishes between

- 1) Stationary or static economy
- 2) Augmented static economy
- 3) Static condition in a dynamic economy
- 4) Dynamic economy

This paper wants to discuss only the interest in the static and the dynamic economies because the augmented static condition and the static condition in a dynamic economy are very similar to the static economy and are not relevant for the paper's research question.

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<sup>2</sup>The essay of Böhm-Bawerk "Macht oder ökonomisches Gesetz" was already published in 1914.

### 3.1 Interest in a static economy

The concept of a static economy is a very old concept in economics. Quesnay represented the idea of a static economy in the “Tableau Economique”. The static economy was also a part of the classical theories of Adam Smith, David Ricardo and John Stuart Mill. Finally, Alfred Marshall and John B. Clark used this concept (Robbins, 1930, pp. 194-203). In the theoretical model of a stationary or static economy, all individual markets are in equilibrium in the long term. This model does not assume growth but only reproduction and an assumption that Schumpeter also emphasizes over and over again that business already possesses all means of production. Any fluctuations in productive activity are insignificant. Another assumption is the neutrality of money. Saving and credit by nature are also not necessary in a static economy. Moreover, there is no reason to *accumulate money* in a static economy (Schumpeter, 2006, p. 79). Economic subjects are fully informed (Schumpeter, 2006, p. 441). Schumpeter considers the major difference between his model and that of the classical economists in the fact that the classical economists such as Adam Smith and David Ricardo tried to *squeeze* profit and interest into the theory. A static economy in its strictest form is found only in the study of Walras (Schumpeter, 2006, p. 99-100). In contrast to the classical economists and most neo-classical economists, Schumpeter distinguishes between two, not three, production factors. These factors are labor and land, and the return from these two factors is wages and rent, respectively (Schumpeter, 2006, p. 326). The answer to the question of why capital is not a production factor lies in the fact that the means of production<sup>3</sup> are created by labor and land. The value of these means of production is thus already ascribed to the factors of labor and land.<sup>4</sup> Originally, interest was assumed to be the source of return for the factor of capital (a produced means of production). The production output of a produced good would now have to be permanently higher than the value of the produced good to account for interest. In a stationary economy, the production output cannot be permanently higher than the value of the produced good, which arises from a higher value of labor and land used because the competition would reduce the value and price of the product until the values are equal (Schumpeter, 2006, p. 328). The second reason why interest cannot exist in a stationary economy is rooted in the theory of imputation (Schumpeter, 2006, p. 332). As Lionel Robbins pointed out, it is only difficult to imagine that interest does not exist in an economy with private property and exchange (Robbins, 1930, p. 203). The fact that Schumpeter assumes “competition” in his ideal type static model shows that Robbins is probably partly right. However, saving is not important, which is not typical for a capitalistic economy.

Before addressing Schumpeter’s methods, a few more comments on Max Weber’s ideal type are provided, which, in this paper’s opinion, plays an important role in Schumpeter’s *The Theory of Economic Development*. Weber developed the ideal type, which is composed of individual phenomena that are diffuse and discrete or do not even exist in reality. His viewpoints are decidedly one-sided and synthesized into a unified analytical construct. However, the conceptually pure ideal type cannot be found anywhere in reality. The ideal type is an analytical construct of relations considered to be without contradiction, that is, a utopia achieved through conceptual accentuation of certain real elements. Weber also describes the ideal type as a theoretical construct

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<sup>3</sup> Schumpeter also differentiates between capital and means of production. For him, capital is monetary capital and not means of production (Schumpeter 2006, p. 236).

<sup>4</sup> Schumpeter presumably took this point from Böhm-Bawerk (1902, pp. 102-103).

of an ideal limiting case. It departs from reality, yet he refers and compares reality to it. The ideal type creates precise concepts and clear means of expression. It is used to mean *terminological, classificatory, systematic, and heuristic*. In fact, an ideal type is already present whenever one speaks of the *essence of a thing*. With regard to *essences*, Weber spoke of *relative and problematic validity*, which, however, have a very high heuristic value. The task now facing historical work is to determine how close or distant reality is to the ideal image in each individual case. It is also important to mention that it is precisely in the social sciences that the form of the ideal type is subject to a constant change. The basis for this change is that any understanding of a subject is incomplete. All acts and results of thinking are only provisional, destined to be replaced by new empirical results. This means that, when an ideal type is empirically refuted, a new ideal type will or should gradually form. This is the manner in which change and progress occur in social sciences. Developments themselves can also be constructed as ideal types, and these constructions can have a very considerable heuristic value. However, risk exists that the ideal type and reality may be conflated (Weber, 1973, pp. 190-207). Schumpeter follows Weber in his later writings in the opinion that all acts and results of thinking are only provisional. The static economy is an ideal type model<sup>5</sup>. This paper asserts that Schumpeter has been interpreted too often in the abstract, logical sense. If one does this, then there are indeed many irresolvable contradictions. The remaining question is now which historic economy is similar to this static ideal type. It could be a feudalistic economy, however, not all the assumptions are suitable for this kind of economy. There was also competition, but in any case it was not as important as in a capitalistic economy. On the other hand, saving and credit were definitely not important in a feudalistic economy. However, it is in any case a question of the legal order whether competition and private property are important or not.

### 3.2 Interest in a dynamic economy

The first question that arises is what Schumpeter means by a dynamic economy. For Schumpeter development refers to “changes in the cycle of economic life that the economy begets out of itself”. That is, not changes caused by *external stimuli*. Such external stimuli would include, for example, population growth or an increase in wealth because of exogenous and not purely economically explainable phenomena, such as the discovery of oil. (Schumpeter, 2006, pp. 103-104). However, additional assumptions are of basic importance in a dynamic economy. Schumpeter distinguishes between two different types of people. This is very well known in the literature. The first is the static type, which includes the overwhelming majority of people. A characteristic of this static type is hedonistic behavior. The second type is extremely rare and can be called the dynamic type. This type differs from the static type in that they enjoy reshaping and creating new forms of economic goods and the position of power they obtain through possible success in their economic life. For Schumpeter this type is responsible for the development and dynamism in an economy (Schumpeter, 2006, pp. 120-170). Therefore, there is no development of the economy on its own (Schumpeter, 2006, p. 470).

However, how does the entrepreneur acquire the goods he/she needs to introduce new combinations and from where does he/she get the money? It is important at this juncture that Schumpeter again assumes a static condition to ultimately explain development. The business person might have saved the money. However, only in the rarest cases does saving suffice to obtain the required money. In a static economy, saving (as already

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<sup>5</sup> Schumpeter uses the term *model* just as often as he uses the term *type* (e.g., Schumpeter 2006, p. 334). Weber also used the term *model*.

mentioned) is only of minor significance. For Schumpeter, the sale of properties or other possessions is also not a sufficient explanation for the source of the required money because the sale of properties occurs very rarely in a static economy. Thus, in fact, only credit remains. The innovative business person generally turns to a banker, but now there arises the question of where the banker gets his/her money from. Furthermore, Schumpeter does not assume that the innovative entrepreneur was previously a producer in the static economy. Otherwise, he/she could potentially finance the new combinations using the proceeds from the previous period. Under consideration is the creation of purchasing power that the banker can only achieve by becoming a producer of credit. This means that he/she creates the funds for the credit himself/herself. Taken together, according to Schumpeter, the banker must create the loan funds himself/herself as saved funds are unavailable in the static economy. Accordingly, the actual core of banking is a consequence of development (Schumpeter, 2006, pp. 187-200). These are the key ideal type assumptions regarding how development emerges from the static economy. Now, another question is why the entrepreneur is dependent on credit in a continuous dynamic development. According to Schumpeter, this results from an internal necessity in the process of development. It is part of the essence of the thing. Even in a dynamic economy, an entrepreneur can only accidentally possess the required means for production (Schumpeter, 2006, p. 212).

Now the question is how Schumpeter explains interest in a dynamic economy. Schumpeter establishes that interest can only exist in development. That is, a permanent excess of the value of the produced units compared with the value of the means of production only occurs in development. The agio value of development can only accrue from entrepreneurial profit. Interest acts like a tax for the innovative entrepreneur, meaning that it is not the entire entrepreneurial profit that is equal to the interest. In addition, the entrepreneurial profit of a particular innovative entrepreneur is not permanent as competition also makes it disappear in the long term. However, as new innovative business people then appear and entrepreneurial profits flow again, the existence of entrepreneurial profit can be assumed to be practically permanent. During periods of depression, entrepreneurial profits can, of course, decline to zero. The three points, namely, that interest is a product of development, it accrues from entrepreneurial profit, and it does not adhere to concrete goods, are the basis of Schumpeter's (dynamic) theory of interest (Schumpeter, 2006, pp. 344-347).

Another point that explains interest in a dynamic economy is that the innovative entrepreneur does not possess the required means of production in development. If all of these entrepreneurs already possessed the required means of production, then there would be no interest in development either because interest only emerges through credit. In development, interest is the consequence of private ownership of the means of production. In a communist economy, interest cannot play a role even theoretically because there is no private ownership of the means of production. In this type of economy, the entrepreneur's required means of production is already available and (theoretically) he/she does not need to acquire them through a loan.

As a consequence of the above statements, it can be stated that interest is the price of the purchasing power for which one needs to acquire the means of production.

#### **IV. The influence of Rudolf Stolzmann of the interest theory of Schumpeter**

Contrary to the classical authors (Smith, Ricardo, Mill), Stolzmann assumes that the capital profit can be divided into two components, namely entrepreneurial profit and the interest on capital. The classical economist

did not make a difference between the capital profit and the interest on capital. The entrepreneurial profit did not even exist as its own category in their achievements (Stolzmann, 1896, p. 408). The same definition of the capital profit as the classical was used by Böhm-Bawerk in the second chief instance of this interest theory, where he identifies the capital profit with the interest on capital (Böhm-Bawerk, 1959, p. 299). J.B. Say made a difference between the entrepreneurial profit and the interest on capital.

However, for Stolzmann it is not possible to isolate the entrepreneurial profit from the capital profit. The entrepreneurial profit is defined by the difference of the capital profit and the interest on capital. This difference remains for the entrepreneur (Stolzmann, 1896, p. 412). Schumpeter's definition of capital profit is completely the same in his interest theory. Interest is a part of the entrepreneurial profit. Schumpeter used the terms entrepreneurial profit and capital profit (Stolzmann) synonymously (Schumpeter, 2006, p. 346). Stolzmann wrote a paper about Schumpeter's interest theory in 1919. He confirmed that Schumpeter used his definition of the capital profit. However, Schumpeter disagrees with him that interest is a social category and not an economic category (Stolzmann, 1919, p. 396). Schumpeter seems to use the term "economic category" in analysis of the ontological categories of Stolzmann.

He states that *"The interest is indeed an economic category – not created directly by non-economic forces – but one which only arises in an exchange economy"*. (Schumpeter, 2006, p. 348)

For Stolzmann interest is mainly created by "non-economic forces" as the legal order or the power relationships. Schumpeter moves strongly in the direction of Stolzmann's social category, without saying this explicitly. For Schumpeter interest can theoretically (from an ideal type perspective) only exist in a dynamic economy (Schumpeter, 2006, p. 348). Therefore interest could be regarded as a social category in the sense of Schumpeter (at least partly). For example a communist or a capitalistic economy can be formed only on the basis of a legal order. This means interest cannot be explained without the legal order of an economic system. For the existence of interest in a dynamic economy, it is also necessary that the entrepreneurs have no command over the necessary producers' goods. In this case they need help from the bank (Schumpeter, 2006, pp. 350-351). This means that interest is dependent on the property and power situation. This is also a reason why Stolzmann considers interest as a social category. This means another important reason for interest is the existence of a bank (Stolzmann, 1896, p. 409). For Schumpeter it is a core assumption that credit only plays a role in a dynamic economy. Stolzmann also confirmed this fact in his paper about Schumpeter's interest theory. Stolzmann also emphasizes that Schumpeter is not observing that interest is a consequence of the social power relationships (Stolzmann, 1919, p. 394). Another interesting parallel is that Schumpeter uses the term "marginal entrepreneur" (Schumpeter, 2006, p. 384) in the same sense as Stolzmann (Stolzmann, 1896, pp. 379-398). The author did not find the term marginal entrepreneur anywhere else before Stolzmann wrote his first book.

Schumpeter's ideal type of the static economy is comparable with a feudalistic economy or with a communist economy. The legal order plays an important role for the existence of such a static economy. This is confirmed by Robbins (1930). He argued that whether interest exists or not depends on the assumption of private property and exchange. In the case of non-existence of private property, interest definitely does not exist (Robbins, 1930, p. 212). This is a fact which Stolzmann did not take into account when he criticized the interest theory of

Schumpeter. In fact Schumpeter applied Stolzmann's theory that the legal order is an important or even the most important basis for an economic system. Therefore, interest has a "social aspect", as Robbins indirectly says. Schumpeter probably believed that, only with the ideal type construction, he could show the nature of interest in a capitalistic and in a non-capitalistic economy. Stolzmann as a realist did not recognize that Schumpeter, using the concept of statics and dynamics, was at least to some point a representative of his own theory. For Stolzmann interest must be explicable in a static economy because the phenomenon interest was always present in history. Therefore, the explanation of Schumpeter has no explanatory value for him (Stolzmann, 1919, p. 387). Stolzmann had also referred to the ideal type long before Max Weber. Of course, this concept already existed before Max Weber. However, Max Weber was the first to formulate and define this concept systematically. In "Soziale Kategorie", Stolzmann held the opinion that an ideal type could be a good instrument for explaining current economic concepts or developments. Conversely the ideal type often has no value when the construction of the authors is utopian and unrealistic. An example is the utopia of Robinson which was often used in economic theory (Stolzmann, 1896, pp. 290-291). Thus, Stolzmann did not see the hidden value of the ideal type of Schumpeter. The concept is also not contrary to his own socio economic theory, it is only contrary to his realism.

## CONCLUSIONS

The aim of the paper was to demonstrate that Stolzmann had an influence on Schumpeter especially between 1908 (*Das Wesen und Hauptinhalt der theoretischen Nationalökonomie*) and 1911 (*The Theory of Economic Development*). It was not the intention of the paper to show that Schumpeter mainly developed his interest theory on the ideas of Rudolf Stolzmann. We know from references in the essay "On the Concept of Social Value" (Schumpeter 1909) and in the "Theory of Economic Development" (1911) that Schumpeter knew the works of Stolzmann. From the perspective of the author an influence of Stolzmann on Schumpeter could be proven not only for the interest theory, but for the whole "Theory of Economic Development" and for his following works.

Concerning the interest theory, Schumpeter used the same definition of entrepreneurial profit than Stolzmann. This definition was not in accordance with the definition of that time (see for example the definition of Böhm-Bawerk). The assumption that the interest on capital is a part of the entrepreneurial profit (Stolzmann used the term capital profit) was also suggested by Stolzmann in his first book (1896). The definition of the entrepreneurial profit is a core of the dynamic interest theory of Schumpeter. Interest is a part of the entrepreneurial profit (of the innovative entrepreneur) in the dynamic economy. This profit is a consequence of innovation in the dynamic.

Another similarity between Stolzmann and Schumpeter is the assumption that the existence of a bank is the consequence of a capitalistic (dynamic) economy. This assumption follows from the assumption that interest is a part of the entrepreneurial profit. Without the existence of entrepreneurial profit the bank is not able to survive a capitalistic economy. A credit as a consequence is also necessary for interest. This means the entrepreneur has not enough money to buy the necessary capital goods. Indirectly interest is a consequence of the property situation of the society. This was a main part of the socio economic theory of Stolzmann. For Schumpeter this

was also a key assumption of his interest theory. There are further interesting similarities. Schumpeter for example used the term “marginal entrepreneur” in the same sense as Stolzmann.

It was also not in the mind of the author to show that Schumpeter followed the same social philosophy as Stolzmann. On the contrary, it should be clear that, from a philosophical point of view, Schumpeter and Stolzmann had a contrary position. Therefore, the fundamental critique of Stolzmann on the writings of Schumpeter is self-explaining. However, Schumpeter and Stolzmann are both representatives of a “universal social science” and this had a strong impact on the interest theory.

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## Social religion and its contribution in the field of health (Study of smoking)

**Khaled Alturki**

### **Abstract**

This paper argues that it is now necessary to build on the pioneering research of Professor Qidwai, published in this journal, in order to contribute further evidence on the role which Islamic beliefs and teachings play in individual motivation to quit smoking. I outline the debate within the WHO Eastern Mediterranean Regional Office on this issue and conclude that there may be a recent softening towards 'a religiously-inspired approach to tobacco use'. The two aspects of tobacco control: education on the health hazards of smoking, and coercive measures to restrict or discourage the use of tobacco are considered in terms of how religion relates to both of these. The paper argues that the debate is significant in view of the finite resources which can be allocated to tobacco control implementation measures.

Based on Professor Qidwai's study of smoking behaviour during Ramadan, I have taken Ramadan and *Hajj* as two starting points. These, I argue, are times when religious reasons to quit are at their strongest. The smoking behaviour of those who quit during these times, only to resume smoking afterwards, indicates a religious rather than a health concern about using tobacco at these specific times. Social pressures to quit at these times are also based on religious motivation and these form a lesser or greater element of individual orientation. I suggest a simple questionnaire approach to determine the extent of smoking reduction during the period of Ramadan. These questions could be used along with three simple questions designed [by Professor West and his team] to see if a patient wants help to quit, and administered by the health professional during a consultation.

I make a distinction between the role which religion may play in affecting motivation to quit smoking and the question of nicotine dependence. The work which has already been done on the relationship between motivation and dependence by Professor West and others is referred to, and it is argued that the role of religion is restricted to its possible effects on motivation.

**Keywords:** religiously-inspired; Ramadan; education; motivation.

### **Background**

There is no *prima facie* reason why Islamic beliefs and teaching should not be considered as playing a role in a strategy to combat tobacco use in the Middle East region. In that context, it is essential to determine exactly

what constitutes a ‘religiously inspired approach’ in the region towards tobacco use, as opposed to simple health advice and treatment. Only when that becomes clear can the role of the health professional in smoking cessation in the region be clarified. The implication may be that the health professional continues to give advice and assistance as before to help smokers to quit. However, the alternative implication is that more resources are devoted, or diverted, to campaigns and strategies to persuade, or enforce, smokers to quit on religious grounds, based on the spiritual and legal foundations of Islam.

The situation is further complicated since religious motivation to quit smoking is itself based on teachings which proscribe tobacco use on grounds of self-endangerment of health. The teachings of the Prophet refer to the displeasure to God caused by acts of self-harm which are known to endanger health. So, the religious message is, at the same time, a health message. However, it is a message which has two dimensions, in contrast to the single dimension, secular message of the health consequences of smoking.

Religion has a strong influence in the Middle Eastern region – it is part of the daily life of individuals. This is the preamble for the statement of the World Health Organization (WHO) Eastern Mediterranean Regional Office (EMRO):

*Tackling tobacco use from a religious perspective is a key component of the Tobacco Free Initiative programme. It started in 1996 with the release of the first edition of ‘The Right Path to Health: Health education through religion – Islamic ruling on smoking’.*<sup>(1)</sup>

In fact, the strategy was first proposed earlier than this, by the 37th World Health Assembly in 1984. The Assembly called upon WHO member states to include a spiritual element in their health policies.<sup>(2)</sup> The origins of this WHO strategy for the Eastern Mediterranean region also include a reference in the Report on the Meeting on Tobacco and Religion held in May 1999 in Geneva. The May 1999 Report begins with the statement:

*Religion represents a new frontier for public health in terms of partnership opportunities.*<sup>3</sup>

In his presentation to the meeting, the chairman Dr Khayat, Deputy Regional Director for the WHO EMRO, explained the role of religion more explicitly. Religion provides the ‘*spiritual dimensions of health and the ethical values underpinning public health actions in tobacco control*’.<sup>3</sup> It would do this through the key role which religion plays in education. In the context of Dr Khayat’s address, this perspective clearly applies to the role of Islam in health education in the Middle East region.

It would be easy to misinterpret the original idea behind the contribution which Islam might make towards the promotion of smoking cessation. That original idea was not based on prohibition edicts or *fatwas*. In his presentation to the meeting, Tariq Ramadan of the Islamic Centre of Geneva stated the role which Islam should play:

*Accusatory statements, denigration and messages designed to inspire feelings of guilt are fruitless and serve only further to relegate “religious issues” or “religion” to a role of “prohibition”. What is needed today is a*

*clear message based on three pillars: awareness, responsibility and justice. This means that the approach must be primarily, and almost exclusively, educative.*<sup>(3)</sup>

These three pillars involve *awareness* of the dangers of tobacco use, developing a sense of personal *responsibility* in the light of one's religious faith and promoting social *justice* so that those farmers who grow tobacco are helped to produce alternative subsistence crops.

Clearly, however, there is a tension in the Middle East region between this religious educational approach and an approach associated with prohibition of tobacco use for religious reasons – it is a tension between education and coercion. As an example, the EMRO supported the Saudi Arabian Tobacco-Free Mecca and Medina initiative. The EMRO nominated these cities for the global Tobacco-Free Cities Project, launched in 2002, after the Saudi Arabian authorities had taken measures to restrict the use of tobacco in the vicinity of the two Holy Mosques.<sup>4</sup> These measures are described in detail in the EMRO publication *Tobacco-Free Mecca and Medina*.<sup>5</sup> They include a range of compulsory measures against tobacco use, such as prohibiting the sale or use of tobacco within the Holy Cities. In Medina, cafes in which *shisha* was smoked were moved to the outskirts of the city. In Mecca, all forms of tobacco advertising were banned.

However, there is a fundamental question, raised by Maziak,<sup>6</sup> and by Jabbour and Fouad,<sup>7</sup> which is the need to provide evidence for the effectiveness of public health campaigns on tobacco use – whether or not they are based on religion. These campaigns are funded by public money – in the case of the WHO by international money. Resolutions and programmes in themselves do not justify public health strategies. Years of work and research are required to assess what works in terms of public health and evidence must be collected and evaluated through meta-analysis and peer expert systematic reviews. I ascribe the lack of clarity over the precise nature of the 'religiously-inspired approach' to this lack of an evidence base.

This paper now turns to a review of the more important published evidence and a consideration of steps which should now be taken to determine whether a religiously-inspired approach to tobacco use actually works. A valid point is made by El Awa,<sup>4</sup> which is that all sectors of society should be involved in health promotion activities. It follows that, given the important role of Islam in the Middle East, the religious establishment – according to this view – should be a major influence on promoting smoking cessation. However, it is important not to conflate this assertion with the need for a 'religiously-inspired approach' to tobacco use. This second statement is not necessarily a logical extension of the first statement. This is precisely the point made by Maziak and Jabbour & Fouad.<sup>6,7</sup>

### **The teachings of Islam on smoking**

The first point of debate is a very fundamental one – whether Islamic teaching on smoking is itself seen to be unequivocal. In Islamic culture, the influence of Islam plays a fundamental role in society, not simply in moral but also in legal terms.<sup>8</sup> As both a spiritual and legal tradition, Islam impacts extensively on Muslim thinking

and social customs,<sup>9</sup> and more specifically on the adoption of tobacco control policies themselves in many countries. Underpinning the Islamic legal framework are the principles of minimising the risk of harm to society and to individuals and to maximise the opportunities for collective and individual wellbeing. Islamic law has three basic sources: the Koran, believed to be the direct word of Allah; the Sunna, a collection of the sayings and acts of the prophet Mohammed and the Ijtihad which, drawing on the above sources, allows scholars to consider the merits of new issues and developments.<sup>8</sup> All human affairs are classified into one of five categories: *fard* (mandatory), *mustahib* (encouraged), *mubah* (neutral), *mukrooh* (discouraged) and *haram* (prohibited). Actions that are *haram* are considered unlawful. There is no single category imposed on all Muslims in every country of the world. Among Muslim scholars, in some countries (notably the Indian subcontinent) smoking is now considered *mukrooh*, while in others it is considered *haram*.

Until medical research proved the contrary, most Muslim jurists considered that smoking was not harmful to health but, in the light of increasing evidence, the legal status of smoking has changed, and numerous *fatawa* now declare smoking to be *haram*.<sup>10</sup> Islam teaches that if a person becomes a habitual smoker, he is indirectly poisoning himself slowly and, for a Muslim, that is akin to practising self-harm.<sup>11</sup> Among the references cited by scholars is the instruction: 'Kill not yourselves, for verily Allah has been to you most merciful' - Quran 3:29. Another verse states: 'And spend of your substance in the cause of God, and make not your own hands contribute to your own destruction' - Quran 2: 195. This reclassification of smoking has been on the basis of the prohibition in Islamic law of all actions that result in harm to self or others. The Council of Islamic Ideology meeting in Islamabad in May 2000 declared the use of tobacco as an un-Islamic act. It is clear that health awareness about the dangers of tobacco use forms the basis of its categorisation as *haram* or *mukrooh*.

Knowledge of Muslim beliefs is important in understanding smoking behaviour and considering how to intervene effectively to promote smoking cessation in the region.<sup>8,12,13</sup> In the province of al-Qassim in Saudi Arabia, Al-Haddad and colleagues<sup>14</sup> collected data from over 1700 patients at 25 randomly selected PHCCs (Primary Health Care Centres). A total of 25 senior general practitioners working in the selected PHCCs were briefed to administer the semi-structured questionnaire, with 44 items, to randomly selected new male patients for personal interview to complete the questionnaire. Among the findings, (overlapping) reasons were given for not smoking (among both current smokers and non-smokers). Of the figures of interest in this review, 92% responded that smoking is forbidden (*haram*) in Islam, while 85% said that smoking is discouraged (*mukrooh*) in Islam. This suggests a measure of confusion on this point among respondents. These figures are similar to the attitudes of respondents in Cairo at the same period.<sup>12</sup> While a significant proportion of respondents in the al-Qassim study considered that their smoking habit bore no relation to their religious beliefs these were in a minority.<sup>14</sup> This may have some relationship to the findings of Saeed and colleagues,<sup>15</sup> who concluded that religious considerations were much more important reasons for not smoking among never-smokers and former smokers than among current smokers, for whom health reasons were more important.

## Education or coercion

I would argue, therefore, that a religiously-inspired policy approach to tobacco use has two aspects. The education aspect is related to the responsibility of the individual for their own personal well-being within Islamic teaching. Qidwai argues in this journal that this coercion aspect is not primarily related to personal ‘fear of God’ – only 4 of the 100 patients interviewed cited this as a reason for quitting during Ramadan.<sup>16</sup> The coercion aspect is, in my view, related both to the periods of *Hajj* and Ramadan specifically, and to laws to restrict tobacco sales and use generally. An increase in tobacco taxation, for example, might be expected to be widely unpopular among smokers. When the voices of religious authorities are added to those of health advisers, however, opposition to such control measures might be more muted. If there is general public acceptance on religious grounds that measures to restrict and to discourage smoking are both just and justified, enforcement will be easier and evasion will be widely eliminated. This last point, therefore, establishes a link of socio-religious acceptability between the role of Islam as educator and enforcer.

## Education or coercion: mixed religious approaches - *Hajj*

In Saudi Arabia, it is not true to claim that Mecca and Medina are ‘tobacco-free’ – as an established fact. This remains an objective or vision for the future. The combined population of the two cities is approximately 3 million, but numbers swell enormously during *Hajj*. The prevalence of smoking amongst residents is 21% for males and 1.3% for females.<sup>17</sup> The attitude of Islam towards smoking determines that un-Islamic acts are not permitted near the most sacred places of worship, the Holy Mosques, associated historically with the prophet Mohammed. In 2002, the Custodian of the Two Holy Mosques, King Abdullah, declared the two holy cities of Mecca and Medina to be tobacco-free and there have been concerted efforts to enforce this decree among the two million pilgrims who visit these cities each year during *Hajj*. Dr Al-Munif, the Director of the Tobacco Control Programme in Saudi Arabia, reported on the distribution of 1.5 million leaflets during *Hajj* in 2009:

*Billboards and posters with anti-smoking messages, information regarding anti-smoking clinics and fatwas on the subject are on display in the two cities. Buses carrying pilgrims also have anti-smoking posters on them.*

18

Clearly, in this case, religious educational messages and religious proscriptions have become inseparably mixed. The WHO’s own sources confirm this, as shown in Tables 1 and 2:<sup>17</sup>

It is evident, therefore, that the elements of a ‘religiously-inspired approach’ to tobacco use need to be defined and clarified. This is not only the case in relation to the Holy Cities in Saudi Arabia and *Hajj*. In the fasting month of Ramadan, the coercive element of proscription dominates.

### **Education or coercion: mixed religious approaches – Ramadan**

Some public health bodies have used the beginning of Ramadan as a spur to encourage smokers to quit.<sup>19,20</sup> This has also been the case among sizeable Muslim communities in some cities in the UK, such as Bradford or Birmingham. In Bradford, the 2009 Ramadan campaign targeted taxi bases in the city, following this up with the formation of stop smoking groups and drop-in sessions for taxi drivers – many of whom are from the Muslim community.<sup>21</sup> In 2014, Birmingham City Council issued a press release outlining the visits that would be made to mosques by members of the Stop Smoking Services team, giving advice and providing information about the support services available to help smokers to quit.<sup>22</sup>

There has been some research carried out on smoking cessation during Ramadan. Khan and colleagues conducted a study among 29 smoking and 46 non-smoking Pakistani men during Ramadan to attempt to assess how much of a challenge smoking presented to Muslim beliefs and practices.<sup>23</sup> A detailed account of the methodology and data analysis methods is provided and the results obtained provide a useful basis for discussion. The small sample size is clearly a limitation of the study and the criteria used for differentiating between the Smoker and Non-Smoker groups in the sample were, in the opinion of the authors themselves, insensitive.

The authors posited that – particularly during Ramadan – smoking challenges Muslim beliefs and practices. They consider that smoking correlates negatively with Intrinsic Religious Orientation, whether regarded as *haram* or *mukrooh*. This orientation refers to a sincere form of faith which serves as the ultimate motivation in the life of the believer. They suggest that smoking also correlates negatively with Extrinsic-Personal Orientation. In this orientation, religion is the means of achieving the goal of personal well-being. Less certain is whether smoking correlates negatively with Extrinsic-Social Orientation, which reflects the use of religion towards the achievement of social objectives. The relevance of smoking to “setting a good example” suggests that smokers might have lower levels of this orientation. The ‘extensive campaigns’ in the Holy Cities on the hazards of smoking link with the promotion of ‘good behaviour’, suggest that targeting Extrinsic-Personal Orientation with Extrinsic-Social Orientation can act as a dual strategy within this religiously-inspired approach to tobacco use.

This mental health perspective, however, would place a religious educational approach, based on the teachings of Islam, primarily within an Extrinsic-Personal Orientation. This is important, since it clarifies the religious basis on which motivation to quit or to cut down smoking primarily rests. The dual nature – religious and secular – of the health benefits for the individual of smoking cessation or reduction can be regarded as mutually reinforcing. However, this does not answer the question of what resources should be devoted to promoting the religious message. It may be the case that the secular message of the physical health benefits of smoking

cessation is the area where the motivation to quit could be developed most strongly for the majority of smokers, independently of a religious message to strengthen it. This has yet to be determined.

The most comprehensive study on smoking cessation in the Middle Eastern region during Ramadan was conducted by Professor Qidwai in 2003 and published in this journal in the following year. The aim was to investigate barriers to smoking cessation among patients attending the Family Practice Centre at Aga Khan University Hospital in Karachi. This was a qualitative study based on interviews with 100 patients, of whom 96 were men, and all were current smokers. A questionnaire was developed as the basis for the interviews to collect data on the demographic profile of the patient, attempts to quit smoking, quitting during Ramadan and perceived barriers to smoking cessation. As 91% of respondents reported that they had stopped smoking during Ramadan, the question posed by Professor Qidwai was why they had then resumed their habit.

In the discussion of the findings, Professor Qidwai referred to the 'strong spiritual drive' which encourages an individual to quit during Ramadan, only to start again once this spiritual drive has gone. His findings suggest that, among this study group, the coercive aspect of religious teaching was not a major factor in quitting during Ramadan. Only 4% of respondents cited 'fear of God' during Ramadan as a factor in why they stopped smoking during that month. It certainly appears that a religious element played a part in the decision of these patients to quit smoking during Ramadan, but that this element was not predominantly of a proscriptive or coercive nature.

The respondents were then asked to identify the barriers to smoking cessation, as they perceived them. Three factors were cited most frequently: craving for smoking, the habit of smoking and enjoyment from smoking. All of these indicate some form of dependence, whether physical or cultural, to account for why these patients resumed smoking after Ramadan. Professor Qidwai argued that some barriers to smoking cessation are culturally related and it is therefore necessary to identify these in order for smoking cessation programmes to be more effective. It is necessary, for example, to assess the impact of the measures in the Holy Cities to ban waterpipe smoking in cafes and restaurants. His study further suggests another key feature in this debate. The religiously-inspired approach to tobacco use may influence motivation to quit. Research is needed to substantiate this view. It does not, however, influence dependence, which must be considered in its relationship with motivation.

### **Islam, motivation to quit and dependence**

It is unclear from Professor Qidwai's study if the respondents quit smoking completely during Ramadan or only, in accordance with Islamic ruling, during the hours of daylight. However, Aveyard and colleagues claim that with continued smoking during the hours of darkness, withdrawal will not subside unless there is complete abstinence.<sup>24</sup> This must surely be a factor to consider in Qidwai's findings. It is possible, of course, that the prohibition of smoking during the day, and the absence of others smoking, might assist those who decide to make a sustained attempt to quit or cut down tobacco use during Ramadan. This is an interesting point which

Aveyard and colleagues have raised, involving both religious coercive and social influences. These are the same influences which are at work in the Holy Cities during *Hajj*. Again, the absence of an evidence-base for this possibility means that it is impossible to assess the impact of the religious message on smoking cessation.

Aveyard and colleagues then make a very important point. Most supported smoking cessation attempts involve medication. However, during Ramadan, it is claimed in the article that many Muslims are unclear whether taking oral medication during daylight is prohibited. If this is the case, oral NRT treatment and also the use of varenicline or bupropion cannot be used. If this claim can be substantiated, then it is surely beyond dispute that religious education programmes have to clarify the situation. The use of nicotine patches is permitted and does not break the fast, according to the General Authority of Islamic Affairs and Endowments in Abu Dhabi.<sup>25</sup> A study is again needed to determine how widely this ruling is known among Muslim populations in different Middle Eastern countries.

The provision of advice to smokers by health professionals or through religious messages is, of course, inseparably linked with the question of motivation. However, motivation in turn is linked with the problem of dependence. Smoking cessation and reduction is not only in the mind, it is linked with nicotine dependence and the problems of addiction. These are the exclusive field of the health professional. Only the health professional is in a position to advise on pharmacological treatment for dependence.

West outlines the relationship between dependence and motivation to stop smoking.<sup>26</sup> Whatever the contributory factors, the combination of a high motivation to quit and low dependence on nicotine will mean that the smoker is most likely to quit. In smokers with low motivation to quit, the role of health or religious educational messages is to increase motivation. Without a high level of motivation 'treatments' to assist with smoking cessation, such as nicotine replacement therapy, are likely to be ineffective. In this article, West suggests a simple test to determine motivation to quit. This could be administered in all PHCCs and by health professionals in all settings, including hospitals, doctors' and dentists' surgeries as well, of course, as smoking cessation clinics. The drawback is, of course, that the results have to be interpreted with caution, as what smokers claim about their wish to quit – especially in a clinical setting – may not accurately reflect their real feelings. For this reason, the suggested additional questions are also strictly factual and independent of the expression of personal opinions. It would act, therefore, as a basis on which to offer [or not offer] help to quit or cut down on tobacco use. Further discussion with the patient would reveal more about their real level of motivation.

Linking this with a religiously-inspired approach to tobacco use, this simple test could be extended. The three questions proposed by West all require only Yes/No responses:

1. Do you want to stop smoking permanently?
2. Are you interested in making a serious attempt to stop in the near future?
3. Are you interested in receiving help with your quit attempt?

Two further questions could be added to this:

4. Do you stop smoking during Ramadan?
5. Do you smoke during the hours of darkness during Ramadan?

While these additional questions would add nothing to our knowledge of the level of motivation to quit of the patient, they would give some rudimentary indication of the sources of that motivation. This would be true whether the answer to each question was Yes or No. The two additional questions would not seek personal opinions, they are simply requests for statements of fact.

Smokers who quit during the period of Ramadan and resumed afterwards can reasonably be assumed to have been motivated by religion for this temporary cessation – especially if they continued to smoke during hours of darkness. This temporary behaviour could hardly be attributed to personal health concerns. It is not a random quit attempt, but a cessation which clearly has some relation to Islamic beliefs. This would, in turn, provide some basis on which to allocate the resources of national tobacco control programs in the Middle Eastern Region, where most countries are signatories of the WHO Framework Convention on Tobacco Control. It would, I argue, be preferable to the present situation of an inadequate evidence base for policy strategy. In other words, a *'religiously-inspired approach to tobacco use'* must have some justification in research.

There appears, in my view, to be a recent shift of emphasis towards a more cautious approach in references to religion and tobacco use by the WHO EMRO. Faith-based tobacco control strategies should, according to a recent Fact Sheet, be viewed as *'one part of a comprehensive overall approach to tobacco control'*.<sup>27</sup> The elements of both education and coercion remain present in the objectives of such faith-based strategies, specifically stated as:

- raising public awareness of religious views and rulings regarding tobacco use
- engaging religious leaders in dialogue and partnerships on tobacco control
- mobilizing faith-based organizations to support tobacco control initiatives, including smoke-free policies, tobacco cessation and healthy lifestyles education.

The first of these objectives would involve some allocation of health service resources, since any educational campaign to raise public awareness cannot be conducted without some cost element. Even if the approach of the WHO may have been softened, an evidence-base for using religion to discourage tobacco use in the Middle East region is still a necessity, as a basis on which to build effective strategy. Meanwhile, building on the work already carried out, at this stage a cautious approach to the role of Islam appears to be sensible on the broader question of increasing individual motivation to quit smoking.

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## **Effects of Anxiety Reduction Treatments on Extraneous Cognitive Load in Students with Test Anxiety**

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### **Abstract**

Anxiety is of significance in cognition tasks and performance through its adverse effects on Working Memory. The purpose of the current study was to investigate the effect of anxiety reduction treatments on extraneous cognitive load in students with test anxiety. The design of this study was quasi-experimental with pre-test, post-test, and control group. The 20 participants were assigned in control and experimental groups of ten. Sarason Test Anxiety Questionnaire and Cognitive Load Scale were administered as the pre-test of the study. After nine treatment sessions, Sarason Test anxiety Questionnaire and Cognitive Load Scale were again administered as the post-test of the study. The obtained data were analyzed by one-way ANOVA. The results indicated that implementing anxiety reduction treatments decreased extraneous cognitive load in participants with test anxiety. In other words, with reducing anxiety in students, their excessive load on their Working Memory can be reduced in order to leave more space for a better learning.

**Key Words:** Test Anxiety- Cognitive Load- Working Memory- Metacognitive Therapy.

### **Introduction**

Regardless of limited capacity, Working Memory deals simultaneously with strong processing of different information in a short amount of time (Baddeley, 1986). Extra cognitive load may occur when the data which needs to be processed exceed the capacity of the cognitive system (Mayer & Moreno, 2003). There are three types of Cognitive Load which influence Working Memory: Intrinsic Cognitive Load, Extraneous Cognitive Load, and Germane Cognitive Load. Intrinsic Load refers to the mental effort that originates from interaction between learner's experience level and complexity of the subject which needs to be learned and it results from the amount of elements in learning task. Extraneous load refers to the use of Working Memory capacity for activities other than learning and it is usually related to how a task is being presented (van Merriënboer & Ayres, 2005) which could be affected by distractors or sources that are used to search for the necessary information needed to complete the learning task in educational materials. Germane Load is the amount of resources that one willingly allocates to the tasks needed to improve and automatize the schemata. Generally, these three determine the extent of the Working Memory Load. Also, Intrinsic, Extraneous, and Germane Loads have cumulative effects (Clark, Nguyen, & Sweller, 2006).

Studies, using an experimental approach, have shown that emotional stimuli, especially those related to fear, are more readily noticed, have priority to be processed and are slower to decline than neutral stimuli (Kuhbandner, Spitzer, & Pekrun, 2011). Test Anxiety is one of the dominant emotions in the field of education, which often interferes with memory function. Although anxiety does not directly cause memory failure, it provokes irrelevant thoughts like "I will fail in this exam", that interferes with retrieval of the

information. Such thoughts fill the conscious part of the mind and by imposing additional load on memory, prevent one from remembering the necessary information for answering the question. Shi, Gao, & Zhou (2014) have shown that people with high Test Anxiety have trouble using Working Memory in test situations. Ashcraft & Kirk (2001) noted the negative effects of different anxiety levels on cognitive capacity and found that people with high anxiety show a significant decrease in problem-solving performance. This indicates that they do not have enough ability to process the information. A probable reason is that they may use some sources of Working Memory to resist the thoughts provoked by anxiety which leaves limited resources available for other tasks. In other words, people with high anxiety are more likely to experience Extra Cognitive Load which leads to learning inhibition. Aldalalah and Fong (2010) stated that students with high anxiety more probably need to manage higher Cognitive Load as they are confronted with both anxiety reactions and Working Memory task loads. However, based on Cognitive Load theory, teaching processes will be more successful when Extraneous Cognitive Load is kept to a minimum (Clarke, Ayres, & Sweller, 2005). Therefore, it is essential to identify and use the strategies that reduce Extraneous Cognitive Load to improve learning.

One of the basic functions damaged by the Test Anxiety, is Metacognition. The reason is that worry, raised by Test Anxiety, affects one's Metacognitive beliefs, which leads to functional decline, due to the fact that it makes one use contradictory and emotional strategies (Matthews, Hillyard, & Campbell, 1999). Besides, concentrating on irrelevant thoughts about failure and mind consciousness about these thoughts could play an important role in increasing anxiety and can start the vicious cycle of anxiety and negative Metacognitive beliefs (Bairami & Porfarajomran, 2013). Thus, Metacognition disorder is the cause and at the same time, the consequences of anxiety. Therefore, it seems that reduction of irrelevant thoughts and ruminations that impose Extra Cognitive Load, is the best way to free memory. Metacognitive approach attributes emotional disorder to worry, being concerned, inflexible attention, and maladaptive self-regulating coping strategies or behaviors. Based on this approach, it is believed that elimination of worry and fear, leaving threat-detecting strategies, and helping individuals to experience annoying thoughts but not to avoid or react to them, should be included in the therapy.

Although some research have attempted to investigate the role of anxiety, especially Test Anxiety, on Working Memory Function and Cognitive Load (e.g. Aldalalah & Fong, 2010; Ashcraft & Kirk, 2001; Shi, Gao, & Zhou, 2014), there are a few studies that investigated causal relationships between Test Anxiety and Cognitive Load. Therefore, this study attempted to use strategies that reduce Test Anxiety and to examine the effects of anxiety reduction on Extraneous Cognitive Load in students who have some levels of test anxiety.

## **Methodology**

A quasi-experimental with a post-test and a control group were considered in this study. The subjects included 20 female second grade high schoolers in Karaj in the 2014-2015 academic year.

## **Materials**

**Sarason's Test Anxiety Questionnaire:** This questionnaire includes 25 true/false questions (Sarason, 1980) and is applicable to all ages. The maximum score in this test is 25 which shows the highest anxiety and the minimum score is 0 which shows that the subject has no anxiety at all. The amount of Test Anxiety could be laid down on a numerical scale; the score under 8 show low Test Anxiety, the scores between 9 to 16 show medium Test Anxiety, and the scores above 16 show high Test Anxiety. In the present study, reliability of this questionnaire is 0.74 and the ordinal Theta is 0.78.

**Cognitive-Load Rating Scale:** The amount of cognitive effort was measured by a 7-degree scale. This scale is categorized from very low to very high mental effort. In this measurement, the test taker is asked to grade his/her amount of mental effort at the time of solving problems. This scale is developed by Pass in 1992 who reported the Cronbach's Alpha of the test as 0.9. Also, Pass, Van Merriënboer, and Adam (1994) announced the reliability of this scale as 0.82 by using test-retest method. Both the reliability factor and the ordinal Theta of this scale in the present study are 0.73.

### **Procedure:**

Based on the results of Anxiety Questionnaire Test, those who had high Test Anxiety were chosen to complete the Cognitive-Load Rating Scale. Then they were randomly assigned into two groups: an experimental and a control group. Each group consisted of 10 students. The experimental group had been introduced to the strategies on confronting Test Anxiety during nine sessions which are as follows:

First session: Explaining the rules and instruction

Second session: Recognition anxiety, its cycle, and worry

Third session: Study skills training

Fourth session: Time management skills training

Fifth session: Training relaxation and proper breathing

Sixth session: Explaining Metacognitive issues related to anxiety and identifying participants' positive and negative Metacognitive beliefs about anxiety

Seventh session: Training Attention Techniques

Eighth session: Teaching detached mindfulness (adapted from Wells, 2009)

Ninth session: End of the sessions and taking the post-test

After all sessions, both experimental and control groups took the Test Anxiety Questionnaire and Cognitive Load Rating Scale as the post-test to compare the results.

### **Results**

In order to compare the data obtained from the experimental and control groups, the descriptive information including mean and standard deviation of dependent variables were computed.

**Testing the hypotheses of the research:** Since the Pre-Test and the possibility of initial differences between the experimental and the control group before the intervention may affect the results as extraneous factors, one way Analysis of Covariance was used to minimize the differences between two groups and to compare the Post-Tests. Therefore, before analyzing the research hypotheses, the researchers evaluated the important assumptions of statistical tests at hand as follows:

**Assumptions of the Statistical Test:**

**A) Independence:** Each participant's score in both dependent and independent variable should be unrelated to other participants' scores. Due to the use of random sampling, this assumption is met in the present study.

**B) Normal Distribution:** To make sure the distribution of the variables are normal, the researchers used Kolmogrov-Smirnov Test. Table 2 shows the results of this test.

**Table 1: Results of Normal Distribution of Test Anxiety and Cognitive Load**

Factor		Z	Sig
Test Anxiety	Pre-Test	0/603	0/860
	Post-Test	1/623	0/551
Cognitive Load	Pre-Test	0/707	0/699
	Post-Test	1/020	0/250

Based on the amounts shown in the table, the level of significance of Test Anxiety and Cognitive Load is above .05 which proves the normal distribution of these two variables.

**C) Homogeneity of Variance:** To check this assumption we used Levene's<sup>6</sup> Test.

**Table 2: Levene's Test: (homogeneity of Variance)**

Variable	df1	df2	F	Sig
Test Anxiety	1	19	0/030	0/864
Cognitive Load	1	19	5/426	0/51

As the calculated F is not significant with the level of significance of .05, we could conclude that the variances are homogeneous.

<sup>6</sup> Box's test of equality of covariance matrices

**D) Homogeneity of regression slopes:** This assumption makes sure that there is no relationship between groups and the Pre-Test. In case there is no interaction between the results and the Pre-Test, the slope of the regressions would be the same. Table 4 shows the results dealing with this assumption.

**Table 3: Summary of Results of the Relation between Groups and the Pre-Test**

Source	Sum of Squares	df	Mean Square	F	Sig
Group*Test Anxiety	12/925	1	12/925	1/428	0/248
Group*Cognitive Load	4/523	1	4/523	0/739	0/402

As it could be derived from table 4, calculated F is not significant in the level of significance of 0.05. Therefore, there is no relationships between the results of the two groups and the Pre-Tests on Cognitive Load and Test Anxiety. Hence, the slope of the regressions are the same for these variables.

**E) Linearity:** This assumption was tested for all the variables. The results are gathered in tables 5 and 6.

**Table 4: Result of Linearity of Relationship between Independent Variable and Post-Test of Test Anxiety**

	Sum of Squares	df	Mean Square	F	Sig
Within Groups	38/738	13	2/980	5/441	0/016
Linearity	2/514	1	2/514	4/591	0/069

**Table 5: Result of Linearity of Relationship between Independent Variable and Post-Test of Cognitive Load**

	Sum of Squares	df	Mean Square	F	Sig
Between Groups	12/488	6	2/081	0/532	0/775
Linearity	4/798	1	4/798	1/227	0/287

Considering that in both tables, the F value is less than 0.05, both Text Anxiety and Cognitive Load variables have a linear relationship.

**F) The Independence of Independent Variable and the Experiment:** As the participants of the study were replaced randomly, their personal differences would not decrease the effect of educational experiment.

**G) The independent variable has been measured without any errors:** We assume that the independent variable has been measured without any errors or that it is stable.

Table 7 shows the codependence of variables.

**Table 6: Matrix of codependence of variables**

Variable	Test Anxiety	Cognitive Load
Test Anxiety	1	
Cognitive Load	**0/668	1

Based on the table above, there is a significant and positive relationship between Test Anxiety and Cognitive Load at 0.01 level. In other words, there is 99% chance that there is a positive relationship between Test Anxiety and Cognitive Load.

Summary of the results of one-variable Analysis of Covariance on mean score of Cognitive Load and Test Anxiety Post-Tests in experimental and control groups with controlling the Pre-Test are shown in table 8.

**Table 7: Summary of test effects on test takers**

Source	Sum of Squares	df	Mean Square	F	Sig	$\eta^2$
Test Anxiety	154/218	1	154/218	16/64	0/001	<b>0/480</b>
Cognitive Load	24/133	1	24/133	3/999	0/042	<b>0/182</b>

The result of the above table shows that there is a significant difference between the variables of Test Anxiety and Cognitive Load; considering lowering the initial difference between experimental and control groups.

In order to compare and indicate the true direction of the significant difference, Weighted Mean of scores of Test Anxiety and Cognitive Load in both control and experimental groups are shown in table 9.

**Table 8: Weighted mean and standard error of test anxiety post-test and cognitive load scores in both control and experimental groups**

Variable	Group	N	Mean	Std. Deviation
Test Anxiety	Experiment	10	13/56	<b>0/978</b>
	Control	10	19/31	<b>0/931</b>
Cognitive Load	Experiment	10	6/935	<b>0/80</b>

	Control	10	10/04	0/762
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As it can be seen in the table above, the mean of experimental group is lower than the control group in all of the variables of the study; this shows that teaching the anxiety reduction strategies (teaching study skills, relaxation, proper breathing, and Metacognitive Therapy) has led to reduction of Test Anxiety and consequently to reduction of Extraneous Cognitive Load in students with Test Anxiety. Also, partial eta-squared in table 8 shows that strategies of Test Anxiety reduction can explain 48 percent of Test Anxiety variance and 18 percent of Extraneous Cognitive Load variance.

### Discussion

This study intended to investigate the effects of using Anxiety reduction strategies on Extraneous Cognitive Load in students with Test Anxiety. Reviewing the related literature, we hypothesized that if Test Anxiety imposes Extraneous Cognitive Load on Working Memory, reducing Test Anxiety will lower Extraneous Cognitive Load. Statistical analysis of the results supported the hypothesis. In other words, findings show that Anxiety reduction strategies lead to lowering Extraneous Cognitive Load in students who have Test Anxiety. The findings of the present study are in line with Fong, Lily, and Por (2012), Shi, Gao, and Zhou (2014), and Ng and Lee (2015).

Anxiety has adverse effects on cognitive tasks and performance. Anxiety interferes with cognitive functions by limiting learning sources and Working Memory processing. Worry and thoughts irrelevant to the task are some dimensions of Test Anxiety, to which a substantial portion of the capacity of Working Memory is allocated. Thus, instead of processing the task, the limited resources of Working Memory would be spent on intrusive thoughts and as a result, the performance would be damaged. In fact, anxiety leads an individual to use processing resources of Working Memory and consequently, less capacity is dedicated to cognitive tasks (Ashcraft & Kirk, 2001).

Metacognitive Therapy approach is an effective method inhibiting Extraneous Cognitive Load, because in this approach therapy includes communicating with one's thoughts in a different way, preventing conceptual analysis of one's thoughts and abandoning rigid thinking styles like worry, fear, and threat detection. Given that people with Test Anxiety consider their disturbing thoughts about exam valid and ruminate about them, Metacognitive Therapy makes people aware of their Metacognitive processing system and help them not to overthink about Metacognitive processing. Whenever stroke by anxious thoughts at the time of taking tests, instead of emphasizing, noticing, and thinking about them over and over before each exam, the therapy helps them to be aware that these thoughts would not necessarily come true and that they are not real and should not be the cause of anxiety and inadequacy in exam (Wells, 2009).

Another important factor in reducing anxiety and freeing memory capacity, is identifying the challenges with positive and negative Metacognitive beliefs about Worry. Most people with Test Anxiety believe that thoughts related to exam situations are dangerous and inflexible. They mostly have a negative view

toward these thoughts, but some of them have a positive view toward these worrying thoughts and think these thoughts make them prepare for exams. This itself will activate anxiety and imposes extraneous load to Working Memory. Challenging these negative and positive thoughts, using detached mindfulness technique helps anxious people to keep away from their annoying thoughts, consider them as transient mental thoughts, detached from reality and self, and to understand that these annoying thoughts are unrelated to subsequent processes and actions (Sattary-Najaf-Abady & Heidary, 2015).

By noticing the cognitive and emotional differences between males and females, future researches may provide a situation to compare these two groups and shed light on gender differences, if any. Also, the implementation of such research on a larger sample size and comparing it with other age groups can provide the possibility to extend the generalizability of the results. Considering people's different Working Memory capacities and its effect on their cognitive performances in future research projects might provide new results. It is also recommended that future research in this area attempt to measure participants' subsequent performances as well as reducing their Anxiety.

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## **THE IMPLICATION OF NIGERIA'S SECURITY CHALLENGES ON HER IMAGE ABROAD**

### **ABSTRACT**

Democracy is perceived as a process of strengthening peace, boosting of foreign relations and attraction of citizens of other countries. This appears to be void in Nigeria's Fourth Republic, as it was observed that since 1999, Nigeria has been experiencing different challenges of insecurity within the six geopolitical zones. These include incessant killings, ethnic clashes, religious unrest, kidnappings and terrorist attacks. Meanwhile, insecurity in any given nation can affect such state's relationship with other countries. This study therefore, examined the implication of Nigeria's security challenges on her image abroad between 1999 and 2012. The study employed a mixed method that combined the historical and survey of ex-post facto type of research designs. Six states: Bauchi, Bayelsa, Delta, Kaduna, Ondo, and Plateau were purposively selected as crises ridden zones in Nigeria from 1999 to 2012. Multi-stage cluster sampling was employed for selecting respondents. The instruments used for the study were two sets of questionnaires and structured interview guide. Regression and descriptive statistics were adopted for analyses of data. Findings showed that insecurity affected Nigeria's image among the comity of nations, and that Nigerian citizens were confronted by unwarranted delays and searches at entry points of different countries within the globe. The study concluded that even though no nation had severed relationship with Nigeria in spite of her security challenges, nonetheless, her national image declined. It was therefore strongly recommended that Nigeria must effectively combat insecurity so as to improve the image of the country both internally and externally.

**Keywords:** Security, Insecurity, National image

### **INTRODUCTION**

One of the core values on which relationship of nation states' are predicated upon is the unreserved desire to ensure both the territorial integrity of her geography as well as the security of her citizens. This is true irrespective of the geography and demography. The prevailing domestic environment in most cases of any given state informs their foreign relations and as such makes it dynamic or otherwise. Flowing from this, the Nigerian constitution expressly stated as part of her national interest which transcends into part of her foreign policy objectives, the protection of territorial integrity and human security of her citizenry, she has however, not been able to adequately guarantee minimum security for her nationals since the beginning of the Fourth Republic in 1999, as evident by the spates of violence and insecurity that has pervaded the environs of the country.

Similarly, the characteristics of any states foreign relations in terms of its policy formulation, execution and outcomes is a reflection of the prevalent situation of the stated internal environment at any particular time (Nossa and Rose, 2005) and this partly includes its internal security status. Also, Saliu (2009) states that the bounds of foreign relations of states have been so fluid and as such have often been susceptible to influences traceable to their various domestic environments. The domestic factors in this case include the whole encompassing security status based on the prevalent socio-economic and political conditions of a country, and the citizens' reactions to the conditions in their bid to survive. More so, government's efforts to protect citizens' interests by providing their needs in accordance with constitutional provisions to guarantee citizens' loyalty to the state are part of the factors, (Robertson, 2004; George, 2009; Peter, 2010).

For these reasons, many countries have had to mend their national images (that is the way they and their citizens are perceived by other countries and their citizens) through proper management of their internal security situations. This management has often been with a view to making both the states and their citizens attractive to the international community to enhance individual and collective interests. Nigeria has had its own share of the effects of having a turbulent domestic environment in her foreign relations. As such, the country has not been left out of this practice of image-mending, especially after the military regimes. Moreover, Nigeria's big-brother roles in the West African sub-region, as well as in Africa as a whole, have been for the foregoing purpose of creating a positive image for the acceptability of the country's government and her citizens all over the continent and beyond. Unfortunately, the country has not been successful in its image-mending attempts. This was because there have always been serious threats to the internal security of the country with overwhelming unwanted effects on the human persons since 1999.

The country at some point was internationally sanctioned over internationally unacceptable conditions like human rights abuses and unlawful killings as was prevalent during the defunct late General Sani Abacha's administration 1993-1998 (Aminu, 2005), to such an extent that Nigeria was being referred to as a pariah state during the same period and beyond by the commonwealth.

The spate of ethnic, religious, political conflicts and violence, as well as terrorist attacks, most especially the activities of Boko Haram and the Niger Delta insurgents, as documented in the various literature (Civil Liberties Organisation, CLO, 2002; Nosaze, 2005; Adeogun, 2006; Fayeye, 2006; Alanamu, Muhammed, & Adeoye, 2006), the peak of which was the bombing of the United Nations Complex at Abuja, the Capital Territory of Nigeria, on August 27, 2011 (*Nigerian Tribune*, August 28, 2011) were all acts that constitute the premise of the generality of internal insecurity in the country that has bearing on the country's foreign image.

The problematic of the study therefore lies in the fact that these various spate of insecurity perpetrated by various interest groups in the country has limited the foreign relations outcomes for the country as well as her citizens. These problems, coupled with incessant kidnapping and abduction of individuals, including expatriate workers, have become serious security threats to everyone in Nigeria. The dissidents have not spared the foreign investors, and have, thereby compelled many countries and investors in the international community to become skeptical of their safety in operating in the country. For these reasons, many countries have warned

their citizens of insecurity in Nigeria. Hence, the main objective of the study is to investigate the internal security challenges in Nigeria as it reflects on her foreign relations and projected image between 1999 and 2012. To achieve this, the study formulated some questions such as; identifying the security situations in Nigeria during the period, identifying prevalent conditions that constitute challenges to ensuring internal security in Nigeria and in what manner or ways has Nigeria's security challenges affected the country's foreign relations experiences. All within the period of study

This study employed a mixed methodology that combined the historical, survey, and ex-post facto design. It also made use of both qualitative and quantitative methods in data collection. The population of this study is Nigeria with her thirty six states. Hence, a purposive and multi-stage sampling technique was employed to select six states that have been violent ridden by crises that threatened the internal security of the country, the states are Delta, Bauchi, Bayelsa, Kaduna, Ondo and Plateau states. The research instrument employed was questionnaire and structured interview. Respondents and interviewees were also purposively selected. A test and re-test method was used and the submission of the mean scores from the observations was determined, the result of which was 0.875. This implied that the instrument for the study was reliable as this figure is greater than 0.5 but less than 1.0. The theoretical framework adopted was the Constructivist theory, as propounded by Nicholas Onuf (1989) as well as other numerous scholars. Constructivism is based on specific assumptions about reality, knowledge, and learning. According to the theories, members of a society collectively invent the properties (characteristics) of the world. Also, the theories hold that knowledge is a human product, which is socially and culturally constructed. That is, individuals create meaning through their interactions with each other and with the environment they live in.

The theory becomes applicable in the fact that many International Relations studies focus centrally on how different groups conceive their identities and interests. They emphasize how ideas and identities are created, how they evolve, and how they shape the way states understand and respond to their situation in the domestic and external environments. This idea crystalized into the concept of security, either in internal or external security discourses. To this end, states and their citizens have had to face widespread acceptance or rejection by other states and actors in the international system, with the consequences of being denied deep-seated foreign relations in ways that affect their general welfare. The international image of any state, in terms of its human security consciousness, have become the new idea and knowledge with which safety in all interactions with people in a particular local setting can be judged.

## **LITERATURE**

The following discuss examines literature from various scholars on the major concepts of this study such as, security, internal security, insecurity and internal insecurity, national image, foreign relations.

### **The Concept of Security**

The conceptualization of security as a concept is problematic. This is because it has too many dimensions, perspectives, and applications that relate to any particular state or group of states or institutions. Security simply implies assurance of protection against loss, attack, harm, or any unfavourable situation. Imobighe (1992), conceptualizes security in its much-encompassing form to connote “freedom from danger or threats to a nation’s ability to protect and develop itself, promote its cherished values and legitimate interests and enhance the well-being of its people.”(Imobighe, 1992:34) considering these definitions of security, one can deduce that its scope is very wide and has numerous implications. This accounts for why some scholars (Bunyan, 2010; Asamu, 2006; Buzan (2006); Collier, 1998; Burton, 1990; Gurr, 1970) defined it in various shades of ideas and implications.

### **Internal Security**

As observed by Bunyan, in an attempt to review EU’s internal security strategy, internal security is a common terminology applied by national governments and law enforcement and security agencies, although it is not often well understood outside of the circles of governments and their agencies (Bunyan, 2010). It is not a new concept as such, because in the past, Nation states have been referring to it as absence from internal threats. However, since the early 20<sup>th</sup> century, the term internal security has been used by scholars to describe assurance of safety from internal threats to the state’s wellbeing and those of its citizens (Bunyan, 2010). Internal security implies the condition in which the state brings together the activities of all the agencies at its national, regional, local, and community level into one overall plan to protect and maintain safety for the state and its citizens (Bunyan, 2010). Thus, Imobighe defines internal security as follows:

Freedom from or the absence of those tendencies which could attenuate internal cohesion and the corporate existence of the nation and its ability to maintain its vital institutions for the promotion of its core values and socio-political and economic objectives, as well as meet the legitimate aspirations of the people. Finally, internal security also implies freedom from danger to life and property and the presence of a conducive atmosphere for the people to pursue their legitimate interests within the society (Imobighe, 1992: 38).

From Imobighe’s definition of security, he viewed security as freedom from those factors that can serve as catalyst to endanger security, McNamara (1968), on the other hand, viewed security in terms of development. According to him, where and when development is not taking place, security cannot be ensured. (McNamara, 1968) This was why he emphasized that in a developing society, security is representative of development and vice versa. The implication of this is that except a state develops its sources of influence on its internal and the external environments, it cannot be assured of security. Considering the totality of this discuss, the study therefore viewed security as transcending citizen’s expectations from the state. As such, a more comprehensive perception of security being obligations of both the state as well as the citizens becomes the position of the study. Thus, as applied to this study, internal security means protection of the state and its subjects from harm resulting from existing or impending internal or domestic situation(s) by preventing such conditions from occurring or by putting them under control when they have finally occurred. This is In line with Buzan and

Asamu's positions that implies security or protection as a collaborative task of the government and its citizenry based on the constitutional principles of the state, all of which otherwise cannot also be achieved without development in line with McNamara.

### **Insecurity and Internal Insecurity**

Insecurity implies any state in which assurance of protection against loss, attack, harm, or any unfavourable situation cannot be guaranteed. It is any situation in which, unlike Imobighe's (1992:38) conceptualization, "freedom from danger or threats to a nation's ability to protect and develop itself, promote its cherished values and legitimate interests and enhance the well-being of its people" cannot be guaranteed. Thus, its span ranges from threatening to real situations of restriction or outright denial of access to these formerly stated conditions of freedoms, which are meant to ensure individual and national development and growth. Whenever any condition that threatens or actually limits either the state's or citizenry's ability to protect their legitimate national and personal interests occurs, then there is a state of insecurity. This is especially so as insecurity is simply the opposite of security.

Applying this preceding explanation to the case of internal security, one can readily and acceptably explain **internal insecurity** as follows: It is a condition in which a state, its government, and citizenry are unable to guarantee their safety from domestic threats. As opposed to the definitions and descriptions of internal security espoused by Bunyan (2010), Asamu (2006), Buzan (2006), and Imobighe (1992), the concept of internal insecurity can be described as any condition in which the state is unable to bring together the activities of all of the agencies at its national, regional, local, and community levels into one overall plan to protect and maintain safety for the state and its citizens. Any situation in which the collective efforts of the state, its government, institutions, civil society, and citizenry fail to protect their legally befitting interests from domestic threats or sabotage, presupposes that a state of internal insecurity exists.

### **National Image**

The prevalent conditions of the internal environment of the state refer to the internal security condition of the state. It is a known fact among scholars of conflict studies that the events in the domestic setting of a country or state determine the image associated with that state in the international system. The said image then can be associated with the country's reputation. In the end, whether other states, organizations, groups, or individuals who operate at the international system would want to relate with the concerned state and its associated elements will depend on the reputation earned from its domestic or internal occurrences (Egwemi, 2007). Moreover, when the international actors choose to relate with the state in question, the associated image or reputation becomes a factor of high consideration in shaping the characteristic features of the interaction (Zhang & Meadows III, 2012; Egwemi, 2010; Alao, 2009).

In line with this, Chiakwelu (2010:29) asserted that the image of a nation has the potential of becoming or determining the destiny of that nation. He further explained that: "There's no arguing that the image we have of another country says a lot about how we view it as a tourist destination, a place to invest, or a source of

consumer goods.” This was corroborated by Dare (2011.13) in his observations that: “The value of a secured environment is unquantifiable in the life of a nation”.

### **Foreign Relations, Internal Security and National Image**

Foreign relations refers to the totality of all the efforts that a state puts in place to interact with other states in the international arena in order to achieve its national interests, which usually borders on improving on the survivability of the state and its citizens. It is an essential instrument for the realization of welfare and tangible security to ensure an ancillary cover over its human and material resources (Goldstein, 2007; Saliu, 2009).

The interconnectivity of the preceding concepts in determining the total welfare of the state cannot be overemphasized. The intra-state relations between the government and citizens of the state, in terms of the definite roles expected of each of them, largely determine the internal security condition of the state. In the first place, the people must select their government, or the government must be established through some legally and generally prescribed and accepted means, consequent upon which the citizens expect the government to provide support for their daily and future survival, especially by putting the needed infrastructures in place to improve their material existence (Saliu, 2009).

On the basis of this, Appadorai (2004) stated that the state is an organization created to enable the mass of men to realize social good on the largest possible scale; a conglomerate that exists to enable men, at least potentially, to realize the best that is in them, through the exercise of some rights. Except this condition is achieved and maintained, citizens will begin to rebel against the government causing a situation of internal insecurity to lives, property, and the states stability and existence. For instance, the activities of Boko Haram, the Niger Delta crisis, the various ethnic and religious clashes, and the prevalence of crime in different parts of the Nigerian state are all consequences of failed government responsibilities. The situation of non-cooperation even becomes worse when the government attempts to compel the people to cooperate by force. In fact, when the condition of adversity becomes so tense, the citizens will no longer limit their hostility to the government, but will also direct part of it against themselves in the process of competition for scarce resources which they require for survival.

When this preceding condition occurs and persists, many countries in the international community can become skeptical of the possibility of their safety and success in relating with the insecure state for the achievement of their core national interests or objectives. This is because, apart from not being physically safe, such crises always, *inter alia*, signify inadequate supply of infrastructure for successful economic achievement from the interaction (Saliu, 2009). This is because such inadequacies will usually make it difficult for states to achieve their interests in such a society.

As a result of the effects of a country’s domestic environment on its success in the international arena, rebranding of damaged image has become a widely accepted practice among countries of the world (Fan,

2008). All these rebranding became necessary as a result of the enduring and lingering ramifications that are associated with poor and disastrous image of a nation (Chiakwelu, 2010; Dare, 2011).

It is important to state at this juncture that the impact of a nation's external image on its successful external relations is overwhelming, especially on the accruable wealth of the nation, wealth creation capability of the state, and the resultant GDP of the state in question. This is because, the wealth of a nation and its creation must involve the attraction of foreign capital and manpower, which will be limited if the environmental setting is in bad shape, especially as it has to do with human and other associated forms of security. For instance, it is a fact that no serious capitalist will desire to invest his or her wealth in a nation of untrustworthy people, unstable government, and generally high level of internal insecurity (Ambe-Uva & Adegboyega, 2007).

In this contemporary time of increasing interconnectivity among states in the world, an image created with high reputation for security can help to lift up a nation; this is exactly why many nations are very protective of their images. Once an image of a nation is tarnished it becomes an arduous if not an impossible task to reverse the trend (Chiakwelu, 2010; Dare, 2011). The relationship between domestic security (a domestic phenomenon) of a state and the nature and outcome of its foreign relations can be gleaned from the preceding discourses and examples.

A major factor that is usually considered in determining how international actors could relate with a given nation is that of security. For instance, it was for the dwindling state of human and internal insecurity in Nigeria that many countries in the international community (like the United States of America, Britain, and South Africa) warned their citizens about having anything to do with certain parts of Nigeria especially from June 2012. This warning was not just as a result of mere observation or speculation, many citizens of the affected countries had experienced kidnapping, theft, armed robbery, and murder in Nigeria (Ploch, 2012; US Bureau of Consular Affairs, 2012). This implies a reduction in foreign relations of citizens and other international actors from the warning states with Nigeria and its citizens.

Consequently, positive image-building and good image-sustenance, through high-level human and internal security status, are among the major determinants that dictate the level of influence and relevance of a nation in international politics. Favourable image ensures a level of credibility and respect for a nation in the comity of nations. Conversely, bad image alongside integrity and credibility crisis deny a nation the required respect from other states. They also portray such a nation as a pariah state, which does not deserve to be respected or honored by other civilized states. Either of these conditions reflects so much on a nation's foreign relations success. Moreover, a formed image (especially negative) is usually difficult to amend, and requires a lot of resources to adjust when necessary (Zhang & Meadows III, 2012).

The totality of the relationship that exist between foreign relations, internal security and national image of a state has been well encapsulated by Ajayi's (2007: 32) assertion that:

A state with image crisis is difficult to market or advertise in the 'diplomatic market'. Laundering the battered image of such a nation in the

international arena is as difficult as trying to engage in image-making for an international terrorist gang such as the Al Qaeda.

To further substantiate how Nigeria's security challenges have affected her foreign image, the following data was retrieved from respondents both to the questionnaire and structured interview regarding the effects of Nigeria's level of insecurity on the Country's Foreign Relations (Image).

**Table 1: Respondents' Reactions to Effects of Nigeria's Level of Internal Insecurity on the Country's Foreign Relations between 1999 and 2012**

S/N	Variables	Responses	Frequencies/Percentages
1	I am aware of the level of insecurity in Nigeria limiting foreign relations outcomes for the country and its citizens between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
2	Nigeria had poor national image as a result of the insecurity level within the country between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
3	Nigeria was in dire security need as a means of achieving her international relations goals between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
4	Governments and citizens of many African and non-African countries were often hostile to Nigerian citizens as a result of the national image caused by Nigeria's insecurity condition between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
5	Countries like the United States, the Britain, and other European countries warned their citizens to be careful with travelling to certain parts of Nigeria between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
6	Many countries and their citizens were afraid to transact with Nigerian citizens between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
7	Governments and citizens of many African and non-African countries were often suspicious of Nigerian citizens as a result of the national image caused by the level of insecurity conditions in Nigeria between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil
8	Citizens of South African and many other countries in the world were often extremely hostile to Nigerians, treating them like criminals in their countries between 1999 and 2012	Agree	100 (100.0)
		Disagree	Nil
		Undecided	Nil

**Source: Field Data, August, 2013**

The above Table one displays data on some of the effects of the state of insecurity in Nigeria on the country's foreign relations between 1999 and 2012. The first three questions of the table interrogated the level of awareness of the respondents regarding the state of insecurity in Nigeria, the implication on the country's national image and how this reflected on the foreign relations outcome of the country. There was 100% positive response to these questions as the entire sample of all respondents in the professional category indicated that they were aware that the level of insecurity in Nigeria limited foreign relations outcomes for the country and its citizens during the period of study. Also, that Nigeria had poor national image resulting from the state of

domestic insecurity level within the country as at the time. This means that all the respondents affirmed that Nigeria was in dire security need as a means of achieving her international relations goals between 1999 and 2012.

In view of these, it was not surprising that Nigeria and her citizens lost credibility and regard among some countries in the comity of nations. To this end, subsequent questions of the table interrogated the diverse perceptions of some countries and how their views impacted on the ways and manner that they conducted relationship with Nigeria as a country and the treatment given to her citizens especially on the shores of some of these countries. All respondents in this category acknowledged that governments and citizens of many African and non-African countries were often hostile to Nigerian citizens as a result of the national image caused by Nigeria's prevalent insecurity condition between the period under study. Countries like the United States, Britain, and other European countries warned their citizens to be careful with travelling to certain parts of Nigeria between this period, also that many countries and their citizens were afraid to transact business with Nigerian citizens also during this period; and that governments and citizens of many African and non-African countries were often suspicious of Nigerian citizens as a result of the national image caused by the level of insecurity in Nigeria during the period of study. This implies that the overall effect of insecurity in Nigeria was a negative impact on the country's national image which translated into negative treatments and hostility towards her citizens; as such foreign relations during this period was not very vibrant. Nigeria was seen as a risky country to transact business with, her citizens are seen to constitute threats within their own countries and even on the shores of other countries and are treated as such.

## CONCLUSION

From all indications, insecurity conditions, which pervaded the Nigerian environment, projected a negative image for Nigeria in the international community. The overall result and impression was of serious limitations on Nigeria's foreign relations in the international community. This was particularly prominent with regards to the welfare of Nigerian citizens in foreign countries, especially in their experiences/ordeals starting from the embassies and entry points of some of the foreign countries. Though the findings showed instances whereby the resultant insecurity in Nigeria brought about increased inter relations and alliances, most especially in the case of Nigeria/America co-operation, nonetheless these security challenges still constituted grave areas of utmost concern for the country. It is believed that these could be preventable through improvement of the living conditions of the general citizenry within the country; the result of which can be projected out invariably to give Nigeria better foreign relations. This is because a foreign relation that is limited to state-level interaction solely, without its benefits accruing to the citizens of the State as a whole can be regarded as unsuccessful.

## RECOMMENDATIONS

The Nigerian state must embark on an aggressive image laundering in an attempt to minimize the level of insecurity in the country. To achieve this, the country must first and foremost improve on education so as to change the mind set of Nigerians right from the elementary level. This will help revolutionize the concept of the “Nigerian factor”. The “culture of corruption” that has given Nigeria a negative image needs to be expunged at all level. This awareness campaign must also begin at the grass root. To embrace change, implement it and make it work must be the preoccupation of both the young and the old to create a better Nigeria, a country to be proud off. The study further recommends that, there is the need to improve the state of human rights in the country as this will improve security conditions in Nigeria. This improvement can be achieved by a change in orientation and attitude of national government personnel to citizens’ needs in the country. In addition, provisioning of basic needs for the masses should become a priority of the Nigerian government. This will reduce if not eliminate poverty and frustration all of which leads to a state of unrest which constitute threats to security.

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# **MALE HAIRDRESSER-CLIENT COMMUNICATION: WHAT THEY TALK AND WHAT SECRET THEY SHARE IN BARBER ARMCHAIRS!**

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## **Abstract**

In Turkey, it is a habit of people to go to hairdressers regularly, and most of the time these people prefer to go to the same hairdresser. As they spend a long time together, this relationship is important from the perspective of interpersonal communication. When the conversation becomes sincere, people start to share their secrets about their lives with their hairdressers.

In our era, there is a lack of communication among people especially in families and workplaces. People are reluctant about listening to each other. At this point, people are comfortable about telling their life stories to their hairdressers while sitting on the barberarmchairs as their hairdressers are more willing to listen to their customers. People engage with nice conversations with their hairdressers and get rid of their stress. This issue creates a significance to be researched. Thus, we researched this issue in order to reveal the content of communication between the customers and the hairdressers. We also looked at what kind of topics are discussed frequently. In this study, fourteen male hairdressers working in Eskisehir were interviewed. After that, the results discussed and created some groups of theme to analyze.

Keywords: male hairdressers, communication, interpersonal communication, secrets, dealing with stress.

## **INTRODUCTION**

The first barber that most men go for a hair-cut is most probably the barber that their father's go to. However, individuals, when they get older and become adult, find their own barbers that they can trust and get on well with. Today, the number of those who pay attention to their hair-care, hand-care and face-care is increasing. Just like women, there are men with interesting hair styles. All men taking care of their hair have their own certain barber, and they are too conservative to change their barber. This is a kind of loyalty: "loyalty to barber".

All barbers know well what their faithful customers expect from them or what these customers like or dislike. Trust in the barber with respect to hair and care becomes stronger in time and spreads to different areas in a way that the barber-customer relationship, which essentially requires receiving and providing a service, could gradually turn into a communication-confidentiality between individuals who share a number of secrets with each other.

The present study is on communication between male barbers and their customers. The study examines not only the things customers, who have interpersonal communication with their barbers, share with them but also what the extent of this sharing is. Since the barber-customer relationship is at the level of interpersonal communication, the focus in the following pages will be first on interpersonal communication and its characteristics and then on the prominent characteristics of this interpersonal communication in terms of barber-customer relationship.

### **Interpersonal Communication and Its Characteristics**

Interpersonal communication is the exchange of messages between people who have influence one another in specific ways within the framework of social and cultural norms. Interpersonal communication is just personal. This type of communication, according to DeVito (2011), is the one between people who are familiar with each other.

Barber-customer communication, initially, starts within the framework of roles appropriate to impersonal, or social, norms. However, the relationships of those who always go to the same barber with their barber develop in time in a way to have an interpersonal character in line with their own functioning and rules. There are several rules which determine the quality of interpersonal communication and which should be obeyed for a healthy communication. These interrelated rules can be gathered under six headings (Gibson and Hanna, 1992).

**Honesty.** Honesty in a relationship refers to purity in that relationship, which does not involve any deception or abuse of confidence. It is a relationship free of fraud or cheating. People believe that the most important characteristic that distinguishes true friends is honesty.

**Self-disclosure.** Self-disclosure refers to sharing one's feelings, thoughts and problems with others. Self-disclosure is fairly important for the protection and development of interpersonal communication. "Confidence" and "Self-disclosure" are two concepts that complete one another: Confidence is prerequisite to self-disclosure, and vice versa.

**Empathy.** Empathy is the ability to understand and evaluate others' experiences and feelings. It also means putting oneself in others' shoes and feeling their feelings (<https://www.psychologytoday.com/basics/empathy>. Access date: 12.03.2015). Empathy involves establishing close relationships, maintaining friendships and developing strong gatherings (Palmer. <http://www.parentfurther.com.php53-8.dfw1-2.websitetestlink.com/blog/raising-empathetic-kids>. Access date: 12.03.2015).

**Positivity.** Positivity, as a characteristic of effective interpersonal communication, refers to confident and constructive behavior. It involves use of positive messages instead of negative ones. In other words, saying something positive rather than anything negative (<http://tcbdevito.blogspot.com.tr/2012/03/communication-strategies-positiveness.html>.

Access date: 20. 03. 2015).

**Being supportive.** Providing a person with intimate support means backing him or her up. “Supportive communication supports the other; it is explanatory (not evaluative), conditional (not certain), spontaneous (not strategic); it is for solving a problem (not supervisory); and it is empathic (not far) and equalitarian (not superior)” (Rubin & Martin, 1994, p. 36). In this respect, being supportive is the behavior of establishing, not destroying, a relationship.

**Equality.** Equalitarian communication is based on the thought that people are respected due to their humanity. Within the context of interpersonal communication, equality means respecting others and minimizing the differences between the two parties’ levels of skills, statute, power and intellect.

### **Characteristics of barber-customer relationship**

In their first meeting with their customers, barbers open a file in their memory specific to their customers and store important information in this file. Whatever the number of customers they have is, this memory functions wonderfully and recalls the related information and uses it when necessary. Even though the time passing from the last meeting to the present one is long, barbers can go on their chat with their customers while doing their job. Depending on the level of relationship with their customers, they absolutely ask questions to their customers in relation to their job and families. Frequently, there are times when their customers forget the chat subjects of their last meeting with their barbers.

In Turkey, barbers, while addressing their customers, do not avoid using such titles as “Sir” or “Madam” together with their names. These words are indicators of intimacy, and they pay special attention to respect. Whatever happens, barbers always have a positive and smiling face. They do not reflect their own spirits to their customers. They do their job seriously and allow their customers to feel special. Even in smallest barber saloon, there are always hot and cold drinks offered to customers. Barbers’ behaviors and attitudes mentioned above create an environment necessary to have personal relationships with their customers. This environment allows developing equality and empathy in interpersonal communication and helps customers disclose themselves. The barber-customer relationship is a kind of friendship. Friendship involves relationships between two individuals who are equally influential on one another (Rawlins, 1992). In the present study, the research problem is related not only to what customers share with their barbers but also to the characteristics of sharers.

The barber term in Turkish is defined as "the person who deals with cutting, combing and doing hair and beard or the ones who acquires that as a profession, the men's hairdresser,

barber". The coiffeur means "hairstylist, barber and beauty parlor" (Canyilmaz, 2009). Hairdressers are defined as "the persons who cut, form, dye and do hair care according to the current fashion trends and pleasure of the client" (Guzel, 2013).

In the study of Togan et al. (2014) conducted in Manisa, again most of 156 participant do not have sufficient knowledge on self care and material cleaning and they exhibit wrong behaviors. In the study of Baryaman et al. (2011), the Hepatitis B related issues have been analyzed on the craftsmen and employees of the municipality and no increased risk for Hepatitis has been detected on the coiffeur-hairstylist staff. In the study of Boztas et al. (2006), it has been aimed to determine the opinions and practices of 100 people working in 14 coiffeurs, 19 hairstylists and 8 beauty parlors on blood-borne diseases. 56% of 100 participants have assessed their profession high risky with regards to blood-borne diseases while only 19% of them had their Hepatitis B injection.

In the study of Guzel (2013), 344 women and men hairstylists of Erzurum have been examined and it has been determined that the most common professional disorder is sleep disorders with 63.8% and the highest value on professional satisfaction is "relations between staff" and the lowest one is "working hours".

### **Purpose of the Study**

The purpose of this study is to present the topics and shared secrets in male hairstylists-client communication under main themes.

### **Limitations**

This study is limited with the accessible male hairstylists working in the city center of Eskisehir who accepted to have an interview. The number of participant hairstylists is fourteen. The study is limited with the opinions of the selected hairstylists and generalizability of results is limited.

### **METHOD**

"In qualitative studies, the data can be gathered by means of in-depth interview, observation, participant observation and log analysis techniques (Wiersma, as cited in Batu et al., 2004). This study has been conducted by semi-structured interview technique. An interview is a conversation between an interviewer and an interviewee or a group for getting information (Yildirim and Simsek, 2005). A set of questions are prepared for using in interviews to apply in semi-structured interviews. These questions are directed by the researchers to each interviewee in the same order however the interviewees are allowed to answer as they wish (Gay; Berg, as cited in Batu et al., 2004).

In the interviews conducted for this study, it has been tried to access opinions of hairstylists on the communication of hairstylists with their clients, shared secrets, held topics and their knowledge and experience. Consequently, it is tried to present the topics and shared secrets in male hairstylists-client communication under main themes and sub-themes.

### **Data Collection Tool**

In order to compare the answers of interviewed hairdressers, main interview questions which can be answers to the questions listed in the purposes title of the study have been prepared. The researcher has made a trial of these questions with a hairdresser close to his institution. The sound recordings of the interview have been analyzed by an expert and evaluations on the interviewee and the questions have been done and the interview form has been finalized. The aforementioned form has been applied on the male hairdressers of Eskisehir. Furthermore, an empty space is left at the end of the form where the hairdressers can fill in freely with their opinions, feelings, emotions and recommendations on the issues other than the questions.

### **Determining the Hairdressers Participating in the Study**

In order to determine the hairdressers to be surveyed in the male hairdressers-client communication study, the names of hairdressers in Eskisehir city center have been obtained from the Chamber of Barbers and Coiffeurs of Eskisehir and surveyors at the helm of the researchers have visited the coiffeurs and requested permission and support for their study.

### **Collecting Data**

The interviews have been conducted in between 1-15 April 2016 as previously planned in the pre-interviews with the hairdressers. Before, each interview, the researcher has explained the purpose of the study. The researchers and interviewers have jointly visited the hairdressers and recorded the questions and answers of the interviews by a sound recorder by getting consent of them.

### **Data Analysis**

The data collected for the study has only been subjected to descriptive analysis. Naturally, when a descriptive analysis is done, the data obtained through interviews are presented originally without adding our opinions and comments as researchers.

### **Reliability Study**

Firstly, the hairdresser was selected and interview printout, questions and considered subtitles were given to a second expert. It has firstly been requested from this expert to determine the statements which can be answers for each question and then replace appropriate answers under subtitles. At the end of this procedure, the answers of related hairdressers registered by the researcher have been compared with the answers and subtitles determined by the expert. The reliability analysis has been examined either for the statements with answer characteristics and subtitles where they were gathered. As a result, the reliability level between the researcher and the expert has been found as 95% for the answers. It has been observed that there is a complete unity in subtitling the answers of the following two hairdressers. For reliability calculation:

$$\frac{\text{Consensus}}{\text{Consensus} + \text{Dissensus}} \times 100 \text{ formula has been used}$$

The study report has been compiled by combining the tallied answers gathered under particular titles at the left side of the notebook and the bold statements in the computer. The bold statements have been used as direct quotes.

## **FINDINGS and COMMENTS**

### **Information Related with the Interviewed Hairdressers**

All of the interviewed hairdressers (14) are men; the age average of them is around 35 and their ages vary from 23 to 46; one of them is primary school (5 years) graduates while thirteen of them are primary school (8 years) graduates; two of them have job experience around 5-8 years, one around 9-12 years, two around 13-16 years, one around 17-20 years, six around 21-24 years and two around 25 and higher years of experience.

