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## HOW GINI INDEX AFFECTS ECONOMIC GROWTH (1960-2014):

### TRANSMISSION CHANNELS AND EFFECTS

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#### Abstract

The principal aim of this paper is to quantify the transmission channels of income inequality on economic growth. We try to determine what is the most important channel through which income inequality affects growth. To do this, we will estimate our basic model with variable rates for the period 1960-2014. Then, we will use a simultaneous equations model to decompose the direct and indirect effects of income inequality on economic growth. According to the results, corruption is the most important channel, while trade openness channel is the least important.

**Key words:** income inequality, economic growth, transmission channels

**JEL Classification :** I3, O4, Q33

#### Introduction

The major economic problem in the world is the fight against poverty. In fact, it is necessary to take into account two aspects: economic growth and income inequality. There must be policy targets for effective redistribution of wealth in order to promote growth. This encourages the state to invest more in different sectors such as education, health, infrastructure, etc.. This allows subsequently to stimulate growth and then to slow down poverty. Economic research on the study of the relationship between income inequality and growth have always held an important place in research developing economy. However, they are contradictions in economic thinking. Some economists suggest that unequal distribution of income stimulates economic growth. While others say that income inequality decreases growth and contributes to increase poverty. In addition, Kuznets (1955), known by the famous *inverted-U*, connects the national per capita income and inequality. He says that the increase in productivity in the modern sector without redistribution in favor of the rural sector, led to a more unequal distribution of income. The Kuznets hypothesis postulates that an increase in inequality during the first period is followed by a decline since the late nineteenth or early twentieth century.

#### The different channels of income inequality

We will empirically analyze the direct and indirect effects of income inequality on growth through five channels: human capital (Human), financial liberalization (Cp), political stability (Stab), corruption (Icp) and trade liberalization (Trade).

#### Analytical Framework

In a first step, we combine the technique developed by Papyrakis and Gerlagh (2006) and the methodology of Mo Pak Hung (2009). In fact, cross-sectional regression requires data averaged for a specified period. The study period is  $t_0 = 1960$  and  $t_T = 2014$ . The growth rate of GDP per capita is  $G_i = \frac{Y_{iT} - Y_{i0}}{Y_{i0}}$  which depends on the initial income per capita « $Y_{i0}$ », income inequality "ginii" and the vector of explanatory variables representing the transmission channels "Zi". Then we will estimate the growth equation as follows:

$$G_i = \alpha_0 + \alpha_1 \ln(Y_{0i}) + \alpha_2 \text{gini}_i + \alpha_3 Z_i + \varepsilon_i \quad (a)$$

Which «i» is every year, «gini» reflects the impact of income inequality on growth and  $\alpha_1$  is intended to capture the effect of conditional convergence. To determine the long-term effect of income inequality on the transmission variables, we use the technique developed by Papyrakis and Gerlagh (2006). To do this, we will first compare two different states (k and j). The basic assumptions made by the authors assume that:

**H1:** The two states of the initial vector “Z”, the variable “gini” and the initial level of per capita income «  $\ln(Y_0)$  » are identical.

**H2 :** Permanent changes of characteristics related to the growth of the variable “gini” and the vector “Z” can assume that  $\text{gini}^j \neq \text{gini}^k$  et  $Z^j \neq Z^k$

$$\mathbf{H3 : } \Delta \ln Y_0 = \ln(Y_0^j) - \ln(Y_0^k), \quad \Delta \text{gini} = \text{gini}^j - \text{gini}^k \quad \text{and} \quad \Delta Z = Z^j - Z^k$$

A permanent difference of “gini” and “Z” shows the long-term effect on the income, that is to say:  $E(\Delta \ln Y_\infty) = -(\alpha_2) \Delta \text{gini} - (\alpha_3) \Delta Z$  (b)

So,  $\Delta \ln Y_\infty = \ln(Y_\infty^j) - \ln(Y_\infty^k)$  represent the long-term effect of the Logarithm of income. The ratio  $-\alpha_2$  captures the long-term (LT) effect of the income inequality indicator on growth. Similarly, the ratio  $-\alpha_3$  detects the LT effect of variables of transmission channels on growth.