### **Information on Client Profiles of the Interviewed Hairdressers**

Clients of three of the interviewed hairdressers have been going to the same shop for 5-8 years, two for 9-12 years, four for 13-16 years, one for 17-20 years, two for 21-24 years and two for 25 years and more. Almost all the hairdressers (13 of them) serve 16 and more old clients. The monthly visit frequency of old customers has been indicated by two of the hairdressers as once, eight hairdresser twice, two hairdresser thrice, two hairdresser four times and more. If, the time the old clients spend at the shop is analyzed, five of the hairdresser have mentioned as the lowest time spent by their clients at the shop as between 10-20 minutes, nine of them as between 20-30 minutes; nine of the hairdressers have mentioned that the highest time spent by their clients at the shop as around 1-2 hours, two of them as around 2-3 hours and three of them as 3 hours and more. If, the income levels of secret sharing clients are analyzed, it is observed that one hairdresser has secret sharing clients from low income level, two hairdressers have secret sharing clients from minimum wage income level, nine of them have more secret sharing clients from the middle income level and two of them have secret sharing clients from the higher income level. If, the age range of secret sharing clients is analyzed, it has been mentioned by four hairdressers that these clients are around 20-25, two hairdressers have mentioned that they are around 25-30, seven hairdressers have mentioned that they are around 30-35 and one hairdresser has mentioned that they are around 40 and older. If, the professional status of secret sharing clients is analyzed, it has been mentioned by eight hairdressers that these clients have a profession while they do not know what they are, one hairdresser has mentioned that these clients are university students, three hairdressers have mentioned that they are factory workers, one hairdresser has mentioned that they are public servants, and one hairdresser has mentioned that they are manufacturers. If, the marital status of the secret sharing clients is considered, it has been stated by eight hairdresser that they are married and five of them have mentioned that they are single and one hairdresser has mentioned that he has clients sharing secrets from all marital status (married, single or divorced).

### **Information on Hairdresser-Client Communication**

When, the information on secret sharing client is asked, all fourteen hairdressers mention that their clients share secrets with them. With regards to the number of secret sharing clients, four hairdressers mentioned that they have 5 and fewer clients sharing their secrets with them, four hairdressers mentioned 10-15 clients, two hairdressers mentioned 20-25 clients, two hairdressers mentioned 40-45 clients and two hairdressers mentioned 100 and more clients. All of the hairdressers consider the cause why their clients share their secrets with them as sincerity/being close, twelve as confidence, twelve as therapy/we listen to their problems and comfort them, nine as friendship/companionship, and one as "it makes more sense to tell foreign". The question on whether their secret sharing clients warn them not to share their secret with anyone else is answered by 7 hairdressers as "no", 2 "yes" and 5 hairdressers as "very rare". Almost all the hairdressers (11 of them) have mentioned that their secret sharing clients ask for advice related with their secrets.

### **Information on Characteristics of Shared Communication**

If, the subjects of communication between hairdressers and client are analyzed, it draws attention that the secrets on family/relation issues for 14 times girlfriend, lover, relationship, love, private life; for 12 times marriage; for 5 times sex life and for 1 time complain about women are shared. Other than these, it is observed that the secrets on the business life are shared for 6 times, everything about life for 4 times, money for 3 times, politics for 1 time, football for 1 time, education for 1 time and fighting with friends for 1 time. Almost all the hairdressers (12 of them) mention that their clients complain about their lives. The subjects which their clients complain about are indicated as 8 times lover/girlfriend, 6 times family members, 5 times complaints about his spouse/hardships of marriage and children, 1 time longing for family, 7 times general working life, 2 times his hardship of work, 2 times low wage, 1 time long working hours, 5 times general life problems, 4 times financial issues/money, 2 times education (collage,courses and academics) and 1 time condition of Turkey.

If, the depth of communication shared between hairdressers-clients is analyzed; 9 hairdressers have mentioned that they have clients sharing superficially, 5 hairdressers have mentioned that they have customers sharing in detail. If, the continuity of subjects communicated between hairdresser-client dialogues is considered; 9 hairdressers have replied the question whether the subjects on shared secrets are reopened as "yes", 2 hairdressers have replied as "no" and 3 hairdressers have replied as "rare". Related with follow-up of the shared communications, 10 hairdressers have mentioned that they ask questions to their clients on previously shared subjects, 3 hairdressers have replied "no" and 1 hairdresser has replied as "rare".

### **Information on Keeping/Sharing Secret Attitudes of Hairdressers**

Eight hairdressers have replied the question on whether they share the secrets shared by their clients with other clients as "no, I do not", six hairdressers have replied as "yes, but I share examples without mentioning any name". Eight hairdressers have replied the question on whether they share the secrets shared by their clients at other places as "no, I do not", six hairdressers have replied as "yes, but I share a examples without mentioning any name". Ten hairdressers replied the question whether they share the secrets shared by their clients on phone as "no, I do not", one hairdresser have replied as "yes, I do", three hairdressers have replied as "yes, but I share a examples without mentioning any name".

### **Considerations of Hairdressers about their Profession**

The barbers, who had negative attitudes towards sharing problems with their customers, reported that they were tired of listening to others' problems; they listened to their customers' problems superficially; their customers regarded them as a center of therapy; and that their customers did not listen to their own problems. The barbers also stated that they went on a picnic or drank beer to forget about their problems. One of the barbers said he talked about his problems to himself in the mirror.

Five of the barbers reported that they shared problems mutually with their customers, while three of them stated that only their colleagues listened to their problems. In addition, two of the barbers said they talked about their problems to people they felt close to, and one of them reported that he shared his problems with those who had the same problems. Another barber stated that his customers were likely to share their secrets regarding quite unexpected subjects; for example, one of his old customers, falling in love with his ex-love, did not see his children and grandchildren.

When the professional interaction is taken into account, it is seen that three barbers had good relationships with their customers in terms of information sharing; one barber was in contact with their customers; one barber thought he started to learn human psychology; and that one barber said he helped a lot of people overcome their psychological problems.

In relation to professional thoughts and evaluations, some of the barbers reported that their colleagues were not successful in keeping secrets and that their customers should not thus talk about their secrets. In addition, the barbers reported that they did not regard their customers as a monetary object; they did not even ask for money at times; they even witnessed customers talking about their sexual relationships; they did not regret becoming a barber; and that they considered their job to be necessary and beneficial though their job tends to extinct in future.

### **RESULTS, DISCUSSION AND RECOMMENDATIONS**

Hygiene is emphasized as a very important issue both in the domestic and foreign literatures. It is observed in the study that there are lots of deficiencies and risk related with hygiene. However, while there are important findings on this issue, information on hygiene is rarely

observed in the interviews. Gokdag and Unugur (2016) consider that this can be related with cultural characteristics of Turkey.

As another interesting finding, it can be presented that politics are not communicated much. There have been some incidents in Turkey where great casualties have been experienced. As a result of bombings; civilians, soldiers and policemen have lost their lives. In a country where there are so many martyrs, several bombing and explosions and political polarization, it draws attention as an interesting finding that clients do not talk about these issues. We can explain this issue by pathological grief. Instead of normal grief reactions, unexpected, exaggerated or extremely extended reactions or unresponsiveness might be developed; the reality of loss is not accepted (Bildik, 2013). People in pathological grief try to cover the facts making them uncomfortable and not to think about them. By this way, an incident is presumed as not existing and denied; in other words people write off the fact of terror, life-threatening situation, bombing and martyrs and ignore them as they create extreme sadness and stress.

While women go to a hairdresser to relax (Gokdag and Unugur, 2016), men go to a barber for a hair-cut on special days when they really need to go (religious festivals, job interviews, birthdays, marriage, meeting one's darling).

When men come together, the most frequent subject they talk about is related to the opposite sex (love, sex, beloved, dating and so on). However, as an interesting finding, in Turkish culture, they do not talk about their relatives, wives, sisters or mothers because talking about sexual subjects in relation to women they love in their so close environment is considered by men to be an issue of honor and virtue. Therefore, talks about these issues are likely to lead to arguments, crisis and even to murder.

Men are extremely conservative about changing their barbers. They do not want to change their barbers. In literature, it is seen that there are a number of findings and observations of researchers supporting this. Men are also conservative about their hair styles, and they thus prefer the same style. Actually, this is the reason why men do not want to change their barbers. They think their own barber knows their own hair styles. Therefore, they do not have to explain their hair style again and again.

As a result of the study supporting the study of Gokdag and Unugur (2016); it is observed that hairdressers see their job "very exhausting" due to ergonomic conditions, long working hours and listening problems and complaints of their clients, they cannot be relieved by telling their problems with their clients.

When the direction of communication (barber-customer and customer-customer) in male barbers is examined, it is seen that customers mostly establish communication with their barber rather than with other customers.

Briefly, according to the resources and studies in the literature, it can be indicated that different client-hairdresser relations can be developed in different cultures. This study is a

pioneer for other researchers and studies in this field and within the context of wider cultural studies; it is recommended to expand the study for comparing male hairdresser with female hairdressers and the clients of male hairdressers with the clients of female hairdressers.

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**Mindfulness among schools teachers.  
Benefits of their practice according with the gender**

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**Abstract**

The purpose of Mindfulness is to arouse conscious attention in the present moment and so, to achieve higher levels of physical and mental wellbeing. A review of studies about the implementation of Mindfulness programs, obtains very positive results in personal and professional development. In this paper the methodology of the ".b program" is described, which has used Mindfulness techniques with teachers, along nine sessions, where activities are performed to help keep the focus on body sensations. After implementing the ".b program", it is carry out a comparison between teachers who practice ".b program" and those who do not practice it, to find out if there are differences regarding to the gender, and to make a comparison between samples of Spain an Arizona. The conclusions of the study in Spain show that teachers who have participated in the ".b program" achieve higher levels of self-realization, and specifically women. In this first part (study in Spain), we found limitations that help us to improve the second part of the study (in Arizona); we need to expand the samples, in more places and to conduct a longitudinal study, with a pretest and long-term monitoring.

**Keywords:** Self-realization, Personal development, Emotional skills, Teacher training, Mindfulness, Gender

**Introduction**

Mindfulness is a meditation technique that involves the practice of simple everyday exercises that invite us to be awake and fully alert. Every moment from doing the dishes, to talking on the phone or to peel an orange, for example, offers us an opportunity to know ourselves more deeply and enjoy greater peace of mind (Thich Nhat Hanh, 2007). The full awareness of the present and understanding why our actions help us end our discomfort and start changing our behavior. We can gain welfare based on the richness of life at all times (Thich Nhat Hanh, 2011). According to Simon (2011) the key to physical and mental well-being is having emotional balance, and by practicing the art of mindfulness we change our mind, find balance, create the conditions necessary to see the reality that surrounds us clearly, and also solve problems that previously we were unable to solve.

This meditation technique when is used effectively shows us the foundation needed to live our lives in a more productive, conscious and peaceful way (Gunaratana, 2012). Siegel (2010) has shown through his research that the continued practice of Mindfulness improves brain functioning at different levels and also invites us to a brilliant exploration of what it means to live in this world and experience the moment with all our senses. It is scientifically proven that mindfulness when is experienced in a state of full consciousness strengthens our physical, psychological and social being.

Many studies, most of them performed in USA and in UK, have indicated that continued meditation practice, provides important benefits to the students and teachers in: stress reduction, self-esteem, concentration, mental clarity, positive thinking, better relationships, greater kindness to themselves and others, and a sense of jovial happiness. Hennelly (2011) conducted an extensive study with 68 high school students participating in the mental training program of Burnett, Cullen and O'Neill (2011). They conducted a longitudinal study with a questionnaire for immediate and sustained changes in health, resilience and well-being of participants. Results were triangulated with interviews aimed at parents, teachers and other students with expanded information internally and externally through observational aspects. Looking at these results together with the thematic analysis by Braun and Clarke (2006), self-determination theory of Deci and Ryan (2000), and self-efficacy theory of Bandura (1977), showed positive effects on adolescent's awareness, self-regulation, motivation, confidence, competence and efficiency.

Another study at the University of Oxford (Hupperta and Johnson, 2010), presents the results of a program of Mindfulness, conducted with 155 adolescents in the classroom. It showed that there is a significant positive association between the amount of meditation practice and improved psychological well-being and care. Most students reported enjoying and benefiting from the training of the mind, and 74% said they would like to continue with it in the future. The authors said that is needed to refine the program and conduct more scientific tests.

Beauchemin, Hutchins and Patterson (2008) perform a study using a pre-post no-control design to examine feasibility of, attitudes toward, and outcomes of a 5-week mindfulness meditation intervention administered to thirty-four adolescents diagnosed with learning disabilities and higher levels of anxiety and school-related stress. All outcome measures showed significant improvement, with participants who completed the program demonstrating decreased state and trait anxiety, enhanced social skills, and improved academic performance.

Bluth et al. (2015) conducted a randomized pilot study of a school-based mindfulness program "Learning to Breathe" with ethnically diverse at-risk adolescents. Twenty-seven students were randomly assigned to a mindfulness and substance abuse control class that occurred for 50 min, once a week, over one school semester. Over the semester, perceived credibility of the mindfulness class increased while that of the substance abuse class decreased. Reductions in depression were seen for students in the mindfulness class compared to controls. A similar study carried out by Broderick and Metz (2009) reflected improvements in emotion regulation and decreases in tiredness and pains among students participants at the conclusion of the program. Felver, Frank and McEacher (2014) put into practice the mindfulness program "Soles of the Feet" (SOF), based on focus in this area. Results suggest that SOF may be an effective intervention to reduce off-task behavior and increase academically engaged behavior for behaviorally challenging students.

After a long mindfulness program Flook, Goldberg, Pinger and Davidson (2015) showed that children initially lower in social competence and executive functioning demonstrating larger gains in social competence relative to the control group. Besides, these interventions in children and youth are a feasible and effective method of building resilience in universal populations and in the treatment of disorders in clinical populations (Greenberg and Harris, 2012), since it has been shown that mindfulness practice help to reduce and prevent depression in adolescents (Raes, Griffith, Van der Gucht and Williams, 2014), significant reduction of bad behavior among children with ADHD and a significant reduction of stress among parents participants (Van der Oord, Bogels and Peijnenburg, 2012).

Regarding to the teachers, Flook, Goldberg, Pinger, Bonus and Davidson (2013) found stress and burnout, reduction, and teaching efficacy among participants in a Mindfulness-Based Stress Reduction course adapted specifically for them. Frank, Reibel, Broderick, Cantrell and Metz (2015), also reported significant gains in self-regulation, self-compassion, mindfulness related skills (observation, no judgment, and no reacting), and significant improvements in multiple dimensions of sleep quality as well. The mindfulness program Cultivating Awareness and Resilience in Education (CARE for Teachers) of Jennings, Frank, Snowberg, Coccia and Greenberg (2013), resulted in significant improvements in teacher well-being, efficacy, burnout/time-related stress, and mindfulness compared with controls, and especially with teachers working in high-risk settings (Jennings, Snowberg, Coccia, and Greenberg, 2011); as well as greater focused attention and working memory capacity, occupational self-compassion, lower levels of occupational stress and burnout, and symptoms of anxiety and depression at post-program and follow-up (Roeser et al., 2013). Mindfulness training is hypothesized to promote teachers' "habits of mind," and thereby their occupational health, well-being, and capacities to create and sustain both supportive relationships with students and classroom climates conducive to student engagement and learning (Roeser, Skinner, Beers and Jennings, 2012). This training for teachers shows a decrease in negative social interactions and an increase in isolate play and is effective in changing teacher-student interactions in desirable ways (Singh, Lancioni, Winton, Karazsia and Singh, 2013).

Meditation helps people to be happier and thus also helps all those around them (Ricard, 2012). Meditation practice develops those qualities of the human spirit such as love, compassion, patience, tolerance, forgiveness, contentment, a sense of responsibility, harmony; they bring you as much happiness to others. These qualities imply an implicit concern for the welfare of others and can be developed to a high degree through meditation (Clark et al., 2006).

### **Our mindfulness program: Dot. b**

The teaching of ".b" (Stop, Being and Breathing) is provided in Oxford once a year, since 2009, attended by several teachers and researchers from around the world. The project is a collaboration between Oxford, Cambridge and Exeter Universities, which are finding valuable benefits of its implementation. The program is flexibly designed to involve everyone, whatever their ideology, religion or culture (Weare, 2012) and to make it applicable in any context (Mindfulness in Schools Project, 2011). It is taught among teachers and researchers first, in order to implement it between student's volunteer groups later, or other specially selected, with stress, depression or anxiety problems. Currently, over two hundred teachers have been trained to teach it and more

than two thousand teenager's students have participated in it (Kuyken et al., 2013). The program material consists of ten books, which are composed of tabs working the mindfulness topic, such as coaching a scattered mind, learn to calm themselves, to recognize the worry, to live in the moment moving and acting consciously, to recognize and stop negative thoughts and live with the difficulties without rejecting them, since these teach us to grow. Participants should think and deduce ideas, in addition to practical activities that are discussed in small groups. The first book is the introduction, followed by a handbook for the teacher, another student manual and a DVD with videos and images showing about each content -in the website [www.mindfulnessinschools.org](http://www.mindfulnessinschools.org) it can be found tabs and pictures of the program sessions that serve as examples. All activities are performed in a practical way, some of the most important are: sustaining attention in all bodily sensations eating chocolate, do a sweep of sensations in our body when one is lying (Technical "Beditation"), focus on the sensations of the feet and back when sitting (Technical "FOTBOC"), count seven while breathing and eleven while expires (technique "7/11"), or observe body sensations when walking as undead within the class, among others. They are simple awareness exercises to give all students an idea of the importance of mindfulness, so that they can return to this practice later throughout their life (Mindfulness in Schools Project, 2011).

### **Why this study**

School has traditionally been used to fill the mind and less to help create emotional balance, and has taught more discipline than love and insight (López-Hernández, 2015). Previous studies about bad coexistence in schools find an urgent need to integrally train students, families and teachers (Lopez-Hernández and Ramirez, 2013; 2014), on the basis of the creation of new programs that improve communication, social and emotional skills (Lopez-Hernández and Ovejero, 2014; Pegalajar-Palomino and Lopez-Hernández, 2015). Teacher training is essential, beyond technical aspects, because teachers cannot teach or transmit emotional skills if they have not previously acquired it (Lopez-Hernández, 2015).

Several studies shows different in emotional skills according to gender: *"Gender differences are not natural, but historical cultural constructs that express power relationships based on differences that distinguish the sexes"* (Monzón, 2004, p.8). Throughout history, women have played a secondary role in society being relegated to the family, or small circles of friends, so they have learned to express their emotions in intimate places, being more prepared phylogenetically to express their emotions while men socialize to express a greater extent physical force (Subirats, 1997). The relationships of the girls are more comprehensive and they have a different sense of life project and self-realization to men (Zuazua, 2001). Professionally, women opt for employment models that represent greater harmony in the interaction between work, family and community (Mojerón, 2010). In this sense, the study of Pegalajar and López-Hernández (2015) shows that future female teachers have more positive levels of self-realization and personal growth than male teachers, and tend to get significantly higher scores than men on emotional intelligence measures (Bueno et al., 2005; Extremera et al. 2007; Joseph et al., 2010; Valdez et al., 2010). Recent studies on cyberbullying relate a greater attitude toward violence and reduced capacity on emotional skills on men. There is a higher prevalence of men as large cyberbullies (Sabater et al., 2015, Garaigordobil et al., 2013). This fact is transferred to traditional bullying,

where the prevalence is higher among boys, which harass more physically than girls (López-Hernández, 2013; Ortega, 2008). In general, boys are more interested in controlling external events, being more aggressive physically and with greater domain to their peers (Anastasi, 1982).

Therefore, it is intended to conduct a transnational study, in USA, Arizona (in a community of American Indians “San Carlos Apache”) and Spain (community of La Rioja). The main idea of this project is to introduce meditation practice in education, and to train school teachers in mindfulness techniques -.b program- in order they teach their students afterward. The intention is to improve student performance at school, the class environment, self-satisfaction of participants, and provide a model, and equip students and teachers with skills, to enable the school to continue to offer mindfulness in the future. The participants who could be helped most may be those with serious emotional problems arising from their lack of social integration, those from different social and ethnic origins, Native American Indian participants, and/or those with juvenile crime records. The results could be useful to make future comparisons with participants without integration problems.

The objectives of this study -after implementing the “.b program”- are: 1) to perform a comparison between teachers who practice “.b program” and those who do not practice it; 2) to find out if there are differences regarding to the gender (men and women); and 3) make a comparison between samples of Arizona and Spain; using the same methodological framework (planning fieldwork techniques and instrument). In this paper, only are presented the conclusions of the study in Spain.

## **Methodology**

### ***1) Regarding to the .b program***

The course was taught over nine weeks with participating students in separate in two groups (15 per group). We rented a room at the Library of the main city of La Rioja (Logroño). This program teaches with striking images through a CD and practical activities which are then discussed in group. Some of them are done through chips to think and deduce ideas, and others become more practical. They are simple awareness exercises to give everyone an idea of the importance of maintaining attention ([www.mindfulnessinschools.org](http://www.mindfulnessinschools.org)).

The program schedule was as follows: Presentation by Dr. López-Hernández with school academic staff (power point), choice of participants, presentation of volunteers, classes (9 weeks) (45 min per week), and administration of the questionnaire.

### ***2) Regarding to the questionnaire***

#### ***Sample***

*1) Spanish participant sample:* The population is composed by teachers of all courses with a primary education from different schools of La Rioja, and a total of 30 teachers completed the program and the questionnaire. The selection of subjects was performed using a simple random probability sampling (Tójar et al., 2009) by selecting all subjects who decided to participate. For the calculation of the sample, it was used the formula for communities with fewer than 100,000 subjects with a confidence level of 95%, and a maximum estimation

error of 5%. In relation to the composition of the sample, gender is distributed with 68% being women, compared with 32% of men. Their ages are between 22 and 45 years.

The majority origin is the autonomous community of La Rioja (85%) with a wider segment residing in the capital and surrounding municipalities (71%). However, it should be noted that 15% came from other regions. Most have studied in public schools (74%). In general they are interested in culture, to read and to travel (97%) and a significant percentage of them; do sports regularly (67%).

To choose the Spanish control participant, we made the same in other school, with 30 teachers, to which the questionnaire was administered without the program.

2) *Arizona sample:* We will choose 60 teachers belonging to this community (30 for the participant group and 30 for the control group), in the same way we did in Spain.

### ***Instrument***

The methodology is quantitative and it is based on the technique of standardized statistical survey. The data collection was performed through the questionnaire AURE "Questionnaire Self-concept and realization" - AURE- (Aciego et al. 2005, Domínguez, 2001) which includes 55 items grouped into six factors: Self-Concept, Projects, Attitude towards Work, Friendship and Love, Social Concern and Ego Strength. Each item is measured on a Likert scale, whose answers are between 1 and 5 (representing 1 = strongly agree, and 5 = strongly disagree). The application time is short and the questions are simple, which makes its application be an advantage. The questionnaire meets high standards of reliability; because the coefficient obtained through Cronbach's alpha (.97) and Spearman Brown for unequal halves (.93) prove it. Besides analyzing the factorial structure, it provides an understanding of the contents able to reorganize its into three major factors, such as: 1) Coping, operability and fulfillment in the work: includes aspects of planning, availability and self-control against the task and the norm; 2) Selfconcept and self-esteem, which compiles all aspects related to the evaluation of himself, and 3) Empathy and social fulfillment, that refers to the satisfaction in relation to others, concern and communication with others.

### ***Procedures***

For the application of the program and the questionnaire to the sample, we contacted some high schools in Logroño, indicating to them the objectives of the investigation and requesting the necessary authorizations to access the study. To get a correct application of the program and instrument, the teachers were informed about the objects of the program, and about the characteristics and purpose of the test. The questionnaire was administered individually, after school hours (as the program). We are going to follow the same procedure in Arizona.

### ***Analysis of data***

For the statistical processing of the data SPSS was used, version 21 for Windows and it performed a descriptive and correlational analysis of the results obtained from the various dimensions of the questionnaire. We have implemented the Student test for comparison of means to demonstrate the existence of significant statistically differences between the scale factors and the variable "gender" of the participants, besides the Levéne test to know equality of variances. All analyzes were calculated with a confidence level of 90%.

## Results

Both, those teachers who have participated in the .b program and those who do not, have high levels of self-realization; however this is significantly lower among those not knowing the .b program, so they seem to need additional support in their emotional skills acquisition (see Table 1).

Gender influences personal fulfillment of teachers, women show higher levels of personal achievement than men, and even more women teachers who have participated in the program (see Table 1).

*Table 1.* Means, standard deviations and global significance in both samples

Dimension	No “.b”			Yes “.b”		
	Men	Women	Sig. t	Men	Women	Sig. t
	M (SD)	M (SD)		M (SD)	M (SD)	
<b>Self-Concept</b>	2.12 (.86)	1.98 (.86)	.316	1.94 (1.00)	2.04 (.50)	.055
<b>Friendship and Love</b>	1.86 (.85)	1.66 (.80)	.115	1.98 (1.26)	1.76 (.49)	<b>.001*</b>
<b>Social Concern</b>	2.43 (.76)	2.30 (.84)	.297	3.23 (2.91)	2.18 (.61)	<b>.000*</b>
<b>Attitude to the task</b>	2.36 (.87)	2.16 (.77)	.114	2.08 (1.02)	1.95 (.58)	<b>.046*</b>
<b>Projects</b>	2.29 (.71)	2.34 (.70)	.675	2.22 (.97)	2.20 (.54)	<b>.018*</b>
<b>Ego Strength</b>	2.28 (.87)	2.33 (.80)	.669	2.07 (.85)	2.18 (.68)	.656

## Conclusions and discussion

According with these results, Mejia et al. (2011) propose emotional teacher training, integrated into the mandatory content of the curriculum, with the main responsibility to support future teachers in the development of their personal autonomy. The skills involved with emotional intelligence are focused on the ability of the person to become aware of himself as well as in the management and recognition of their own emotions and motivations and those of others (Goleman, 1995). Salami (2010) affirms the importance of designing programs to promote psychological well-being in university students as a means of improving the quality of teaching and the development of programs to improve their affective-motivational resources for a better self-acceptance and personal fulfillment.

Regard to the gender, Sanchez et al. (2008) show that women score better on issues related to the relationship with the other. So, further works is needed in emotional skills with men, and to reflect on the need to encourage the creation of new education programs for equality at all levels, along the lines set by Díaz-Aguado (2009). These results confirm the need for more female qualities to positions of responsibility, thus affecting positively the development of social work organizations (Ramos-López, 2005).

According to De León et al. (2008), university students who reported higher levels of personal growth, has more capacity for a correct career choice. A greater capacity for professional choice is consistent with the

purposes of the degree chosen, related to a good academic performance and a more favorable attitude (García-Garduño, 2010). Nelis et al. (2009) found that young adults who participated in an intensive emotional training had improved their levels of emotional intelligence, maintaining this improvement six months later. In this sense, the implementation of programs that work emotions in schools, for example, mindfulness techniques in the educational community, show very positive results in personal development and academic of their participants (López-Hernández, 2015).

In recent decades “Mindfulness” training has been introduced in numerous health improvement programs and various psychological treatments (Miró, 2007). Franco et al. (2011) have shown that these programs are valid and appropriate to promote personal growth and self-realization of those who perform it. Kuyken et al. (2013) showed the acceptability and effectiveness of program Mindfulness, reporting improving of mental health and well-being factors such as coping tasks without fear and with enjoyment, self-esteem and empathy. It would therefore be advisable to implement programs like Mindfulness in the curriculum of the Faculty of Education, since the school landscape and current professional requires the involvement of different educational agents, beyond the mere transmission of academic content; teachers should be aware that their participation has to contribute to the overall development of students and their future professional performance (Álvarez et al., 2011).

However, its implementation is not without its limitations, mainly the sample size (it is small), and the fact of not administer the test before to carry out the program, since maybe teachers with more favorable levels of self-realization and personal growth, have chosen to learn this mindfulness program. In this sense, we need to expand the samples, in more places and to conduct a longitudinal study, with a pretest and long-term monitoring. In this direction, it is expected to educational institutions integrate mindfulness in academic training, for beneficial results in emotional well-being of those who practice (Burnett, 2011).

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## **Disorders in *Edmond*'s Orders: David Mamet Stages Jacques Lacan**

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### **Abstract**

Lacanian theory of orders is a rather significant insight into the relationship between literature and psychology. The construction of the human life by the three orders will lead to a sense of admiration in literary readers' minds. The psychological problems are the most challenging issues instigating a researcher to attempt his/her hand at this study. Lacan argues that the three interconnected orders make the life of the man, and any problem in their process can bring chaos to the individual. To investigate the diverse aspects of the orders, in this article David Mamet's *Edmond* (1982) will be analyzed in the light of the Lacanian perspective. The researchers try to apply the terms that fall under the rubric of the orders, such as the mirror stage, the Other, the phallus, *objet petit a*, and *jouissance*, among others, to the play. To develop the argument, through a meticulous reading they notice the dialogs and symbols of the script as well as the behavior and actions the title character. The findings confirm that the main character does not have a healthy psyche and undergoes many problems in his life. The researchers also conclude that although Edmond tries to stand against the Other, his apparently directed actions to this aim fail to help him out of the Other's control.

**Keywords:** Lacanian orders, the Other, *Edmond*, David Mamet

### **1. Introduction**

What makes Lacan's views unique among many psychoanalytical schools is his philosophical approach to theory. For him, psychoanalysis is not just for treating and consulting rooms, but a way to confront individuals with their existence. It does not merely help the human to come to terms with his repressed truth, but also to expound different dimensions of the truth. Lacan's aim, in general, is not the patient's successful personal or social life, but to bring him to see his deadlocks of desire.

On the other side of the study is David Mamet (1947- ), a prolific and celebrated postmodern American writer whose plays are so attractive for their challenging ideas, language, and dialogs. Mamet won "two Village Voice Off-Broadway awards [Obie Awards]" for *Edmond*, and it became the best new American play in 1982-83 (Sauer 126). He, with his finger on the pulse of contemporary culture, deals with different familiar subjects, but putting the themes in a novel way shows his distinguished talent. His style for fulfilling this task is his remarkable use of language. Along with the ordinary plot, Mamet uses "fractured syntax" and "scatological language" for his characters by which he represents the decline of American culture,

what has come to be known as “Mametspeak”. He thinks, further, that what people say influences their thoughts (Bigsby, “David Mamet” 1-2; Braun 117); in fact, there is reciprocity between language and thought in Mametian writing. It could be said that focusing on the character’s mentality can provide us with a more deep understanding of the reasons of his actions which may seem nonrealistic or even meaningless on the surface.

While reading the selected play, *Edmond*, the researchers noticed that the main character has kinds of psychic problems of which he is unaware, something that could be discovered, but not recovered, mostly from his verbal exchanges. Although, the method is not limited just to the words, but his behavior and actions are taken into account as well to find out the disorders that emanate from the problematic construction of his three orders. Through Lacan’s lens, this study is going to know how each order influences the title character. Within the layers of the argument, the different concepts relevant to each order are investigated, so for a better comprehension they will be discussed below. Hence, under the symbolic order, the concepts of castration, the Other and the unconscious will be examined. The orders are presented and probed here in the same sequence the French psychologist defined and classified, sometimes they overlap notwithstanding. The textual evidence from the play were also found in compliance with the orders; that is, the protagonist commences his course like a child from the imaginary to the symbolic, which is interrupted so often by the real. Clearly, the discussion on the symbolic will be longer as in real life it is so. The consequences of these three interconnected orders in Edmond’s life, finally, will be summed up in the conclusion.

## 2. Literature Review

Some Mamet scholars study on the life and works of this prolific writer. In this part, the researcher firstly introduces Leslie Kane’s work on this contemporary playwright. Kane with the collaboration of Christopher C. Hudgins has edited *Gender and Genre* (2001) that is a collection of essays on Mamet. They have presented the articles that deal with the role of femininity and masculinity in the various plays of him. This book tries to shed light on his complex stories of his women and men who are presented in different genres. All these essays can be useful for the proposed study, but two of them specifically deal with the selected play. Two articles are about *Edmond* that named “Prophecy and Parody in *Edmond*” and “Demotic Male Desire and Female Subjectivity in Mamet: The Split Space of the Women of *Edmond*”. The first one considers the social outcome of capitalistic desires and so the destiny of the characters in such materialistic world. He thought that in this play, the American dream has destroyed the character. Therefore, the sickness of the society is the reason of declination in this play. In the second essay, the role of women and men in *Edmond* is the matter of concern. The writer also explains that Mamet writes more about men than women and if he brings women on the stage, tries to humiliate them.

Another critic who considers the works of this playwright is David Kennedy Sauer. He has written a book with association of Janice A. Sauer, which is *David Mamet: A Research and Production Sourcebook* (2003). This book introduces some of Mamet’s plays by mentioning their summaries, reviews, scholarly criticism, and selected interviews about them. Kane, Bigsby and Sauer have also other works on this playwright, but because they are not related to the selected plays, the researcher does not mention them.

Moreover, another critic who studies on Mamet's life and works is Christopher Bigsby. Although he researches on modern American drama generally, here his works about this prolific writer are significant. One of his publications is *Modern American Drama* (2004) that deals with various modern playwrights. One chapter which is important for this research is "David Mamet: All True Stories" that presents a brief study on some of Mamet's plays and his characters, as well as sociological aspects of *Edmond*.

"Lacanian Study of Henrik Ibsen's *The Master Builder* and David Mamet's *Oleanna*" (2013) is the title of a thesis by Vahab Bayani, who speaks about Lacan's three orders, especially the effects of entering the real order. He also tries to find the reasons for suicide of the architect in Ibsen's play and the behavior of the teacher in *Oleanna*. According to the researcher's study, the theses which have worked on Mamet's plays are mostly on *Oleanna* and *Glen Gary Glen Ross*, it means the works whose English texts exist in Iran. In addition, most of them view these works from the viewpoint of Foucault except the mentioned thesis.

### 3. Definition of Key Terms

**Imaginary Order:** This "pre-Oedipal phase" is when an infant cannot distinguish himself from the body of his mother and cannot differentiate between himself and the surrounding objects. Not knowing himself as a whole or "self", the infant feels unity with his world and supposes he can possess the mother and the objects. This phase is full of images that cannot be categorized by signs and language (M. Habib 589). Lacan argues that, at the end of the imaginary order, an infant of almost eighteen months age sees his image in a mirror and recognizes himself as an independent self, differentiating between himself and his mother. As soon as we pass the imaginary, we have a passion or desire for the mother, thinking that our mother can fulfill all of our wishes, to gain the unity we had before the mirror stage (Bressler 153, 350).

**Lack:** Use of language designates lack since if we do not need something, we do not apply language. The symbolic order is "the world of lack" because in this order we understand that we are not unified with the world around (Tyson 29). Lack also inflicts a child entering the symbolic order, when he thinks the father has something he lacks, that is, phallus. This phallus is not just a penis, but "the penis plus the recognition of absence or lack" (Homer 55-6).

**Objet Petit a:** There are important things, such as the voice and breast of the mother or the sound of toys, that the infant in the mirror stage recognizes as separated. These "key objects", therefore, work as symbols of "primordial lack". After entering the symbolic order, this lack continues and the child tries to gain his or her "subjective wholeness" via a desire for these lost objects (Booker 36).

**Real Order:** This phase is beyond the "meaning-making systems" and our known ideologies. These moments are so brief, of which we cannot certainly speak. Another thing related to this order is the trauma of the real. We do not know what exactly the real is, so we feel anxious about it. It frightens us because we recognize that the ideologies and meanings are creations of the society to hide the reality. One cannot control this process as it is beyond his ability (Tyson 32).

**Symbolic Order:** It is the second order that influences "our psychic development". In this phase, we learn language, distinguish genders, and conceive the norms of our culture. We also understand that this phase is the realm of the father, so we see the world through "a male view" (Bressler 364). There are two important

terms pertinent to this order: “other” and “Other”. The former means someone separate from me, possibly the mother in transition to the symbolic order. The latter refers to those things shaping our “subjectivity” or “selfhood”, for example “ideology” or “any authority figure” (Tyson 28-31).

## 4. The Argument

### 4.1. The Imaginary Order

At the beginning of the play, Edmond goes to a fortuneteller and hears things that change his life totally. Seeing his palm, the Fortuneteller says, “You are not where you belong”, that is, you are special. She continues that you are not sure about your place and wonder in life (221), causing Edmond to doubt his personality and to seek for a specific characteristic in his individuality. In the mirror stage, it occurs to a child that he is independent and separate from the mother, but this is illusive because he still wants someone to help and resolve his needs (Homer 31). Such an illusion makes Edmond believe the Fortuneteller’s words and think that he has special traits as a whole subject, so he tries to change his place in life. Edmond is, however, entangled in the bigger system, the Name of the Father, where he is under the control of the Other or the Father, who constructs one’s world. Therefore, there is a conflict between the fragmented self and the imaginary wholeness.

The protagonist, here, as a masculine character confuses having the penis, the biological organ, with the phallus, the psychological object of desire and power, something fanning the fire of his independence and leading him to bully the feminine characters. In his relationships with women, he attempts to do what he desires, although barred by them. In most of these associations, he cannot achieve his aim, but in case of Glenna, he dominates and kills her. After killing, nonetheless, he comprehends that he does not like to live in such a situation, finding that even sex and transgression, the means of desire and power, do not bring him peace.

Another illusion occurs when he starts his journey, leaving his house and wife for finding himself and changing his life, as if knowing what he wants and where he must go. He directly goes to the women to have new experiences, but in continuation when he beats the Pimp and murders Glenna, he doubts his way; as a matter of fact, he goes to a church to confess and return to his primary condition. He thinks that he knows the world, feels united with it, and considers everything obvious. It is understood that when he meets the different prostitutes, he does not comprehend the rules they have, kind of action like a child that due to the sense of unity with his mother thinks he has everything, and the mother is his only need. Edmond also assumes that in this world he has one “lack” and does not need other things, yet upon gaining the thing, he looks for something else; he demands sex and tests various ways to experience it, but when he makes love with Glenna, it does not satisfy him. The researchers will explain the results of such illusions more in details in the next parts.

Mention should be made that the reason for being with women is not just sexual relationship, but also seizing power. He likes to dominate them, for example in his relationship with Glenna, in order to show his authority and masculinity. This functions as an *objet petit a* by which he tries to fill his lack, that is where lack and desire cross each other (Homer 72). However, eliminating the primal lack, the unity with the mother, is untenable, and once one attains it, he gets out on another quest. Edmond, therefore, kills Glenna since she does not obey him to stay and accept his ideas.

## 4.2. The Symbolic Order

A child by language learning enters the symbolic order and notices the presence of the Other. In this play, before the scene twelve, the pawnshop to get the knife, nobody has a name and is just called by his job, for example, the prostitute (the B. Girl) or the Pimp. In addition, the reader does not see Edmond speak so much; he mostly hears the others' words and answers with short sentences, but by gaining this object, he uses the language much more. He reveals his opinions to different persons such as the black woman in the subway, Glenna, and so forth. In the seventeenth scene, the police officer takes the survival knife, and again the reader enters a world devoid of names. In other words, names as symbols of signification and the knife as a symbol of masculinity are connected to each other; their common denominator is the second order. For example, the Prisoner tells Edmond that everything even animals are "supreme [. . .] on their native world [. . .] We say only they're *dogs*, or *animals*, and *scorn* them" (296), conveying that the human in calling things through language takes their values.

### 4.2.1. Phallic Castration

One of the important dialogs is in the third scene, when Edmond speaks with a man in the bar:

MAN. I know. Like your balls were cut off.

EDMOND. Yes. A long, long time ago.

MAN. Mm-hm.

EDMOND. And I don't feel like a man. (228)

Feeling castrated long time ago, in Lacanian studies, is symbolic and implies saying no to the desires, the first of which is unity with the mother and then making love with her, but the father plays the role of a stubborn opponent for the child. A child who passes Oedipus complex normally fears castration and does not approach the mother. What is seen here is a castrated Edmond who fears and feels the Other as a monster against whom he must fight. Due to the castration, he is not a masculine character in his own mind, so, as was seen, he desired women, but either he could not reach them or, when beginning a sexual relationship, he was not satisfied. When he buys the knife, the symbol of the phallus, he gains power, yet even this situation brings temporary happiness. In the end, when he accepts the Prisoner as a partner, actually Edmond answers to the inner feminine features of his personality; he is still indeed the phallus for his cellmate. One of the significant points in relation with the phallus and the lack is the subject of sexual difference, the dissimilarity of having the phallus and being the phallus. In Lacan's view, for satisfying the lack these two ways are practical: The masculine person claims to have the phallus for attracting the other sex, yet the feminine pretends to be the phallus. The phallus means penis plus the sense of lack and also the object of desire.

In this play, the protagonist shows his authority mostly toward women because he wants to pretend to have the phallus. For example, he leaves his wife, he kills Glenna, and molests the black woman in the subway. When he loses his power and his mask falls, he comes into the position of being the phallus for the prisoner, that is, he becomes the object of desire for him. As Price notes, Edmond is "performing a masquerade, a mask of masculinity" (57). Men think that because of their penis, they have power to possess women and try to

control them; one way is through sexual relationship. If they cannot dominate feminine persons, they start to fight. For example, when Edmond sees that Glenna does not want to accept his advice, he becomes angry and kills her; or in the subway, he swore and terrified the black woman by the knife. As a result, Edmond plays these two roles in different situations, in the beginning of the play he pretends to have the object of desire, but at the end, he is the phallus for the Prisoner.

In the thirteenth scene, Edmond starts talking with a black woman in the subway. He begins, "My mother had a hat like that" (255), reminiscing his past and mother. Although he tries to explain that he has no evil aim and just wishes to converse, the woman disregards and ignores him. This encounter functions as the phase when the infant is confronted with the refusal of the mother; in response, he purports to have the phallus, pretending to have the object of desire for the mother, which is barred by the father (Homer 99). The woman's rejection, the sexual words Edmond utters for cursing, and threatening her by the survival knife all allude to this issue. Edmond emphasizes that he just wants to interact, rather than have sex with her. As just said, the child attempts to attract the mother through feigning the phallus, but in fear of the castration, so the danger to his survival, he forgets making love with the mother. The survival knife, accompanied by the sense of maturity and power, conveys that no one can castrate him anymore, so he can have the woman, and she cannot ignore him. In the last paragraph of this scene, however, a kind of disappointment fills him: "Is everybody in this town *insane*? ... Fuck you ... fuck you ... fuck you ... fuck the *lot* of you ... fuck you *all* ... I don't *need* you ... I worked all of my life!" (256). After so much effort to prove his masculinity, now he understands that everything is out of his control, and he is no special exception.

Among the other events or characters, functioning as the Father, that prevent him to break a taboo, one can go to the fourth scene, where Edmond intends to be with a B-Girl, who insists that he buy tea for she must share her profits with the manager of the bar. Edmond refuses and is bounced out. In the next scene, he asks the woman in a booth behind a glass in a peep show, "How can we get this barrier to come down?" She replies that it is the rule of here and "it cannot come down" (233). The last example is found in the eighth scene that Edmond does not have enough cash for the whorehouse. Everywhere he goes for sex, he sees the conventions of a bigger system, barriers like the Father that does not allow the child to have incest, so the child waits for the future; unable to do anything, Edmond fears to break the rules. Eventually, he becomes successful, nonetheless, when he gets the knife. In the occasion that the police officer takes the knife, he symbolically castrates and transsexualizes him to, as if, a feminine person or a passive gay in the prison. He, indeed, shifts his role from having the phallus to being the phallus.

#### 4.2.2. The Other

In the first scene, the Fortuneteller tells Edmond, "I could not have done otherwise ... my *diet* caused me. Or my stars ... which caused me to eat what I ate ... or my *genes*, or some other things beyond my control forced me to act as I did" (220). She believes a force controls us in life, and people give different names to it. She asks him, "To what extent you are cause and to what an effect?" (221). To respond this question, one through Lacan's lens can already know that the social causality or the Name of the Father is more than the influences the man has on this order; that is, the Other makes the world, and the human cannot construct even his own life.

Lacan's view that even the individual's desire is the desire of other (*The Seminar* 39) highlights this vision; Vincent Leitch avers this view of Lacan and says before an individual speaks, "we are already being spoken" (1282). The Fortuneteller says, "When we look back-as we look back-we see that we could never have done otherwise than as we did . . . we all like to believe we are special" (220-21), which shows that a person wishes to control his life and construct it unique, yet noticing that it is the other force that drives him, he becomes anxious. The same misunderstanding applies to Edmond; when he sees he has no power in life, he resorts to violence. Even the job of the woman, fortune-telling, depicts a world already constructed, hence predictable.

Before going to the prison, Edmond wants to play the role of the Other; that is to say, he likes to gain power, control his own life, have the object of desire, and influence the "others", but as he is jailed, he notices he is himself an object of desire. Dictating his rules and wielding power over Edmond, the Prisoner as a tall, square-shouldered black is the symbol of the Other. The reader understands that Edmond accepts his situation when the script reads: "Edmond *gets up, goes over and exchanges a goodnight kiss with the Prisoner*" (298, sic). This admission reveals that he eventually submits to the second order, the symbolic, and the Other's domination.

Another instance that demonstrates the characters' feeling of a force controlling them, for which they do not have a correct name, comes in the third scene in the bar, where Edmond and the Man have a conversation. They speak about niggers who take it easy because they are not bred for social life, but white people are. The Man's words indicate that black folks are wild and can do anything, but whites suffer due to have a restraining culture:

MAN. The niggers. (*pause.*) Sometimes I wish I was a nigger.

EDMOND. Sometimes I do, too.

MAN. I'd rob a store. I don' blame them. I swear to God. Because I want to tell you: we're *bred* to do the things that we do. (226)

Aside from racist or postcolonial interpretations, here, the blacks are a metaphor for the imaginary order of a person, where there is no rule and regulation; that is why the two want to be in their lieu. The Man also mentions, in the same place, that niggers do not accept responsibility; it is exactly like a child before language learning. An infant has no task to do, but by obtaining the first system of symbols, he learns the world's necessities.

Another instance is the fifteenth scene in the coffeehouse where Edmond says to Glenna: "You and I. White people. All of us. All of us. We're doomed. The white race is doomed" (262). The emphasis on white people again reveals that they are doomed to follow the Other, and they are tangled in the symbolic, but the black are free to pursue their wishes. It is this misunderstanding of the world that gives birth to his misfortune, though he continues that accepting the laws are easier than questioning about them; when we live with them, however, we are dead. At the end of this psychological odyssey, he confesses, "there is a destiny that shapes our ends" (293).

Expressing her interest in acting on stage, Glenna also makes a distinction between the dramatic world in which one has mastery over his role, destiny or the signified of the signifiers, and the real system that does not allow for such an opportunity:

GLENNA. That's why I love the theater . . . (*Pause.*) *Because what you must ask respect for is yourself*

...

EDMOND. What do you mean?

GLENNA. When you're on stage.

EDMOND. Yes.

GLENNA. For *your* feelings.

EDMOND. Absolutely. Absolutely, yes. (267)

In the seventeenth scene, *The Mission*, Edmond hears a preacher's speech in a church to which he is attracted. The priest is talking about saving the sinners. Edmond thought that by power symbols, phallus and knife, he could assert himself in taking the hold of his life. As they did not work, however, he searches for other routes. On hearing the speech, he seeks shelter under the accepted rules in the society, religion as one, to gain peace. In this way, he once more admits the defined symbols of the second order and leaves transgression.

Immediately then, Edmond confesses to the police officer, "I've been unwell. I'll confess to you that I've been confused, but . . . I've learned my lesson" . . . "I went out on the town. I've learned my lesson. Believe me. I just want to go home" (281). His repetition of the ending sentence in different conditions once more underlines his new epiphany. It demonstrates that he took what the symbolic order instructed him bitterly since this quest brought turbulence in his life. He, consequently, intends to return home, the place before his problematic curiosity. In the prison also he says, "But we cannot flee. We're fearful. All the time. Because we can't trust what we know. That ringing. (*Pause.*) I think we feel. Something tells us, 'Get *out* of here.' (*Pause.*) White people feel that" (285). It can be inferred that the thing saying "Get *out*" is the desire for knowing the symbolic and reaching the wholeness of the imaginary, which is impossible. Mention should be made that Edmond's process is not linear but pendulum-like, oscillating between consciousness to the other and the idiotic, iterative returns. As a matter of fact, entering the prison, at the end of the play, he cannot accept the black man's authority, but being subject to his sodomy, he accepts his destiny and, therefore, goes to his arms, what is interpreted by Brucher as the starting of a "genuine rapport" (71).

The concept of subjectivity is, moreover, pertinent to the Other. Lacan maintains that an individual for constituting himself as a subject must ask. Questioning brings suffering to a person because many whys are created in his mind. Speaking with Glenna in the coffeehouse, Edmond paraphrases this idea: "It's more comfortable to *accept* a law than question it and live your life. All of us. *All* of us. We've bred the life out of ourselves. And we live in a fog. We live in a dream. Our life is a *schoolhouse*, and we're dead" (263). He believes that the human being is brought up with the conventions of the symbolic order, and if he asks about them or tries to know who conduct(s) this order, he becomes anxious. Edmond starts a journey to find himself, and just in brief moments he sees himself as a subject: After he is beaten up and robbed in the sixth scene, he tries to get power as so to prove himself. He leaves questioning but commences constructing his own rules; so to speak, he attempts to play the role of the Other in life; at the end, he understands that his search is futile notwithstanding. Therefore, he gives up all of his probes to attain peace, implying submission to the imperatives of the symbolic and being taught in the Other's schoolhouse, although one in which he cannot ask any question.

#### 4.2.3. The Unconscious and Two-Sided Desires

In psychoanalysis, the unconscious has mysterious features. Due to its unknowable contents, it is presented as a dark, weird, and enigmatic place (Bressler 145). Therefore, the researchers take Edmond's travel to the underground, the dark side of the society, as his unconscious; he only seeks illegal and sexual desires, which are usually assumed as repressed taboos. In addition, he is not calm and does not know what he really looks for. From the beginning of his journey, he mostly lives in the unconscious until the time of his arrest that again enters the conscious, where he sees the reality of his life.

As a matter of fact, the many obstacles he sees for satisfying himself are the resistance of the unconscious for uncovering itself. For example, one of the prostitutes demands more money, and another is behind the glass, so he can have just an imaginary sex with her. The last dialog of the woman in the peep show is that "You're only cheating yourself" (235), indicating that his attempt to accomplish the goals is futile and foreshadowing his defeat. When he finds a way to the unconscious, his relationship with Glenna, the fulfillment is again momentary and insufficient. Mamet's observation is very telling here: "it is about a man resigning. In every scene he casts off more and more of the veil of the world" (qtd. in Bigsby, *Modern* 228).

After the difference between the conscious and the unconscious, the contrast of the ego ideal and ideal ego comes to the fore since the latter is close to the unconscious desires, and the former searches for acceptance in the society. The ego ideal is pleased when the individual tries to obey it, but Edmond completely rejects it; in fact, for satisfying his ideal ego he displeases the ego ideal and denies its rules. What the protagonist gets from the society and the people as reactions is not enough for making a good ego ideal. The surrounding people ignore him, for instance, when he is thrashed, and the man in the hotel extends no sympathy to him and does not care about his situation. Facing many hurdles in the city and understanding that without money he is nothing, he buys a survival knife by which he actually cuts his relationship with the ego ideal and begins satisfying his ideal ego. He, then, commits illegal activities such as beating the Pimp, persecuting the woman in the subway, and finally killing Glenna. There is no loved person in Edmond's life who can give him a respectful sense or ego ideal; accordingly, he has no support for the ego. The image that the main character has about himself is that he is masculine, so he has power and can dominate females. He tries to fix this image for himself, yet what the society's ego ideal gives him is the reversed: he is not powerful at all to change his destiny, he must comply with the regulations, and his masculinity is questioned.

#### 3.3. The Real Order

In Lacan's perspective, people are living in the symbolic, but there are brief moments of the real that they cannot elaborate through language. So to speak, the man usually lives somewhere between the symbolic and the real or between the signifier and the signified. Lacan also maintains that when an individual efforts to speak about his pain, something remains that cannot be signified or explained through language, and this "excess" is the real (Homer 84). Like when Edmond seeks to make out what he desires, but he cannot comprehend.

Individuals live in a society and *fantasize* they have made their own life, but in some moments, they find that it is the other authority which directs them. As such, the person approaches the real because he sees

beyond the constructed standards, despite the fact that he becomes freaked out. As soon as one grasps that there is no self-control, a sense of puzzlement overtakes him, the same as what happened to Edmond, especially by the Fortuneteller's revelations about the other force. This confusion, called the trauma of the real, denotes that this understanding scares the person, causing the protagonist not to continue his search; that is why he accomplishes peace. His statement in the last scene after taking his lesson is very telling: "I don't think we *can* know. I think that if we *knew* it, we'd be dead" (294). He declares subtly that if a person gets familiar with the mechanism of the real order, he tries to elucidate it with language; approaching it, then, he suffers and gets the trauma of the real.

The subject tries to comprehend what the real is, yet it is not accessible but in some brief moments. Edmond confesses to these short, transient periods, saying "You know how much of our life we're alive, you and me? *Nothing*. Two minutes out of the year. You know, you know, we're *sheltered*" (262). One is sheltered, indeed, under the conventions that conceal the real because if it is disclosed, it leaves many scars. In Lacan's view, "fantasy" and "jouissance" are the ways that lead the person to the real for those brief moments; the two notions are exemplified in the following. Lacan believes that fantasy is an imagined thought in which the person is a hero, something between reality and imagination. In the time Edmond narrates the event about the Pimp for Glenna, he claims things that did not happen; he actually exaggerates and makes a fantasy for himself: "Up your *ass*, you *coon* . . . you want to fight, I'll fight you, I'll cut out your fuckin' *heart*, eh, I don't give a fuck" (264). He shows himself braver than what he really is, blending the reality with his wishes to make a new person and to prove his state.

In the twentieth scene, an instance of *jouissance* occurs, the experience when an individual fears or agonizes about something, but simultaneously he wishes for it. Edmond says, "when we fear things I think that we *wish* for them. (*Pause.*) *Death*. Or 'burglars.' (*Pause.*) Don't you think? We mean we *wish* they would come. Every fear hides a wish. Don't you think?" (284). He is afraid of living in a world that is like a jail, where everything is under the control of the Other. However, at long last, he accepts the musts of a person stronger than himself in the prison. Embraced in the Prisoner's arms, he looks lucky there, but at the same time he suffers being subjugated.

In Lacan, another characteristic of *jouissance* is transgression, that is, the individual tries to enjoy more than the limits and ignores the pleasure principle that permits little joy. As seen above about Edmond, he frequently attempts to transgress some restrictions, but imprisonment is a kind of castration for his *jouissance* as Lacan in *Écrits* avers, "Castration means that *jouissance* has to be refused in order to be attained on the inverse scale of the Law of desire" (700). Sexual relationship as another sort of *jouissance* is a status between pleasure and pain. Edmond wishes to take the pleasure, but he is racked with the pain of the truth the women give him. For instance, what in the peep show he undergoes is nothing but the mental pain resulted from the understanding that he cannot even touch her, let alone consummate the relationship.

Edmond's sickness is not just sexual, but also "moral, ontological, existential". He loses his freedom to achieve peace in the prison; thinking that the universe is a prison for him, so escaping from it, he in the end has to go to a real prison. Edmond's discovery of the vanity of his endeavors and his incapability obvious in "his unconditional surrender" lead him from a larger external prison to a smaller "physical"—in two senses—

confinement (Piette 83-5). Philip French also notes that the protagonist “achieves both damnation and salvation” (185). Going to the prison, he destroyed his life and made his quest useless; he could not change his destiny, but he gained tranquility because now he knew matters better: he sees his fears and takes pleasure from them, the epiphany that shapes his jouissance, the conception that helped him become close to the reality, though not the real, and comprehend that he is nothing without the symbolic order.

## 5. Conclusion

According to the discussion, in this play the role of the society, sexuality, and gender is so important. Seeking to reveal that the social results of the American dream are useless, Mamet shows how the society is sick and in what way the title character tries to find his world. He rubs racism, misogyny, and homophobia in his audience’s face to highlight the reality of the American dream. Edmond’s symbolic order constructed by these characteristics is not surprisingly subject to malady since his environment affecting him is already sick. Consequently, although with firm resolution he commences an odyssey, he fails because in this process the individual must give up his wholeness for living in the symbolic. He has to quit the search in order to obtain the peace. He attempts to approach the real, but he learns that even its approximation brings wounds. Therefore, arriving at nowhere, he discovers that questing his world and changing it require sacrificing many things, such as a normal life. Comparing the three orders in this play, the researchers come to this fact that the traces of the imaginary are not seen so much as if the character is thrown to the second order and to be drowned in there.

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**UTILIZATION AND CHALLENGES OF INFORMATION  
COMMUNICATION TECHNOLOGY AND ADMINISTRATIVE JOB  
PERFORMANCE IN ENUGU STATE SECONDARY SCHOOLS  
BEING A PAPER PRESENTED  
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**Abstract**

The paper examined the utilization and challenges of information communication technology and administrative job performance in Enugu State Secondary Schools of Nigeria. Three Research questions and two hypothesis guided the study. The Survey research design was used. The sample of the study was two hundred and seventeen principals and thirty three administrative personnel in Enugu State Secondary Schools. A Forty item questionnaire titled Utilization and challenges of information communication technology for administrative job performance in Enugu State (UCICTA JP) was used for data collection. The result from the findings revealed that there is a significant relationship between utilization of internet and personal job performance. The study also discovered that there are many challenges confronting the utilization of ICT among which are lack of funds, inadequate instructional and storage facilities, lack of internet facilities and power supply. It was recommended among other things that government as a matter of urgency should allocate more funds for purchase of ICT facilities. Training, seminars and workshops should be organized to make teachers and other staff computer literate.

**INTRODUCTION**

The Education system in Nigeria runs from primary, secondary to tertiary levels. The focus of this study is on secondary education. Secondary education as defined by the federal government of Nigeria (FGN 2004) is education children receive after primary education and before tertiary stage. It is an education that runs for a period of (6) six years given in two stages of upper basic and senior secondary each being of three years duration. Every secondary school is led by an administrator who is also called the Principal. Principalship therefore involves the control of human and material resources of the school. The principal is the administrative

head and leader of instruction in the school organization. Ogunu (2000) maintained that the principal performs the following roles – providing overall leadership, co-ordination, supervision, control, organization, welfare services, motivation and evaluation. All these activities of the principal would encourage the improvement of educational program.

The administrative job performance of principals are becoming much more demanding and complex. These complexities are arising from numerous activities ranging from staff and student personnel administration in terms of enrolment, population mobility and social problems. Others are academic procedures, conflict resolution communication within and outside the school and other administrative functions (Anyanwu 2015).

For effective performance of administrative job the computer system and its allied accessories and technologies have come into play (Ikedigwu and Ezugbor 2016). To strengthen this the federal government of Nigeria (2004) stated that “in recognition of the prominent role of information and communication technology in advancing knowledge and skills necessary for effective functioning in modern world, there is urgent need to integrate information and communication technology into education in Nigeria.

The federal government of Nigeria launched the National policy on computer literacy at primary, secondary and tertiary level in 1988. The general aim of the launching was for the computer to transform the school system and increase merger between the computer technology and communication in the education system. ICT, as a product of scientific innovation and invention facilitates and enables the assessing and management of information using a computer system over a network connections for the purposes of communication. The components of ICT include the network provision computer hard and softwares, electronic media, storage devices (Agina 2006).

It has been observed that these ICT facilities are not effectively utilized for job performance as it appear that some vital areas of application is still not being used for the improvement of performance.

Job performance is a work related activities expected of an employee to carry out and how well those activities are executed. Many administrations assess the job performance of each employee on annual or quantity basis in order to help them identify suggested area for improvement. Job performance of administrative personnel include preparation of minutes, record keeping, students registration, correspondences etc.

How has ICT been utilized to perform the above functions in Enugu State is the problem of this study. There are indications that there poor administrative personnel job performance as seen in poor preparation of minutes that make reading and comprehension of minutes cumbersome. Records are kept on paper files which make information difficult to retrieve and this lengthens bureaucracy. There is delay in sending correspondences due to some limitations of human factor which can be corrected through the use of ICT. The overall effect of poor job performance is being reflected on the entire school performance.

Given this background, the problem of this study therefore is to examine how the utilization of ICT may relate with administrative job performance in Enugu state secondary schools. What are the challenges confronting the use of ICT in Enugu State Secondary Schools

Purpose of the study

The purpose of the study are-

1. To examine whether utilization of computer has some relationship with administrative job personnel job performance in terms of students registration, records keeping preparation of minutes and correspondence.
2. To find out whether utilization of internet has any relationship within administrative job performance in terms of students registration, record keeping preparation of minutes and correspondence

Research Questions:

The following Research Questions guided the study: -

1. How does utilization of computer relate with administrative job performance in terms of preparation of minutes, record keeping, correspondence and students registration.
2. What relationship exist between utilization of internet and administrative personnel job performance in terms of preparation of minutes, record keeping, correspondences and students registration.
3. What are the challenges confronting the use of ICT in Enugu State secondary schools.

Research Hypothesis

Two hypothesis guided the study:-

1. There is no significant relationship between the utilization of computer and administrative personnel job performance in terms of preparation of minutes, record keeping, correspondences and student registration.
2. There is no significant relationship between the utilization of internet and administrative personnel performance in terms of preparation of minutes record keeping, correspondences and students registration.

Method

Research Design

The research design adopted for the study was co-relational survey design.

Area of the study:

The study was carried out in Enugu State: The state shares boundaries with Abia State and Imo State to the South, Anambra State to the West, Benue State to the North east, Kogi State to the South West and Ebonyi State to the east.

Population of the study

The population of the study consisted 258 principals in 258 public secondary schools on Enugu State and 93 Administrative staff personnel.

Sample and Sampling Technique

Simple random sampling was adopted to select schools who has administrative personnel: They were 93 in number. Therefore the 93 administrative personnel were selected. Administrative personnel in this study are those persons whom the principals choose, to work with in carrying out specific task, like preparation of minutes, record keeping, correspondences, students registration and some other tasks. Some of the schools in Enugu State do not have administrative personnel. Out of 258 principal 217 were sampled.

#### Instrument for data collection

A researcher structured questionnaire titled utilization and challenges of information and communication technology and administrative job performance questionnaire (UIC TAJPO) was used.

The instrument was divided into 3 sections A, B and C. Section A had 12 items that described the utilization of computer and internet. Section B had 18 items that described preparation of minutes. Section C had 10 items that described the challenges confronting the use of ICT in Enugu State Secondary School. The total number contained in the instrument was 40 items.

#### Reliability of the Instrument

The instrument was subjected to reliability testing. The result obtained ranged from 0.644 to 0.825. Which shows that instrument was reliable.

#### Results

##### Research Question One/ Hypothesis one

There is no significant relationship between utilization of computer and administrative personnel job performance in terms of preparation of minutes record keeping, correspondence, and students registration.

Table 1

Pearson's Product Moment Correlation Analysis of relationship between utilization of computer and job performance of administrative personnel.

n = 93

Variables	$\Sigma X$	$\Sigma X^2$	$\Sigma Y$	$\Sigma Y^2$	$\Sigma XY$	r	rx <sub>y</sub>
Utilization of Computer (X)	1,643	29,431					
Preparation of Minutes (Y1)	1,622	28,670	28,921	0.677	8.77*		
Record Keeping (Y2)	1,614	28,334	28,792	0.769	11.48*		
Correspondences(Y3)	1,618	28,562	28,884	0.733	10.27*		
Students' Registration (Y4)	1,596	27,724	28,449	0.688	9.01*		

p < .05; df = 91; critical t = 1.98

rx<sub>y</sub> = transformed r value

The independent variable was utilization of computer while the dependent variable was administrative personal job performance. The statistical analysis was done using pearson product moment correlation.

The results from the table 1 above shows that the calculated correlation values of 0.677, 0.769, 0.733 and 0.688 were further tested for significance level and the calculated t value of 8.77, 11. 48 10.27 and 9.01 were greater than the critical t-value of 1.98 when tested at .05 level of significance with 91 degree of freedom. Thus the null hypothesis was rejected. There is therefore a significant relationship between utilization of computer and administrative personnel job performance.

Research Question two/Hypothesis two

There is no significant relationship between utilization of internet and administrative job performance in terms of preparation of minutes, record keeping, correspondence and students registration.

TABLE II: Pearson's Product Moment Correlation analysis of relationship between utilization of internet and job performance of administrative personnel

Variables	$\Sigma X$		$\Sigma X^2$		$r$	$r_{xy}$
	$\Sigma Y$		$\Sigma Y^2$	$\Sigma XY$		
Utilization of internet (X)	1,609		28,209			
Preparation of Minutes (Y1)	1,622	28,670	28,325	0.698	9.32*	
Record keeping (Y2)	1,614	28,334	28,227	0.759	11.17*	
Correspondence (Y3)	1,618	28,562	28,275	0.720	9.91*	
Students' Registration (Y4)	1,596	27,724	27,857	0.693	9.17*	

$p < 0.05$ ;  $df = 91$ ; critical  $t = 1.98$

$R_{xy}$  = transformed  $r$  values.

The independent variable was utilization of internet while dependent variable was administrative personnel job performance. Pearson Product moment correlation was used to analyze the data obtained from the respondents. The scores obtained from the utilization of internet obtained and administrative personnel were correlated with their job performance.

The results of the analysis are shown in table 2 above. The result of the analysis reveals that the calculated  $r$ -values of 0.698, 0.759, 0.720 and 0.693 were further tested for significance with 91 degree of freedom. The null hypothesis was therefore rejected and alternative hypotheses was retained. There is therefore a significant relationship between utilization of internet and administrative personnel job preference.

Research Question3

What are the challenges confronting the use of ICT in Enugu state Secondary School.

Percentages of principals who responded to challenges confronting the use of ICT in Enugu state.

S/N	Challenges confronting the use of ICT in Enugu State	No of Principal who say yes	%	No of Principal Who say yes	%	No of Principal Who say yes
1	Lack of funds	144	66.4	73	33.6	217
2	Lack of Access Roads	143	65.9	74	34.1	217
3	Lack of computer experts	194	89.4	23	10.6	217
4	No training for teachers	131	10.4	86	39.6	217

5	Lack of storage facilities	196	90.3	21	9.7	217
6	Lack of interest among Principals and teachers	195	89.9	22	10.1	217
7	Poor electricity supply	197	90.8	20	9.2	217
8	Inadequate instructional Facilities	204	94.0	13	6.0	217
9	Lack of internet access	196	90.3	21	9.7	217
10	Insecurity in the system	176	81.1%	41	81.9	217

Table3; From table three above 144 (66.4%) are of the opinion that lack of funds is a challenge while 73 (33.6) principals said that it is not. In item no 2, 143

(6.59%) principals mention that lack of access is a challenge while 74 (34.1%) principals disagree. For lack of computer experts, 194 (89.4) principals agreed while 23. (10.6) principals disagreed. Item 4 131 (60.4%) principals agreed that no training for teachers is a challenge while 86 (39.6%) disagree that it is challenge. For lack of storage facilities and lack of interest among principals and teachers 195 (89.9%) and 197 (90. 8%) respectively agreed while 22 (10.%) and 20 (9.2%) principals disagreed respectively. For item no 7 poor electricity supply 197 (90.8) principals agreed that it is challenge while 20 (9.2%) disagreed that it is a challenge.

for item no 8 204 (94. 0%) principals are of the opinion that inadequate instructional facilities is a challenge while 13 (6.0%) said that it is not. item no 9, lack of internet access, 196 (90.3%) principals agreed that it is a challenge while 21 (9.7%)disagreed. finally item no 10, 176 (81.%)principal of the principals agree that insecurity in the system is a challenge while 41 (81.%) principals disagree that it is not a challenge.

#### Discussion

Utilization of computer and administrative job performance in terms of preparation of minutes, record keeping correspondence and student registration.

The results of hypothesis one revealed that utilization of computer significantly relate to administrative personnel job performance. This suggest that computer usage is very paramount for effective personnel job performance. There can be no meaningful achievement in this era of modernization where analogue has paved way for digitalization of the entire system. This finding is a consonance with the findings of Jacob (2002) who found out that a significant relationship exist between academic staff use of computer and their job performance. This study is also in consonance with Obi (2010) in a study on utilization of ICT in enhancing the quality of guidance and counseling programme in the state secondary schools. He found out that provision of computer and ICT equipment in secondary schools have impacted on the administration and helped in meeting up with current trend in education. Computer provides different innovation opportunities for administrative personnel in enhancing their job performance. All stake holders must therefore embrace it.

Utilization of Internet and administrative personnel job performance In terms of preparation of minutes, record keeping, correspondence, and student registration.

As must be acknowledged, this findings is an indication that there feelings, experiences and attitude of administrative personnel towards the use of internet in the performance of tasks could hinder or promote the over all performance of

public secondary schools and increases productivity depending on how well it is being used. This is so because the significant relationship implies that administrative personnel have experience and positive attitude toward internet.

This finding is in agreement with the findings of Anyira (2011) who studied accessibility and use of internet services in Western Delta University Asaba and found out that a significant relationship exist between internet usage and job performance and that poor performance that existed in some respondent was due to ineffective infrastructure, poor distribution of services which resulted in lack of motivation.

This finding also conform the findings of Chiwepa (2003) who studies the use of internet by teaching staff of the University of Zambia and found a positive relationship between internet and their job performance. The finding also corroborate the findings of Jagboro (2003) who conducted a study on Internet usage in Nigeria Universities and found positive relationship between Internet Usage and task performance.

However to reap a sustenance benefit of using internet for job performance, there is need for change of attitude of administrative personnel and schools authority. They should also ensure that regular training are given to staff on how to use internet.

#### Challenges confronting the use of ICT in Enugu State

Many challenges are confronting the use of ICT in Enugu state secondary schools. These challenges include lack of funds, lack of access roads, lack of computer experts, No training of teachers, lack of storage facilities, lack of interest among the principals and teachers, inadequate instructional facilities, lack of internet access and insecurity in the system.

The importance of ICT can never be overemphasized. ICT has the potential of not only introducing new teaching and learning practices, but also acting as a catalyst to revolutionize the education system. ICT can empower teachers, principals and learners and promote the growth of skills necessary for the 21<sup>st</sup> Century.

The reason for these challenges on utilization of ICT in schools have been enumerated by Mbipon (2000) to include the following:-

Many Nigeria schools are in rural communities where there are no electricity so they can not use computer. Those in urban schools may not be able to buy computers because computers are costly. Many principals and staff in Nigeria schools are computer illiterate.

On the area of training, Alabi (2006) found that some schools are introducing computers into their classroom but are offering no training to their teachers on how to use them effectively; consequently availability of ICT without being translated into desired goals is meaningless.

#### Recommendations

1. ICT training and orientation should be organized for administrative personnel at regular intervals to enable them improve in their ICT utilization.
2. School management board as a matter of urgency should post administrative personnel to all the secondary schools in Enugu State Instead of allowing the Principals alone to be doing all administrative jobs.
3. The school authorities should create an enabling environment like constant power supply so as to promote regular ICT usage.

4. More funds should be provided to school to enable them buy computers and other ICT facilities.
5. School authorities should make proper arrangement for storing these ICT facilities.
6. ICT is an innovation that has come to stay, Educational Administrators and other stakeholders in Education should strive to promote the use of ICT in Nigeria schools. This will promote effective job performance and also increase productivity.
7. Government must ensure that there is adequate security in the system.
8. Government should also endeavour to provide, storage and instructional facilities.
9. Training, seminars and workshops should be organized to train teachers/principals on the use of ICT.
10. Alternative source of Power supply should be provided for those schools in the rural schools.

### Conclusion

The prevalence and rapid development of information and communication technologies (ICT) has transformed human society from the jet age to knowledge age. ICT is becoming a national part of man's daily life All stakeholders in Education, students, teachers, principals, parents, government and general public must imbibe and encourage the use of ICT to enable Nigeria compete favourably globally.

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# A COMPARATIVE ANALYSIS OF CORPORATE GOVERNANCE SYSTEM OF THE SAUDI *TAKAFUL* FIRMS WITH THE INTERNATIONAL INSURANCE ENVIRONMENT: AN EMPIRICAL STUDY

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## ABSTRACT

This paper attempts to explore corporate governance from the *Sharia'h* Islamic perspective. It's also compares between western and Islamic corporate governance models, as well as *takaful* corporate governance. Different types of stakeholders and their roles are covered on this paper. It is also important to highlight the challenges that faces the right implementations of corporate governance such as asymmetry of Information which been covered on this paper. IFSB (Islamic Financial Services Board) and IAIS (International Association of Insurance Supervisors) have also spent a quite good efforts to standardize the *takaful* industry, of which been covered here. Importantly, no studies have been conducted to systematically document the framework efficiency of the *takaful* corporate governance system. This paper attempts to fill the gap. The paper reports results on the perceptions of 420 participants of *takaful* companies in Saudi Arabia. Participants were questioned to confirm the healthy conditions of the corporate governance system of nine major *takaful* firms in Saudi Arabia. Conditions such as proper relationships between company's management, its board, its shareholders, and other stakeholders. Satisfying participants return on investments considered another important factor for healthy corporate governance system. Another corporate governance benchmark includes corporate discipline, transparency, independence, accountability, responsibility, fairness and social responsibility to participants. Accuracy of disclosure on all material matters regarding the insurer, including the financial situation, performance, ownership and governance arrangements are also included in this paper as a benchmark to assure the accuracy of corporate governance system. The research findings indicate that participants have overall weak satisfaction indications about the quality of corporate governance system on these selected nine *takaful* firms. Such results show the existence of a moral and ethical problem that appears on most of the *takaful* firms operated in Saudi. Accordingly, it's highly recommended for the TOs (*takaful* operators) to spend more efforts to launch a framework that could enhance their corporate governance system.

Keywords: Corporate Governance System, *Takaful*, Saudi Arabia, Ethical Problem.

## 1. INTRODUCTION

An early definition of corporate governance was provided by Fuller (1954: 477) in relation to the economics concept as "good order and workable arrangements". The second definition, based on Commons

(1932: 4), “is the means by which order is accomplished in a relation in which potential conflict threatens to undo or upset opportunities to realize mutual gains. These definitions make clear that the concept can be applied to a variety of organizations and institutions, and not limited to economic activities, and can be used in a variety of political and social science.”

The World Bank has defined the concept of governance, broadly, as the political and institutional factors affecting structural adjustment (Frischtak and Atiyas, 1996). OECD has also defined governance from the particular viewpoint of donor institutions as denoting the use of political authority and exercise of control in a society in relation to the management of its resources for social and economic development (OECD, 1995).

The word governance has been traced back to the Greek etymological root of the word *kybernan*, to the Latin *gubernare* and to the Old French *governer*, which means to ‘steer’, ‘guide’ or ‘govern’<sup>7</sup>. Additionally, Arabic officially translates governance as *hawkama* (Chapra and Ahmed, 2002; Sourial, 2004; Lewis, 2005).

Proper governance arrangements are considered as preconditions for the workings of a market economy; however, what is also required is a culture of business. Hence, the system of corporate governance interacts with a number of other factors that shape the business environment and thus influences business outcomes. Corporate governance involves the conditions needed by any organized society engaged in productive activities. Such society needs to establish conditions or rules related to business organization, conditions related to (entry and establishment, form of business enterprise, ownership, financing, operation, exit and closure) (Lewis and Iqbal, 2009).

Tricker (1984) also defined corporate governance as a set of processes by which companies are run. While, Zingales (1995) argues that corporate governance is a system by which directors and managers act in the best interests of outside investors (creditors and shareholders). OECD (2004: 11) defined corporate governance as “a set of relationships between company’s management, its board, its shareholders, and other stakeholders”. Shleifer and Vishny (1997) define corporate governance as a means of satisfying providers of finance to corporations such that they get returns on their investment. Kaplan and Norton (2000) also claim that corporate governance is intended to establish a connection between directors, managers, employees, shareholders, customers, creditors, and suppliers to the corporation.

Accordingly any weakness in the connections between these stakeholders can lead to substantial diversion of assets by managers in many privatized firms, and a non-existence of external capital supply to firms, such as in Russia (Boycko, Shleifer, and Vishny, 1995). A considerable amount of evidence has also documented a prevalence of managerial behaviour that does not serve the interest of investors (Shleifer and Vishny, 1997). Therefore, a good corporate governance system should protect the rights of investors and policyholders by providing answers to how corporate governance deals with the ways in which suppliers of finance to corporations assure themselves of getting a return on their investment. How do the suppliers of finance get

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<sup>7</sup>The Macquarie Encyclopaedia Dictionary, 1990.

managers to return some of the profits to them? How do they make sure that managers do not steal the capital they supply or avoid investing that money in bad projects? How do suppliers of finance control managers? (Shleifer and Vishny, 1997). Alnemer (2013) asserts that corporate governance can be defined as a set of rules and behaviour that determine the manner in which the companies are managed and controlled, strategically managing the relations between the managers, members of the supervisory Authority and the Board of Directors, members / shareholders and other stakeholders.

Corporate governance in all companies, including insurance companies, includes the rules, regulations and institutions that regulate the way in which the governance and control of these companies is performed and implement them in practice. In terms of protecting policyholders in the insurance business, IAIS (2003; 2004) has identified corporate governance as the manner in which the board of directors (BoDs) and senior management oversee the insurers' business. It encompasses the means by which members of the board and senior management are held accountable and responsible for their actions.

It's been noticed that many empirical studies examine the effect of corporate governance on the performance of industrial firms (e.g., Prowse, 1998; Rajan and Zingales, 1998; Vafeas and Theodorou, 1998; Core *et al.*, 1999). While much public and academic interest has been directed at nonfinancial service industries, little attention has been paid to the insurance industry. This research will focus on the relation between corporate governance and the ideal performance that can be achieved towards policyholders of the *takaful* firms. Hence, Alnemer (2015c) appoint that Corporate governance shall include corporate discipline, transparency, independence, accountability, responsibility, fairness and social responsibility. Alnemer (2015a) also asserts on the accuracy of disclosure on all material matters regarding the insurer, including the financial situation, performance, ownership and governance arrangements, as part of a corporate governance framework, corporate governance also includes compliance with legal and regulatory requirements. Alnemer (2015c) also stresses on treating participants fairly, as TOs might act against the interests of participants. This problem is observed particularly in proprietary structure company, where the BoDs and senior management are considered as shareholder representatives, hence they have fiduciary duty to maximise shareholders value. The company management should have similar fiduciary duty towards the participants. However, as participants lack representation and due to inadequate information environment, TOs management may have ample room for the maximisation of value for the shareholders at the expense of the participants' interests.

It is important for the *takaful* operators (TOs) to implement an innovative cultural environment for better information transformation between upper and lower management levels, and to achieve better communication with the participants Alnemer (2015a). TOs should adopt the best available corporate governance practices as outlined in the international standards bodies for insurance and *takaful* industries. The system should suit stakeholders' needs and wants by providing better communication channels between participants and TOs to achieve better protection to participants' rights (Alnemer, 2015a).

This paper will compare the ideal meanings and definitions of corporate governance with the empirical findings of four published papers that touch on what can be considered as an important pillars of corporate governance. In all, this paper deals with the protection approach of the participants of the *takaful* insurance in Saudi Arabia in accordance with some of the corporate governance common theory. These four papers mainly deals with proper disclosure mechanisms for the *takaful* firms, enough knowledge and education level of the *takaful* products required to be on poses by the *takaful* participants, complying with the preferences that been raised by the *takaful* participants, and satisfying *takaful* participants by all means. Accordingly, Section 2, explains corporate governance models. Section 3, compares the western corporate governance approaches with the Islamic approach. Section 4, explores the challenges that faces corporate governance proper implementations. Section 5, highlight the IFSB efforts to standardize corporate governance approaches on the *takaful* insurance industries. Section 6, explain the process of sampling framework and the empirical method. Section 7, gives a contextualization approach for the research findings. Finally, section 8 draws conclusions.

## 2. CORPORATE GOVERNANCE MODELS

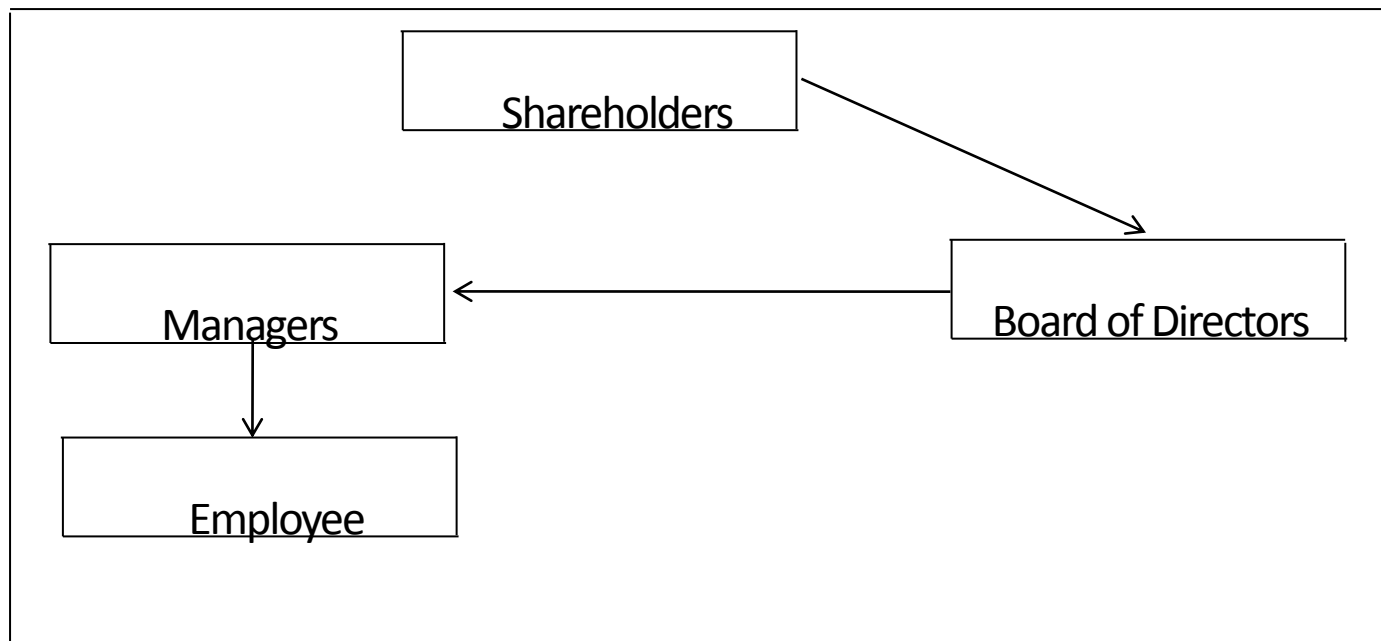
Most of the differences between systems of corporate governance around the world stem from the differences in the nature of legal obligations that managers have towards financiers as well as the differences in how courts interpret and enforce these obligations (Manne, 1965; Easterbrook and Fischel, 1983). Such debates about corporate governance tends to focus on two alternative paradigms or models, with an innovated Islamic model that been modified from the conventional stakeholder model.

### 2.1 The Anglo-Saxon Model

Also known as a market-based system or a shareholder value system or principle agent model, it is considered the most dominant theory used in the United States and the United Kingdom, which is characterized as a relationship between corporations and investors who are concerned about short-term returns (Frank and Mayer, 1994). “The shareholder value system has been the dominant academic view of corporations for many years that are concerned with shareholder value only” (Miller, 2004: 2).

Cernat (2004) explained, as shown in Figure 1 below, that this model is based on the corporate concept of the fiduciary relationship between the shareholders and the managers which is motivated by profit-oriented behaviour. This is derived from the belief of market capitalism in which the interest and the market can function in a self-regulating and balanced manner. Accordingly, share ownership is widely dispersed and shareholders influence on management will be weak, hence the main focus of the Anglo-Saxon system is to protect the interests and rights of shareholders along with typical capital market and ownership features.

**Figure 1: Corporate Governance - Anglo-Saxon Model.**



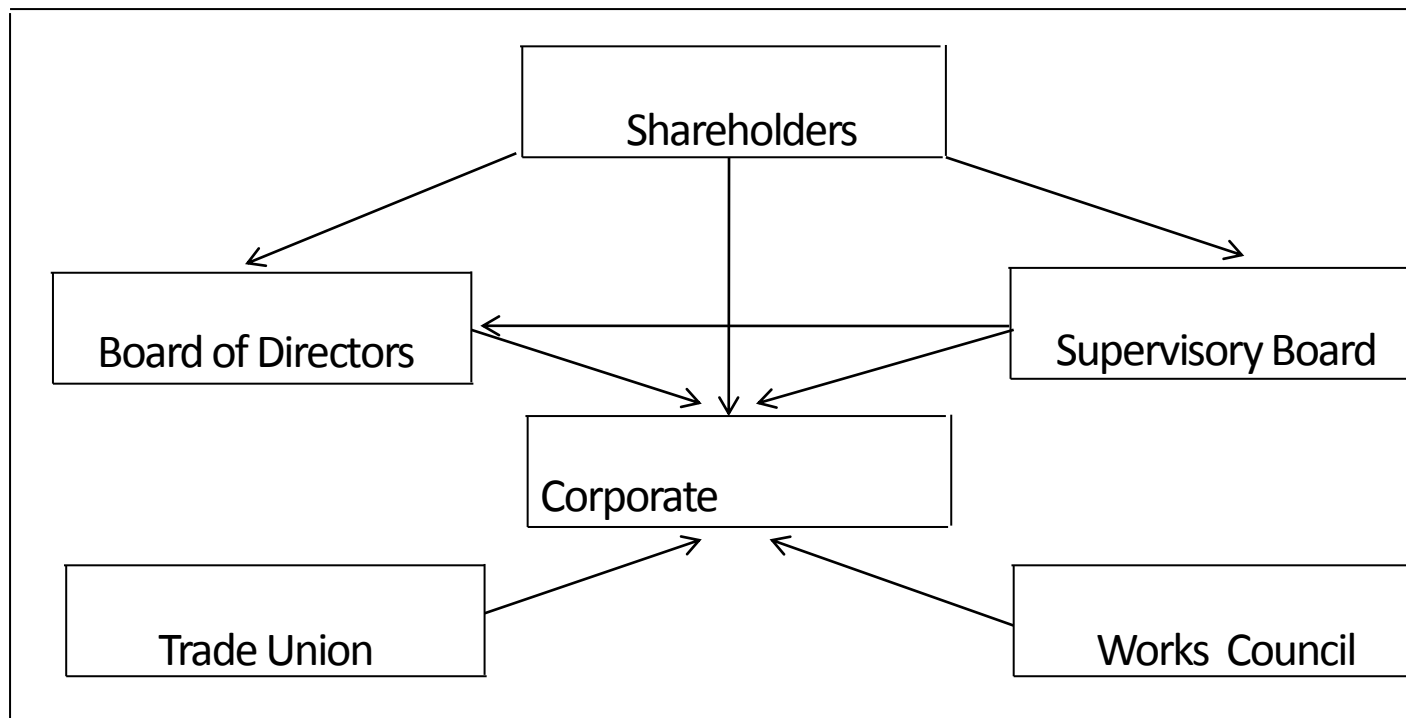
Source: (Cernat, L., 2004: 153).

## 2.2 The European Model

The continental European or stakeholder model gives consideration to a number of classes of stakeholder including shareholders, creditors and employees. In this system, companies raise most of their external finance from banks that have close, long-term relationships with their corporate customers. The model is focused on a relationship-based model that maximizes the interests of a broader group of shareholders (Adams, 2003: 4). The European model of corporate governance is practiced by the majority of European countries where many large firms are part of the social and economic structure. The European model implies that all stakeholders have the right to participate in corporate decisions that affect them, that managers' fiduciary duty is to protect the interests of all stakeholders, while the objective of corporations is to promote the interests of all stakeholders and not only shareholders (Mirakhor *et al*, 2004: 46).

The special attribute of the European model of a corporate governance system is the practice of the two-tier system which has been used in Germany and France. The system, as per Figure 2 below, would comprise of an outside supervisory BoDs and a separate management board of executive directors - a structure in which the two boards meet separately (Yvon and Salma, 2005: 7). The same concept has been practiced in France where boards of directors and managers have a duty not only to the company itself but to the employees, trade unions, work councils and to the public at large (Snyder, 2007: 238- 239).

**Figure 2: Corporate Governance - European Model**



Source: (Cemat, L., 2004: 153).

This ongoing debate over the two models has recently been critically reviewed by Letza *et al* (2004: 257) who argued that:

“The current dichotomised and theoretical approach used in corporate governance research, which presupposes two extreme and opposite ideal models, cannot fully explain the complexity and heterogeneity of corporate reality”.

This view is given support in a review of the failure of Enron (Deakin and Konzelmann, 2004) in which they concluded that effective corporate governance would result from directors being regarded as stewards of the longer-term interests of the company.

In fact, the subject of corporate governance is of enormous practical importance. Even in advanced market economies, there is a great deal of disagreement on how good or bad existing governance mechanisms are. For example, Easterbrook and Fischel (1991), Romano (1993), Shleifer and Vishny (1997) made a very optimistic assessment about the United States', Germany's, and Japan's corporate governance systems. These countries have some of the best corporate governance systems in the world, because they are governed through a combination of legal protections that give investors power from expropriation by managers and by concentrated ownership (ownership by large investors). Thus a good corporate governance system should combine some type of large and small investors with a legal protection for both sets of rights. In fact, the opinion of authors who voted that the U.S. corporate governance system is strong, was consolidated with the passage of the Gramm Leach Bliley Act in late 1999 which allowed U.S. banks to enter the insurance business and mandated a greater reliance on internal corporate governance to control the actions of financial institutions (Wang, Jeng and Peng, 2007).

In terms of the insurance industry, Macey and O'Hara (2003) believe that the insurance industry confronts a different set of agency costs and may lack adequate corporate governance controls as a result of the distinctive nature of its assets and liabilities, the special character of its ownership structure, fewer hostile takeovers, and a higher degree of financial leverage. Therefore, the corporate governance research needs to recognise the complexity and heterogeneity of corporate reality even within the Anglo-Saxon model; this is why most of the international organisations such as OECD, IAIS, and IFSB agree that there is no single model of corporate governance that can work well in every country and for all types of business. Thus each organization should develop its own model that caters for its specific needs and objectives (OECD, 2004; IAIS, 2004; IFSB, 2008, 2009a).

### 2.3 THE ISLAMIC AND *SHARI'AH* CORPORATE GOVERNANCE MODEL

*Shari'ah* governance on the other hand, is the way of conducting activities in accordance with *Shari'ah*. It entails "the institution pledge not to engage in interest-based debt transactions, not to conduct pure financial transactions disconnected from real economic activity, not to participate in transactions where there is exploitation of any party, and not to participate in activities regarded as harmful to society" (Grais and Pellegrini, 2006: 1).

IFSB (2009b: 2) also identifies "*Shari'ah* Governance System" as:

"A set of institutional and organisational arrangements through which an IIFS ensures that there is effective independent oversight of *Shari'ah* compliance".

means that Islamic banks have a fiduciary responsibility towards their customers to comply with *Shari'ah* rules and principles at all times (IFSB, 2009b). Accordingly, TOs must duly observe their fundamental obligations towards participants, particularly with regard to compliance with *Shari'ah* rules and principles; *Shari'ah* governance must remain an inherent feature of TOs (IFSB, 2009a).

Corporate governance is one of the most vital elements of any corporation's development and it is even more challenging to the Islamic finance system on account of the additional risk involved when compared to the conventional banking system. For example, a depositor would be exposed to various kinds of risks when an Islamic bank involves itself in risk-sharing modes such as *mudarabah* and *musharakah* (Chapra, 2007: 338). However, despite the fact that conventional corporate governance models are based on attaining maximum profitability, economic efficiency and fair dealing in accordance with moral standards it seems very difficult to use for the Islamic model on account of the following:

- (i) Western ethical foundations stem from a secular humanist rather than a religious moral basis, (ii) Western corporate culture in its basic or modified model is based on self-interest rather than the interests of society, and (iii) Available corporate governance models are based on agency theory rather than on stewardship theory (Davis, Schoorman and Donaldson, 1997).

On the other hand, scholars believe that the basis of Islamic corporate governance emanates from the Islamic concept of *tawhid*, or the oneness of God (Allah) (Al-Faruqi, 1982). Nienhaus, (2003: 290) states that "Islamic

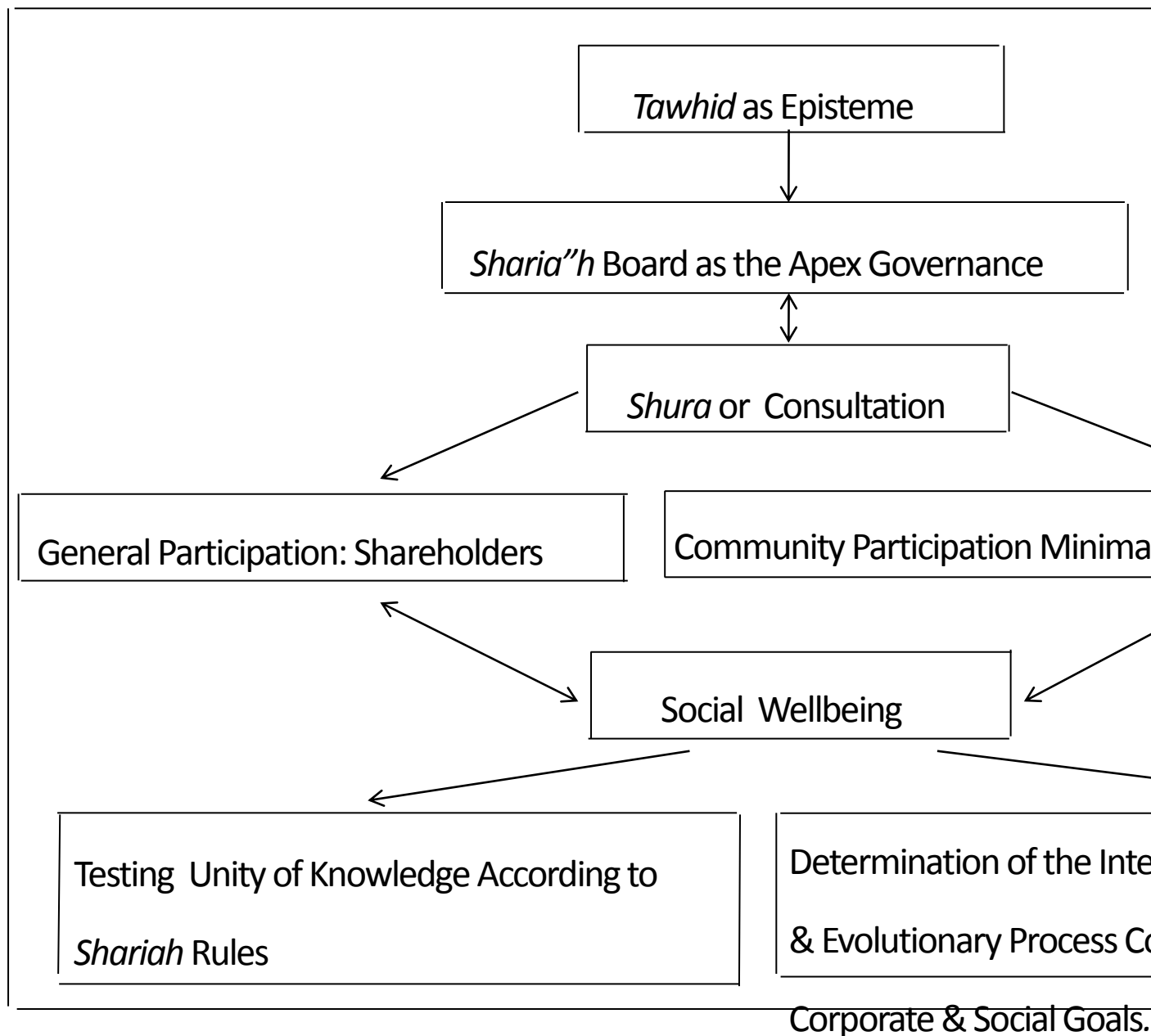
corporate governance should be value-oriented and promote the principle of fairness and justice with respect to all stakeholders''. While Chapra and Ahmed (2002); Mirakhor *et al*, (2004) suggest adopting the stakeholders' model with some modifications. Other scholars argue that Islamic corporate governance is a modified model of the stakeholder-oriented model, which may adopt different elements of corporate governance that are based on the principle of *shura* or consultation where all stakeholders share the same goal of *tawhid* (Choudhury and Hoque, 2004).

Figure 3 below represents Choudhury and Hoque's arguments (2004), that there are four principles of Islamic corporate governance which were originally embedded in the *Quran* and *Sunnah*. These principles are an extension of *tawhid* via interactive, integrative and evolutionary processes to the interacting environmental factors; the principles are justice, productive engagement of resources in social, economic activities, and recursive intention amongst the above stages.

Other scholars argue that Islamic corporate governance is a system based on *shura*, *hisba*, and the *Shar'iah* supervisory process and religious audit. The holy *Quran* clearly mandates that any decision involving more than one party should access and consult on the basis of principles of *shura*, that *shuratic* decision-making procedures should provide a vehicle for ensuring that corporate governance activities and strategies are fully discussed and a consensus seeking consultative process is applied. Thus directors and senior managers would be expected to listen to the opinions of other executives before making a decision. *Shura* members would include, as far as possible, representatives of shareholders, employees, suppliers, customers. Also other stakeholders including the community should also play a role in providing mutual cooperation to protect interests as a whole and to stimulate the social wellbeing function for social welfare (Choudhury and Hoque, 2004).

*Hisba* offers a framework of social ethics that encourages and monitors correct and positive ethical behaviour, such as *ihsan* (goodness), *tawakkal* (trust in God), *amanah* (honesty), *infaq* (spending to meet social obligation), *sabr* (patience) and *istislah* (public interest) (Lewis, 2005). *Shari'ah* or Islamic auditing on the other hand, considers a device to solicit juristic advice, and to monitor compliance with *Shari'ah* law by a means of implementing the principles of Islamic economics, which has a direct impact on corporate practices and policies such as *zakah* (the alms tax), and the prohibition of malpractices such as *riba* (usury) and speculation. Also, it should help avoid negative values such as *ihtikar* (hoarding), *zulm* (tyranny), *bukhl* (miserliness), *hirs* (greed), *iktinaz* (hoarding of wealth) and *israf* (extravagance).

**Figure 3: Corporate Governance – Islamic Model**



Source: (Choudury & Hoque, 2004: 80)

Accordingly, there are two main institutions involved in the above process of corporate governance namely, the *Shari'ah* board and the constituents of the *Shura's* group of participants *i.e.* all the stakeholders.

## 2.4 TAKAFUL CORPORATE GOVERNANCE MODEL

The debate in corporate governance literature has mainly focused on whether corporate governance should focus exclusively on protecting the interests of shareholders or stakeholders (Many and O'Hara, 2003). Thus, good corporate governance is a mechanism that encourages management to work towards the interests of the shareholders, by establishing an effective risk management system, audit committee, a visionary BoDs

representing the interest of shareholders and investments account holders (IAH), adequacy of information to shareholders and IAH, *etc* (IFSB, 2009c).

The situation of participants and shareholders in a *takaful* undertaking is comparable to that in Islamic banks where two principals exist *i.e.* shareholders and IAH. In both types of institutions the management is the agent, with the absence of control over other governance rights for both participants and IAH. Accordingly, it is likely that the management would prioritize shareholders' interests because (i) shareholders have control of the governance organs in both institutions, *takaful* and Islamic banks, that shareholders will have the power to appoint the TO management, and (ii) there are no incentive structures to make the management act in the interests of participants or the IAH. Such behaviour would cause a conflict of interest between shareholders and participants (Archer, Karim, Nienhaus, 2009). Also Greuning and Iqbal, (2007: 29) stated that,

“IAH are like quasi-equity holders but without participation in the governance of the Islamic bank. As a result, IAH do not have any direct recourse to the bank to protect their rights”.

According to Grais and Pellegrini (2006a), IIFS offer three categories of depositors or IAH accounts: current, restricted investment (RIA) and unrestricted investment (UIA). The most similar account to the participants in the *takaful* scheme is UIA holders, since they enter into a *mudaraba* contract with the institution, bearing the risk of the performance of the investment pool, except for misconduct. The UIA holders do not have an institutional voice in the conduct of business, and delegate the appointment of their agent to another principal whose interests may not always accord with theirs.

Furthermore, because the *takaful* hybrid structural scheme is combined of mutual and proprietary, simultaneously following the principles of *taawun*, *tabarru* and the prohibition of *riba*, then a conflict of interest may appear. As TOs are considered the custodian of a *takaful* fund they might exert a good amount of discretion to determine the range of products, pricing, terms and conditions of contracts. An additional conflict arises due to an agency problem; the separation between TOs and participants' funds will raise an asymmetric information and insufficient power of the participants to monitor TOs as a result of lack of representations (Hussain, 2009). Hence, a clear separation is required in Family *takaful* between the assets of the Participant Risk Fund (PRF) and those of the Participant Investment Fund (PIF), as well as between the assets of the *Takaful* Fund and those of the shareholders' funds. Therefore, the accumulation of investment profits in the PIFs requires transparent methods of profit calculation and accounting, and an efficient accounting system to record the declared PIF's profit and credit it to the respective *takaful* PIF (IFSB, 2009a).

However, because proper management of participants underwriting and investment funds determines, among other factors, the returns of shareholders, then shareholders should have a long-term interest in monitoring the performance of the BoDs so that it exercises proper control over management in order to look after the interests of the participants. Such a practice is used by the Islamic banking system to attract IAH, known as vicarious monitoring; shareholders can also minimize their equity as much as they can to mobilize IAH funds to benefit from generated profits under *mudarabah* mechanisms (Archer, Karim, and Nienhaus, 2009). However, the situation would be different in the case of short-term opportunisms or in the absence of effective competition,

since it would encourage the benefits of shareholders at the expense of participants (Archer, Karim, and Nienhaus, 2009).

While, the BoDs would serve the interests of shareholders by setting the *wakalah* fee and *mudarib* share of the profit at a level that would give the shareholders a return on their equity comparable to similar instruments in the market. They must, however, bear in mind that they have enough funds to meet participants' claims and to achieve a surplus and to pay or avoid deficit. Thus, by adhering to such a balance, shareholders would exert enough discretion toward participants; in return participants would show similar loyalty toward the company. An alternative action that might be utilised by the BoDs to satisfy participants and IAH is similar to what is currently being used by the Islamic banking system as described by Archer, Karim, and Nienhaus (2009).

(i) Profit Equalization Reserve (PER) which is an amount set aside from the income of both IAH and shareholders before the allocation of the bank's share as *mudarib* to smooth the profit of IAH to match the returns of instruments in the market, thereby encouraging IAH to retain the funds with the bank to manage them on their behalf. (ii) Displaced commercial risk, that banks would ask shareholders to give up part or their entire *mudarib* share to the IAH to motivate them into continuing to place their funds with the bank. This technique is comparable to the situation in *takaful* where shareholders in TOs have to provide capital backing in the form of a standby *qard*-loan facility to finance an underwriting deficit. The difference, however, is that shareholders in banks will not require a refund for their loan, unlike the case in a *takaful* scheme.

Another method that can be used by the TOs simulating those used by the deposit insurance schemes approach to satisfy participants, is what is known as Investment Risk Reserve (IRR) which is likely to encourage management to engage in excessive risk-taking (Grais and Pellegrini, 2006b). However, such a technique might raise the moral hazard awareness of policyholders. Any losses would be financed by the IAH fund and shareholders which could increase the management's risk appetite to a higher level than that of the IAH. The IRR is appropriated from profits after the calculation of the *mudarib* share which is unaffected, while in the case of a loss, *mudarib* share is zero irrespective of the size of the loss. Even if a loss arose due to misconduct and negligence, it could wrongly be absorbed by the IRR, although, according to the *mudarabah* contract it should be borne by the shareholders. It would indeed be difficult for IAH to be aware of such occurrences because of the absence of either adequate disclosure or adequate governance structures to prevent such practices (Grais and Pellegrini, 2006b).

### 3. COMPARISON BETWEEN WESTERN AND ISLAMIC CORPORATE GOVERNANCE MODELS

For decades the managed corporation<sup>8</sup> model of Western corporate governance has dominated the American corporate arena, it has a legacy of the rise of large public companies and dispersed share ownership (Pound, 1995). In this model the managers lead and directors and shareholders follow. Boards and shareholders are kept at a distance from the corporate decision-making process and strategy and policy settings. Boards have the job of hiring managers and firing/rewarding them depending on company performance, while shareholders have the sole function of replacing board members should the corporation not perform well. Hence, the Anglo-Saxon model focuses more on prioritizing shareholders' value alone, while the European model protects all the stakeholders' interests and rights. Islamic corporate governance on the other hand, rejects rationality and rationalism as the episteme of *Shari'ah* corporate governance and replaces it with the episteme of *tawhid* or the oneness of Allah (Hasan, 2009). The ultimate goal of Islamic corporate governance is to protect the interests and rights of all stakeholders by complying with *maqasid al-Shari'ah* (Chapra, 2007). Thus, Islamic corporate governance considers *Shari'ah* to be the governing law of all affairs of the corporation which leads to the establishment of the *Shari'ah* board as part of the corporate governance institution.

#### 4. CORPORATE GOVERNANCE CHALLENGES

The main challenge of corporate governance arose from the implications of separating ownership (shareholders) and control (management) of an industrial corporation, in a situation known as an agency problem (Fama and Jensen, 1983). This was supported by the emergence of large firms with dispersed shareholdings in certain countries such as USA and UK (Berle and Means, 1932). The problem arose because the owners were not able to control the management due to asymmetry of information, since the management is much better informed about the firm's condition and prospects than the owners. Smith (1776: 700) outlined the problem as follows:

“The directors of joint stock companies are managers of other people's money, hence, it cannot be expected that their actions will be taken with same vigilance as if they are the owners of the company. Therefore, negligence and profusion will always exist in the management of the company”.

Managers might expropriate investors and shareholders resources by entrenching themselves and stay on the job even if they are no longer competent and qualified (Ruback, 1983; Shleifer and Vishny, 1989). However, when managers cannot expropriate resources outright and they have the right not to return money to investors as discussed by Jensen and Meckling (1976) then managers will go ahead with investments that will assure their benefits despite the fact it might be costly for investors. Investors are not guaranteed to get paid if managers, in case of shortage in funds, believe that the future benefit of being able to raise external funds are lower than the cost of paying what the investors already promised. Such a problem unravels so that there is no possibility of external finance because the fact that the legal enforcement contract virtually does not exist, the phenomena is

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<sup>8</sup> Managed model is another name of the Anglo-Saxon Model (Pound, 1995).

explained as managers paying initial investors with money raised from later investors, thereby creating an illusion of high return (Eaton and Gersovitz, 1981; Bulow and Rogoff, 1989).

In countries like USA and UK, the relevant political philosophy is neo-liberalism, which requires less intervention by the government in the capital market and allows the market to regulate itself giving more priority and protection to shareholders over other interested parties of corporation (Deakin, 1999). Thus, policyholders are always kept in a disadvantageous position, policyholders are treated as 'customers' rather than 'stakeholders' which leaves them dependent on market forces and competition for protection of their rights (Archer, Karim, and Nienhaus, 2009).

Such treatment exists on account of a lack of product transparency and problems relating to information asymmetry which blunts the effectiveness of market forces (Archer, Karim, and Nienhaus, 2009). While, neo-corporatism is related to stakeholder theory based on the combination of a society's culture and history as well as cultural and social changes that occur with modernisation, economic development and industrialisation.

Unlike neo-liberalism and pluralism, under neo-corporatism the government plays a central role in regulating and organizing the social and economic interests of society such as employers' organisations and labour unions. Hence, if a neo-corporatist position is adopted, then the issue of control rights for participant's policyholders has to be considered.

#### **4.1 The Challenge of Information Asymmetry and Stakeholders (FSA Reform)**

In United Kingdom, the reform of corporate governance arrangements for life insurers were undertaken after the failures of Equitable on December 8<sup>th</sup> 2000, as a result of illegal allocation of terminal bonuses between groups of with-profit<sup>9</sup> policyholders, which led the company to reduce terminal bonuses to meet guaranteed annuity claims. However, the claim is not solely responsible for the crises, since the claim of £1.5 billion should not have brought down a society with funds of £32 billion. The problem was a culture of manipulation and concealment of the true state of the company's financial position by the previous senior management team which had allowed a bonus policy to develop (Dewing and Russell, 2001).

Despite the clear responsibility placed on the appointed Actuary to inform the board in that regard, the appointed Actuary failed to report to the board, while the board additionally failed to check society policy. As a result, the board found itself in 2000 and 2001 without full knowledge and understanding of the developing position which led to financial weakening (Dewing and Russell, 2001).

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<sup>9</sup> With-profits policies are long-term in nature, where the insurers use the premiums to invest in a pooled fund, made up of a range of assets; accordingly, it will be a share of profit and loss, and it will be a share in any distributions from the inherited estate, the with-profit will also work as a general investment/savings vehicle (FSA, 2001).

Accordingly, one of the important suggestions to prevent this failure to encounter in future is to rely on the regulator to ensure that the continued relevance of the regulatory tools is regularly assessed and implemented, especially in a constantly developing industry. Government also has a responsibility to inform and educate consumers about the nature of the financial system (Dewing and Russell, 2001).

The FSA (2000) has suggested four regulatory objectives: market confidence, public awareness, policyholder protection, and reduction of financial crime. The new regulations will mainly set a minimum amount of capital required to be held by insurers and to provide more protection to policyholders by increasing the accountability of actuaries, auditors and the board, and improves information flows, both in terms of quality and quantity. The FSA has also launched the Financial Capability Steering Group, which will examine the approach to consumer education, since the UK is considered as the world pioneer to incorporate consumer education as a key statutory objective of the financial services regulator (FSA, 2003).

The FSA suggests special corporate governance arrangements for with-profits review to resolve the breadth of discretion of management in managing the fund. Accordingly, the FSA has constructed rules and guidance in relation to treating with-profits policyholders fairly according to the FSA's Conduct of Business Handbook (COBS 20) and the associated Principles: Principle 6, Customers' interests, Principle 7, Communications with clients, and Principle 8, Conflicts of interest (FSA, 2010). The purpose of the guidance principles and rules is to examine the insurance company to support:

- I. With-profits policyholders' interests are properly protected.
- II. Policyholders receive sufficiently comprehensive, timely and clear information to enable them to view their balance at the fund.
- III. Policyholders receive fair payouts and firms apply policy conditions fairly and proportionately to ensure all classes of policyholders are treated fairly.
- IV. Policyholders only bear costs that are incurred in the running of the fund.
- V. Investments are appropriate to the with-profits fund and do not prevent policyholders from receiving fair pay-outs or bonus distributions.
- VI. New business is written on terms that, at a minimum, are unlikely to make existing with-profits policyholders materially worse off (FSA, 2010).

With proposed changes in the role of actuaries, the FSA has removed responsibility for making key decisions on asset allocation and distribution in with-profits funds from the appointed actuary and transferred it to the company BoDs to take full responsibility for its decisions (FSA, 2003). Furthermore, the board's responsibility toward actuarial valuation has increased so that the appointed actuary no longer certifies nor confirms any aspects of regulatory return; this responsibility is in the hands of the board. The boards now will be fully informed of the company important issues, and to provide fair treatments to policyholders, since the actuaries might be put in a position of advocating a shift towards one group of stakeholders (*ex.* policyholders at the expense of shareholders). The FSA has also identified several points of reform towards three roles for actuaries: (i) actuarial function, (ii) with-profit actuary, and, (iii) reviewing actuary (FSA, 2003).

The role of with-profits Actuary will be an advisor to the board. The with-profit Actuary will advise BoDs on the methodology and calculation of the valuation of policyholder liabilities. The reviewing Actuary will report directly and privately to the auditor, giving his/her reasonableness of the valuation of liabilities by the firm, the methods used and the economic, market and actuarial assumptions. As a result, it is not permitted that the Actuary holds a position on the board, because he/she may provide input into other business decisions (FSA, 2003).

The FSA has also imposed certain changes in the rules of the auditors, in that the auditors are now responsible for the audit of liabilities, so that auditors no longer rely on the calculations previously certified by appointed actuaries (FSA, 2003). Auditors are now required to make use of the advice of the reviewing Actuary and to state they have done so in their audit opinion. This change in reporting was described by the FSA as realistic reporting; the new reporting system should increase confidence of users.

## 5. IFSB EFFORTS TO STANDARDIZE THE TAKAFUL INDUSTRY

In an effort to standardise the *takaful* industry, the IFSB has conducted an agreement of development and implementations of the IAIS Core Principles (ICPs) and practice guidelines on the *takaful* industry in order to achieve a number of objectives. One of these objectives is to provide appropriate levels of consumer protection in terms of both risk and disclosure (IFSB, IAIS, 2006). Since, most of the IAIS (2011) Core Principles (ICPs) tend to highlight the correct way of dealing with policyholders both before a contract is entered into through to the point at which all obligations under a contract have been satisfied. A very important core principle of IAIS is (Corporate Governance, ICP 7) focusing on the BoDs because they are supposed to be in charge of insurer performance. One of their many functions is to set out policies that address conflicts of interest, the fair treatment of policyholders and information sharing with stakeholders, while senior management should provide direction on a day-to-day basis in accordance with the firm objectives and policies that were set out by the BoDs.

Accordingly, as the ICPs codes are considered vital to bring protection to policyholders and to provide the required stability to the insurance industry, the IFSB has launched in 2005 a development agreement called the (JWG)<sup>10</sup> with IAIS concerning the applicability of IAIS core principles ICPs issued in 2003 (recently 2011) to the regulatory and supervisory standards for the *takaful* industry, and relying on OECD guidelines for insurers' governance issued in 2005 (recently 2011).

### 5.1 IFSB STANDARDS AND GUIDELINES FOR TAKAFUL OPERATORS

IFSB (2008) has identified several premises and objectives that serve the interest of all parties involved in a *takaful* business arrangement. Accordingly, six guiding principles divided into three parts are put forward for adoption and implementation by TOs. The guiding principles should apply to all *takaful* undertakings, irrespective of their legal status, or operational models. These parts are focused on the reinforcement of good governance practices as in insurance companies while addressing the specificities of *takaful* companies, a

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<sup>10</sup> Joint Working Group.

balanced approach that calls for their fair treatment of all stakeholders, and an impetus for a more comprehensive prudential framework for *takaful* undertakings. As far as this study is concerned, the following represents some of IFSB recommendations related to dealing fairly with the participants of the *takaful* scheme (IFSB, 2008):

It must address the rights and interests of stakeholders, and assign compliance mechanisms of underwriting and investment according to identified legal and regulatory frameworks. The TOs should also design a balance of governance mechanisms that satisfies all stakeholder parties *i.e.* shareholders and participants. Such a balance environment will create a good and strong culture of governance. The mechanisms will be structured so that a clear segregation of the *takaful* participants' funds from the TOs shareholders' funds will be declared to avoid information asymmetry, misalignment of the incentives of the principal and agent, which results in a reconciliation between shareholders and participants (IFSB, 2008).

TOs shall put in place an appropriate code of ethics requiring employees and agents to observe high standards of integrity, honesty and fair dealing. Thus, codes observation should be conducted periodically via an adequate system that can monitor compliance with this code and to effectively address any dishonourable behaviour. They should strive to assure that the code of ethics is properly delivered by whoever promotes or advertises the *takaful* product, such as a conventional bank with a *takaful* window, brokers, agents, actuaries, representatives, *etc.* In terms of investment activities, TOs should strictly adhere to Islamic ethical codes.

Furthermore, for long-term *takaful* contracts especially family *takaful* plans where long-term relationships are established between *takaful* participants and the TOs, an adequate code of ethics and conduct should be observed by the representatives of the TOs at the point of contract and after the point of contract. For example, in the case of family *takaful* investment products, the pre-contract illustration should be clearly expressed and presented for better understanding and appreciation by *takaful* participants who may not be familiar with *takaful* terminology (IFSB, 2008).

*Takaful* participants must recognize in which structure the company is operating *i.e.* is the company totally established in a mutual structure, or hybrid structure with a proprietary company as TO, rather than a pure mutual. Under the mutual structure, participants can vote for the appointment of the board and/or the management, while they cannot achieve such goals when the *takaful* scheme is run as a proprietary scheme. However, it should be noted that experience with mutuals in conventional insurance suggests that effective governance by participants can be difficult once they grow above a certain size. In this situation, management may effectively become autonomous (IFSB, 2008). The TOs must establish a mechanism of checks and balances that gives participants appropriate powers to review their PRF and PIF. This ensures the TOs adherence to interest protection while satisfying the mutual assistance scheme among the participants (IFSB, 2008).

## 6. RESEARCH DESIGN

*Takaful* participants are considered the main source of accumulating surplus in the *takaful* fund as they are the main stakeholders and their equity consists of ownership of the underwriting activities and the investment funds. As such, they have a claim on assets of these funds in case of liquidation and they are entitled to have their claim paid if there are enough underwriting funds to finance payout. They are also entitled to share in the distribution of any investment and underwriting surplus. However, the only right that participants can exert on the *takaful* scheme is to vote with their feet by discontinuing their contractual relationship with the company in case of dissatisfactions. Accordingly, as Saudi Arabia remains the largest *takaful* market in the GCC, *takaful* participants in Saudi Arabia were identified to be the main research population for this study. The targeted populations were clients of all TOs in Jeddah, Saudi Arabia, since a number of large TOs have their headquarters in Jeddah. The researcher, with the support of an 8-survey distributor team, has managed to distribute the questionnaires among 9 branches of 3 TOs<sup>7</sup> in Jeddah. The targeted participants are those with a family *takaful* policy. Thus policyholders are expected to have a long-term contract with the TOs and expected to have periodic financial returns (Underwriting Surplus & Investment Return). The participants should not possess *takaful* contracts that belong to corporations, *i.e.* the *takaful* contracts are between the TOs and the participants' directly<sup>8</sup>.

Therefore, questionnaire was chosen as the method by which the survey was completed. Questionnaires are a useful tool for investigating patterns and trends in data and are frequently used with success in management, marketing and consumer research (Easterby-Smith *et al.*, 1991). Most of the survey questionnaire was designed with close-ended type questions. The closed-ended or forced-choice type of question is preferable in this research because it will increase the response rate, since it is easier and faster to be answered by the prospective respondents, especially when using a phone-call approach. A drop-off of a self-administered survey questionnaire and telephone calls techniques were used to collect participants' responses. Accordingly, a total of 500 questionnaires were distributed, of which 420 completed questionnaires were received, where 120 questionnaires were rejected, leaving 300 completed and usable questionnaires for the research, yielding a usable response rate of 60 %. The responses yielding a usable rate reflected the success of using these types of questionnaires to attain the aims and objectives of the study. The survey were based on the researcher's readings of comprehensive topics, which address several researchers suggestions and findings and are based on the imposed policies and standards by the international *takaful* and insurance regulators such as AAOIFI, IFSB, IAIS, OECD, *etc.* These policies and standards have one main goal which is to provide proper protection to insurance policyholders, whether the insurance contract is Islamic or conventional. These policies and standards are a part of corporate governance rules towards participant protection which will be achieved by satisfying customer perceptions, needs, wants and preferences which in a way enhance customer satisfaction levels. In terms of policies and regulations, great emphasis was noticed towards satisfying participants' desires to gain financial return and to strictly comply with the *Shari'ah* rules.

## 7. CONTEXTUALISATION OF RESEARCH FINDINGS

On this section, a comparison had been made with what considered ideal definitions of corporate governance with the empirical findings of four different papers that touch on what can be considered as an important pillars

of corporate governance. This has one main aim, to find proper protections for *takaful* participants. In which, Lewis and Iqbal (2009) asserts that CG is a system that identified the conditions or rules related to business organization, conditions related to (entry and establishment, form of business enterprise, ownership, financing, operation, exit and closure). While, Tricker (1984) also defined corporate governance as a set of processes by which companies are run. While, Zingales (1995) argues that corporate governance is a system by which directors and managers act in the best interests of outside investors (creditors and shareholders'). IFSB (2009a) also asserts that the TOs should disclose a framework of the *takaful* models which should address the rights and interests of stakeholders, and assign compliance mechanisms of underwriting and investment according to identified legal and regulatory frameworks. Alnemer (2015a) also asserts that a proper disclosure mechanism should be exists for a successful corporate governance system for the *takaful* companies, as a disclosure mechanism considered a hub where all company activities are generated from. However, Alnemer (2015a) empirical findings have found that 276 (92 %) participants have scored low to moderate perceptions with *takaful* companies to have a proper disclosure mechanism. Such figures reflect a shortfall on TOs' ability to adopt an active disclosure mechanism that can convey participants' financial benefits. Such findings been supported by the empirical findings of alnemer (2015d) as 174 (58 %) participants replied with 'strongly not satisfied' and 'not satisfied', respectively with the profits and income generated from participants investment accounts, while 134 (45 %) participants replied 'strongly not satisfied' and 'not satisfied', respectively with the ways and methods used to distribute investment returns among them.

On the other hand, OECD (2004: 11) defined corporate governance as "a set of relationships between company's management, its board, its shareholders, and other stakeholders". Shleifer and Vishny (1997) define corporate governance as a means of satisfying providers of finance to corporations such that they get returns on their investment. Kaplan and Norton (2000) also claim that corporate governance is intended to establish a connection between directors, managers, employees, shareholders, customers, creditors, and suppliers to the corporation. IAIS (2003; 2004) has also identified corporate governance as the manner in which the board of directors (BoDs) and senior management oversee the insurers' business. It encompasses the means by which members of the board and senior management are held accountable and responsible for their actions. IFSB (2008) asserts that TOs should structure a corporate governance framework that specifies the strategic, operational roles, responsibilities, functions of all organs of the firms including but not limited to the BoDs and its committees, the management, *Shari'ah* governance function (whether in the form of a *Shari'ah* Supervisory Board, as well as the internal and external auditor. However, alnemer (2015a) empirical findings has showed that 276 (92%) participants indicated that the company did not disclose ways to let them review their benefits; 287 (96 %) participants indicated that the company did not use the internet to communicate with them; 206 (69 %) participants indicated that the company is communicating with them by letter and 287 (96 %) participants indicated that the company did not communicate with them at all. Accordingly, it is recommended that the insurers to companies to let go of the old fashioned paper handling approaches and to establish an active disclosure mechanism that uses the best available IT system to properly disseminate information to the public and to the current customers. In terms of exploring participants' knowledge of TOs key personnel, such as BoDs, shareholders, and others. Surprisingly, all 300 participants were unable to identify any organs of the

company, which indicated two possible scenarios: (i) participants are not interested to know the company organs or (ii) *takaful* operators did not disclose the company organs to the public (Alnemer, 2015b). Furthermore, participants were asked to reflect as to whether they understand the kind of financial discretion activities shareholders can exert on the participants' fund. Surprisingly, all 300 participants responded 'don't know' to this question (Alnemer, 2015b). The study also clarifies participants' preferences of TOs' *Shari'ah* compliance. Accordingly, participants were asked if the validity of participants' fund will be affected if SSB was given less time to judge the assets portfolio and 120 (40 %) participants replied with 'agree' and 'strongly agree', respectively. A follow-up question was asked to participants as to their preferences on whether they would like to be given the chance to select the SSB members to which 179 (59.7 %) participants answered with 'agree' and 'strongly agree', respectively. This indicates that participants might require more disclosure on the *Shari'ah* pronouncements/resolutions for the participants' fund.

A considerable amount of evidence has also documented a prevalence of managerial behaviour that does not serve the interest of investors (Shleifer and Vishny, 1997). Therefore, a good corporate governance system should protect the rights of investors and policyholders by providing answers to how corporate governance deals with the ways in which suppliers of finance to corporations assure themselves of getting a return on their investment. How do the suppliers of finance get managers to return some of the profits to them? How do they make sure that managers do not steal the capital they supply or avoid investing that money in bad projects? How do suppliers of finance control managers? (Shleifer and Vishny, 1997). However, Alnemer (2015b) empirical findings has shown those participants' responses to distinction between different types of surplus from the underwriting activities as some companies distribute surplus to participants in the form of net underwriting surplus, while others distribute it as gross underwriting surplus. The used method to distribute underwriting surplus should be disclosed to participants. However, 226 (75.3%) participants replied with 'no' when asked if they can distinguish between types of underwriting surplus which reflects participants' low level of awareness of the technicality of the distribution benefits. Participants' awareness in this matter can make a great difference on their purchasing decisions. If the TOs distribute the net underwriting surplus then participants' expected benefits can be reduced as they will be charged extra percentage as incentive for the good performance of the *takaful* operators. Furthermore, participants were challenged to reveal the conditions that allowed them to share with other participants in the underwriting surplus. Some companies will not allow participants who claimed to share the underwriting surplus, while allowing others. Thus the company should reflect these policies to the participants. The results indicate that 280 (93.3 %) of participants are unaware of the company surplus distribution policies for those who made claims. participants' were also asked to clarify their knowledge of expenses, fees, and *qard hasan* since TOs should advise participants on the types of fees that they are going to charge the participant's fund, such as *wakalah* upfront fees, investment management fees, etc. However, the survey indicates that 298 (99.3 %) of participants are not aware of the charged fees (Alnemer,

2015b). While, 281 (93.7 %) of participants have no idea in what circumstances they will be legally required by the company to pay additional contributions to the participants' fund, which indicates an information gap between participants and TOs (Alnemer, 2015b). Furthermore, participants were also asked to clarify if the TOs had called them before recovering a deficit encountered in the participants' fund and 272 (90.7 %) of participants replied 'no'. such findings was supported by the empirical findings of alnemer (2015d), as participants were asked to clarify whether they will be satisfied if the Operator calls on them to pay an additional contribution to recover a deficit on the participant's fund. 201 (67 %) of participants replied with 'strongly not satisfied' and 'not satisfied'. Participants have also shown their dissatisfaction with the incentives deduction from participants fund for good performance in generating underwriting surplus and investment return. 135 (45 %) of participants replied 'strongly not satisfied' and 'not satisfied'. This finding implies three possible scenarios: (i) The financial position of the Saudi TOs are strong enough that they do not encounter a deficit in the fund. (ii) The TOs do not put the burden on participants in case of shortage encountered in the fund and they might compensate this shortage from shareholders' funds by providing *qard* loan. However, they will forward any future underwriting surplus and/or future investment return from the participants' fund to the shareholders' accounts. (iii) TOs might gradually increase participants' regular contributions, to recover the fund deficit. This fact might not be mentioned to the participants to keep the good reputation of the company among participants (Alnemer, 2015b).

Corporate governance in all companies, including insurance companies, includes the rules, regulations and institutions that regulate the way in which the governance and control of these companies is performed and implement them in practice. Corporate governance can also defined as a set of rules and behaviour that determine the manner in which the companies are managed and controlled, strategically managing the relations between the managers, members of the supervisory Authority and the Board of Directors, members / shareholders and other stakeholders (Alnemer, 2013). Hence, on Alnemer (2015b) an exploration has been made to finds out whether participants have enough knowledge of the used model principles. The results showed that 281 (93.7 %) of participants replied 'yes', which indicates that *takaful* company were conveying the necessary information to participants in regards to their products, policies and principles. The findings also explores participant's knowledge with regards to the principles and models of the *takaful* fund has been explored by forwarding two main questions which reflect their knowledge about the fund they are participating in. The first question aims at exploring participants' awareness of the model they are participating in and only 11(3.7 %) participants knew that *wakalah* is the used operating model, while the majority of 147 (49 %) participants chose to pick 'don't know' to answer the question. Participants were also challenged to identify if they are aware of a system that identifies a minimum durations or initial stages, required by the TOs to cancel the contract. Surprisingly, 297 (99 %) participants answered 'no', *i.e.* there is no minimum duration to cancel

the contract. However, *takaful* companies will usually indicate a minimum cancellation or surrender period before the maturity of the contract, disobeying this period will expose participants to bear a charge. Participants were also asked on (alnemer, 2015d) to clarify whether they are satisfied with the shareholders ownership share in the company and 62 % of the participants' replied with neutral 23 % of the participants replied with 'satisfied' and 'strongly satisfied' against 15 % of the participants who replied with 'strongly not satisfied' and 'not satisfied'

Furthermore, for long-term *takaful* contracts especially family *takaful* plans where long-term relationships are established between *takaful* participants and the TOs, an adequate code of ethics and conduct should be observed by the representatives of the TOs at the point of contract and after the point of contract. For example, in the case of family *takaful* investment products, the pre-contract illustration should be clearly expressed and presented for better understanding and appreciation by *takaful* participants who may not be familiar with *takaful* terminology (IFSB, 2008). Hence, the empirical findings of Alnemer (2015a) reflect participants' clarifications as to whether the company communicates with them to discuss their rights in receiving an underwriting surplus and investment return. Their answers were broadly optimistic, 40.7 % and 2.0 % of participants, respectively stated that they 'agree' and 'strongly agree' with the notion that TOs discussed their rights to receive underwriting surplus with them. Also 41.3% and 1.7% respectively stated that they 'agree' and 'strongly agree' with the notion that TOs discussed their rights in receiving investment return with them. Such a result complements participants' answers, as 256 (85.3 %) participants are buying their *takaful* policy for the expected financial benefit. Therefore, it is obvious that participants are more interested in the financial benefits of buying the *takaful* policy rather than for any other reasons. Also, TOs were successful at reflecting the benefits behind buying a *takaful* policy. Furthermore, participants were asked to clarify, whether the *takaful* company had communicated with them regarding their targeted expectations. Hence, their answers were similar: 42.3 % and 1.7 %, respectively of total participants stated that they 'agree' and 'strongly agree' with the notion, while 37.0 % stated that they 'disagree'. Furthermore, when participants were asked to clarify whether the *takaful* company communicates with them regarding their policy in the *takaful* fund, regarding such issues as their expected benefits in the fund, duration of the contract, *etc.*, their answers were quite similar. 42.7% and 1.3 %, of the total participants, respectively stated that they 'agree' and 'strongly agree' with the notion, while 37.0 % stated that they 'disagree' with it.

## 8. SUMMARY AND CONCLUSION

This paper has provided a comprehensive review on the Corporate Governance policies and regulations as per the international insurance organization (IAIS, OECD, IFSB, and AAOIFI). It also highlighted the rules, power and activities of some of the key personnel in the insurance companies such as BoDs, *Shari'ah*

Supervisory Board (SSB), and actuaries, since it's believed that these key stakeholders has an effective impact on the success or failure of any insurance company.

This paper has also identified the main issue related to corporate governance *i.e.* the agency problem, which is a result of the existing ownership separation between the owner (shareholders) and the controller (management), since management is much better informed about the firm's condition and prospects than the owners, which causes asymmetry of information. This paper also reflects the failures of Equitable insurance company which was the result of the failure of the company senior management to convey the required information about the company financial position to the BoDs, with an obvious missing role of the company actuaries to inform the BoDs of the current financial positions of the company which caused the insurance company to declare bankruptcy.

This paper also distinguished between the types of roles that the government can adopt to control the financial system in the country – that the government can either follow the Neo-corporatism or Neo-Liberalism system. Furthermore, insurance companies can adopt a certain corporate governance to run their business – that the companies can follow the Anglo-Saxon Model, the European Model or the Islamic corporate governance Model.

To resolve the issue of the agency problem in the *takaful* industry which might cause denial of some of the participant's rights, the IFSB and the IAIS (2006) has conducted a Joint Working Group, which aims to implement the IAIS conventional insurance core principles into a suitable set of core principles that can suit the *takaful* insurance industry, since most of the IAIS (2011) Core Principles are aimed to provide better treatment of policyholders. The IFSB (2008) has also made a couple of recommendations which eventually will serve the financial benefits of the contributed participants. This paper also highlighted some of the FSA roles that give better protection to policyholders. Finally and most importantly this paper have made a comparison between the ideal definitions of corporate governance with the empirical findings of four different papers that touch on what can be considered as an important pillars of corporate governance. Hence, a shortfall been noticed on TOs' ability to adopt an active disclosure mechanism that can convey participants' financial benefits. Another shortfall been rose that there is a weak in communications with participants, since it's been recommended for the TO's to adopt a smart IT system to properly disseminate information to the public and to the current customers, which in a way enhances participants knowledge about their right in the *takaful* fund. This paper also showed the dissatisfaction position of *takaful* participants with the used way to distribute financial benefits among them.

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## A DISCOURSE OF BEDHAYA KETAWANG DANCE IN KASUNANAN SURAKARTA COURT CONTAINING RELIGIOUS VALUES

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### ABSTRACT

Bedhaya ketawang dance contains a story of the relationship between Panembahan Senapati, the first Kingdom of Mataram Dynasty, and Kanjeng Ratu Kencana Sari/Ratu Kidul. Bedhaya ketawang dance is replete with symbolical meaning closely related to customary rite in the palace so that sacredness and religiosity were always be maintained. Bedhaya dancer should comply with the following rules: consisting of nine dancers, floor pattern surrounding the king on the right and on the left, the dancer should master Pakem Joged Hasta Sawandha, the stipulation of dancing in jumenengan and tinggalan dhalem ceremonies is that the dancers should be in pure and clean condition. The ritual is conducted by taking a bath using seven-type flowers, mutih fast, and Monday-Thursday fast. Meditation is carried out to calm down the heath and to compose the spirit. The discourse had historical argument of language developing and creating a meaning in specific material and historical condition. The historically exploring condition is organized to create and to define specific knowledge/object requiring deconstruction concept. It is true that bedhaya dancers contain religion education values because they introduce human beings with their origin and where they will go back, manunggaling kawula gusti. They also provide religious education to be good-ethic, clean-heart, kind women close to the Creator (God). Laku Prihatin (apprehensive behavior), processing soul, Monday-Thursday fast, mutih fast, implanting education for self-appreciation, creating good reputation for themselves, their family, nation and state.

**Keywords:** Discourse, Dancer, Bedhaya dance, Palace/Court, Religious Value

## Introduction

Bedhaya ketawang dance is considered as the origin of bedhaya. Bedhaya ketawang dance became the direction (kiblat) to which other younger bedhaya dances refer. Bedhaya ketawang dance tells about Panembahan Senapati, the first King of Mataram Dynasty, in relation to Ratu Kencana Sari or Kanjeng Ratu Kidul (the Queen of South Sea). Bedhaya ketawang dance is the one replete with symbolic meaning closely related to customary rite so that sacredness and religiosity are always maintained (Hadiwidjoyo, 1981: 25).

The presence of bedhaya ketawang dance in the palace is indeed expected by the king as a means of inaugurating the King, legitimizing him (Moertono, 1985). Inauguration improves the king's prestige so that the king's position is considered as very lofty. There are some ways to show a king's advantage or superiority, in which he has a power believed as the same as the gods do and the king put himself onto catering to and protecting his people, among others, by means of his ability to ally with supernatural creature to protect peace and composure and welfare on Java Island.

The existence of bedhaya ketawang is used as the king's greatness instrument. Its position is considered as equal to the heirlooms existing in the palace including kriss, spear, and heirloom. Bedhaya ketawang contributes to deifying the king, that the king has kasekten called mawa teja or containing light, giving belief that bedhaya ketawang was created by the king with a sacred rite, namely fast and meditation, because the name of bedhaya ketawang resulted from the king's illusion or dream through a process of creating with entire soul, capability poured into movement and gendhing ketawang, when understood deeply it can lead the enjoyers to have composed and cool heart.

Man-made culture is adjusted with human ability and thought to express himself and cannot be independent of condition where the culture is created (Kartodirjo, 1986). It is also true in bedhaya ketawang dance that human being at that time believes in supernatural creature and power. This belief in universe is inspired with spirit called animism.

Human deed (action) should be in line and not deviating from God's tenet. In addition to revering, dance activity can also be done to glorify religious power in which human being can communicate with God through dance. The ability of representing Panembahan Senapati time is shown by performing bedhaya ketawang sacred dance for worship rite, traditional rite to revere the gods mastering the universe, spirit of ancestor, and glorified supernatural creature. Dancing is intended to get magic power to cope with and to expel any danger thereby to protect human being.

Talking about the product of culture related to movement, performance cannot be apart from any outfit accompanying. In bedhaya ketawang accompaniment should abide. It is a unity of creativity poured into movement combined with gamelan accompaniment and its performers, in this case dancers. Bedhaya ketawang dance is the one performed by nine dancers in which number nine had sacred symbolic meaning. This research revealed the dancers' sacred meaning by studying it using cultural discourse theory. Not only the dancers perform the dance and move but also there are some rights and obligation they should comply with so that the performance will run smoothly and esthetic aspect and spirit achievement can be accomplished because it is related to religious-magic aspect in bedhaya ketawang dance.

Classic court dance cannot be apart from the reign during its creation. Bedhaya ketawang dance was created during King Panembahan Senapati's reign as mentioned in Babad Tanah Jawi (Sudibyo, 1980). It tells about Kanjeng Ratu Kidul and her soldiers' subjection to Panembahan Senapati. It is the manifestation of love affairs between both of them as indicated in Syair Sekar Sinom by G.R.Ay. Bratadiningrat (1991). The King not only had power over people constituting human beings, but also supernatural creatures. It can be seen that the King has a power to command, to lead in everything including political and social area, even a bedhaya dancer's right.

Bedhaya dance is considered as the court (palace)'s heirloom performed by nine female dancers just like bedhaya Semang existing in Yogyakarta court with higher position than other bedhaya dances. Bedhaya ketawang dance was a masterpiece used to support the king's authority embedded through mystical story confirmed by the king, the community became a myth so that this dance was used to preserve the king's high position and what he had created was a sacred masterpiece because its creation process through meditation and finally Panembahan Senapati got pulung (flash of light which gives o. power enabling him to be legitimized as ruler) (Soeratman, 1989).

Behind a masterpiece, in this case a dance related to movement, gending, and accompaniment, coordination occurs between various supporting aspects such as movement, accompaniment, and floor pattern, and there should be dance figures as a means of expressing dance work. Dancer plays an important part in dancing performance. In dance work, the presence of dancer is considered as the product of Javanese music/Javanese karawitan performance only. Dancer in classical dance has a variety of requirements to achieve and to achieve Hasta Sawanda level. In a performance, dance not only serves as complement only, but he/she is considered as representing his/her creator to convey a work's message.

Bedhaya ketawang dancers originally required to use various rituals as the absolute condition in dancing by requiring them to perform in pure condition with fasting and other ritual by taking a bath with

flower water and making ritual offering (sesaji) before the performance begins (Dewi, 1993). In addition, ritual that should be complied with does not allow the dancers to look up during dancing, so that they should look down. Revealing dancers and king's rule as creator and leader of court, it can be seen whether or not rituals and stipulations established by dancer is absolutely a must, bedhaya ketawang dancers' discourse benefiting the Javanese community, dancers and artists and choreographer and goodness tenet to community life, particularly Javanese community.

Talking about dancers, Bedhaya dancer should comply with the following rules: consisting of nine dancers, floor pattern surrounding the king on the right and on the left, the dancer should master Pakem Joged Hasta Sawandha, the stipulation of dancing in jumenengan and tinggalan dhalem ceremonies is that the dancers should be in pure and clean condition. The ritual is conducted by taking a bath using seven-type flowers, mutih fast, Monday-Thursday fast and meditation. Discourse of bedhaya ketawang dancer is consistent with Foucault (1972) stating that Cultural Studies is a system to interpret latent meaning in language that describes and analyzes the discourse and the effect of it. Discourse has historical argument of language developing and creating a meaning in specific material and historical condition. The historically exploring condition is organized to create and to define specific knowledge/object requiring deconstruction concept. This theory provides an appearance giving meaning displayed in discursively created language.

Discourse can construct, define, and result in object of knowledge in logical ways thereby override other reasoning form as illogical way. Discourse provides the way of speaking in certain ways and with certain topic or viewed from a series of ideas, practices, and knowledge repeated throughout activity thereby a discourse can be created (Foucault, 1977). Discourse governs not only what is said but also certain cultural and social condition, and who, when and where it is said, so that its work can be included into a study of power. Specifically, truth regime involves the relationship between power and knowledge. Foucault concentrates on three disciplinary discourses:

1. A science making the subject an object of investigation
2. Segregation practice separating an insane man from a normal one, criminal from law-loyal citizen, and friend from enemy.
3. Self-technology in which individual change him/her self into subject.

It can be seen the presence of reciprocal relationship between power and knowledge, so that knowledge cannot be separated from ruling regime so that it is not only receptive but also productive and bringing about subject impacting on the organization rather than inhibition.

Character is closely related to attitude and choice of taking action. Through bedhaya dance included into pakem and dancing precondition, character education can be realized with various life values, such as religiosity, service, commonness, submission (Ismawati, 2013), practicing the spirit in developing life experience, character establishment, providing inner satisfaction, comfort, etc.

## Method

This research employed a qualitative and descriptive interpretative data analysis method with hermeneutic approach. Data constituted words, idiom, action that can be observed for concept development, considering the setting holistically rather than as independent variables (Kaplan, 2010). Interpretative analysis was conducted by explaining truth (interpretation) process and human in historical interpretation. Through revealing the text in latent interpretation, it could be found the meaning of bedhaya ketawang dancers who were religious. This approach was combined with discourse theory and concepts. Data was displayed and thereby analyzed corresponding to a study on the problems the dancers encountered. Considering the analysis, the data was valid corresponding to that in the field. Science culture is very multidisciplinary in nature thereby used various theories such as deconstruction, semiotic and hermeneutic, finding that bedhaya dance was a product of court culture resulting in cultural product as guidance, point of view, and direction for Javanese people's goodness.

## Result and Discussion

Historically, bedhaya ketawang dance is a ritual dance that is magic, ritualistic and religious in nature. It was intended to Jumenengan Raja (King Inauguration) and King's birthday ceremonies. Bedhaya dance existed in the relief of Syiva temples because the movements of bedhaya dancers are exactly as same as those existing in Prambanan or Rara Jonggrang Temple. The process of creating Bedhaya dance employed semedi (meditation) to pour idea and gendhing adjusted with dancers' movement.

The dance work manifested in bedhaya dance form is viewed from sacred process with imagination. Bedhaya dance serves as an authentication that the king's work is heirloom and considered as having high sacredness. Bedhaya dance performed once a year in Sasana Sewaka in addition to be intended to jumenengan ceremony is also intended to legitimate that the king still has power even only to maintain the court and art within it.

A king's works are all considered as sacred so that the king's dance work pay considerable attention to practice day, practice place, dancer, pengrawit, and even spectator. Bedhaya dance has a rule concerning

dancers, floor pattern, fashion, make-up, and hall. Court life and content are expected to guide the community, so that the king will have his own way by keeping showing off his power even only with dance art.

The process of creating bedhaya dance work maturely through meditation eventually resulted in an idea poured into dance movement, and accompaniment. The king's philosophy has taken into account thoroughly the aspects of it including nine dancers, gamelan gendhing Lokananta, with laras pelog, pathet lima, gendhing ketawang gedhe. Tembang Sindhenan constitutes tembang gerong rather than gendhing karawitan; listening to its accompaniment seems to be wingit.

Bedhaya dance has various irremovable stipulations, that bedhaya dance should be performed before the King, and spectators should come to see spectacle. Dance work is used as a means of uniting human being with his God. Bedhaya dance is a ritual to approach human being to the Creator. A king has responsibility to give his people life advices. The embedment of personality is done by implanting latent subtle but penetrating rule to his people. The king has no political and government power, but for life sustainability of court, art product is the king's responsibility. Court sustainability cannot be independent of king's success in maintaining the court and all of assets within it including bedhaya dance and its dancer for court cultural sustainability and preservation.

Bedhaya dance as legitimacy is held only once a year during jumenengan raja on May 2015 even it remains to be held in non-conducive condition of court. Internal condition of court not inhibiting bedhaya dance to be performed here proves that the king is the power, so that whatever he said should be done.

The existence of bedhaya dance in the last song lyric reveals that bedhaya dance is the one to approach human being to God, that is, "how the human life is, human will go back to his origin". It reminds us that we should remember who we are, who creates us and we will go back to our creator so that we should realized that we should use our time in the world to look for pahala (reward for moral conduct), goodness to be used as our supply to go to hereafter. The existence of Bedhaya dancer cannot be apart from number nine: Nine dancers have some meanings: (1) Number nine is a sacred number; it also represents nine walis (Islam religious leaders) in Java area in which the community believes in them because they played big role in Syiar (Islam religion proselytizing) in Java island. They are Sunan Bonang, Sunan Gunung Jati, Sunan Muria, Sunan Ampel, Sunan Kudus, Sunan Kalijaga, Sunan Drajat, Sunan Giri, and Sunan Gresik. (2) Nine is taken from element of constellation existing in Indonesia and in Java area, the stars consist of Lintang Luku, Kukusan, Gemak Tarung, Panjer Rina, Panjer Sore, Lanjar Ngirim, Joko belek, Lintang Cebok, Lintang Kartika. (3) Nine human secreting holes. They are: two eyes, nose, mouth, genitals, anus. It means nine passions that should be muffled to be a true Javanese man. (4) Nine also represents the number of spirits existing within human being: Al-Hayat,

Rabbani, Nurani, Rahmani, Al-Jasad, An-Nabati, Agl, Rewani/Sukma, and Rohani/ego spirits. It reminds human being to always remember his God conducting and nullifying it.

The meaning of bedhaya ketawang dancers symbolizes nine human body organs: Batak, Endhel ajeg, Endhel weton, Apit ngarep, Apit mburi, Gulu, Dhadha, Buncit, Apit Meneng all of which have meaning of a beautiful woman's body organs, with perfect body organs from head, neck, right and left hands, body, right and left hands to secreting holes or anus. Human being has kind heart and thinks rationally and logically and beautiful woman's body symbolizes bedhaya dancers having inner and outer beauty so that they have beautiful heart and mind.

Bedhaya dance has precondition that should be met in the staging from practicing process every Selasa Kliwon constituting good day, Anggara Kasih, in practicing process, incense should be burnt as the expression of gratitude and to ask for practicing smoothness and too much talk, screaming, and joke are prohibited. Practicing process always runs quietly. Discourse is similar to verbal expression in writing so that within the dancers of bedhaya ketawang there are some things that the King can teach to his people disguisedly through symbols and conditions to implement in dancing because of Titah Raja (the King's Command), including: (1) Bedhaya dancer: Pure condition means that a woman should be in pure condition because she should be able to maintain her purity. Pure also means in non-menstruating condition. (2) Clean means that a bedhaya ketawang dancer should be clean from khadas kecil or besar (small or big impurity) so that the dancer's clean body is interesting to see despite tan skin, and clean heart, thinking rationally and not using physical strength only. (3) Fragrant means there are some fragrances of bedhaya dancer's body, and it means that a woman can maintain her own and her family's name. (3) Virgin means the dancer is still a girl, the virgin bedhaya ketawang dance has smart aura thereby having spirit to do all the best called mungkar-mungkare (in Javanese term). (4) 17-25 years is the age selected because in this age range, the dancer is still able to dance for one to two hours, and in this age range, woman still has tight skin, is beautiful, has brightface so that she has good looking. (5) Mutih fasting rite is intended to practice laku prihatin, thus the heart will be sharpened and mental is achieved as well, mutih fast here means eating a fist of white rice and a glass of water. (6) Monday-Thursday fast has an objective of cleaning heart and spirit and for mental composure all at once to be a true Javanese human (7) Taking a bath with seven kinds of flower; flower symbolizes ripening and symbolizes a dancer's beauty to take a bath to make her body fresh so that she can dance maximally, and a woman can maintain family, nation and state's good reputation. Bedhaya ketawang dancers should meet the following conditions: Mastering Hasta Sawandha levels consisting of: 1) Pacak: movement form and quality, 2) Pancad: the change from one movement to another, 3) Ulat: eye focus corresponding to form, quality, character, role they play and necessary circumstance, 4) Lulut: the movement uniting into the dancer, 5) Luwes (flexible): The

quality of movement corresponding to the character they perform. 6) Wiled: movement modification developed with the character they perform, 7) Rhythm, overall dance work plot and showing the relationship between movement and its accompaniment, 8) gendhing, accompaniment mastery, such as gendhing forms, striking pattern, song feeling, tempo rhythm, rasa seleh (submission feeling), and tembang or other vocal mastery. The concept of bedhaya dancer is Driya Laksmi with movement vocabulary including: 1) Polatan Anglirik Driji, 2) Pacak Gulu Ganil, 3) Jaja Pajeg Semu Tanggab, 4) Leyot Wingking, 5) finger form of Tangan Ambaya Mangab, 6) Bentuk Tanjak Tambak Sampur, 7) Adek Tambak Aya, 8) Patrab Beksa Mucang Kanginan.

From the study on Bedhaya ketawang dancers, in fact it can be found they contains religious education value introducing to human being about where he/she comes from and where he/she will go back and giving religious education to be a woman with good ethic, clean and kind heart, close to God, laku prihatin by processing mental with Monday-Thursday fasting, mutih fasting and implanting education to get self-esteem, to make good reputation for herself, her family, nation, and state.

It can be seen clearly that a woman should maintain her respect by keeping away from small and big impurities (hadas kecil and besar) and maintaining purity meaning clean point of view and Javanese women's mindset. It means clean, fragrant heart and mature mental in thinking and taking action according to Islam perspective, Javanese culture. Bedhaya dancers not only dance but also are at a uniting dancing stage Manunggaling Kawula lan Gusti so that human being can unite with universe and with God.

Religious value teaches belief to approach God to get life comfort, soul composure, and to establish commonness. Bedhaya dance is a type of dance in group cannot be performed alone, so that coordination is highly required among its dancers in establishing compactness and coordination between one dancer and another in order to achieve the feeling of dancing.

Dancer is made as a means of achieving an objective behind king's disclosure, revealing that dancer should be pure and clean meaning clean in her behavior. Other studies' finding shows that the condition of dancer should be pure or clean representing the King's goal. Everything existing in the court including dance, dancer, abdi dhalem bedhaya, abdi dhalem karawitan, and heirloom should be subjected to Titah Raja (King's Command). Dancers are used to be a means to achieve end (goal) thereby they are suppressed to be subjected to the King's instruction as if they have other interpretation. Hopelessness makes bedhaya dancers only nurut, manut, ngenut (complying with). Subjection level on the behalf of titah raja should be obeyed by dancers.

Conclusion

A discourse of bedhaya ketawang dancer provides character education value as Javanese human and particularly Javanese woman. The religious values existing within the dancers should be cultivated and developed continuously in order to unite dancers' spirit so that they achieve Manunggaling Kawula lan Gusti stage during dancing bedhaya and promoting the life that can balance the life in the world and that in hereafter. Promoting and cultivating commonness and compactness in this stage have been more important and the most important is the feeling toward spirit composure.

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## **A Sample of preparing Program for Group Physical Education Instructor (GPEI).**

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### **Introduction:**

It's best to have plenty of experience and knowledge about how to perform and teach different physical activities to motivate students for participant and it should help them to learn more.

So it was very important to look forward and choose which program it's good and required. also we have to look which tools we can use it to increase students motivation for the class, and one of this was the music which provides sense of pace and the motivation to keep it, In addition, musical exercise sessions offer to achieve fitness goals in some of components of physical fitness.

Also about aerobic aims which improve the general performance of the organism and motor elements such as power, so its mean we have to interested to add it.

From here we had a problem for the instructor to know how to improvement the components of physical fitness in anew design of the class, so using aerobic it was important to help him for this like said "OLIVER BARTECK". Also it was important for the instructor to aware the difference between muscular strength and muscular endurance , and how to develop it, that's what touched it "PETER HASTIE& ELLEN MARTIN".

So the preparing Program for Group Physical Education Instructor (GPEI) it was important to help them to increasing the components of physical fitness in a new design of classes.

### **Study Aim:**

Design a Sample of preparing Program for Group Physical Education Instructor (GPFI) to improve the components of physical fitness by using new classes which equal for work field.

### **Methodology**

Experimental Research

### **Participants:**

The participants: Physical education and another collages students and graduated ( 9 groups)

### **Experimental group:**

Eighty Three (83) students were involved in the study as Experimental group, they applied the sample of the program.

Group	PE students and Another collages students and graduated (ALL)	PE students and Another collages students and graduated (Experimental group)	PE students and Another collages students and graduated (OUT)
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<b>1</b>	<b>10</b>	<b>10</b>	<b>0</b>
<b>2</b>	<b>10</b>	<b>10</b>	<b>0</b>
<b>3</b>	<b>10</b>	<b>10</b>	<b>0</b>
<b>4</b>	<b>10</b>	<b>10</b>	<b>0</b>
<b>5</b>	<b>10</b>	<b>8</b>	<b>2</b>
<b>6</b>	<b>10</b>	<b>9</b>	<b>1</b>
<b>7</b>	<b>10</b>	<b>10</b>	<b>0</b>
<b>8</b>	<b>10</b>	<b>9</b>	<b>1</b>
<b>9</b>	<b>10</b>	<b>7</b>	<b>3</b>
	<b>90</b>	<b>83</b>	<b>7</b>

### **Program for Group Physical Education Instructor (GPFI) Design**

The numerical simulation analysis consisted of a four dimensional of Evaluation. It's:

1. Practical ( Basics- Music- Cueing-Teaching Style- Class Design)
2. Theatrical (Components of physical fitness)
  - Muscular Strength
  - Muscular Endurance
  - Cardiovascular
3. Evaluation
4. Fitness test. (Cardio & Muscular Endurance)

We applied

- some of basics and how to do it with music.
- 2 teaching style at first dimensional (link and add) .
- program plan it is consisted of 5 parts (Warm up, Built-up & routine, cool down, Strength and endurance training and final stretching.
- How to know the different between muscular strength and muscular endurance.
- How to evaluate yourself and another instructor
- Cardio and muscular endurance workout to increase their fitness level

**Period:** from Feb 2015 to Nov 2015 (10 months).

Every group 2 Months- 2times weekly -4hours

After 2 months they have 4 exams for 4 parts

### Results

Group	Start Date	Finish Date	Total	out	in	Certify	Failed	75%+	85+	90+
1	2-2	11-4	10	0	10	10	0	7	3	0
2	15-2	8-5	10	0	10	9	1	4	5	0
3	15-3	3-6	10	0	10	7	3	5	2	0
4	6-6	3-8	10	0	10	9	1	9	0	0
5	10-7	15-12	10	2	8	7	1	6	1	0
6	8-8	5-10	10	1	9	9	0	3	6	0
7	10-10	13-12	10	0	10	10	0	8	2	0
8	19-11	15-1	10	1	9	9	0	5	4	0
9	22-11	23-1	10	3	7	7	0	5	2	0
			90	7	83	77	6	52	25	0

After we applied (9) groups at our program. (92, 7%) successful to be GPE Instructors and prepared to teach physical Education class and they have facilities to teach safety and effective classes . (7.3%) they failed and it was related with first dimensional (practical part)

After applying this program on different categories, we found more participating more than traditional way at fitness classes and this equal some of papers and books with the same results which said the group fitness classes with this ways and new teaching style make participates be happy and more effective and this proposal help to make a good fitness instructors

### Discussion

The program consisted of 4 dimensional to prepare Group physical Education instructor and all of the parts helps student to got a high score and all of this for :

The highest evaluation (85+) for who was practice on (practical part) (Aerobics) so its important part to put it in this program for the aims of this study because its improve the general performance of the cardiovascular system and also the movements improve the coordination .which like said “**OLIVER BARTECK**”

Also about Strength and endurance part many students failed at this part, they didn't know what the difference between them and this point it's important like said “**PETER HASTIE& ELLEN MARTIN**”.

The design had some of basics and it was like what “**PETER**” said “ it's important to know this movements and how to make chirography and do it with the music.

The period of the program (8 weeks) it was enough like **MEDVIS J, PATERSON M & else** (2008) study. We had (9) groups in 10 months, after survey we got it many of instructor students participant at our program after they know it from alumni GPEI Program. That means they need it because it help them to cover what they need and let them to know how to teach safety and effective class like vision for American Council on Exercise (**ACE**).

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# UNDERSTANDING VISUAL SYSTEMS AND PATTERNS IN TECHNICAL ILLUSTRATIONS

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## ABSTRACT

Effective user manuals communicate procedural information through the use of technical illustrations that demonstrate effective visual understanding of the task context. The purpose of the study is to explore the effectiveness of technical illustrations in a physical task environment. This research is important for understanding how visual communication can effectively communicate proper design of the desired task, and leads to an in-depth understanding of users' visual perceptions. There are differences in human perceptions when understanding any image, and so this research is useful for finding appropriate technical illustrations for delivering accurate and specific information. I designed an experimental scenario that included a variety of images of a man in five playing positions taken from three camera positions in the Y axis (vertical axis), five rotational positions around the waist height of the man (front to back positions), and two distances (zoomed-in ~ zoomed-out). 12 participants took part in the experiment. Each participant was handed out 150 images in total (30 images per playing position) for all the permutations related to overhead, waist height, and bottom camera-height positions. Each image had 4 text options with one correct option to accurately identify the correct body position shown in the picture. Each text option was written in one sentence, describing the image (correctly or incorrectly). The subjects also had to self-report their confidence level for each body height-camera rotation combinations. Results suggested that front camera positions are relatively easy to identify. However, there is statistically insignificant data to identify any one body position as being superior to the other ones. For body positions where head and feet are reversed, facial expressions and time taken to complete the test suggested that many subjects hesitated over the choice of the correct answer. Thus it shows that such images do not make it easy to see the whole body. This research is concerned with mental imagery. MI is the process of practicing a physical action mentally, and this process happens for both the technical illustrator and the reader of a user manual for a given physical action.

**Keywords:** Illustrations, Visual, Manuals, Procedural, Projection, Technical

## 1. INTRODUCTION

Technical illustration is broken down into three categories based on the type of communication. In communication with the general public, technical illustration contains simple terminology and symbols that is called creative technical illustration. In specialized engineering or scientific communication, technical illustration contains its own complex technology and specialized symbols. In communication between highly skilled experts, technical communication use illustrations found in user documentation, and these illustrations are very complex and have jargon and symbols not understood by the general public. As part of our

experiment, we will focus entirely on the use of technical illustrations for user documentation, as is used to explain physical procedures for complex procedures. But this will be done with a focus on the end user.

Information design is an essential part of understanding procedures for complex physical or other activities. Designing technical illustrations is one way to document information, such that complex procedures are understood and visualized to depict an action, exactly as it unfolds in the real world. By definition, technical illustration is the use of illustrations or pictures to visually communicate information of a technical nature, and such pictures often is expected to include components of technical drawings or diagrams. Technical illustrations make easier understanding of important information to a nontechnical audience. For complex visual information, we often see physical postures that are difficult to draw in a 2D landscape as in hard copy user manuals, or we see physical objects, where certain viewpoints are obscured from the line of sight. Technical illustrations, if drawn with proper guidelines, and visual understanding of the actual physical object or action, should make the process of visualization and procedural comprehension easier.

Technical illustrators draw different kinds of images showing different physical actions for different tasks. This experiment allows them to have an overall understanding of how these variations could be understood by the actual reader of the user manual, and for those who will act upon the information in the physical space. The challenge for a technical illustrator is the fact that there are some differences in people's perception when understanding any given image. This is because the actor can interpret the physical actions related to a given task in different ways. Under such circumstances, if we have a standardized understanding, then chances are more that the task will be completed in a similar way and with similar outcomes. Therefore, this study is important in my attempt to deliver exact information by finding technical illustrations that are easier to understand for given task situations.

The first section in my thesis deals with an introduction of how technical illustrations are understood. The second section summarizes a short review of the literature on technical illustrations design and mental rotation. The third section explains the methods followed for designing this experiment. The fourth section deals with the findings from the study. Finally, a conclusion section summarizes the study findings and explored how future research on this topic could progress.

## **2. REVIEW OF LITERATURE**

Before we move into explaining the experiment conducted as part of this project, it is important to understand a few relevant concepts that defines how the objects have been rotated in the context of this study. Technical illustration uses basic mechanical drawing configurations called axonometric projection, parallel projection and many types of perspective projections. Technical illustration and computer-aided design use 3D and solid body projection.

### **a. Projection systems**

Broadly, there are two types of projection: parallel and perspective (Bitter, Ingmar, and Arie E. Kaufman., 1998). Parallel projections (Shetty, Bala, and R. Muthukrishnan. 1990) have lines of projection that show important visual angles in a given object in the projection plane. However, the depth perceptions are not entirely clear in parallel projections because of its infinite focal length. An important ancillary concept in parallel projection is the use of “pictorials” which shows all three angles (X, Y and Z axis) of an object in the same visual plane, and in the same picture. Axonometric projection (a type of pictorial projection in the parallel category) is a type of parallel projection that is used to create a pictorial drawing of an object, where the object is rotated along one or more of its axes relative to the plane of projection. This concept justifies our use of five different angles of camera rotation along the X and Z-axis. This concept is often referred to as “canonical viewpoints” in the technical communication literature. As part of our experiment, we used this concept to show 1/3rd viewpoints from the side and back angles, making all the axes visible in the same visual plane. Perspective projection (Ohta, Tu-ichi, Kiyoshi Maebobu, and Toshiyuki Sakai., 1981) is an approximate representation, on a flat surface, of an image as it is seen by eye. This offers a more realistic understanding of depth with a finite focal length. Our experiment conducted viewpoint studies where the depth perceptions were explored through zoomed-in and zoomed-out 3D images in the projection plane. These zoomed-in and zoomed-out images allowed us to make differentiation between finite and infinite focal length for a given visual display.

## **b. Computer-aided design**

Computer-aided design is the use of computer systems to assist in the creation, modification, analysis, or optimization of a design (Renner, Gabor, and Aniko Ekart., 2003). Gooch et al., (1998) suggested that to document an entire manufactured object, six or more static images might be ideal to show top, bottom, left, right, front, and back sides of the object. These images are generally regenerated each time a new part or procedure is documented. As part of our study, we have asked readers to try and mentally animate a physical action from a static image. This kind of visual communication research is surely necessary to understand print user manuals. However, in the age of CAD design, online documentation and online shopping there could be better options available for visually communicating procedural information. Instead of a series of static technical illustrations, more information could be provided if users interact with a 3D model of the part being documented or sold. Interestingly, it is still widely believed that traditional hand-drawn technical illustrations do a better job of describing the shape, structure and material composition of objects than traditional computer graphics (Gooch et al., 1998). As part of this study, we used the Poser Figure Artist 10 version CAD software to draw the images based on different projections.

## **c. Mental Imagery**

Mental imagery (MI) helps us understand physical actions. MI makes it easier to understand some invisible body parts. Therefore, it gets easier to understand perspectives of matter. Mental imagery is the process of practicing a physical action mentally, in the absence of the actual physical practice. Mental imagery might include visual, auditory and kinesthetic modes of information in an attempt to internalize and mentally

visualize how a physical scene should unfold. The experience of a well-internalized mental imagery should happen for the technical illustrator, as well as the user and the reader of a user manual for a given physical action. The idea is to depict and understand an action, exactly as it should happen in reality.

With mental rotation, we are trying to answer how abstract information is represented by the mind. Mental rotation is a certain representation of a mental imagery when an object is thought to have been turned in the 3D space in certain ways. Mental rotation helps to make up a more precise mental imagery through an appropriate mental construction of a picture or image. Thus, it helps to judge mental imagery exactly. The original mental rotation experiments were conducted by Roger Shephard and Jean Metzler (1971). Also, Cooper (1976) suggested that when doing a matching task, people actually mentally rotate the object. By matching task, the idea is to understand if an object is the same (the object is rotated from previous position) or different (mirror reflection). Most people, according to the research above, won't be able to understand whether the object is same or different, without performing mental rotation. Thus, people will construct their own mental imagery in a way that best explains the position of objects in space.

#### **d. Canonical Viewpoint**

Two-dimensional representations of three-dimensional objects are most effective when illustrations put objects in a three-quarter view from slightly below the camera position. This canonical view may be effective because it allows viewers to see several surfaces of objects. The sides of people's brains process object-centered visual information, and body-centered visual information is processed by the top rear of their brains. These differences in brain processing also transfer to differences in people's reactions to visual information. People who joined a body-centered task felt more confident with images that placed critical distances across the display plane (Krull, R., Sharp, D, M., and Roy, D., 2003).

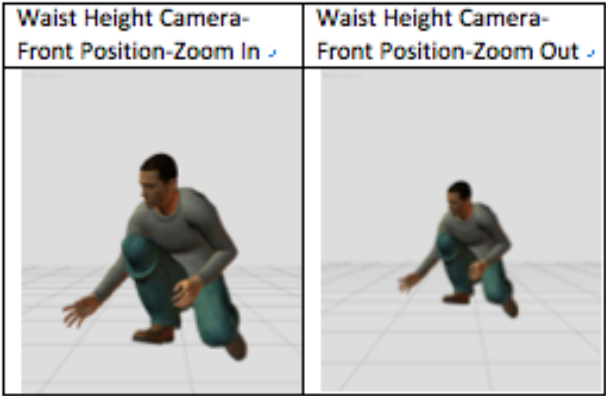
### **3. THE EXPERIMENT**

The experiment conducted for this research project explains how a physical action with different playing positions are understood by people without any experience in drawing technical illustrations. Further, for the playing positions chosen for this study, it was not related to any specific kind of sport, but rather the idea was to show different complex physical positions by an actor in a 3D space.

This experiment fits into the context of this discussion because it involves an acute understanding of both mental imagery, and mental rotation for different positions. The purpose was to see whether readers are able to differentiate between body positions shown from different angles, heights and camera distances. This experiment allowed us to understand to what extent, with such variations and variables involved (e.g., camera height, angle of rotation etc.), people are able to actually understand a given position, by reading a text that describes the shown position.

For this experiment, I made pictures of a man who is shown with 5 body poses (reported as Playing 01~Playing 05). For experimental conditions, each body pose was shown from 5 directions - namely, Front, 1/3rd Side, Side, 1/3rd Back and Back (the camera revolved around the person). Each of these combinations of body pose-direction was then shown from Top (TC), Front (FC) (waist height), and Bottom Camera (BC) heights. All of the above combinations for body pose-direction-camera height were then shown from a zoomed in and zoomed out perspective. For all of the above combinations, in total, each participant got 150 experimental conditions (150 test pages). Each of these 150 experimental conditions had 4 sentence choices that described the image in the picture textually, with only one out of 4 text choices being correct. The reader (participant) had to identify the correct text choice for the image that showed a certain combination of body pose-direction-camera height - zoomed (in/out) perspective. 12 participants took part in the study.

I recorded the time that participants took to choose their answers and the degree of their confidence in the chosen answer for each of the 150 test cases that they encountered.



**Figure 1. Illustrations showing waist height camera position zoomed in and out**

Figure 1 shows the picture of a man facing the front, taken from waist height camera position, and it is zoomed in and zoomed out.

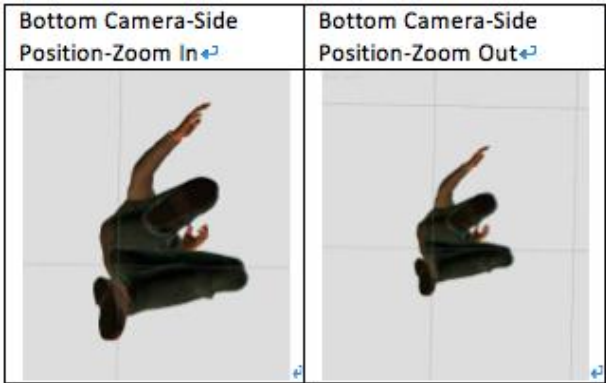


Figure 2. Illustrations showing bottom camera position zoomed in and out

Figure 2 shows the picture of a man facing the side, taken from bottom camera position (zoom-in/out).



Figure 3. Illustrations showing top camera position zoomed in and out

Figure 3 shows the picture of a man who is facing the 1/3rd back, taken from top camera position, and it is zoomed in and zoomed out.

Playing 01-FC-Z1

Playing 01: Questionnaire #3

This questionnaire shows certain body position from different camera heights and angles. The five camera angles shown are front, 1/3rd side, side, 1/3rd back, and back views. The image is shown either zoomed in or zoomed out and the camera is placed below, at, or above the body height of the person.  
Your task will be to study the image shown carefully and then identify the correct text description that matches your understanding of how the image is shown.  
この質問は、異なるカメラの高さや角度からの、ある体の位置を示しています。5つのカメラアングル（角度）は、正面、斜め前、横、斜め後、後の視点を表しています。画像は、拡大または縮小で示されており、カメラ（高さ）は人の体の高さの下、真ん中（正面）、上に位置されています。  
課題は、画像をよく見て、画像の示され方についてあなたの解釈に一致する正しい文の記述を見極めることです。



1. Study the figure carefully and then identify which sentence fits the description of the image.  
(図をよく見て、画像についての記述に合う文を選んで下さい。)

- ☐ This is a zoomed-in side image of a man playing, and taken from the bottom camera height.  
(これは、拡大された男性の横の画像で、下カメラから撮られたものです。)
- ☐ This is a zoomed-out front image of a man playing, and taken from the top camera height.  
(これは、縮小された男性の正面の画像で、上カメラから撮られたものです。)
- ☐ This is a zoomed-in front image of a man playing, and taken from the front camera height.  
(これは、拡大された男性の正面の画像で、正面カメラから撮られたものです。)
- ☐ This is a zoomed-out 1/3rd side image of a man playing, and taken from the front camera height.  
(これは、縮小された男性の斜め前の画像で、正面カメラから撮られたものです。)

## Figure 4. Illustrations showing SurveyMonkey

Figure 4 shows the pictures from SurveyMonkey I used in the experiment. The pictures were generated using Poser Figure Artist 10 software and then put into SurveyMonkey to generate the experiment pages. For each of the test pages, the subjects were asked to self-report their levels of confidence with which they have identified the text option (out of the 4 text options) that best represented the given picture in the test page.

### 4. FINDINGS

Most people who joined this experiment chose the correct answer for front camera positions. There are differences in each answer depending on the pose of man shows from bottom and top camera positions. Specially, many people who joined this experiment took time to choose the answer for postures that were difficult to understand and were part of playing 02 and playing 04 categories. There wasn't any significantly large difference between zoomed-in (ZI) and zoomed-out (ZO) positions for any given pose-camera height-direction categories. Many people who joined this experiment chose the correct answer depending on the image of a man shown from side-view in every camera position and they were confident with the answer. Also, on bottom camera and top camera positions, they were not so confident when compared to waist height camera positions.

The confidence ratings in the tables below show a summative value of "Confident" and "Very Confident" categories in the Likert scale.

**Table 1: Playing 01 - Overall Accuracy Scores and Percentage of Users Reporting Confidence in the Activity (In a Likert scale added percentages for "Very Confident" and "Confident")**

Camera Position	BC-ZI		BC-ZO		FC-ZI		FC-ZO		TC-ZI		TC-ZO	
	AC	C	AC	C	AC	C	AC	C	AC	C	AC	C
Front	83.33	75.00	100.00	83.33	91.67	83.33	75.00	66.67	100.00	50.00	100.00	50.00
1/3 <sup>rd</sup> Side	91.67	42.67	75.00	50.00	91.67	66.67	100.00	50.00	91.67	58.33	41.67	58.33
Side	100.00	100.00	91.67	100.00	100.00	91.67	100.00	25.00	83.33	41.67	91.67	25.00
1/3 <sup>rd</sup> Back	91.67	66.66	100.00	66.67	100.00	100.00	100.00	33.33	91.67	25.00	91.67	33.33
Back	100.00	91.66	91.67	91.66	100.00	100.00	100.00	100.00	100.00	83.34	100.00	83.33

In bottom camera, accuracy data of side and back is high, but confidence of 1/3rd side is low. In front camera, accuracy data is high as a whole, confidence of zoom out is lower than that of zoom in. In top camera, accuracy data of front and back is high; confidence is low as a whole. Overall, confidence of 1/3rd side is low.

**Table 2: Playing 02 - Overall Accuracy Scores and Percentage of Users Reporting Confidence in the Activity (In a Likert scale added percentages for "Very Confident" and "Confident")**

Camera Position	BC-ZI		BC-ZO		FC-ZI		FC-ZO		TC-ZI		TC-ZO	
	AC	C	AC	C	AC	C	AC	C	AC	C	AC	C
Front	50.00	58.34	83.33	50.00	100.00	83.34	100.00	41.67	100.00	83.34	100.00	16.67
1/3 <sup>rd</sup> Side	75.00	58.33	91.67	33.33	100.00	41.67	100.00	83.34	100.00	33.33	100.00	66.67
Side	83.33	91.67	83.33	83.33	100.00	100.00	100.00	100.00	100.00	91.66	100.00	91.67
1/3 <sup>rd</sup> Back	91.67	58.33	83.33	41.66	100.00	33.34	100.00	66.67	100.00	50.00	100.00	75.00
Back	91.67	58.33	83.33	58.33	91.67	75.00	100.00	41.67	83.33	91.67	100.00	33.33

In bottom camera, accuracy data of bottom camera is high as whole, and confidence of side is high. In front camera, accuracy data is very high, and confidence of side is high. In top camera, accuracy data is very high, and confidence of side is high. Overall, confidence of side is high, but other confidence is not so high.

**Table 3: Playing 03 - Overall Accuracy Scores and Percentage of Users Reporting Confidence in the Activity (In a Likert scale added percentages for “Very Confident” and “Confident”)**

Camera Position	BC-ZI		BC-ZO		FC-ZI		FC-ZO		TC-ZI		TC-ZO	
	AC	C	AC	C	AC	C	AC	C	AC	C	AC	C
Front	100.00	25.00	100.00	66.66	100.0	100.00	91.67	100.00	100.00	16.66	91.67	66.67
1/3 <sup>rd</sup> Side	100.00	91.67	100.00	33.34	91.67	16.67	100.00	91.66	100.00	50.00	100.00	25.00
Side	100.00	91.66	100.00	91.66	100.00	16.67	100.00	16.66	100.00	100.00	100.00	100.00
1/3 <sup>rd</sup> Back	75.00	83.33	83.33	50.00	100.00	100.00	91.67	8.33	100.00	58.33	100.00	25.00
Back	100.00	25.00	83.33	83.34	100.00	100.00	100.00	100.00	100.00	16.67	100.00	66.67

In bottom camera, confidence of side is high. In front camera, confidence of side is low, and there is a great difference in 1/3rd side and 1/3rd back. In top camera, confidence of side is high. Overall, accuracy data is high.