We can rewrite equation (b) introducing an exponential function to clear the long-run relative effect on income:

$$\Delta Y_\infty / Y_\infty = \exp[-(\alpha_2) \Delta \text{gini} - (\alpha_3) \Delta Z] - 1 \quad (c)$$

For small values of  $[(\alpha_2) \Delta \text{gini}]$  and of  $[(\alpha_3) \Delta Z]$ , we can conclude the following approximation:  $\Delta Y_\infty / Y_\infty \approx [-(\alpha_2) \Delta \text{gini} - (\alpha_3) \Delta Z] - 1$  (d)

In our estimates, we will gradually add the determinants of growth that compose the vector  $Z_i$  to examine the impact of the Gini coefficient ( $\alpha_2$ ). The variables used are:

1- Dependant variable GR : growth rate of GDP per capita
2- Gini : Gini index
3- Y60 : initial GDP per capita
4- IY : the investment share of real GDP per capita
5- PopG : the growth rate of the population
6- Pright : index of political rights
7- Stab : measure of political instability
8- Human : the average years of schooling for the population over 15 years
9- Gov : the government as a % of GDP
10- IPC : Index of perception of corruption
11- Trade : Sum of exports and imports of goods and services as a % of GDP
12- CP : Private domestic credit as a % of GDP
13- Inf : Inflation relative to GDP

*Table 1: Growth regressions*

	(1)	(2)	(3)	(4)	(5)	(6)
Constant	0,5477 (0,52)	-0,5122 (-0,63)	0,7215 (0,46)	0,7226 (0,12)	0,0543 (0,51)	1,5177 (0,25)
Ly <sub>60</sub>	-0,4276 (-0,03)	-0,0421 (-0,92)	-0,4002 (-0,62)	-0,1778 (-0,72)	-0,9345 (-0,42)	-0,9451 (-1,84)
Gini	-0,0032 (-1,82)	-0,0325 (-0,51)	-0,0342 (-0,52)	-0,0452 (-0,62)	-0,0494 (0,59)	-0,0511 (0,92)
Human		-0,3145 (1,52)	-0,6321 (0,42)	-0,2510 (-0,71)	-0,4219 (-0,66)	-0,5263 (-0,90)
PopG			-0,3421 (-1,82)	-0,3523 (-0,72)	-0,4434 (-0,90)	-0,5735 (-1,10)
IPC				0,2720** (2,73)	0,3517 * (1,98)	-0,0946* (-1,97)

IY					0,0739 (1,03)	0,0947 (1,32)
CP						0,0231** (1,99)
Obs	78	78	78	77	65	65
R <sup>2</sup>	0,056	0,054	0,143	0,154	0,198	0,205

Note : The symbols \*\*\*, \*\*, \* represent significance levels of the coefficients to 1%, 5% and 10% respectively. Figures in brackets are standard deviations corrected for heteroscedasticity when the Breusch-Pagan test is significant.

	(7)	(8)	(9)	(10)	(11)
Constant	2,6723 (0,56)	3,0945 (0,95)	2,7456** (2,22)	5,6062** (2,04)	5,6622** (2,62)
Ly <sub>60</sub>	-0,2673** (-2,87)	-0,2839** (-2,42)	-0,2664** (-2,13)	-0,3834 ** (-2,83)	-0,3942** (-2,77)
Gini	-0,0145 (-0,25)	-0,0241 (-0,34)	-0,0153 (-0,32)	-0,0877 (-0,68)	-0,0244 (-0,61)
Human	-0,0526 (-0,42)	-0,0732 (-0,62)	-0,0254 (-0,26)	-0,1135 (-1,53)	-0,0976 (-0,23)
PopG	0,5261 (-0,71)	-0,4525 (-0,62)	-0,3183 (-0,91)	-0,3254 (-0,35)	-0,2428 (-0,68)



IPC	-0,0538 (-0,25)	-0,1563 (-0,35)	-0,0520 (-0,23)	-0,2275 (-0,45)	-0,2427 (-0,76)
IY	0,0563 (1,30)	0,0264 (1,30)	0,0287 (1,41)	0,0273 (1,33)	0,0245 (1,32)
CP	0,0176** (2,34)	0,0342** (2,52)	0,0562 (1,34)	0,0184* (1,98)	0,0167 (1,13)
Gov	-0,1156 (-1,51)	-0,1054** (-2,55)	-0,1154** (-2,58)	-0,1176** (-2,65)	-0,1187** (-2,24)
Stab		0,0634 (0,54)	0,0176 (0,25)	-0,1944 (-0,38)	-0,1632 (-0,56)
Trade			0,0056 (0,73)	0,0093 (0,63)	0,0025 (0,65)
Pright				-0,3945** (-2,23)	-0,3734** (-2,42)
Inf					-0,0048 (-0,64)
Obs	78	78	78	78	68
R <sup>2</sup>	0,356	0,357	0,355	0,411	0,415

Note: The symbols \*\*\*, \*\*, \* represent significance levels of the coefficients to 1%, 5% and 10% respectively. Figures in brackets are standard deviations corrected for heteroscedasticity when the Breusch-Pagan test is significant.