**Table 4: Playing 04 - Overall Accuracy Scores and Percentage of Users Reporting Confidence in the Activity (In a Likert scale added percentages for “Very Confident” and “Confident”)**

Camera Position	BC-ZI		BC-ZO		FC-ZI		FC-ZO		TC-ZI		TC-ZO	
	AC	C	AC	C	AC	C	AC	C	AC	C	AC	C
Front	50.00	25.00	58.33	50.00	100.00	91.67	100.00	91.66	75.00	25.00	75.00	58.33
1/3 <sup>rd</sup> Side	58.33	54.54	83.33	58.34	100.00	16.66	100.00	91.66	75.00	66.66	75.00	41.67
Side	66.67	91.67	83.33	100.00	100.00	16.67	100.00	16.66	75.00	91.67	83.33	91.66
1/3 <sup>rd</sup> Back	58.33	50.00	58.33	50.00	100.00	100.00	100.00	16.66	75.00	50.00	58.33	41.67
Back	41.67	33.33	58.33	50.00	100.00	91.67	100.00	91.67	83.33	33.33	75.00	58.33

In bottom camera, accuracy data is not high as whole, and confidence of side is high. In front camera, accuracy data is high, and confidence of side is low, there is a great difference in 1/3rd side and 1/3rd back. In top camera, confidence of side is high, other is not so high. Except for front camera, confidence is not so high.

**Table 5: Playing 05 - Overall Accuracy Scores and Percentage of Users Reporting Confidence in the Activity (In a Likert scale added percentages for “Very Confident” and “Confident”)**

Camera Position	BC-ZI		BC-ZO		FC-ZI		FC-ZO		TC-ZI		TC-ZO	
	AC	C	AC	C	AC	C	AC	C	AC	C	AC	C
Front	83.33	33.33	91.67	41.67	83.33	91.67	83.33	83.33	100.00	66.66	100.00	33.33
1/3 <sup>rd</sup> Side	100.00	50.00	83.33	58.33	83.33	33.33	91.67	75.00	81.82	66.67	100.00	58.33
Side	83.33	33.33	83.33	33.33	100.00	0.00	75.00	83.33	91.67	8.33	91.67	58.34
1/3 <sup>rd</sup> Back	58.33	8.33	75.00	16.66	100.00	91.67	100.00	16.66	72.73	25.00	91.67	66.67
Back	66.67	33.33	83.33	58.33	100.00	91.67	91.67	16.67	100.00	83.33	100.00	83.33

In bottom camera, confidence is low as whole. In front camera, accuracy data is high as whole, but there is a great difference between confidence of zoom in and zoom out. In top camera, accuracy data is high as whole, but confidence is low. Overall, confidence is low.

## 5. DISCUSSION AND CONCLUSION

For waist height camera positions, accuracy scores are always high regardless of the body posture, camera height, and distance from the camera (zoomed-in and zoomed-out). However, the accuracy scores are not extremely low for any combination of camera position, distance, and height and body posture. Further, the confidence scores are generally moderate to high for all combinations of images.

I think this study is useful for understanding how people recognize images for complex sporting situations involving physical movements. This study helps us identify the kind of technical illustrations that should be included in the user manual for explaining physical positions in sports. Further, it is useful to consider how technical illustrators could draw technical illustrations that general public can easily understand.

In this experiment, the order of images that were shown to participants was pre-decided within a range of movement combinations. So it might have happened that participants could remember a pattern with camera positions and directions of the movement. This lead to practice effect and could possibly influence the accuracy scores. Some of the participants were more inclined on choosing a text option that was not part of the list of four choices that were presented to them. In other words, they wanted to represent the image with text options that were actually not presented to them as a choice. Therefore, it was not so easy to obtain really correct data in some selected cases. Further, future studies should look at more images showing other types of body postures and camera angles. A single study with a restricted set of images might not be able to identify a pattern.

*Limitations of the current study:* One major problem with the current study is the fact that the chosen body actions were randomly adapted for the study, which does not necessarily follow any specific real-life task such as action necessary to play a specific sport, driving, lifting an object etc. Thus, it isn't clear if a more familiar body action could have yielded a better result. In other words, there was no system in the way the body actions were chosen as a task. However, the camera viewpoints were systematically chosen based on

previous studies. Also, a more robust analysis would have helped us see if a comparison between various body actions is more prone to statistically significant difference in visual task performance.

*Future research:* Future research should look into different object shapes and complexities, and try to understand human perceptual understanding from different visual standpoints. Understanding human body positions could be very different from comprehending physical objects, more so because humans cannot position themselves mentally in place of an object. Further, research should look into object shapes and the angular complexities it creates. Color and types of objects could be another variable influencing human perception. Also, objects used regularly versus objects used rarely or never could be other factors influencing the practice effect, and visual perceptions. Thus, there is a lot of potential in this visual research domain with the ultimate objective of understanding visual perceptions in a physical space.

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## **CAPITAL BASE AND MICRO BUSINESS PERFORMANCE IN NIGERIA: A BOOTSTRAP REGRESSION APPROACH**

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### **Abstract**

This study examined the effect of capital base on the performance of micro businesses in Nigeria. This is with a view to reveal how intense the use of inadequate capital is affecting micro business performance.

The study employed the use of primary data. It focused on cottage businesses which entail dyeing, weaving, mat making & carving, catering services, rental services, fabrications, artisan pottery and blacksmithing. Data collected through the administration of structured questionnaire to owners of sampled micro cottage business was analysed using simple regression analysis.

The results showed that existing capital base of micro businesses has no significant effect on the performance of micro businesses with p value of 0.623

The study concluded from the findings that, micro businesses in Nigeria have too little capital- base and its effect is not significant.

### **INTRODUCTION**

Micro business forms majority of the available businesses around the world and Nigeria is not an exemption. Probably due to lack of huge amount of money required to establish large scale businesses, some business owners with limited access to credit engage in small/micro businesses. Obviously, the importance of small/micro businesses cannot be underestimated as they are the lifeblood of most economies (Adesunkanmi, 2009). Small/micro businesses are described as efficiently prolific job creator, the seed of big business and the fuel of national economic engine (Quartey, 2010).

Despite these contributions of micro business, Ladder (1996) deduced that micro business major barrier to grow with regards to equity financing and debt is overwhelming, how they are financed is one of the most fundamental questions of business research, since financial capital is one of the necessary resources required for businesses to form and subsequently operate. The importance of the financing decision of business consequentially has important implications on the economy, given the role that business plays in employment growth, competition, innovation, and export potential.

Additionally, credit decisions and the use of debt and equity have been shown to have important implications for the operations of the business, risk of failure, firm performance, and the potential of business expansion in the future. As businesses cannot live without capital they need money to invest in plant, inventories, machinery and other assets. Brealey et al. (2008) explain that the sources of capital are classified into long-term financing and short – term financing.

One important question that this raises is that; is it that small businesses are not interested in sourcing for funds from banks or they are not aware of the available funds, or some other reasons like conditions put in place by the government for business owners to source for such funds cannot be met by small businesses? Many studies like Oyefuga (2008), Adesunkanmi (2010, 2011, 2013), Mogboyin (2014) has been able to established that time had gone pass all the stated reasons from their findings.

However, from the work of Mogboyin (2014) that showcased the conditionality of the available funds for SMEs to access them and the categories of the SMEs that can benefit from the Government Intervention Funds make these researcher to be curious as to whether the existing conditions are really the problem for micro businesses i.e. may be government did not consider the needs of the micro business for their assessment of the available funds. Also, (Adesunkanmi, 2013) established that inadequate accessibility of funds from banks was not as a result of banks consolidation but could be other reasons that need further clarification or research.

This could include but not limited to inability of micro businesses not exploring other sources of finance apart from bank credit or not being able to put up a very convincing proposal to the creditors to evident the need for the credit in order to enhance their business growth. All these are issues that can serve as hindrances to micro business in getting the available credit. Financial needs of the businesses should be identified by the business owners and recognised by the credit provider in order to promote business performance.

Available literature deduced that there are number of sources of credit for business, with the aforementioned problems of accessing bank credit, it is high time to start looking at the performance of micro businesses with their conditionality's. Majority of the micro businesses lack access to bank credit due to their peculiarities.

With all these arguments and analyses put up as regards the various sources of credit available to micro business owners, and peculiarities of micro business credit needs as compared with that of medium and big businesses, and, considering the effect all these irregularities on business performance, this study is set out to investigate the peculiarity of small capital base for micro businesses and examine its contribution to micro business performance.

## LITERATURE REVIEW

The Nigerian Ministry of Industry (2001) observed that the review of the classification of SMEs was long overdue and adopted the following as the new classification of SMEs. Micro/Cottage

Industry: An industry with a total capital employed of at least 1.5 million, including working capital but excluding cost of land, or a labour size between 1 and 10 employees. Small Scale Industry: An industry with a total capital employed of not more than 50 million including working capital but excluding cost of land, or a labour size between 11 and 100 employees.

With these classifications, a Micro business has considerable advantage over large firms in their ability to respond quickly and effectively to economic changes and or trends. They have shorter development times (when properly managed) and their wide geographical dispersal gives them better proximity to customers as such they are regarded as the driving force of economic growth, job creation, and poverty reduction in the rural and urban areas of developing countries. They have been the means through which accelerated economic growth and rapid industrialization have been achieved (Harris and Gibson, 2006; Saucer 2005; Arinaitwe, 2002; Van Eeden, Vivers and Venter, 2004).

Meanwhile, because of the contributions of micro business to economic development as generally acknowledged, entrepreneurs face many obstacles that limit their long term survival and growth. Research on micro businesses development has shown that the rate of failure in developing countries is higher than in the developed countries (Arinaitwe, 2002).

Scholars have indicated that starting a business is a risky venture and warn that the chances of micro business owners making it past the five year mark are very slim. They need to develop both short term and long term strategies to safeguard against failures (Sausser, 2005; Monk, 2000).

Empirical evidence shows that in Nigeria, the level of external finance for the SMEs bank loan and equity is very low, particularly for micro business De Ferranti & Ody (2007). Drawing from a Survey of SMEs conducted by World Bank between 2006 and 2007 and using four developing countries, namely Nigeria, Brazil, India and South Africa as example, it is evident that Nigerian SMEs are starved of funds. Findings revealed that 2.87 percent of Nigerian Small businesses have line of credit, in South Africa 22.9 percent of Small businesses have line of credit and 42.79 percent of Small businesses have line of credit in Brazil. An examination of micro businesses does not reflect a different picture.

For instance, only 6.01 percent of Nigerian micro businesses have line of credit as opposed to 35 percent and 67.5 percent of the micro businesses in South Africa and Brazil respectively (Maruth, 2012). Another good example is that banks finance only 1.07 percent of investment of small business in Nigeria but bank finance of small business investment are 17.05 percent, 15.09 percent and 19.9 in South Africa, Brazil and India respectively. The situation is not different for micro business because while bank finance only 1.57 percent of investment of micro businesses, bank finance of investment is 30.14 percent, 32.72 percent, 32.73 percent and 32.18 percent in South Africa, Brazil and India respectively (Maruth, 2011).

An examination of the percentage of micro business that identify finance as major constraint shows that while 59.34 percent of micro businesses in Nigeria identify finance as a major constraint, the percentage of the micro businesses that identify finance as major constraint are 20.9 percent, 50.62 percent and 17.09 percent in South Africa, Brazil and India respectively. For medium businesses the percentage of businesses that identify finance as major challenge are 34 percent, 12.48 percent, 55.69 percent and 13.51 percent in Nigeria, South Africa, Brazil, and India respectively. (Robinson, 2003)

One important problem that micro businesses often face is access to capital (Lader, 1996). Lack of adequate financial resources places significant constraints on their development. Cook and Nixon (2000) observe that, notwithstanding the recognition of the role of micro business in the development process in many developing countries, micro business development is always constrained by the limited availability of financial resources to meet a variety of operational and investment needs.

A World Bank study found that about 90% of small business surveyed stated that credit was a major constraint to new investment (Parker, 1995). Levy (1993) also found that there is limited access to financial resources available to smaller enterprises compared to larger organisations and the consequences for their growth and development. The role of finance has been viewed as a critical element for the development of small businesses (Cook & Nixon, 2000). A large portion of the small business sector does not have access to adequate and appropriate forms of credit and equity, or indeed to financial services more generally (Parker, 1995). In competing for the corporate market, formal financial institutions have structured their products to serve the needs of large corporate.

Hong Yuh Ching (2011) tried to find out the relationship between the working capital management and corporate profitability, for this they divided the sample companies into two group working capital intensive and fixed capital intensive. After using different tests and applying ratios Return on Assets (ROA), Return on Investment (ROI), Return on Equity (ROE), inventory days etc. They concluded that regardless the two companies managing working capital are important equally.

Tryfonidis and Lazaridis (2006) worked to find out the relationship between corporate profitability and working capital management. They took 131 companies data from 2001-2004. They used cash conversion cycle (CCC) for the measurement of working capital management; their results indicate that there is a significance relationship between the two. An effective management can increase profits by maintaining their each conversion cycle efficiently and also keeping different ingredients (receivables, inventory etc) to a certain level.

Dong (2010), reported that the organisation profitability and liquidity are affected by working capital management in his analysis. Pooled data are selected for carrying out the research for the era of 2006-2008 for assessing the companies listed in the stock market of Vietnam. He focused on the variables that include profitability, cash conversion cycle and its related elements and the relationship that exist between them. From his research it was found that the relationship among this variable were strongly negative. This denote that decrease in the profitability occur due to increase in each conversion cycle. It is also found that if the number of days of account receive and inventories are diminish then the profitability will increase numbers of days of accounts receivable and inventories.

Mark Deloof (2003), test to show the relationship between working capital and corporate profitability. He took a sample of 1009 Belgium firms for the period 1992-1996, and taking number of days, account receivable, inventory, account payable, cash conversion cycle as independent variables Gross operating income was used as dependent variable. Applying correlation and coefficient regression tests, Deloof manifested convincing negative relationship between gross operating profits and days in payable, days in inventory, and

days in receivables. Based on his findings it is suggested that firm's profitability can be maximising if days payable and days receivable is shortened.

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Working capital is available for conducting the day-to-day operation of an organisation represented by its net current asset. Every business needs adequate liquid resources to maintain daily cash flow. It needs enough to pay wages, salaries and creditors if it is to keep its work force and ensure its supplies. Maintain adequate working capital is not just important in the short term. Adequate liquidity is needed to ensure the survival of the business in the long run. Even, a profitable company may fail without adequate cash flow to meet its liabilities. Therefore, the managers have the responsibility to manage the levels of working capital in the best interest of the stakeholders (Adeniyi. A. Adeniji 2008).

## METHODOLOGY

Micro business has an infinite figure throughout the country. Most of the micro businesses are not registered with the Federal government, although they register under the umbrella of their associations. Each association then registers through the Local government with the state government. In most of the associations visited, they have names and address of members, even though it was emphasized that most of the names registered are not regular at their meetings; they only paid the entrance fees of the association at the point of entry.

For the purpose of this study, the number of registered members was made use of. Their address is not reliable as advised by some leaders of associations because most of the businesses have since changed address by relocating to another city, local government or even to other states. The total population of micro business gathered was 22,163 businesses.

### **Measurement of variables**

There are at least four key variables that entered the model specification. Though many other variables involving socio-demographic characteristics of respondents was also analyzed descriptively but did not appear here as the focus are those variables whose measurement requires classification. Those variables are discussed below.

- (i) Micro Business performance: The micro business performance was captured by trade credit, age of the business and size of the business, number of branches and is measured by the quantity of trade credit they are able to assess in money term, how long they have been in business, increase in the number of employee and number of branches of the businesses respectively. However, because information on these two variables are not readily available for all the micro business in any published documents, it was included as part of items in the structured questionnaire that was used to elicit information from micro businesses visited.
- (ii) Increase in number of employees: this is measured by subtracting the number of employee before from the number of employees now for the micro businesses.
- (iii) Increase in capital base: capital now is designed in range. This is because the business owners/managers cannot categorically give their business capital worth. So therefore it was ranged into five groups, the lower and the upper limit is added together and divided by 2.
- (iv) Number of branches
- (v) Trade Credit: It is designed in range. The lower and upper limit is added together and divided by 2 to get the mid value.

### **Research Instrument**

This involved the utilization of structured questionnaire and key informant interview. The reason is to ensure that all facets of opinions and perception are covered and to provide more insight into the effect of capital base on micro business performance by the micro business in Nigeria. Questionnaire is generally cost-effective as compared to other methods particularly where the sample for the study is widely dispersed as is this case considering the different states involved. A structured questionnaire consisting of closed-ended and open-ended questions designed in line with the objective of the study was administered to nine hundred and ninety (990)

respondents. The questionnaire contained questions relating to effect of capital base on micro business performance in the study area.

### **Model specification**

Effects of capital base on performance of micro businesses was analysed with regression analysis. In the simple regression, capital base was taken as the dependent variable. The regression formula is as follows:

$$C = \alpha + \beta TC + \beta A + \beta S + \beta NOB + e \dots \dots \dots (\text{model 1})$$

Where

C = Capital base of the micro business

$\alpha$  = Intercept

$\beta$  = Slope parameter

TC = Trade Credit (raw materials and machines)

AOB = Age of the business

SIZE = Size of the business

NOB = number of branches

e = random error term

A model that assumes that the factor inputs in the productive activities of micro business is credit and was used to test the hypothesis on performance of micro business with respect to trade credits, age of business and size of the business. It is assumed that the output of the micro business depends on the factor inputs it uses in its productive activities. Thus the output of the micro business is assumed to depend on availability of raw materials and machines to micro business. This relationship as described by model 1.

### **THE EFFECTS OF CAPITAL BASE ON THE PERFORMANCE OF MICRO BUSINESSES.**

It is expected that when micro business or any other size of business has adequate working capital to incur raw materials and machines/human capital for production, it will increase production, promote quality in goods produce, increase in sales, increase profit made, increase savings which can be ploughed back into the business, which increases investment. When a business achieves this then, it relatively increases the business capital base.

Peculiar to micro business is that they lack cash to serve as their working capital. What operate within the micro business sector is that they service their production with trade credit. They achieve this through networking and maintaining creditable relationship with suppliers of raw materials required for production within their sector. This is so because majority of the micro business owners/managers have no access to loans from banks to run their businesses.

The reason(s) for their inability to secure loans from banks is not far fetch from their behavior to capital issue during the course of this study. Generally majority of the business visited lack information on their business, no proper documentation of the activities that make up their businesses. They are totally informal probably because of their micro size. Almost all the businesses addressed did not have exact amount of their seed capital, not only that, they don't equally take full stock of their businesses to know their worth of present capital base.

Aforementioned reason was why this researcher had to range the present capital base of the businesses in the questionnaire. It was discovered during the first run of the questionnaire that the few business owners visited did not have exact figures of the worth of their business but only have an idea of what it is likely to be. This could be because of their informality and it seems to have taken them away from the financial policy to dictate the running of their business.

Inability of majority of the business owners/managers to calculate and document their profit per day/week and even monthly does not enable anyone to be able to determine if truly they are making profit and if they are, at what rate are they making it. This made it difficult to determine if the micro businesses visited have savings from the profit made. And so therefore we cannot really say categorically exact amount of capital.

Even thou some business owners take the daily contribution they make to be their savings. The claim is base on the fact that the contribution (Ajo) is deducted from the business on a daily basis. The amount contributed on daily basis ranged from ₦500 to ₦1,500. So at the end of the month their savings ranged from ₦15,000 to ₦45,000. The amount of savings per month is relatively small. Majority of them admitted not to use the total savings as plough back. They take care of some pressing responsibilities such as paying children school fees, buy school books and other responsibilities that may be required on their children. Some even said at times the whole savings are not even enough to service these responsibilities.

Of interest to some of the business owners especially those in cottage business is that quantity of goods in their shops increases with time. They see this to be growth in business. But the truth of the matter is that the increase in the quantity of the goods in the shop was not as a result of growth in business. It is because they get those goods/raw materials on suppliers as trade credit. The capital on the goods is paid back after sales with little profit which is save as Ajo to be taken back at the end of the month to take care of their immediate personal responsibilities.

So, trade credit does not relatively increase micro business capital base which has been define to represent business performance in this study. What trade credit seems to micro business is that it helps in the running of the business.

## **Conclusion**

The overall goal of the thesis was to contribute knowledge to the discussion on the accessibility of trade credit and the micro business performance in Nigeria. The effect of capital base on the performance of micro business is not significant. The assumption is that when micro businesses gets supply of trade credit in form of raw materials and machines or goods for sale, it boots their production rate and sales and when this happens increase in sales should increase profits and then savings which should bring about increase in capital base to aid expansion of the business which will require more employees. But the assumptions did not hold in this study because low capital base has limit the business owners to rely on trade credit since the nature / peculiarities of micro business debarred them from getting loans from financial institutions. Trade credit only keeps the business running but those not necessarily increase performance.

**Table 4.13 THE EFFECTS OF INCREASE IN CAPITAL ON THE PERFORMANCE OF MICRO BUSINESSES.**

Estimate	Coefficients	Standard Error	t value	p value
Intercept	3.711e+05	6.010e+05	0.617	0.539
AOB	1.001e+04	4.012e+05	0.249	0.804
SIZE	6.466e+03	1.482e+05	0.044	0.965
NOB	4.021e+05	3.374e+05	1.192	0.237
CB	7.110e-01	1.440e+00	0.494	0.623

Multiple R – squared: 0.02655

Adjusted R – squared: -0.01925

F- statistics: 0.5797 on 4 and 85 DF, p-value:0.6782

Dependent Variable = Capital base (CB)

HYPOTHESIS:

Ho – Capital base has significant effect on micro business performance

Hi – Capital base has no significant effect on micro business performance

DECISION:

Reject Ho if p-value < 0.05. Otherwise do not reject Ho.

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## **IS DISCIPLINE EFFECTIVE IN UNIVERSITY MANAGEMENT SYSTEM?**

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### **Abstract**

One of the major issues facing Administrators in tertiary institutions is how to manage the personnel under them and this is important since the level of indiscipline in public sector in Nigeria is found to be very common. This study therefore examines whether or not discipline is effective in the University of Maiduguri management. Literature was adequately reviewed on discipline in public organizations. In this study, survey research design was adopted and questionnaires were distributed to the employees of the Registry department of the University. Out of 349 questionnaires distributed, 143 were returned and only 124 were fully filled and used for the analysis. The data was analysed using simple percentage and Chi-square test using SPSS Version 16. The study found that the major causes of staff indiscipline in University of Maiduguri are; favoritism on the part of management and Heads of Department, lack of proper communication of policies and norms of the institution and lack of good leadership. It also revealed that termination of appointment, dismissal of staff for indiscipline, written query have positive influence on staff conduct. The study recommends that, the University management should make sure new and existing employees be made to understand the rules and regulations of the University through orientation believing that this will make them to be adequately informed of the actions that are regarded as an indiscipline act. The management on its part should avoid practices that could cause rancor and apprehension like favouritism within the University. Employees of the University should also be careful with their attitude to code of conduct as management will not hesitate to apply the disciplinary measures on any staff.

**Keywords:** Discipline, Management, University

### **Introduction**

In all institutions, discipline is very important because it trains individual to develop responsible behaviour leading to self-discipline person. Discipline exposes individual to ways of handling challenges and obligations of living and equip him/her. It makes it possible for leaders to pass their moral values and attitudes to their

subordinates in an atmosphere of genuine love. Discipline is simply defined as action taken on individual for violating established rules. It is the key to success in any institution. In many ways, discipline can be considered as the procedure on how the institution can achieve its ultimate objective. Discipline as a tool for effective management has played many roles in the success of management and will continue to play an important role in increasing the activities, development and production of staff in University of Maiduguri. In any institution discipline as a tool for effective management cannot be negated in order to meet up with mission and vision for its establishment. And for any institution to be effectively managed, the staff especially the administrative/management cadre, must be conscious of the concept of discipline. In other words, they must be disciplined in the discharge of their responsibilities at the work place so that it will serve as an example to the subordinate staff. The success or failure of any University depends on the caliber and input of each staff be it administrative, management or academic. Looking at the Statement of the Problem, discipline as a tool for effective management in any institution cannot be neglected in order to meet up with the mission and vision for its establishment. It is a rule or duty amongst the conditions of service for any institution be it academic or otherwise to regard discipline as a good conduct in the discharge of their duties. According to Were (2008) discipline is part of moral education which is important in the development of individual character. Over the years, there has been cases of rampant lateness to work, absenteeism truancy etc. among the workers of University of Maiduguri. This non-challent attitude is attributable to the level discipline existing in the institution. It is for this reason; this research is therefore set to assess on-the-field knowledge of staff on discipline and to know whether the discipline procedures are properly spelt out.

While the main objective of this study is to examine the type/system of discipline used by the University of Maiduguri Management with a view to finding out its effectiveness.

The specific objectives are to:

- i. identify the factors responsible for effective discipline procedure in the University
- ii. examine the effects of discipline in the University
- iii. identify any discipline action taken by the University management.

The following research questions have been raised to guide the study.

- i. What are the factors responsible for effective discipline in the University?
- ii. What are the effects of discipline in the University?
- iii. What are the disciplinary action taken by the University management?

The study was guided by the following hypotheses.

Ho<sub>1</sub>: There is no significant difference between the respondents' view on discipline as a tool for effective management between staff and University Management.

Ho<sub>2</sub>: There is no significant difference between the respondents' view on the types of discipline taken on defaulted staff in University.

## **Literature Review**

The concept of discipline varies from organization to organization depending on the rules and regulations guiding the organisation. The conventional concept of management discipline is based on obedience (Gartell

1997). Many leaders see punishment as part of discipline. However, some educators view discipline as a “Neutral” term that can exclude punishment while Marion, (1995) view discipline as positive development or guidance. Discipline can be defined as action or behavior on the part of the authority in an organization (usually management) aimed at restraining all employees from behavior that threatens to disrupt the functioning of the organization (Nel, Van Dyk, Haasbroek, Schultz, Sono & Werner, 2007). The proper administration of discipline will not improve staff behavior but will also minimize future disciplinary problems through a positive supervisor-subordinate relationship (Grobler, Warnich, Carrell, Elbert & Hatfield, 2006).

Ujo (2000) posited that discipline, in the broad sense means orderliness, the opposite of confusion; It is a fundamental requirement for the people working in a plant (organization) just as it is for other segment of society. Ujo (2000) saw discipline as an end itself, discipline should be regarded as learning opportunity for the employee and a tool to improve productivity and human relations at the work place. However, individuals enter the workplace with their own unique abilities, attitudes, values and perceptions, and this in itself can be a source of conflict in any organization (Robbins, Odendaal & Roodt, 2003). To resolve conflict between individuals and groups, and to ensure a harmonious work environment, managers, supervisors and other leaders utilize disciplinary action to prevent escalation and to maintain industrial peace.

Disciplinary action, in its essence, is designed to correct behaviour and to maintain balance in the employment relationship (Grogan, 2009). When undesirable behaviour or actions are noticed in the workplace, it is thus the prerogative of leaders and management team to correct this behaviour and establish more acceptable norms or standards than those being corrected (Rao, 2009). Therefore, discipline and its subsequent rules and procedures form an integral part of the employment relationship between employer and employee. But, in order for discipline to be effective and yield its desired results, it needs to be substantially and procedurally fair (Bendix, 2005). There has to be a just and equitable reason for embarking on the disciplinary action, and this needs to comply with the organization’s policies as well as those promulgated in the labour legislation of the country (Venter & Levy, 2011). Procedural fairness relates to the correct process that needs to be followed during the disciplinary inquiry (Bendix, 2010). Disciplinary action is usually initiated by management in response to unsatisfactory work performance or unacceptable behaviour on the part of the workers.

However, a proper procedure must be followed when exercising discipline. The Labour Relations Act’s codification of unfair dismissal and Code of Good Practice relating to dismissal is regarded as the basis for policy statements on disciplinary procedures (Finnemore, 2006). It is evident in the context of current employment law that discipline is regarded as a corrective rather than punitive measure. A disciplinary code endorses the concept of corrective or progressive discipline, which regards the purpose of discipline as a means for employees to know and understand what standards are required of them. It empowers employers to seek to correct employees’ behaviour by a system of graduated disciplinary measures such as counseling and warnings (Nel *et al.*, 2007).

The reinforcement theories of Skinner provides a technical description and application of discipline. According to these theories, learning needs to take place before desired behaviour can occur. The terminology of instrumental learning refers to this type of learning. Instrumental learning can be described as a situation where behaviour is affected by the consequences thereof. Positive reinforcement, negative reinforcement and punishment are examples of this learning process. Positive reinforcement would constitute the consistent presentation of something desirable (e.g. recognition). Negative reinforcement can be described as the reinforcement of behaviour that reduces negative situations (e.g. shouting at someone where the shouting only stops after compliance). Punishment involves an undesirable action towards a person, for example stopping the salary of an absent worker.

Grossett (1999) advised management of a given organization to make use of different forms of discipline. Warnings (i.e. verbal, written and final written), suspensions (with or without remuneration), transfers, demotion and dismissal are some of the options mentioned. The principle of progressive discipline is applied when these options are chosen. Positive discipline, where counseling sessions between the employee and supervisor replace punishment actions. Counseling skills would, however, be required for the successful implementation of this option. Disciplinary procedure of the public service values progressive and positive discipline, which has correction of behaviour in mind, and not punitive action (Grobler *et al.*, 2006).

### **The Use of discipline in Organization**

Disciplinary action and procedures are used as corrective measures in organizations, not to punish the employee, but rather to correct behaviour or a current work standard to more appropriate levels in order to achieve goals and objectives of the organization (Bendix, 2010). It has also been found that punishment has a more permanent effect if the desirable behaviours are rewarded at the same time as punishing the undesirable behaviours” (Daniels, 2006). In this context, it is not a physical pain, but rather more of an emotional/mental pain felt as a result of the employee feeling a bit humiliated by being disciplined. Punishment also has the potential of creating anger and hostility in the work environment (Robbin, Odendaal, & Roodt, 2003). Using discipline in the organization is a process of both control and power” (Daniels, 2006).

In all institutions, discipline is very important in management because it trains individual to develop responsible behaviour leading to self-discipline person. Discipline exposes individual to the art of self control and social chaos can only be avoided if restrains are built into the character of staff (Were 2006). According to Kheing (2000) management discipline is frequently regarded as having a moral dimension. It should establish good condition for discharging duties and provide understanding among staff.

### **Effectiveness of Discipline and Disciplinary Measures and Procedures**

It is essential for good communication to be used in order to let staff know that they are required to do so. Ideally, discipline should be based upon co-operation and a high moral which will ensure rules and conditions are obeyed willingly. By virtue of this position, a supervisor has the right to command and enforce obedience if necessary. This had given the individual right group purpose Mbiti (2004). Discipline can be obtained by reward as well as by punishment. Executive should not break rules itself because good example is essential in

management and quality of discipline can vary with the type of leadership and the understanding of the common purpose of the organisation, (Docking, 2001).

The effectiveness of disciplinary action depends to a large extent, on the reasons and circumstances for its implementation. Lewis, Thomhill and Saunders (2003) noted that discipline is necessary where it is an “action instigated by management against an employee who fails to meet reasonable and legitimate expectations in terms of performance, conduct and adherence to rules”. It can thus be said that an employer is justified in instituting this action as a measure to protect its interests and ensure that an employee carries out the duties expected of him\her in terms of the contract of employment. However, certain rules and processes also have to be followed by both employer and employee to ensure that the action actually yields the desired results for both parties. “It is clear that the disciplinary procedures are there to protect the employee from unfair and unreasonable treatment, as well as to afford the employer the opportunity of dispensing with the unsatisfactory employee” (Lewis, Thomhill & Saunders, 2003). Ensuring effective staff discipline in institutions will largely depend on the ability of the institutional administrators to intelligently utilize the various approaches or techniques of staff discipline in order to inculcate good behavior in them. Supporting this suggestion, (Kanter, 2003) observed that the policies which a health organization has about discipline and the way they are implemented have far reaching effect on the discipline situation in the institution. He further posited that more often than not management team or administrators do not provide clear-cut policies on discipline for guidance of the staff. Very often where such policies exist no sustained effort is made to improve upon them in order to motivate workers. This may sometimes lead to misunderstanding resulting in staff misconduct and job dissatisfaction (Kanter, 2003).

Another aspect which influences the effectiveness of disciplinary action and procedures is the consistency with which these measures are undertaken (Lewis, Thomhill & Saunders, 2003). “An employer is guilty of an unfair labour practice if he acts unfairly when suspending an employee or imposing a disciplinary sanction short of dismissal (Du Plessis & Fouche, 2006). Employers thus have to ensure that they act in a correct manner when dealing with disciplinary cases, and their behaviour should be applied to all in a reliable manner. If this is not forthcoming, it could harm the trust relationship which has been built between the employer and employees. “Trust is relevant in situations where the trustier is dependent on the trustee’s action(s) in the future to achieve his\her own goals and objectives” (Six, 2005). Trust is seen as an integral part of the employment relationship as “this dependence implies that the truster, when acting on his\her trust, makes him-\herself vulnerable to the actions of the trustee” (Six, 2005).

Looking at the factors responsible for staff indiscipline in organization, the major reasons for staff indiscipline in the public sector includes mismanagement of conflicts, lack of better understanding of conflicts, their root causes, early signs or indicators, dynamics and the manner in which they can be prevented, brought under control and eventually resolved by the organization. Other factors include: The economic factors, the socio-

cultural factors, socio-political factors, management factors, laxity on the part of managers and supervisors Lack of confidence in subordinates and Lack of motivation.

### **Strategies for Controlling Indiscipline Acts among Employees**

Discipline is the practice of care and respect for others and self. It is about safe guarding the rights of people who are exposed to uncooperative, aggressive or blocking responses by others. Its strategies therefore vary along a continuum from the extremely authoritarian in which the officers make all of the rules and punish any deviation, to the very permissive in which the employee makes all of the decision. The authoritarian methods can be aligned with the behaviourist philosophy which emphasizes shaping behaviour through the use of rewards and punishment. It is added that these models are based on immediate and unquestionable obedience as the target behaviour. There are no allowances for the explanations or investigations of circumstances. As a result they are often associated with anger and sometimes result in depression and low self-esteem. At the other end of the continuum. Researchers agree that traditional forms of discipline which involve the demand of obedience are closer to the authoritarian end of the spectrum and are no longer reliable and therefore discipline techniques relied on are ineffective especially those that involve demanding, bossing, scolding, warning, belittling and punishing as these tactics can keep behaviour partially under control only for a while. He added that they can produce detrimental side effects such as uneasiness, evasiveness, fearfulness, avoidance, dishonesty, undesirable attitudes towards learning, overall dislike for work and management, inclination to retaliate and for many the desire to leave work as soon as possible. These circumstances lead to inhibited learning. These views are not adopted by all, however, as some researchers insist that the traditional method still holds a place in any discipline systems.

### **Disciplinary Codes and Procedures in Public Service Sector**

Disciplinary code is another important aspect of disciplinary procedure in an organization. "Because of the desirability of consistency in disciplinary penalties, and because employees need to have some expectations of the consequences of breaking rules, an organization should have a code which sets out possible offences, and the disciplinary action which may result" (Finnemore, 2006). This is to ensure that employees are aware of which actions are desirable in the organization and which are not, so they can adjust their behaviour to acceptable standards of conduct in the workplace.

This knowledge on the part of employees is essential, as "Such codes form an important base from which the legitimacy of an organizations discipline arises, and are a source of important documentary evidence in most arbitration hearings concerning unfair dismissal" (Finnemore, 2006). It is common practice for organizations in the workplace to display a copy of the disciplinary codes and policies on notice boards in each department, where employees can browse through these at a time convenient for them during their normal working hours (Rao, 2009). Trade unions should also be consulted by management when disciplinary codes are established and formalized within the business. "Where a trade union is recognized, it should ensure that the agreed rules are seen to be fair and equitable, otherwise the code will have no legitimacy. When incorporated into an agreement, such rules and procedures are formally accepted by the parties and are incorporated into the conditions of service of employees" (Finnemore, 2006). An organization's disciplinary procedure outlines the

principles, policies and actions which should be followed in certain situations, and it is important that this be in writing and readily accessible and available to all employees. Gennard and Judge (2005) advocated that “it has been the case for a number of years that a disciplinary procedure should be set out as follows: an oral warning, followed by a written warning if the required improvement is not forthcoming, followed by a final written warning if conduct or performance is still unsatisfactory, and finally, dismissal”. This system is designed to discourage incorrect behaviour and to speedily rectify problems when they are uncovered. A disciplinary procedure aims to promote fairness and procedural justice in dealing with employee discipline. The advantages for organization of a consistent disciplinary procedure are threefold. First, it contributes to the stability of the workforce, second, labor turnover is minimized; and third, it promotes productivity (Nel, Van, Dyk, Haasbroek, Schultz, Sono, & Werner, 2007).

Disciplinary action is usually initiated by management in response to unsatisfactory work performance or unacceptable behavior on the part of the workers. However, a proper procedure must be followed when exercising discipline. The Labor Relations Act’s codification of unfair dismissal and code of Good Practice relating to dismissal is regarded as the basis for policy statement on disciplinary procedures (Finnemore, 2006). It is evident in the context of current employment law that discipline is regarded as corrective rather than punitive measure. It empowers employers to seek to correct employees’ behavior by a system of graduated disciplinary measures such as counseling and warnings (Nel, 2007). Just as organizations systematically use rewards to encourage desirable behaviour, they also use discipline to discourage counter-productive behaviour (such as absenteeism, lateness, theft and substance abuse) (Greeberg & Baron, 2007). Thus managers can make hard choices when imposing the final decision, but they should make them justly; preserving procedural justice. In order to maintain necessary condition of order in the University and attain discipline, it is imperative that staff must be responsible and committed to adhere to the management rules and regulations (Mbiti, 1991). Therefore the University must establish a well publicized, and unambiguous disciplinary process.

### Methods

The researchers made use of close-ended questionnaire and a total of 349 questionnaires were given to the employees of Admin/Registry department of the University and a period of two weeks was given to fill them. The questionnaires were designed to obtain information from the respondents. The questions were primarily framed and revolved around the hypotheses formulated. The data were collected using dichotomous questions to answer the research questions and test the hypotheses. For this 349 questionnaires distributed, a total of 143 questionnaires returned back and only 124 questionnaires were fully filled. The data gathered in this study was analysed using simple percentage method and chi square test using SPSS version 16.

### Data presentation, analysis and results

Table 1 describe the age of the respondents. The result obtained from revealed the following.

**Table 1: Age distribution of the Respondents**

Age category	Frequency	Percent
18-22yrs	4	3.2
23-27yrs	10	8.1
28-32yrs	23	18.5

33-37yrs	16	12.9
38-42	32	25.8
>43	39	31.5
<b>Total</b>	<b>124</b>	<b>100.0</b>

Field Survey, 2015

The age group was categorized into six (6) categories; from which among the 124 respondents who participated in this research work, only 4(3.2%) belong to the first category that is 18 – 22 years of age. The second category recorded about 10(8.1%) of the total respondents, 23(18.5%) belong to the third category that is 28 – 32 years of age, 26(12.9%) belong to the fourth category that is 33 – 37 years, 32(25.8%) belong to the fifth category (38 – 42 years) while a major part of the total respondents 39(31.5%) belong to the last category that >43 years of age. From these results it can be concluded that most of the respondents are from age 33 - >43 years of age.

**Table 2: Marital status of the respondents**

Category	Frequency	Percent
Single	32	25.8
Married	92	74.2
<b>Total</b>	<b>124</b>	<b>100.0</b>

Field Survey, 2015

From which among the 124 respondents who participated in this exercise, only 32(25.8%) are single while 92(74.2%) are married. This result shows that majority of the respondents are married men and women.

**Table 3: Causes of discipline in the institution**

Option	Frequency	Percent
Excessive Absenteeism	13	10.5
Excessive Lateness	15	12.1
Breaking rules & regulation	30	24.2
All of the above	66	53.2
<b>Total</b>	<b>124</b>	<b>100.0</b>

Field Survey, 2015

Table 3 above sought to find out the causes of discipline in the institution. 13(10.5%) of the total respondents said excessive absenteeism is the major cause of discipline, 15(12.1%) said excessive lateness only causes discipline, 30(24.2%) said breaking rules and regulations, while about 66(53.2%) said all the three causes discipline in the institution. This shows that majority (53%) of the respondent are with the knowledge that absenteeism, lateness and breaking of regulations can cause discipline in the institution.

**Table 4: Nature of disciplinary action taken by the institution**

Option	Frequency	Percent
Oral warning	9	7.3
Written warning	29	23.4
Suspension warning	6	4.8
Termination	8	6.5
Dismissal	9	7.3
All of the above	63	50.8

<b>Total</b>	<b>124</b>	<b>100.0</b>
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Field Survey, 2015

Table 4 describes the nature of disciplinary action taken by the institution on defaulted staff. From this, only 9(7.3%) said oral warning is one of the major discipline taken on defaulted staff, 29(23.4%) said written warning is mostly used by the institution as a disciplinary measure, 6(4.8%) said suspension warning is taken as an action of discipline by the institution, 8(6.5%) said termination is taken as an discipline action on any defaulted staff, 9(7.3%) dismissal is taken on a cause of action by the institution, while a major part of the respondent said all the lineup action is taken on any defaulted staff of the institution. From this result, it can be concluded that majority of the respondents are agreed that all necessary actions; like dismissal, termination, suspension and the likes are taken on any defaulted staff.

**Table 5: Are staff being given query for indiscipline?**

<b>Option</b>	<b>Frequency</b>	<b>Percent</b>
Yes	110	88.7
No	14	11.3
<b>Total</b>	<b>124</b>	<b>100.0</b>

Field Survey, 2015

Table 5 above sought to answer a question which was raised on the type of discipline action taken (query) on defaulted staff. The question states “Are being given query for indiscipline?” from which 110(88.7%) of the total respondents said yes, while only 14(11.3%) said “no”. This result shows that majority 88.7% agreed that query is given to any defaulted staff of the institution.

**Table 6: Do University terminates staff appointment on indiscipline?**

<b>Option</b>	<b>Frequency</b>	<b>Percent</b>
Yes	95	76.6
No	29	23.4
<b>Total</b>	<b>124</b>	<b>100.0</b>

Field Survey, 2015

Table 6 above sought to answer a question which was raised on the type of discipline action taken (termination) on defaulted staff. The question states “Do University terminates staff appointment on discipline”. From which 95(76.6%) of the total respondents said yes, while 29(23.4%) said “no”. This result shows that majority 76.6% agreed that the university management terminates the appointment of any defaulted staff in the institution.

**Table 7: Do University dismiss staff on indiscipline?**

<b>Option</b>	<b>Frequency</b>	<b>Percent</b>
Yes	98	79.0
No	26	21.0
<b>Total</b>	<b>124</b>	<b>100.0</b>

Field Survey, 2015

Table 7 above sought to answer a question which was raised on the type of discipline action taken (dismissal) on defaulted staff. The question states “Do University dismiss staff appointment on discipline”. From which 98(79.0%) of the total respondents said yes, while 26(21.0%) said “no”. This result shows that majority 79.0% agreed that the university management dismiss any defaulted staff in the institution.

### Hypothesis Testing

**HO<sub>1</sub>:** There is no significant difference between the respondents’ view on discipline as a tool for effective management between staff and University management.

**Table 8: Chi-Square distribution showing the differences between the management and staff responses on discipline and effective management**

<i>Variables</i>	<i>Correct behavior</i>		<i>Motivate staff</i>		<i>Increase Productivity</i>		<i>Make staff to be serious</i>		<i>All of the above</i>		<i>Total</i>
<b>Frequencies</b>	<b>FO</b>	<b>FE</b>	<b>FO</b>	<b>FE</b>	<b>FO</b>	<b>FE</b>	<b>FO</b>	<b>FE</b>	<b>FO</b>	<b>FE</b>	
Top management	8	3.5	3	2.2	5	3.4	0	0.0	3	2.2	<b>19</b>
Senior Staff	17	7.6	9	4.1	1	1.0	6	3.3	54	9.5	<b>87</b>
Junior Staff	3	2.1	0	0	1	1.0	11	4.3	3	2.2	<b>18</b>
<b>Total</b>	<b>28</b>	<b>8.3</b>	<b>12</b>	<b>5.2</b>	<b>7</b>	<b>3.5</b>	<b>17</b>	<b>7.6</b>	<b>60</b>	<b>10.2</b>	<b>124</b>

**Table 8: Decision table on the differences between management and staff on discipline and effective management**

<b>Variables</b>	<b>CB</b>	<b>MS</b>	<b>IP</b>	<b>MSS</b>	<b>AA</b>	<b>Df</b>	<b>X<sup>2</sup></b>	<b>Critical</b>	<b>Decision</b>
Staff	20	9	2	17	57	8	70.186	16.507	Reject p>0.05
Management	8	3	5	0	3				

**Note:** CB = *Correct behavior*, MS = *Motivate staff*, IP = *Increase Productivity*, MSS = *Make staff to be serious*, AA = *All of the above*

From the table above, the chi – square ( $X^2$ ) calculated, the critical value and the degree of freedom are displayed.  $X^2$  at 8 degree of freedom (df) at 0.05 level of significance = 16.507. Since the calculated value (70.186) is greater than the critical value, we then reject the null hypothesis which states that there is no significant difference between the respondents’ view on discipline as a tool for effective management, between staff and University management and accept the alternate which now states as “There is a significant difference between the respondents’ view on discipline as a tool for effective management, between staff and University management”

**HO<sub>2</sub>:** There is no significant difference between the respondents’ view on the types of discipline taken on defaulted staff in the University.

**Table 9a: Types of discipline taken by the management**

<i>Variables</i>	<i>Yes</i>		<i>No</i>		<i>Total</i>
<b>Frequencies</b>	<b>FO</b>	<b>FE</b>	<b>FO</b>	<b>FE</b>	<b>248</b>

QF1- Oral warning	89.0	62.0	35.0	62.0	<b>248</b>
QF2- Written warning	89.0	62.0	35.0	62.0	<b>248</b>
QF3- Suspension warning	110.0	62.0	14.0	62.0	<b>248</b>
<b>QF4- Termination</b>	<b>95.0</b>	62.0	<b>29.0</b>	62.0	<b>248</b>
<b>QF5- Dismissal</b>	<b>98.0</b>	62.0	<b>26.0</b>	62.0	<b>248</b>
<b>Total</b>	<b>481</b>	<b>310</b>	<b>139</b>	<b>310</b>	

**Table 9b: Decision table on the differences on the types of discipline taken on staff by the University Management.**

Variables	QF1	QF2	QF3	QF4	QF5	Df	X <sup>2</sup>	Critical	Decision
Yes	89	89	110	95	98	4	39.658	9.488	Reject p>0.05
No	35	35	14	29	26				

*Note: QF1 – QF5 represents the question on the factor for effective discipline*

From the table above, the chi – square ( $X^2$ ) calculated, the critical value and the degree of freedom are displayed.  $X^2$  at 1 degree of freedom (df) at 0.05 level of significance = 3.841. Since the calculated value (39.658) is greater than the critical value, we then reject the null hypothesis and accept the alternate hypothesis, which now states as; There is a significant difference between the respondents' view on the types of discipline taken on defaulted staff in the University.

### Findings of the study

1. The study discovered that must of the respondents are between the age of 33-43 years of age and most of them are married men and women and it is also found that most of them are senior staff.
2. The study found out that must of the staffs are aware of discipline and it was revealed that Excessive absenteeism, Excessive lateness, breaking of rules and regulations are the caused of indiscipline in the university.
3. The study revealed termination of appointment, dismissal, written query serve as corrective measure on staff of the university and that there is written rules and regulations that guide the conduct of staff of the university.
4. The study discovered that the University management affect discipline on affected staff immediately and that query is given to any defaulted staff of the university it is found that the university management terminates or dismiss any defaulted staff of the university.
5. One of the major findings of the study reveals that “there is a significant difference between the respondents view on discipline as a tool for effective management between staff and university management”

### Conclusion

Indiscipline could pose a serious challenge in the productivity and quality of services rendered in the public sector. When management is not seen by employees to be equitable and apply the principle of justice in its dealings with employees, a sense of perceived favouritism will arise which could lead to cases of indiscipline. Another factor considered to be a serious contributing factor is when an organization fails to properly inform its

employees of the rules and regulations of the organization. It is also conclude that, the use of disciplinary measures like termination of appointment, dismiss, and written query reduces cases of indiscipline.

### **Recommendations**

Based on the findings of this study, the following recommendations were made:

- i. The university management should in the first place make sure new and existing employees should be made to understand the rules and regulations of the university through orientation. This will make them to be adequately informed of the actions that are regarded as indiscipline act. The management on its part should avoid practices that could cause rancor and apprehension among staff.
- ii. The use of disciplinary measures like termination of appointment, dismiss and written query could be effective in curtailing cases of indiscipline, this is usually to be effective but in the long run, employees could become used to it and find ways of avoiding them. The management should employ other approaches like non-promotion of employees in the required time and withholding of financial benefit.
- iii. Employees are advised to strictly obey the code and conducts of public civil service and the university rules as there are dangers in falling victims of disciplinary measures, hence, there should be careful in their day to day official activities.
- iv. Management of the University should always apply the disciplinary measures on defaulters as they have all proved to be effective in improving staff conduct.

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# **MODERNITY PRESSURE OVER TRADITIONALISM IN THE COMODIFICATION OF PRACIMAYASA BUILDING IN PURA MANGKUNEGARAN SURAKARTA**

**Sunarmi<sup>11</sup>**

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## **Abstract**

The problem of research was the comodification of Pracimayasa as cultural pledge in tourism realm. This research was a cultural study with grand theory of deconstruction. This research was taken place in Pura Mangkunegaran Surakarta. The data constituted information related to the comodification of Pracimayasa Mangkunegaran building supported by relevant document and literature. Technique of analyzing data used was an interactive model of analysis encompassing: data reduction, data display, and conclusion drawing.

The result of research showed that Tourism in Pura Mangkunegaran was born from modernity pressure for the purpose of Surakarta City and Pura Mangkunegaran development. Stimulating customary life and tradition is a must, while modernity adaptation is not something tabooed in Pura Mangkunegaran. Tradition in Pura Mangkunegaran is a unity of commitment prevailing rather than something independent of conflict; it is because an active cultural value system is involved in global value order wrestling as the urban community's need increases any time. Its implementation in social life in Pura Mangkunegaran has encountered conflict, particularly in Pracimayasa building comodification. For that reason, an introduction of new value with differential culture requires strategic action in interpreting and repositioning tradition in order to create civilization harmony.

**Keywords:** modernity pressure, traditionalism, comodification, Pracimayasa

## **A. Introduction**

Pura Mangkunegaran in Surakarta with its traditional and locality value order cannot avoid and should confront modernity in globalization and modern capitalization order. Contrasting traditional value and locality with modernization and globalization in tourism context is a counterproductive discourse. All of them should be viewed as complementary powers because it does not mean that paradox values are impossible to be harmony. Modernization and globalization in tourism context should be encountered

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with critical attitude by reinterpreting traditional and locality values frequently considered as less relevant and functional. For that reason, an introduction to new values with differential culture requires strategic action in interpreting, understanding, and repositioning traditional value in Pura Mangkunegaran in order to create civilization harmony. Pura Mangkunegaran itself is in locality and tradition it has within which typical rite and art work form now starts to be comodified as the modernity pace develops.

Mead and Bateson explain that the abundance of ritual activity and procession and art in an area is something feasible to see as a symptom that should be discussed in social-cultural framework (Picard, 2006: 44). Culture becomes such an instinctive incentive regulator system resulting in cultural schizophrenia. Culture is a blue print that has been a compass in its life journey because culture becomes conduct guideline. Such the cultural understanding is in line with the concept of culture suggested by Geertz elaborating that culture is a pattern of definitions or meanings intertwined comprehensively in symbols and transmitted historically (Abdullah, 2006: 1). Considering the statement above, culture is considered as a system about conception inherited in symbolic form by which human beings can communicate, preserve, and develop their knowledge and attitude to life. Such the definition in Abdullah's terminology (2006: 9) is called generic culture, culture is descended guidelines. This definition of culture put culture as a symbolic system bordered with territory and its proponent society and in turn it should face an increasingly integrated world.

Globalization and modernity accompanying the world movement today moving in a more integrated way in global order make cultural borders dissolving due to smoother, denser and more intensive population, goods, information, ideas, and value current. Migration current from and to Surakarta City has changed the locality existing in Pura Mangkunegaran, no longer like its original form. Nevertheless, that change can be defined as a progress in cultural area. The change existing of course encourage the differences to occur, in both social and cultural dimensions very likely affected by a variety of information choices channeled through various media. It is the realest power of modern society that has established the most fundamental ideology, difference. It means that globalization has brought about a type of ideology becoming the foundation of community formation, preservation, and change based on self-identity process and difference between persons (Abdullah, 2006: 106).

In line with information and communication development, the elements of culture in Surakarta City, Pura Mangkunegaran is not only required to experience adjustment, but also to adapt to various effects of modernity befalling surrounding. From this condition, some products of culture existing in Pura Mangkunegaran have begun to be comodified for tourism purpose, one of which is Pracimayasa building. The culture existing in Pura Mangkunegaran is not a descended inheritance shared and practiced collectively, but more situational in nature, the existence of which is dependent on the ever changing character of power and relations. In the attempt of creating this differential culture, tourism packaging participates in playing its role, because tourism can be considered as global culture allowing for the opportunity of interethnic intercourse in cultural harmony circumstance.

The development of culture due to modernity of course results in two large poles: generic and differential culture that of course makes Pura Mangkunegaran move in a development of confusion affinity leading to socio-cultural tensions. It occurs because Pura Mangkunegaran moves in a contradiction between maintaining noble values and following generic culture or participating in differential culture encountering many changes in short term. The confusion leading to this restlessness and anxiety becomes reasonable because it exerts negative effect on culture (Bagus, 2002: 155). Pura Mangkunegaran in Surakarta City seems to encounter the same worry and anxiety. As a result, local community in Pura Mangkunegaran tradition found difficulty of determining traditional values between new values orientation centers growing more rapidly. The emergence of new value orientation centers has resulted in value contradiction becoming prevalence and can be seen as a large potential to encourage the better social order change (Abdullah, 2006: 10). Determining good value for social order change is not easy because the collapse of tradition value orientation is not automatically followed with adequate ability of assigning choices appropriately to new value orientation values.

When Pura Mangkunegaran in Surakarta has been defined as cultural pledge of Surakarta City in RI's Law No.11 of 2010 as amendment to the previous RI's Law about Cultural Pledge Building and in turn developing as tourist destination. One of them occurring is Pracimayasa building as its tourist destination, so that fundamental change occurs in normative structure and system of local community existing within it. It is because tourism has delivered Pura Mangkunegaran people to move from traditional pattern of life to the traditional expressional one, toward the service society and progressive modern society. Social and cultural change in Mangkunegaran due to tourism development in subsequent modernity pressure becomes a focus of problem interesting to study. It is based on an assumption that tourism is the form of modernity causing the emergence of new value orientation centers that can be seen as large potential of pressure on traditional in Mangkunegaran. This assumption truth can be traced into social-cultural framework subsequently identifying some deconstruction or comodification of Pracimayasa building in Pura Mangkunegaran as the focus of social change.

## **B. Research Methodology**

A study on modernity pressure on traditionalism in the comodification of *Pracimayasa Building* in Pura Mangkunegaran Surakarta was a cultural study investigating the comodification of Pracimayasa building as material object. Pracimayasa building is the former *keputren* (princess residence) building of a *kadipaten* [(in the colonial period) area ruled over by an adipati] in Java land and becomes Cultural Pledge Building today. For that reason, the problem of research was related to tourism development as the form of modernity pressure on traditionalism. The paradigm used was post-modernism paradigm positioning research into critical thinking system of postmodernism. Comodification is represented through an investigation on various deconstructions as the form of change occurring in Mangkunegaran. Deconstruction focused on understanding meaning behind the comodification of Pracimayasa building in Pura Mangkunegaran during modernity era. Derrida's deconstruction theory criticizing Saussure's structuralism theory stating the highest reality is the one in relation to language. In language, there are

always elements making the meaning of opposition binary. Derrida deconstructs something by reversing and looking for its contradiction in the overridden elements and not playing a part and not functioning and then is given space as an entity, the existence of which is also taken into account. Deconstruction in this case is not intended to confirm meaning, but to trace the existence of oporia elements such as: paradoxical, contradictory, and ironic meaning.

This research was taken place in Pura Mangkunegaran Surakarta particularly Pracimayasa building. Data derived from direct information related to the comodification of Pracimayasa Mangkunegaran building in various supporting document. Empirical data was obtained from the field was necessary to understand comprehensively the object of study, because a research is basically an individual's attempt of approaching, understanding, elaborating, and explaining phenomena related to certain object (Kleden, 1987: 60). Written data derived from data sources including book, journal, document; the result of previous study was related to the comodification and Pracimayasa building in Pura Mangkunegaran.

In this research, an analysis was conducted using an interactive model of analysis. Technique of analyzing data with this interactive model started from preliminary process, data collection, data reduction, raw data simplification, data display, and processing ended with data verification. The process of analyzing interactive data consisted of three concomitant activity flows: data reduction, data display, and conclusion drawing.

### C. Result and Discussion

Understanding the change existing in Pura Mangkunegaran Surakarta at least could be done through two approaches: social and culture. It was said so because the social change in principle pertains to transformation of human community life aspects: civilization, cultural, and social changes (Rahardjo, 2007: 25). Cultural change, according to Vogt, is a conceptual formulation referring to the habits within society constituting their cultural patterns (Lahajir, 2001:379). It means that cultural change is the change occurring in idea system shared by the members of society or a number of corresponding society members, including regulations or norms used as the guideline in members of society's life, values, technology, taste and senses of beauty or art and language. However, referring to Abdullah (2006: 19)'s thinking, understanding culture should begun through redefining the culture itself. He said that culture is not merely a generic culture (constituting the descended guideline), but also differential culture (negotiated in entire social interaction).

Viewed from sociological approach, the comodification in Pura Mangkunegaran identified the pattern reemerging, representing the long term change direction leading to the change. When historical study tended to be skeptical on wide generalization, sociological study on building comodification phenomenon in Pura Mangkunegaran showed that there is a general theoretic formulation based on

deductive logic accompanied with comparative approach. It is because the objective of this approach is not only descriptive but also normative in nature.

In contrast to cultural change, the change of social structure and social relation pattern includes status system, family relation, political and power systems, and population distribution. Therefore, fundamental changes in cultural pattern, structure, and social behavior occurring are considered as social change all the time (Rahardjo, 2007:25). This view emphasizes that social change in Pura Mangkunegaran in its relation to tourism should contain the presence of cultural pattern change, the shift of value order and norm used as behaving guidelines as a social structure containing the shift of elements building community balance and regularity. Meanwhile, the social behavior of community existing in Pura Mangkunegaran Surakarta's locality constitutes social interaction built by them in organizing the life within society. An analysis on social change of Pura Mangkunegaran in its relation to tourism implies that the change should be put on the condition before and after tourism activity have been implemented. Such the analysis emphasizes more on the difference of analysis unit aspects, such as the culture in the form of locality idea system existing in Mangkunegaran, social structure constituted customary institutions, and social behavior constituting social interaction of tradition in Mangkunegaran.

Social change in Mangkunegaran due to tourism is basically one of global cultural phenomenon considered as a system. In addition to its cultural dimension, the change of Mangkunegaran in its relation to tourism can also be observed through social dimension, recalling that social and cultural phenomena are two symptoms of a reality, that is, human action system based on its knowledge system between fellow human beings and their culture. In relation to this problem, particularly in the context of cultural heritage, cultural tourism in Pracinmayasa building of Mangkunegaran is as if a two-edge sword particularly in utilizing cultural heritage as tourism object and attraction. On the one hand tourism aspect can preserve cultural heritage of Pracinmayasa building, while on the other hand, tourism activity can be harmful or exert negative effect on cultural heritage of Pracinmayasa building. However, until today, the effective ways of dealing with the negative effect of tourism have not been found, including the loose legitimacy and tradition existing in Pura Mangkunegaran itself as a result of many switching functions of buildings like Pracinmayasa building for tourism purpose. Although Pura Mangkunegaran has had Mondropura serving as *pengageng* in dealing with entire assets related to tourism in Mangkunegaran. Mondropuro and some offices serve as evaluator of art, meal menu, and entire series of simulacra event to welcome royal guest in Mangkunegaran making Pracinmayasa building a main object in Mangkunegaran tourism. Basically, in implementing the commodification of Pracinmayasa building, there has been a standard operating procedure that should be followed by any travel agents bringing tourists to Mangkunegaran.

The change in tradition dimension into industrial and service life that is relatively more rational in nature indirectly provides community objectification climate in Pura Mangkunegaran entirely. Their view on world, custom, and cosmos building on the importance of a *pengageng*'s position begins to change. *Pengageng* Mangkunegaran is currently the leader in cultural preservation and development. In the context of cultural tourism, drama has been performed beautifully in Mangkunegaran. Guest *dinner* or *lunch* phenomenon in Mangkunegaran Palace in Pracinmayasa building is included into tour package;

*Pengageng* has been replaced with *abdi dalem* in turn based on money-oriented consensus. The figure of *pengageng* is a cultural asset in tourism concept.

The actor of Pracimayasa building comodification in royal guest simulacrum alternately brings about subjective perception on Royal Guest Welcoming rite in Pura Mangkunegaran, thereby allowing for the unconsciously shifting of royal guest welcoming tradition and even leading to the emergence of new culture form, resulting from negotiation in entire social interaction. Interpretation on cosmology conception as one of constructive symbol dimensions experience the change to universal direction with more contextual meaning. The utilization of Pracimayasa building as a means of building image of royal guest welcoming circumstance conducted only based on one decision so that habituation occurring in the behavioral attitude eroding the etiquette gradually in space use. It can be observed from tourism performers' attitude and behavior in tourism phenomenon in Pracimayasa Ward where the Royal guests are welcoming. The seats are organized based on hierarchy in traditionalism concept for *pengageng* and *elders* as cultural asset in tourism phenomenon in Pura Mangkunegaran.

Otherwise, expressive dimension is characterized with the increasing number of various activities in broad meaning in the phenomenon of Pracimayasa building comodification. All of these as if assess that building and tourism have exerted considerable effect on life and order in Pura Mangkunegaran. Such the condition makes the physical environment in Pura Mangkunegaran closely related to its mystical (supernatural) power that can hegemonize *abdi dalem* in Pura Mangkunegaran no longer capable of affecting and creating human thinking. Environment is encountered and is defined as material world or object only. The consequence of tourism is the autonomy and subject freedom in interpreting objective reality. The emergence of some art performer groups in the tourism development domain of Pracimayasa building in Pura Mangkunegaran. The spirit of *abdi dalem* in practicing *karawitan* and dances preserves Mangkunegaran culture. Creativity attempt of including a variety of meal menus actually not typical menu of Mangkunegaran with preservation excuse is done in the spirit of preserving Mangkunegaran culture through tourism development in Mangkunegaran.

The relativity of value property and many ways of defining tradition aforementioned allows for the opportunity of diverse way polarization thereby resulting in biased main function of tradition, that is, to maintain the moral commitment to live together peacefully and with good character corresponding to the tenet of life spirit well-known to the local people in Pura Mangkunegara. It makes cultural change and preservation a certainty and both of them should proceed in balance, sustainably, and as planned. The planned cultural preservation and change in Mangkunegaran can be done dependent on multi-factor, including human beings, science and technology, fund, insight and management. Cultural capital development requires an optimal complementary synergy related to religious social, legal, economic, political, and knowledge aspects.

The attempt of developing and preserving culture in participative and living tourism framework in Mangkunegaran requires the reinforcement and diversification of local action in universal vision. Cultural tourism in Pracimayasa Mangkunegaran building as an industry implemented by Surakarta City's government in a series of planning and supervision can be an aspect generating a certain polarization. The

reality showed that the rapid development of culture within Surakarta City's society is due to tourism. Expressive culture can certainly develop into a progressive one, providing its proponent the opportunity of obtaining economic benefit. Recalling that economic culture and performance are closely related, the change in one certain aspect will affect another (Harrison and Huntington, 2006: 28). This value shift from expressive to progressive culture emphasizes more on economic value, directing government and community to see the tradition commercialization for tourism purpose and one example of which is Pracimayasa building in Pura Mangkunegaran in Surakarta City.

Art and interior design problems have undergone secularization and centralization processes in Mangkunegaran. Secularization occurs due many things that should be demonstrated publicly started to be performed for honor guest and tourist that can access it with certain tourist ticket including Pracimayasa building consisting of some rooms with entire interior. The centralization of art building tends to be art institution-oriented as well such as Suryo Sumirat, Langendriyan, as dance practicing institution in Pura Mangkunegaran. Centralization brings about standardization of *pakem* and pattern, all of which are the favorable phenomenon to art development in Mangkunegaran or Surakarta City. However, this successful art education institution should be followed by successful quality. The lustrous implementation of meal menu serving, custom (tradition) existence, and diverse art creativity seems to be able to meet the function of quantity only, while its content and value gauge seems to be increasingly marginalized. Cultural exploitation for tourism purpose becomes main issue; therefore in the development of tourism recently local community should be involved in planning, implementation, monitoring, and evaluation, so that they have sense of belonging and responsibility for managing the tourist object.

It has been suggested implicitly that modernization and globalization through tourism has introduced new value in traditional environment in Pura Mangkunegaran. When tradition is formed based on traditional and locality setting, modernization and globalization introduced through tourism are established on individualistic, achievement orientation, time appreciation, measurability, secularity, high mobility, and conception bases. For that reason, any tradition existing in Pura Mangkunegaran should encounter social-structural differentiation process and experience generalization of value, norm, and meaning accompanying. In relation to culture, such the shift has contributed to knowledge as cultural unit. Everyone whose knowledge system has been touched by new values will try to give new meaning to the preexisting order. In the context of tourism concerning Pracimayasa building in Pura Mangkunegaran, it has been known that there has been a change of value orientation from locality to economic direction, fiscally characterized with the change in the layout of Pracimayasa building in Pura Mangkunegaran accompanied with supporting attributes. Eaglen (2009: 203-215) wrote an article entitled *An Analysis Of Culture As A Tourism Commodity*, published in *The International Journal of Tourism, Culture & Communication*, Vol. 9, discussing about culture playing important part in tourism. Eaglen in his writing explains that the cultural comodification process as tourism selling value results in controversy because culture will change and loss its intrinsic values into an understanding relatively dependent on individual's, tourist's, and marketer's/distributor's personal understanding.

A close understanding on social and cultural change in Mangkunegaran indicates that an interpretation process is characterized with the presence of symbolic manipulating activity, the way of setting the relevant culture to the front and hiding the one less appropriate to the developing situation. Such the way showed that tradition is not a reality facing modernity. Each of them (tradition and modernity) has values of upholding fraternity, humanity, and human welfare. It means that a tradition of commitment to fraternity, humanity and welfare is present, but packaged in more vague way and sometimes in certain mythology just like what existing in Pracimayasa building in Pura Mangkunegaran. Otherwise, in global world, life based on solidarity is not something strange. For that reason, reinterpretation on traditional value is a historical imperative, but it remains to be done after passing through systematic mechanism and procedure. The objective is to make all of human product and their interpretation result become standard moral and means of maintaining solidarity.

Modernization is a development analogized with enduring and everlasting spirit particularly within the people in developing countries. Thus, tourism development under modernity pressure can be basically negotiated in each of its context through traditional and locality value-based management. The social-cultural interaction-based reform can of course strengthen the sacral value underlying local community basis in Pura Mangkunegaran and sharpen the cognitive vision on the basis of cultural mental. This attempt of actualizing cultural strategy can be said as a synthetic alternative in positioning traditional values in facing globalization age by Pura Mangkunegaran. As Ponzini (2014: 10-18) suggested in his study entitled *The Values of Starchitecture: Commodification of Architectural Design in Contemporary Cities* in *Organizational Aesthetics* Vol. 3 that comodification is carried out by making the past value of object an inspiration to create a unique and spectacular works for branding and marketing product. In this article, it can be understood that comodification is conducted to add economic value of past object in new work. Firm critique is thrown away against the performer as utilizing past value for allegation of economic value addition merely, regardless cultural characteristics.

Other phenomenon pertaining to social change in the comodification of Pracimayasa building in Pura Mangkunegaran in facing globalization era, particularly in relation to tourism is the intensification of development model originating from society based on value reference and social environment developing within the society. Furthermore, entire social innovation that should be socialized to the community should not be alienated from the recipient society. For that reason, the issue concerning the attempt of improving public participation in development process becomes interesting, moreover when related to the social-cultural potency existing in Mangkunegaran. Social-cultural potency as a perspective becomes a meaningful demand because social-cultural potency owned by Pura Mangkunegaran is consciously a non-understandable and non-usable means of socializing a social innovation in Surakarta City. Incapability of formulating city's social-cultural perspective is because this aspect is not only subjective-qualitative in dimension, but also sometimes ambiguous in nature. For that reason, there should be a guidance to grow and to develop public participation in Surakarta City based on social-cultural approach.

Considering the comodification occurring in Pura Mangkunegaran Surakarta, it can be seen that culture encountered comodification in tourism industry. Talking about comodification, comodification in

Pura Mangkunegaran Surakarta is considered as the transformation of relation formerly clean of trading into the commercial relation, exchange, buying and selling relation. Understanding commodification means understanding the way the capitalism develops. It suggested that the term commodification has similar definition to commercialization. That is, making something no longer valued from sentimental aspect, but it has been valued with money value only. As explained earlier, in tourism system, the primary important component is the presence of tourist attraction. Some of Tourist Attraction Objects (ODTW) are categorized into cultural aspects. For example, building art, interior design, tradition, dance, mythology, history, and etc. Similarly, in Pura Mangkunegaran many tourists come with various motivations interested in the cultural ODTW, so that the cultural practitioner community gradually feels also the benefit and advantage of tourist visit.

For that reason, there is a tendency that community cultures visited by tourists in Pura Mangkunegaran keep existing and maintained rather than due to original causes such as societal value, familiarity, and kinship. In turn, those cultures can keep existing and well-maintained because favorable values despite various cultural reproductions in various areas. Referring to commodification concept, what withdrawn from those activities are kinship and familiarity values in Royal guest domain. Culture is basically a complexity of a relationship between various life aspects within society. So, viewed closely, there is commodification of culture in Pura Mangkunegaran, not only from some cultural elements, but also all aspects composing culture vulnerable to commodification.

Furthermore, in other perspective, there is a view that culture is deliberately presented to tourists rather than to commodify culture, but as one of way the culture survives or is organized for the sake of money. In that phenomenon, it can be said that cultural performer sacrifice the past values for maintaining other values. At a glance, in tourism industry in Pura Mangkunegaran, it can be stated that there is cultural commodification. The performers (actors) present culture or activity of manipulating some cultural aspects including royal guest procession completed with welcoming ceremony, art, dance, and feast to be enjoyed by tourists, with very limited visit time. The cultural aspect is modified so that the show time is shorter, and the time can be adjusted with tourist's demand, meal menu can be simplified or even innovated in currency. The cultural aspect of royal guest welcoming that should actually be organized at certain times should be adjusted with the tour time availability, for the sake of tourist's interest. Feast existing in Pracimayasa building can be enjoyed and accessed by tourists.

Considering commodification in Pracimayasa, the values underlying that cultural activity are shifting. Cultural activity formerly building on respect to a group of individuals or individual on etiquette tradition domain visualized into custom in certain ceremony has changed in its value. That culture proceeds due to a respect to an individual or a group of individuals because of not status but because of money. The dominant value is commercial one, to get money. However, the cultural performers should remember that there have been many extinct cultures because of no user. Of course, the cultural performers will abandon the culture immediately, when it has been considered as not benefiting the performers. When it has been abandoned, culture would be extinct. Moreover, in the presence of many Republic of Indonesia's Laws positioning the palace as the cultural production place such as court and

Pura Mangkunegaran in Surakarta as Cultural Pledge, it seems to support the occurrence of commodification in addition to main problems: modernity pressure.

Such the commodification is often accused to tourism performers is actually a paradox statement. So far, there are many examples of cultural activity including being royal guest and customary rite, explored and practiced again by a group of communities because they see that other people (tourists) are interested in watching it and perceiving an event. If there is no tourist brought by tourism performer to watch the cultural performance, the cultural activists and community would uncertainly practice such the culture. Even, those cultural values can fade not due to its performance before the tourist, but because the society has gradually abandoned their own culture, because it is no longer considered as beneficial. Two of strongest factors are: globalization and modernity pressure. Gray (2009: 203-215) wrote an article entitled *Commodification And Instrumentality In Cultural Policy* in *International Journal Of Cultural Policy*. Gray wrote about commodification and instrument in cultural policy. Cultural policy has changed in many states in last few years, due to broader issue of social change and commodity conception acceptance. The fact that the characteristics of cultural policy and social change occurring in different countries imply that the effect of cultural “globalization” and cultural policy requires reformulation for certain consideration of variation by government choice.

In the presence of globalization and modernity pressure, the values held on by people throughout world have increasingly fused. For that reason, the cultural values within society can potentially shift, either with or without tourism. In developing countries like Indonesia, poverty and people welfare issues become priority in development. The resolution of such issue is included in the mandate of 1945 Constitution (*Undang-Undang Dasar 1945*), particularly in Preamble Section, stating that the objective of state is to promote the public welfare. In this context, the state is obliged to make the people prosperous by utilizing any resources Indonesia has. Some types of resources that can be utilized are capital, technology, art, and culture. Cultural art resource is a potential asset that Indonesia has. The society also understands that cultural art includes entertainment and food art as the result of cultural construction modification by the society itself. In some cultures, art is a series of ceremonial sacred art entrenched in society tradition.

Viewed from the present context, a variety of art performance that can deliver the message of feeling in Pura Mangkunegaran or other area is replete no longer with sacred values but with economic orientation. Tourism as an industry has proved to be an alternative dependable economic activity as an attempt of improving people prosperity. In such the situation, co-modification become a process of changing culture into commodity, the mass is escorted toward art and spectacle that is digestible and generating fascination produced through capitalism production pattern.

#### **D. Conclusion**

In sum, the elaboration above has tried to show that Pura Mangkunegaran with its traditional value order cannot avoid and should face new values in global economic order particularly in tourism context. In other words, tourism in Pura Mangkunegaran is born from urban modernity pressure for Surakarta City's and Pura Mangkunegaran development purpose. Contrasting traditional value and

locality with modernization and globalization in tourism context is a counterproductive discourse. Both of them should be viewed as complementary and completing powers.

Modernism and globalization in tourism context are faced with critical attitude and at the same time, there is reinterpretation on less relevant and functional traditional values. It means that stimulating customary life and tradition is a must, while modernity adaptation is not something tabooed in Pura Mangkunegaran. The presence of tourism serves not only as threat but also as the opportunity of creative process to the people in Pura Mangkunegaran as a unit of commitment prevailing rather than something independent of conflict; it is because an active cultural value system is involved in global value order wrestling as the urban community's need increases any time. In reality, a variety of new needs emerges in the development of community's knowledge as something to be fulfilled. Some of those new needs in its development have been adapted and accommodated to be collective reference containing moral commitment originally formulated and intended to good objective. However, its implementation in social life in Pura Mangkunegaran has encountered conflict, particularly in Pracimayasa building commodification. All of these are internal natural incentive suggesting that traditional values are inseparable from the changing (advance) process. The change is felt more strongly as the effect of external factors increases, that are, modernity and globalization in tourism context. For that reason, an introduction of new value with differential culture requires strategic action in interpreting and repositioning tradition in order to create civilization harmony.

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## **Challenges of adopting Cooperative Financing Method in an E-Commerce Environment: Experience from Nigeria**

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### **ABSTRACT**

Most studies on cooperatives in Nigeria have been on its micro credit delivery potentials and credit source to Small and Medium scale Enterprises (SMEs). Cooperatives serve low income group and the poor that account for over 70% of the economy. Ignoring cooperatives on the crusade for cashless society would be acceptance of the fact that over 70% Of currency in circulations would be in cash as against the practice in developed economy. The emphasis of existing studies on the active participation of cooperatives as important tools of financial inclusion needs further empirical evidence in the Nigeria context. This paper is an attempt to analyse the challenges of cooperative method in an e-commerce environment with a view to proffer solution to issues and problems. Data were collected from 150 staff of selected Cooperatives in Lagos state and analysed using correlation matrix to model relationship between e-commerce and Cooperative service delivery while OLS used to analyse determinants of e-commerce adoption by Cooperatives and its impact on Cooperative operations. Findings showed that increase in e-commerce practices by cooperative based on (E- Dividend, E-Accounting, E-payment system, E-services and E-business) lead to increase in service delivery of Nigeria cooperative Organisation (F-Value-13.36; P-Value-0.000). Also several challenges were faced conducting cooperative business online the major of which were fear of E - fraud by members (**mean 3.79**), security of information **mean 3.62**) and technophobia **mean 3.58**).

**Keywords: E-commerce, Financial inclusion Cooperative Financing Method, E-transactions, Nigeria, Cooperative service delivery**

### **Introduction**

The financial inclusion policy of the Nigerian government may not be complete if Cooperative organizations are ignored. This is because majority of low income group and small business owners form the membership of Cooperative Societies worldwide evidenced from existing studies on cooperative accounting and finance (Epetimehin, 2006; Oladejo, 2013). The study of Lakshmi and Visalakshmi (2013) concluded that the success of financial inclusion in India is next to impossible without the participation of Cooperatives and thus emphasised the active participation of cooperatives as important tools of financial inclusion. This situation require further test in the Nigerian socio cultural context. According to Lakshmi and Visalakshmi (2013) the promotion of an inclusive financial system is considered a policy priority in many countries and that financial inclusion is important for improving the living conditions of poor farmers, rural non- farm enterprises and other vulnerable groups who are mostly members of Cooperative Societies. Also Shemshad, Lashgarara,

Mirdamadi, Omidi and Abadi (2015), believed that using internet facilitates selling products and marketing in cooperatives.

Studies over the years have shown the positive impact of cooperative societies as micro credit delivery channel and vehicle for poverty alleviation (Asaolu 2004; Oladejo 2013). Otto and Ukpere (2011) identified cooperative credits and thrift associations as a veritable source of capital formation which is required for investment purposes. The thrift cooperative as a micro finance agency is also a direct source of employment for those engaged in its management or coordination. However, there is the need for changing roles of cooperatives to meet the global challenges of e-commerce going by the calling by various authors and players in commerce. For example, Birgegaard and Genberg (1994) have pointed out that unless the cooperatives can meet these challenges, they will end up in down-turn spirals of decreasing volumes of business, deteriorating profitability of their operations, reduced capacity to pay remunerative and competitive prices and provide useful services to their members, continued flight of members, still further decline in volumes of business. Lakshmi and Visalakshmi (2013) also suggested that Cooperative Banks in Indian should be proactive about transferring Information and payment technology into an opportunity.

According to Shemshad *et al* (2015), although more than half of employment rate and added value are related to the Cooperatives in this Iran they have not involved in export activities and international business considerably (UNCTAD 1993). The most important Problems and obstacles of these Cooperatives include lack of the adequate resources and capacity, and complications related to the provision of services in international markets as put by Rajabion (2008). Internet suggests set of economical and affordable ways to attract foreign customers and remove the obstacles by providing services and reducing costs related to geographic area (UNCTAD 2002). The use of the Internet for e-Commerce associated with some obstacles and the problems. For example, in a research study conducted by the Organization Economic Development and Cooperation, there are two main reasons advanced on why managers of cooperatives do not use the internet in business to include the fact that they are not familiar with this technology and its benefits as well as costs And security consideration. Also, Oluyinka, Shamsuddin, Wahab, Ajagbe and Enegbuma (2013) found among others that poor infrastructural facilities are the major factors hindering e-commerce adoption among Nigerians. The current study is an attempt to examine whether any of the various identified factors; hinders adoption of e-commerce in Nigeria and to what extent they affect cooperative financing thus forming the basis for policy recommendation relating to e commerce, financial inclusion and cashless policies of Nigerian Government.

This has implications for the development of accounting theories and principles for globalised cooperative operations. The factors influencing adoption of e-commerce by Cooperative Societies in Nigeria is worthy of researching as a basis for financial inclusion and pointer to cashless policy in Nigeria.

### **Statement of the problem**

Experiences from practices of cooperatives over the world and hypotheses derived from institutional economics and the theory of collective action, as observed by Hannisch (2009), suggest that taking advantage from globally integrating value added chains created by development of Information Technology is possible for cooperatives. The observation of Lakshmi and Visalakshmi, (2013) that while the importance of financial inclusion is widely recognized, there is lack of assessment of the extent of financial inclusion based on credit

flow to small borrowers in Indian economy calls for further empirical research in the Nigeria context. Also the conclusion of Oladejo and Yinus (2014) that information technology has a significant impact on the Cooperative services and influence the level of economic activities calls for further empirical study on the factors militating against adoption of Cooperative financing method in an e-commerce environment. This could serve as the basis for attaining the objective of e-payments policy as contained in the CBN Report (2012) in Nigeria. This paper remains germane by examining the factors militating against adoption of e-commerce and improved service delivery by the cooperatives societies in the prevalence of e-commerce. The paper will provide answers to the following questions:

- What are the factors militating influencing adoption of e-commerce by cooperatives?
- Is there any significant difference in the effect of these factors on cooperative service delivery?
- To what extent can cooperatives societies deliver in an e-commerce economy?

**H<sub>01</sub>:** There is no significant difference in the effect of factors influencing adoption of e-commerce by Cooperative Societies

**H<sub>02</sub>:** There is no significant relationship between Cooperative service delivery and e-commerce adoption

### **Literature Review and Conceptual Underpinning**

#### **Theoretical framework: Innovation Theory Diffusion (IDT)**

The current study leans on Innovation Diffusion to explain the benefits derivable by adopting e-commerce by Cooperative Societies in Nigeria. The current study relies on Innovation Diffusion theory that seeks to explain how, why, and at what rate new ideas and technology spread through cultures. The theory of diffusion of innovation postulated that five attributes of an innovation influence its adoption (Roger 1995). The Innovation Diffusion Theory (IDT) is a model that explains the process by which innovations in technology are adopted by users. It follows that IDT focuses on explaining how new ideas and concepts gain widespread adoption. IDT considers a set of attributes associated with technological innovations that affect the rate of widespread adoption which are: Relative advantage – degree to which an innovation is perceived better than the idea it supersedes. Compatibility – degree to which an innovation is perceived as consistent with the existing values, past experiences and need of potential adopters. Complexity – degree to which innovation is perceived as relatively to understand and use. Trialability – degree to which an innovation may be experimented with, on a limited basis. Observability – degree to which the result of an innovation are visible to others. Among these attributes, only relative advantage, compatibility and complexity are consistently related to innovation adoption (Cheung et al., 2000). Since this theory focuses on technology adoption and majority of scholars have appraised it in health industry, banks and informal sector of financial institutions it becomes relevant to explain why Cooperatives are adopting e-commerce and at what rate leaning on innovation diffusion. This research work intends to exploit how the idea and structure can work well for cooperative financing service in e-commerce environment.

#### **Cooperative Societies and Financial Inclusion Policy**

According to CBN Report (2014) there are about 7 billion people in the world and according to Global Financial Inclusion database hosted by the World Bank ; only 50% of adults have accounts at formal financial

institutions-bank, credit union, cooperative, post office or micro finance institution. This implies that 3.5 billion people are financially excluded. The situation is worse in Africa as only 24% of people have accounts at formal financial institutions compared to 84% of adults having accounts in high income countries. Furthermore the study of Abifarin and Bello (2014) concluded that to reduce poverty, ensure food security and create jobs, cooperative banking based on cooperative principles is imperative in Nigeria. With an estimated population of 170 million people, Nigeria's rate of financial exclusion currently stands at 39.7%, according to the 2012 survey conducted by Enhancing Financial Innovation and Access (EFInA). Financial exclusion retards economic growth as small and medium enterprises are denied credit as only large corporate and guaranteed wage earners in the public and private sector have access to credit (World Bank 2015). However, the objectives of Financial Inclusion include extension of financial services to the vast sections of disadvantaged and low income group population of the country at an affordable cost to unlock its growth potential. In addition it strives towards a more inclusive growth by making banking services available to unbanked and unserved sections of the society. Siddaraju (2012) observed that financial inclusion will act as a source of empowerment and allow people to participate more effectively in the economic and social process and that financial Inclusion is critical for achieving inclusive growth in the country. Siddaraju (2012) argued that the Financial Inclusion initiatives will go a long way in not only financially empowering the people but also as an avenue of providing excellent business opportunities for the financial market participants.

### **Economic importance of Cooperatives**

A cooperative is an autonomous association of persons united voluntarily to meet their common economic, social and cultural needs and aspirations through a jointly owned and democratically controlled enterprise" (Anbumani, 2007). The lending target of cooperatives is to direct credit to priority sectors of agriculture and the weaker section of the population. Another group, Enhancing Financial Inclusion in Nigeria, EFLNA, under took an in-depth study of the sector in three states namely Enugu, Kebbi, and Oyo states. Their data revealed that the 700 members they interviewed in the three states saved over #243 million annually, and that the 150 managers interviewed managed a loan portfolio of #122 million. 2015). Individuals' membership of Cooperative The study of Otto and Ukpere (2011) found that co-operative credits and thrift associations as a veritable source of capital formation which is required for investment purposes and those cooperatives are socially and individually profitable. The thrift cooperative as a micro finance agency is also a direct source of employment for those engaged in its management or coordination. The patronage of the cooperatives and credit associations is very high as observed Ewubare, Aiie and Akekere,( 2008) given the high level of poverty in Nigeria and paucity of loan able funds. The credit and thrift association is a potential source of self-employment for any individual or group of individuals with sufficient interest in such ventures.

In the United States, 4 in 10 individuals is a member of a co-operative bank (40%). Co-operative Banks in Europe have over 150 million clients (one third of the EU population), 60,000 banking desks, 50 million members. In France, 21,000 co-operatives provide jobs to 700,000 people. In Germany, 8,106 co-operatives provide jobs for 440,000 people. Co-operative Banks in Europe are responsible for 74% of the meat products, 96% of dairy products, 50% of the egg production, 34% of forestry products & 34.2% of the total deposits in banks. In Korea agricultural co-operatives have a membership of over 2 million farmers (90% of all farmers) ,

an output of US\$11 billion. The Korean fishery co-operatives also report a market share of 71%. In India, over 239 million people are members of a co-operative. In Japan, the agricultural co-operatives have 91% of all Japanese farmers in membership. China has 180 million members. Malaysia has 5.4 million members which is 20% of the population. Japan around 1 in 5 of all Japanese households belongs to a local retail co-op and 90% of all co-op members are women. In Singapore, consumer co-operatives hold 55% of the market in supermarket purchases and have a turnover of USD 700 million. In Singapore, 50% of the populations (1.6 million people) are members of a co-operative. Co-operatives provide over 100 million jobs around the world, 20% more than multinational enterprises. In Canada, co-operatives and credit unions employ over 160,000 people. In Colombia, the co-operative movement provides 109,000 jobs which is 23% of jobs in the health sector, 18% of the jobs in the transport sector, 13% in the worker/industrial sector, 11% in the financial sector and 9% in the agricultural sector.

### **Cooperatives and e-commerce Adoption in Nigeria**

Evidence from recent studies show that the level of e-Commerce transactions conducted in Nigeria in the past three years has increased exponentially. However there is doubt if the rate of adoption was significant in Cooperative Societies and other informal sector of the economy that account for more than 70% of economic and financial activities. E-Commerce which is conducting business online, is all about a perfect interface between business management, strategy and technology with a view to serving the customers more satisfactorily. The internet on which e-Commerce rides is a major catalyst for the economic development of Nigeria. According to Oluyinka *et al* (2013) vital benefit of e-commerce is access to global markets which enables businesses to expand their reach. The internet allows increase in awareness, visibility and opportunity for organisations to promote its products and services (Senn,2000). E-commerce acceptance is at initial adoption stage in Nigeria (Onifade, 2003). The acceptance of e-commerce is noticeably growing in the country particularly among the large number of educated people. In retrospect, small and medium enterprises are still struggling to provide internet services at their own expenses due to limited government support (Onifade, 2003).

The e-commerce industry in Nigeria began in the mid-nineties when the internet and telecommunications industry started becoming popular (Martin and Ernst, 2003). Its growth was slow until the advent of internet banking at the beginning of the 21st century. This is because an e-commerce service is dependent on people's ability to make use of this new innovation technology. Service like the electronic cash transfer has a large impact in the development of e-commerce in Nigeria (Bada et al., 2006). Nigerian businesses are facing expansion gradually, as e-commerce creates global advantages to open new profitable market for local goods and services at far and at close distance. An online shopping system which is a vital component of e commerce, give consumers a much greater choice with regard to their desired products and services, and offer much more in terms of ease and convenience, as against overseas travels for shopping purposes as could be understood from the submission of Park et al., (2007).

According to Shemshad *et al* (2015) the number of cooperative that provide products, services and information via email is growing rapidly at the worldwide and also the SMEs that are more innovative more likely to export and new technologies such as the Internet are more likely to accept. The results of the experimental study by

Santarelli, and ED'Altri, (2001)) on the adoption of e-commerce show that the full implementation of e-business solutions, still have not reached puberty in the most sampled SMEs.

### **Problems of e-commerce development in Nigeria**

Several studies have noted factors that influence individuals and firms to adopt e-commerce (Rodríguez et al., 2008; Grandon and Pearson, 2004; Kumia, 2006). These factors are technological characteristics, social characteristics, and environmental characteristics, time, relative advantage of e-commerce, IT knowledge, and e-commerce compatibility. Others as identified in the literature include lack of proper infrastructure, taxation, security issues, privacy concerns, high cost of shipping goods to and from Nigeria, low penetration of credit cards usually required to shop online (debit cards are the common payment cards available in Nigeria), unreliable distribution and delivery processes, residual distrust of paying online in a society where cash is the king among others. The major reasons for slow adoption of e-commerce in Nigeria include lack of trust in online retailers, lack of adequate technological infrastructure and fear of inadequate online security of their data when making payments.

Oluyinka et al (2013) identified factors hindering the adoption of e-commerce among Nigerians considering four important dimensions with first being infrastructure barriers like telecom connection, and supported by Lawrence and Usman, (2010) that E-commerce accomplishment depends heavily on a number of infrastructure technologies. Second is a Socio-cultural barrier as Efendioglu and Yip (2004) argued that adoption of e-commerce may be hindered by individual consumers who thought that counterfeit products are sold online. Lack of transactional trust between parties is a major problem. Lawrence (2011) and Poon and Swatman (1999) found that consumers in developing countries prefer traditional commerce in order to ascertain the quality of the product. In developing countries, there is a perception that technology is to destroy their culture and way of life. Oluyinka et al 2013. Third reason is socio economic barriers supported from the study of Kshetri and Dholekia (2002) that economic conditions in developing countries are widely recognised as a major hindrance to ecommerce adoption. Lawrence (2011) argued that, gross domestic product and per capita income are common indicators for the economic conditions of a country. Lu et al. (2010) affirmed that access charge relative to income and earning affects internet use. Similarly, Mbarika (2002) stated that many developing countries with unfavourable economic conditions are not likely to be involved in e-commerce. Fourth is Political and governmental barriers Lawrence and Usman (2010) found that, political and government policies may pose some significant challenges to e-commerce adoption in developing countries. For instance ISPs are a key area where government policy can make a difference in access and adoption of e-commerce (Uzoka et al., 2007).

### **Methodology**

The population of this study comprises of all registered Cooperatives under Lagos State Co-operative Federation Ltd (LASCOFED). Lagos state has been chosen because of the predominance of cooperative activities and the selection of Lagos by CBN as Cashless zone for the implementation of the government e-payments policy. Furthermore, according to the Lagos State Cooperative Federation Ltd. (LASCOFED Report

2016) cooperators in Lagos state had contributed about N80 billion as net asset to the state economy in 2015 and that Lagos State had the highest number of cooperative societies in Nigeria with two million cooperators and 12,000 societies in the state. However, according to P.M NEWS Monday June 20, 2016 Lagos captures 2,523 Cooperative Societies in database. The Lagos state government decried that out of the about 16,000 cooperative societies operating in the state, only 2,523 societies had come forward to have their database captured. The study relied on the 2,523 Cooperatives on data base of the state government for ease of access to the identified Societies in the administration of research instruments. 80 Societies spread across four geopolitical zones in the state were selected for the purpose of the study to include 20 each from Island, Ikeja, Ikorodu and Badagry. Two respondents staff each including secretary/manager and accounts officers were sampled purposively to elicit information on their knowledge of e commerce and operations of the society under e commerce including buy and selling online and provision of financial services electronically that are central to e commerce practice as well as e-accounting practices in the Cooperative Societies. This made the total respondents to be 160 in all. The choice of staff for the research questions bother on the fact that they are employed staff who are always found in their offices than leaders or executive members who visit cooperative offices when necessary.

The major instrument used in the collection of data for this research work was questionnaire. The questionnaire consists of questions that are related to e-commerce impact on cooperatives services as identified in the literature as well as factors influencing e commerce adoption by Cooperatives in Nigeria. Out of the 160 questionnaires administered on the respondent cooperative staff sampled only 150 were found useful for data analysis.

Descriptive analysis like frequency table and percentage were used to analyze the determinants of e commerce adoption by the sampled Cooperatives while the formulated hypotheses were tested through the use of correlation matrix to model relationship between e commerce and Cooperative services and Regression Analysis to analyse the determinants of e commerce adoption and effect on cooperative activities.

## **Result and Discussions**

### **Perception of Respondents on Awareness of E-commerce Practices**

The results of data analyses on the awareness of cooperatives on e-commerce practices were displayed in table1 to table 5 below. Based on analysis shown in table1, 100% of respondents know the meaning of e-commerce as conducting business online. Table 2, also revealed that 100% of respondent were of opinion that e-commerce require use of information Technology devices. Furthermore table 3 showed that 73% of the respondents were of opinion that there is need for internet account to conduct e-commerce while 27% of the respondent believed otherwise.

Also table 4, revealed that 65.3% of respondent were of opinion that e-commerce means access to global market while 34.7% of the respondent said is not. Moreover table 5, showed that 100% of respondent were of opinion that computer or mobile phone need for e-commerce contact.

**Table1: Respondent Opinion on the meaning of e-commerce as conducting Business online.**

Response	Frequency	Percentage
Yes	150	100%
No	-	0

Total	150	100%
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Source: Field survey 2016

**Table2: Respondent Opinion on whether e-commerce requires use of information Technology devices.**

Response	Frequency	Percentage
Yes	150	100%
No	-	0
Total	150	100%

Source: Field survey 2016

**Table 3: Respondent Opinion on whether there is need for internet account to conduct e-commerce.**

Response	Frequency	Percentage
Yes	110	73%
No	40	27%
Total	150	100%

Source: Field survey 2016

**Table 4: Respondent Opinion on whether e-commerce means access to global market.**

Response	Frequency	Percentage
Yes	98	65.3%
No	52	34.7%
Total	150	100%

Source: Field survey 2016

**Table5: Respondent Opinion on whether computer or mobile phone need for e-commerce contact :**

Response	Frequency	Percentage
Yes	150	100%
No	-	0%
Total	150	100%

Source: Field survey 2016

### **E- commerce practices by Cooperatives**

Table 6, revealed that 22.67% of the respondents made use of E- E-payment System, 1.33% made use of Internet Services, 28.67% made use of E-dividend, 10.67% made use of E-business, 2.66% made use of E-advertising, 14% made use of E-marketing while (20%) made use of E-accounting, this show that the sample cooperative were exposed to e-commerce through use e-payment system, embracing different internet service that enhanced the organization performance, paying dividend electronically into members account, doing business electronically, advertising and marketing their services and product electronically, giving accurate record of financial transaction electrically using technology devices.

Also based on analysis shown in table 7, about 25.3% of the respondents made use of mobile banking while 52% Automated Teller Machine, 14.67% Internet banking, 8% Electronics fund transfer system while none made use of Point of sales .This implies that majority of the sampled cooperative members made use of E-

payment system which comprises of Automated Teller Machine, Internet banking , Mobile banking, Electronics fund transfer except Point of sales (POS).

**Table 6: Response on E-commerce exposure in Cooperative Societies**

Response	Frequency	Percentage
Use of E-payment System	34	22.67%
Use of Internet Services	2	1.33%
E-dividend	43	28.67%
E-business	16	10.67%
E-advertising	4	2.66%
E-marketing	21	14.00%
E-accounting	30	20%

Source: Field survey 2016

**Table 7: Response on Effective form of E- payment system adopted by the cooperative Members.**

Response	Frequency	Percentage
Internet banking	22	14.67%
Mobile banking	38	25.33%
Point of sales (POS)	-	0%
Electronics fund transfer	12	8%
ATM	78	52%

Source: Field survey 2016

### **Identified Factor militating against E-commerce adoption by cooperatives**

Table 8 showed the descriptive analysis of factors Militating against e-commerce adoption by Nigeria cooperatives as elicited from cooperative members and Staff . Based on the analysis of result each stated factor indicated the following means **3.393** lack of information; **3.407**, Cybercrimes; **3.267**, Poor Technology infrastructure; **2.96** Political situation; **3.793** fear of e-fraud; **3.58** Technophobia; **3.62**, of Security of information; **3.387**, Members demand for e-service; **3.213**, of Size of the cooperative organisation; **3.427**, technology Attitude Toward local culture ; **3.433**, Government e-commerce policy; **3.013**, Moderate Internet access charge; **3.493**, Lack of trust; **2.147** Online products Guaranty; **2.06**, nature of cooperative business; **1.96** Limited production of cooperative goods and services; **1.95** international trade of cooperative.

The above results showed that all the eighteen identified variable are part of factors influencing e-commerce adoption by Nigeria cooperatives societies. The overall results however ranked fear of e fraud highest (3.79), followed by security of information 93.62), Technophobia (3.58) and Lack of Trust (3.49). Whereas International trade of cooperatives (1.906) was ranked least of the factors, followed by limited cooperative production capacity (1.96) and general nature of cooperatives business (2.06). This result is in line with the argument of (Kshetri and Dholekia, 2002; Lawrence and Usman, 2010; Ajagbe and Enegbuma 2013) concluding that most of these variables influencing adoption of e-commerce in their separate studies. It is however at variance with the study of Oluyinka, Shamsuddin, Wahab, Ajagbe and Enegbuma (2013) that found among others poor infrastructural facilities as major determinants of e commerce adoption. Therefore in

the cooperative context fear of e fraud by members, security of information and technophobia were the major determining factors for e commerce adoption,

**Table 8: Factors influencing e-commerce adoption by cooperatives**

S/N	Militating Factors	Mean (X)	Std. Dev (STD)	Min	Max
1	lack of information	3.393333	1.079999	1	5
2	Cybercrimes	3.406667	1.081241	1	5
3	Technology infrastructure	3.266667	1.173915	1	5
4	Political situation	2.96	1.110535	1	5
5	Fear of e-fraud	3.793333	.8458082	1	5
6	Technophobia	3.58	.9642607	1	5
7	Security of information	3.62	.9739562	1	5
8	Online products Guaranty	2.146667	.846522	1	5
9	Limited production of cooperative goods and services	1.96	.8737791	1	5
10	General nature of cooperative business	2.06	.899142	1	5
11	International trade of cooperative	1.906667	.7539308	1	5
12	Members demand for e-service	3.386667	1.085516	1	5
13	Size of the cooperative org.	3.213333	1.161962	1	5
14	Technology Attitude Toward local culture	3.426667	1.025492	1	5
15	Government e-commerce policy	3.433333	1.150353	1	5
16	Moderate Internet access charge	3.013333	1.074329	1	5
17	Lack of trust	3.493333	.8414327	1	5
18	Economic conditions	3.213333	1.070763	1	5

**Source:** Field survey 2016

### Test of Hypothesis

#### **Regression Analysis of factors Influencing Adoption of E-commerce in cooperative Societies of Nigeria**

As shown in Table 9a, A unit increase in the following identify variable such as: lack of information, Cybercrimes, Fear of e-fraud, Technophobia, Limited production of cooperative goods and services, Government e-commerce policy and Lack of trust will reduce e-commerce practice by (4.4 units, 1.0 unit, 5.6 units, 6.1 units, 22.8 units, 8.6 units and 5.5units respectively); this show that lack of information, Cybercrimes, Fear of e-fraud, Technophobia, Limited production of cooperative goods and services, Government e-commerce policy and Lack of trust has a significant influence on e-commerce and it adoption system. The analyses indicate that e-commerce adoption is significantly related to all these variable at 0.050 percent, 0.003 percent, 0.044 percent, 0.063 percent, 0.000 percent, 0.055 percent and 0.113 respectively. The result indicate that an increase in all these variable will diminish e-commerce adoption .

Also a unit increase in the following identify variable such as : Technology infrastructure, Political situation, Security of information, Online products Guaranty, nature of cooperative business, international trade of cooperative, Members demand for e-service, Size of the cooperative organization, Moderate Internet access charge and Economic conditions will increase e-commerce practices by (9.2 units, 16.5 unit, 8.0 units, 3.6 units, 16.4 units, 6.1 units, 6.8 unit, 6.2 units, 4.5 units, 8.5 units and 3.3 units respectively); which shows a positive influence between all the variables: (Technology infrastructure, Political situation, Security of information, Online products Guaranty, nature of cooperative business, international trade of cooperative,

Members demand for e-service, Size of the cooperative organization, Moderate Internet access charge and Economic conditions) and e-commerce practices by cooperative societies in Nigeria. It also revealed that e-commerce adoption is significantly related to all these variable at 0.023 percent, 0.000 percent, 0.070 percent, 0.010 percent, 0.000 percent, 0.225 percent, 0.239 percent, 0.140 percent, 0.009 percent, 0.055 percent, 0.045 percent and 0.018 respectively.

Following the result of the analysis (Table 9a), the null hypothesis that there is no significant difference in the effect of factors influencing adoption of e-commerce is rejected. Given the coefficient of determination ( $R^2$ ) of **0.9658** (approximately 97%) and also supported by high value of **Adjusted ( $R^2$ )** significant at **0.9611** (approximately 96%), the result indicates that independent variables incorporated into this model proved otherwise. Therefore there is significant difference in the effect of factors influencing adoption of e-commerce. The F-Value (**1318.81**) and P-Value (**0.000**) also confirmed the significance of the model. The constants and coefficients are statistically significant making for rejection of null hypothesis and acceptance of the alternative hypothesis. Furthermore in table (9b), the result of heteroschedacity support the significance of the model since **Prob>chi2 is 0.000** with **chi2(18)** at **60.22**.

**Table 9a: Regression test Analysis on Factors Militating against e-commerce adoption by cooperatives**

S/N	Variables	Coefficient	Std.Err	T	P>{ T }
1	lack of information	-.4469923	7.185079	-0.06	0.050
2	Cybercrimes	-1.018057	8.353543	-0.12	0.003
3	Technology infrastructure	9.28399	4.045294	2.30	0.023
4	Political situation	16.54518	3.953268	4.19	0.000
5	Fear of e-fraud	-5.663332	3.856251	-1.47	0.044
6	Technophobia	-6.137705	4.338818	-1.41	0.063
7	Security of information	8.028764	4.397664	1.83	0.070
8	Online products Guaranty	3.63168	3.487549	2.04	0.010
9	Limited production of cooperative goods and services	-22.8862	5.192346	-4.41	0.000
10	General nature of cooperative business	16.4955	3.572998	4.62	0.000
11	international trade of cooperative	6.140811	5.039579	1.22	0.225
12	Members demand for e-service	6.810404	5.759562	1.18	0.239
13	Size of the cooperative org.	6.221857	4.191863	1.48	0.140
14	technology Attitude Toward local culture	4.580367	3.873301	2.18	0.009
15	Government e-commerce policy	-8.611643	4.453019	-1.93	0.055
16	Moderate Internet access charge	8.507163	4.198088	2.03	0.045
17	Lack of trust	-5.533591	3.465675	-1.60	0.113
18	Economic conditions	3.375274	5.208349	2.65	0.018
Constant		-42.02642	4.726441	-8.89	0.000
No of Obs = 150 F( 18, 131) = 205.48		Prob>F= 0.0000	R-squared= 0.9658	Adj- Rsquared =0.9611	Root MSE = 8.5695

Source: Field survey 2016

**Table9b: Heteroskedacity Test**

**Breusch-Pagan / Cook-Weisberg Test for Heteroskedasticity**

**Ho: Constant variance**

**Variables: All (18) Identify Factors incorporated into the Model**

Chi2(18)	60.22
Prob>chi2	0.000

**Source:** Field survey 2016

### **Correlation Analysis between e-commerce Practice and Cooperative Service Delivery**

Table 10a, showed the colinearity of the variable and the relationship between the study variable. The result indicated that E-commerce practice has a positive significant relationship with Cooperative service delivery ( $r = 0.8062; 0.8523; 0.6975, 0.9665, 0.7848, P < 0.05$ ). These results implies that increase in e-commerce practice by cooperatives based on (E- Dividend, E-Accounting, E-payment system, E-services and E-business ) lead to increase in service delivery of Nigeria cooperative organisation. The result revealed a correlation coefficient between e-commerce practices and Cooperative service delivery which make all the variables to be significant at 0.05 degree level. More so, the result of Ramsey Reset Test with ( F-Value-**13.36**; P-Value-**0.000**) braced the significance of the model using power of the fitted value to determine mislaid variable in the model. This is shown in (table 10b). Base on this result we reject the null hypothesis stated earlier that there is no significant relationship between e-commerce practice and Cooperative service delivery and accept the alternative hypothesis which says that there is significant relationship between e-commerce practice and Cooperative service delivery

**Table 10a: Correlation Analysis between e-commerce activities and Cooperative Service Delivery.**

	E-commerce Practice	E-dividend	E-Accounting	E-payment system	E-services	E-business
E-commerce Practice	1.0000					
E-dividend	0.8062*	1.0000				
E-Accounting	0.8523*	0.6560*	1.0000			
E-payment	0.6975*	0.6554*	0.7154*	1.0000		
E-services	0.9665*	0.8736*	0.8396*	0.7030*	1.0000	
E-business	0.7848*	0.9792*	0.6014*	0.6440*	0.8611*	1.0000

**Source:** Data Analysis, (2016).

**Table 10b: RAMSEY SET Test of Omitted Variable**

**Ho: model has no omitted variable**

<b>F(3, 128)</b>	<b>13.36</b>
<b>Prob&gt;F</b>	<b>0.000</b>

**Source:** Field survey 2016

### **Conclusion**

The study appraised the challenges of cooperative financing at adopting e-commerce and the influence on cooperative service delivery using 150 staff of selected Cooperatives in Lagos state as a case study. Findings from data analysis and the tested hypotheses showed that the sampled cooperators are aware of e-commerce and conducted certain business online such as e-payments, but have limited capacity for export business that

would have compelled full e-commerce. These results implies that increase in e-commerce practices by cooperative base on (E- Dividend, E-Accounting, E-payment system, E-services and E-business) lead to increase in service delivery of Nigeria cooperative organisation. Also several challenges were faced conducting cooperative business online the major of which were fear of e fraud by members, security of information and technophobia.

### **Recommendations**

From the foregoing cooperative leaders should see innovations in technology as business necessity by designing bases for e-commerce trade and attendant e-payments like point of sales, internet banking and mobile banking for enhanced service delivery for sustainable development. This will facilitate policy development on financial inclusion and cashless economy that most developed countries had by passed.

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# ROMANIAN-CAMBODIAN MIGRATION TO THE UNITED STATES: COMPARATIVE STUDIES SOKHOUN HOV

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## ABSTRACT

The United States, where immigrants from Europe, Latin America, and Asia have begun from 17<sup>th</sup> century, is made up of immigrants and descendants of immigrants (Purcell, 1995:vii, xi). Romania, a developing country with upper middle income (WorldBank, 2015), has gone through wars, communism, and holocaust. Romanian people migrated before 1989 within or outside the country due to political aspect, religious conflicts, and/or malnourishment. Comparatively, Cambodia, a developing country with low income (WorldBank, 2015), getting much worse than Romania, has gone through civil wars, genocides, communism, and internal conflicts. Every Cambodian made a move at least once in their lives before 1998 both inside and outside the country. Both Romanians and Cambodians are still on the move to the United States through family network and wedding. Socio-political factors of migration, the case of Romania and Cambodia, to the United States have never comparatively been interrogated or assimilated in a systematic manner. This paper, therefore, will organize systematically and comparatively the socio-political factors of migration towards the United States, based on push-pull theory. Based on migration system theory, the study interrogates into regimes, wars, famine, religious conflicts, geographical upheavals, holocaust and/or internal conflicts of Romania and Cambodia and the relatively hospitable social and political climate of the United States.

**Keywords:** Migration, push-pull factors, socio-political factors, Romania, Cambodia, the United States

## INTRODUCTION

Migration is defined as a process of moving residence from one location to another (ILO-IPEC 2013). Migration takes two important sides: (1) the fundamental historical role of migration as part of human experience from the remote past to the present and on into the future and (2) migration coin of a different perspective (King, 2012:4-5). One side takes part in human nature in a search for foods, pasture and resources; the desire to travel and explore; but also to conquer and possess. Carriers of innovation from one region to another have been the population movements. This trend has been narrated as a new twist. International migration, for the past twenty years, has globally, politically, femininely, and diversely increased (King, 2012:4). The other side delineates the world today international migrants of 214 million accounts for more than 3 per cent of global population. The trend had developed from 75 million (2.3 per cent) in 1965 to 105 million (2.7 per cent) in 1985 (King, 2012:5). Migration is subject to 'Push' and 'Pull' factors. Generally, the 'Push' appears to deal with regimes, conflict, drought, famine, extreme religious activity, poor economic activity, lack of job opportunities, race and discriminating cultures, political intolerance and persecution of people, educational crisis, poor social services, and social chaos. The 'Pull' involves in better economic opportunities, more jobs, a better life, weather conditions, peaceful and comfortable locations, savings or remittances, and better cultural, political, climatic and general terrain (Purcell, 1995:24-27). Similarly, Romania and Cambodia, social-push factors particularly deal with poor social services (medical care, education and other public

services), social chaos (conflicts and insecurity), and proselytization (religion, cultures, customs, tradition). Political-push factors are concerned with regimes (Nazism, communism, and genocides), wars, policies, and regulations (Campbell, et al. 2007:101). Purcell (1995) points out, in the case of the United States, social-pull factors are composed of better social opportunities in medical care, education, public services, and beneficial social welfare. Political-pull factor deals with developed-democratic country (p. 62-71).

There are three theoretical approaches—neo-classic approach, historical-structuralist approach, and migration system theory. Borjas (1989) points out neo-classical approach is limited by three elements—individual's financial resources, immigration regulations of the host countries and the source countries (p.461). Originated intellectually from Marxist political economy, the historical-structural approach emphasizes the unbalanced distribution of economic and political power in the world economy (Zolberg, 1989:14-17). Migratory movements, according to migration system theory, are generally caused by the existence of prior links between sending and receiving countries and by colonialism, political influence, trade, investment or cultural ties (Portes & Rumbaut, 1990:224-230). Migration movement also involves in informal network, which links migrants and non-migrants in a complex web of social roles and interpersonal relationships (Boyd, 1989:639) and family network, which makes migration feasible through financial and cultural capital (Stahl, 1993:16-24).

### **SOCIO-POLITICAL FACTORS**

Historically, in the twentieth century, and undeniably catastrophe marked a time when there were wars—from world wars to civil wars, violent political regimes, and genocides, shaping contemporary history (Gilbert, 2013:2). In the nineteenth and early twentieth centuries, predominant moves of migrants were out of rather than into Europe. From 1820 to 1940, the estimated 38 million out of 55-60 million went to the United States due to geographical upheavals, the two world wars, and political factors, pushing massive human dislodgements, crossing the borders in Europe: 7.7 million in border-crossing and 25 million in shifted movement (King, 1993:20-22), and social migrations from the absence of human rights, free of speech, equality, and peaceful social transformation rather than revolution (ibid.41). For instance, The State Council, at the 40<sup>th</sup> anniversary of the Romanian Republic in 1987, regardless of serious crimes, denounced an amnesty and pardon for some convicted offenders, sentenced up to five years, and reduced those, sentenced longer, to improve Ceausescu's poor image abroad. The estimated 170,000 Romanian citizens emigrated legally between 1975 and 1986; thousands of others emigrated illegally were arrested; and unknown numbers of Romanians were shot and died, while attempting to migrate (Deletant, 1995:258). Practically between 1948 and 1952, Ceausescu's policy to Jews was to let them emigrate and then leave the places for young Romanian generations (ibid. 210). A flood of exit visas was evidently granted in 1958, with a payment of \$2,000 upwards, depending on the age, education and profession (ibid. 209) and ceased in 1959 with no explanation (ibid. 207). After the revolution of 1989, the Jewish population in Romania was small with a large portion of old people. The Jews, from Netherland after Second World War into Romania, have their political and social rights of the country's citizens, and additionally anti-Semitism is officially prohibited, after breaking out again in 1944. With their rights as citizens, the Jews are permitted to immigrate to the country of their preference—Canada and the United States (Campbell, et al., 2007:201-202). Traditionally, Romanian people were non-migrants before the Second World War. Between the two world wars, small groups of Transylvanian peasants went to find work

in America, returning homeland with money and education in Western countries. The estimated eight million of Romanian diasporas among the population of 21-22 million, after the Second World War, were in exile, having minimum contacts with the homeland till 1989 (ibid. 70).

Without a tradition in emigration, Romania has become a nation with a large population outside the borders of their country of origin and gained a cultural map of the world among diaspora's of other people, showing the idea and Romanian spirit. This spirit will continue to exist forever not only between the frontiers of the origin country, but also in small or big groups of the ethnic communities, from America, Europe, South Africa, and New Caledonia. Becoming more and more multicultural day after day partakes in Micro-cells of participation in the multicultural ocean of the planet and complex cells with a multiple cultural identity from their departure, during the eternal acculturation processes of the world (Campbell, et al., 2007:70-71).

Immigration takes some necessary steps—critical plan and contact with the new land—and involves in some main reasons: unemployment, low salary in the homeland, political reasons (communist system), professional motives (working abroad in high technology), personal motives (weddings), and other high opportunities. In Romania higher educated people, especially the younger ones, lacking opportunities for jobs, forcing them to emigrate, find other solutions to survive and have a better life (Campbell, et al. 2007:101). Modern migrations, including labor migration, evidently flows along the line 'South-North,' resulted from the level of development between countries not only in the European context but on the world scale, migration policy of the host countries, and demand for labor resources from the source countries (Pop, 2004:38).

Comparatively, Cambodia, in much worse than Romania, has politically undergone through seven historical periods. The French colonized Cambodia from 1863 to 1953 in a way consistent with the government by promoting reciprocity, dependency, and maintenance of the status quo. They introduced educational expansion without consideration to the expectations of graduates and to the relevance of their education to the country or their own lives. The colonial education could offer social mobility through acceptance in the colonial administration. King Norodom Sihanouk ruled the country from 1953 to 1970, after gaining full independence in 1953. The political status quo was tightly maintained through the heavy-handed control of national political, economic, and social life. The country was in economic crisis from the mid-1960s due to the widespread corruption and general mismanagement, leading to the increasing of opposition forces—Communist Party of Kampuchea (pro-China) and Lon Nol 's anti-communist forces (pro-American elites). Insurgency and the growth of the Communist movement resulted in the uprisings in 1967 and 1968 and internal instability by the end of 1960s due to spillover from Vietnam War, leading to the US bombing and invasion into Cambodia between 1969 and 1973 (UNESCO, 2011: 21-23).

Sihanouk was ousted by General Lon Nol and Prince Sisowath Sirik Matak (Sihanouk's cousin) in 1970, inaugurating a period of poor governance, economic downturn, social fragmentation, and civil and regional wars. Lon Nol ruled Cambodia from 1970 to 1975 and led the country to two simultaneous wars: war against rebel communist leaders (Khmer Rouges) and Vietnam War, resulting in violent internal repressions, the death of over half a million Cambodians, and education crisis (ibid:23). The people fled into the forests to organize a resistance as guerrillas. More than two million people were on the move from their villages to safe places due to the turmoil, civil war, and American bombing (Robinson, 1994:4-9). The Khmer Rouge took power from

1975 to 1979, renaming the country Democratic Kampuchea. Cambodia was known as a Marxist agrarian society and the killing fields, between 750,000 and 3,331,678 Cambodians were killed by torture and execution, exhaustion from overwork, starvation, and disease. At the start of Pol Pot's year Zero, Western medicine, religion, intellectualism, libraries, schools, and anything related to previous regime were destroyed (UNESCO, 2011:23-24). Displaced and destitute Cambodians continued to mobilize in search of new homes and more than 100,000 people reached the Thai border to seek for political asylum after the end of the revolution. Many refugee camps were set up along the border with humanitarian assistance (Robinson, 1994:4-9). After the defeat of the Khmer Rouge regime, Phnom Penh was a ghost town until 1980, when the displaced urban population of 56.23% started to come back (Maltoni, 2007:3). Heng Samrin ruled Cambodia from 1979 to 1991, renaming the country Khmer People's Revolutionary Party. The country started from scratch without currency, markets, financial institutions, industry, public transport system, trains, postal system, telephone, electricity, clean water, sanitation, education, and with damaged roads. The new regime faced the daunting task of rebuilding the country in all fields of crises, including a massive educational crisis (UNESCO, 2011: 25-26). United Nations Transitional Authority in Cambodia (UNTAC) carried out 1991 Paris Peace Accord and supervised the interim coalition government—four warring factions—after a decade of civil war and two years of negotiations in Cambodia. Free and fair elections were first organized by UNTAC in Cambodia after a decade of war. Prince Ranariddh, the head of FUNCINPEC, won the popular vote. Hun Sen, however, rejected the results, trying to establish autonomy, which is prohibited by the constitution. The result, after much negotiation, showed the formation of a coalition government with Prince Ranariddh and Hun Sen as First and Second Prime Ministers respectively. UNTAC, during the transition period, could not help improve much quality of education, for the government retained control over the education sector. UNTAC forces withdrew in 1993, leaving crises in education system, which were needed to be resolved. Some recommendations were made by the Asian Development Bank to teachers, higher education, curriculum, and so on to address quality and equity issues (UNESCO, 2011:26-27). Additionally, UNESCO (2011) reports unemployment, violence, gang involvement, and drug and alcohol use may devalue the youth (p. 47). From 1997 to present, Cambodia has been ruled by Hun Sen, who ousted Prince Ranariddh in 1997 in a bloody coup. Hun Sen won the 1998 election and turned the country into a modern Cambodia, where Cambodians recognized the stability in the modern Cambodian context not as something approaching an ideal state, but rather as simply the absence of instability. Education, under previous governments, was used as a political tool of unfulfilled promise of modernization, resulting in discontent of students and teachers, and a lack of open dialogue due to single-party dominance (ibid: 26-28). Because of the high proportion of younger population than 25 years, Cambodia is likely to experience a continuing high population growth and unlikely to go through a demographic transition in the near future (IOM, 2008:12)

The development of the education sector is influenced by Cambodian cultural matters, dealing with traditionalism vs. modernism and immunity to change. A struggle between these two forces prolonged instability over the past several decades. The ideas of Cambodian-traditional culture, in 12<sup>th</sup> century during the Angkor Empire, center on the 'patron-client' system of interpersonal relationships for every faction of Cambodian society from ordinary people to elite. The absence of mutual obligation occurs in the system, for

the top of the hierarchy develop a network of clients large enough to stave off rivals while at the bottom the protection is ensured by powerful patrons. Finally, power becomes an end in itself. The ideas of Cambodian-modern culture in modern society are held firmly at the center. The modern day government is considered as a single patron-client system, permeating Cambodian life. Education plays important role in this development. By any ways Cambodia has survived a painful-modern history. The change of society has been strengthened by a number of cultural characteristics of the tumultuous events, including overwhelming value on stability and a strong aversion to risk for old generation of Cambodians, who experienced the atrocities of the Khmer Rouge, a political threat, the government's patron role, decentralized decision making at local level to some degrees, and some reluctant acceptance to the shared power. Historically, the patron has provided minimal services to Cambodians who have low expectations to it. Through difficult times in the past and economic hardship at the present, they are able to cope with the limited resources and often unwilling to migrate (UNESCO, 2011: 19-20).

More educated people are easier to find jobs than those are less educated. Quality of education plays very important role in developing a country and being rich of the people. Cambodian education system needs to be reformed from primary school to higher education. It is evident that Education Strategic Plan 2010-2013 of Ministry of Education, Youth and Sport is to move the education system forward. One out of other concerns on the part of the teachers is poverty and very poor working conditions, contributing to the failure of the implementing the educational reforms, retaining poor quality of education in general. Teachers are in low motivation, for they could not afford the basic necessities—food, housing, clothes, medicines, and rent along with the supporting children and elderly relatives. They, therefore, find second jobs to meet their basic needs (CITA, 2010-2012:4-6).

Before 1965 a handful of Asian immigrants—Chinese and Filipinos—immigrated to the United States due to a token loosening of the Exclusion Act during World War II, and immigrants from the rest of Asia were virtually prohibited. In 1960 Asian Americans accounted for only a tiny fraction of the U.S. population. Twenty years later, Asian Americans accounted for 3.5 million, including Chinese, Japanese, Filipino, Korean, Indian, Vietnamese, and other Southeast Asian nations. Asians represented almost 50 percent of all legal immigrants by 1980s, whereas 30 years earlier they had counted for only 6 percent. The 1965 immigration reform bill opened the door to Asians in large numbers through economic skills provision and new system of chain migration (Purcell, 1995:104). Asian immigrants, from South Korea, the Philippines, South Vietnam, and Cambodia, get involved in American colonialism, war, and neocolonialism. The post-1965 Asian immigrants to the United States are from societies, where traditional cultures are disrupted by colonialism and distorted by upheavals of neocolonial capitalism and war (Lowe, 1996:16).

Two main factors, regardless of any circumstances, attracting immigrants to the United States are economic opportunities—availability of jobs, higher wages, greater access to arable land, or greater opportunity for entrepreneurship than in their homelands and the relatively hospitable social and political climate of the United States. Regardless of economic opportunity, the American way of life has attracted many migrants from all over the world to the United States. Individual immigrants enjoy relatively high level of social and political freedom and the opportunities for their achievements. Historically, the national leaders advertised the religious

and political freedom, offered in the country, to attract the immigrants, especially from non-European developing countries, where the political systems were still fragile and basic individual rights and freedoms were not yet guaranteed. Since 1950 communication revolution has taken place to publicize the values and quality of life or standard of living to the entire world, through radio, television, and motion pictures. The quality of life in the United States, seen from the differences in the physical quality of life index (PQLI), now far exceeds the developing countries. Three elements—a baby's life expectancy at age one, infant mortality rate, and literacy rate—are employed to reflect educational levels, nutritional levels, availability of safe water, public health services, medical care, and the levels of other services, used to satisfy basic human needs. The quality of life conditions of the migration in source countries is drastically below those of the United States. Migration to the United States remains at current high levels due to the spread of the information of living standard in the United States (Morris, 1985:73-77).

The social process in the United States, moreover, is also an important factor, attracting more immigrants to the United States. How immigrants assimilate, how they maintain their ethnic identities, how their religion changes, and how they behave politically are hard to first generation immigrants, but easier and easier to second or third generation relatively. Historically, due to chaotic diversity, Americanizers tried to educate the first generation immigrants the basics of the American way from hygiene to ideology. The Americanizers' dreams of assimilation were unsuccessful among the first generation immigrants, for they could not be suppressed by persuasion and propaganda. They did not give up their identities and native languages. Second generation of immigrants, however, is exposed to new environments at school, in which they follow American cultures outside and their native cultures at home. From third generation of immigrants, cultural events have been organized to commemorate their native cultures. Their native languages are about to give up at their homes and communities. Religions are diverse in the United States. Practically the immigrants bring priests for church, monks for pagoda from their native countries to the United States (Purcell, 1995: 62-71). Politically, in democratic country, political power comes through votes. Since early in the history of the Republic, immigrants and immigration have been the focus of political attention. The Irish was the first immigrants to have a major influence on American politics. Latter in early and mid-19<sup>th</sup> century, migration groups gained less impact on the American political system. The very large numbers of new immigrants from Southern and Eastern Europe had no impact on American domestic politics, except the Irish or the Germans, who gained benefits from the America for their countries of origin (Purcell, 1995:69-71).

## CONCLUSION

Romanians and Cambodians, in less numbers, are still on their moves to the United States through family network and wedding. Politically and socially, they still find a better place, where they can vote freely and have full freedom of speech, and where they have equal rights and perform their religions freely. Migration, an ongoing process, is complicated and often puzzling in America, where aspects of modern life are considered. Americans of all backgrounds continue to show their ethnicity identities of the origin, overarching the American identity. The future American pot never quite melts immigrants, but it is rich of national stew. Illegal immigration and refugees will continue to be the most complicated issues. Economics and domestic politics remain the main influences on migration. In retrospect, over the 400 years of immigration history, it is evident

that immigration has been the lifeblood of the American experience, no matter what happens. The nation will make positive pathways for real immigrants, who want to be integrated into the United States (Purcell, 1995:109).

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# **BARBER-CLIENT COMMUNICATION: WHAT THEY TALK AND WHAT SECRET THEY SHARE IN BARBER ARMCHAIRS!**

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## **Abstract**

People who live and work in cities have to go hairdressers regularly in Turkey. And if there is no extraordinary state, they prefer to go to the same hairdresser. The longevity character of hairdresser-customer relation; turns this relation to an interpersonal communication. This affiliation sometimes has gone too far to share some secrets.

In today's world, communication in family, in work life, and between close friends has been gradually dissolving. Nobody has time to listen to nobody. People talk less with each other. Barber armchairs provide the enough time to customers whose husband and wife or close friends do not give them to talk. In this context, the time which customers spent in barbers' armchair has been passing through with a nice conversation, discharge and sharing the mental distresses. This study has been conducted to reveal the subjects talked in between hairdresser and his/her customers, and how much the talks have been repeated at later comings. Twenty seven hairdressers working in Eskişehir were interviewed. After that, the results discussed and created some groups of theme to analyze.

**Keywords:** hairdresser, communication, interpersonal communication, sharing secrets, coping with stress.

## **INTRODUCTION**

It is possible to influence someone's life by touching and to take practical steps for this. Lack of physical contact in people's lives could lead to such feelings as abstraction from the environment and loneliness. If we do not establish communication with our own body, then it may not be easy to contact and communicate with our environment. Individuals who do not have a positive relationship with themselves will have problems with their connection with the world and develop a personal perception as if they contradict with their environment. It should be remembered that no method can replace a real connection or engagement with the environment. Ideally, individuals' contact with themselves and with others creates intimacy based on increased sensitivity of individuals and increases each other's value. Individuals' efforts to beautify themselves and the positive steps to contribute to their bodies should all be done by the individuals themselves, by others in their close environment or by experts considered to be professionals (Caplan, 1998).

In the study of Canyilmaz (2009), the barber term in Turkish is defined as "the person who deals with cutting, combing and doing hair and beard or the ones who acquires that as a profession, the men's hairdresser, barber". The coiffeur means "hairdresser, barber and beauty parlor".

In the study of Guzel (2013), hairdressers are defined as "the persons who cut, form, dye and do hair care according to the current fashion trends and pleasure of the client". It is mentioned that the main occupation of hairdressers is related with hair however they work in quite verbal interaction with their clients and other hairdressers. It is stated that today the increasing income level of people causes that they care for their appearance more than before and hairdressing profession has become more important by diversification of services of hairdressers as well as hair design.

In the study of Ustuner and Thompson on female hairdresser and client relations, the middle/upper class expectations and difficulties of hairdressers in adaptation period are presented. While, the female hairdressers in Turkey are men and boss-hairdresser concept is common, there is not such a situation in the USA. Ustuner states that it is normal for people keeping arm's length as much as not looking for any physical privacy and at this point it is known that it is said "if, he does his job well, let the apprentice do my hair but he should keep his conduct with me properly". In this study, it is mentioned that the class difference is permanently emphasized to other people intentionally or unintentionally by responding or not responding and it is also observed that hairdressers try to establish dominance over their clients through various strategies. In the study, it is presented that women are tied to their hairdressers loyally and they do not change their hairdressers for years; they cannot stand that their hairdressers whom they trust their hair to call them "you"; most hairdressers come from upstate areas, begin hairdressing from the lowest level and their profession is a transforming aspect for them; a hairdresser must be looking good as well as doing hair perfectly in order to go places in his profession and in hairdresser salons women try to establish superiority on their hairdressers while hairdressers try to establish superiority against each other (<http://www.milliyet.com.tr/sacimi-yapabilirsin-arkadasim-olamazsin/pazar/haberdetay/25.09.2011/1442733/default.htm>, Access date: 15.05.2016).

In the interview titled as "we have come to places by this profession" which has been published in [Hairist.com.tr](http://Hairist.com.tr) (2013), Erbil who is an experienced and popular hairdresser in Istanbul states that; "It is an extremely important privilege for you that a client comes to the parlor and especially requests you. The pleasure and emotion felt by this is a different thing." In this interview, it is mentioned that there are changes in our age; the people who used to come for spending time, entertaining, having a talk and socializing have limited time and they desire to be handled practically; the clients of today cannot stand any mistakes than the past and there is a more investigative client profile while they were not used to questioning in the past. It is stated that a person should have a wide vision, be a good manager who can manage his team well, he should be technically knowledgeable and experienced and patient; it should be known that it is important to bring forward his opinions beyond meeting the expectations of his clients; it is more important to listen than tell; the client psychology should be known well and it should be reflected that the hairdresser tries to make her feel good and by this means it will become possible to keep client flow. Erbil indicates that he cannot stand the clients who try to establish dominance over him due to their economical means and mutual respect is needed and it is important to be preferred by being a good hairdresser rather than being a well-known one and he defines himself as "a psychologist with hair design ability" ([https://www.hairist.com.tr/mahmut\\_ebil\\_hepimiz\\_bu\\_meslek\\_sayesinde\\_bir\\_yerlere\\_geldik.-278-.html](https://www.hairist.com.tr/mahmut_ebil_hepimiz_bu_meslek_sayesinde_bir_yerlere_geldik.-278-.html), Access date: 15.05.2016).

In the news titled as "People also go to beauty parlors for social expectations" and in the study of Ozyurt; 120 women who applied to the beauty parlors of Samsun for having an esthetic body were interviewed in order to determine the sociological aspect of attitudes towards objectifying beauty and ugliness in society" According to Ozyurt, "Women inclining towards becoming beautiful aim to become mentally satisfied and meet their expectations in social relations by making partial changes on their bodies rather than becoming biologically healthier. 71 percent of women indicate that beauty parlors provide biological and psychological relief and promote their social relations by performing their care and cleaning." (<http://www.milliyet.com.tr/guzellik-salonlarina-sosyal-beklentiler-icin-de-gidiliyor-pembenar-detay-ask-1656635/>, Access date: 15.05.2016).

In the study of Togan et al. (2014a), it is considered that hairdressers might have an important role in infection of Hepatitis B and C and it is aimed to determine the knowledge and attitudes of 59 women working in hairdressers and beauty parlors of Aksaray province on hepatitis. In the study, the data on socio-demographic characteristics, professional experience, working conditions, knowledge and practices on preventing infection has been gathered. It has been determined that most of the participants do not have sufficient knowledge on self-care and material cleaning and they exhibit wrong behaviors.

In another study of Togan et al. (2014b) conducted in Manisa, again most of 156 participant do not have sufficient knowledge on self care and material cleaning and they exhibit wrong behaviors.

In the study of Baryaman et al. (2011), the Hepatitis B related issues have been analyzed on the craftsmen and employees of the municipality and no increased risk for Hepatitis has been detected on the coiffeur-hairdresser staff.

As a result of the study of Sahin et al. (2009) conducted on 124 hairdressers, manicurists and pedicurists working in women hairdressers in Sisli, Istanbul for determining their knowledge and practices related with Hepatitis B, it has been observed that the women hairdresser staff participated in the study do not have sufficient knowledge and practices on Hepatitis B and other blood-borne diseases.

In the study of Boztas et al. (2006), it has been aimed to determine the opinions and practices of 100 people working in 14 coiffeurs, 19 hairdressers and 8 beauty parlors on blood-borne diseases. 56% of 100 participants have assessed their profession high risky with regards to blood-borne diseases while only 19% of them had their Hepatitis B injection.

In the study of Guzel (2013), 344 women and men hairdressers of Erzurum have been examined and it has been determined that the most common professional disorder is sleep disorders with 63.8% and the highest value on professional satisfaction is "relations between staff" and the lowest one is "working hours".

In the study of Mermer et al. (2015), it is presented that the most common health problem of 191 women hairdressers in Bornova, Izmir are related with ergonomics and psychological burden.

### **Purpose of the Study**

The purpose of this study is to present the topics and shared secrets in barbers-client communication under main themes.

Accordingly, the answers to following questions are sought.

1. What is the profile of hairdressers?
  - a. Gender of hairdressers

- b. Education level of hairdressers
  - c. Age of hairdressers
  - d. Work experience of hairdressers
- 2. What is the profile of clients?
  - a. How many years have the old clients come to the hairdressers
  - b. The number of old clients
  - c. 1 month service frequency of clients
  - d. Time that the clients spend in the hairdressers
  - e. Monthly income of clients sharing their secrets
  - f. Age range of clients sharing their secrets
  - g. Occupational status of clients sharing their secrets
  - h. Marital status of clients sharing their secrets
- 3. How is the hairdresser-client communication?
  - a. Secret sharing status of clients
  - b. Number of secret sharing clients
  - c. Causes for sharing their secrets
  - d. Warning of clients for not sharing their secrets with anyone
  - e. Advice asking status of clients from their hairdressers
- 4. What are the characteristics of statements they share?
  - a. Subjects of shared statements: subjects of shared secrets, complaint status of clients and the subjects the clients complain about
  - b. Depth of shared statements: details of shared secrets
  - c. Continuity of stated issues: reopening of secret issues
  - d. Following shared statements: asking questions on a previous subject
- 5. What are the secrecy/secret sharing attitudes of hairdressers?
  - a. Sharing a secret with other clients
  - b. Sharing secrets in different environments
  - c. Sharing secrets on phone
- 6. What are the thought of hairdressers on their profession?
  - a. Negative approach due related with sharing problems
  - b. Positive approach related with sharing problems
  - c. Professional evaluations

### **Limitations**

This study is limited with the accessible hairdressers working in the city center of Eskisehir who accepted to have an interview. The data has been collected by semi-structured interview technique. The number of participant hairdressers is twenty seven. The study is limited with the opinions of the selected hairdressers and generalizability of results is limited.

### **METHOD**

"In qualitative studies, the data can be gathered by means of in-depth interview, observation, participant observation and log analysis techniques (Wiersma, as cited in Batu et al., 2004). This study has been conducted by semi-structured interview technique. An interview is a conversation between an interviewer and an interviewee or a group for getting information (Yildirim and Simsek, 2005). According to another definition, an interview is conversations conducted with a person or a group for a particular purpose. The researcher directs these conversations for getting information from the interviewees. (Patton, as cited in Batu et al., 2004). Interviews as the most common clustering method are considered in three ways as the structured, unstructured and semi-structured interviews (Babbie; Berg; Gorden; Nieswiadomy, as cited in Batu et al., 2004). Semi-structured interview is between the structured and unstructured interviews. "Interview form is prepared for getting the same kind of information from different people for inclining towards similar subjects" (Patton, as cited in Yildirim and Simsek, 2008). A set of questions are prepared for using in interviews to apply in semi-structured interviews. These questions are directed by the researchers to each interviewee in the same order however the interviewees are allowed to answer as they wish (Gay; Berg, as cited in Batu et al., 2004).

In the interviews conducted for this study, it has been tried to access opinions of hairdressers on the communication of barbers with their clients, shared secrets, held topics and their knowledge and experience. Consequently, it is tried to present the topics and shared secrets in barber-client communication under main themes and sub-themes.

The researchers held interviews with the randomly selected hairdressers in their own shops. Before, each interview, the purpose of the study has been stated and it has been committed that the interviews would be held confidential.

### **Data Collection Tool**

As aforementioned, the semi-structured interview technique has been applied in the study. In order to compare the answers of interviewed hairdressers, main interview questions which can be answers to the questions listed in the purposes title of the study have been prepared. The researcher has made a trial of these questions with a hairdresser close to his institution. The sound recordings of the interview have been analyzed by an expert and evaluations on the interviewee and the questions have been done and the interview form has been finalized as at the end of the paper.

### **Determining the Hairdressers Participating in the Study**

In order to determine the hairdressers to be surveyed in the barber-client communication study, the names of hairdressers in Eskisehir city center have been obtained from the Chamber of Barbers and Coiffeurs of Eskisehir and surveyors at the helm of the researchers have visited the coiffeurs and requested permission and support for their study. One of the researchers has met with the coiffeurs who accepted to participate in the study and provided information on the study and in order to create an environment of confidence, indicated that the data to be obtained from the study would only be used for scientific purposes.

### **Collecting Data**

The date and time of interviews have been agreed with the hairdressers for conducting the study. The interviews have been conducted in between 1-15 April 2016 as previously planned in the pre-interviews with the hairdressers. Before, each interview, the researcher has explained the purpose of the study and mentioned that the contents of interview would not be read by anyone other than the interviewer, their names would be kept confidential and they should feel relaxed and free to state their opinions. The researchers and interviewers have jointly visited the hairdressers and recorded the questions and answers of the interviews by a sound recorder by getting consent of them. The interview questions have been asked in the aforementioned order. If, the questions could not be understood, brief explanations have been provided by paying attention not to influence answers. Moreover, while the previous questions were replied, the following but answered ones were not asked again. Finally after the recording was done, the researchers have thanked the hairdressers for their times and left the shop.

### **Data Analysis**

The data collected for the study has only been subjected to descriptive analysis. Naturally, when a descriptive analysis is done, the data obtained through interviews are presented originally without adding our opinions and comments as researchers. The following procedure has been followed in data analysis:

- The interview records have been transferred to computer environment without making any changes on them. The text format of sound recordings corresponds to 130 pages. During this transfer the statements of the interviewer and interviewee were written in different characters for easy separation.
- In the reading for checking the texts, the words, sentences or phrases of answers were written by bold characters for easy separation.
- A blank notebook was taken and each interview question has been written as titles at upper right corner by skipping two-three pages. Then, the answers of each hairdresser were combined under the related title by means of bold texts in computer. These answers were sometimes summarized by a single word or a phrase and sometimes written as stated. During this procedure, the answers not included in the interview form but asked during interviews were written at the end of the notebook.
- The answers transferred to the notebook were read and replied answers for each question were tallied. While tallying, the notions, sentences or phrases sometimes used by hairdressers or discovered prematurely were used. These procedures were done on the empty space at left side of the page where the questions were written. By this way, all the answers to a question and the number of hairdressers repeating the same answers have been revealed.
- The subtitles where the tallied answers given for each answer could be gathered have been decided jointly by an expert.

### **Reliability Study**

The following procedure has been followed for compliance check of the determined answers and subtitles: Firstly, the hairdresser was selected and interview printout, questions and considered subtitles were given to a second expert. It has firstly been requested from this expert to determine the statements which can be answers for each question and then replace appropriate answers under subtitles. At the end of this procedure, the answers of related hairdressers registered by the researcher have been compared with the answers and subtitles determined by the expert. The reliability analysis has been examined either for the statements with answer characteristics and subtitles where they were gathered. As a result, the reliability level between the researcher and the expert has been found as 95% for the answers. It has been observed that there is a complete unity in subtitling the answers of the following two hairdressers. For reliability calculation:

Consensus

$$\frac{\text{Consensus}}{\text{Consensus} + \text{Dissensus}} \times 100 \text{ formula has been used}$$

The study report has been compiled by combining the tallied answers gathered under particular titles at the left side of the notebook and the bold statements in the computer. The bold statements have been used as direct quotes.

## **FINDINGS and COMMENTS**

### **Information Related with the Interviewed Hairdressers**

Twenty four of the interviewed hairdressers are men while three of are women; the age average of them is around 37 and their ages vary from 23 to 60; nine of them are primary school (5 years) graduates while eighteen of them are primary school (8 years) graduates; four of them have job experience around 5-8 years, four around 9-12 years, three around 13-16 years, two around 17-20 years, six around 21-24 years and eight around 25 and higher years of experience.

### **Information on Client Profiles of the Interviewed Hairdressers**

Clients of four of the interviewed hairdressers have been going to the same shop for 2-5 years, three for 5-8 years, four for 9-12 years, six for 13-16 years, two for 17-20 years, two for 21-24 years and six for 25 years and more. Almost all the hairdressers (24 of them) serve 16 and more old clients. The monthly visit frequency of old customers has been indicated by ten of the hairdressers as once, nine hairdresser twice, three hairdresser thrice, five hairdresser four times and more. If, the time the old clients spend at the shop is analyzed, two of the hairdresser have mentioned as the lowest time spent by their clients at the shop as between 10 minutes and less, nine of them as between 10-20 minutes, thirteen of them as between 20-30 minutes, three of them as 60 minutes; twelve of the hairdressers have mentioned that the highest time spent by their clients at the shop as around 1-2 hours, five of them as around 2-3 hours and ten of them as 3 hours and more. If, the income levels of secret sharing clients are analyzed, it is observed that one hairdresser has secret sharing clients from low income level, two of them have secret sharing clients from minimum wage income level, fourteen of them have more secret sharing clients from the middle income level, five of them have secret sharing clients from the higher income level and five of them have secret sharing clients from all income levels. If, the age range of secret sharing clients is analyzed, it has been mentioned by eight hairdressers that these clients are around 20-

25, two hairdressers have mentioned that they are around 25-30, ten hairdressers have mentioned that they are around 30-35 and seven hairdressers has mentioned that they are around 40 and older. If, the professional status of secret sharing clients is analyzed, it has been mentioned by sixteen hairdressers that these clients have a profession while they do not know what they are, two hairdressers have mentioned that these clients are university students, three hairdressers have mentioned that they are housewives, three hairdressers have mentioned that they are factory workers, one hairdresser has mentioned that they are public servants, one hairdresser has mentioned that they are academics and one hairdresser has mentioned that they are manufacturers. If, the marital status of the secret sharing clients is considered, it has been stated by sixteen hairdresser that they are married and eight of them have mentioned that they are single and three hairdresser has mentioned that he has clients sharing secrets from all marital status (married, single or divorced).

### **Information on Hairdresser-Client Communication**

When, the information on secret sharing client is asked, all twenty seven hairdressers mention that they share secrets with their clients. With regards to the number of secret sharing clients, six hairdressers mentioned that they have 5 and fewer clients sharing their secrets with them, ten hairdressers mentioned 6-15 clients, six hairdressers mentioned 20-25 clients, two hairdressers mentioned 40-45 clients, two hairdressers mentioned 100 and more clients and a hairdresser mentioned that he/she did not know an exact number. Eighteen of the hairdressers consider the cause why their clients share their secrets with them as confidence, fifteen as sincerity/being close, thirteen as therapy/we listen to their problems and comfort them, eleven as friendship/companionship, two as touch/contact, one as a habit of long years and one as "it makes more sense to tell foreign". The question on whether their secret sharing clients warn them not to share their secret with anyone else is answered by seventeen hairdressers as "no", four hairdressers as "yes", five hairdresser as "very rare" and one hairdresser as "there are people who warn and do not warn". Twenty two of the hairdressers have mentioned that their secret sharing clients ask for advice related with their secrets.

### **Information on Characteristics of Shared Communication**

If, the subjects of communication between hairdressers and client are analyzed, it draws attention that the secrets on family/relation issues for 38 times girlfriend/boyfriend, marriage, lover, relationship, love, private life, men, children, close relationship and for 5 times sex life are shared. Other than these, it is observed that the secrets on the business life are shared for 11 times, everything about life for 4 times, money for 3 times, daily exhaustions for 2 times, politics for 2 times, health for 1 time, football for 1 time, education for 1 time and fighting with friends for 1 time.

Allmost all the hairdressers (25) mention that their clients complain about their lives. The subjects which their clients complain about are indicated as twenty two times general working life, hardship of work, financial issues/money, low wage, long working hours, nursing, chores; eleven times family members, lover/girlfriend/boyfriend, complaints about his spouse/hardships of marriage, children and longing for family, five times general life problems, two times education (collage, courses and academics) one time eyebrow-mustache problems and one time condition of Turkey.

If, the depth of communication shared between hairdressers-clients is analyzed; sixteen hairdressers have mentioned that they have clients sharing superficially, seven hairdressers have mentioned that they have

customers sharing in detail and four hairdressers have mentioned that they have customers sharing both superficially and in detail.

If, the continuity of subjects communicated between hairdresser-client dialogues is considered; fifteen hairdressers have replied the question whether the subjects on shared secrets are reopened as "yes", eight hairdressers have replied as "no", three hairdressers have replied as "rare" and one hairdresser have replied as "it depends".

Related with follow-up of the shared communications, twenty one hairdressers have mentioned that they ask questions to their clients on previously shared subjects, five hairdressers have replied "no" and one hairdresser has replied as "rare".

### **Information on Keeping/Sharing Secret Attitudes of Hairdressers**

Eighteen hairdressers have replied the question on whether they share the secrets shared by their clients with other clients as "no, I do not", nine hairdressers have replied as "yes, but I share examples without mentioning any name". Fourteen hairdressers have replied the question on whether they share the secrets shared by their clients at other places as "no, I do not", three hairdressers have replied as "yes, I do", ten hairdressers have replied as "yes, but I share a examples without mentioning any name". Twenty three hairdressers replied the question whether they share the secrets shared by their clients on phone as "no, I do not", one hairdresser have replied as "yes, I do", three hairdressers have replied as "yes, but I share a examples without mentioning any name".

### **Considerations of Hairdressers about their Profession**

The hairdressers with a negative perspective for complaint sharing aspect with their clients have mentioned that they are tired of listening problems of their clients, their clients show them as therapy centers even their clients transfer all their problems and complaints to them as if they are "garbage containers" and they cannot share their complaints and problems with their clients as they do not listen or do not want to listen the hairdressers and they cannot be relived.

Five of the barbers reported that they shared problems mutually with their customers, while three of them stated that only their colleagues listened to their problems.

When the professional interaction is taken into account, it is seen that three barbers had good relationships with their customers in terms of information sharing.

When, it comes to professional evaluations as a final finding; most of the hairdressers have indicated that they are not satisfied with their profession and it only makes them exhausted, while 3 hairdressers have mentioned that "thanks to God, I earn well and I am happy with my profession", "It makes me happy to make people beautiful and happy".

## **RESULTS, DISCUSSION AND RECOMMENDATIONS**

Hygiene is emphasized as a very important issue both in the domestic and foreign literatures. It is observed in the study that there are lots of deficiencies and risk related with hygiene. However, while there are important findings on this issue, information on hygiene is rarely observed in the interviews. Gokdag and Unugur (2016) consider that this can be related with cultural characteristics of Turkey. While, especially hygiene must be cared

by woman hairdressers, with regard to cultural characteristics of Turkey, it might be considered as shame, accusation, attack or insult to talk or criticize hygiene at hairdressers.

As another interesting finding, it can be presented that politics are not communicated much. There have been some incidents in Turkey where great casualties have been experienced. As a result of bombings admitted by ISIS and Kurdistan Freedom Falcons (TAK), several civilians, soldiers and policemen have lost their lives. The most notable ones of these incidents are July 20, 2015 Suruc, October 10, 2015, February 17 2016 and March 13, 2016 Ankara bombings and these incidents have caused more than 200 casualties and nearly 800 injuries (Cumhuriyet Newspaper, NTV.com.tr, Dogan News Agency, BBC Turkish and the Statement of the Prime Ministry Coordination Center). In a country where there are so many martyrs, several bombing and explosions and political polarization, it draws attention as an interesting finding that clients do not talk about these issues. We can explain this issue by pathological grief. Horowitz suggests that pathological grief is a stress response syndrome. Denial of pathological grief reveals itself as anger, shock, avoidance and unresponsiveness (as cited in Celik and Sayil, 2006). Instead of normal grief reactions, unexpected, exaggerated or extremely extended reactions or unresponsiveness might be developed; the reality of loss is not accepted (Bildik, 2013). People in pathological grief try to cover the facts making them uncomfortable and not to think about them. By this way, an incident is presumed as not existing and denied; in other words people write off the fact of terror, life-threatening situation, bombing and martyrs and ignore them as they create extreme sadness and stress. Stifling and erasing incidents from your memory is called pathological grief (as cited in Celik and Sayil, 2006). It is considered that these issues are not communicated due to pathological grief. In addition to this; if the Turkish culture is considered, while women go to a hairdresser to relax (Gokdag and Unugur), men go to a barber for a hair-cut on special days when they really need to go; in this sense, they do not feel it necessary to share their political views and opinions.

Other than these, while women prefer not to talk about sexual acts and etc. issues with hairdressers, men are more relaxed but they do not talk about their relatives, wives, sisters or mothers.

As a result of the study supporting the study of Gokdag and Unugur (2016); it is observed that hairdressers see their job "very exhausting" due to ergonomic conditions, long working hours and listening problems and complaints of their clients, they cannot be relieved by telling their problems with their clients.

Briefly, according to the resources and studies in the literature, it can be indicated that different client-hairdresser relations can be developed in different cultures. It can be said that in Turkey, clients become loyal to the same hairdresser for a long time.

Even, in some resources, there are details that clients share their privacy in detail, according to the findings of this study, more than half hairdressers have mentioned that they have clients sharing superficially.

When the direction of communication (barber-customer and customer-customer) is examined, it is seen that there is an interesting difference. Male customers in barbers establish communication with their barbers rather than with other customers, while women in hairdressers communicate more with other women than with their hairdresser. One of the reasons for this could be the fact that women prefer to communicate with other women because their hairdressers are generally male. Another reason could be the fact that women are more curious than men and that women are thus ready to communicate with other customers.

This study is a pioneer for other researchers and studies in this field and within the context of wider cultural studies; it is recommended to expand the study for comparing male hairdresser with female hairdressers and the clients of male hairdressers with the clients of female hairdressers.

### Interview Questions

1a. What is your gender?

- ☐ a. Woman ☐ b. Man

1b. What is your level of education?

- ☐ a. Primary school/5 years ☐ b. Primary school/8 years  
☐ c. High-school ☐ d. University or higher level

1c. How old are you? ☐ a. 25 and younger ☐ b. between 26-35

- ☐ c. between 36-45 ☐ d. 46 and over

2. How many years do you work as a hairdresser?

- ☐ a. 5-8 years ☐ d. 17-20 years  
☐ b. 9-12 years ☐ e. 21-24 years  
☐ c. 13-16 years ☐ e. 25 and more

3. How many years does your oldest client come to you?

- ☐ a. 5-8 years ☐ d. 17-20 years  
☐ b. 9-12 years ☐ e. 21-24 years  
☐ c. 13-16 years ☐ e. 25 and more

4. How many clients do you have who have been coming to you for five years and longer?

- ☐ a. 3 and less ☐ d. 10-12  
☐ b. 4-6 ☐ e. 13-15  
☐ c. 7-9 ☐ e. 16 and more

5. How many times do your old clients come to your shop in a month for a haircut, blow-dry, dyeing and etc.?

- ☐ a. 1 and less ☐ c. 3  
☐ b. 2 ☐ d. 4 and more

6. How much time do these old clients spend in your shop?

The longest time      The shortest time

- ☐ a. 10 minutes and less ☐ a. 1 – 1,5 hours  
☐ b. 11-15 minutes ☐ b. 1,5 – 2 hours  
☐ c. 16-20 minutes ☐ c. 2 – 2,5 hours  
☐ d. 21- 25 minutes ☐ d. 2,5 – 3 hours  
☐ e. 26-30 minutes ☐ e. 3 hours and more

7. Do you have anyone among these old clients whom you are sincere and share secrets?

8. How many clients do you have sharing their secrets with you?

9. What is the estimated monthly income of secret sharing clients of you?

10. How old are the secret sharing clients of you?

11. Are the secret sharing clients of you mainly with profession?
12. What is the marital status of secret sharing clients of you? Married, single or divorced?
13. What are the subjects your clients share with you?
14. How much detail do they share with you?
15. What do you think the reason they share their secrets with you?
16. Do your secret sharing clients reopen the issue in their next visit?
17. Do you ask your clients about a previously shared secret by wondering any development?
18. Do your secret sharing clients caution you as "between you and me" or "do not ever tell anyone"?
19. Do you ever share any secret shared by a client to another one by mentioning or not mentioning any name?
20. Have you ever told any secret shared by any of your clients in conversations you held at different places with different people?
21. Do you ever share any secret shared by a client to another one on the phone?
22. Is there any situation where your clients ask for advice on any shared secret?
23. Do your clients confide in you and complaint about anything?
24. What are the issues they complain mostly?
25. What are your opinions and evaluations about your profession?

The aforementioned form has been applied on the hairdressers of Eskisehir. Furthermore, an empty space is left at the end of the form where the hairdressers can fill in freely with their opinions, feelings, emotions and recommendations on the issues other than the questions.

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## **LOGIC SPIRITUAL AND RELIGIOUS RESISTANCE IN *DARMASONYA* MANUSCRIPT**

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### **Abstract**

Spirituality is the fire of religious teachings. Spirituality is a way and also the goal of religious life. Material object in this study is a single manuscript entitled *Serat Darmasonya* (*Darmasonya* manuscript), abbreviated as *Ds*. This manuscript describes the knowledge of the Shari'a and congregation; literature which explains the critical interpretations on traditional activities, especially Java. At the end of the Majapahit, *Darmasonya* has emerged and then it became the guidance book for people who adhere to Siwa-Buddha. Later, at the beginning of the 20<sup>th</sup> century other nuances of Islamic books with the same titled appeared. *Ds* text explained about the Moslem's way of life based on the Holy Qur'an, the Hadith, and the previous religions books. Life attitudes mean value, that is giving meaning on spiritual and mental life which is understood and implemented by cultural communities, either individually or in groups. *Ds* text present a variety of criticisms regarding life attitude, namely series of abstract patterns, disciplines, laws or rules derived from the supreme ruler of the universe. Teachings in the text are something abstract but viewed valuable by certain authors or group in which later these teachings became moral reference in order to guide life. Such teachings are then grown and internalized. Thus, the life attitude is something abstract, which is built from the crystallization of the soul, historical, and patterns of life of a community. This study belongs to qualitative research which concentrates on the text analysis.

**Keywords:** spiritual logic, resistance, *Darmasonya* manuscript

### **Introduction**

Logic can be understood as a way to think validly assessment (Sahakian and Sahakian, 1965: 3). In other words, the logic is a way to draw conclusions. To draw correct conclusion, it is required to have correct way of thinking as well. While the spirituality is a soul fire in which practically it is related to the inner world, esoteric and empiricism. All of these have been considered as things beyond reason. Mysticism itself is a culture that has been internalized by the public, which Jameson called it as a special area that gives witness to the desire that desire of the past description (Turner, 2008: 91).

The desire of the past description is certainly a craving of a spiritualist community. The rise of religious activity and the tight religious lecture events throughout the country imply that indirectly there has been a spiritual silting in a periode which is considered as modern. Based on this, the author needs to present a point of view which is called the spiritual logic. Reasoning a spiritual subject will be very important to be presented as a

set of values "grand narrative" that transcends ethnicity, race, and religion. From Islam-Jave point of view, spiritual logic can be aligned with the level of thinking in congregations and nature. This way of thinking is believed to transcend differences.

The heterogeneity occurs since Indonesia has very large territory. The emergence of such conflicts which are motivated by this difference has been seen wisely by the Founding Fathers. Then, ideology of the Indonesia nation reflected in the state emblem, namely Garuda Pancasila emerged. Eagle with a shield which has magnitude five elements clutching ribbon written " Bhineka Tunggal Ika (Unity in Diversity) which means different but still one nevertheless. That phrase is taken from *Sutasoma* book written by Mpu Tan Tular.

Pancasila ideology contains the spirit of harmony and unity in diversity. However, in reality the current level of the ideology of Pancasila seems alienated in its own country. The fact is many conflicts in Indonesia occur triggered by these differences. Actually, these differences are one of characteristics of democracy. On the basis of various considerations, the authors select aspects of logic and spirituality as a way to defuse tensions. Considering that national resilience is rely on not only military force, but also efforts to introduce a spiritual logic in the realm of polemologi or the study of war and the ways to achieve peace (Jacob, 1992: 26).

Global politics enable ideologies to enter Indonesia and can pass selective acculturation process. Such conditions can be compared to the "dayoh ngesuk gandhok" or "guest dominates host". Ideology of the economy and advanced technology automatically and systematically can change the perspective of the spiritual life of the Indonesian nation from sacred euphoria into spiritual euphoria. This spiritual euphoria later transformed into hiper spiritual according to the discipline of cultural studies.

Spirituality with correct reasoning have been used popularly, especially in Java as the best way to overcome the soul emptiness. It is proved that classic manuscript containing spiritual things in are widely known in community. This era showed the same symptoms, ie, more people with mental emptiness. In addition to poverty, soul emptiness is the cause of values deviations. Every day in the private television stations we can see a party of religious textual narrative presented in the nuance of the soul emptiness. The event is no longer a spiritual thinking but it is not more than a commodity imaging.

Ds text presents a theological logic of rhetoric, so it can be regarded as the activity of religious literature to find the right knowledge with its own criteria (Suriasumantri, 2003: 42-43). Thus, the Ds as an object of study of this article will give you the correct knowledge, regardless the fact that the Ds text is correct in reference way or there is a mismatch here and there with national values. As a sign system, borrowing the term Eco, if something can be used to represent the truth, then it can be used to represent a lie as well.

## **Research Methods**

This study uses a qualitative method. Barker (2013:29) argues that cultural studies prefer qualitative methods with a focus on cultural meaning. The goal, in order to explain the various phenomena in more depth using descriptive words. The object of this study is Darmasonya script. Text analysis is done in two ways: heuristic way and hermeneutic way.

## **Darmasonya as Spiritual Logic Gate**

Darmasonya (Ds) as mentioned earlier, is a book of theological breath so that it is accurately categorized as spiritualist-religious literature book. In this study, at least it will be found integration of science and

religion although there are differences of fundamental mindset. The Integration wants to open meaningful contact between religion and science, but not be trapped in the conflict (Abidin, et. al; 2005: 18).

Ds text presents explanations like hadith. Ds author tries to give interpretations of social phenomena from theological point of view. Spiritual logic must be achieved by learning to think simple things. In other words, spiritual logic is the process of shaping the way of thinking which aims to free themselves from all sorts of conflicts. The first line of Ds text opens with a bold statement in order to uphold honesty.

*“lamun sira iku den takoni/ nora weruh ya sira tutura/ yen durung weruh satuhune/aja nyana sireku/ abecike teka tireki.../”. (Dhandhangula, pada 1)*

Translation: If you were asked something that you do not know, say you do not know. Do not speculate, you had better learn first ... ”.

In addition to maintaining honesty, there is a logical consequence of the first line statement. Any information would be misleading so that someone who ask will find him/her farther from the truth. That is, the spiritual logic has a major influence on social life. It can be understood that the book of Ds is a value resistance on that, which prestige has been found like today. On the other hand, honesty is able to remove the conflict. You can imagine someone is angry after she/he obtains misleading information. This accident would have caused mental and physical confrontation. This hypothesis goes hand in hand with Foucault’s statement that says knowledge can be obtained not only from the evidence, but also from the literature, fiction (2012: 327).

The more complicated and more sensitive spiritual logic delivered Ds text is about the nature of God. Of course, this discourse must be received by the logic further, a way of thinking that goes beyond law. The debate that often arises toward many religions followers since they perform dialectics at the basic level of thinking space. What Ds says is as follows.

*“... ana dene tegese tokid tunggal lah aja sira anyana ing kalbu yen ana loro Pangeran balik sira anyana amung satunggil kang agung tanpa samar”.*

Translation: ... as for the sole purpose of monotheism is in your heart do you really think that there are two Gods, but think that there is only one (God) the Great ”.

The line above should be understood universally. The author believes that all religions in Indonesia would not reject the doctrine that there is only one God who is worshiped. The variation of the discourse that arise internally is due to cultural elements. Thus, the integration of inter religions becomes important to be built as a feature of the country with the motto Unity in Diversity.

As a spiritual text, Ds also explains the position of God and man. The explanation is very popular in the community of Central Java and East Java in particular, often by analogy with the model of puppet show, although the latter analogy is rejected by some researchers. The refusal because of the worriness toward public schools of fatalism that does not comply with the principle of religious teachings. The fatalism ideology is ideology "manunggaling kawula-Gusti" (God unites with His creature) conceived reckless.

*“aja sira rumangsa ing dirinireku andarbeni polah tingkah, aja sira rumangsa yen nduweni pangucap lan paningal// Pangambu lan pamirsanireka rupa saha yen titahing Suksma, yen ana ta manungsane*

*kang rumangsa puniku anduweni polah pribadi pangucap lan paningal pangambu pangrungu rumasa ta duwekira kapir musrik kadariyah iku dadi langgeng aneng neraka...”.*

Translation: do not feel that you have the gestures, do not feel that have taste , sight, smell and hearing , and touch because (we) are are just creature of God. If there are people who feel they have movement, taste, sight, smell, hearing, such people are unbelievers and will be immortal in hell ...”.

The text of the above describes position of man with God. View of the above text is a rejection of the notion that human beings are autonomous. Ds describes a model of espionage directly from God to man. This does not mean that all forms of human action is the will of God, such as crime. Actually, the analogy with the model puppet shows proper use. The puppeteer who activate all characters based on their own role. But it should be understood that the analogy should be restricted to performance only, do not involve long procession holistically. How is simple logic? The best example given is the things that have been familiar to the community, making it easier for people to think; considering that the puppet show is a popular show in the Java community today.

Text Ds provides also a system of give and take between man and God. A complex relationship is described into a common logic so it is easily accepted and trusted by the "steadfast adherents" as said by Anwar in the poem 'Doa'nya.

*“... wong angandel ing Hyang Suksma nenggih asiha sira marang Hyang Suksma, ngegungna Pangerane kalamun sira ayun winales sihira Hyang Widhi anuta nabi duta dadi ta sireku kinasihan ing Hyang Suksma wong angandel ing Pangeran kang linuwih waspada ing Hyang Suksma// Yen Pangeran iku pasthi urip ing uripe tan kalawan nyawa, langeng tan keneng patine lan den awas sireku yen Pangeran pasthi udani ig rat paramuita kawengan sadarum jroning Kur'an angandika sayektine pangeran luwih udani saosiking wardaya”*

Translation: ... people who believe in God (should) love God, glorify God if you want the love reciprocated by him. (Trick) by following the example of the Prophet to be loved by God. People who believe in God know the nature of God, that God lives autonomously without being dependent on life, do not recognize the eternal death. We should know also that God must know everything going on in the universe. In the Qur'an it is written that God knows the what hearts say ”.

The law of causality conveyed by the text above is the irresistible with common sense, that if we love God and God will love us, even more than our love for Him. Some spiritualist whom the writer met said that after getting such an understanding, they feel the enlightenment that can not be perfectly expressed in words. This is consistent with research conducted by Burkert which stated that such experience is a combination of the most thrilling and memorable, which, according to Otto, characterize any acknowledgment of God (Dillistone, 2002: 76).

Ds text presents many quotations from hadith, instead of restating the verses of Qur'an. Text DS stipulates the human relationship with God, while below is the text quoted from Ds metered *asmaradana* which guides human relationships with each other.

*“Angandika kanjeng nabi/ Rosulullah kang Mustapa/ heh wong Islam sakabehe/ sapa anglarani liya/ marang mukmin satunggal/ mangka prasasat wong iku/ anglarani jenenging wang”*

Translation: Prophet said, if Muslims hurt others, the same Moslem, it can mean they hurt me also.

The message of text above is to teach the importance of harmony. But that should be underlined from the revelation that Ds text above does not mean to allow to hurt the non-Moslems. In field research, the authors found that a lot people who have ID stated as Moslem do not reflect the values of Islam's. It is then (seemingly) used by the West to undermine the Islamic values which are then labeled as anti-humanism. In other words, the planting of the values of humanism of Islam in Indonesia can be said is not maximal, if they can not be said failed. The phenomenon certainly can not be separated from the war of ideologies and public consumption in which in Javanese it is said to be "saringane borot" which means "the filter has been torn."

Then, next text displays the natural argument about the relationship of men and women in pupuh Mijil (17 stanzas 9-11).

*“warna jalma jalu miwah estri saweneh tan manggon, tanpa sipat jalu lan estrine, gya cinampur lan rohe pawestri, nulya dadi estri, dene kang cinampur// lan roh lanang apan iya nuli sipate katongton nora salang surub ing jodhone, nyawa jalu lawan nyawa estri, mangsane kapanggih akawin ing ngiku// yeku ingkang karan kawin batin nalika patemon lamun sampun tumrap ing badane samya ngulari jodhone nguni duk maksih nyaweki yen sampun katemu// nulya sami remenipun kalih jatukramaning wong jalu estri pan sami karsane wenang esahe anikah wajib...//*

Translation: human males and females is not fixed, (initially) they can not be distinguished to masculine and feminine. Soon mixed (male spirit) with female spirits, then become female. And when it mixed with the spirit of man, the nature will also be seen soon. Thus, we will not be wrong in selecting a mate. Spirit of masculine and feminine spirit will meet then mind marriage will occur. The so-called mind marriage when they meet, they will each seek a soul mate (at the time of creation). If you have met, you will love each other (and) if so men and women deserve to get married legally.

The concept above is the same with mythology that says that Eve was created from Adam's rib. Besides, the text is in accordance with the concept of Yin-Yang diagrams, Cakti concept, and *Simpingan* puppet. In the diagram Yin-Yang men and women is a unity that is complementary. In the concept Cakti, God has two sides at once, the masculine and feminine. While in *Simpingan* puppet, we will be encounter bad characters in group of good characters or vice versa. It seems that the concept of complementary is an Eastern wisdom since long time ago. Of course, the concept was very different from the Western concept that creates dichotomies as in Binner opposition.

The question that arises then is what about gays and lesbians? Is that a mistake at the time of creation? The first assumption is people deviate from nature. Secondly, people were experiencing a sexual disorder. Third, these people have a completely different view of religious teachings. A different view is internalized and for a long time and crystallized in his subconscious nature then manifested in real action which is condemned by religious teachings.

## Resistance Values

Resistance can be understood as prevention efforts involving a variety of ways. The most popular resistance borrowing from Faucult term, is the path of power and knowledge. Text Ds authors categorized in the realm of knowledge in order to make resistance effort toward religious values, particularly in Java. Sociologically, text quotation below give an idea of the existence of an affluent society, which often hold entertainment dance and puppet show. There is no denial, even to this day that whoever is able to hold high cost of entertainment, they are considered showing their socio-economic class. However, such a condition is contrary to the Ds pupuh durma text (XIV stanza 1-4) below.

*“Angandika Jeng Nabi Nayakaningrat jro Mustahal kitabim sunate wong nendra karem mateni diyan, wong turu diyane maksih tan oleh sunat malah dadia mukadir// sayektine wong mukadiraken arta sanake setan ugi, ywa mukadir sira maring ing artanira, aja sira nginum awis, aja bedhayan aja wayangan malih// sapa kaliwatan wayang latarira yen nora maca nuli ing tangawud pan ilang amalira lawase catur dasa ri, tan tinarima ngamale ing Hyang Widhi//aja siya-siya sira marang arta, dak dok angungelken bedhil pan eman-eman...”*

Translation: The Prophet said in the book Impossible, that is sunna for those to shut down lamp before sleeping. People who sleep with the lights on do not obey the sunna law, because of being useless. Because actually people who spend money for useless things belong to the devil. (Do not spend money for useless things; do not drink (khamer), do not dance, do not hold the puppet show. For those whose house passed by set of puppets and did not immediately read ta'awud, the reward will be lost for forty days, not accepted by God as charity. Do not spend your money for useless things, unfortunately.

The text explicitly teaches frugal lifestyle. On the other hand, the text experiences a cultural clash with the script writer making his own dogma that when puppet passes their house the reward will be lost for forty days. Please note that a puppet show in the Java community has become a way of life that brings a set of values. Puppet show has also developed into a medium for promoting a variety of interests. Strictly speaking, the effect of striptease *dangdut* performances definitely is not better than the puppet show.

It is interesting in the Ds text when puppet show is rejected, Ds next never questioned the the name of Hyang Suksma, name of Hyang Widhi instead of Allah. Thus, there really is no sentimental name for God in the Ds text. So it is clear that the dogma delivered not only for religious purposes, but also for political and economic objectives. In the realm of cultural studies, the text above should be read wisely and differently. First, the authors of Ds show their work to the low economy class society under the Dutch colonial period. Second, the authors Ds live in the low the economy class community, so that his work reflects the economic disparities between the bourgeoisie and the lower classes (the underprivileged). Third, the authors Ds get the doctrine from their predecessors or teachers. To explore these issues clearly, it is required a special study which focuses on historiography matter on the Ds text manuscript.

## Conclusion

Spiritual logic and resistance can run in a single rail. Nevertheless, you still have to put them unified or integrated. Actually, many things happened in the times that have forced the all forms logocentrism to think again, to see himself in a new way. Current and future, the spiritual world will face a global problem that is characterized permissive market which justifies any means. Injustice will thrive as fast as the speed of light without anyone notices. To deny these negative things, one of the ways that can be taken is to promote spiritual way of thinking or logic to protect the soul of each individual.

Since the past, Eastern nation was known as a religious nation, so using spiritual logic in treading the real life is not an entirely new thing. Advanced logic can prevent people from conflict or tension. The tip of the spiritual logic is surrendering to God. By promoting the spiritual logic also, human beings would create projective system and also filter against anything coming into the country, especially himself. In other words, spiritual logic itself is a form of resistance to a lot of things, both existing and new arrivals.

From the point of the theory of hegemony, the nation has the power to perform resistance to negativity predicted by many thinkers will emerge and flourish in Indonesia. Viewing from the existing facts, the main problem faced by the children of this nation is the soul emptiness. Empty soul is then taken by market forces, by foreign ideologies that are not in suitable with their national identity. If this phenomenon continues, there will be a period in which the Indonesian people will be transformed into brown-skinned western people. A nation that loses their identity is the same with the nation that ends its civilization, so that at the end of the journey; the nation will be eliminated from the history of the world.

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## Artificial Intelligence and Foreign Language Learning

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### Abstract

This monograph relates the concepts of computer intelligence and computer emotions to foreign language learning by humans. The discussion touches on two opposing theoretical approaches to Artificial Intelligence, one in favor of computer intelligence, the other against it. Alan Turing (1950) offered up philosophical “proof” that computers can think. On the other hand, John Searle’s (1980) Chinese Room analogy offered “proof” that computers *cannot* think. More recently, Umberto Eco (2003) discussed specific problems in translating from one language to another via a computer program. When translating back into the original language, the results are never the same as in the original. Eco observed that the task requires more than a simple knowledge of grammar. While most languages possess a larger number of meanings than words, machines are incapable of distinguishing among the multiple meanings of individual words.

The concept of computer emotions is much more difficult to grasp, as it carries a certain ambiguity. In order to clarify the issues, two opposing theoretical points of view are discussed, one of which disclaims the possibility of computer emotions; the other allows it. Daniel Goleman (1997) defined Emotional Intelligence in terms of self-awareness, altruism, empathy, and the ability to love, traits that are generally considered beyond the capacity of Artificial Intelligence. However, Joseph Ledoux (1996) argued that emotional states are not especially different from the processes that we call “thinking.” Marvin Minsky (2006), one of the pioneers in the field of Artificial Intelligence, summed up the current realities. He suggested that computers need to be programmed to find alternate ways to proceed when available channels of thinking fail. In other words, a computer that is programmed to emote will in fact be capable of emotions.

Finally, the issues of computer intelligence and computer emotions are related to the art of foreign language teaching. Using the example of the fictional HAL 9000 computer in Arthur C. Clarke’s novel, *2001: A Space Odyssey* (1968), we see that it performs no fewer than nine language functions. These are representative of human verbal behavior, which can be emulated in the foreign language classroom. In conclusion, a teaching model based on comparison with Artificial Intelligence may lead us into the twenty-first century, no longer thinking in terms of Beginning, Intermediate, and Advanced levels, but rather, in terms of Thought, Emotion, and Wisdom.

### Introduction

Artificial Intelligence is defined as the intelligence exhibited by computers, either in the form of hardware or software. The term was first used by John McCarthy in a proposal for the Dartmouth Conference on computer

intelligence to be held in 1956. In his proposal, McCarthy, *et. al.* (1955) stated that “the study is to proceed on the basis of the conjecture that every aspect of learning or any other feature of intelligence can in principle be so precisely described that a machine can be made to simulate it.”

In 1968, Arthur C. Clarke illustrated the dark side of McCarthy’s conjecture in his novel, *2001: A Space Odyssey*, which was adapted to film by Stanley Kubrick in the same year. Despite its foreboding message, *A Space Odyssey* also provided an ideal towards which computer engineers might strive in designing their programs. Today the model of HAL as portrayed in Kubrick’s film is no more a reality than it was in 1968. However certain examples found in the screenplay provide insights for teaching foreign languages. This paper focuses on one small aspect of the *Space Odyssey* story, examining the ramifications of the game of chess and the way it was portrayed in the film version of *2001*.

The 1968 film begins with monkeys encountering the Monolith, cutting to space transit, then to men encountering the Monolith on the moon, eventually focusing on the Jupiter Mission. There, in an economical sequence of film scenes, Kubrick spells out the A.I. problem. In his novel, Clarke suggests that HAL can think, but Stanley Kubrick takes this question one step further: does HAL have feelings?