#### Different tests :

Tests	(1)	(2)	(3)	(4)	(5)	(6)
Breusch-Pagan (1)	0,55	1,56	3,32	1,56	0,85	1,65
Ramsey (stat F)	2,45**	3,65**	1,84	0,63	6,92***	3,38**

Tests	(7)	(8)	(9)	(10)	(11)
Breusch-Pagan (1)	1,63	1,72	1,91	0,56	1,03
Ramsey (stat F)	4,18**	4,28**	4,05**	3,96**	4,98**

## Interpretations :

### · Autocorrelation (Ramsey test) :

In equations (3) and (4),  $F_{\text{calculated}} < F_{\text{theoretical}}$ , the probability of Fisher is more than 0.05. So, the tests are not significant and then we accept  $H_0$ . The assumption of no autocorrelation of errors is verified, the model is well specified. In contrast, in the equations (2) to (9) we see that the tests are significant at 1% and 5%. Hence, we must reject  $H_0$  in favor of  $H_1$  that implies the existence of autocorrelation.

### · Heteroscedasticity (Breusch-Pagan test) :

All the tests are not significant. This means that we accept the null hypothesis that assumes the presence of homoscedasticity. In Table (1) we estimated the growth equation (a) using the method of ordinary least squares. And in each regression, we introduced a transmission variable «Zi». The coefficients in this table represent the coefficient  $\alpha_2$ . In a first step, the dependent variable (the growth rate of real GDP per capita) depends only on the initial income per capita and the Gini coefficient, that is to say, we will study the overall effect of income inequality on growth. The results show that no variable is statistically significant.

In contrast, we find that the Gini coefficient has negative effect on economic growth.

More specifically, an increase of one percentage point reduces the Gini coefficient growth of 0.0092% per year.

When the effect of income inequality on the growth continues, and according to equation (b) which reflects the ratio - (), this indicates that a 1% increase of income ( $\Delta \text{Gini} = 0.01$ ) also raises the income level of long-term ( $\Delta Y_{\infty} / Y_{\infty} = 0.01$ ) of 1%. The output of the first regression shows that an increase of 1% of income inequality led to a long-term effect of  $(-0.9261 / -0.0181) * 0.01 = 0.51\%$ . Regarding the regressions (2) and (3), we introduced respectively the variables Human and PopG. We concluded that the initial income and the Gini coefficient remain negatives but not significant. In addition, when we added the variable Human, the Gini coefficient has increased. So, we can deduce that through the transmission channel «human capital» income inequality has an impact on economic growth. Indeed, the coefficients related to human capital often appear smalls and insignificant. This result is not surprising since there are many studies that have found a non-significant coefficient, and sometimes negative, concerning the impact of human capital on economic growth (Pritchett (1996), Benhabib and Spiegel (1994)). In addition, the results show that population growth has a negative and insignificant impact on growth.

In this regard, some studies have shown that if the number of inhabitants is growing faster than production, the rate of population growth led to the impoverishment of countries mainly countries of the arrival of the South. In column (4), we see that the (Ipc) variable «index of perception of corruption», which is the channel of corruption, has a positive effect on growth. This effect remained positive and significant in regression (5) where we have added another determinant of growth; it is the share of investment in real GDP per capita (IY). The inclusion of the (Cp) variable «private domestic credit to GDP ratio» in regression (6) shows that financial liberalization has a positive and significant impact on growth. This result is confirmed by the empirical literature. In this case, initial income has a negative and significant effect on economic

growth. This result also supports the hypothesis of conditional convergence of Mankiw, Romer and Weil (1992). These authors argue that developing countries tend to grow (and approach to

the technological frontier) faster than developed countries. In regressions (7) and (8) we introduced respectively the following variables: Gov and Stab.

The results are expected so that the coefficient associated with the variable Gov is negative and significant. In contrast, the variable Stab has a positive sign but it is not significant, which leads to the conclusion that political stability has a positive effect on economic growth. This is logical, because the political stability gives people the best conditions to produce more in order to promote the growth of their economy. In addition, the coefficient associated with the variable (Trade) is positive but insignificant, it means that trade openness has a positive but insignificant impact on economic growth. The variable (Pright) represents the index Gastil of political rights.

This is important insofar as it serves to control the effect of the level of development.

According to our regression the coefficient of the variable (Pright) is negative and significant. In addition, the introduction of this variable affected the sign of the variable (Inf), the estimates show that inflation has a negative and insignificant effect on growth. Indeed, the weakness of the Gini coefficient in the regression (11) can be explained by the introduction of new transmission variables in the previous regressions.

The results of recent regressions show that conditional convergence is checked and that the Gini coefficient is weaker. This means that income inequality reduces the growth of real GDP per capita through the transmission variables. Therefore, the relationship between income inequality and growth can affect the political process and commercial economy.