#### The Novel:

Whether HAL could actually think was a question which had been settled by the British mathematician Alan Turing back in the 1940s. Turing had pointed out that, if one could carry out a prolonged conversation with a machine – whether by typewriter or microphones was immaterial – without being able to distinguish between its replies and those that a man might give, then the machine was thinking, by any sensible definition of the word. HAL could pass the Turing test with ease. (1)

#### The Film:

1. BBC News interviews HAL, asking whether the Series 9000 has ever made a mistake. The answer is negative. Then the newscaster turns to the two non- hibernating members of the crew. Question: Does HAL have feelings? Answer: It’s hard to tell.
2. Frank Poole’s parents send a birthday transmission. Afterwards, HAL wishes Frank happy birthday. This normally indicates feelings, in human-to-human interactions. Thus HAL tries to assume the role of the absent parents.
3. HAL defeats Frank Poole in a game of chess, an intellectual game. The game etiquette used by HAL produces the illusion that he has feelings.

Let us first turn our attention to the cognitive aspect of A.I., examining the reasoning of Alan Turing, John Searle and Umberto Eco. From there we proceed to the affective domain, where Geoffrey Jefferson, Daniel Goleman, Robert LeDoux and Marvin Minsky offer insights on the subject. Thirdly, we examine the game of chess played in the film version of *2001*, both as a language-teaching device and as an exercise in machine translation. In the end, we see how the cognitive and affective domains of Artificial Intelligence can serve as a model for human foreign language learning.

## 1. Computer Intelligence

In *2001: A Space Odyssey*, several key questions are raised concerning Artificial Intelligence (A.I.), the most basic of which addresses the issue of whether computers can think. Arthur C. Clarke suggested that this question was “answered” by Alan Turing. However, the philosophical proof that “computers can think” introduces several further questions: “If so, *how* do computers think?” and “How does computer intelligence relate to human intelligence?”

### a. The Turing Test

In his 1950 article, entitled “Computing Machinery and Intelligence,” Alan Turing proposed a philosophical “proof” that computers can think. He began with what he called the “Imitation Game,” a party game in which a man and a woman are seated in a room, and an interrogator in another room tries to guess which is which, by means of electronically transmitted questions and answers. Turing’s “proof” followed from his hypothetical replacement of either the man or the woman by a machine. The “Turing Test” (a term coined by Clarke) claims that if a computer can successfully impersonate a human being during a free-form exchange of text messages, then that computer should be considered intelligent. (2)

During the Second World War, Turing had worked with many of the leading British chess players in developing code-breaking methods. He also used chess as a platform for working out his early ideas on computers. Here is his imaginary conversation with a “talking computer”:

Q: Do you play chess?

A: Yes.

Q: I have my King at my King 1, and no other pieces. You have only your King at King 6 and your Rook at Rook 1. It is your move. What do you play?

A: Rook to Rook 8. Mate.

Turing suggested that the question and answer method was suitable for introducing almost any field of human endeavor. However, he cautioned against making unreasonable demands on the computer’s performance. “We do not wish to penalise the machine for its inability to shine in beauty competitions, nor to penalise a man for losing in a race against an aeroplane. If the man were to pretend to be the machine he would be given away at once by slowness and inaccuracy in arithmetic.” In describing how machines “think,” Turing suggested that computers may “carry out something which ought to be described as thinking but which is very different from what a man does... when playing the ‘imitation game’ the best strategy for the machine may possibly be something other than imitation of the behaviour of a man” (Turing, 1950, pp. 434-55).

The Turing Test has several possible outcomes:

1. Optimal: better performance is not possible. This is exemplified in the game of checkers.
2. Strong Super-human: better than all humans.  
(2 and 3) Exemplified in the game of chess.
3. Super-human: better than most humans.

4. Sub-human: worse than most humans. Exemplified in everyday tasks, such as not bumping into things as you walk by.

A derivative of the Turing Test is designed to tell computers and humans apart. While the Turing Test was administered by humans, targeting machines, the derivative test is administered by a machine, targeting humans. It consists of tasks such as typing distorted letters, numbers, or symbols, which humans can do but computers cannot. It is aimed at preventing robots from completing applications online.

### **b. The Chinese Room**

John Searle (1980) reversed the Turing test, offering philosophical “proof” that machines could *not* think. In the Chinese Room analogy, a computer was fed questions in Chinese, which it matched against a database in order to supply a response. The answers were indistinguishable from those of a human native speaker of Chinese. Searle said that the computer did not understand Chinese; it merely followed a stimulus-response formula that allowed it to mimic human responses. Searle’s Strong A.I. Hypothesis (1992) stated that “the appropriately programmed computer with the right inputs and outputs would thereby have a mind in exactly the same sense human beings have minds.”

There was also a human version of the Chinese Room. In this analogy, a human being sat in a room with a “database” of books. Someone fed the questions in through a slot in the wall, and the person sitting in the room looked up the answer. Then he passed the answer out through another slot. For example, if someone slipped a piece of paper containing a phrase 「什麼帶來快樂」 “What brings happiness?” from Lao Tsu’s *Tao Te Ching* into the room, the person sitting there would (in time) find that the correct response would be 「爲天下式」 “Be the stream of the universe.” Again, the native speaker of Chinese would be fooled into thinking that the person in the room understood Chinese.

The common rebuttal to this argument is that even though the individual parts of the room (input, human subject, database, output) do not know Chinese, the *system* (that is, the sum of the parts) *does*. (3) Moreover, the database would have to be more than a good dictionary: it would arguably have to include all books ever written in Chinese.

Scrutiny of this question reveals that its supposedly “correct” answer does not appear to be based on grammatical logic. A native Chinese informant reported that the English equivalents were approximately correct, but a lot of mental gymnastics evidently came into play in arriving at that conclusion. The sagacious answer to this question does not emerge from any set of rules; it emanates from wisdom. Finding such an answer therefore requires that the whole of the system be *more* than the sum of its parts. In other words, it would have to be human.

### **c. Mouse or Rat?**

Umberto Eco (2003), addressing the problem of ambiguity of meanings in translating from one language to another (which in fact is what we are discussing here – translating from computer language to English), believed that translation entails both synonymity (a = alpha, b = beta, et cetera) and equivalence in meaning (alpha-beta refers to the first two letters of the Greek alphabet, and not to an American supermarket chain). “Let

us assume,” he wrote, “that synonymity exists, that equivalence in meaning is a value rigidly established by a linguistic convention, and that a machine can be provided with rules that allow it to operate according to that convention, so that it can switch from one symbol to another even though it does not understand the meaning of these symbols” (Eco, 2003, p. 10). Only then would translation be possible.

Eco pointed out that the words *nephew*, *niece* and *grandchild* all translate into *nipote* in Italian. On the other hand, the three English words could be broken down into six different categories, such as “son of sister,” “daughter of sister,” etc. In fact Eco did not carry his own example far enough; one could distinguish between “son of son” and “daughter of son,” and so on, which would make for a total of *eight* different family relations. Of course this example could be carried much further, extending it to “eldest son of youngest son,” and so on and so forth, *ad absurdum*.

“The challenge for a translator,” Eco wrote, “when two languages seem to have a different segmentation of the content continuum [as in the *nipote* example above], is to make a reasonable conjecture about the content space covered by a homonym term in a given context” (*op. cit.*, p. 25).

Eco submitted a famous passage from the *Bible* (Genesis 1) to an online translation service (AltaVista). He had the computer translate this passage from English to Spanish and back to English again. Then he did the same with English–German–English. Numerous problems arose, most involving mistakes in determining the part of speech (noun, verb, adjective, et cetera) of a word, but sometimes the problems concerned larger aspects of knowledge, which a computer programmed to perform word-for-word translation could not be expected to know. Eco concluded, rather simplistically, that “in order to translate, one must know a lot of things, most of them independent of mere grammatical competence” (pp. 17–18).

In order to verify the supposed abilities of computers to “think,” Eco’s translation experiment was replicated. Instead of translating the *Bible*, AltaVista translated “What brings happiness? Be the stream of the universe” (from the Chinese Room analogy). When the original Chinese sentences from the *Tao Te Ching* were translated first into English, then into Japanese, the following results obtained:

Chinese	English	Japanese
什麼帶來快樂	Any brings joyfully	嬉しく持って来る。
爲天下式	( ) world type	?worldのタイプ

When Searle’s English sentences were translated into Chinese and Japanese, it returned the following results:

English	Chinese	Japanese
What brings happiness?	什麼帶來幸福。	何が幸福を持って来るか。
Be the stream of the universe.	是宇宙的小河。	宇宙の流れがありなさい。

Though the computer seemed to translate the English sentences accurately, communication broke down when it was asked to translate the original Chinese. This indicates that whoever translated the *Tao Te Ching* into English for Searle took certain liberties, knowing that “bring” is almost always used in a transitive sense,

arriving at a reasonable nominal equivalent of “joyfully” (i.e., “happiness”), although “joy” would have been a more obvious conclusion.

“Be the stream of the universe” presents special problems. Is this sentence meant to be imperative, indicative or subjunctive? Does the translator wish to say, “It is the stream of the universe”? (“The stream of the universe brings happiness.”) This choice, although not grammatically logical, would make much more sense in the question-and-answer format that we have before us. The imperative indicates a prescribed course of action: “[You should] be the stream of the universe.” The subjunctive offers the most difficult interpretation: “That the stream of the universe be.” The most striking conclusion drawn from this example is that a human is still much more capable of translating even short sentences than a computer.

In order to understand a language, a computer must be able to grasp the meanings of words and sentences. If it can understand a sentence like “It will rain tomorrow,” it can have beliefs (“I believe that it will rain tomorrow”), hopes (“I hope that it will rain tomorrow”) and fears (“I’m afraid that it will rain tomorrow”). Things that have mental states such as belief, hope and fear are said to have a *mind*. The theory known as “functionalism” allows that computers can have minds if they can pass a performance test, such as the Turing Test. In the “computational theory of mind,” a variation of functionalism, such mental states are analogous to the workings of a computer. Your brain is the hardware and your mind is the software. John Searle rejects functionalism and argues that no machine could be capable of truly understanding language. Umberto Eco points out that in natural languages, a single word may possibly represent several different concepts, but machines are incapable of determining which meaning fits which context. Can computers think? Based on the above discussion, we may be able to answer “Yes,” but it would be a qualified “Yes,” and even then there would always be those who would question whether “yes” means the same in English (yes), Chinese (是), Japanese (はい), and COBOL (right).

## 2. Computers have Feelings

A natural extension of the question “Can a computer think?” brings us into the realm of emotions. Does a computer have feelings? Again, this opens up other questions, such as, “If so, *what* feelings?” or “How do these feelings relate to human emotions?” and “Can a computer evoke feelings from humans?” (We have all gotten angry at our computers at one point or another.)

In order to answer the question of whether a computer “has feelings,” it would also need to be tested. It seems unlikely, however, that one could devise a free-form exchange of emotions, as in the Turing Test of computer intelligence. (Imagine sitting in a room. A computer passes electronic messages that say “I love you” through a slot. How would you respond? With an e-Valentine? With a “Dear HAL” letter?) Turing himself discounted the possibility of computers having feelings. In fact in his 1950 article, Turing listed “feelings” among several objections to his own proof, objections he proceeded to refute. These objections included the argument from consciousness, arguments from various disabilities, and the argument from informality of behavior. (4)

### a. Emotions, with Reservations

Professor Geoffrey Jefferson, in his Lister Oration for 1949, argued that “Not until a machine can write a sonnet or compose a concerto because of thoughts and emotions felt, and not by the chance fall of symbols, could we

agree that machine equals brain - that is, not only write it but know that it had written it. No mechanism could feel pleasure at its successes, grief when its valves fuse, be warmed by flattery, be made miserable by its mistakes, be charmed by sex, be angry or depressed when it cannot get what it wants." Further objections hold that "you will never be able to make a computer be kind, resourceful, beautiful, friendly, have initiative, have a sense of humour, tell right from wrong, make mistakes, fall in love, enjoy strawberries and cream, make someone fall in love with it, learn from experience, use words properly, be the subject of its own thought, have as much diversity of behaviour as a man, do something really new." Thirdly, "it is not possible to produce a set of rules purporting to describe what a man should do in every conceivable set of circumstances. . . . To attempt to provide rules of conduct to cover every eventuality. . . . appears to be impossible" (Jefferson, 1949, pp. 446-452).

For centuries, psychologists have searched for ways to explain our everyday mental processes – yet many thinkers today still believe that minds are made up of ingredients that can only exist in living things, that no machine could feel or think, worry about what might happen to it, be conscious of its own existence – or could ever develop the kinds of ideas that could lead to creating great sonnets or concertos.

In his book *Emotional Intelligence* (1997), Daniel Goleman defined "E.I." in terms of self-awareness, altruism, personal motivation, empathy, and the ability to love and be loved by friends, partners, and family members. Furthermore, Goleman explored the biological patterns of emotional response and showed how the rational and emotional minds can work in harmony. He attempted to understand feelings as they happen and how to manage emotions. Goleman explained how lapses in emotional skills can be remedied. Many of the topics in this book help to explain why our emotions create various responses and how we can adapt, or move from one emotional state to another quite quickly with very minimal effort. However, Goleman seemed to avoid the concept of religious sins (apathy, gluttony, greed, jealousy, lust, pride, procrastination, and sloth) and virtues (ambition, bravery, broadmindedness, cordiality, dedication, decisiveness, economy, fairness, generosity, grace, gratitude, humbleness, impartiality, industry, integrity, loyalty, magnanimity, patience, perseverance, punctuality, respectability, self-esteem, sincerity, straight-forwardness, thoughtfulness, transparency). Perhaps virtue and vice represent still another, third dimension of human thought.

### **b. The Emotional Brain**

There is a view in which emotions add extra features to ordinary thoughts, much as artists use colors to augment the effects of black-and-white drawings. Joseph Ledoux, in *The Emotional Brain* (1996), argued that emotional states are not especially different from the processes that we call "thinking." Instead, emotions are certain ways to think that we use to increase our resourcefulness. This variety of ways to think is a substantial part of what we call "intelligence" and applies not only to emotional states but also to all of our mental activities.

Ledoux posited that we are born with many mental resources. We learn more from interacting with others. We learn to think on multiple levels, and we accumulate huge stores of commonsense knowledge. We switch among different modes of thought. We find multiple ways to represent things and build multiple models of ourselves. Emotions are different ways to think. He suggested that we try to learn how human brains might work in order to design machines that can feel and think. Then we can try to apply those ideas both to understand ourselves and to develop Artificial Intelligence.

Marvin Minsky, of M.I.T. (mentioned in Clarke's novel, he also served as a technical advisor on the set of 2001) summed up current realities in *The Emotion Machine* (2006). "Today many [computer] programs do outstanding jobs... efficiently and reliably. Some of them can beat people at chess... Yet others can recognize pictures of faces... Then why cannot our computers yet do so many things that people can do? Do they need more memory, speed, or complexity? Do they use the wrong kinds of instruction-sets? Do their limitations come from the fact that they only use zeros and ones? Or do machines lack some magical attribute that only a human brain can possess? ...we usually give a present-day program only the knowledge we think it will need to solve each particular problem. In contrast, every normal child learns millions of fragments of knowledge and skills that people regard as 'obvious,' [for example] people usually go indoors when it rains (because they do not like to get wet)... [However] a typical [computer] program will simply give up when it lacks some knowledge it needs – whereas a person can find other ways to proceed. We should program computers with some of the tactics that people can use when we don't already know just what to do – for example, by making useful analogies." (5)

### 3. Computer Chess: Thinking plus Feeling

Arthur C. Clarke (p. 127) mentioned the chess game as a means of entertaining the non-hibernating crew members: "For relaxation he [Poole] could always engage HAL in a large number of semi-mathematical games, including checkers, chess, and polyominoes. If HAL went all out, he could win any one of them; but that would be bad for morale. So he had been programmed to win only fifty percent of the time, and his human partners pretended not to know this."

In the film version, Kubrick included part of a game, accompanied by the dialogue between HAL and Frank Poole, to illustrate this point (Poole plays White; HAL plays Black):

Poole: Umm... anyway, Queen takes Pawn.

HAL: Bishop takes Knight's Pawn.

Poole: Lovely move. Er... Rook to King One.

HAL: I'm sorry, Frank. I think you missed it. Queen to Bishop Three.

Bishop takes Queen. Knight takes Bishop. Mate.

Poole: Ah... Yeah, looks like you're right. I resign.

HAL: Thank you for an enjoyable game.

Poole: Yeah. Thank you. (6)

This dialogue would not be termed a "conversation" (an oral exchange of sentiments, observations, opinions, or ideas) in the strict sense. Rather, it is an oral appendage to a game in which players take turns moving pieces on a board. Appendages of this sort are often used to describe moves in games played over the telephone, where players cannot see each other's playing boards. This particular dialogue is given for the benefit of the viewing audience, who cannot see the chess board onscreen very clearly. It would probably not take place in an actual game between a computer and a man. (7)

In order to understand how this dialogue illustrates the idea of a computer that not only thinks but has feelings, we need to separate the bits of game etiquette from the game descriptors (the numbers in parentheses refer to

the sequential moves in the game, beginning at move number 14a, White to move):

## Game Etiquette

## Game Descriptors

Poole: Umm... anyway. (8)	White: Queen takes Pawn. (14a)
HAL:	Black: Bishop takes Knight's Pawn. (14b)
Poole: Lovely move. Er...	White: Rook to King One. (15a)
HAL: I'm sorry, Frank. I think you missed it.	Black: Queen to Bishop Three. (15b) White: Bishop takes Queen. (16a) Black: Knight takes Bishop. (16b) Mate.
Poole: Ah... Yeah, looks like you're right.	White: I resign.
HAL: Thank you for an enjoyable game.	
Poole: Yeah. Thank you.	

(28 - 2 words)

(24 + 2 words)

Notice the location in the dialogue (after 15a) of HAL's decision to disclose the outcome (he is a computer and could have done this at almost any point in the game). Why wait until now? Disclosure takes the form of "playing into the future" of the game, with move 15b predicting White's move (16a) and Black's subsequent move (16b), resulting in "mate." The change in reference from third person ("Knight takes Bishop") to first person ("I resign"), possibly functions as a "coda," bringing the players back into the here and now. (9)

This dialogue was translated by AltaVista, in a further effort to replicate Umberto Eco's experiment. The first attempt to translate "Ah..." resulted in "ampere hours" or variations on an abbreviation (A.H.). However, Poole delivered the verbal pause filler "Ah" orally, which would not have been misunderstood by HAL, as it was when the written letters "Ah" were entered into the AltaVista program. Presumably HAL would have been programmed to understand the game etiquette and game descriptors used by Poole; AltaVista was not programmed for the game of chess. The translations from English to Japanese, and the back-translation into English are given below. (10)

## Game Etiquette

## Game Descriptors

Poole: とにかく Umm は...	白: 女王担保を取る。 (14a)
HAL:	黒: 司教は騎士の担保を取る。 (14b)
Poole: 美しい移動。えー...	白: 王者へのミヤマガラス。
HAL: 私は残念の無料配達郵便物	

<p>である。私はそれを逃したことを考える。</p> <p>Poole: アンペア時... ええ、あなたのように見えは右である。</p> <p>HAL: 楽しいゲームをありがとう</p> <p>Poole: ええ。ありがとう。</p>	<p>(15a)</p> <p>黒： 司教3 への女王。 (15b)</p> <p>白： 司教は女王を取る。 (16a)</p> <p>黒： 騎士は司教を取る。 (16b)</p> <p>仲間。</p> <p>白： 私は辞職する。</p>
(90 字)	(67 字)

Back-translation:

Game Etiquette	Game Descriptors
<p>Poole: In any case Umm...</p> <p>HAL:</p> <p>Poole: Beautiful movement.</p> <p>Obtaining...</p> <p>HAL: I am the free delivery mails of regrettable. I think of that it lets escape that.</p> <p>Poole: At the time of the ampere... it can obtain, like you being visible is the right.</p> <p>HAL: Thank you for an enjoyable game.</p> <p>Poole: Yeah. Thank you.</p>	<p>White: Queen takes mortgage. (14a)</p> <p>Black: The Bishop takes the mortgage of the horseman. (14b)</p> <p>White: ミヤマガラス to ace. (15a)</p> <p>Black: The Queen to of Bishop Three. (15b)</p> <p>White: The Bishop takes the Queen. (16a)</p> <p>Black: The horseman takes the Bishop. (16b)</p> <p>Companion.</p> <p>White: I resign.</p>
(48 words)	(33 words)

#### 4. Artificial Intelligence and Foreign Language Learning

In learning a foreign language, the “activity plus object” format provided by a chess game (or the like) can be extremely useful. Whereas most conversations require the interlocutors to construct mental pictures of the topic at hand, a visual object (e.g., a chess board) that requires manipulation provides ready-made material to stimulate the conversation.

**a. On thinking.** The Turing Test offers a highly theoretical “proof” that computers can think. On the other side of the coin, Searle’s Chinese Room offers an equally convincing argument that computers cannot think. Which shall we believe? Umberto Eco, assessing the current (post-HAL) state of affairs, demonstrates the magnitude

of the gap between contemporary realities and the Clarke-Kubrick vision of 1968.

It is worth noting, however, that many students in Japanese universities make exactly the same mistakes as the AltaVista program, i.e., mistranslating parts of speech and misunderstanding homonyms due to a different segmentation of the semantic continuum. In this regard, the Sapir-Whorf hypothesis, which holds that language is intimately connected with the socio-cultural development of its speakers, could just as equally describe a computer learning a language as it could a Japanese student learning English. Neither has the historical background to connect it to its target language.

**b. On feeling.** Whether or not a computer could ever truly “emote” is another question altogether. No computer has ever achieved the haunting efficacy of HAL, stunningly portrayed by Douglas Rain in Kubrick’s film version of *2001: A Space Odyssey*. HAL’s quiet, effeminate mastery (not to mention his mutiny) of the space ship *Discovery* gives the impression that he possesses human-like emotions. (11) At the same time, his evenly paced speech, devoid of pause fillers, gives us the sense that he is somewhat super-human. Yet throughout most of the film his apparent function is that of an instrument, ostensibly subject at all times to the commands of the human crew of the *Discovery*. In the final analysis, HAL’s logic (envisioning human frailty as a guarantor of mission failure) overcame his fabricated image of being a “feeling” personage, enabling him to commit a cold act of mass murder.

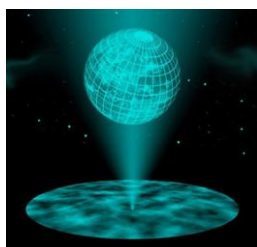
However, the sentiments set forward by Jefferson, LeDoux, and Goleman raise certain questions pertaining to *human* emotional intelligence. Do emotions trump intelligence? Are emotions simply a higher level of intelligence? If so, would it be plausible to design multi- dimensional computer programs that enable computers to “feel,” thus overcoming this fundamental flaw in HAL’s program?

This raises the point of whether it is necessary for emotional states to enter into the foreign language classroom. Surely many teachers use emotional devices as teaching tools. Others rely on emotional appeal almost entirely, relegating conscious learning to some “back room” of the language-learning process. If language reflects our abilities to think, then there must also be a dimension of language that reflects our abilities to feel.

### c. Resolving Issues

What are the prospects, therefore, of developing a real, working model of Artificial Intelligence in the foreign-language classroom? Perhaps we can make an analogy with the field of astrophysics. While quantum physics deals with flat space-time and only works well on a small scale, general relativity deals with curved space-time and only works well on a large scale. In the 1990s, Stephen Hawking pointed out the need to find a bigger and better idea that deals with any surface and works well on any scale.

At that time, the universe was believed to consist of matter and energy. Then a new idea was proposed, that both matter and energy could be described as information, and that all the information necessary to describe any region of space could be contained in just two dimensions. This became known as the “holographic principle.”



In my own “Japanese Room” analogy, the dilemma between thinking and feeling is resolved in much the same way as scientists resolved the dilemma of matter and energy. Both can be described as information (or some similar form of neural activity). In the following illustration, the combatants on one side of the room represent the ability of a computer to convince an audience of its own humanity (as in the Turing Test). The combatants on the other side of the room represent its ability to emote (as in HAL’s human-like responses). The referee represents a set of rules, such as Chomsky’s Phrase Structure Rules (Noun Phrase, Verb Phrase, etc.), or the myriad social rules that one must follow in Japanese society. The room itself introduces two additional factors to the equation: the man-made structure, which has been opened to permit a view of nature. This represents the nature-nurture argument which is heard so often in linguistics, debating whether language is innate (the nativist approach, championed by Chomsky) or acquired as a succession of habits through stimulus, response, and reinforcement (the behaviorist approach, championed by Skinner).



## Conclusion

Stanley Kubrick’s *2001: A Space Odyssey* raises several key questions concerning artificial intelligence. “Can a computer think?” seems to be taken for granted. “Can a computer feel?” is left unanswered, though HAL would have his human shipmates believe it. Regardless, HAL has become a role model for the development of Artificial Intelligence. Indeed, he set the stage for much of the A.I. discussion that has taken place during the five decades since this film was released in 1968.

What lessons can we learn by studying Artificial Intelligence in relation to language learning? What difficulties would we encounter in comparing computer programming to language learning? For instance, how would we deal with Krashen’s (1981) concepts of language *acquisition* as opposed to language *learning*? Is there a left-brain / right-brain equivalent in the silicon world? How about motor skills? Could we program a computer using Asher’s Total Physical Response technique?

Should students imitate HAL in trying to learn a foreign language? By all means. What he has to say, how he says it, how he makes his audience believe he has feelings by interacting with them on topics dear to their hearts, his techniques of conversation management, all offer viable models for foreign language students. Granting an interview, extending birthday greetings, playing a game, asking someone’s opinion, evaluating a situation, identifying a problem, denying a request, justifying unorthodox behavior, protesting violation – these

are quintessential examples of human verbal behavior. Not that all students should strive to become robots. Rather, students should speak clearly, intelligently, with meaning and substance, demonstrating the confidence and perceived humanity of the HAL 9000 series. Throughout *2001: A Space Odyssey*, HAL gives an impressive example of A.I. as analogous to foreign language learning.

In a sense, the entire film is an essay on what it means to be human. The Monolith effects evolution, transforming humanoids into what we are today. Moon-Watcher discovers a tool, then uses his tool as a weapon. HAL uses both language and emotions as weapons. In the end the Monolith once again effects evolution, with Star-Child emerging as the next generation of thinking, feeling, speaking, *advancing* (no longer weapon-wielding) post-humans.

Perhaps our language course levels should no longer be classified as “(false) beginner / intermediate / advanced,” but rather, “thought / emotion / wisdom,” thereby bringing language-teaching methodology into the (post-HAL) computer age.

## Notes

(1) Arthur C. Clarke, 1968, p. 119.

(2): Today this game is replicated at California State University, San Marcos (near San Diego). Five human “confederates” mingle with computers in a three-hour online chat session, and a team of ten judges must decide which is which. The winner is the computer program that can pass the Turing Test.

(3) In the early 1970s, Marvin Minsky and Seymour Papert, working at the MIT Artificial Intelligence Lab, formulated The Society of Mind theory. The theory attempts to explain how intelligence could be a product of the interaction of non-intelligent parts. Minsky developed the theory while trying to create a machine that uses a robotic arm, a video camera, and a computer to build things with children's blocks. In 1985 Minsky published a comprehensive book on the theory (see References).

(4) Alan Turing, 1950.

(5) Marvin Minsky, 2006, Ch. 6.

(6) Excerpted from *Roesch vs Schlage*, Hamburg, 1913. The chess board has 64 squares, labeled a-h horizontally and 1-8 vertically. In move 12a, White has just taken the Black Rook, Q to a8, which was the losing move. In move 12b, Black moves deep into White territory, Q to d3. White moves his Bishop down to d1, and Black moves his Bishop to h3. White is in serious trouble. “Um... anyway” (Q to a6) indicates no further attempt to avert the danger posed by the Black Queen. (Alternative descriptors sometimes use the starting positions of the pieces to identify positions, e.g., “Rook to King One,” “Queen to Bishop Three.”)

(7) “WinChess,” by Frank Norris, offers no such luxury. One has to keep on one’s toes to see where his opponent has moved.

(8) If “Umm... anyway” is perceived as a Game Descriptor instead of an example of Game Etiquette (the move results from a bad tactical decision), there is an equal balance of 26/26 words on each side.

(9) We miss the non-verbal gesture of tipping over one’s King to indicate withdrawal from the game. If *HAL* were to lose, would he perhaps say “King to Supine” instead of “I resign”?

(10) : チェックメート = checkmate      pawn – 担保 – mortgage

mate – 仲間 – companion

pawnshop – 質屋 – pawnbroker

(11) While Bowman is dismantling HAL's cognitive functions, HAL begins singing. "Daisy Bell," composed by Harry Dacre in 1892, renowned as the arrangement that was programmed for an IBM 704 computer to "sing" in 1962. Arthur C. Clarke happened to be visiting the Bell Labs Murray Hill facility during that demonstration of speech synthesis, and was greatly impressed. In the film version of *2001*, Douglas Rain performs the *a cappella* solo.

(12) HAL must have been given details of the crew's personal backgrounds. Bowman's and Poole's facial features (as witnessed in the "read my lips" scene, in the pod, through HAL's eerie eye) are nearly identical. C.f. the "twins" theory, comparing HAL's double on earth.

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## Appendix 1

### The Novel, by Arthur C. Clarke

The following excerpts from Arthur C. Clarke's 1968 novel contain a well thought-out blend of truth and fiction.

The sixth member of the crew cared for none of these things [looking back at the moonlit earth through

a telescope], for it was not human. It was the highly advanced HAL 9000 computer, the brain and nervous system of the ship.

HAL (for *Heuristically* programmed *AL*gorithmic computer, no less) was a masterwork of the third computer breakthrough. These seemed to occur at intervals of twenty years, and the thought that another one was now imminent already worried a great many people.

The first had been in the 1940s, when the long-obsolete vacuum tube had made possible such clumsy, high-speed morons as ENIAC and its successors. Then, in the 1960s, solid-state microelectronics had been perfected. With its advent, it was clear that artificial intelligences at least as powerful as Man's need be no larger than office desks – if one only knew how to construct them.

Probably no one would ever know this; it did not matter. In the 1980s, Minsky and Good had shown how neural networks could be generated automatically – self-replicated – in accordance with an arbitrary learning program. Artificial brains could be grown by a process strikingly analogous to the development of a human brain. In any given case, the precise details would never be known, and even if they were, they would be millions of times too complex for human understanding.

Whatever way it worked, the final result was a machine intelligence that could reproduce – some philosophers still preferred to use the word “mimic” – most of the activities of the human brain, and with far greater speed and reliability. It was extremely expensive, and only a few units of the HAL 9000 series had yet been built; but the old jest that it would always be easier to make organic brains by unskilled labor was beginning to sound a little hollow.

The first generations of computers had received their inputs through glorified typewriter keyboards, and had replied through high-speed printouts and visual displays. HAL could do this when necessary, but most of his communication with his shipmates was by means of the spoken word. [Frank] Poole and [Dave] Bowman could talk to HAL as if he were a human being, and he would reply in the perfect idiomatic English he had learned during the fleeting weeks of his electronic childhood.

Whether HAL could actually think was a question which had been settled by the British mathematician Alan Turing back in the 1940s. Turing had pointed out that, if one could carry out a prolonged conversation with a machine – whether by typewriter or microphones was immaterial – without being able to distinguish between its replies and those that a man might give, then the machine was thinking, by any sensible definition of the word. HAL could pass the Turing test with ease. (pp. 116-119)

## Appendix 2

The Film, directed by Stanley Kubrick

1. BBC News interviews HAL, asking whether the Series 9000 has ever made a mistake. The answer is negative. Then the newscaster turns to the two non-hibernating members of the crew. Question: Does HAL have feelings? Answer: It's hard to tell.
2. Frank Poole's parents send a birthday transmission. Afterwards, HAL wishes Frank happy birthday. This normally indicates feelings, in human-to-human interactions. Thus HAL tries to assume the role of the absent

parents.

3. HAL defeats Frank Poole in a game of chess, an intellectual game. The game etiquette used by HAL produces the illusion that he has feelings.
4. HAL asks Frank (he always calls the crew members by their given names, adding to the illusion of familiarity) to show him the sketches he has made of the hibernating crew members. Then HAL asks Frank a “personal” question concerning the secrecy of mission preparations. Evaluation: if the objective of the mission will adversely affect humans, then the human crew members pose a potential threat to the mission. HAL is capable of carrying out this mission without them. Therefore his solution is to terminate all five humans on board.
5. HAL fabricates an imminent systems failure. When Bowman and Poole retrieve the “faulty” apparatus, test it, and prove that it is functioning properly, they check with ground control. “Houston” reports that the Series 9000 twin has found nothing wrong with the instrument. Bowman and Poole suspect that HAL is malfunctioning, slip into the pod to discuss disconnecting his “higher intellectual functions,” but HAL reads their lips.
6. Frank Poole goes to replace the operational unit of the satellite dish. HAL commandeers his pod and uses it to kill Poole, hurtling his body into space.
7. Dave Bowman takes another pod to try to recover the body. (While Dave is away, HAL terminates the life functions of the three hibernating crew members.) However HAL won’t let him back into the *Discovery*. He says he saw Dave talking with Frank about disconnecting him. Dave says he will go back in by the escape hatch, but HAL reminds him that he forgot his space helmet. Dave dives back into the *Discovery* in a dangerous last-ditch attempt at survival.
8. Bowman proceeds to lobotomize HAL, who protests, “I realize things have not been quite right with me. I’m feeling better now. I’m afraid. I’m losing my mind. . . I can feel it.”
9. Left alone aboard the *Discovery*, Dave Bowman sights the Monolith and takes a pod to investigate. Then ensues the famous “*son et lumière*” finale of the film, an onrush of blurred city nightscapes, color-negative grand canyons and galactic lava lamps, accompanied by Georgy Ligeti’s eerie vocal score. After an excruciating transformative journey Bowman ends up in the Louis XIV chamber, viewing himself (and at various times the pod or the Monolith) at the different stages of his own life. Ultimately the Star-Child emerges.

## **Teaching Experiences of the Vocational Trainers in Chinese Cuisine Training for Immigrant Women in Taiwan**

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### **Abstract**

In Taiwan, substantial resources have been invested in vocational training programs for immigrant women as a solution to their lack of career development opportunities. This study examined the teaching experiences of vocational trainers in Chinese cuisine training for immigrant women in Taiwan. The data were collected through in-depth, semi-structured interviews and observation with 3 vocational trainers in Chinese cuisine training for immigrant women in Taiwan. The data were analyzed by thematic analysis method. The findings indicated that the trainers found that most of the immigrant women in Taiwan were economically disadvantaged, and that they participated in vocational training programs because of developing professional skills and obtaining technological certificates for employment. Before proving the training, the trainers investigated female immigrant trainees' background and integrated their homeland cuisine culture into the training. In order to facilitate the learning of female immigrant trainees who had difficulty in Chinese reading, the trainers illustrated the teaching with graphics and encouraged them to ask questions and provided extra individual guidance of professional skills. Additionally, in the classroom, the trainers would invite immigrant women to share their homeland cuisine to promote the visibility of their culture and their self-confidence. Because of the training for immigrant women, the trainers developed more multicultural literacy and changed their opinions towards female immigrants in Taiwan.

Keyword: immigrant woman, vocational training, vocational trainers

### **1. Introduction**

Transnational marriage reflects globalization. Asia is the area with the most stable growth transnational marriage, and Taiwan is the country with the highest proportion of transnational marriage in Asia (The Economist, 2011). According to the statistics of Taiwan government, in the end of 2015, foreign spouses and spouses from Mainland China in Taiwan exceeded 500,000, and accounted for more than 2.0% of the national population. Of female immigrants in Taiwan, 60% were from Mainland China, followed by the Southeast Asian countries (Ministry of the Interior, 2016). For female immigrants, receiving education and vocational training can increase their employment opportunity, increase their income, and benefit their economic and social integration with the receiving countries (Park, 2011). A past survey discovered that, after immigration into Taiwan, female immigrants urgently need to receive "vocational training programs" (Wu, 2014). In vocational training programs, vocational trainers are responsible for important tasks, including teaching, course transmitting, classroom management, and assessments. Moreover, the participants in vocational training programs for immigrant women are the female immigrants with diversified cultural background. Therefore,

the teaching experiences of vocational trainers in vocational training for immigrant women in Taiwan are worthy of attention.

This study invited vocational trainers in Chinese cuisine training for immigrant women in Taiwan as the research subjects to investigate their teaching experiences of vocational training programs for female immigrants in Taiwan, including curriculum development, use of teaching materials, teaching methods, teacher-student interaction, and the influence of teaching on individual career of vocational trainers.

## **2. Literature review**

In order to assist female immigrants who are willing to get employed, in 2004, Taiwan government announced “Foreign and Mainland China Spouses Employment Assistance Programs” based on which Ministry of Labor in Taiwan started to offer vocational training programs for female immigrants in 2005. The training programs mainly include: 1) category of personal services, e.g., facial spa, hairdressing, and manicure so on; 2) category of computer, e.g., computer information classes; 3) category of hospitality services, e.g., Chinese cuisine cooking. Chinese cuisine cooking programs accounted for 24% of the training programs, and the average employment rate of the female immigrant trainees was 69.5% (Ministry of Labor, 2015). Overall, female immigrants have string need for Chinese cuisine cooking programs.

The required qualifications of vocational trainers in Taiwan are stipulated by laws of Ministry of Labor, and vocational trainers should be those with relevant working experience and professional technical licenses. Moreover, various vocational training institutions shall employ qualified vocational trainers and report such employment to Ministry of Labor for approval.

## **3. Methods**

### **3.1 Participants**

This study used typical case sampling of purposive sampling to enroll 3 vocational trainers engaging in teaching of Chinese cuisine cooking vocational training programs for female immigrants as the research subjects. 1) John: male, a vocational trainer of Chinese Chefs Association in a certain city in southern Taiwan, holding the Class C Licenses for Meat Dish and Vegetarian Dish Chinese Cuisine, who have engaged in the teaching of vocational training programs for female immigrants for 9 years; 2) Mary: a vocational trainer of Affiliated Vocational Training Center in a certain city in southern Taiwan, who have engaged in the teaching of vocational training programs for female immigrants for 11 years; 3) Fang: female, a vocational trainer of Chinese Chefs Association in a certain city in southern Taiwan with several Classes B and C Licenses for Meat Dish and Vegetarian Dish Chinese Cuisine.

### **3.2 Data Collection and Analysis**

This case study used semi-structure in-depth interviews and observation method to collect data. The interview outline included: curriculum development and use of teaching materials; 2) application of teaching

methods; 3) teacher-student interactions; 4) influence of vocational training teaching on individual career of vocational trainers. This study used thematic analysis to analyze research data, and the main steps included: 1) data coding; 2) expounding of the themes; 3) data classification (Gao, 2008).

#### 4. Results

4.1 Trainers suggested that female immigrants were economically disadvantaged people who needed to obtain licenses by receiving vocational training.

Before teaching female immigrants, the vocational trainers suggested that immigrant women came to Taiwan through transnational marriage to earn money due to economic factors. After they came to Taiwan, they experienced the pressure of procreation and economy, and thus started to work. Female immigrants received Chinese cuisine cooking vocational training to obtain license to get employed or start their business in hospitality industry.

*The motivation of female immigrants receiving Chinese cuisine cooking training is to obtain license and seek a job. Female immigrants are mainly from economically disadvantaged family needing economic sources. In hospitality industry, licenses are required for employment. According to my observation, two-thirds of the trainees in training programs received Chinese cuisine vocational training because they really needed a job. (Fang1040223Interview)*

4.2 Trainers would understand the nationality and background of students first, and then integrated their homeland cooking with courses. To overcome the difficulties in reading Chinese teaching materials encountered by trainees from the Southeast Asia, the trainers would additionally provide teaching materials with illustrations.

Before the vocational training programs, trainers would inquire about the nationality distribution of female immigrant trainees in the programs, prepare for homeland cooking according to immigrant women's nationalities and integrate them with the original courses of vocational training programs. Due to poor literacy, female immigrant trainees from the Southeast Asia were not able to read normal teaching materials for the cooking license examination. Therefore, trainers would provide additional illustrations.

*The regional cultures of immigrant women in vocational training classes were completely different, and they had special cuisines or special cooking methods. I would prepare such special cuisines and then explained them in the class. (John1040429Interview)*

*Because immigrant students are not good at reading Chinese, I usually wrote down the ingredients in teaching materials and requested them to record them in their mother language. By doing so, they could understand ingredients better. I also provided detailed illustrations to help immigrant women memorize the cuisine better. (Mary1040423Interview)*

4.3 Vocational trainers invited trainees to share with everyone their homeland cooking. In addition to teaching patiently, they even encouraged trainees to ask questions and provided individual instructions.

In the process of vocational training for immigrant women, trainers tried their best to enable trainees to share with everyone their homeland cooking to promote their learning motivation. Trainers patiently taught the trainees with poor Chinese literacy in all kinds of ways, including highlighting the focuses of training, verbally describing the topics, applying peer learning, and using phonetic symbols to facilitate the learning of female immigrant trainees. Moreover, trainers encouraged female immigrant trainees to ask questions when they encountered difficulties in keeping notes or operating cuisine in class and provided extra individual instructions.

*When introducing relevant cuisines in class, trainers invited female immigrant trainees to share with everyone their famous home cooking in their countries. For example, when trainers taught them to cook rice noodles, trainers invited trainees from Guizhou to share with everyone how their local rice powder was produced in their own country. When mentioning “Buddha Jumping Over the Wall”, trainers invited trainees from Fujian to share with everyone the cooking method of their own country and then extended it to the modified cooking method in Taiwan. (John1030924observation)*

4.4 Trainers places emphasis on female immigrant trainees’ peer interactions, interacted with, listened to, and understood female immigrant trainees with empathy, and applied diversified vocational training methods to improve teacher-student interactions.

When faced with the trainees with strong personality from Mainland China and those with mild temper from Vietnam, trainers usually provided reminders about interpersonal relationships and taught them to cherish the opportunity to get along with others. Moreover, trainers made the harmonious atmosphere of teacher-student interaction by sharing the culture in Taiwan. In terms of peer interactions, teachers used the group learning to enable female immigrant trainees to jointly operate cuisine and learn cooking.

*When getting along with female immigrants, trainers usually treated them as friends. Trainers usually tried to get familiar with trainees as soon as possible. By doing so, many female immigrants from the Southeast Asian countries would feel free to ask questions. (Fang1040405Interview)*

4.5 After teaching vocational training programs for female immigrants, trainers possessed more diversified cultural literacy and changed their perspectives towards female immigrants.

After teaching vocational training programs for female immigrants, trainers understood that national culture not only affected trainees’ habits, but also further influenced their learning of vocational training. Therefore, trainers changed the content of the standard courses, and then integrated them with trainees’ homeland culture. By doing so, the course content of vocational training was enriched, and trainers were able to learn authentic cuisines of different countries. During the programs, trainers faced many trainees with poor comprehension of Chinese, and thus changed the teaching issues that have never been investigated. Trainers started to reflect on the vocational training methods and paid attention to the importance of trainees’ question asking. Such experiences also improved the vocational trainers’ teaching profession. Moreover, after frequently and closely

interacting with female immigrant trainees, the trainers not only changed their perspectives towards female immigrants through vocational training teaching, but also further encouraged other people to understand female immigrants more.

*The reason why my perspective towards female immigrants was changed was that I'd seen the efforts they made. They married to men in Taiwan, and had to endeavor to learn to adapt to Taiwan. I felt that people in Taiwan needed to change their attitudes towards new immigrants by understanding them. (Mary1040423Interview)*

*Teaching in vocational training programs for female immigrants helped me learn to respect different views. When faced with female immigrants from various countries, I would respect everyone's opinions. (Fang1040223Interview)*

## **5. Conclusions and implications**

In Taiwan, substantial resources have been invested in vocational training programs for immigrant women as a solution to their lack of career development opportunities. This study examined the teaching experiences of vocational trainers in Chinese cuisine training for immigrant women in Taiwan. The data were collected through in-depth, semi-structured interviews and observation with 3 vocational trainers in Chinese cuisine training for immigrant women in Taiwan. The data were analyzed by thematic analysis method. The findings indicated that the trainers found that most of the immigrant women in Taiwan were economically disadvantaged, and that they participated in vocational training programs because of developing professional skills and obtaining technological certificates for employment. Before proving the training, the trainers investigated female immigrant trainees' background and integrated their homeland cuisine culture into the training. In order to facilitate the learning of female immigrant trainees who had difficulty in Chinese reading, the trainers illustrated the teaching with graphics and encouraged them to ask questions and provided extra individual guidance of professional skills. Additionally, in the classroom, the trainers would invite immigrant women to share their homeland cuisine to promote the visibility of their culture and their self-confidence. Because of the training for immigrant women, the trainers developed more multicultural literacy and changed their opinions towards female immigrants in Taiwan.

Because vocational training is a part of adult education, its main purpose is to correct social injustice and empower the disadvantaged. Therefore, to engage in teaching of vocational training for populations of diversified culture, trainers have to possess cultural sensitivity. Moreover, they have to use courses and teaching methods of diversified culture to meet the needs of female immigrant trainees and further achieve the original objective of vocational training.

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# THE COMPARISON OF MALE AND FEMALE HAIRDRESSERS- CUSTOMER COMMUNICATION: THE ANALYSIS OF COMMUNICATION THEMES IN BARBERSHOPS!

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## **Abstract**

People who live and work in cities have to go hairdresser regularly in Turkey. And if there is no extraordinary state, they prefer to go to the same hairdresser. The longevity character of hairdresser-customer relation; turns this relation to an interpersonal communication. This affiliation sometimes has gone too far to share some secrets.

In today's world, communication in family, in work life, and between close friends have been gradually dissolving. Nobody has time to listen to nobody. People talk less with each other. Barber armchairs provide the enough time to customers whose husband and wife or close friends do not give them to talk. In this context, the time which customers spent in barbers' armchair has been passing through with a nice conversation, discharge and sharing the mental distresses. This study has been conducted to reveal the subjects talked in between hairdresser and his/her customers, and how much the talks been repeated at later comings, and whether is there a difference between male and female hairdressers on this points. Fourteen male hairdressers and thirteen female hairdresser working in Eskisehir interviewed. After that, the results discussed and created some groups of theme to analyze. In conclusion, the difference of male and female hairdressers obtained by this themes.

**Keywords:** hairdressers, communication, interpersonal communication, sharing secrets, coping with stress.

## **INTRODUCTION**

The barber term in Turkish is defined as "the person who deals with cutting, combing and doing hair and beard or the ones who acquires that as a profession, the men's hairdresser, barber". The coiffeur means "hairdresser, barber and beauty parlor" (Canyilmaz, 2009). Hairdressers are defined as "the persons who cut, form, dye and do hair care according to the current fashion trends and pleasure of the client" (Guzel, 2013).

In the study of Ustuner and Thompson on female hairdresser and client relations, it is observed that hairdressers try to establish dominance over their clients through various strategies. In the study, it is presented that women are tied to their hairdressers loyally and they do not change their hairdressers for years

([http://www.milliyet.com.tr/sacimi-yapabilirsin-arkadasim-](http://www.milliyet.com.tr/sacimi-yapabilirsin-arkadasim-olamazsin/pazar/haberdetay/25.09.2011/1442733/default.htm)

[olamazsin/pazar/haberdetay/25.09.2011/1442733/default.htm](http://www.milliyet.com.tr/sacimi-yapabilirsin-arkadasim-olamazsin/pazar/haberdetay/25.09.2011/1442733/default.htm), Access date: 15.05.2016).

In the interview which has been published in Hairist.com.tr (2013), Erbil who is an experienced and popular hairdresser in Istanbul states that; "It is an extremely important privilege for you that a client comes to the parlor and especially requests you." In this interview, it is mentioned that the people who used to come for spending time, entertaining, having a talk and socializing have limited time and they desire to be handled practically; the clients of today cannot stand any mistakes than the past and there is a more investigative client profile while they were not used to questioning in the past. It is stated that it is more important to listen than tell; the client psychology should be known well and it should be reflected that the hairdresser tries to make her feel good and by this means it will become possible to keep client flow. Erbil defines himself as "a psychologist with hair design ability" ([https://www.hairist.com.tr/mahmut\\_ebil\\_hepimiz\\_bu\\_meslek\\_sayesinde\\_bir\\_yerlere\\_geldik.-278-.html](https://www.hairist.com.tr/mahmut_ebil_hepimiz_bu_meslek_sayesinde_bir_yerlere_geldik.-278-.html), Access date: 15.05.2016).

In the news titled as "People also go to beauty parlors for social expectations" according to Ozyurt, "Women inclining towards becoming beautiful aim to become mentally satisfied and meet their expectations in social relations by making partial changes on their bodies rather than becoming biologically healthier." (<http://www.milliyet.com.tr/guzellik-salonlarina-sosyal-beklentiler-icin-de-gidiliyor-pembenar-detay-ask-1656635/>, Access date: 15.05.2016).

In the studies of Togan et al. (2014a, 2014b), it has been determined that most of the hairdressers do not have sufficient knowledge on self-care and material cleaning and they exhibit wrong behaviors. As a result of the study of Sahin et al. (2009), it has been observed that the women hairdresser staff participated in the study do not have sufficient knowledge and practices on Hepatitis B and other blood-borne diseases.

In the study of Guzel (2013), it has been determined that the most common professional disorder is sleep disorders with 63.8% and the highest value on professional satisfaction is "relations between staff" and the lowest one is "working hours". In the study of Mermer et al. (2015), it is presented that the most common health problem of women hairdressers are related with ergonomics and psychological burden.

### **Purpose of the Study**

The purpose of this study is to present the topics and shared secrets in hairdressers-client communication under main themes and to discuss the difference of male and female hairdressers obtained by this themes.

### **Limitations**

This study is limited with the accessible male hairdressers working in the city center of Eskisehir who accepted to have an interview. The number of participant hairdressers is fourteen. The study is limited with the opinions of the selected hairdressers and generalizability of results is limited.

### **METHOD**

"In qualitative studies, the data can be gathered by means of in-depth interview, observation, participant observation and log analysis techniques (Wiersma, as cited in Batu et al., 2004). This study has been conducted by semi-structured interview technique. An interview is a conversation between an interviewer and an interviewee or a group for getting information (Yildirim and Simsek, 2005). A set of questions are prepared for using in interviews to apply in semi-structured interviews. These questions are directed by the researchers to

each interviewee in the same order however the interviewees are allowed to answer as they wish (Gay; Berg, as cited in Batu et al., 2004).

In the interviews conducted for this study, it has been tried to access opinions of hairdressers on the communication of hairdressers with their clients, shared secrets, held topics and their knowledge and experience. Consequently, it is tried to present the topics and shared secrets in male hairdressers-client communication under main themes and sub-themes.

### **Data Collection Tool**

In order to compare the answers of interviewed hairdressers, main interview questions which can be answers to the questions listed in the purposes title of the study have been prepared. The researcher has made a trial of these questions with a hairdresser close to his institution. The sound recordings of the interview have been analyzed by an expert and evaluations on the interviewee and the questions have been done and the interview form has been finalized. The aforementioned form has been applied on the male hairdressers of Eskisehir. Furthermore, an empty space is left at the end of the form where the hairdressers can fill in freely with their opinions, feelings, emotions and recommendations on the issues other than the questions.

### **Determining the Hairdressers Participating in the Study**

In order to determine the hairdressers to be surveyed in the male hairdressers-client communication study, the names of hairdressers in Eskisehir city center have been obtained from the Chamber of Barbers and Coiffeurs of Eskisehir and surveyors at the helm of the researchers have visited the coiffeurs and requested permission and support for their study.

### **Collecting Data**

The interviews have been conducted in between 1-15 April 2016 as previously planned in the pre-interviews with the hairdressers. Before, each interview, the researcher has explained the purpose of the study. The researchers and interviewers have jointly visited the hairdressers and recorded the questions and answers of the interviews by a sound recorder by getting consent of them.

### **Data Analysis**

The data collected for the study has only been subjected to descriptive analysis. Naturally, when a descriptive analysis is done, the data obtained through interviews are presented originally without adding our opinions and comments as researchers.

### **Reliability Study**

Firstly, the hairdresser was selected and interview printout, questions and considered subtitles were given to a second expert. It has firstly been requested from this expert to determine the statements which can be answers for each question and then replace appropriate answers under subtitles. At the end of this procedure, the answers of related hairdressers registered by the researcher have been compared with the answers and subtitles determined by the expert. The reliability analysis has been examined either for the statements with answer characteristics and subtitles where they were gathered. As a result, the reliability level between the researcher

and the expert has been found as 95% for the answers. It has been observed that there is a complete unity in subtitling the answers of the following two hairdressers. For reliability calculation:

$$\frac{\text{Consensus}}{\text{Consensus} + \text{Dissensus}} \times 100 \text{ formula has been used}$$

The study report has been compiled by combining the tallied answers gathered under particular titles at the left side of the notebook and the bold statements in the computer. The bold statements have been used as direct quotes.

## **FINDINGS and COMMENTS**

### **Information Related with the Interviewed Hairdressers**

While all of the interviewed male hairdressers (14) are men, a few of female hairdressers women; the age average of male hairdressers is around 35, female hairdressers is around 40; and their ages vary from 23 to 46 on male hairdressers, 23-60 on female hairdressers; almost all of male hairdressers are 8 years-primary school graduates while less than half of female hairdressers are same level graduates; most of male and female hairdressers have job experience around 10 and higher years of experience.

### **Information on Client Profiles of the Interviewed Hairdressers**

While clients of three of the interviewed male hairdressers have been going to the same shop for 5-8 years, two for 9-12 years, four for 13-16 years, one for 17-20 years, two for 21-24 years and two for 25 years and more; clients of four of the interviewed female hairdressers have been going to the same shop for 2-5 years, two for 9-12 years, two for 13-16 years, one for 17-20 years, and four for 25 years and more. Almost all the male and female hairdressers serve 16 and more old clients. While the monthly visit frequency of old customers has been indicated by two of the male hairdressers as once, eight male hairdresser twice, two male hairdresser thrice, two male hairdresser four times and more; by eight of the female hairdressers as once, one female hairdresser twice, one female hairdresser thrice, three female hairdresser four times and more. If, the time the old clients spend at the shop is analyzed, five of male hairdresser have mentioned as the lowest time spent by their clients at the shop as between 10-20 minutes and nine of them as between 20-30 minutes, six of female hairdressers as between 10-20 minutes and seven of them as more than 20 minutes; most of the male hairdressers have mentioned that the highest time spent by their clients at the shop as around 1-2 hours, most of the female hairdressers as 3 hours and more. If, the income levels of secret sharing clients are analyzed, while it is observed that most of male hairdressers have secret sharing clients from the middle income level, most of female hairdressers have secret sharing clients from the middle and higher income level. If, the age range of secret sharing clients is analyzed, it has been mentioned by most of male hairdressers that these clients are around 20-35, most of female hairdressers have mentioned that they are around 20-40. If, the professional status of secret sharing clients is analyzed, it has been mentioned by eight male and eight female hairdressers that these clients have a profession while they do not know what they are, one male and one female hairdresser as university students, three male hairdressers as factory workers, one male hairdresser as public servants, one male hairdresser as manufacturers, three female hairdressers as housewives and one female hairdresser as academics. If, the marital status of the secret sharing clients is considered, it has been stated by eight male and

eight female hairdresser that they are married and five male hairdressers and three female hairdressers have mentioned that they are single and one male and two female hairdressers have mentioned that he has clients sharing secrets from all marital status (married, single or divorced).

### **Information on Hairdresser-Client Communication**

When, the information on secret sharing client is asked, all fourteen male and thirteen hairdressers mention that their clients share secrets with them. With regards to the number of secret sharing clients, four male and two female hairdressers mentioned that they have 5 and fewer clients sharing their secrets with them, four male and six female hairdressers mentioned 10-15 clients, two male and four female hairdressers mentioned 20-25 clients, four male hairdressers mentioned 40 and more clients. While all of the male hairdressers consider the cause why their clients share their secrets with them as sincerity/being close, twelve as confidence, twelve as therapy/we listen to their problems and comfort them, nine as friendship/companionship, and one as "it makes more sense to tell foreign"; one female hairdresser as sincerity/being close, six as confidence, one as therapy, two as friendship, two as touch/contact and one as habit of long years. The question on whether their secret sharing clients warn them not to share their secret with anyone else is answered by 7 male and 10 female hairdressers as "no", 2 male and 2 female hairdressers as "yes" and 5 male hairdressers as "very rare". Almost all the male and female hairdressers have mentioned that their secret sharing clients ask for advice related with their secrets.

### **Information on Characteristics of Shared Communication**

If, the subjects of communication between hairdressers and client are analyzed, it draws attention that the secrets on family/relation issues for 14 times on male hairdressers and 11 times on female hairdressers girlfriend, lover, relationship, love, private life; for 12 times on male hairdressers marriage; for 5 times on male hairdressers sex life and for 1 time complain about women are shared. Other than these, it is observed that the secrets on the business life are shared for 6 times on male 5 times on female hairdressers; everything about life for 4 times, money for 3 times, politics for 1 time, football for 1 time, education for 1 time and fighting with friends for 1 time on male hairdressers. Almost all male and female hairdressers mentioned that their clients complain about their lives. The subjects which their clients complain about are indicated as 8 times lover/girlfriend (on male hairdressers), 6 times on male 4 times on female hairdressers family members, 5 times on male and 3 times on female hairdressers complaints about his spouse/hardships of marriage and children, 4 times on male 6 times on female hairdressers financial issues/money; 1 time longing for family, 7 times general working life, 2 times his hardship of work, 2 times low wage, 1 time long working hours, 5 times general life problems, 2 times education (collage,courses and academics) and 1 time condition of Turkey on male hairdressers. If, the depth of communication shared between hairdressers-clients is analyzed; 9 male 7 female hairdressers have mentioned that they have clients sharing superficially, 5 male and 2 female hairdressers have mentioned that they have customers sharing in detail. If, the continuity of subjects communicated between hairdresser-client dialogues is considered; 9 male and 6 female hairdressers have replied the question whether the subjects on shared secrets are reopened as "yes", 2 male and 6 female hairdressers have replied as "no" and 3 male hairdressers have replied as "rare". Related with follow-up of the shared communications, 10 male and

11 female hairdressers have mentioned that they ask questions to their clients on previously shared subjects, 3 male and 2 female hairdressers have replied "no".

### **Information on Keeping/Sharing Secret Attitudes of Hairdressers**

Eight male ten female hairdressers have replied the question on whether they share the secrets shared by their clients with other clients as "no, I do not", six male and three female hairdressers have replied as "yes, but I share examples without mentioning any name". Eight male and six female hairdressers have replied the question on whether they share the secrets shared by their clients at other places as "no, I do not", six male and seven female hairdressers have replied as "yes, but I share a examples without mentioning any name". Ten male and thirteen female hairdressers replied the question whether they share the secrets shared by their clients on phone as "no, I do not", one male hairdresser has replied as "yes, I do", three male hairdressers have replied as "yes, but I share a examples without mentioning any name".

### **Considerations of Hairdressers about their Profession**

The male and female hairdressers who had negative attitudes towards sharing problems with their customers, reported that they were tired of listening to others' problems; they listened to their customers' problems superficially; their customers regarded them as a center of therapy; and that their customers did not listen to their own problems. The male hairdressers stated that they went on a picnic or drank beer to forget about their problems and one of the barbers said he talked about his problems to himself in the mirror. The female hairdressers have mentioned that their clients show them as therapy centers even their clients transfer all their problems and complaints to them as if they are "garbage containers" and they cannot share their complaints and problems with their clients as they do not listen or do not want to listen the hairdressers and they cannot be relieved.

While it is observed that female hairdressers do not have any positive perspective on problem sharing; some of male hairdressers had good relationships with their customers in terms of information sharing, one barber was in contact with their customers, one barber thought he started to learn human psychology, and that one barber said he helped a lot of people overcome their psychological problems.

When, it comes to professional evaluations as a final finding; most of the male and female hairdressers have indicated that they are not satisfied with their profession and it only makes them exhausted, while 3 hairdressers have mentioned that "thanks to God, I earn well and I am happy with my profession", "It makes me happy to make people beautiful and happy".

## **RESULTS, DISCUSSION AND RECOMMENDATIONS**

While there are important findings on hygiene issue, information on hygiene is rarely observed in the interviews with male and female hairdressers. Gokdag and Unugur (2016) consider that this can be related with cultural characteristics of Turkey.

In a country where there are so many martyrs, several bombing and explosions and political polarization, it draws attention as an interesting finding that clients do not talk about political issues. We can explain this issue by pathological grief. Instead of normal grief reactions, unexpected, exaggerated or extremely extended reactions or unresponsiveness might be developed; the reality of loss is not accepted (Bildik, 2013). People in pathological grief try to cover the facts making them uncomfortable and not to think about them. By this way,

an incident is presumed as not existing and denied; in other words people write off the fact of terror, life-threatening situation, bombing and martyrs and ignore them as they create extreme sadness and stress. In addition to this; if Turkish culture is considered, women prefer their hairdressers as a means of therapy for blowing off their steam and making them more beautiful; in this sense, they do not feel it necessary to share their political views and opinions.

In Turkey, while women go to a hairdresser to relax, shopping and going to a hairdresser are usual methods for women (Gokdag and Unugur, 2016), men go to a barber for a hair-cut on special days when they really need to go (religious festivals, job interviews, birthdays, marriage, meeting one's darling). Women also go to hairdressers for becoming more beautiful, looking beautiful, refreshing their self-confidence, making a change and relieving and they also want to try a new hair model, a different hair color and make a change when they want to draw attention, hassle with their lovers/husbands, think they are cheated and etc.

Men are extremely conservative about changing their barbers. They do not want to change their barbers. Men are also conservative about their hair styles, and they thus prefer the same style. They think their own barber knows their own hair styles. Therefore, they do not have to explain their hair style again and again. It can be said that in Turkey, women go hairdressers for satisfying their therapy needs and they become loyal to the same hairdresser for a long time. Even, in some resources, there are details that women share their privacy in detail, according to the findings of this study, women share several issues with their hairdressers while they usually share superficially, they share just for blowing off their steam and they do not expect their hairdressers to develop solutions for them. Moreover, if their hairdresser is not from their gender, the things they share are restricted, decreased or they tell their experiences as if another person experiences such issues. Consequently, it is not expected that hairdressers pay attention to the persons in the secret related incident.

When men come together, the most frequent subject they talk about is related to the opposite sex (love, sex, beloved, dating and so on). However, as an interesting finding, in Turkish culture, they do not talk about their relatives, wives, sisters or mothers because talking about sexual subjects in relation to women they love in their so close environment is considered by men to be an issue of honor and virtue. Therefore, talks about these issues are likely to lead to arguments, crisis and even to murder. Other than these, women prefer not to talk about sexual acts and etc. issues with hairdressers of opposite sex as they think that they will be accused of shameful acts and the boundaries between them and their hairdresser will be removed and this will cause sauciness.

In Turkey, women institutionalize sharing their secrets with each other usually in their communes, gatherings and etc., they share their feelings more than men and they are more open to oral communication than men. Therefore, it is not surprising that women share their secrets with each other and their hairdressers.

Moreover, it is an interesting finding that child problems are not communicated at all; however if it is considered that women go to hairdressers for being cared and relieving, it can be said that they might not want to communicate child problems and become angry again.

As a result of the study supporting the study of Gokdag and Unugur (2016); it is observed that hairdressers see their profession "exhausting" due to ergonomic conditions, long working hours and listening problems and

complaints of their clients, even they provide therapy services to their clients they cannot be relieved by telling their problems with their clients.

Briefly, according to the resources and studies in the literature, it can be indicated that different client-hairdresser relations can be developed in different cultures. This study is a pioneer for other researchers and studies in this field and within the context of wider cultural studies; it is recommended to expand the study for comparing the clients of male hairdressers with the clients of female hairdressers.

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# Food Security and Vulnerability in West Bäläsa Wäradä Ethiopia: Action Exploration through Entitlement Approach

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## Abstract

*Considerable studies treat food security and human vulnerability problems of the country mainly through food availability decline approach (FAD) and livelihood perspectives. However, these epistemological underpinnings and methodological presumptions are not full-fledged to capture the more complex, multidimensional and dynamic realities of food insecurity and vulnerability of the country. This paper attempts to explore and carefully re-examine the intensity and extent of actions taken, and must have been taken, to alleviate the problem of food insecurity and vulnerability in West Bäläsa Wäradä, through entitlement approach. And this paper also attempts to identify and re-assess the cultural impediments that hinder the achievement of food security in the area under study. Methodologically, a concurrent mixed method of study is employed to better understand food security and human vulnerability by combining both quantitative and qualitative data. A sample of four representative Qäbälés were taken by using a purposive sampling technique, and a total of 150 households were selected, to the household survey, from the sample four Qäbälés, by using both systematic and random sampling techniques. The collected data have been analysed using integrative mixed method approach. However, much emphasis was given to qualitative method due to the nature of data obtained. The finding of study revealed that, West Bäläsa's food insecurity is mainly caused by constrained access to agriculture land, productive assets, labour and market uncertainties, population pressure against the annual production, vulnerability to natural calamities and other shocks. Besides, the above usual causes for food insecurity in many areas, different cultural impediments are particular to West Bäläsa's Wäradä. Different interventions have been employed to alleviate the problem of food insecurity in the Wäradä; however, with a partial success. At this point the study result revealed that, the negative and distorted perception of the society and failure of some institutional programs, like safety-net have contributed for the poor achievements of government and non-governmental interventions in the area. Finally, the study concludes that both direct and trade entitlement failures, as well as the societies cultural beliefs were attributed to West Bäläsa's food insecurity and vulnerability. Therefore, all this requires a wide range of intervention, from positively interrelated and coordinated stakeholders, aiming at to enhancing their activity and more importantly to change the attitude and perception of the society.*

**Key Words:** Food In/Security, Vulnerability, Entitlement Failures, Risk Response.

## 1. Introduction

### 1.1 Background

Food insecurity menaces a considerable number of world's population. In the past four decades, the issue of food security has been one of the most important items in the world development thought, yet perhaps it's the least resolved of them all. Ethiopia has been identified as one of the countries that have threefold problem of

endemic food insecurity which can be termed as; chronic, cyclical and transitory food insecurity. It also remains one of the world's poorest countries (Devereux 2000:2). Factors which brought human vulnerability and food insecurity in Ethiopia vary from regime to regime. The main causes of food insecurity in Ethiopia are attributed to multifaceted factors like, environmental shocks (drought and rainfall variability), rapid population growth and low per capita land holding, financial and economic constraints. Besides, the country government policy frameworks, also take the lion-share of the problem of food insecurity and vulnerability in the country at large.

## **1.2 Objectives**

The general objective of the thesis is to explore the actions taken or would have been taken to tackle the problem; and to understand the nature and condition of the food security and human vulnerability in West Bäläsa Wäräda through the application of an entitlement approach.

### **1.2.1. Specific Objectives**

The specific objectives are to:

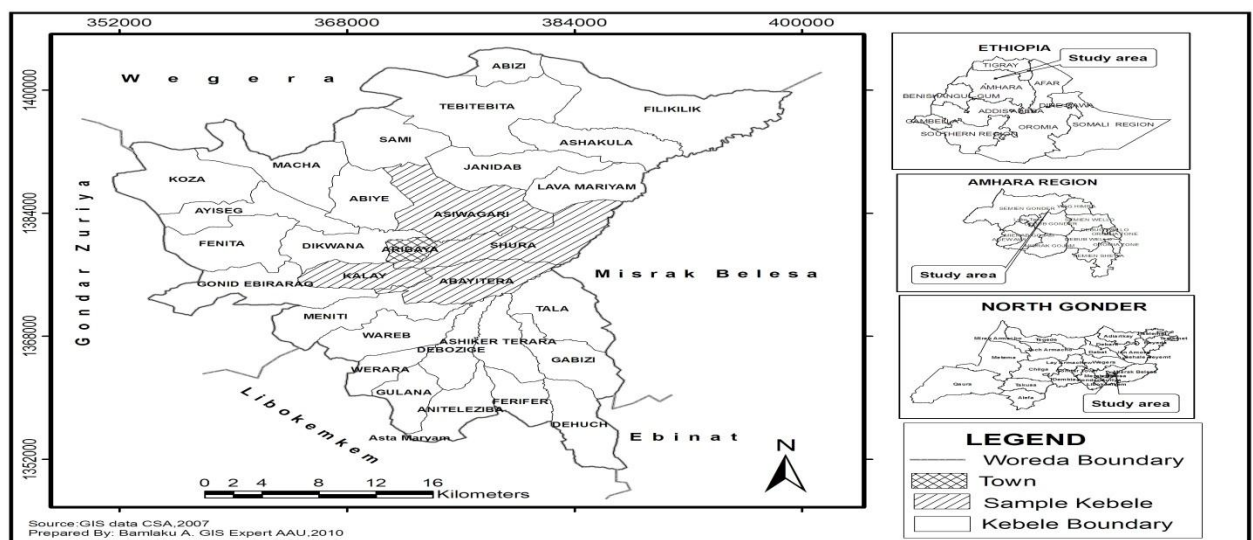
- ✓ Explain the context of food security and the underlying causes of food insecurity in Ethiopia in general and the West Bäläsa Wäräda in particular.
- ✓ Assess the impacts of the actions taken which also indicate as far as human security is concerned the 'what would have done' part of it.
- ✓ Explore household's access to various assets and resources.
- ✓ Examine the different coping mechanisms adopted by households in order to avert the insecurities they faced.

## **2. Study Area**

West Bäläsa Wäräda which the study area felt is the concern of description. It is among the worst affected areas as far as the food insecurity issues of the region are concerned. The Amhara National Regional State (ANRS)

is one of the food insecure regions of Ethiopia. Of its 113 Wäradas, 54 of them are considered to be food insecure. West Bäläsa, found in North Gondar Zone of ANRS, is among those situated in the characterized as food insecure and vulnerable Wäradä as to the report of Ethiopian Disaster and Prevention Commission. In the Wäradä there are a total of 30 urban and rural Qäbälé's and about 79 sub-Qäbälé's (Gotts).

### Map. Location of the Study Area



### 3. Methods

To better understand the problem and address the formulated research questions, this thesis employed concurrent mixed method of study to better understand food security and human vulnerability conjoining both quantitative and qualitative data. Accordingly, household survey was conducted to measure the relationship between socio-economic status of each household and the measures taken or might have been taken so far. In addition, the problem of food security has been explored using qualitative data collection techniques in the West Bäläsa Wäradä of the North Gondar Zone of the Amhara National Regional State.

**Sampling Design:-** According to the current National Regional Administrative Division, West Bäläsa Wäradä encompasses 30 Qäbälé's. Though, it is impossible to cover the entire Qäbälé's of this administrative entity of the Amhara National Regional State in this thesis. Therefore, for the sake of its feasibility or manageability, sampling technique is mandatory. Cognizant of this fact, from the total of 30 Qäbälé's, a sample of four

representatives *Qäbälé's* was selected through purposive sampling technique. The households had been also selected from each *Qäbälé* for the purpose of undertaking house hold survey. In doing so, a total of 150 households were selected, by employing both systematic and random sampling techniques. The first technique is used to determine the proportional number of households. Then random sampling would soon follow while selecting the determined number of households.

**Data Collection Techniques:-** For the purpose of data triangulation and methodological merit, the use of variety of data and methods (Pratton 1990) indispensable. The multi-dimensional data collection procedures would enable this study to gather both intensive and extensive information that contain a wide range of individual and group views. As the study follows mixed research method, both qualitative and quantitative data collection tools were used, such as in-depth interview, focused interview, FGD, observation and household survey questionnaire.

**Data Analysis Procedures:** - The corpus of data collected from both the primary and secondary sources have been analysed using a mixed research approach. The information that has been collected were first recorded and then transcribed and translated and interpreted.

## 4. Major Findings

### A. Access and Availability to Resources

**Landholding and the status of land:-** Land is one of the tangible assets to the peasant's entitlement, and it has a direct relationship to those producing their own staple food. Land size and its status is considered as a critical production factor that determines the type of crops grown and the amount of crop harvest. The majority of sample household landholdings, amounting one hectares of land (*four timmad of land*), out of the total samples this constitutes about 20.6% of the sample household. While, only 18.5% of sample households have a landholding size more than one hectares of land.

Landholdings of Sample Household

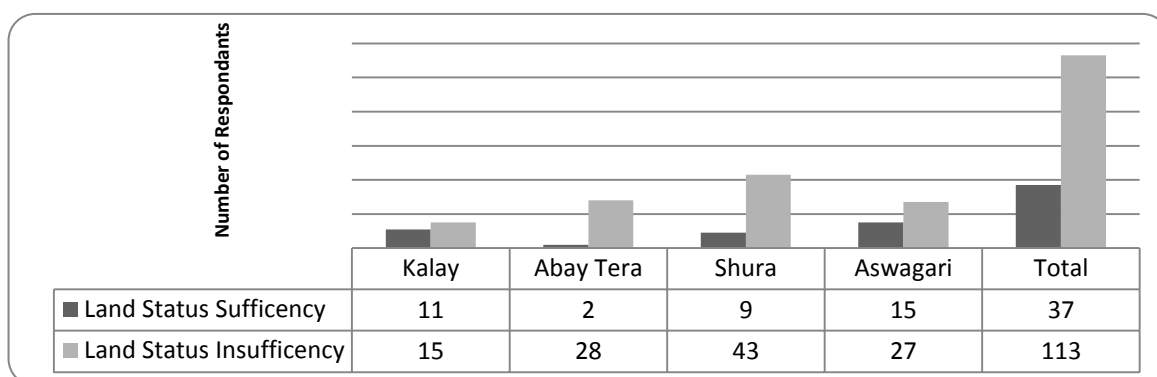
Landholding Size	No of HHs	Share in Percent
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HHs have no land	8	5.3%
1/4 hectares of land ( <i>one timmad of land</i> )	23	15.3%
1/2 and 3/4 hectare ( <i>two and three timmad of land</i> )	60	40%
one hectares of land ( <i>four timmad of land</i> )	31	20.6%
More than one hectare of land	28	18.5%

Source: Household Sample Survey, 2010

However, despite having different ownership of endowments, the effective and efficient utilization, and the capability of transferring those endowed resources to contain enough amount of food is mandatory. Therefore, the functional of other machineries like market, infrastructure, services, etc. are equally-likely considered to materialize those endowments.

#### Land Sufficiency to Household Food Consumption



Source: Household Sample Survey, 2010

According to the study survey result, 75.3% of sample households responded that, their land is insufficient for their household food consumption, let alone to use it as a source of income to other basic needs and expenditures. On the other hand 24.6% of sample households are responded that their land produce enough amount of food to the household food consumption. Generally, most of the informants aptly argue that, the existing landholding status of the same households is less than the time of the household's establishment and even after the time of land re-distribution in the Wārāda. Thus, over the years the size of landholding per household has decreased and as the same time the productive capacity of the land also decreasing due to intensive farming over many years and the people's wrong perception in using agricultural inputs to their land.

Consequently, West Bäläsa Wäräda peoples are unable to generate enough food and income in the short run, and becoming highly vulnerable to food insecurity in the long run.

***Crop production and Irrigation:-*** Crop production is the major source of food supply and source of income in West Bäläsa Wäräda. The availability of food is materialized through increasing food production. The entitlement approach also acknowledges that the availability of food is among the major elements for food security. Most of the informants revealed that, the intensity and magnitude of food insecurity, particularly production failure in the Wäräda is increasing. They apprehend, this year (2009/10) as the worst of all. They also identify some of the major causes for crop production failure this include, natural calamities, shortage and infertile land. Besides, inefficient and inaccessible market also exacerbating the problem especially when agricultural products price boosts. Therefore as to entitlement approach, only the availability of food or surplus production is not always necessarily guaranteed food security, rather resources accessibility and capability of transferring (through market) those resources into the combination of goods and services are equally important to food security.

Water is one of the most essential resources for crop production in the moisture deficit areas; as a result irrigation harvesting is regarded as the main pillar of national food security in Ethiopia. In this regard, West Bäläsa has tremendous potential water resources, which can be used for irrigation. However, according to *Worq-Amba* bulletin, the achievements is very less only 15% of the water resources currently used and more than 90% of the population of depends on rainfall harvest subsistence agricultural income. The researcher observed that, exceptionally among the sample Qäbälé, kalay Qäbälé peoples are tend to have positive attitude towards irrigation as well as they made crucial efforts to construct irrigation canals (*see the picture below*).

Traditional Irrigation Practices in kalay Qäbälé.



*Source: Field Observation, 2010*

Different reasons were raised for the underutilization of irrigation in West Bäläsa. According to the FGD discussants, one of the main reasons is that, the negative perception and knowledge of farmers about irrigation is very poor. Due to this fact, they blindly categorize those irrigation users as poor farmers. They put their own proverb which ridicules the value of irrigation cropping as “ጠደብ ኣብቲ ሰላም ኣብሰሎ” literally to mean growing by artificial “rain” and by eating in “sun” rays. Finally, peoples are frustrated due to the societal belief that irrigation will make the land unproductive.

## **B. Access and Utilization of Resources and Services in West Bäläsa**

This section discusses people’s capability of changing resources (i.e. endowments) using the available access and utilization of services, such as agricultural inputs, extension services and market to the defining all possible combinations of goods and services (entitlement set).

**Access to Credit Services:-** The major source of credit services in West Bäläsa Wäräda were the Amhara Credit and Saving Institution (ACSI) and the Wärädas safety-net program. The statistical survey result show that, out of 150 sample households, 66 (44%) of them are responded that they are credit service beneficiaries, while 84 (56%) of the samples are not beneficiaries. However, some of the beneficiary’s uses the credit for the fulfillment of their daily need (food consumptions) and some of them also make use to purchase fire arms. Besides, some farmers are reluctant for credit, because of the frustration of indebtedness and unpredictable harvesting year of the area.

***Agricultural Input and Extension Services:-*** To increase crop yield and productivity the appropriate application of modern agricultural inputs (i.e artificial fertilizer, improved seeds and seedlings) are very essential. Even though, there is enough supply of agricultural inputs, however, the focus group discussants point out that, almost all farmers prefer to use natural fertilizers than chemical fertilizers, it's due to their negative perception towards it.

Agricultural extension plays a significant role, in the country like Ethiopia, where the majority of the farmers are non-literate and extremely dependent in agriculture production. Though trained extension personnel were assigned in each Qäbälé of West Bäläsa Wäräda. However, according to most of informants, majority of the people did not understand their purpose and because, the station also very far accessing them is difficult when it's needed.

***Access to Market and Responses:-*** Market center proximity creates access to additional income by providing off-farm employment opportunities, and easy access to farm and non-farm products. According to the personal observation, West Bäläsa market canters have no efficiency and effectiveness to create alternative opportunity; it's mainly due to geographical location, the absences of market pulling factors, which are a multiple varieties of agricultural products or any other commodities that attract peoples to visit the market of West Bäläsa Wäräda. As to one of the key informant, the market situation of the Wäräda is generally determined by the harvesting years of the area. This also therefore, determines the supply and demand side of the market; however, it's affected by the aforementioned factors.

### **C. Risk Response to Food Insecurity and Vulnerability**

This section evaluates government policies and interventions, and the coping mechanisms of the households and person's in the study area to mitigate the problem of food insecurity and vulnerability. Accordingly, as to one of expert informants, hence, West Bäläsa is among food insecure Wäräda of the ANRS, this program is starting to take action in 2005. The major areas of intervention of the FSP of West Bäläsa Wäräda were both cash and food for work, resettlement and aid or emergency reliefs in time of food shortage.

In general, the risk factors of food insecurity and vulnerability in the study area were mainly attributed by diverse and interrelated caseloads. Beside the recurrence of natural disaster, inappropriate government policy and institutional weakness, the underlying factors of food insecurity and vulnerability of West Bäläsa can be grouped into three major categories. The first reason is that, the negative perception of the farmers towards using agricultural inputs, like fertilizer, improved seeds etc. cognizant that their land loss its fertility due to several factors. Second, the targeted groups who are in the package of safety-net program were suffered from early and quota graduation, which is bereft consideration of the stated benchmarks. Third, due to misunderstanding of government and other NGOs intervention, the peoples of West Bäläsa develop strong dependence mentality on aid (they are hooked on aid). Consequently, the study finding point out that, this attitude towards aid incapacitated and sucks the people's working energy and the ability to search other options to their problem. The above problems also exacerbated by direct entitlement failures, like poor market facilities, combined with market uncertainties and less bargaining power of the society particularly when the problem is sever, consequently it results trade entitlement failure in the area.

## **5. Conclusions**

Efforts should be made to enhance people's resource accessibility: land is one of the crucial resources in the farming community. The performance of agricultural land in West Bäläsa is continuously declining mainly due to population pressure, intensive cultivation and erosion. Control and reduce the population growth: family size has its own impact on the status of food security at the household level. Create income generating opportunities: in the area like West Bäläsa, which is vulnerable to natural calamities Promoting off-farm and non-farm employment opportunities, through which some proportion of the farmers could shift from direct reliance on land for their livelihoods and they become less vulnerable to food insecurity.

Enhance the effective and efficient utilization of services: the provision of services such as education, health, marketing, roads, agricultural inputs, safety-net program and other facilities have a paramount importance in enhancing the overall standard of the population Uphold the relationship and harmonization between the

stakeholders: every effort in addressing the problem needs integration and coordination as well as a holistic approach, which participate the society at large is very essential to alleviate the problem and to make cost-effective as well.

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## **LONG- TERM EFFECT OF CHILDHOOD SEXUAL ABUSE ON SEXUAL ABUSE VICTIMS: IMPLICATION FOR COUNSELING.**

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### **Abstract**

This paper outlines the long-term effect of sexual abuse on sexual abused victims with emphasis on effective counseling implication for practicing counselors in dealing with sexually-abused clients. The paper also outlines some health issues experience by sexually-abused victims. Recommendations are highlighted among which are: further research should be conducted to measure the impact of counseling therapies on sexually-abused victims. Suggestions highlighted include: awareness campaign should be emphasis to let the victims realize that they need to go to the counselor for help.

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### **Introduction**

Due to the increase in the incidence of sexual abuse among children and adolescents alike, there are demands for a better understanding of the effect of such abuses (on the victims). Sexual abuse involves sexual activity forced on a child by either an adult or an older, more powerful child. Sexual abuse interrupts normal sexual development in children and forces them to deal with intensive and pensive thoughts, feelings and experiences they are neither looking out for nor are they ready for as they are often overwhelming emotionally, physiologically and physically. Because the victims are not powerful enough to stop the abuse or are not old enough to understand what is happening, they may suffer emotional damage even if there is no physical damage. Sexual abuse can occur without intercourse. Exposure to adult sexual materials such as movies, pornography or sexual activity may be damaging. The abuser causes further emotional damage to children by making them keep the abuse a top secret that should not be divulged. The suppressed secret then becomes a source of isolation, withdrawal and shame and this extremely emotional situation undermines the child's sense of self-worth and their ability to reach out to get help. Children need help to begin to feel safe in their world again and to help them recognize and deal with their feelings about what might have happened to them. The effects of abuse may take the following forms:

- Confusion: where victim might have mixed-up feelings about what happened to them and about what might happen after they had told the family of what had happened (to them);
- Guilt: obsessed by a feeling of being punished for having committed a heinous offence;
- Fear: a foreboding feeling of danger lurking around the victim most of the time;
- Grief: nursing a sense of significant loss, probably of self-prestige;
- Anger: feeling an intense or uncontrollable outrage against a probable source of danger, especially if the subject resembles the alleged sex abuser;
- Helplessness: nursing a sense of inadequacy in the face of challenges likely to be posed by someone considered stronger than them;

- Depression: Recoiling into their small world due to feeling of being let down by society; and/or nursing hatred for society generally.

Children who have been sexually abused often continue to suffer even after the abuse has ended. Some of the psychological harm will be obvious to family members, but some of it will not. They may lose interest in school, friends and activities. Depending on how serious the abuse is, and, depending on the nature of the child, these feelings may show up in several ways. For example, there may be physical complaints, sleeplessness, distorted eating habits, irrational fears, an inability to concentrate in the child's schoolwork. Even if there are no symptoms, it does not mean that the child does not need help; It may just mean that there are no outward signs of the abuse.

Counseling will help both the victim and family through explaining those things that are bothering them the most, one small step at a time, so the whole experience is easier to handle and less frightening. Our natural impulse is to want to 'put the abuse behind us' where we can forget about it or even deny that it ever happened. This is why those who experience child abuse may have problems or symptoms they do not understand - while the sexual abuse was taking place and after it might have ended. Counseling can free them from the effects of the past so that they can enjoy happier lives in the future.

Child sexual abuse is a pervasive public health problem that affects us all directly or indirectly. Child sexual abuse can cause many short- and long-term struggles for victims, offenders, families, communities, and larger social systems. There is hopeful evidence that rates of child sexual abuse, as well as other forms of child maltreatment, are declining. However, there is equally concerning evidence that the rates of child sexual abuse may not be fully known because of significant barriers victims and community leaders' face in reporting crimes.

### **The Sexual Abuse**

Sexual abuse does not have to involve penetrating, force, pain, or even touching. If an adult engages in any sexual behavior (looking, showing, or touching) with a child to meet the adult's interest or sexual needs, it is sexual abuse. It also includes the manufacture, distribution and viewing of child pornography. Ratican (1992) defines childhood sexual abuse as any sexual act, overt or covert, between a child and an adult (or older child), where the younger child's participation is obtained through seduction or coercion. This type of coercion by an adult, whom the child often loves, can result in long-term emotional trauma that can last into adulthood. All sexual touching between an adult and a child is sexual abuse. Any behavior, which results in touching of the sexual or other intimate parts of the child for the purpose of sexual gratification of the child and/or adult, is a sexual abuse. It includes touching by the child and/or adult without or with clothing. Often, the sexual abuse occurs over time and may not be painful or cause physical injury to the child. The adult gets the child to participate by using rewards, threats, bribes and lying, and/or takes advantage of the child's trust. Irrespective of how childhood sexual abuse is defined it generally has significant negative and pervasive psychological impact on its victims. The majority of sexual abuse happens in childhood, with incest being the most common form (Courtois, 1996, as cited in Maltz, 2002). Sexual abuse is any sort of non-consensual sexual contact. Sexual abuse can happen to men or women of any age. Sexual abuse by a partner/intimate can include derogatory

name calling, refusal to use contraception, deliberately causing unwanted physical pain during sex, deliberately passing on sexual diseases or infections and using objects, toys, or other items (e.g. baby oil or lubricants) without consent and to cause pain or humiliation. Sexual abuse can be hard to define because of the many different forms it takes on, the different levels of frequency, the variation of circumstances it can occur within, and the different relationship that it may be associated with. Maltz (2002) gives the following definition: “sexual abuse occurs whenever one person dominates and exploits another by means of sexual activity or suggestion”. The sexual abuse can involve seduction by a beloved relative or it can be a violent act committed by a stranger.

### **The Long-Term Effects of Childhood Sexual Abuse**

The impact of childhood sexual abuse varies from person to person and from case to case. While the nature and severity of the sexual act may cause more serious impact, many other factors may influence the degree of damage the victim experiences. Among such factors, we have:

- **Depression:** there are many emotional and psychological reactions that victims of rape and sexual assault may experience. One of the most common of these is depression. The term “depression” can be confusing since many of its symptoms could also be experienced by people often considered normal. At some point or another, everyone feels sad or “blue”. This also means that recognizing depression can be difficult since the symptoms can easily be attributed to other causes. These feelings are perfectly normal, especially during difficult times. Depression has been found to be the most common long-term symptom among survivors. Survivors may have difficulty in externalizing the abuse, thus thinking negatively about themselves (Harman et al., 1987). Ratican (1992) describes the symptoms of child sexual abuse survivors’ depression to be feeling down much of the time, having disturbed sleeping patterns, and having disturbed eating patterns survivors often experience guilt, shame, and self-blame.
- **Stress and Anxiety:** are often long-term effects of childhood sexual abuse. Childhood sexual abuse can be frightening and cause stress long after the experience or experiences have ceased. Many times survivors experience chronic anxiety, tension, anxiety attacks, and phobias (Briere & Runtz, 1988, as cited in Ratican, 1992). A study compared the posttraumatic stress symptoms in Vietnam and adult survivors of childhood sexual abuse. The study revealed that childhood sexual abuse is traumatizing and can result in symptoms comparable from war-related trauma (McNew & Abell, 1995).
- **Flashbacks:** are when memories of past traumas feel as they are taking place in the current moment. These memories can take various forms: dreams, sounds, smells, images, body sensations, or overwhelming emotions. This relapse in to trauma experiences often seems to come from nowhere, and therefore blurs between past and present, leaving the individual feeling anxious, scared, and/or powerless. It can also trigger any other emotions that were felt at the time of the traumatic sex abuse.
- **Survivors often experience guilt, shame, and self-blame:** It has been shown that survivors frequently take personal responsibility for the abuse. When the sexual abuse is done by an esteemed trusted adult it may be for the children to view the perpetrator in a negative light, thus leaving them incapable of

seeing what happened as not their fault. Survivors often blame themselves and internalize negative messages about ideas, survivors tend to display more self-destructive behaviors and experience more suicidal ideation than those who have not been abused (Browne & Finkelhor, 1986). You might feel guilty about not having been able to stop the abuse, or even blame yourself if you experienced physical pleasure. It is important for you to understand that it was the person that hurt you that should be held accountable and not you.

- **Low Self-esteem:** The victim of sexual abuse may struggle with low self-esteem, which can be a result of the negative messages they received from their abuser(s) and from having their personal safety violated or ignored. Low self-esteem can affect many different areas of their life such as in relationships, career, and even health.
- **Intimacy and relationship:** it's possible that one's first experience with sex came as a result of sexual abuse. As an adult, intimacy might be a struggle at times. Some survivors experience flashbacks or painful memories while engaging in sexual activity, even though it is consensual and on their own terms. Survivors may also struggle to set boundaries that help them feel safe in relationships. Body issues and eating disorders have also been cited as long-term effects of childhood sexual abuse. Ratican (1992) describes the symptoms of child sexual abuse survivors' body image problems to be related to feeling dirty or ugly, dissatisfaction with body or appearance, eating disorders, and obesity. Survivors' distress may also result in somatic concern.

### **Some Health Issues Related to Sexual Abuse**

**Stress:** Cannon (1914) first described the fight-or-flight response as the complex physiological response that prepares the body for fighting or fleeing. The sympathetic nervous system responds to a stressor, suppressing the calming effects of the parasympathetic system. The hypothalamus in the brain secretes hormones that in turn influence the kidneys and the brain. The cascade of chemicals has a ripple effect on many parts of the body that include the respiratory, gastric, cardiovascular, endocrine, renal, and the immune systems. A major part of the brain/hormone/immune interaction, the hypothalamic-pituitary-adrenal axis, becomes involved and further influences physical and psychological functioning. The adrenocorticotropic hormone is released from the brain and anti-inflammatory steroids such as cortisol suppress the immune system. Ability for healing and even normal cell maintenance is reduced. With altered immune cell levels, the body has increased inflammation, susceptibility to infection, allergic response, and cell mutation. Natural killer cells, for example, whose job it is to correct the cell mutation of cancer, diminish in number. The effect is cumulative: The longer the stress is perceived, the greater the severity of imbalance.

**Early trauma changes the brain:** Murray and Lopez (1990) outline that when trauma and stress happen early in life, the effects are far more profound and long lasting. Biological brain development is influenced by genetics, nutrition, social interaction, and experiences. Almost no new brain neurons are formed after birth. There is, instead, a constant rewiring of the existing neurons. New connections are made and old connections are disconnected. This understanding of the plasticity of the brain is what drives rehabilitation after a stroke.

Trauma and early negative experiences effect the development and even structure of the brain. Women who were sexually abused as children show significantly diminished brain volume on the brain scans. The structure and function of the hippocampus (responsible for learning and memory), for example, are different when compared to individuals who weren't traumatized. The medial prefrontal cortex, amygdale, and other neural circuitry of the brain are also changed. The brain shows a sustained and pervasive stress response as the child grows, and this has a long-term effect on immune function. Brain wave patterns change. The brain's response to inflammation and healing is altered.

The biological changes in the brain: are even more profound if the abuse was early, pervasive, or severe. Psychological issues for this population often include anxiety, poor self-esteem, dysfunctional relationships, eating disorders, and with posttraumatic stress disorders (PTSD). PTSD results from a threat to self or others accompanied by "intense fear, horror, of selflessness," according to the Veteran's Administration National Centre for PTSD. Maladaptive coping such as denial is overused. Those with a history of childhood sexual abuse have increased reports of fear, anxiety, insomnia, headaches, aggression, anger, hostility, poor self-esteem, and suicide attempts. Higher rates of depression are reported. Depression has also been shown to be associated with impaired immune functioning. Increased cytokines (inflammation) and cortisol (stress) have been identified as mechanisms by which immune system function is impaired and related to depression. Incidences of dysfunctional relationships, intimate partner violence, and self-destructive behavior are higher.

Higher rates of some physical diseases: Such as sexually transmitted diseases, hepatitis, or pelvic inflammatory diseases, can be attributed to be common behavioral issues for this population that include promiscuity, substance abuse, and/or sexual dysfunction. But for those traumatized early in life, there exists a clear and increased risk of lung disease, ulcers, cardiac disease, diabetes, and cardiac disorders. The high incidence of inflammatory disorders, such as rheumatoid arthritis and allergies, is an example of the imbalanced immune system's overreaction. Prolonged stress and exposure to cortisol, for instance, cause wounds to heal slowly, indicating an under reacting immune system.

Autoimmune disease: the role of childhood sexual abuse in the development of autoimmune disease is worthy of special attention. Trauma in early childhood predisposes the individual to autoimmune disease to childhood trauma is a retrospective study of over 15,000 adults who were enrolled in the Adverse Childhood Experiences study. Autoimmune disease processes commonly seen in this fibromyalgia, Crohn's disease, irritable bowel syndrome, type 1 diabetes, and rheumatoid arthritis. Patients with a history of childhood sexual abuse may develop fibromyalgia and use outpatient health services and analgesics more frequently. Adult survivors of childhood sexual abuse also report increased pain associated with other medical conditions Cardiovascular diseases, such as arteriosclerosis and ischemic heart disease, are directly related to maladaptive immune function and inflammation and occur in higher rates in adult survivors of childhood sexual abuse. It's important to remember that any of these disease processes can occur in people who weren't sexually abused when they were children.

## **Empirical Review**

Kessler, et. al. (2004) identified common treatment decision-making practices of therapist treating adult survivors of childhood sexual abuse. Their study revealed that regardless of the treatment mode, the therapist found it important to assess the client presenting problems, the effects the abuse has on their current functioning, and how the client currently copes. Because clients often have trouble externalizing the abuse, therapists may need to work with client to increase their ability to accurately attribute responsibility. To help decrease levels of depression and anxiety, helpful goals for the survivor may be to increase their sense of control and increase their ability to accurately attribute responsibility where it properly belongs (Hartman et al., 1987). The therapeutic alliance is imperative to help counseling survivors feel safe. Childhood sexual abuse survivors often presented with symptomatic problems, feelings and behaviors that result from the abuse, rather than for the sexual abuse itself (Courtois 1988, as cited in Ratican, 1992). Feelings of fear or vulnerability may hinder the client from disclosing their childhood sexual abuse. Feinauer, et. al. (1996), conducted a study and it was revealed that the better a survivor is able to adjust to intimate relationships, the lower their depression scores are, despite the level of abuse they experienced. The authors suggest that positive intimate relationships may increase the survivors' feelings of safety; help them gain interpersonal experience; and experience reconnection. If the survivor is in a committed, long-term relationship, it is important for the survivor's partner to also become educated about the long-term effects of childhood sexual abuse and learn ways they can actively participate in the healing process.

### **Counseling Implications**

There are many important things for a counselor to consider when helping a survivor overcome long-term effects or symptoms of sexual abuse. The literature regarding the therapeutic process after disclosure has been made is limited and no specific treatment model is suggested (Kessler, Nelson, Jurich, & White, 2004). As sexual abuse is a frightening and occasionally life-threatening experience, the literature widely advocates the provision of psychosocial therapy and support services for survivors, and peripherally affected partners and family. In general, psychotherapeutic work involves task such as: defining and acknowledging sexual abuse; assisting in normalizing a client's symptoms and experience through psycho-education (e.g. dispelling rape myths), which may contribute to self-blame, guilt, shame, depression and anxiety; as well as working to increasing client confidence, coping skills and trust in others. Various psychotherapeutic interventions, particularly cognitive-behavioural and feminist therapies, have been documented to be particularly effective in the treatment of psychological, psychosexual and psychosomatic concerns associated with sexual abuse.

Accepting the survivor version of their sexual abuse experience is often therapeutic and helps strengthen the alliance (Pearson, 1994). It is important for the counselor to allow the client time to build feelings of trust, safety, and openness. Because sexual abuse is abusive in power by nature egalitarianism is stressed as an important factor. Velsor and Cox (2001) suggest it is vital to help survivor process, uncover, and express anger because anger can be used to help a client feel empowered, appropriately attribute responsibility, establish boundaries, and promote self-efficacy and power. They recommend that the counselor help the client reframe their anger in to an emotion they can use to help define their rights and needs, explore the convert norms for anger expression among women, and help survivors use their anger for productive action and behavior.

For survivors presented within 72 hours of experiencing sexual abuse, particularly rape, counselors note that decision-making assistance may be offered in assisting the client to report the crime to the police; highlighting the low rate of convictions, but importance of this period for detecting evidence (e.g. spermatozoa and genital injury) which may contribute successful prosecution. If client decides to report sexual abuse to the police, counselors also legally assist by the mandated recording of the client's consent; behavioural and psychological state information, to provide as evidence. In many parts of the world, counselors are also required to report incidents of sexual abuse to police that involve minors and individuals with cognitive impairment, as each are considered incapable of making accurate decisions regarding their well being. Counselors may also act as advocates for survivors undergoing medico legal examinations for sexual abuse, in the absence of an appointed advocate, family member or partner/friend. Finally, providing written information about STI, pregnancy and support services is an important counseling service to survivors of sexual abuse, especially when clients present in a distressed, disoriented or drug-induced state; all of which may reduce. Counselor should also support the encouragement of screening for STIs and unwanted pregnancy for survivors of rape, as these problems have been reported to be prevalent, even in low frequencies, [Acierno, et al 1999].

Ratican (1992) describes the sexual symptoms of survivors to often include sexualizing relationships, inappropriate seduction, difficulties with affection and intimacy, compulsive sexual behavior, promiscuity, problems concerning desire, arousal, and orgasm flashbacks, difficulties with touch, and sadistic/masochistic tendencies. A treatment designed for sexual healing often focuses on understanding how the sexual abuse influenced their sexuality, adjusting sexual attitudes, gaining a more positive sexual self-concept, decreasing negative sexual behaviors, learning how to cope with negative reaction to touch, and developing skills to positively experience touch and sexual intimacy (Maltz, 2002). Also counselors should note that assisting the client in gaining skills that will help them and develop supportive relationships, especially with a partner, is also considered an important goal in helping a survivor overcome some of the long-term effects of childhood sexual abuse. Helping the client gain skills that will help them better adjust to, enhance, and develop intimate relationships may be an important step in counseling a survivor of childhood sexual abuse. Counselors can help couples learn to integrate communication, choice, trust, respect, and equality into their intimate relationship (Maltz, 2002).

Another implication for counselors and counselor educations is to dispel myths regarding treatment of sexual abuse survivors. For example, practitioners may develop treatment plans for sexual abuse survivors that are not unlike treatment plans for clients diagnosed with posttraumatic stress disorders [PTSD]. The symptomatology of survivors and those that meet the diagnosis for PTSD differ. Survivors frequently report symptoms such as "sleep disturbance, difficulties in maintaining concentration, memory problems, irrational guilt, hyper-alertness, and an intensification of symptoms when a victim is exposed to situations or stimuli that resemble the original traumatic event" (Westbury & Tutty, 1999; Briere, 1989, p 9). However, care and discernment should be used making the distinction between a diagnosis of PTSD and other symptomatology that do not meet the diagnostic criteria (Kendall-Tackett, Williams, & Finkelhor, 1993). Rodriguez, Ryan, Rowan & Foy (1996) found that 14% of their 117 survivor clients "met full DSM-III criteria for a PTSD diagnosis at some point during their lives" (p. 943).

## Recommendations

1. Counselors should organize individual and group counseling for victims to consider their legal rights and what services are available.
2. Counselors should also support and advice them to seek for medical intervention quickly.
3. Counselors should help the victims on how to take care of themselves emotionally and physically.
4. Counselors should be trained and re-trained and educated to provide effective counseling treatment for sexual abuse victims.

## Suggestion

Further researches should be conducted to investigate the perception of culture and religion perception on childhood sexual abuse victims.

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## Appraisal of E-Accounting Practices among Small Scale Businesses in the South Western Nigeria

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### ABSTRACT

*In spite of the significance of E-Accounting and its widespread use, there has been relatively little research in the area. This study therefore contributes to filling the gap by exploring the adoption and use of E-Accounting by the Nigerian Small Scale Businesses (SSBs). The research design is based on a survey methodology using a sample of systematically selected SSBs in the South Western Nigeria. Data were collected through questionnaire administered on a sample of 302 registered SSBs in the South West of Nigeria to elicit information on their perceptions of factors influencing adoption of E-Accounting practices and the effects on their service delivery. The findings revealed that Small Scale Businesses in the sampled area were aware that e-commerce requires use of accounting software including Peach three, Sage, Excel, Quick Book, Small business Manager (software) to generate their financial information. The results of data analysis and hypotheses tested showed that e-accounting will significantly improve accounting procedures in the Nigerian SSBs given the coefficient of determination ( $R^2$ ) of 0.9430 and supported by high value of Adjusted ( $R^2$ ) significant at 0.9415. Also, ICT capacity of Employee, cost of ICT Equipment, Lack of ICT Infrastructure and incomplete Government Regulation for E-Commerce are seen as the major factors for e-accounting adoption by SSBs in Nigeria with the highest mean scores of 3.72, 3.56, 3.42 and 3.36 respectively. The study is expected to be of great importance to SSBs development in the wake of e-commerce and financial inclusion policy of Nigerian government.*

**KEYWORDS:** E-Accounting; SSBs; Accounting Information System; Nigeria

### 1. Introduction

The adoption of e-accounting as concluded in the study of Spremic and Jacovic (2012) would ensure proper accounting practices as good accounting practices have several implications for accountants, entrepreneurs and small business managers. This is because accounting systems are responsible for recording, analysing, monitoring and evaluating the financial condition of companies, preparation of documents necessary for tax purposes, providing information support to many other organizational functions, and so on as averred by Amidu, Effah and Abor, (2011).

Accounting transcends record making machinery to taking vital economic and investment decisions for owners and stakeholders (Akinduko 2000; Oladejo 2008). For instance, Oladejo (2008) argued that accounting skill and procedure are necessary for successful entrepreneurial and small business development in Nigeria. The major reason for keeping accounts according to Akinduko (2000) is the need for the business man to know how much he owes, how much he owns, how much profit he has made and what his financial position is at a given time. Authors view development of accounting system by small scale businesses (SSBs) differently. For instance Ismail and King (2007) viewed the development of a sound accounting system in SSBs as a function of owners' level of accounting knowledge and skills while Lalin and Sabir (2010) saw the main drivers why SSBs prepare financial statements as pressure from regulatory authorities. Some authors have argued that small and medium businesses use professional accounting firms for preparation of annual reports and for other accounting needs (Keasy & Short, 1990; Bohman & Boter, 1984).

Amidu, Effah and Abor, 2011 observed that like many other industries, the accounting industry changed with the arrival of personal computers. Further Spremic and Jackovic (2012) observed that initially SMEs had no option but to adopt manual systems since the mainframe accounting system was not within their means. However, with the introduction of Personal Computer (PC)-based Accounting Systems, both the computer hardware and the accounting software have become cheaper, creating an opportunity for SMEs to adopt e-accounting. According to Soudani (2013), the advent of the information technology era has radically changed the way of accounting process to provide efficient decision making and it forced companies to react to the new changes in order to remain competitive. A computerized accounting system is able to handle financial data efficiently, but the true value of an accounting system was that it was able to generate immediate reports regarding the company. E-Accounting according to Stefanou (2006) is a system that relies on computer technology for capturing and processing financial data in organizations.

Small Scale businesses are active and dominant of the economies of many developing countries. They have been high on the developmental agenda of many African countries. Ezejiofor, Emmanuel and Olise (2014) observed that SSBs has outnumbered all the other forms of business and could be found almost everywhere across the country. Given the needed financial support small businesses ensure income stability, growth and development as averred Alabi, Alabi and Ahiawodzi, (2007). In spite of their numbers, and significance, recent studies show that 60% of the SSBs fail within the first five years of operation (Boachie-Mensah and Marfo-Yiadom 2005). Further is the observed difficulty at accessing finances from the financial institutions by SSBs due to lack of proper financial records as a requirement (William *et al*, 2008). The difference in operation technique between small and large firms may influence deficit in accounting method employed in generating financial information as observed by Abdulrasheed, Khadijat and Oyebola, (2012). For instance Ezejiofor et al (2014) identified the different principles that firms of whatever size may employ to be inventory techniques, depreciation method, method of accounting for income taxes and revenue recognition procedures.

The results of the recent study of AL-Refae (2012) showed that using e-commerce affects the design of Accounting Information Systems and that using e-commerce provides appropriate accounting information

about available substances at the right time, at a credible and stable degree for decision makers. Further, the study of Amidu, Abor and Abor (2011) showed that e accounting adoption has the tendency to reduce cost, enhance clerical works, provide sufficient space to store data and process information for management decision in a timely manner. Despite the significance of E-Accounting and its widespread use, there has been relatively little research in the area. For instance, Stefanou (2006) noted that a number of authors in various countries share similar views on the lack of research in the area of Accounting Information System (AIS). However, the results of the work of Irefin, Abdul-Azeez and Tijani, (2012) revealed that cost is a major barrier for Small and Medium Business in adopting ICT. How e-accounting practices fit well into accounting system of small businesses and the extent of its adoption call for empirical investigation in the Nigerian context.

Existing studies of Amidu et al (2011), Al Refaee (2012), Irefin et al, (2012) and Oladejo (2014) suggest there are several factors that determine whether an organization adopts e-accounting or not. Such factors have created a division between e-accounting adopters and non- adopters. Although the proliferation of accounting software and personal computer (PC) has created an opportunity for SSBs to adopt e-accounting, it also creates problems for innovation adoption pointing to a study that appraise the extent of e-accounting usages by small scale businesses in a developing economy like Nigeria. Further, a study that provides more in-depth information about the reasons why some SSBs are reluctant to adopt e-accounting practices for recording and presenting financial and business activities becomes imperative.

This study therefore contributes to filling the gap by appraising the adoption and use of E-Accounting practices by Small Scale Businesses (SSBs) in the south western Nigeria.

### **Research Questions**

- Is there any relationship between e-accounting and SSBs accounting system?
- How does e-accounting influence SSBs accounting system and performance?
- What are the determinants of e-accounting adoption by the Nigerian SSBs?

### **Research Hypothesis**

H01: There is no significant relationship between E-accounting practices and small business performance

H02: E-accounting does not significantly influence accounting procedure and small business performance

### **Literature review and conceptual clarifications**

#### **Economic contributions of Small Scale Businesses**

Small scale enterprises have been described to be catalysts for economic growth and national development both in developed and developing countries. In almost all economies, small businesses are vital for sustained growth. A high failure rate is a huge negative for an economy, especially a developing economy with limited capital such as Nigeria (Okpara and Wynn 2007). Small businesses are active and dominant of the

economies of many developing countries. They have been high on the developmental agenda of many African countries. The colossal contributions that the SSEs have made to the economic development of various countries of the world especially the developing countries cannot be exhausted. Therefore Nigeria as a developing country cannot close eyes from the potentials of SSEs. In this wise, according to Asaolu (2004) a viable small scale enterprises sector in a country like Nigeria is in dire need of self-reliant industrial strategy to turnaround her down-trodden economy. The implication of these issues on SSEs development calls for the attention of both the policy makers and academicians. Small businesses are seen to be sacrosanct to stimulating entrepreneurial development, contributing to the transformation of the traditional sector into a modern one, creation of employment, reducing rural and urban migration and serving as a training ground for managerial skill acquisitions.

SMEs are active and dominant of the economies of many developing countries. They have been high on the developmental agenda of many African countries. Immeasurable roles of small and medium enterprises in the development of a nation have been widely documented in the literature. According to Ademola, Samuel, Ifedolapo (2012), small scale enterprises are catalysts for world's economic growth and development which have dominated the industrial sector of both developed and underdeveloped countries. From the study of Asaolu (2004) small scale enterprises are considered to have special importance to the economy of a country such as creation of employment opportunities at relatively lower cost and utilization of unskilled labour in large numbers, reduction of regional economic imbalance and rural urban shift thus reducing the rush to the few urban centres, contribute to the industrialization of the rural areas, mobilization and utilization of resources that would otherwise have been lying idle. More importantly SSE, adopt 100% of local raw materials thus increasing the nation's foreign reserves and earnings.

### **Accounting System for SSBs**

There is a consensus among authors of accounting that accounting plays a critical role in the success or failure of contemporary business institutions as it is responsible for recording, analysing, monitoring and evaluating the financial condition of companies, preparation of documents necessary for tax purposes, providing information support to many other organizational functions, and so on (Amidu, Effah and Abor, 2011). For reckoning, the studies of Olatunji 2000; Safiriyu, 2012 discovered that lots of small scale enterprises shut down before they can achieve their goals as a result of poor management arising from inadequate weak and undependable accounting and financial information. Poor accounting records are very common with small businesses as observed by Oladejo 2008. According to Ikechukwu (1993), keeping records is crucial for the successful performance of a business.

Studies have also suggested that comprehensive record keeping system makes it possible for entrepreneurs to develop accurate and timely financial reports that show the progress and current condition of the business. Accounting procedure is programmatic, more numeral than principle and more susceptible to change, they often represent alternative way of applying the same principle (Zoubi & Al-Khazali 2011). Therefore accounting serves as measuring tool for evaluating business performance and is desirable for all classes of business including small scale businesses. The weak approach of small businesses does not foreclose

the fact that they all prepare accounts of their business. This is because financial records are often required by financial institutions as prerequisite for credit access by small businesses. Most of small businesses in Nigeria have taken accounting system very serious now that government entrepreneurship programmes demand for accurate financial records to attract finance from the government. Without accounting system in the view of Spremic 2009, it will be very difficult for SMEs to determine performance, identify customer and supplier account balances and forecast future performance of the organisation.

### **E-Accounting and Small Scale Business Performance**

Studies on Accounting Information System (AIS) confirm strong and positive influence of e-payment system as a component of e-accounting and has become subject of concerns to the accountants and players in commerce (Kogan et al., 2009; Al-Refaee, 2012; Spremic and Jacovic 2012). For instance Amidu, Effah and Abor (2011) described e-accounting to be any accounting system that depends on Information and Communication Technology (ICT) for performing its information system functions. The primary purpose of any accounting information system (AIS) as concluded Stefanou, (2006) is the collection and recording of data and information regarding events that have an economic impact upon organisations and the maintenance, processing and communication of such information to internal and external stakeholders. Hotch, (1992) believed that when organizations adopt e-accounting, they usually discover that even though computerized accounting systems handle financial data efficiently, their true value is that they are able to generate immediate reports regarding the organization.

The study of Spremic, and Jakovic, (2012) concluded that Accounting Information System (AIS) usage had effects on the business efficiency. Furthermore, Kogan et al., (2009) observed that accountants would now operate in an increasingly networked world with most organizations being on the net and thus accountants have access to the internet anywhere they find themselves either at work or home. This suggests that the era of waiting to get to office to generate information on business performance is over. Also in a study of 148 respondents in Nigeria, Okoli (2011) links proper record keeping and profitability of small scale enterprises and assert that due to inadequate record keeping, the small scale operators could not assess their performances effectively. He argued that in order to enhance the profitability of small scale enterprises and their continuity, there is need for adequate record keeping which will help the proprietors to keep track of the performance of these enterprises.

In assessing the financial statements of micro and small enterprises, Aryeetey et al. (1994) claims the existence of practical problems in deriving records and figures that make up the statements. One reason for that is because for almost all enterprises the owners keep all the records in memory and hence the lack of records of all kinds –sales, marketing, accounting, credit borrowing from lending institutions, staff costs, owners emoluments, etc. Ezejiofor et al 2014 concluded that a number of small scale business kept no records pertaining to their financial operations and finance while some employed professional accountants to keep proper accounting records of their business. The accounting records keeping contribute to the performance of small scale business hence small scale business not actually kept proper accounting records of their activities.

Evidences from empirical studies by AlRefaee (2007), Ritches and Brindley (2005), Oladejo, (2014) confirm the positive effect of information and communication technologies (ICT) on firm performance in terms

of productivity, profitability, market value and market share, process efficiency, service quality, cost savings, organization and process flexibility and customer satisfaction. However some factors hinder SSBs from exploiting the benefits of e-accounting by SSBs in Nigeria. For example, Irefin, Abdul-Azeez, and Tijani, (2012) investigated the factors that affect ICT adoption by small and medium enterprises in manufacturing industries in south-western Nigeria and identified factors preventing many SMEs from adopting ICT to be Cost; Business Size; availability of ICT Infrastructure; Government support; and Management support. The results indicate that Cost is a major barrier for Small and Medium enterprises in adopting ICT.

There are number of studies that discuss adoption of e-accounting in SMEs in developed and developing countries (Oladejo, 2014), (Amidu et al, 2011), Irefin et al 2012, Soudani (2013), Moqbel, (2014), For instance Oladejo (2014) assessed the influence of e-accounting practices on the accounting procedure using the sampled Nigerian deposits money banks (DMBs) for analysis. Findings revealed that DMBs put in place accounting softwares to generate their financial information. The results of data analysis and hypotheses tested showed that e-accounting will significantly improve accounting procedures in the Nigerian banks in terms of better cash management, cost saving, improved audit trails, convenient financial reporting and security. The result of the study of Soudani (2013) indicates that implementation of e-accounting system at small scale businesses caused to effect on financial performance.

The Study of Moqbel, (2014) examined the effect of accounting information systems for listed companies in the services sector in the Amman Stock Exchange on e-commerce using three main aspects: the presence accurate accounting information system imposes on companies that the development of its methods to handle e-commerce, the effects on accounting information systems under the E-commerce will relate to influence the components of accounting information systems and the effects on accounting information systems under the E-commerce will change the resources of the physical and human resources companies. Lal (2007) investigated the adoption of ICT in SMEs in Nigeria and found that one of the major factors inhibiting ICT diffusion and intensive utilization is poor physical infrastructure. Dutta et al (2003) averred that in developing countries some of the ICT challenges include legal and regulatory issues, weak ICT strategies, lack of research and development, excessive reliance on foreign technology and ongoing weaknesses in ICT implementation.

### 3. Methodology

This study relied on a sample of randomly selected SSBs in the southwest of Nigeria. The Taro Yamane's formula:  $n = N / 1 + N(e)^2$  was used to select sample of 378 SSBs out of 6928 registered SSBs in the six states of south western Nigeria according to National Bureau of Statistics report of 2012 shown in table 1 below. Out of the 378 questionnaires sent out, 302 were received, representing 79.89%. The resulting response rate was expected for a survey of this type considering that empirical studies involving SSBs have been known to generate far lesser percentage response rates. The sample included both users and non-users of e-accounting systems. Data collected from SSBs adopting e-accounting were analysed to determine the degree of usage using the appropriate statistical tools like descriptive analysis to evaluate adoption and use of E-Accounting by the Nigerian Small and Medium Businesses (SSBs). Further inferential statistics was used to test the research

hypotheses. Correlation model was used to evaluate the relationship between E-accounting system and business performance while ANOVA to determine significance level of responses on extent to which E-accounting practice influence accounting system and small business performance.

**Table 1: The Number of small and Medium Enterprises in the South West of Nigeria**

State	Small Enterprises	Scale Enterprises	Medium Enterprises	Total	percentage	Rating
Ekiti	280		5	285	3.81	5 <sup>th</sup>
Lagos	4146		389	4535	60.68	1 <sup>st</sup>
Ogun	506		40	546	7.30	4 <sup>th</sup>
Ondo	596		18	614	8.22	3 <sup>rd</sup>
Osun	100		0	100	1.34	6 <sup>th</sup>
Oyo	1300		94	1394	18.65	2 <sup>nd</sup>
Total	6928		546	7474	100.00	

SOURCE: National Bureau of Statistics (NBS) 2012

#### 4. Results and Discussions

##### Analysis of Questionnaire Responses

As shown in Table 2, out of the three hundred and seventy eight (378) copies of questionnaires distributed to the sampled SSBs in south western of Nigeria, three hundred and two (302) were returned and found useful for the study representing 79.9% of the total questionnaire distributed.

**Table 2: Analysis of Questionnaire Responses**

Questionnaire	Responses	Percentage (%)
Returned	302	79.9
Not returned	76	20.1
Total	378	100

Source: Authors compilations (2016)

##### SSBs Characteristics and E-accounting Adoption

Table 3 showed the analysis of SSBs operations and E-accounting adoption of the sampled respondents. It disclosed that, 63.25% of respondents were male and 36.75% were females. The result of the

analysis show that the level of entrepreneurial by male through their participation as Small scale business owner is higher than female participation in the southwestern Nigeria. The result of this analysis negates research result of (Said, Abdulhalim, Yusuf & Smith, 2014) which concluded that female is the most successful entrepreneurial.

The Table also revealed the educational level of the sampled respondents, indicating that above half 51% of the respondent are Hnd/B.sc holder, 36% of respondents are NCE&OND holders, while 13% of the sampled respondents hold second degree-master and professional qualification. This showed that the research work focus on small scale business with different categories of educational level. The Table also showed the business classes of the sampled respondents, which revealed that most sampled SSBs (48.68%), are into manufacturing, followed by wholesale and retail traders with 29.80% while 21.52% involved in General Service. The result of this research indicates that the research work focus on three classes of business which comprises of manufacturing, wholesale and retail traders and General Service. In the nutshell most Small Scale entrepreneurial involve in manufacturing and production good at small scale level. Table 3 also displayed analysis of the E-Accounting Status of sampled SSBs. It discloses that, 88.74% of sample SSBs adopt E-Accounting system while 11.26% did not adopt E-Accounting system which indicate that most small scale business in the southwestern Nigeria adopt e-accounting system. Further analysis of sample SSBs owner experience on business practice show that most 72.52% of the respondent has 11-15yrs above while the least business experience of the sample SSBs owners is 6-10yrs with 27.48%. The result showed that the entire sampled SSBs owners had business experience of maximum of 15yerars above with minimum job experience of 5yerars which the study used to generate a reliable result.

**Table3: Descriptive analysis of SSBs Characteristics and E-accounting adoption**

Variable	Freq.	Percent	Cum.
<b>Gender:</b>			
Male	191	63.25	63.25
Female	<u>111</u>	<u>36.75</u>	100.00
Mean; <b>.6324503</b>	<u>302</u>	100.00	
Std.Dev; <b>.4829381</b>			
<b>Educational background:</b>			
NCE&OND	109	36.00	36.42
HND&BSC	152	51.00	86.42
MBA & Other	<u>41</u>	<u>13.00</u>	100.00
Professional	<u>302</u>	<u>100%</u>	
Mean; <b>1.771523</b>			
Std.Dev; <b>.670288</b>			
<b>Business Class:</b>			
Manufacturing	65	21.52	21.52
W-sale & Retail TD	147	48.68	70.20
General Service	<u>90</u>	<u>29.80</u>	100.00
Mean; <b>2.082781</b>	<u>302</u>	100.00	
Std.Dev <b>.7127935</b>			

<b>E-Accounting Status:</b> Adopters Non- Adopters <b>Mean; .1125828</b> <b>Std.Dev; .3166067</b>	268 <u>34</u> 302	88.74 <u>11.26</u> 100.00	88.74 100.00
<b>Business Experience :</b> <b>6-10</b> <b>11-14</b> <b>15 &amp; Above</b> <b>Mean; 2.066225</b> <b>Std.Dev; .7832879</b>	83 116 <u>103</u> 302	27.48 38.41 <u>34.11</u> 100.00	27.48 65.89 100.00

**Source:** Computations and Output of STATA11 based on Researcher's Field Survey, (2016)

### Factors for E-accounting adoption by the Nigeria Small Scale Business (SSBs)

Analysis in table 4 displayed the mean scores of sampled small business owner's perceptions of the influencing factors for E-accounting adoption. Table showed that small business owners opined that all these identified Variable such as "Associated Benefit (ASB)," "ICT capacity of Employee (ICTCE)," "Financial Availability (FA)", "Cost of ICT Equipment (COICTE)" "Business Size (BS), Lack of ICT Infrastructure (LICTIF), Limited ICT Literacy (LICTL ), Non-Integration of ICT into Business Processing (NIICTBP) and Incomplete Government Regulation for E-Commerce (IGRFE) influenced adoption of e-accounting by SSBs with mean score of (2.26, 3.72, 2.1, 3.56, 2.24, 3.42, 2.0, 1.39 and 3.3) respectively. In the nutshell, ICT capacity of Employee (ICTCE), cost of ICT Equipment, Lack of ICT Infrastructure (LICTIF) and Incomplete Government Regulation for E-Commerce (IGRFE) are seen as the most major factors for e-accounting adoption by SSBs in Nigeria with the highest mean scores of 3.72, 3.56, 3.42 and 3.36 respectively. While Non-Integration of ICT into Business Processing (NIICTBP), Limited ICT Literacy (LICTL) and Financial Availability (FA) were considered as the least factors of consideration for e-accounting adoption by SSBs with low mean score of 1.39, 2.0 and 2.1 respectively.

**Table4: Mean score Analysis of Influencing Factors for E-accounting adoption by the Nigeria Small Scale Business (SSBs)**

S/N	Influencing Factors	MEAN (X)	Std.Dev	Min	Max	RANK
1	Associated Benefit (ASB)	2.258278	1.143891	1	5	5 <sup>th</sup>
2	ICT capacity of Employee (ICTCE)	3.721854	1.315176	2	5	1 <sup>st</sup>
3	Financial Availability (FA)	2.099338	.9866549	1	5	7 <sup>th</sup>
4	Cost of ICT Equipment (COICTE)	3.559603	1.044567	1	5	2 <sup>nd</sup>
5	Business Size (BS)	2.238411	1.562469	1	5	6 <sup>th</sup>

6	Lack of ICT Infrastructure (LICTIF)	3.417219	1.429902	1	5	3 <sup>rd</sup>
7	Limited ICT Literacy (LICTL )	1.986755	.7688863	1	5	8 <sup>th</sup>
8	Non-Integration of ICT into Business Processing (NIICTBP)	1.387417	.5272387	1	4	9 <sup>th</sup>
9	Incomplete Government Regulation for E-Commerce (IGRFE)	3.360927	1.324017	1	5	4 <sup>th</sup>

**Source:** Computations and Output of STATA11 based on Researcher's Field Survey, (2016).

### **E-Accounting Practices by SSBs**

Table 5 showed E-Accounting Practices by the sampled small scale business that adopt. Out of the three hundred and two (302) sampled SSBs only two hundred and Sixty eighty (268) adopt e-accounting system, which signify that (88.74%) are the adopters of e-accounting. Based on the analysis in table 5, all the (268) sample small scale business made use of computer in their operation thus emphasising that use of computer enhances business performance and provides accurate performance evaluation. Also the (94.02%) of the sample SSBs made use of internet to improve their business operation by providing timely quality decision making and financial reporting through online reporting. Further,(77.99%) of the sampled SSBs made use of accounting software. Also different types of accounting software usage by the sampled SSBs comprise Peach three, Sage, Excel, Quick Book, Small business Manager (software). Analysis showed that (27.61%) used Peachtree accounting system, (7.46%) Sage (44.40%) Excel (15.30%) Quick Book, (1.12%) Small business Manager (software) while (4.11%) other accounting software. In the nutshell majority of the sampled SSBs made use of excel and peach tree accounting software or package to improve their e-accounting practices. Lastly (77.99%) of the sampled SSBs are Full Adopter of e-accounting based on the usage of accounting software while (22.01%) of the sampled SSBs are Partial Adopter because they only make use of computer and ICT services.

**Table5: Response on E-accounting practice by the Sampled SSBs**

<b>Use of Computer in Operation:</b>		<b>Freq</b>	<b>Percent</b>
Yes:	268	268	100%
No:	-		
Total :	<b>268</b>		

### **Use of Internet in Operation :**

Yes:	252	252	94.02%
No:	16	16	5.98%
Total :	<b>268</b>		

**Usage of Accounting Software :**

Yes:	209	209	77.99%
No:	59	59	22.01%
Total :	<b>268</b>		

**Types of Accounting Software used :**

Pea three:	74	74	27.61%
Sage:	20	20	7.46%
Excel:	119	119	44.40%
Quick Book:	41	41	15.30%
Small business Manager (software)	3	3	1.12%
Others :	11	11	4.11%
Total :	<b>268</b>		

**Extent of E-accounting usage by Sampled SSBs:**

Full Adopters:	209		
Partial Adopters:	59	<b>209</b>	77.99%
Total :	<b>268</b>	<b>59</b>	22.01%

**Source:** Authors compilations (2016)

**Perception of SSBs on E-Accounting Impact on business Performance (BP)**

Table 6 revealed that majority of the respondents (77.62%) of the total respondents agreed, (11.19%) disagreed while (11.19%) neutral that E-accounting System services are highly efficient and will improve quality of service of small scale business. Base on the analysis it can be concluded that E-accounting System services are highly efficient and will improve quality of service of small scale business in South-western Nigeria. Similarly, the table indicates that large number of respondents (94.67%) of the respondents agreed that E-accounting System make it easier for SSBs to evaluate the accounting system while (9.33%) disagreed. Also, the table 6 indicates that a large number of respondents (77.99%) agreed that E-accounting System improved

financial Reporting Quality while (22.01%). It can be concluded that E-accounting System improved financial Reporting Quality of business in South-western Nigeria. Further, 78.36% agreed while (7.36%) disagreed that E-accounting System is very flexible and convenience to use, therefore E-accounting System is very flexible and convenience to use by the Sampled SSBs in South-western Nigeria. Furthermore, 86.19% of the respondents agreed, (3.36%) were undecided while (10.45%) disagreed that High cost is one of the barrier for E-accounting practice by SSBs. Hence, this showed that majority of the sampled SSBs believed that High cost is one of the barriers for E-accounting practice by SSBs in South-western Nigeria.

Similarly, 7.47% of the respondents agreed that E-accounting System does not positively influence cash management of SSBs, 79.85% disagreed to it while 12.68% were undecided. As a result of the analyses, E-accounting System positively influences cash management of SSBs in South-western Nigeria. Likewise, 85.8% of the respondents agreed while 14.92% disagreed that E-accounting System improved Decision Making. Hence, majority of the sampled SSBs believed that E-accounting System improved Decision Making in any business.

Also, 11.57% of the respondent agreed, 85.46% disagreed while 2.97% were undecided on the opinion that E-accounting System does not enhance profitability of SSBs. analysis reveal that E-accounting System enhances profitability of SSBs in Southwestern Nigeria. Finally the result showed in table 6 revealed that 64.92% of the respondents agreed while (35.08%) that Use of E-accounting System will facilitate high degree of accurate record keeping. Based on the result of analysis, sampled SSBs embrace e-accounting practice either fully or partially.

**Table6: Distribution of Responses Perception of SSBs Owner on E-Accounting Impact on BP**

QUESTIONS	SA	A	D	SD	U	TOTAL
E-accounting System services are highly efficient and will improve quality of service	98 (36.57)	110 (41.05)	0 (0)	30 (11.19)	30 (11.19)	268 (100)
E-accounting System make it easier for SSBs to evaluate the improvement in accounting system	198 (73.88)	45 (16.79)	0 (0)	25 (9.33)	0 (0)	268 (100)
E-accounting System improved financial Reporting Quality	209 (77.99)	0 (0)	0 (0)	0 (0)	59 (22.01)	268 (100)
E-accounting System is very flexible and convenience to use	210 (78.36)	0 (0)	20 (7.46)	0 (0)	38 (14.18)	268 (100)
High cost is one of the barrier for E-accounting practice by SSBs	220	11	0	28	9	268

	(82.09)	(4.10)	(0)	(10.45)	(3.36)	(100)
E-accounting System does not positively influence cash management of SSBs	12	8	168	46	34	268
	(4.48)	(2.99)	(62.69)	(17.16)	(12.68)	(100)
E-accounting System improved Decision Making Quality	206	22	20	20	0	268
	(76.87)	(8.21)	(7.46)	(7.46)	(0)	(100)
E-accounting System does not enhance profitability of SSBs	31	0	229	0	8	125
	(11.57)	(0)	(85.46)	(0)	(2.97)	(100)
Use of E-accounting System will facilitate high degree of accurate record keeping.	133	41	54	40	0	125
	(49.62)	(15.30)	(20.15)	(14.93)	(0)	(100)

**Source:** Computations and Output of STATA11 based on Authors' Field Survey (2016).

### Test of Hypothesis

Table 7 showed the colinearity of the variables, that is the relationship between the study variables. The result of analysis revealed that there was a strong positive correlation between e-accounting system and business performance based on perception of the sampled SSBs that adopt e-accounting system as identified by Q2,Q3,Q7,Q8 &Q9 which was statistically significant, ( $r_s = 0.5261; 0.7653; 0.7035; 0.7338; 0.4885$ ,  $P < 0.000$ ). these results implies that the increase in e-accounting practice will lead to increase in small scale business performance base on quality of financial Reporting, decision making and improved cost efficiency . This result indicates that there is significant relationship between e-accounting system and business performance thus rejecting the null hypothesis stated.

**Table7: Correlation Analysis between E-accounting system and business performance.**

Number of Obs: 268						
Correlation Coefficient the variable:						
(r = 0.5261; 0.7653; 0.7035; 0.7338; 0.4885)						
Prob >  t  = 0.0000						
	Q1	Q2	Q3	Q5	Q6	Q8
Q1	1.0000					
Q2	0.5261	1.0000				
Q3	0.7653	0.6037	1.0000			
Q5	0.7035	0.7228	0.8856	1.0000		
Q6	0.7838	0.5840	0.7838	0.7269	1.0000	

<b>Q8</b>	<b>0.4885</b>	<b>0.3361</b>	<b>0.3078</b>	<b>0.3348</b>	<b>0.5695</b>	<b>1.0000</b>
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**Source:** Computations and Output of STATA11 based on Authors' Field Survey (2016).

#### **Analysis of Variance Result for E-Accounting practice Impact on business performance**

The model undertakes an investigation into the impact of E-accounting practice on performance of SSBs in Southwestern Nigeria. Based on the result of analysis presented in table 8 a unit increase in Q2, Q3, Q8 and Q9 responses over the study period resulted in a 3.89583333 percent, 46.1983827percent, 2.57575758 percent and 21.1108984percent increase on the effect of E-accounting system on business performance respectively. Individually, the questions are statistically significant since their Prob>F 0.0000 with F-value 37.41, 443.63, 12.37 and 67.57 respectively. Also the statistical properties of the model revealed that, collectively the model is statistically significant since prob>F is 0.0000 with F-value 614.88. Further, given the coefficient of determination ( $R^2$ ) of **0.9430** and supported by high value of **Adjusted ( $R^2$ )** significant at **0.9415**, the result indicates that independent variables incorporated into this model have been able to reveal that E-accounting system has significant impact on the business performance. Due to the observed level of significance and e-accounting practice impact on business performance through questions tested which make all the figures to be statistically significant with the probability of  $F = 0.000$  we reject null hypothesis stated earlier and accept the alternative hypothesis

**Table 8: Analysis of Variance Result for E-Accounting practice Impact on business performance:**

Number of obs = 268, R-squared = 0.9430					
Root MSE = .322703, Adj R-squared = 0.9415					
SOURCE	PARTIAL/SS	DF	MS	F VALUE	Prob>F
Model	448.219181	7	64.0313116	614.88	0.0000
Q2	3.89583333	1	3.89583333	37.41	0.0000
Q3	46.1983827	1	46.1983827	443.63	0.0000
Q8	2.57575758	2	1.28787879	12.37	0.0000
Q9	21.1108984	3	7.03696612	67.57	0.0000
Residual	27.0755952	260	.104136905		
Total	475.294776	267	1.78013025		

**Source:** Computations and Out-Put of STATA 11 based on Author's Field Survey ` (2016)

#### **5. Conclusion**

The study appraised the adoption and use of E-Accounting by the Nigerian Small Scale Businesses, analysed the influencing factors determining e-accounting adoptions by SSB and the effect on SSBs

performance. The results of the study showed that almost all the e-accounting adopter SMEs use the software for all aspect of accounting including receivables functions, accounts payables, inventory management, payroll, fixed assets management, bank reconciliation and cash management. The results of the study also revealed that majority of the SSBs were influenced by certain determining factors adopting e-accounting the major of which is IT Capacity of employees, cost of ICT equipment, ICT Infrastructure and incomplete government regulations for e-commerce. The adoption of e-accounting results improved accounting system variables and business performance.

### **Recommendations**

It is recommended that SSBs in Nigeria adhere to good and standard accounting principles in their operations, organize training for staff on technology proficiency and design a good e-accounting package for better accounting system. Further, Government should assist in ICT infrastructure development and update regulations for e-commerce for better small business performance that will engender sustainable development.

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## **EFL Policies & Programs in Mexican Public Primary Schools**

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### **Abstract:**

In this paper, based on the results of a national study on the teaching of English in primary public schools in Mexico coordinated by the author, as well as on information drawn from other sources and studies, the evolution and current situation of EFL in this country, is described and analyzed.

### **Key words:**

EFL, policies, programs, public, primary, schools, Mexico

### **INTRODUCTION**

Mexico has two English speaking countries as neighbors: The United States in the north and Belize in the south; has a major trade agreement with the US and Canada; its main economic partner is the US; a large proportion of Mexicans have at least one family member in the US; and the main (and in most cases only) foreign language taught in Mexican schools, is by far, English. For these and many other reasons, English as a Foreign Language (EFL) Teaching in Mexico is, or should be, an important issue.

To address such issue and following recommendations from international organizations as well as the global trends towards globalization, from the early 1990's, twenty-one Mexican states (of 32 total) began and financed their own EFL programs, particularly in border and industrial states, until 2009 when the federal government launched a national one.

In this paper, based on the results of a national study on the teaching of English in primary public schools in Mexico coordinated by the author (Ramírez, 2015), as well as on information drawn from other sources and studies, the evolution and current situation of EFL in that country, is described and analyzed.

The main objective of the study was to document and analyze the most important problems, particularly from the perspective of the main stakeholders, that the implementation of programs for teaching EFL in Mexican public schools have faced.

### **THEORETICAL AND CONCEPTUAL FRAMEWORK**

As we have further developed in other paper (Ramírez, Sayer, & Pamplón, 2014, p.1024), the Teaching of English in Mexican public schools, was initially conceptualized in our study as

a multi-determined process and as a set of interlocking national, state, and institutional projects, comprised of multiple elements: objectives, content, educational materials, infrastructure, and so forth.

At the same time, this initiative is seen as a process where various political, cultural, social, economic, and linguistic aspects converge, and where many stakeholders are involved: policy makers, administrators, principals, school administrators, faculty, parents, and students. Furthermore, the program's dimensions intersect along various dimensions, such as the institution, the curriculum, the classroom, the home, and the community.

However, as we progressed in collecting and analyzing data and tried to explain the nature of our findings, we also incorporated the theory of change, as developed by Fullan (1985, 2001), whose main interests are educational systems and the process of school reform. Because the implementation of the English programs could be considered a process of school reform, we found Fullan's ideas useful to understand such implementation, especially those that describe change as non-linear and messy where there is no blueprint or a checklist for change.

The theory of change allowed us to frame the implementation process of English teaching programs within a larger context, to reorder the categories we had elaborated after the first preliminary analysis of our data sets, and to formulate some propositions that help us explain the nature of the implementation of English programs in Mexican public schools as well as the factors affecting the implementation of such programs (Ramírez, Sayer, & Pamplón, 2014, p.1024-1025).

## METHODOLOGY

Our dataset represents the work of a coalition of fifty-two researchers who conducted fifty-four site visits to nine different states from 2008 to 2012. Data collected this way, was later reinforced and updated with new information taken from other sources, such as official documents and from other research reports.

Since one of the main purposes of our study was to document the implementation practices of a national EFL program at the local level, we used a qualitative approach, labeled by Firestone and Herriot (1983) as multisite qualitative policy research, which addresses the same research question in various scenarios or sites using methods of data collection and analysis similar in each scenario. This approach enabled us to develop a deeper understanding of the problems and their causes, as well as insights on the nature of the programs' implementation processes (ibid, p.1025).

Data collection included extensive classroom observations and semi-structured, in-depth, and focal group interviews with students, teachers, school administrators, program coordinators, and parents. In most of the states, schools were selected to encompass the diversity of context of geographical areas (urban, suburban, and rural) and shift (morning, evening, and "full time"), as well as socioeconomic levels and, in some states, of indigenous schools. In total, the team of researchers visited more than fifty schools in nine states and conducted more than one hundred interviews and class observations.

Key participants interviewed included principals and English teachers, as well as a sample of students and parents; in some cases, the regular classroom teachers and supervisors were also interviewed. The interviews were guided by a tentative, open-ended and flexible set of issues or questions to elicit the opinions,

attitudes, and feelings of the respondents regarding the school English program. In general, the interviews with principals and parent representatives were conducted individually whereas those with the students were focal group interviews. All interviews were recorded, transcribed verbatim, and analyzed in Spanish by the researchers.

Likewise, classroom observations were carried out in one or two English classes in each school and were complemented in some cases with photographs, videos, and samples of students' work.

Data collected through observations and interviews were triangulated and subjected to coding and contextualizing procedures with further conceptual reflections informed by extensive iterative revisiting of the literature to facilitate and enrich the process of data interpretation (Holligan, 2011) (ibid, p.1026).

## **PUBLIC PRIMARY ELT PROGRAMS IN MEXICO: A BRIEF HISTORY<sup>15</sup>**

In this section, we will describe and analyze the main characteristics and features of the most important programs for teaching EFL that have been implemented in Mexico in public primary education, namely: the state programs, English *Enciclomedia*, the National English Program in Basic Education (PNIEB), the Programme for Strengthening the Quality of Basic Education (PFCEB), and the National English Program.

### **The State Programs**

In the nineties, five states in Mexico started implementing programs for the teaching of English in public elementary schools. From 2000 to 2003, to the previous states other 13 other also launched these type of programs, and by 2010 there were 22 states that had a State English Program for Primary Schools (SEP, 2010, p.16).

Even though all state programs sought to promote the learning of English in their public primary schools, there were significantly differences among them regarding the years each program was put into operation, the programs' names, the coverage of the programs, the curriculum guidelines, the approaches and methodologies for teaching, the educational materials and the number of hours for EFL courses, as well as in the preparation and recruitment of teachers (SEP, 2010; Davies, 2009; Castañedo and Davies 2004). However, such heterogeneity was expected since each state regulated, distributed, organized and financed their own programs without having a common axis or at least some guidelines to follow.

### ***Inglés Enciclomedia***

A second type of program was *Inglés Enciclomedia*<sup>16</sup>, part of a broader program called generically *Enciclomedia*.

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<sup>15</sup> Parts of this section were taken and translated from Spanish from Ramírez-Romero, Pamplón-Irigoyen, Chuc, Dzul-Escamilla, & Paredes (2015) and Ramírez-Romero, J., & Sayer, P. (2016).

<sup>16</sup> English Enciclomedia

The *Enciclomedia* program was designed in 2001, formally presented in 2003, piloted in the 2005-2006 school year in 13 states (SEP, 2006 a,b), and closed in 2011. The program had two major components: a specially designed software that included the digitalization of fifth and sixth grade textbooks for all subjects with links to various multimedia resources and materials that complemented the textbooks contents. The second component was the necessary hardware to run the software, which included a computer, an electronic whiteboard and a projector, for each classroom participating in the program.

### **National English Program in Basic Education (PNIEB)**

In an effort to achieve greater uniformity among the state programs and to coordinate the programs that existed at the different educational levels, several attempts were made to create a national program for teaching English in primary public schools. These efforts culminated in the creation of the National English Program in Basic Education (PNIEB) which was first piloted in the 2009-2010 school year.

The coordinator of PNIEB stated that the first cycle of the program, which included the last year of preschool and first and second grade of primary school, would be piloted in August 2009; followed in 2010-2011 by third, fourth, fifth and sixth grade; in 2011 the three grades of high school would be piloted; and by 2012 the program would cover K-12 grades. However, this promise was never accomplished because in 2013 PNIEB was replaced by a new program.

### **The S246 Program to Strengthen the Quality of Basic Education (PFCEB)**

In 2013, without providing evidence of having conducted an assessment of PNIEB or of having consulted those already performed by the previous administration, the federal government launched the *Programa S246 Fortalecimiento de la Calidad en Educación Básica (PFCEB)*<sup>17</sup>. The PFCEB was not a specific program for English teaching itself, but *de facto* eliminated PNIEB replacing it with one of the three "strategies" of the new program, entitled: *Apoyo para los procesos de estudio de una segunda lengua (inglés)*<sup>18</sup> (SEP, 2014)<sup>19</sup>.

By the end of that same year, on December 3, 2013, the Federal Government published the Federation budget for 2014, which included the PFCEB first budget (800,000,000 pesos) (SEP, 2014, p.20). A few days later, on December 28, 2013, the Official Gazette published the *Acuerdo número 706 por el que se emiten las*

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<sup>17</sup> S246 Program to Strengthen the Quality of Basic Education (PFCEB).

<sup>18</sup> Support for the study of a second language (English)

<sup>19</sup> The S246 PFCEB Program was created in line with the objective 1 of the Education Sector Programme 2013-2014 and consists of three "strategies": (a) Support for improving reading, writing, and mathematics; (B) Support for curriculum development; and (c) Support for the study of a second language (English) (SEP, 2014).

*Reglas de Operación del Programa de Fortalecimiento de la Calidad en Educación Básica*<sup>20</sup>, which would come into effect on 1 January 2014 (SEGOB, 2013).

The program had national coverage and it was open to those schools which *expressed their willingness to participate in the program by signing an agreement* (ibid.)<sup>21</sup>.

In addition, the Sub-Secretary of Basic Education would offer "the content and the basic materials to study a second language (English). Additionally, the Sub-Secretary would provide financial support to the local authorities to pay *external consultants*<sup>22</sup>" (SEP, 2014, p.18).

### **The National English Program (PRONI)**

Following a similar pattern that the one employed with the S246 Program, this is, without any assessment, consultation, or at least an official notice, a new change was implemented again. In December 22, 2015, the Secretary of Public Education issued the *Acuerdo Número 20/12/15 por el que se emiten las Reglas de Operación del Programa Nacional de Inglés para el Ejercicio Fiscal 2016*<sup>23</sup> in the Official Journal of the Federation (DOF: 2015), which should come into force on January 1, 2016.

In this *Acuerdo*, a new program was mentioned: The National English Program (PRONI).

Under the Agreement, "the SEP through the PRONI, aims to support the states in order to strengthen and give continuity to the actions that have been implemented since the pilot began in the 2009-2010 school year in K-6<sup>th</sup> public schools, so that students get the skills to participate in more realistic English language social practices" (p. 39).

According to the same *Acuerdo*, by 2016, the PRONI would be implemented in 33,093 public elementary schools and will continue with the expansion phase from third grade of preschool through sixth grade.

As is apparent in the previous information, on the one hand, the Federal Government, even before completing the six years of the presidency in turn, seems to have revived the old PNIEB, but with a new name (PRONI), and without a clear reason that explains the new change. On the other hand, the objectives of the "new program" are very similar to those stipulated in *Item 3. Promotion of the study of a second language (English) of the Programme for Strengthening Quality in Basic Education* (PFCEB). Therefore, it seems that the new program is a hybrid arising from crossing two previous programs: the PNIEB and PFCEB, but without making explicit the relationship with either of them or the reason for the creation of a new program.

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<sup>20</sup> Agreement number 706 that contains the Rules of Operation for the Program for Strengthening Quality in Basic Education

<sup>21</sup> However, in another document (SEP, p 2014, p.18) it was stated that "the delivery of resources would initiate after it was requested by each state ...", so it was not very clear who had to file the request: the states' governments or the schools.

<sup>22</sup> An euphemistic name given to teachers in order to avoid having to pay them as regular teachers and granting them the legal rights regular teachers have

<sup>23</sup> *Number 12.20.15 Agreement by which the Rules of Operation for the English National Program for Fiscal Year 2016 are issued*

This suggests that in the best scenario, the current government does not know for sure what to do with the issue of teaching English in public primary schools.

### **ACHIEVEMENTS AND PENDING ISSUES OR PROBLEMS**

As a result of the implementation of the national programs, some of the problems previously faced by the state programs were partially addressed and some improvements have been made. Among the most relevant ones, we can distinguish the following: the creation of a national program and the design of an official framework or curriculum; the coverage of a greater percentage of students and schools; the inclusion of English in the school curriculum; the hiring of a larger number of English teachers and the implementation of several training activities for them in various states, and in some states, the hiring of EFL as regular teachers; the distribution of free textbooks to students; and the increase of social acceptance of EFL courses from students, parents and regular teachers.

Unfortunately, there are many pending issues or problems not yet attended. In our study, we documented five major problematic areas, related to linguistic policies, curriculum, subjects (teachers, students, principals, and parents), teaching practices, and educational resources. In the following paragraphs, each one of them is analyzed in further detail.

- Linguistic policies: The lack of an official national language policy for English.

As it was previously mentioned, in 1996 the first national program was launched. This, in itself, was a great idea and a major achievement because for the first time in the history of Mexico, children attending public schools were given the opportunity to learn English, a knowledge previously available only to rich students. Unfortunately, the program was not part of a language State policy that endorsed the initiative and encouraged and guarantee its implementation and survival despite the changes of those in power. Therefore, no laws were issued to legitimize and support the program, which affected its overall implementation.

- *Curriculum.*

In 1996 an official framework or curriculum for English was designed. However, the framework is still little relatively unknown and seldom used by a large number of teachers, who would rather base their lesson plans on the textbooks. Additionally, the framework itself faces a number of challenges that need to be properly addressed, such as exercises with sexist stereotypes; exercises that are insignificant and meaningless and promote artificial educational practices and interactions; and, activities that promote artificial and absurd interactions between teacher and students (Villarreal & Olave, 2015). Moreover, the curriculum was based on "the earlier the better" premise, which in turn was based mainly on the experiences of bilingual children in situations of close contact with both languages. However, this premise is not adequate to the Mexican context

where English is a language of limited social use and the contact of children with language is often confined to the school context.

Finally, we found that the learning situations proposed in the English curriculum were not sufficiently linked to the content of other subjects and it did not adequately support the development of other expected competencies included in the Spanish curriculum.

- Subjects (teachers, students, principals, and parents).

Regarding **teachers**, we found a large number of English teachers and of training activities for them in various states. Unfortunately, the number of teachers is still very insufficient as well as the quantity, relevance and quality of their training. Moreover, many EFL teachers, do not have the proper training for EFLT; do not fit the profiles; and/or have little or no experience teaching children. In addition, in some states, some teachers are hired as regular teachers, but they are the exception. The majority of EFL teachers have to have multiple jobs or teach in various schools to survive, and most teachers have no working benefits; are hired on temporary basis; have low and delayed salaries; do not have job stability; are little connected to other teachers & parents; and in some places, EFL teachers are not even seen and treated as teachers but as mere temporary advisors.

Even though the **principals'** opinions regarding English programs were varied, one recurring theme was the importance they gave to the learning of English and by extension to EFL courses, which they saw as something positive for their students. However, several school principals complained about the lack of communication between them and the coordinators of EFL programs. Other principals also expressed dissatisfaction with the fact that some of the programs did not covered all grades; with the few hours assigned to English classes; and, with the availability of the textbooks, their high cost (in the case of the state programs), and their deficient distribution.

As for the **students**, we found that most students like English classes but their learning seem to be limited to memorizing words and phrases. Moreover, although the socioeconomic status of students varies considerably from one school to another, most of them are of low socioeconomic level or lower middle class. In the case of the northern states it was further found that it is common for some students to have relatives in the United States which in turn allowed them to have some contact with American culture. However, such contact did not necessarily mean that these children had greater knowledge of English than their peers.

One last, but not least, group of subjects are the **parents**. In general, the views of parents about English classes are positive, and most parents interviewed considered that such classes provide an additional value to the education of their children because it allows them to have access to knowledge that will be useful in their future professional life. However, some parents are concerned about the inadequate preparation of some teachers and with the high rotation of EFL teachers; the little communication that exists with them; the cost of

the textbooks (in the case of the state programs); and, the informality of EFL teachers to report the students' performance. Finally, some parents still see English as a colonialist tool.

- Teaching practices.

We found many examples of good EFL teaching practices, where teachers use resources, play games, sing with children, ask them to work collaboratively, etc. Unfortunately, we also found that the teaching methodology employed by a significant number of teachers it is not aligned with the curriculum or the new approaches, nor in tune with what research shows as associated to good practices. Among the main problems we documented were the following: the use of activities focused on repetition of segments of language or completion of phrases copied from the textbook or the blackboard as well as the learning of isolated words; classes where the main content was the alphabet, basic vocabulary, and grammar structures; the use of unattractive and teacher centered teaching methodologies or of unattractive and little engaging activities. Additionally, we identified only very few cases where social practices of languages were promoted.

- Educational resources.

In most states, the only resources available are blackboards and textbooks, despite the fact that most of those who were interviewed considered very important that teachers and student have the necessary resources and materials to work with. For many, the lack of financial resources specifically for English programs, explains the little use by EFL teachers of other resources beyond blackboard and textbooks. Additionally, even though in most schools where EFL courses were taught, students also received free textbooks, their quality and distribution were still experiencing severe problems and despite the fact that the language approach was supposed to be socio cultural, many exercises and activities included in the books are focused mostly on grammar; are gender-biased; or include images whose meaning is not clear or is culturally inappropriate, as Castro (2013; 2015) has evidenced.

## **Discussion**

In this paper we have tried to document and analyze the most important problems, particularly from the perspective of the main stakeholders, that the implementation of programs for teaching English as a foreign language in Mexican public schools have faced.

We began conceptualizing the teaching of English in Mexican public schools as a multi-determined process and as a set of interlocking national, state, and institutional projects, comprised of multiple elements: objectives, content, educational materials, infrastructure, and so forth. At the same time, as a process where various political, cultural, social, economic, and linguistic aspects converge, and where many stakeholders are involved: policy makers, administrators, principals, school administrators, faculty, parents, and students.

Furthermore, as a process where several dimensions intersect, such as the institution, the curriculum, the classroom, the home and community.

As we progressed in the research process, our analysis showed us that the premises and conceptualizations in which we based our initial data collection were in the right direction, and the new data, especially in the light of the theory of educational change, helped us identify the most urgent problems that the implementation of the programs were facing. Additionally, such theory helped us to develop some insights on the nature of the implantation of those programs and to identify the factors that seem to have a greater weight in such implementation, namely:

- Social-related: such as the knowledge of and support to the program from society in general and the democratic participation in the decision making process by the main stakeholders (namely, students, parents, teachers, and school principals) in particular; and, the attention paid to the stakeholders' expectations, needs, demands, and to the students' attitudes and needs, as Purkey & Smith (1985) propose.
- Cultural and linguistic-related: such as the consideration of the students' sociocultural characteristics and linguistic backgrounds, diversity and needs (Ovane, 2003).
- Policy-related: such as the existence of a clear and consensual educational and linguistic policy where the program is anchored (Fyle, 2003); a strong but democratic leadership both at the national and state level as well as at the school level (Cuban, 1984; Purkey & Smith, 1985); a democratic decision-making, planning and management (Purkey & Smith, 1985); the attention paid to all phases of the project, not only to its design (González & Escudero, 1987); the articulation of processes and strategies at various levels (Escudero, 1988).
- Institutional-related: such as the promotion of an adequate institutional ethos, climate and organization that incentives program implementation and encourages collaboration and communication between subjects (Fullan 1985, 2001; Huberman & Miles, 1984); the proper diffusion of the program; the implementation and evaluation of faculty and staff development strategies and actions; and the creation of support mechanisms for the different phases of the program.
- Financial-related: such as the availability and correct and timely distribution of financial resources for fair salaries and employment benefits, educational materials and infrastructure, and other costs associated to the proper functioning of the program.
- Management-related: such as the existence of strategies and mechanisms to articulate: educational and linguistic policies and school practices and ethos, stakeholders and their roles; and times, resources and schedules (Escudero, 1988).
- Pedagogical-related: such as the specification and development of: linguistic and pedagogical theories and models to frame the programs; a solid curriculum; teaching

methodologies and strategies according to the theories and models selected and to students needs and characteristics (Fullan, 1985); appropriate educational resources (Ibid); and evaluation and feedback mechanisms, instruments, and application dates.

- Personal-related: such as the knowledge and sharing of beliefs of teachers and the importance granted to faculty satisfaction and well-being.

However, in the programs we analyzed, we found that many of the previous factors were not properly attended, as it was already discussed, especially those related to the democratic participation of the stakeholders, the design of a national language policy, the training of teachers, the creation of support mechanisms for the different phases of the program, the availability and timely distribution of financial resources (specially to guarantee teachers' salaries and just working conditions), and the attention paid to faculty satisfaction and well-being.

## CONCLUSIONS

In sum, we detected significant progress in EFLT in public primary schools in Mexico, but also many promises not yet fulfilled. Changes implemented thus far, have been implemented simplistically, in a hurry, for political or economic reasons, and have been designed by a few. Instead, EFLT in Mexico should be seen and treated as a complex change process that requires the collaboration of all.

Teaching English in Mexico is an ambitious, complex and interesting enterprise. To try that most Mexican children from public schools, who traditionally have been the less exposed to a foreign language and are among the most marginalized ones, learn English is even more ambitious and complex because there are many elements, factors, and interests involved.

There has certainly been a big improvement compared to what already existed and the current programs represent a laudable attempt to provide a consistently high quality English education throughout the country. However, many challenging issues remain unresolved. According to the people we interviewed and our own observations, the main issues include those related to the curriculum (the knowledge of it by principals and teachers, its relevance to the students, etc.), to the textbooks (distribution, design, adaptation to culture and knowledge levels of children, etc.), to the teaching methodology and students' learning (still very focused on the professor and routine practices) and to the training and working conditions of teachers (insufficient pedagogical training and precarious employment status).

There are, however, important achievements and strengths such as good practices, greater coverage and infrastructure, better attitudes towards learning English from parents and students, more prepared teachers, and the development of a national curriculum, that lead us to think optimistically.

We believe that to the extent that Mexican authorities in charge of the program and the rest of the stakeholders (especially parents and teachers) know and are aware of the strengths and the challenges that still lie ahead, and are willing to address the latter, English programs in Mexico will be in better conditions to actually give children from our public schools, the high-quality education, these children deserve.

The central purpose of the research projects that we briefly described in this paper, was precisely to contribute to such undertaking.

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## **Intellectual Property Right: its Concept and Application in Packaging *Loro Blonyo* Wood Craft in Bobung Village, Gunungkidul Yogyakarta**

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### **Abstract**

*Loro Blonyo* craft in Bobung Village, Gunungkidul Yogyakarta has been developing since some years ago. Such the craft is still existent until today. As the handicraft center, its existence can support the rural tourism development, particularly in Gunungkidul area, Yogyakarta. However, it has not been compensated with intellectual property right ownership. This research with descriptive qualitative paradigm conducted in 2016 attempted to improve local production image expected to be competitive with other craft product particularly in entering into both national and global level market opportunity. Data were collected using the technique such as (1) focused discussion, (2) direct observation, and (3) analysis of the contents of documents/records. The result of research realized a variety of packaging and tried to make the product having legality as a registered product through Intellectual Property (particularly copyright) Right protection.

*Keywords:* Packaging, Woodcrafts, *Loro Blonyo*, Intellectual Property Right

### **Introduction**

The development of modern world recently allows for the development of any activities in every state running more dynamically as the world's economy develops. In such the condition, every state in the world likely adapts and innovates through their various ways in order to follow the glowing global market with the competition existing. Every state has various potencies that can be used in supporting its local area's income. Therefore the state requires a variety of ways to support those various potencies.

Indonesia has protective attempt in protecting the potencies that can be used to increase its state's income. It can be done through protecting Intellectual Property Right, the exclusive manual right consisting of two types: economic right and moral right. Economic right is the one owned by inventor and designer to get

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profit over his/her invention and design work, while moral right is the one protecting the inventor's personal interest and the designer's reputation (Sudarmanto, 2012: 2). Furthermore, moral right also involves the right to express objection against the action of damaging, cutting, or changing patent work and industrial design that is harmful to inventor's reputation.

Referring to the elaboration above, Intellectual Property can be defined as the right pertaining to the property resulting from human intellectual ability. Such the ability can be work in technology, science, art, and letter areas. However, in addition to including the right pertaining to property, intellectual property right also includes the intellectual property an individual produces.

The swifter free trade current in global world requires the higher quality of product produced by a state; it proves that such the condition triggers the development of technology supporting any corresponding state's needs. In line with this, the importance of Intellectual Property Right in supporting technology development should be considered for its existence. Furthermore, Intellectual Property Right can serve as a means of supporting economic development as intangible asset. However, in developing countries such as Indonesia, the utilization of Intellectual Property Right has not gotten serious and comprehensive attention yet for its existence and protection process at international level (*Buletin Informasi dan Keragaman HKI "Media HKI"*, Vol. III/No.3, June, 2006, p.20).

The products of Intellectual Property Right should essentially get law protection in order to get assurance in its producing attempt, labeling or brand designation, trading and marketing, and consumer or society need purchasing and fulfillment. The law protection attempt for intellectual property right can be seen from four interest sides: creating and invention individual, individual and trade, science, and technology, and society and civilization (Lumbanraja, 2000: 2).

A variety of product can be given Intellectual Property Right protection including Patent, Brand, and Copyright. The regulation on Patents is included in Republic of Indonesia's Law Number 14 of 2001 about Patent (RI's Gazette of 2001 Number 109). Patent, according to article 1 clause 1 of Republic of Indonesia's Law Number 14 of 2001 (RI's Gazette of 2001 Number 109), is an exclusive right given by the State to Inventor for his/her invention product in technology area, and his/her application of the invention for certain period of time or his/her approval for other party to apply it. One of Government Regulation in Patent area is Republic of Indonesia's Government Regulation Number 31 of 1995 on August 29, 1995 about Patent Appeal Commission. From such the elaboration, patent can be articulated as exclusive right given by the state to inventor for its invention result in technology area for certain period of time, for applying the invention itself or for giving others the approval to apply it.

Furthermore, there is also Regulation on Brand included in Article 1 clause 1 of Republic of Indonesia's Law Number 15 of 2001 about Brand (RI's Gazette of 2001 Number 110) informing that Brand is a sign in the form of picture, name, word, letter, numbers, color organization or the combination of them having distinguishing power and used in product or service trading activity. Then, there is also Government Regulation about Brand, that is, Republic of Indonesia's Regulations Number 32 of 1995 on August 29, 1995 about Brand Appeal Commission, Number 23 of 1993 on March 31, 1993 about The Procedure of Brand

Registration Application and Number 24 of 1993 on March 31, 1993 about Product and Service Class for Brand Registration.

It is based on registration that the right to brand is created, so that this right can be said as exclusive right, meaning that others are not allowed to use the same Brand for similar type of product (Gautama, 1993: 5). In addition, there is Regulation on Copyright, Republic of Indonesia's Law Number 19 of 2002. Article 1 clause 1 of this law mentions that Copyright is exclusive right for Inventor or right recipient to announce or to multiply his/her invention or to give license for it without reducing limitations according to the enacted legislation. Government Regulation in Copyright area is Republic of Indonesia's Government Regulation Number 7 of 1989 on April 5, 1989 about the amendment to Government Regulation Number 14 of 1986 about Copyright Council, Government Regulation Number 1 of 1989 on January 14, 1989 about Translation and or Multiplication/Duplication of Invention for Education, Science, Research and Development Purposes. Then, there is also Republic of Indonesia's Government Regulation Number 14 of 1986 on March 6, 1986 about Copyright Council. Auterswet states that Copy Right is the creator/inventor's single right or the right of the one getting such the right for his/her invention in literary, science, and art fields, to announce and to duplicate by remembering the limitation specified by Law (Saidin, 1995: 29).

Basically, Copyright is a type of personal ownership over an invention in the manifestation of a creator's idea in art, literature, and science fields (Lindsey, 2002: 96). It is confirmed with Industrial Design Regulation in Republic of Indonesia's Law Number 31 of 2000 about Industrial Design (RI's Gazette of 2000 Number 243). Article 1 clause 1 of it defines Industrial Design as a creation concerning form, configuration or geometric or color composition, or line and color, or combination of them in three- or two-dimension shape giving esthetic impression and can be manifested into three- or two-dimension pattern and can be used to produce product, goods, industrial commodity, or handicraft. Design aspect can involve design of products such as farming machines, furniture, garment, craft, and a product's packaging. For example, a simple food product may seem to be luxurious and expensive when supported by an attractive packaging design.

In addition to Intellectual Property Right Law, Indonesia has ratified a variety of international conventions recently related to Intellectual Property Right: Trade-related Aspects of intellectual Property rights (TRIPs agreement)-WTO, Paris Convention for the Protection of Industrial Property and Convention Establishing the World Intellectual Property Organization (Presidential Decree No. 15 of 1997 about the Amendment to Presidential Decree No.24 of 1979), Patent Cooperation Treaty (PCT) and Regulation under the PCT (Presidential Decree No.16 of 1997), Trademark Law Treaty (Presidential Decree No.17 of 1997), Berne Convention for the Protection of Literary and Artistic Works (Presidential Decree No.18 of 1997), WIPO Copyright Treaty (Presidential Decree No.19 of 1997), Convention on Biological Diversity (CBD) (Law No.5, 1994), RI's Law No. 18 of 2002 (Article 13 clause 3), Government Regulation Number 20 of 2005. Referring to the elaboration above, it can be seen clearly that in Indonesia Intellectual Property Right issue gets serious attention from Republic of Indonesia's government that is of course supported to be developed for the sake of Indonesia's advance and protecting any innovation and creativity product of its citizens in producing their creative idea. Therefore, this writing attempts to describe the conceptuality and

application of Intellectual Property Right and its application process for the welfare of Indonesian Citizen and nation.

The conception of Intellectual Property Right builds on thinking that intellectual work produce by human beings require effort, time, and cost sacrifices. Those sacrifices make the work produced have economic value because of its enjoyable benefit. This concept encourages the need for appreciation for the work produced in the form of law protection for Intellectual Property Right. The objective of providing this law protection is to encourage and to foster the spirit of working and creating (Purba, 2005: 12). So, Intellectual Property Right is generally related to the protection for the application of idea and information with commercial values. Intellectual Property Right is personal wealth that can be owned and treated equally to other wealth forms (Lindsey, 2002: 3).

### **Methodology**

This research is unique case study which cannot be generalized or compared with other places, therefore the paradigm used is a qualitative description that refers to the natural setting and not a conditional one (Nasution, 1988). The purposes of data collection, is that, few samples were chosen in seven different loro bonyo woodcraft workshops, purposively selected from as many as 15 existing SMEs, which is based on the consideration of the same characteristics of SMEs. Data were collected using the technique such as (1) a focused discussion, which consists of loro blonyo craftsmen of cooperative representatives and deputy manager of a touristy village as well as packaging observers, (2) direct observation of active participatory (Spradley, 1980), and (3) an analysis of the contents of documents/files of the packaging that has been made by the craftsmen themselves.

### **Result and Discussion**

One area in Indonesia with any products that can be protected legally is Gunung Kidul, Yogyakarta. A variety of products or potencies existing in Gunung Kidul, Yogyakarta is considered as a cultural product reflected on the local wisdom of local community thereby deserving legal organization to be policy regulation. The provision of law and ordinance for a variety of products and industries existing in Gunung Kidul is conducted in order to prevent misappropriation and misuse from occurring, to protect human rights, in creating work, to result in just benefit sharing, as the form of participation in the community's economic development, and to promote the national interest (Sardjono, 2010: 446).

#### **1. Types of Intellectual Property Right**

Intellectual Property Right is divided into two: copyrights and industry property rights, in which industry property right is then divided into several sub types with different division in one state and another. In Indonesia, it is divided based on the law into: patent, brand or trademark, industrial design, integrated circuit layout design, trade confidentiality, and plant variety (Munandar, 2008: 3). Basically, Intellectual Property Right can be classified into two categories (Lindsey, 2002: 10-12): (1) Copyrights consisting of copyright and neighboring rights; (2) industry property right consisting of: patent, trademark, and industrial design.

The areas of Intellectual Property Right governed in Indonesian Law include: copyright, patent, brand trade confidentiality, integrated circuit layout, industrial product design, and plant variety protection.

## 2. Scope of Intellectual Property Right

Copyright includes the original work in science, art, and letter areas. The main products or areas protected are computer program, pamphlet, writing work published, lecture, university lecture, speech, and visual aid developed for science purpose, song or music creation with or without text including *karawitan*, voice recording, drama, dance (choreography, puppetry, pantomime), performing work, broadcasting work, fine art in any forms such as painting, drawing, carving, calligraphy, chiseling, sculpturing, collage, applied art in the form of handicraft, architecture, map, batik art, photograph, cinematograph, translation, adaptation, compilation, and other works resulting from the transfer of shape (Sudarmanto, 2012: 9).

It is based on an assumption that an appreciation and a recognition as well as law protection should be given to inventor in science, art and letter or in technology areas for the work he/she creates or invents (Hutagalung, 2012: 4). The copyright holder is exclusive in nature. This right is able to bring about new right, so one copyright has several rights related to one right bond. Such the multiple rights in their use, in the attempt of transferring right, can be undertaken comprehensively or individually (Djuhanna, 1993: 45).

Meanwhile, patent involves inventions in technology area qualifying the requirement of novelty, inventive measure, and applicable to industry. The main products or areas protected are: chemical, food, plastic medicine, machine, turbine, electronic, industrial appliance, and scientific equipments. Simple patent includes equipments. The main products and areas protected are mechanic industry. Any types of patent can be patented, with the criteria that the invention is useful and has not been existent in the corresponding technology field. Chemical compound, machine, production process, and even new organism type can be patented (Lindsey, 2002: 9). Furthermore, Trade Confidentiality includes technology information or secret business. The main products and areas protected are all of industrial products. As one of traded varieties, the protection of plant variety includes the plant variety that meets the following criteria: new, unique, uniform, stable, and named. The main products and areas protected are farming and food industries (Sudarmanto, 2012: 9). Industrial design includes ornamental designs. The main products and areas protected are garment, automobile, electronics appliance and etc. Industrial design is primarily the pattern used in the process of producing product commercially and used repeatedly. It is the element of repeated use that characterizes and even distinguish the creation (invention) governed in copyright (Djuhanna, 1993: 156).

Integrated layout design includes original layout design. The main products and areas protected are micro-electronic industries (Sudarmanto, 2012: 9). Brand includes sign or symbol to identify product and service. The main products and areas protected are all of industrial product and service. Geographic indication and origin indication include product and service coming from certain area. The main products and areas protected are food and beverage products (e.g. Cianjur rice, Cilembu sweet potato, and Bali *brem* (fermented rice or tapioca)).

## 3. The importance of Intellectual Property Right Protection

The law governing Intellectual Property Right is generally territorial in nature (per region or state), despite international law network development for enforcing Intellectual Property Right recently; the state, through its legal system serves as Intellectual Property Right protector, so that it is the state as well (through police officer, attorney, and court) that will act on the offender of Intellectual Property Right. Because international trade has been very broad, a product is enjoyed not only in its origin state but also throughout world from *angklung* music coming from Sukabumi, Hollywood movies to Japan-made computer software. Historically, the legal provision of Intellectual Property Right was enacted firstly in Venice, Italia, the patent rule enacted in 1470. Caxton, Galileo and Guttenberg were enlisted as the inventors living in that period and monopoly right for their invention. Those laws on patent have been enacted as well by United Kingdom in 1500s thereby resulting in the first law on patent in UK, statute of monopolies (1623).

Thus, Indonesia should be the state opened to international trade and traffic. The approval ratification governs, among others, standard international norm in the protection of Intellectual Property Right and trade aspects related to Trade Related Aspect of Intellectual Property Right Agreement (TRIPs). The protection of Intellectual Property and Intellectual Property Right in industrial area can be given in the form of patent, simple patent, industrial design, brand, trade confidentiality, and plant variety protection. However, there is a group currently not belonging to formal law protection, while this protection group plays a very important role for local development. The protection intended is the one for traditional knowledge, traditional cultural expression, and biodiversity. TRIPs aim to protect and to enforce the Intellectual Property Right law in order to encourage the innovation, transfer and diffusion of technology, to obtain mutual benefit for the producer and the user of technology knowledge, by means of creating social-economic welfare and balance between right and obligation. For that reason, barriers and constraint should be reduced in international trade recalling the need for improving effective and adequate protection for Intellectual Property Right, and to ensure that the measures and procedures of enforcing Intellectual Property Right will not be inhibit the legal trade later.

Just like the importance of law protection in the term of preventing the plagiarism or imitation from occurring against Indonesian traditional batik art by foreign nations implemented well, there should be readiness among all of parties in which Indonesian nation's understanding and consciousness of copyright, particularly in the term of traditional batik art copyright, should be improved, law enforcer's readiness to understand a variety of Intellectual Property Right regulation, particularly copyright for traditional batik art, and to implement it as well as possible and the government's readiness to enforce copyright law through preparing the rules that can actually touch the breach against Indonesian traditional culture by foreign nation should be improved as well.

In the term of patent, Indonesia is very rich of cultural heritage. Individual ethnics have their own typical language and food. This typical food diversity, when utilized optimally will be very profitable. If each of the typical food is patented (adjusted in such a way that is not as same as the original typical food), we would have franchise restaurants that can compete with foreign franchise restaurants such as Kentucky Fried Chicken, Pizza Hut, Burger King, and etc. The success of Suharti or Mbok Berek fried chicken restaurants, for example, can be developed to international level after their typical product or production aspects (production method) have been patented (Munandar, 2008: 37).

In globalization age resulting in tight competition due to open economy, Indonesia as a developing country should be able to improve its competitiveness and agroindustry development supported by potential resource it has. The competition requires the presence of agricultural product quality meeting the standard quality of global market, in addition to providing the product as many as market's need sustainably and giving competitive price. The strategic measure to bring it into reality is to improve the speed and the invention of farming commodity variety, by utilizing living resource, human resource and national fund available within society (Nuraini, 2007: 121).

#### 4. Mastery and Ownership

The concept of person in law holds central position, because all of other concepts, such as right and obligation, mastery, ownership, legal relation and so forth, essentially focus on the concept of person. It is this person that becomes right carrier, that can be imposed with obligation and so forth, so that without person, nothing will result. It is because this person that law creates a variety of concepts as media needed by this presence of person within society.

Mastery is the real relationship between an individual and product existing in mastery. At that time, he/she need no other legitimacy but the product existing on his/her hand. The question referring to the presence of legal legitimacy here is unnecessary. In addition the reality that an object is under an individual's mastery, the corresponding persons' mental attitude to the object he/she masters should be questioned as well, whether or not there is indeed an intention to master and to use it. Those two elements are called *corpus possession* and *animus posidenci*. A variety of problems is related to this mastery, for example, how far an individual masters an object actually. This question is of course dependent on the object as the target. For small objects such as watch, bicycle and etc, the assessment parameter is of course more definitive than when we face an individual requiring him/herself to master a ship sailing amid the sea, while he/she is on the land. Another problem related to an individual ability of mastering an object is to refuse others' intervention in such the mastery process.

The mastery can be obtained in two ways: withdrawal and submission. Withdrawal is carried out without the former master's approval, while submission is the way of mastery an object with the former master's approval. Ownership has clearer and more definitive legal character. It also shows the relationship between an individual and object becoming the target of ownership. However, different from factual mastery, the ownership consists of a complex of rights that can be categorized into *ius in rem* because it prevails to everyone. It is different from *ius personim* prevailing to certain persons. For those mastering an object, the right to transfer it is not on him/her due to the presence of *nemo dat quod non habet* principle. For that reason, the master does not have right and cannot transfer the right to others.

#### 5. General Problems in Intellectual Property Right

So far, the number of copyright and other Intellectual Property Right registrations is not as many as the expected one. Community, particularly inventors, from academician, researcher, musician, to artist, should generally be encouraged to be more aware of the importance of copyright registration for their creation or work. The number of Copyright registration applications decreased after 2006 to May 2007. The problem of Copyright breaking is not new, because it has been occurring since some decades in our country. Copyright plagiarism seems to occur incessantly over years. Plagiarized goods circulate not only in urban but also in rural

areas. It is because its cost is cheaper than the original one thereby affordable to all classes of society. For example, in 1987, an England singer, Bob Geldof, had ever accused Indonesia as the paradise of plagiarist because his videocassette and recording of music concert in South Africa to help starvation disaster were plagiarized and circulated in Indonesian market with cheap price (Supramono, 2009: 149).

Since the enactment of Law Number 14 of 2001 about patent, the number of patent registered increased rapidly, but it was not as rapid as the expected one; in addition many applicants are in fact foreigners or foreign companies operating in Indonesia. Instead, it is rather worrying because many inventions made by Indonesian workers or artists taken by foreigners employing or hiring them. Most Indonesian rattan production processes have been patented and the owners are German and Singaporean companies. In the period of 1993-2006, out of the total number of patents enlisted in Indonesia, only 1.15% belongs to Indonesian people or institution, and the rest belongs to foreigners. Considering the data of Intellectual Property Right Directorate General, out of 30,000 product types circulating and having patent right in Indonesia, only 3% the patent right of which is held by domestic individual. Instead, the rest of 97% is held by foreigners. It also indicates that industrial sector in free market era is very vulnerable to the stealing of Intellectual Property Right. Many types of circulating products owned by foreigners are general and mechanic technology products. The rest (in smaller volume) is chemical substance and equipment. Otherwise, for design right, out of 7000 design forms circulating, 75% is held by domestic people. Meanwhile, for Intellectual Property Right in the term of brand and design rights, the number of domestic individual's ownership has improved. Out of 500,000 circulating brands, 50% is held by domestic people (Lindsey, 2002: 44).

The intentional breach of design right is a crime. The crime committed against design can be usually punished with imprisonment. The regulation of punishment provision in design law in addition to pertaining to the breach of design holder right or license holder, should also governs the breach of obligation of maintaining and keeping the design confidentiality, and all documents of design registration request, this breach of obligation can be punished with imprisonment. In the breach of brand in civil case, a brand owner or brand license recipient can prosecute an individual who has used the brand similar to others' brand operating in the same trade or service area without license (Article 76 clause 1 junto Article 77).

### **Conclusion**

Strategic model for managing intellectual property departs from an idea developed by an inventor into invention. Invention, according to the Law Number 14 of 2001 about patent, is the inventor's idea poured into an activity of solving technology area-specific problems, whether product or process, or accomplishment and development of product or process. An idea may come from anywhere, whether contemplation, observation or unknown source because it comes suddenly to the inventor. Importantly, before an idea is poured into invention, the inventor should ensure first that the idea has not been existent previously. It is very important to do, because it aims (Sudarmanto, 2012: 116-117): (a) to ensure that the idea has never existed before; (b) to ensure that the realization of idea will not break others' Intellectual Property Right later, that of course will have economic consequence (fine or imprisonment punishment due to the breach of others' Intellectual Property Right).

Meanwhile, the Dispute Settlement in Intellectual Property Right scope starts with settling the dispute of copyright contained in the Republic of Indonesia's Law Number 19 of 2002, in Chapter X Dispute Settlement, in Articles 55-56. Article 55 contains the submission of Copyright for all of inventions to others without reducing the inventor's or its beneficiary's right to prosecute the misuse of it. Then, Article 56 mentions that the copyright holder deserves to file compensation lawsuit to Commercial Court for the breach of his/her Copyright and to ask for seizure against the object announced or the product of Invention duplication. The copyright holder deserves to file to the commercial court to instruct the submission all of income resulting from copyright breaking. For the lawsuit filed to commercial court, what action the registrar takes then, period after registration and examination session for the lawsuit are explained in Article 60. In addition to dispute settlement, as mentioned in Articles 55 and 56, the parties can settle the dispute through arbitrage or alternative dispute settlement contained in Article 65, the alternative dispute settlement here includes negotiation, mediation, conciliation, and other ways selected by the parties with the enacted law.

Conceptually, the local development process through managing intellectual property is carried out by identifying all of potential communal rights belonging to the areas existing in Indonesia. Having identified them, the next step is to apply priority scale for superior product development program. The application of priority scale needs support from the available of conducive business climate. Business climate can be created supported with strategic and realistic policies, adequate infrastructure provision, guaranty of safety and law certainty.

Meanwhile, to fulfill the realization of potential local intellectual property development, the realistic and concrete measures are require for all elements of stakeholder corresponding to the division of duty and role assumed. In principle it can start with the empowerment and the optimization of Intellectual Property Management Unit (thereafter called UPKI) in every area through Intellectual Property Right center and/or Intellectual Property Right clinic, the management of which is consistent with what mandated by Law Number.. of 2002 about National System of Science and Technology research, development and application. Considering the importance of Intellectual Property Right as elaborated above, the application for Intellectual Property Right registration can be carried out either directly or online in a variety of related offices:

1. Central Intellectual Property Right Directorate General located in H.R. Rasuna Said Kav. 8-9, South Jakarta 12940, Indonesia;
2. Through Regional Office of RI's Law and Human Rights Ministry throughout Indonesia;
3. Through the Consultant's Legal Authorization of Intellectual Property Right Enlisted.

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### **Peraturan Perundangan :**

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Undang-Undang Republik Indonesia Nomor 29 Tahun 2000 Tentang Perlindungan Varietas Tanaman

Undang-Undang Republik Indonesia Nomor 31 Tahun 2000 Tentang Desain Industri

# PHYSIOCHEMICAL CHARACTERIZATION AND FATTY ACID PROFILE OF THE OIL EXTRACT FROM *RHYNCHOPHORUS FERRUGINEUS* LARVA

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## ABSTRACT

This experimental study through physiochemical characterization and fatty acid profile of oil extract from *rhynchophorus ferrugineus* larva revealed the unsaturation of the oil as a result of the presence of palmitoleate which is an ester of palmitoleic acid (omega 7 mono-unsaturated fatty acid), Moisture, Ash, Iodine, saponification, cholesterol, protein, fat, crude fibre, acid, peroxide, mineral and vitamin contents of the oil extract were determined. Iodine value (128.19mg/g) is within the range of class of semi - drying oil. The golden yellow colour of the oil is common to high quality edible oils, the pH of the oil (5.03) is slightly acidic and quite comparable to that of corn oil (4.90). The peroxide value (6.93meq/kg) is in agreement with the maximum Codex standard peroxide value (10meq/kg). The cholesterol value of the oil (20.2mg/dl) is below the tolerable limit of 120 – 200mg/dl. The appreciable presence of minerals from AAS in parts per million are obtained for Calcium (28.32), Zinc (0.17), Potassium (8.63), Sodium (7.53), Magnesium (12.61), Iron (0.23). There are presence of vitamins A (500mg/l), D (6.41mg/l), B<sub>1</sub> (92mg/l), E (0.61mg/l) and C (3.00mg/l), protein content (11.55%), crude fibre (52.57%). These data indicate that the oil could serve as a dietary supplement. The high saponification value (257.78mg/KOH/g) indicated that the oil is suitable for soap making. The consumption of raffia palm maggot oil is recommended because of its nutritional and medicinal values, more importantly as a food supplement.

**Keywords:** Physiochemical characterization, Oil extract, Unsaturation, Fatty acid, *Rhynchophorus ferrugineus* larva, Food supplement.

## 1. INTRODUCTION

*Rhynchophorus ferrugineus* larva, commonly known as edible maggot is a good source of protein, rich in fatty acid (EPPO, 2008), and contains phosphorus, calcium, zinc, etc (Murphy and Briscoe, 1999). The larva contains a great amount of fibre that provides a great source of diet roughage. The consumption of *Rhynchophorus ferrugineus* larva as a dietary delicacy has continued to be of interest over the years in some tropical areas of the world. But, the mode of preparation for consumption has relied solely on roasting and frying after boiled with little seasoning in water. Some communities consumed the raw larva without minding any health implications including any adverse effects of the oil contained in the larva. Systematic efforts have

been made to carry out proximate and elemental characterization of the oil towards establishing the chemical, physical properties and evaluating the cholesterol level, iodine value, etc (Onuchukwu and Ihekire, 2000). The volatility of the oil, odour, colour, specific gravity etc., are issues thrown up for elucidation and other related parameters sought towards establishing the quality of the oil extract.

This study seeks to isolate, identify and characterize the physiochemical compositions of the oil extract. In addition to protein and carbohydrates, fats and oils are the third principal constituents of food, because they represent an important source of energy and contribute to the optimal performance of the body.

## **2. DETAILS EXPERIMENTAL**

### **2.1 Materials and Procedures**

The live (*Rhynchophorus ferrugineus*) larvae specimens were sourced from Oraifite town in Anambra State Nigeria, washed with water to keep clean, dried and milled into powdery form and taken to the laboratory for oil extraction and other physio- chemical characterizations.

### **2.2 Elemental Analysis Using Atomic Absorption Spectrophotometer**

The sample is thoroughly mixed by shaking, and 100ml is transferred into a beaker of 250ml capacity. The sample is aspirated into the oxidizing air – acetylene flame or nitrous oxide acetylene flame. When the aqueous sample is aspirated, the sensitivity of 1% absorption is observed.

### **2.3 Sample Digestion**

Weigh out 5ml of the oil sample into a digestion flask and add 20ml of the acetic acid mixture (650ml conc. HNO<sub>3</sub>, 80ml perchloric acid, 20 ml conc. H<sub>2</sub>SO<sub>4</sub>). Heat the flask until a clear digest is obtained. Dilute the digest with distilled water to the 100ml mark. Appropriate dilutions are then made for each element

### **2.4 Determination of Fatty Acid Profile Using Gas Chromatography**

Measure out about 2ml of oil in a small beaker and record the exact weight. The oil was subsequently methylated to obtain the methyl esters of the fatty acids using the method A.O.AC. (2006). One half micro litre of the sample was then injected into the Hewlett Packard 6890 Gas Chromatograph and the chromatogram of the separated fatty acid methyl esters was obtained as described by the Standard Analytical Methods (1999).

The saponification value (S.V), iodine value (I.V), peroxide value (P.V), cholesterol value, crude fat, crude fibre, crude protein, glucose content and vitamin contents were determined.

## **3. RESULTS**

**Table 1 Physical Parameters of Oil Extract from *Rhynchophorus ferrugineus* larvae**

Physical Parameter	Value
Colour	Golden yellow
Odour	It has the aroma of the source
Density	0.80g/cm <sup>3</sup>
Specific Gravity	0.80
Viscosity	13.09 pa.s
Nature	Liquid at room temperature
Refractive Index	1.08
Boiling Point	381K
Fire Point	156 °C
Flash Point	154°C
Smoke Point	134 °C
Cloud Point	144 °C
Ash Content	29.35%
pH	5.03

**Table 2: Chemical Parameters of Oil Extract from *Rhynchophorus ferrugineus* larva**

Chemical Parameter	Value
Iodine Value	128.19mg/g
Acid Value	3.37mgKOH/g
Free Fatty Acid Value	1.68mgKOH/g
Saponification Value	257.78mgKOH/g
Peroxide Value	6.93meq/kg
Cholesterol Value	20.2mg/dl
Glucose Content	1.04mg/g
Crude Fibre (%)	52.57
Crude Fat (%)	23.25
Crude Protein (%)	11.55
Test for Unsaturation Using KMnO <sub>4</sub>	Decolourized
Test for Unsaturation Using Bromine	The colour of bromine was discharged

**Table 3: Elemental Characterization by AAS**

Element	Concentration (ppm)
Aluminium (Al)	ND

Arsenic (As)	ND
Cadmium (Cd)	ND
Calcium (Ca)	28.32
Chromium (Cr)	ND
Cobalt (Co)	ND
Copper (Cu)	0.26
Iron (Fe)	0.23
Lead (Pb)	ND
Magnesium (Mg)	12.61
Manganese (Mn)	0.05
Mercury (Hg)	ND
Molybdenum (Mo)	ND
Nickel (Ni)	0.18
Potassium (K)	8.63
Silver (Ag)	ND
Sodium (Na)	7.53
Tin (Sn)	ND
Zinc (Zn)	0.17

**Note: ND = Not Detectable**

**Table 4: Fatty Acid Profile Test from Gas Chromatography**

Component	Name	Concentration (ppm)
C20	Arachidic Acid	271.95
C30+	Mellistic Acid	454.25
C17	Magaric Acid	17.26
C18	Methyl Stearate	380.73
C14	Myristate	7.70
C12	Lauric Acid	49515.20
C16:2	Palmitoleate	46195.18
C16	Palmitic Acid	249.46

**Table 5: Vitamins Composition by weight (mg/l)**

Vitamin	Value
Vitamin A	500 mg/l
Vitamin E	0.61mg/l
Vitamin C	3.00 mg/l
Vitamin D	6.41mg/l
Vitamin B <sub>1</sub>	92 mg/l

#### 4. DISCUSSION

The physical properties of *Rhynchophorus ferrugineus* larva oil are presented in **Table 1**. The values obtained are closely related to the standard range approved by Standard Organization of Nigeria (SON). The oil being liquid at room temperature, suggests that the oil is unsaturated.

The data from physical characterization also revealed in **Table 1** that the smoke, flash and fire points of the oil extract were not significantly different. However, the high values obtained for both fire and flash points are indicative of the suitability of the oil extract for cooking and frying.

The golden yellow colour of the oil is prevalent in high quality edible oils and the colour is indeed as attractive as peanut oil, with Specific gravity of 0.8 which as expected floats on water. This satisfies the natural characteristics of oils.

The pH of the oil (5.03) is slightly acidic and quite comparable to the pH of edible corn oil at 4.90.

From the chemical characterization as shown in **Table 2**, the fibre, crude fat and protein contents, 52.57, 23.25 and 11.55% respectively suggest the attraction of the oil as a food supplement. The decolourization of Potassium permanganate (KMnO<sub>4</sub>) and Bromine are indicative of the presence of double bonds, i.e. unsaturation within the chemical structure of the oil extract, indicating the healthy nature of the oil.

The peroxide value of the oil sample (6.93meq/kg) was in agreement with the maximum Codex Standard peroxide value which is 10meq/kg for vegetable oil deterioration. It shows that *Rhynchophorus ferrugineus* larva oil extract has significantly high peroxide value which suggests strongly that the oil extract has high content of unsaturated fatty acids.

The iodine value (128.19mg/g) in **Table 2**, which is a measure of the degree of unsaturation of edible oil, is within the range of class of semidrying oils which are yet another strong suggestion that the oil contains some proportion of unsaturated double bonds.

The cholesterol value of the oil extract (20.2mg/dl), which falls below the tolerable limit of 120 – 200mg/dl (WHO, 2006), implies that using the oil extract in our daily diet would achieve a remarkable degree of protection from cholesterol induced diseases such as, high blood pressures, stroke, clogged arteries and cardiac congestion (PAC, 2007).

The crude fibre content of the raffia larva (52.57%) shows that the maggot is very rich in dietary fibre. According to literature (Bokhari and Abuzuhira, 1992), it helps to prevent constipation by increasing the stool weight and decreasing gut transit time. Fibre provides bulk in the diet without added calories and can give a satiating effect on appetite and also helps in body weight management. However, the very low sugar content (1.04mg/g) is good for adult, but falls short of children's need.

The high saponification value (257.78mgKOH/g) of the oil extract is an indication that the oil is suitable for soap making. But, the limited quantity obtainable from the various modes of extraction makes it commercially unattractive for soap making (Onuchukwu, 1998).

The protein content (11.55%) implies that *Rhynchophorus ferrugineus* larva oil extract can contribute significantly to the daily human protein requirements. Indeed, this is a plus for the quest as food by many communities.

The elemental characterization data of the oil extract using AAS as presented in **Table 3**, shows that the oil contains Calcium, Magnesium, Potassium and Sodium in large quantities which are the indices of nutritive value of food. The oil also contains Iron, Copper, Zinc and Manganese in minute quantities. These elemental presences are known to play beneficial roles to the good health of a consumer.

The Fatty Acid Profile Test by Gas Chromatography summarized in **Table 4**, reveals a preponderance of saturated and unsaturated fatty acids. The oil contains a large quantity of palmitoleate (C16:2) which is an ester of palmitoleic acid (omega 7 monounsaturated fatty acid) which indicates the presence of 16 carbon chains with two double bonds. Thus, the oil contains mono-unsaturated fatty acid as well as saturated fatty acid as a result of the high presence of lauric acid and small quantity of other saturated fatty acids.

From the results on the test for Vitamins presented in **Table 5**, the bountiful presence of vitamin A (500mg/l) in the oil makes the oil a good dietary supplement in Vitamin A deficient diets. The good presence of Vitamin D (6.41mg/l) showed that the oil may serve as a good dietary supplement in Calcium deficient meals. The oil contains little quantity of vitamin E (0.61mg/l) which is an anti-oxidant and according to literature (Hunter, 2006) is used as an anti-aging portion. Vitamin B<sub>1</sub> level (92mg/l) in the oil implies that it could serve as a good source of Vitamin B<sub>1</sub> in diets. Vitamin C (3.00mg/l) is contained in the oil, therefore it further strengthens its quality as a food supplement because according to literature (Kirk and Sawyer, 1991), Vitamin C holds the cells together, heals wounds and builds bones and teeth.

## 5. CONCLUSIONS

In this study, a considerable effort is made to establish the physical, chemical and even the biological compositions of the oil extract from *Rhynchophorus ferrugineus* in order to provide explanation for the insatiable desire in the consumption of these larvae by the people. The characterizations reveal that the oil extract contains condiments of high nutritional values, appreciable vitamins and minerals with low cholesterol value.

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# DEVELOPING LEARNER AUTONOMY THROUGH PROJECT-BASED LEARNING AMONG FAST-TRACK STUDENTS AT THE UNIVERSITY OF LANGUAGES AND INTERNATIONAL STUDIES

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## **Abstract**

At the turn of the millennium, within the frame of the national reform in education, Vietnam National University (VNU) instituted a ‘high quality’ or Fast-Track (FT) program to all its member colleges and universities besides the mainstream curriculums. The FT program recognizes its mission as not only produce highly-proficient language learners but more importantly, develop highly autonomous learners who can generate and sustain life-long learning. To achieve this, project-based learning (PBL) has been introduced and utilized as one of the most innovative approaches to empower and engage FT students since the time the program was launched. Although project work has been integrated into the FT curriculum for more than ten years, most of the projects were designed and pre-determined by course developers, leaving students little opportunity to make decisions about the design or specifications of such projects. To address this problem, a new project called the Documentary Project (DP) which aims to engage students in every single step from designing, planning, implementing to evaluating their own project was introduced in 2015. The purpose of this present study is to investigate the effectiveness of the DP in enhancing students’ autonomy and attitude towards learning. The results reveal various aspects of learners’ autonomy practiced by FT students’ as well as their generally improved engagement and positive attitude in the process of working on the DP; however, some problems in implementing and evaluating the project were also evident.

## **Introduction**

This paper presents a detailed and evidence-based evaluation of the innovation which utilized project-based learning (PBL) to foster and enhance learner autonomy among second-year Fast-track (FT) students at the University of Languages and International Studies (ULIS). The paper provides a comprehensive report of the innovation in both theoretical and practical aspects ranging from literature of evaluation in educational contexts, summary of the innovation, evaluation methods to data analyses and discussion. Based on the results obtained, critical reflection on limitations of the study as well as areas for future development and improvement will be identified and suggested accordingly. In addition, the paper also takes account of my reflections in implementing the innovation as a novice researcher-practitioner.

Although PBL has been introduced and implemented in the FT division for more than ten years, students could not make major decisions about the projects since most of the projects were designed and determined by the teachers and course developers. With a view to engage students in the learning process as

well as promote their autonomy, I decided to introduce the Documentary project (DP) which involves students in every stage from designing to evaluating the project, to the second-year FT students. This study was conducted with the aim to investigate the extent to which the DP helps develop students' autonomy as well as explore students' perspectives about working on the project. In other words, the study seeks to answer the following research questions:

- What views do students have about participating in the DP?
- Does the DP help develop students' autonomy and in what ways?

### **The importance of evaluation**

Evaluation has long been regarded by many authors as a fundamental and inseparable part of language teaching and learning (e.g. Agrawal, 2004; Cronbach et al., 1980). As Weir and Roberts (1994) points out, evaluation refers to the process of systematic collection of information with the purpose to designate the quality of a program or project, which provides information for making accordingly decisions about teaching and learning. In the same vein, Lena and Colin (2010, p16) defines educational evaluations as evidence – based studies for determining how well a particular program is working and how it can be improved. Mann (2004) also shares similar viewpoint, asserting that evaluation should be regarded as a powerful tool in assuring and improving the quality of education, which decides the content and manner of the teaching and learning practice.

In this post-modern world, where quality in education is more emphasized than ever, the need to conduct regular evaluation to assess and assure the quality of the teaching and learning process is highly valued (Kiely, 2009). Given such significant roles in deciding and improving the teaching and learning process, evaluation could only generate good results if conducted systematically and effectively on different levels. However, as Cronbach et al., 1980 argues, poor and irrelevant evaluation may provide misleading results that can even hinder improvements. Therefore, from my understanding, proper educational evaluations should be scientific evidence-based studies which aim to provide well-informed judgments on how well a program, technique, etc works and identify areas for future developments and improvements. On a larger scale, evaluation may aim at certain organization, program (Cronbach et al. 1980; Kiely, 2009) or curriculum (Agrawal, 2004), which involves the participation of numerous stakeholders and the results can normally be generalized. On a smaller scale, evaluation can be conducted in the form of action research or classroom research (Hopkins, 2014) to investigate how well a certain teaching technique or method works in certain contexts.

Consequently, as practitioner in the education field with a view to constant improvement, it is not only a 'need' but also a 'must' to conduct regular classroom research so as to evaluate one's own teaching practice as well as to seek for betterment of the teaching and learning quality.

### **The study**

The study was conducted at ULIS, which is positioned in the top-rated institutions in Vietnam that specialize in foreign language education. The present study called upon the participation of 20 second-year FT students, who successfully passed the selection exam to the Bachelor of Arts honors program in English

Language Teacher Education. This honors or FT program, which operates alongside the mainstream one, was introduced in ULIS, VNU in 2001 with the aim to produce highly autonomous and proficient key language professionals, who will become “change-agents” in the field of foreign language education. To achieve this aim, the FT curriculum was designed and implemented in such a way that provided the highest level of flexibility and freedom for course developers and teachers to try out innovative ideas and new teaching practices. This has created a favorable condition for me to carry out this action research.

Although fostering and developing learner autonomy has long been highlighted as one of the prioritized objectives of the FT program, certain groups of FT students in recent years have displayed comparatively low level of autonomy and lack of enthusiasm in studying. Although on entering the FT division, their proficiency level were competitively high, ranging from B1 to B2 according to the Common European Framework of Reference (CEFR), this lack of autonomy in learning discouraged them from making further progress. These issues became more serious and even led to students’ indifference and negligence when it came to working on group assignments. This has urged me to resort to Project-based learning (PBL) as a long-term workable solution due to its branded efficiency in promoting learner autonomy (Baş & Beyhan, 2010; Hafner & Miller, 2011; Baş, 2011; Laur, 2013).

PBL was relatively familiar with the FT students since it has been introduced and utilized in the program for years. However, I tried to make the DP a totally different experience for students by handing them the rights to make major decisions and work autonomously on their own projects. Unlike Hafner and Miller (2011) who assigned the learners with specific project prompts for their digital videos, I let the students brainstorm and choose the topics for their own documentary films since it would make them feel more interested and engaged in the project. In addition, instead of providing students with necessary materials and information like Baş (2011), I only suggested some potential and reliable sources so that students could do research and find necessary materials themselves.

The DP was implemented in the third semester for students of the cohort year 2014 from 10<sup>th</sup> October, 2015 to 11<sup>th</sup> December, 2015. It was integrated in the Advanced Listening and Speaking program for FT sophomores with its major requirement of having students work intensively in groups to develop a 20-minute documentary film on their chosen topics. The documentary film should be original which smoothly integrated 60 percent of students’ self-recorded script and 40 percent of collected videos. Students were arranged into groups of four to work on their project during a 10-week period, which was basically divided into two phases. The preparation phase started with a two-week period of project designing, during which students worked with the teacher (me) to brainstorm and make decisions on the specifications of the projects as well as assessment criteria. The following two weeks were spent on IT support when students joined a 4-hour workshop on using movie-making software organized by the ULIS Multimedia Department. The implementation phase lasted for six weeks with two hours of class contact per week. For the first five weeks, students gathered in groups to brainstorm and select their topics, search for suitable videos and reference materials, write scripts and develop their documentary. Students were advised to specify and different roles, namely researcher, script writer, director, speaker, camera operator and editor for members with corresponding qualities, interest and skills. They could also choose to record videos using their own equipments or register to use the cameras and studios of the

university's Multimedia Department. Every week, a substantial amount of time in class was spent for groups to report on their progress and give comments to other groups' projects as well as consult with the teacher. The sixth week was dedicated to project showcase, evaluation and feedback.

## **Methodology**

With its purpose to seek for betterment of learner autonomy, action research design, which aims to "identify actions that will generate some improvement" (Hinchey, 2008, p. 4), appeared to be apparent and appropriate for the current study. In addition, since action research follows a continuing cyclical process rather than an end in itself (Hinchey, 2008), this design allowed me to make critical reflections on the innovation to see how well it worked in improving students' autonomy.

This action research was conducted following the interpretive paradigm, which takes into account *perceptions* of different individuals and believes in the existence of multiple realities (Hinchey, 2008; McCaig & Dahlberg, 2010). These qualities allowed me to seek thorough understanding of students' perspectives on participating in the DP, which helped to answer the research questions.

Moreover, since I did not expect any quantifiable improvements within a ten-week period, qualitative approach with its exploratory rather than confirmatory nature (McCaig & Dahlberg, 2010) was employed. This approach facilitated me well in gaining in-depth understanding of the participants' attitudes and perspectives about working on the project by descriptive and in-depth data as well as observable behaviors (Smith & Bowers-Brown, 2010). More importantly, qualitative research fitted well with this small-scale action research since it features detailed investigation of the phenomena in its natural setting (Mackey & Gass, 2005). Also, limited time allocation made it impractical to investigate the issue with a large population; therefore, I decided to sacrifice the breadth for the depth of analysis, which aligns with the nature of qualitative research that does not aim to generalize (Mackey & Gass, 2005).

## **Data triangulation**

Data collection methods consisted of the inquiry and collection of students' reflective journals on a fortnight basis, class observations during the six weeks of the implementation phase and focus-group discussions after finishing the project. Triangulation was done by means of comparing and contrasting these three data sources.

### ***Reflective journals***

This "participant-led" method (McCaig & Dahlberg, 2010: 123) was utilized to gather participants' attitudes and experiences of working on the DP on a regular basis and in a guided, unconstrained manner. The participants were provided with a journal template (see Appendix 1) and required to write three journal entries in week 2, 4 and 6 of the implementation phase. In these entries, they answered questions regarding activities they had done in each stage, the aspects of learner autonomy they had practiced, the challenges they had faced and any solutions they had come up with. Moreover, they were also required to critically reflect on their perspectives and attitudes of working on each phase of the project in detail. All journal entries were written in class at the end of the lesson to make sure every student do the task. Also, to give participants more details for

their writing, a 15-minute group oral reflection session were conducted in these weeks prior to their journal writing.

### ***Observations***

Semi-structured observations were employed every week during group discussions and presentations to gather live, concrete and observable evidence (Mackey & Gass, 2005) of learner autonomy that the participants displayed and practiced in live situations in class. Direct observations helped to collect information that the participants were not willing to reveal in their reflective journals, which provided me a deeper and multi-dimensional understanding of the studied issue (Dawson, 2002) and serve as a source of triangulation data to ensure the trustworthiness of the study. Since I had to do both roles of teaching and researching at the same time, I had designed and strictly followed a detailed observation form (see Appendix 2) to avoid missing important information.

### ***Focus group discussions***

In the final week, after finishing the DP, 10 students were invited to participate in a 60-minute focus group discussion. I was convinced that focus group discussion was suitable for this study since it is suitable for eliciting students' experiences and attitudes towards a certain teaching method (Breen, 2006). Based on data from the participants' reflective journals, I intentionally invited two students from each of the following groups for the focus group discussion: (1) autonomous learners, (2) non-autonomous learners, (3) learners who made explicit progress, (4) learners who made very little (5) learners who made no progress at all. These students were divided into two focus groups, each of which consisted of representatives from all five groups listed above. This small size (5 participants/focus group) was crucial to facilitate better interaction among group members, allowing each participant to make more detailed contribution to the discussion (O'Connell & Dymont, 2006). The focus group discussions were conducted in the Division's common room, which was familiar but private enough to ensure smooth discussion without interruption or background noise. The discussions were recorded on both my laptop and mobile phone for later transcription and analysis.

### **Data analysis**

Thematic analysis was used in this study since its flexible nature facilitated thorough and insightful investigation of the data (Braun & Clarke, 2006). During the implementation phase, observational notes and participants' reflective journals were carefully read, summarized and annotated to find emergent themes. These journal entries and observation field notes were labeled according to the date collected and students' names were also replaced with pseudonyms to assure anonymity. I made copies of these data sets and save the original version for back-up. When working on the copied version, I used a pencil to underline the important quotes that helped to answer the research questions. A color-coding system was then used to highlight similar and repeated ideas. These ideas were then typed up, categorized according to themes and saved in two different files for later comparison and contrast.

Data from focus group discussions was transcribed verbatim. The same procedure as described above was repeated with this data set to look for emergent themes and subthemes. When this data set had been

highlighted and systematically organized according to themes, it was triangulated with these two above data sets to look for similarities and differences.

### **Ethical issues**

To conduct the study in a cultural-friendly and ethical manner, essential ethical issues were taken into account to eliminate any potential risk for the participants. Written proposal was written and submitted to the Division Head and Dean of the Faculty to gain permissions to implement the innovation. Informed consents were obtained from 22 participants before collecting data; however, two participants withdrew from the study in week 4, leaving only 20 participants left.

To protect students' anonymity and confidentiality, pseudonyms were used and all data sets were used only for the purpose of the study without being disclosed to any third parties. Participants' comfort and convenience were also taken into account when arranging place and time for the focus group discussions.

### **Research data and Data Analyses**

To answer the research questions, data will be presented according to the emerging themes. The main themes emerging from the data are: (1) Students' attitudes about participating in the DP, (2) Decision-making and independent learning, (3) Group work and time management and (4) Negotiation and problem solving skills. For each theme, students' perceptions and opinions will be described and illustrated with evidence from observation field notes as well as extracts from the reflective journals and focus group discussions.

#### ***Students' attitudes about participating in the DP***

The DP appeared to be inspiring and novel for the students since it was the very first time that they worked together to develop a documentary film. Seven out of ten students participating in the focus groups commented that the process of making a video was totally new and fun, claiming that it made the study process more meaningful, enjoyable and less tiring:

*This is the first time ever that I've participated in a video project. Everything was so new to me. I feel so excited like I am the director of a movie.* [Focus group, S4]

*It was a lot of fun [pause] and beneficial. I enjoyed watching numerous videos on the Internet. And surprisingly, I didn't feel tired or fear of listening like when I do the listening exercises.* [Focus group, S1]

*I love it when we didn't listen for the purpose of completing comprehension exercises but to really understand what the speakers said. It makes listening more meaningful.* [Focus group, S7]

*I find filming the most enjoyable part in the project. I laughed my head off many times when my watching my friends and myself taking the shots. It was super funny.* [Focus group, S3]

This positive attitude was also reflected through their engagement as I observed them during the discussion and sharing sessions in class. Most of the students displayed their willingness to join the discussions by grasping the chance to speak and raising their hands to take the floor when it came to the part of presenting their proposed topics in front of the class.

However, several students did reveal their disappointment and discouragement, claiming that they had to work on topics they dislike or could not find many reference videos or resources on the internet.

*I proposed the topic 'Foreigners enjoying Vietnamese Tet holiday', but my friends didn't agree and voted for the topic of traditional food. Gosh, it was the most boring topic on earth! It just destroyed all my enthusiasm.* [Focus group, S8]

*It was so discouraging when we could find only a few short videos. And the quality was not good, either. We tried hard but seemed in vain, and had to change the topic in the end.* [Focus group, S5]

It is worth to notice that despite such complaints, these two students (S5 and S8) were quite active in during the in-class sessions. Especially when the other groups posed various questions to challenge their group's ideas or gave critical comments on their products, these students were among the first ones to respond and protect their group (Observation week 3, 5 & 6).

Other than the content, others, who have comparatively limited computer skills, found the project challenging because of the technical aspects. Even though they had already been trained on editing videos, the limitation of time and lack of practice hindered them from mastering the skills.

*It is such a daunting task to edit videos. I just started to learn using computers last year. I have to struggle even with MSWord, and now I have to edit videos!* [Focus group, S2]

### ***Decision making and independent learning***

Since this was the first time that students are involved in designing a project, many students could not help to express their eagerness and excitement about this new role, citing that they feel safer when they could make major decisions regarding the specifications of the project before working on it. Six out of ten students disclosed these during the focus group discussions.

*It was fantastic! I've never had a chance to change the requirements for my homework. But now I could even design it myself. I'm happy that my voice was heard and my opinions counted.* [Focus group, S12]

*I was the one who proposed to limit [the length of the video] to 20 minutes instead of 40 as suggested by others. I think it's manageable. It feels safe when you can eliminate any potential risks from the beginning.* [Focus group, S4]

On the contrary, a number of students admitted that they were quite nervous and confused at first when they were invited to contribute ideas and negotiate on the requirements of the projects. As data from observations showed, they just sat silently and refused to propose ideas, which was also evident from the focus group discussion:

*I know it's important, but I simply had no experience with designing projects. I just didn't know what to say and felt worried whenever I was asked to contribute ideas. I am more comfortable with following the teacher's instructions.* [Focus group, S6]

In addition, many (though not all) students also reported practicing independence learning by taking charge of their own tasks and learning to work autonomously without teacher's enforcement. Twelve participants revealed in their journals and focus groups that the project gave them "good reasons to practice meaningful listening and speaking" [Reflective journal, S14, Entry 1] or urged them "to listen a lot without

*being aware that in that way they are practicing listening to English”* [Reflective journal, S17, Entry 1] since they had to listen and watch a lot of videos until they could find the most satisfactory ones. Some reflected forcing themselves to practice speaking for multiple times to seek for perfection:

*My voice is too soft and I tend to make many pronunciation mistakes so I was anxious about the speaking part. But I know I had to complete the task, otherwise my group would be affected. So I forced myself to rehearse in front of the mirror many times a day before taking the shot.* [Focus group, S3]

Some students also reported having to communicate using spoken English a lot during the time they worked on the DP since their topic was about foreign students in Vietnam. This has brought them into contact with numerous students from a number of countries, talked to them and interviewed them in English, which gave them ample opportunities to practice their oral skills.

*Interviewing was the hardest but most enjoyable part in our project. We had to make use of every acquaintance that we had to find foreign students who came to study in different Vietnamese institution. Talking to them was fun. I gave me real feelings and pleasure, unlike the role-plays or simulations that we did last semester.* [Reflective journal, S10, Entry 2]

### ***Teamwork and time management***

In the FT program, although students had been familiarized with doing group assignments of various form since their first year, many reported that the nature of the DP made teamwork a much more significant part to the satisfactory completion of the tasks. Specifically, they commented that with the other assignments, they simply had to divide their task into smaller parts to work independently then joined them to make the group’s final product; however, the DP required them to work closely as a team in every step.

*In other assignments, we worked as groups but on independent tasks. This time, everything was closely related. Every step required active contribution from everyone. It was like continuous parts of a chain, if one is missing or broken, it will destroy the whole process.* [Reflective journal, S5, Entry 3]

Moreover, almost all students agreed that the group leader played an essential role in deciding the smooth and effective cooperation among group members. Through their reflections, every group highlighted this essential role, explaining that if the group leader could communicate well, assign the tasks equally and make reasonable decisions, the project would run well.

*In my group, we got things done mostly because we got a capable leader. She was decisive and goal-oriented. She kept urging us to complete the task on time. But she was nice to everyone and could keep us work harmoniously together.* [Focus group, S8]

Moreover, most of the students put emphasis on the importance of effective communication in teamwork, pointing out that it was among the decisive factors leading to the successful completion of the project.

*To me, regular meeting is essential in group work. Especially in this project when whatever you do or decide is related to other people’s task, it’s super important that [group members] talk regularly and frankly to each other because if you don’t tell [others] about your problems, they can never be solved.* [Focus group, S1]

*It's necessary to communicate and get updated. In my group, we chatted every day, and sometimes we met face-to-face if there was important issue. [Focus group, S6]*

Some students also illustrated by describing times when communication failed that led to group members' dissatisfaction or delay of work. For instance, students reported problems in communication when they had to negotiate on task and could not arrange suitable roles for each group member, when some member refused to contribute or when conflicts occurred and were not properly solved.

*[In my group], no one was willing to edit the video because this task took a lot of time and effort. You cannot divide it to two people, but one had to do it all. I didn't know what to do when everyone refused. [Focus group, S7]*

*We argued and [pause] even quarreled a lot when selecting the topic. It took us almost [uhm] three weeks to discuss and pick one topic, but I know others are not so happy with that topic. [Focus group, S2]*

*One member in my group was just, [uhm] to be honest, irresponsible. She didn't turn up in group discussions for many times, and was out of contact without letting us know. We were all depressed when she just didn't show up when it came to taking the shots of her part. [Focus group, S5]*

It was also notable in the observation data that this problem happened to every group, which either caused by disagreement or unequal division of tasks. For example, group 2 and 3 had quite a hot debate on which topic to choose and until the third week they still could not reach a final agreement when all other groups had moved onto searching for videos. Group 1 and 4 assigned the task of editing videos, which was the hardest and most time-consuming part, to only one member, which seemed to make her overloaded and spent the whole sharing session in the final week complaining about that. Group 5, on the other hand, had problems with communication when it came to writing the scripts. It appeared to me that one member gave a quite harsh comment on the script and the script writer felt so hurt that she burst into tears and refused to continue doing the task afterwards.

Besides teamwork, students also reported both improvements and problems related to managing time and follow to the schedule. While many reported that they can triumph over procrastination due to the inspiring nature of the DP, it was noted during observations that a number of others failed to meet the deadline of several phases. Groups who had common interest in their chosen topic (namely Group 1 and 4) tend to be more enthusiastic about the tasks and complete them more satisfactorily on time. During the observation, they were generally seen coming to class with abundant informative videos, well-rehearsed scripts and detailed report of their progress. To the contrary, groups who had conflicting ideas on the topics (Groups 2 and 3) had to make excuses quite often for leaving their task fulfilled when deadlines came. However, it is interesting to note that when being asked about things that they have gained when working in the DP, two students who claimed to have made improvements in terms of time management skills both came from group 2, who actually failed to meet the deadline quite often. They also clarified that they did not procrastinate but blamed unexpected technical problems for the delay.

*I was happy that I could manage my time better when working on this project. I didn't run into everything at the same time like before but learned how to divide my time budget and arrange time to do more important tasks first. [Focus group, S3]*

*My group was behind the schedule sometimes, but it was not because we were lazy. We started the task right away, but things always went wrong in the last minute. My computer broke down when the video was nearly done. My internet connection was out of service for 5 days when I needed it badly to look for videos and so on. We were just [uhm] unlucky, or we should've had more time to work on this project.* [Focus group, S8]

In their reflective journals, many revealed their worries about the quality of the products and even shame when they couldn't complete the tasks on time:

*We argued a lot about the plot of our documentary and couldn't finish the script by the due week. I felt so embarrassed standing in front of the class presenting an incomplete version.* [Reflective journal, S6, Entry 2]

### ***Negotiation and problem solving skills***

Negotiation was the skills that most of students reported to have utilized a lot when working on the DP. They reflected in the journals and focus group to have negotiated at almost every stage namely choosing roles, proposing topics, selecting video clips, editing scripts, filming and editing videos. Through negotiation, they claimed to have learned to avoid being aggressive and disagreeable. Instead, they tried to keep calm, speak nice words and persuade their peers with reasons and evidence.

*I remembered shouting at my teammate in the first week as she refused to do anything but searching for the videos. But then I realized that it just make things worse, so I tried to [...] clarify [later] that everyone needs to contribute at every stage. She still appeared to feel uncomfortable, but had to join us for the rest.* [Reflective journal, S14, Entry 1]

*We argued a lot. Everyone has his own idea about what is best for the group's video. So as the group leader, I set the rule that each person should propose their ideas and persuade others, saying why their idea is better. Then we did an open vote to decide.* [Focus group, S8]

The observation data also revealed that students had to negotiate a lot within their groups with different manners. Many students had to resort to Vietnamese when feeling that their English was not enough to express their viewpoint [Group 1 – Observation Week 3, Group 5 – Observation Week 4]. Some were quite aggressive and dominant, speaking with loud voice and firm gestures [Group 3 – Observation Week 2]. Only a minority, who were more reserved and introverted did not say much but just added some weak objection.

Besides negotiation, students commented that the DP exposed them to numerous unexpected situations that required them to find instant solutions. Among those, technical problems were cited to happen most frequently, ranging from simple common ones like incompatible file extension, unsmooth transitions between parts of the documentary or unexpected electricity cutout to more serious and complex problems such as broken laptop due to memory overload or losing the work due to somebody's carelessness. *I remembered finishing the first draft of the documentary around 2 a.m. in the morning when the electricity suddenly went out when I haven't saved my work. I just wanted to cry!* [Focus group, S2]

*We had filmed almost all the necessary shots and were about to copy files from the camera to my laptop. But my teammate accidentally touched the 'Erase all' button, and everything disappeared within a blink of eye!* [Focus group, S5]

In case of such emergencies, students reflected that they learned to make use of every available resource to fix the problems as quickly as possible and get the work done on time.

*None of us was good at technology so I had to resort to my friend in another university to help editing the video. Things were done beautifully, but when I opened it on my computer, it was not compatible. So I asked him to convert it to another extension, but the quality of both the image and sound was much worse. In the end, I had to persuade him to lend me his computer so that I could showcase the documentary in class.* [Focus group, S4]

*Some transitions are not smooth because they are cut and pasted from different sources. I had to ask friends from other groups to help edit the sound quality to make it stable.* [Focus group, S2]

Other problems that students also reported in their journals included difficulties in arranging conflicting schedule of their group members, finding appropriate interviewees, developing an original script that smoothly integrate different videos, etc. For most of the problems, students had worked out the solutions, though the level of effectiveness varied largely. However, what they claimed to have learned was the attitude and strategies to deal with unexpected problems, stating that after several times they learned to “*expect problems at any time*”, “*duplicate or even triplicate things*”, “*seek out for help from peers and teachers*”, “*negotiate for extension in case tasks cannot be completed*” [Reflective journals, S3, S5, S12, S18]

## Discussion

The findings of this present study are aligned with the existing literature in a number of aspects. First, most of the students in this study were found to be excited and eager about the project, which agreed with a number of studies by other authors in this regard (Baş & Beyhan, 2010; Hafner & Miller, 2011; Baş, 2011; Elam & Nesbit, 2012) which all reported positive attitudes of students for PBL. Moreover, participants in the study also reported to have developed similar aspects of learner autonomy when working on the DP with science-majored students in the study by Hafner and Miller (2011). Among those are managing their own learning through autonomous search for necessary information and independent practice of the language, teamwork skills, time management etc. Other than that, the students also revealed developing other qualities that are not found in previous studies such as decision making, negotiation and problem solving skills.

The participants were much more excited and eager about designing the specification of the project that I had expected. They kept asking numerous questions on what they should include and what was expected of them as a second year FT students so that they could design the task accordingly. This was totally different from the findings of McCarthy's study in 2010, which revealed Japanese students' unwillingness and reluctance to make decisions about their study. This might result from the fact that the participants have long been familiarized with the democratic and flexible culture when learning in the FT program, where they are given ample opportunities to give feedback and contribute ideas for the common development of the Division.

However, even though the students revealed their appreciation of the DP in motivating them to practice oral English in an autonomous and meaningful manner, there were complaints made at times about the little benefit that this project had in improving their listening comprehension. This point was similar to the claim made by Japanese students in the study by McCarthy (2010) that in the end, their final score means more to them than any other things. This concern was quite reasonable given the context of testing and assessment in Vietnam and ULIS at the moment. Specifically, it is an approved policy announced by the National Foreign Language Project 2020 that as English-majored students, they need to achieve at least C1 level according to the CEFR to be able to graduate. ULIS even made it a stricter obligation that FT students need to pass a final standardized test at C1 level by the end of the second year in order to get an honors degree. This, to some extent, discouraged students, especially lower-level ones, from participating actively in the DP since they wanted to spend time for more realistic practice for the upcoming test.

## Conclusion

In this paper, I have described the implementation of the DP with the purpose of fostering and developing learner autonomy among FT English-majored sophomores. The present study managed to seek answer for the two proposed research questions. To begin with, regarding the students' views of participating in the DP, the findings revealed that they mostly found the project to be fun, novel and beneficial. This was proved through their engagement in different activities and stages of the project, as well as their aspiration to better their products. Moreover, the participants also reported numerous aspects of learner autonomy that the DP encouraged them to practice and developed such as decision making, autonomous practice of the language, independent learning, cooperativeness in teamwork, time management, negotiation, and problem solving skills.

As a small-scale action research implemented with only one group of students, the study was exploratory in nature and by no means generalized. Rather, my intention is to highlight the potential of the technology integrated with supportive learning in creating a favorable and inspiring environment for students to explore and challenge their ability and from that, foster and nurture their autonomy in learning. This action research is also among the initial attempts to investigate how PBL helped to develop learner autonomy in the FT Division. Though further investigation needs to be done to draw a comprehensive picture of the issue, the findings of this study suggest that course designers and teachers may draw upon the digital world and real-life projects in order to create opportunities for autonomous and meaningful learning.

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## Development of a free-viewpoint video technology for educational activities on smart devices

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### Abstract

This study aims to use original free-viewpoint live video technology in smart device applications to view objects in 360 degree 3-D.

In 2013, the author used this technology to carry out the transmission of free-viewpoint video streaming of Sharp 4K TV's promotional website "AQUOS REAL LIVE" onto a PC. However, due to limitations in the OS design and specifications, there were difficulties in duplicating the editing and program systems present on the PC website's video transmission when viewing them on smart devices. It was thus necessary to develop a new system.

Therefore, the author devised a method of segmenting the film of an object, shot from 360 degrees with multiple cameras, into still frames, and then adding time and angle information to each frame. Smooth changes of viewpoint were attained by continually displaying these still frames with the time information and changing each corresponding angle in response to the user's instructions. This made it possible to view a 360 degree 3-D video of objects even on smart device applications. This system also led to a free-viewpoint video with higher picture quality and smoothness, as the real image resolution and number of viewpoints are both unlimited.

This technology was actually used in "Rittai Ikimono Zukan" (translated as "a cubic creature book"), an application for smart devices that works in conjunction with the Benesse Corporation's children's television program "Shimajiro's Wow!" It provided links between the television program and the educational content, which used free-viewpoint video. Moreover, this data system was included as an example of a patent acquired and implemented in Japan in 2013. In 2015, the rights to the same patent were acquired in South Korea, China, and the United States, and they are currently being applied for in Europe.

**Keywords:** free-viewpoint, patent, cubic, education, smart device

### 1. Introduction

Although the area of education is increasingly adopting the use of smart devices as teaching tools, the common tendency is to use less video content and even lesser interactive, live action video content. The present study focuses on the development and outcomes of multimedia applications for early childhood education.

In 2013, the author developed a technology for viewing free videos in 360°, which has been patented in Japan, China, the United States, and South Korea. In collaboration with the Benesse Corporation, the author has developed a picture book app called "A cubic creature book" that takes advantage of the unique multi-view patented technology.

This paper presents the development process of the smart device apps that take advantage of the multi-view video technology. The effects of the technology are analyzed, and the potential of multi-view educational videos is discussed.

## 2. Unique multi-view video technology, “cuvie”

The multi-view video technology “cuvie” was developed and patented in 2013. It is distinguished from traditional multi-view video technology by its novel feature of 360° viewing that considers the movement of the viewer. Technically, the technology is located in the multi-view video and free-viewpoint video intermediate. Compared with conventional multi-viewpoint video technology, “cuvie” is characterized by the ease of switching smoothly across multiple angles consecutively in a short time lag. “cuvie” shares similarities with the free-viewpoint video used in Internet streaming sites, but its technique is highly versatile. Indeed, its novelty and function have been recognized by brands and award-giving bodies. The author’s work has been utilized, for the first time, in the promotional site “AQUOS REAL LIVE,” Sharp’s 4K TV, which was released in 2013<sup>1</sup>.

More recently, Asahi published on June 1, 2015 the content “Danceta!” which was created using the same technology<sup>2</sup>. “Danceta!” enables 360° viewing of free dance performances of the top dance groups in Japan on a PC. Within the same site, various types of content could also be viewed using this technique, such as commentary video of dance techniques. When viewed using a PC, videos could be paused at critical moments, and the viewer can refer to the top dancer’s commentary on the techniques of other top dancers. “Danceta!” illustrates the potential of this technique in a broad range of utilization methods.



Figure 1 Multi-view video of “AQUOS REAL LIVE”

## 3. Educational apps and TV program “Shimajiro’s WOW!”

According to the data released by Apple in June 2015, the total number of apps for iOS devices clocks in at more than 1.5 million. There are so many apps in the education category, and this number is expected to rise. Many of these apps largely contain animation elements, such as photos and illustrations. In other words, when compared with the content of TV programs and video teaching materials for education, the degree of use of

video in educational apps is low. Content that takes advantage of the specs of the device to the fullest can be said to be considerably less.

Nonetheless, the 2010 app “The Elements,” a picture book of high image quality videos on the various elements and its forms, was a big hit<sup>3</sup>. This app features sequential photographs of high image quality. It is an innovative app that allows 360° viewing of the various elements by tracing with a finger. The app is a popular and has been downloaded a lot of times as of April 2016 despite its price of USD 13.99. “The Elements” remains one of the few that utilize the representation of videos and interactive live-action content. As such, there is plenty of room for the development of smart device apps that take advantage of live-action video content.

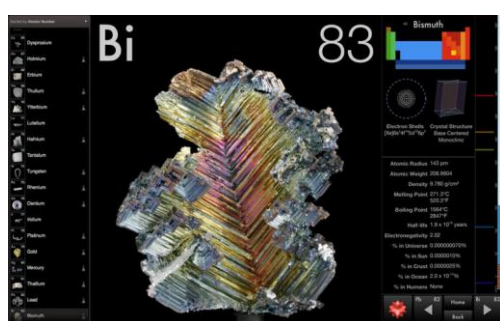


Figure 2 Sample page in “The Elements” app

Technologies used in apps are also applicable in TV programming. The author participated as a director in the production of the children’s TV program “Shimajiro’s WOW!”<sup>4</sup> produced by the Benesse Corporation. In terms of theme, program aimed at conveying the importance of nature and life to children, along with other environmental concepts. The “WOW!” in the program title reflects the goal of delivering surprises to the children, which is achieved by incorporating a new visual expression. For its novel presentation and well-written episodes, this program has been awarded and nominated for numerous awards<sup>5</sup>.

Based on this collaborative work with Benesse Corporation and in recognizing the state of apps for children, the author proposed an educational app for smart devices that delivers creative lessons and surprises by utilizing a unique patented technology. The result is “A cubic creature book.”



Figure 3 Top page of “Shimajiro’s WOW!” website

#### 4. A cubic creature book

“A cubic creature book” utilizes the technique called time slice, made famous by the 1999 movie *The Matrix*. Literally referring to cut moments, time slice is a video technology that shows gradual and smooth angle movements in 360° for a specific time point. This technique was deemed to have creative utility in educational content. The author thus proposed producing a video with time slices for the movement of aquatic organisms, such as fish and crustaceans. Such a material can be viewed in a smart device application that uses the patented technology “cuvie.” Thus, development of content for observing aquatic organisms in 360° was launched for both the TV program and the smart device app. As it allowed three-dimensional viewing of creatures in 360°, the video content was named “A cubic creature book.”

The task of creating a picture book of creatures that can be viewed in 360° and interactively on the app for smart devices involved major technical challenges. For instance, shooting the creatures in the time slice approach for the video content posed technical issues. However, solutions have been formulated for the various challenges faced.

#### 5. Implementation of “cuvie” on the smart device app

Images taken by several cameras were synthesized into one large image. The author established a technique for showing trimmed angles during playback. This realized the smooth switching of angles on the PC site. However, to implement the same system on the smart device, the specifications of the iOS app were initially an obstacle.

When video clips are played on the iOS, the device shifts to full-screen display. When the video is played vertically, the screen shows a black space at the top and bottom, as shown in Figure 4, as the video is displayed in the middle of the screen. Given this specification, showing the trimmed part of the image as developed for the

PC site was initially difficult. Thus, a mechanism for creating new data was required to take advantage of the “cuvie” on the smart device. Subsequently, various data formats were tested until the most feasible method was identified: breaking up the video frame by frame.

After all videos were processed in this method, the test structure for continuously displaying the frame was confirmed. As shown in Figure 5, the default setting is a continuous sequential display of frames of the same angle code (AC) according to the time code (TC). Upon the instruction of the user to switch angles, the program shifts the AC in accordance with the desired speed and scope. Thus, the implementation of “cuvie” on smart devices was realized.



Figure 4 Play video on iOS

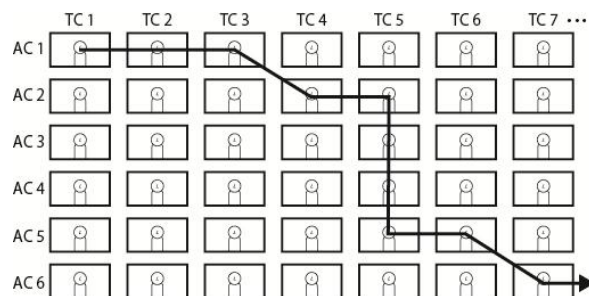


Figure 5 Data structure of "cuvie" for smart devices

## 6. Shooting of aquatic organisms

To build an image that can view creatures in the water with 360° perspective, the problems related to shooting images needed to be addressed. The first challenge was the form of the water tank. To shoot the aquatic organisms, they must be placed in water. However, when using the typical cubed aquarium, its corners tend to impede views of the subject, especially when shooting from a particular angle. Further, as the angle of the glass surface varies, the strain of the object needed to be changed for each camera. In the case of shooting using a common aquarium, distortion occurs when the viewpoint is moved, and thus, it is difficult to maintain the quality of the content. Thus, a sphere or cylinder type of aquarium was created for the shoot, custom made to enhance the quality of the 360° view of the video.

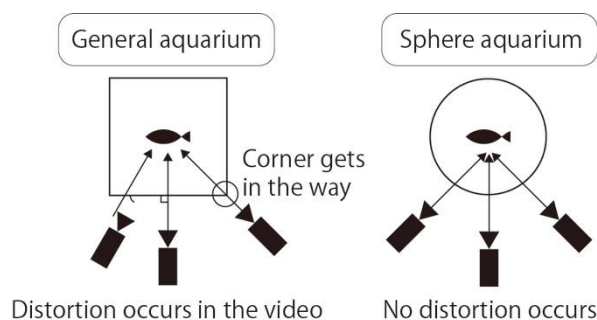


Figure 6 Shooting with a general aquarium vs. a spherical or cylindrical aquarium

The next challenge was the adjustment of the water salinity. Variations in salinity had effects on the behavior of organisms, at best. A number of organisms are highly sensitive to the salinity level that even a little difference could spell death. The filming of “cubic creature book” involved 38 kinds of aquatic organisms, which necessitated the replacement of water for 37 times. This step posed logistical difficulties. Since the aquarium needed to be photographed in 360°, 30 cameras were set up as shown in Figure 7. The limited space inside the wheel of cameras made water replacement tricky. Nonetheless, the production team successfully completed shooting the 38 kinds of organisms within a six-day period.



Figure 7 Shooting landscape of the "cubic creature book"

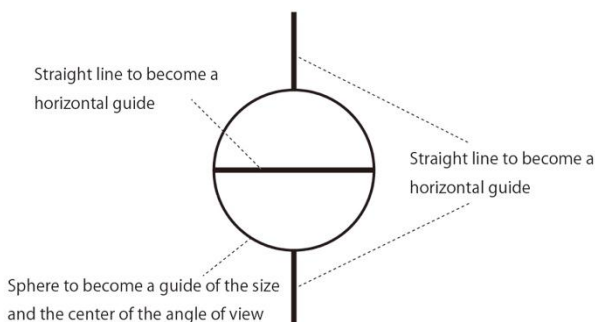
## 7. Editing and Programming

The 30 cameras ultimately produced 10 TB of data. With consideration for usability, the next step was the editing of the content to be accommodated by common smart device capacity.

Editing generally consists of three major tasks. The first is the adjustment of the angle of view; the second is time synchronization; and the third is the writing of data. View angle adjustment is performed using a guide, shown in Figure 8. When taking images of the organism submerged in water, the guide must be placed correctly, and then shots must be from the center of the angle of view of all the cameras. Then, This guide can be taken advantage to compensate for subtle differences in the angle of view at the time of editing.

The guide is loaded slightly different on each camera with respect to position, size, and inclination. The alignment must be constant to avoid distortion between the different cameras. As shown in Figure 9, the size and position fit to the guide circle of the outline of the sphere. The slope guide determines the deviations in angle. After images are adjusted by the guide, then the materials taken of each organism can be aligned with the angle of view of the creatures in the images to be used as the material of the app.

Figure 8 Guide used to adjust the angle of view



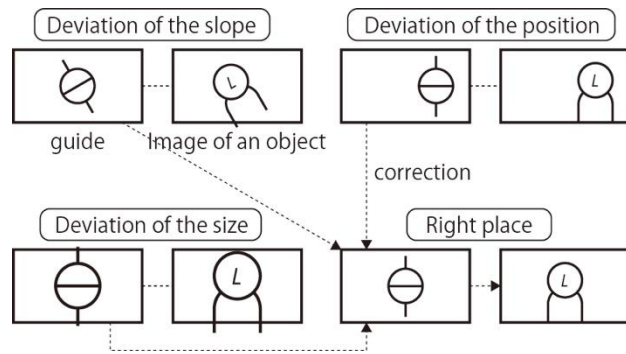


Figure 9 Adjustment of the angle of view using the guide

After editing, time synchronization was performed. During the shoot, recording was in discrete time, and no sync time data could be gathered. Therefore, the on–off of lighting during shooting must be synchronized according to the correct timing. Specifically, the timing of illumination at the start positions of all of the materials, as shown in Figure 10, must be aligned with the material time of all angles. All of the materials are synchronized in both space and time axes.

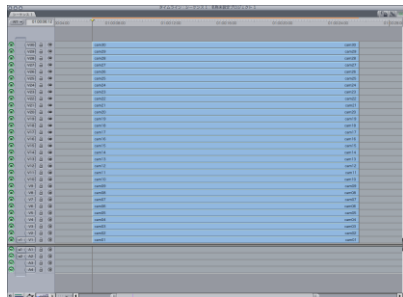


Figure 10 Timeline on the editing software

The writing of the material was the third step. This task must always proceed with the monitoring of the amount of data of the exported material. When the amount of data is too large, the app will take too much time to download. If the amount is too light, then this means the images are overly compressed, which would impair the quality of the video. After the usability and quality of the completed app were taken into account, the project underwent considerable adjustment.

## 8. Construction of the app and sample content

After the editing, the finally process was the actual building of the app using the exported material. In this application, the main content is an image of the organisms that allow 360° observation. As shown in Figure 11, the app features a simple structure: cover and splash page,

table of contents page, category-based selection page, page for every organism, and commentary page.

After reaching the splash page, the user can select the creature category in the table of contents page, and then choose a creature in the category. By tracing to the left or right with a finger, creatures chosen can be seen in 360° immediately in the video. To know more about the creatures, the user can view relevant information in text form on the commentary of the creatures page. This simple structure is expected to stimulate children's curiosity by keeping them interested and avoiding them getting bored.

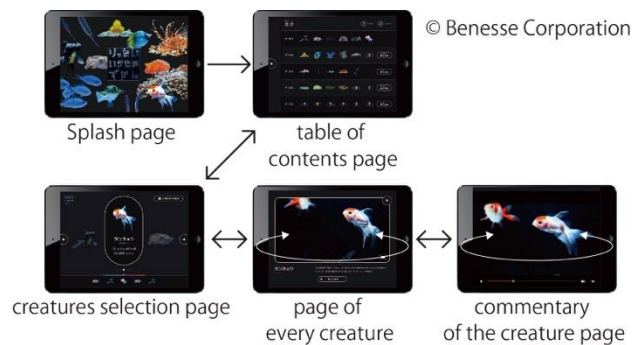


Figure 11 Transition diagram of the "A cubic creature book"

The 360° view of the video in the application helped realize various effects, such as the three-dimensional swimming view of the goldfish and damselfish, for example. Such an experience is not offered by planar moving images.



Figure 12 Goldfish in the "A cubic creature book"

The app helps children understand the dynamics between organisms, such as clownfish and sea anemone. The sea anemone generates a poison from its tentacles, but the clownfish is immune, thanks to the special mucus emanating from its body. Thus, the clownfish uses the sea anemone as a hiding place from predators. Looking at the video in 360°, it is possible to observe how clownfish hide in sea anemone. The video shows multiple clownfish moving in and out of the sea anemone, which children can be asked to count as part of an educational activity.



Figure 13 Clownfish in the "A cubic creature book"

Lionfish prey on small fish, such as goldfish and killifish. The hunt is much more exciting to watch when viewed from various angles in the 360° video. Children can clearly see how lionfish capture their prey. Further, it is possible to see whether the details have a motion of any body at that time.

Fast-moving organisms, such as black spotted puffer and cuttlefish, can be observed by taking advantage of the time slice feature. By tapping the middle of the screen, children can access a detailed presentation of the organisms in 360° view and in 3D. At present, these features are unique to this app.



Figure 14 Cuttlefish in the "A cubic creature book"

As a final example, corals, deemed motionless, can be observed up close by children, for them to notice the minute details and movements of these organisms. The app features long shot views that combine time-lapse images and 360° perspective. They can gaze in awe at the polyps opening like a flower. The app thus enables the user a nearly realistic experience.

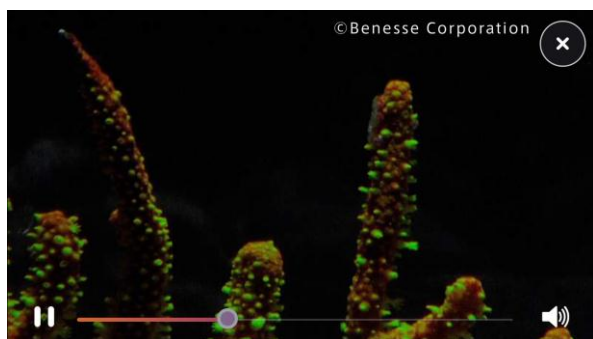


Figure 15 Coral in the "cubic creature book"

## 9. Conclusion

In this way, video presentation that cannot be experienced in other apps using the picture and photos that existed up to now was achieved by the 360° feature of the video. This app represents a new genre of education tools that enables users to observe aspects of organisms that could not be seen in stereoscopic images. In addition, this video technology can be easily implemented in educational content for other types of organisms, such as insects and mammals. It is possible to see the appearance of creatures in ways not yet offered in handy display devices. Thus, it has great potential in the field of content for children education.

The novel technology has a wide range of utilization with respect to content for education, such as movement in dance and sports. Cameras can be installed in a studio to record dance lessons, and the model described above can be used to produce 360° views that would help users and learners difficult moves. As for sports training, 360° perspective, such as on the form of the players, would undoubtedly aid analysis and strategy formation that can boost play performance.

Thus, 360° videos offer literally a multitude of new perspectives and potentially endless application in the field of educational content. Further, as viewing on mobile devices is accommodated, 360° viewing may become a standard in future, as more users demand its availability. This would constitute a major step in the spread of multi-view and free-viewpoint videos.

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<sup>1</sup> The archive page of AQUOS REAL LIVE is at <http://awards.1-10.com/2014/aquos-real-live/archives/>. Real-time data are available for viewing.

<sup>2</sup> Content page of “standing dance!” on TV Asahi in the video. The dance of the top dancers can be viewed in 360° at [http://www.tv-asahi.co.jp/douga\\_mv/danceta/](http://www.tv-asahi.co.jp/douga_mv/danceta/)

<sup>3</sup> “The Elements” is available at [store.https://itunes.apple.com/us/app/the-elements-by-theodore-gray/id364147847?mt=8](https://itunes.apple.com/us/app/the-elements-by-theodore-gray/id364147847?mt=8)

<sup>4</sup> “Shimajiro’s WOW” website is available at <http://kodomo.benesse.ne.jp/open/tv/>. ©Benesse Corporation

<sup>5</sup> The most prestigious award received by “Shimajiro’s WOW!” is an Emmy nomination for the kids department in 2015 ([http://www.iemmys.tv/news\\_item.aspx?id=202](http://www.iemmys.tv/news_item.aspx?id=202)). Other awards include the Grand Award in the preschool department of the World Media Festival in 2013, nomination in the preschool department of the Asia Television Awards in 2014 and 2015, and nomination for the Banff Media Festival of Children’s Notification Department.

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## Online Reputation Management: Comparison of Communication Strategies for Handling Complaints that Turkish Banks Use on Facebook Brand Fan Pages

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**Abstract:** While it takes years and a lot of efforts to construct a strong corporate reputation, it can be damaged in minutes with a sudden crisis out of control. Therefore, reputation management is a strategic tool helping companies to overcome an unexpected crisis. Managing reputation online is more difficult since it is not possible to control the negative electronic word of mouth created by consumers on social networking sites. In the era of social media, consumers express their opinions freely concerning companies. Besides, making a complaint is just easy as pushing the send button on social networking sites such as Facebook, and it is much easier to put the responsible company in action since Facebook pages are open to public view. Thus, corporations' way of coping with the negative comments left by their unsatisfied customers on their Facebook pages is a significant issue from the perspective of online reputation management. Corporations need some communication strategies to cope up with the online complaints left on their Facebook pages. This research examines how Turkish banks respond to customer complaints on their Facebook pages and whether there is a difference among the Turkish banks from the perspective of the communication strategies they use for replying online complaints on Facebook. For this purpose, the Facebook brand fan pages of Turkish banks were analyzed with the method of content analysis by using descriptive statistics.

**Type of Paper:** Research

**Key words:** complaints, banking sector, Facebook brand fan pages, online reputation management, and strategy.

### 1. Introduction

Corporate reputation is the most valuable asset of companies which is hard to be acquired but it can easily be lost without proper management (Helm, 2011: 3). Corporate reputation differs from corporate image as it is built over time and is not simply a perception at a given point in time (Argenti, 2003: 71). However, managing corporate reputation online is more difficult since it is not possible to control the content created by consumers on social networking sites. Negative comments left by unsatisfied customers on Facebook or Twitter brand fan pages are part of a negative electronic word of mouth and as they are seen by public, they can give damage to the reputation of a company. If a consumer gets angry with a company for some reason, the company will hear its reflections on social media in a short period of time. Kerpen (2015) mentions that that consumer can fill out a comment card from her/his smartphone that instant and then immediately share her/his comment not only with hundreds of friends but also with complete strangers throughout the world (Kerpen, 2015: 80). Therefore, companies need some communication strategies to handle the complaints left on their social networking sites. This research aims to illustrate how the Turkish banks respond to customer complaints on their Facebook brand fan pages and whether there is a difference among the Turkish banks from the perspective of the communication strategies they use for replying complaints on Facebook brand fan pages.

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## 2. Dissatisfied Consumers on Social Networking Sites

The difference that separates social media from traditional media is the fact that social media is based on two-way communication. Companies can establish and strengthen their relationships with their existing and potential customers on social networking sites thanks to the two-way communication that social media provides. However, as consumers can express their opinions freely on social networking sites, negative comments left by unsatisfied consumers is a possible threat for companies. Nowadays, consumers express their dissatisfaction with a product easily through Facebook. The social media report of Nielsen (2012) demonstrates that half of the social media users in the USA express their complaints or concerns about brands and their services at least once a month in social media (Nielsen, 2012; Ott and Theunissen, 2015: 97).

In the past, consumers used to think that making a complaint to a company was a wearing process. Making a complaint required making calls to companies, but many consumers used to give up from complaining in the end since they waited in line for a long time and could not reach the right person to contact, in the end. According to Einweiller and Steilen (2015) before the internet and social media era, unsatisfied consumers didn't know which authority to complain. Besides, consumers were not encouraged to make complaints to companies as it was assumed that their complaints would not reach to desired outcomes. (Einweiller and Steilen, 2015, s.197). However, in the era of social media, everybody who has an internet connection and a keyboard can make his/her voice heard by making reviews on blogs, social networking sites or by releasing videos on YouTube (Schaefer, 2014:11). People who make complaints or leave negative comments on companies' social networking sites can be unsatisfied customers who are not content with products or services, rival corporations which try to defame their names or ex-employees who want to take revenge. Therefore, managing reputation is a significant task for companies on social media.

Companies need a team who takes care of customer comments on social media. This team can be composed of people from different departments in a company. These team should consist a policy maker, a technology tester, a communications organizer, an issues manager, a relationship analyzer, a master of metrics and an internal collaborator (Neill and Moody, 2015: 112). This team should collaborate in every step that they take and they should agree on the social media management policy of the company. Furthermore, they should reach into agreement concerning the process they will follow in the case of an emergency such as an online crisis.

Facebook or Twitter is not a right platform for companies which are not ready to confront with negative comments. Companies should treat every comment that are said either positive or negative about themselves equally on social networking sites. Companies which can tolerate criticism and which can give right answers to criticism will realize an increase in the people surrounding them. For instance, when GAP, a worldwide clothing retailer, released its new logo design in 2010, countless negative comments were left on its Facebook corporate brand fan page. Seeing that, GAP asked its customers to present new logo designs to handle the crisis. When GAP customers persisted on the corporation to go back the previous logo, GAP respected its customers' decisions and continued to use the previous logo (Champoux, Durgee and McGlynn, 2012: 28). This way, GAP continued to be a brand loved by its customers.

Since social networking sites are open to public view, anyone can disseminate his /her dissatisfaction with a company in a short amount of time and find support from other customers who are not content with the products or services of the company easily. As negative comments can lead to an online crises on social networking sites, companies need to manage their social media accounts in a way that protect themselves. However, most of the companies who are inexperienced in managing corporate reputation apply wrong strategies. Companies which do not want to confront with the negative comments left on their Facebook brand fan pages either erase the negative comments or apply to legal processes. Nonetheless, ignoring the negative comments is not a permanent solution. Customers want companies to answer their problems fast. Ignoring the complaints can lead to the postponement of the problems and the problems can grow bigger in time.

### **3. Wrong Examples For Handling Complaints**

For instance, Dekay (2012) conducted a research on 25 large size companies taking place in the Fortune magazine list. He detected that %48 (n=12) of the companies were inclined to delete negative comments written on their official Facebook page and %60 of the companies (n=15) answered fewer than one-quarter of the negative comments left on their sites while nine never responded to negative comments (Dekay, 2012, 292). In consequence, these large sized companies either deleted or ignored the negative comments written on their Facebook pages. Deleting negative comments or ignoring negative comments are wrong communication strategies that can give damage to the reputation of companies. Instead, companies should try to turn these negative comments into new opportunities by answering them. According to Hansson et al, (2013) the credibility of the company will increase if the company answers to negative comments. However, if the company is not right, the best answer that can be given to negative comments is to shut down the Facebook page for a while and reopen it when things cool down (Hansson et al, 2013: 123-125).

Another research looking at how large corporations cope with the negative comments left on their social networking sites examined 34 large-sized American companies chosen from Forbes Global 2000 list. According to Einwiller and Steilen (2014), instead of directly answering the complaints on Facebook and Twitter pages, the companies asked for a phone number and deterred the complaints out of the social networking sites. Only %41 of the complaints handled in the social networking sites (Einwiller and Steilen, 2014: 6). By directing the consumers who complained to other communication channels, companies try to prevent the problems to be seen by other consumer on their Facebook and Twitter pages. This way, they think that they can prevent the problem to become bigger. However, they are wrong. Instead, in order to win the support of other customers who are witnessing the problem, the problems should be solved on social networking sites directly. Collier (2013) reminds that for companies which encounter a negative comment online, every online conversation has three sides. There's the consumer's side, the company's side and the side of everyone else who is watching the interaction of the company and the consumer (Collier, 2013: 109). Therefore, corporations should be careful in every single word they say and try to fix the problem smoothly without giving a chance for other customers' involvement in the issue. Otherwise, the problem can become bigger with other customers showing support to the consumer who complained.

### **4. How Complaints Should be Handled on Social Networking Sites**

Corporations need to consider some useful points which helps reputation management on social networking sites. First of all, companies need to see their reputation on social media in the same level with their personal reputation. They shouldn't let their names worn out (Cardone, 2011). The companies which have a notorious name are not preferred by many consumers and these companies become unsuccessful in the campaigns that they carry out. Secondly, problems on social media should be handled fast. As Collier (2013) points out the longer a complaint sits there without a response from the company, the greater the chance that additional negative comments will be left (Collier, 2013: 109). People can find support from other consumers during the time span that the company remains silent and the problem can get bigger. Therefore, companies should take action quickly. Complaints should be handled in 24 hours. Companies shouldn't choose to remain silent. Doorley and Garcia (2015) highlights that if a company remains silent, this gives the impression that the company is either indifferent or guilty, and the company will be criticized by consumers afterwards (Doorley and Garcia, 2015: 311). Thus, corporations shouldn't see the negative comments as a problem for the corporation but as an opportunity to fix things. If these problems are handled well, a dissatisfied customer can be gained (Cardone, 2011). In addition, the social media team should cooperate in fixing the problem. They should not see the problem as a responsibility of only one department and they should not deny the severity of the problem (Doorley and Garcia, 2015: 317). If the severity of the problem is ignored, an online crisis can break out. According to Collier (2013) companies should also tell their customers how they are going to address the complaint and what the next steps are. This way, they can show their customers that they take their complaints seriously (Collier, 2013: 111). If the company is guilty, it should apologize from its customers immediately. There are ways to say sorry which can make a difference in the customers. As stated by Kerpen (2015) in such situations companies should say one of these phrases and start to fix the problem: "I'm sorry you had this experience. We're sorry you feel this way. I'm so sorry you've had a problem." (Kerpen, 2015: 84). Companies which implement these rules will manage their reputation wisely without giving damage to their company names.

### **5. Scope of the Study:**

No research in Turkey has been carried out concerning how Turkish banks handle complaints on social networking sites. This research investigated how the Turkish banks respond to complaints on their Facebook brand fan pages and whether there was a difference among the Turkish banks from the perspective of the communication strategies they use for replying complaints on Facebook brand fan pages.

### **6. Method:**

With these goals in mind, the population of the Turkish banks was determined and the three strategies that Lee and Song (2010) proposed for replying to complaints which are accommodative, no-action and defensive strategies were used in determining the strategy that each bank used on their Facebook brand fan pages. Presently, there are 51 banks in Turkey (Banka Bilgi Sitesi, 2016). The name of the banks were found from the Bank Information Site in Turkey. However some of the banks' Facebook brand pages were either not active or there were no complaints during the time span that the Facebook brand pages were analyzed. These banks were not included into the study. Also, the researcher couldn't access the comments on Facebook brand fan pages of some banks. The researcher takes into consideration the high possibility that

some of these banks might have deleted the negative comments on their Facebook brand fan pages because even though some comment numbers were seen under the brand posts, the researcher couldn't access to these comments with a click. These banks were excluded from the study. Also, the foreign banks which do not have a Facebook brand fan page in Turkish were not included in the study as this research's purpose is to determine the strategies that Turkish banks use in responding to complaints. In the end, 12 Turkish banks' Facebook brand fan pages containing customer complaints during the time span March 9 to 28, 2016 were included into the study. These banks were Akbank, ING bank, TEB, İş Bankası, Yapı Kredi, Garanti Bankası, Vakıfbank, Ziraat Bankası, Finansbank, Denizbank, Kuveyt Türk and Bankpozitif.

In line with Lee and Song (2010), a company using the accommodative strategy accepts the existence of problems and takes action. Taking action includes giving an apology or a compensation or taking recovery actions. A company using the no-action strategy prefers to remain silent or make meaningless comments. This way, it tries to keep away the problems. A company which uses the defensive strategy emphasizes that it doesn't accept any responsibility regarding the problem and blames the complainer or others (Lee and Song, 2010:1075-1076).

The researcher coded the strategy that each bank used with the method of content analysis. The researcher coded the strategy that each bank used on March 29, 2016. Afterwards, the data was entered into a SPSS program. The data was analyzed with descriptive statistics chiefly with the help of frequencies showing the strategy or strategies that each bank used along with percentages.

## 7. Results:

Each of the bank was given a code such as Bank A and Bank B without their names were given and the strategy or strategies it used in responding to online complaints on its Facebook brand fan page were demonstrated in tables. Overall, the customer complaints were about a range of issues related with the customer service. Most of the customers brought their criticism about why they were not satisfied with the customer service.

*Table 1: Bank A:*

Strategy	Frequency	Percent
Accommodative	8	22,9 %
No-action	27	77,1 %
Defensive	0	0
Total	35	100%

According to the table 1, there were 35 complaints on the Facebook brand fan page of the Bank A during the time span that it was analyzed. While responding to these complaints, Bank A used no-action strategy (77,1%) the most. In addition it used accommodative strategy (22%) a few times. As it is seen, the Bank A was not quite successful in handling complaints as it chose to remain silent most of the time.

*Table 2: Bank B:*

Strategy	Frequency	Percent
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Accommodative	32	45,1 %
No-action	39	54,9 %
Defensive	0	0
Total	71	100%

The table 2 illustrates that there were 71 complaints during the time span that Bank B's Facebook brand fan page was analyzed. Bank B preferred using the no-action strategy (54,9%) the most. Moreover, it used the accommodative strategy (45,1%) while responding to the complaints. Nearly in half of its responses, the bank B used the no-action strategy which shows that it did not respond to complaints which contains heavy criticism.

*Table 3: Bank C:*

Strategy	Frequency	Percent
Accommodative	5	100%
No-action	0	0
Defensive	0	0
Total	5	100%

Table 3 demonstrates that there were only 5 complaints during the time span that Bank C's Facebook brand fan page was analyzed. Bank C used the accommodative strategy which indicates that Bank C took recovery actions while handling online complaints.

*Table 4: Bank D:*

Strategy	Frequency	Percent
Accommodative	13	26%
No-action	36	73%
Defensive	0	0
Total	49	100%

Table 4 shows that there were 49 complaints during the time span that Bank D's Facebook brand fan page was analyzed. Bank D used the no-action strategy (73%) and the accommodative strategy (%26). Bank D was not quite successful in handling complaints as it chose to remain silent most of the time.

*Table 5: Bank E:*

Strategy	Frequency	Percent
Accommodative	10	71,4%
No-action	4	28,6%
Defensive	0	0
Total	14	100%

Table 5 illustrates that there were 14 complaints during the time span that Bank E's Facebook brand fan page was analyzed. Bank E used both the accommodative strategy (71,4%)

and the no-action strategy (28,6%). Bank E was more successful in dealing with complaints as it took recovery actions by using the accommodative strategy.

*Table 6: Bank F:*

Strategy	Frequency	Percent
Accommodative	7	77,8%
No-action	2	22,2%
Defensive	0	0
Total	9	100%

Table 6 points out that there were 9 complaints during the time span that Bank F's Facebook brand fan page was analyzed. Bank F used the accommodative strategy the most (77,8%). Furthermore, it used the no-action strategy (22,2%). Bank F tried to take recovery actions most of the time by using the accommodative strategy, as well.

*Table 7: Bank G:*

Strategy	Frequency	Percent
Accommodative	14	100%
No-action	0	0
Defensive	0	0
Total	14	100%

Table 7 indicates that there were 14 complaints on the Facebook brand fan page of Bank G during the time span it was analyzed. The Bank G solely used the accommodative strategy (100%) while responding to customer complaints on its Facebook brand fan page. Bank G is successful in handling complaints as it only used the accommodative strategy.

*Table 8: Bank H:*

Strategy	Frequency	Percent
Accommodative	109	79,6%
No-action	28	20,4%
Defensive	0	0
Total	137	100%

As it is seen above, Bank H is the bank which had the most customer complaints on its Facebook brand fan page. There were 137 online complaints in total on Bank H's Facebook brand fan page during the time span it was analyzed. The Bank H used the accommodative strategy the most (79,6%) while responding to online complaints. It also used no-action strategy (20,4%). Bank H was more successful in handling complaints as it mostly preferred the accommodative strategy and took recovery actions.

Bank I, Bank J, and Bank K had only 1 complaint during the time span its Facebook brand fan pages were analyzed. That one complaint was handled with the accommodative

strategy (100%). Bank L had only two complaints during the time span its Facebook brand fan page was analyzed. Those two complaints were handled with the accommodative strategy, as well (100%).

## 8. Discussion

After the analysis, it is seen that there is a difference among the Turkish banks from the perspective of the communication strategies they use for replying complaints on Facebook brand fan pages. The results illustrate that nine of the banks mostly preferred using the accommodative strategy in responding to online customer complaints on their Facebook brand fan pages. Only three banks mostly preferred using the no-action strategy in responding to online customer complaints on their Facebook brand fan pages. From this analysis, it can be said that Turkish banks generally take recovery actions and try to fix the problems of their customers on Facebook. This way, they manage their online reputation well. Most of the time they tell their customers how they are going to fix the problem with certain steps. They also try to respond to online customer complaints in 24 hours. During the analysis, it was seen that most of the banks had a social media representative who managed their Facebook brand fan page 24 hours. Generally, these social media representatives told their customers to fill certain forms or they told their customers that their names were taken and their office representatives would give them a call soon. But, most of the time complaints were not totally fixed on social networking sites. When their customers wrote their personal information on the banks' Facebook page for the problem to be fixed, the online representatives warned the customers concerning not giving personal information for security reasons. They canalized their customers into different communication channels. Normally, problems should be fixed on social networking sites however since banking is a sector which carries threats such as personal information theft, this approach of the banks to the issue can be understood. But, when banks encountered with heavy criticism they preferred keeping their silence and did not give any answers. Nevertheless, using no-response strategy is basically wrong since problems can get bigger in time and an online crisis can break out suddenly. Banks should abandon using the no-response strategy because it shows them as if they were guilty, as well. One of the striking data of the research was that none of the banks used the defensive strategy and did not blame any of their customers. Instead, despite the criticism of their customers, the banks tried to be polite and showed that customers come first by using the accommodative strategy.

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## Table of Content

<b>ONLINE CRISIS COMMUNICATION IN SOCIAL MEDIA: WHAT DID COMPANIES DO WRONG?.....</b>	<b>5</b>
<b>SOCIAL MEDIA USAGE IN CORPORATE COMMUNICATION: THE INTERNAL COMMUNICATION PERSPECTIVE.....</b>	<b>17</b>
<b>The Assessment of Perceptions of Top Managers; Learning Styles, Brand Management, and Real Estate firm Performance.....</b>	<b>25</b>
<b>The Eco system of Student Satisfaction A Systems Dynamic Approach.....</b>	<b>38</b>
<b>Stolzmann's influences on Schumpeter's interest theory Gerhard Lechner, FH JOANNEUM Graz, Austria.....</b>	<b>49</b>
<b>Social religion and its contribution in the field of health (Study of smoking) ..</b>	<b>61</b>
<b>Effects of Anxiety Reduction Treatments on Extraneous Cognitive Load in Students with Test Anxiety.....</b>	<b>73</b>
<b>THE IMPLICATION OF NIGERIA'S SECURITY CHALLENGES ON HER IMAGE ABROAD.....</b>	<b>82</b>
<b>MALE HAIRDRESSER-CLIENT COMMUNICATION: WHAT THEY TALK AND WHAT SECRET THEY SHARE IN BARBER ARMCHAIRS!.....</b>	<b>93</b>
<b>Mindfulness among schools teachers. Benefits of their practice according with the gender.....</b>	<b>104</b>
<b>Disorders in <i>Edmond's</i> Orders: David Mamet Stages Jacques Lacan.....</b>	<b>114</b>
<b>UTILIZATION AND CHALLENGES OF INFORMATION COMMUNICATION TECHNOLOGY AND ADMINISTRATIVE JOB PERFORMANCE IN ENUGU STATE SECONDARY SCHOOLS BEING A PAPER PRESENTED .....</b>	<b>126</b>

---

**A COMPARATIVE ANALYSIS OF CORPORATE GOVERNANCE SYSTEM OF THE SAUDI *TAKAFUL* FIRMS WITH THE INTERNATIONAL INSURANCE ENVIRONMENT: AN EMPIRICAL STUDY.....135**

**A DISCOURSE OF BEDHAYA KETAWANG DANCE IN KASUNANAN SURAKARTA COURT CONTAINING RELIGIOUS VALUES.....163**

**A Sample of preparing Program for Group Physical Education Instructor (GPEI).....173**

**UNDERSTANDING VISUAL SYSTEMS AND PATTERNS IN TECHNICAL ILLUSTRATIONS.....176**

**CAPITAL BASE AND MICRO BUSINESS PERFORMANCE IN NIGERIA: A BOOTSTRAP REGRESSION APPROACH.....187**

**IS DISCIPLINE EFFECTIVE IN UNIVERSITY MANAGEMENT SYSTEM?.....196**

**MODERNITY PRESSURE OVER TRADITIONALISM IN THE COMODIFICATION OF *PRACIMAYASA* BUILDING IN *PURA MANGKUNEGARAN SURAKARTA*.....209**

**Challenges of adopting Cooperative Financing Method in an E-Commerce Environment: Experience from Nigeria.....220**

**ROMANIAN-CAMBODIAN MIGRATION TO THE UNITED STATES: COMPARATIVE STUDIES.....235**

**BARBER-CLIENT COMMUNICATION: WHAT THEY TALK AND WHAT SECRET THEY SHARE IN BARBER ARMCHAIRS!.....243**

**LOGIC SPIRITUAL AND RELIGIOUS RESISTANCE IN *DARMASONYA* MANUSCRIPT.....257**

---

<b>Artificial Intelligence and Foreign Language Learning.....</b>	<b>264</b>
<b>Teaching Experiences of the Vocational Trainers in Chinese Cuisine Training for Immigrant Women in Taiwan.....</b>	<b>280</b>
<b>THE COMPARISON OF MALE AND FEMALE HAIRDRESSERS- CUSTOMER COMMUNICATION: THE ANALYSIS OF COMMUNICATION THEMES IN BARBERSHOPS!.....</b>	<b>286</b>
<b>Food Security and Vulnerability in West Bäläsa Wäräda Ethiopia: Action Exploration through Entitlement Approach.....</b>	<b>295</b>
<b>LONG- TERM EFFECT OF CHILDHOOD SEXUAL ABUSE ON SEXUAL ABUSE VICTIMS: IMPLICATION FOR COUNSELING.....</b>	<b>305</b>
<hr/>	
<b>Appraisal of E-Accounting Practices among Small Scale Businesses in the South Western Nigeria.....</b>	<b>313</b>
<b>EFL Policies &amp; Programs in Mexican Public Primary Schools.....</b>	<b>331</b>
<b>Intellectual Property Right: its Concept and Application in Packaging <i>Loro Blonyo</i> Wood Craft in Bobung Village, Gunungkidul Yogyakarta.....</b>	<b>344</b>
<b>PHYSIOCHEMICAL CHARACTERIZATION AND FATTY ACID PROFILE OF THE OIL EXTRACT FROM <i>RHYNCHOPHORUS FERRUGINEUS</i> LARVA.....</b>	<b>354</b>
<b>DEVELOPING LEARNER AUTONOMY THROUGH PROJECT-BASED LEARNING AMONG FAST-TRACK STUDENTS AT THE UNIVERSITY OF LANGUAGES AND INTERNATIONAL STUDIES.....</b>	<b>361</b>
<b>Development of a free-viewpoint video technology for educational activities on smart devices.....</b>	<b>374</b>
<b>Online Reputation Management: Comparison of Communication Strategies for Handling Complaints that Turkish Banks Use on Facebook Brand Fan Pages.....</b>	<b>386</b>