In conclusion, the results in Table (1) shows that the addition of variable transmission reduces the importance of the Gini index. In this case, we can say that income inequality is not harmful to economic growth, but they help to slow this growth primarily through the following mechanisms (education, corruption, trade liberalization, financial liberalization and political stability). That is to say that income inequality has not only a direct effect on economic growth, but it also has another effect on the determinants of growth. In fact, these transmission channels used to capture indirect effects since the estimation of Gini index shows that there is a negative impact of income inequality on growth.

The regression results are not quite satisfactory, since some coefficients of the variables have unexpected signs. For this, we must correct the endogeneity bias of gini coefficient and test the robustness of the results by using the method of two stages least squares (2sls). To do this, we correct this endogeneity by approximating the variable (Gini) by the distance from the equator (*latitude*) and the indicator of political freedoms (*Ipf*). According to econometric research of Atkinson ([2002], p10) and Clement and Meunié ([2008], p5), these instruments are correlated with the Gini coefficient and not correlated with real GDP per capita.

*Table 2: Growth Regressions: 2SLS estimation*

	(1)	(2)	(3)	(4)	(5)	(6)
Constant	3,0979 (1,68)*	2,5350 (0,83)	1,3350 (0,61)	-1,5715 (-0,55)	-1,0069 (-0,34)	1,3375 (0,40)
Ly <sub>60</sub>	-0,0722 (-0,59)	-0,0889 (-0,63)	-0,0895 (-0,70)	-0,0965 (-0,79)	-0,1027 (-0,84)	-0,2218* (-1,73)
Gini	-0,0752 (-2,47)**	-0,0700 (-1,35)	-0,0124 (-0,28)	0,0396 (0,74)	0,0270 (0,53)	-0,0043 (0,08)
Human		0,0645 (0,52)	0,0433 (0,41)	-0,0372 (-0,34)	-0,0767 (-0,61)	-0,0848 (-0,77)
PopG			-0,5637 (-1,31)	-0,4794 (-0,97)	-0,5261 (-1,07)	-0,5742 (-1,13)
IPC				0,2835** (2,14)	0,2322 * (1,72)	-0,0617 (-0,25)

IY					0,0230 (1,07)	0,0261 (1,32)
CP						0,0193* (1,91)

Obs	78	66	66	65	65	64
R <sup>2</sup>	(.)	(.)	0,113	0,124	0,175	0,273

Note: The symbols \*\*\*, \*\*, \* represent significance levels of the coefficients at 1%, 5% and 10% respectively. Figures in brackets are standard deviations corrected for heteroscedasticity when the Pagan-Hall test is significant.

	(7)	(8)	(9)	(10)	(11)
Constant	2,7630 (0,79)	2,6557 (0,79)	2,8616* (1,90)	5,1267 (1,52)	5,3855 (1,61)
Ly <sub>60</sub>	-0,2690* (-1,90)	-0,2671* (-1,91)	-0,2717** (-2,00)	-0,3435 ** (-2,37)	-0,3568** (-2,43)
Gini	-0,0061 (-0,13)	-0,0016 (-0,04)	-0,0098 (-0,36)	-0,0092 (-0,22)	-0,0072 (-0,17)
Human	-0,0761 (-0,86)	-0,0766 (-0,85)	-0,0934 (-1,06)	-0,1024 (-1,15)	-0,0949 (-1,05)
PopG	-0,3486 (-0,86)	-0,3532 (-0,87)	-0,3534 (-0,85)	-0,2727 (-0,65)	-0,2998 (-0,69)

IPC	-0,0834 (-0,32)	-0,1028 (-0,35)	-0,0830 (-0,28)	-0,1925 (-0,55)	-0,2322 (-0,66)
IY	0,0252 (1,31)	0,0253 (1,31)	0,0259 (1,41)	0,0257 (1,34)	0,0256 (1,33)
CP	0,0214** (1,96)	0,0214** (1,96)	0,0200* (1,68)	0,0201 (1,11)	0,0205 (1,15)
Gov	-0,1074** (-2,24)	-0,1068** (-2,24)	-0,1119** (-2,24)	-0,1153** (-2,40)	-0,1118** (-2,20)
Stab		0,0855 (0,24)	0,0126 (0,03)	-0,2056 (-0,55)	-0,1425 (-0,36)
Trade			0,0042 (0,87)	0,0036 (0,72)	0,0028 (0,52)
Pright				-0,3738** (-2,14)	-0,3787** (-2,17)
Inf					-0,0014 (-0,82)
Obs	64	64	64	61	62
R <sup>2</sup>	0,348	0,348	0,354	0,399	0,402

Note: The symbols \*\*\*, \*\*, \* represent significance levels of the coefficients at 1%, 5% and 10% respectively. Figures in brackets are standard deviations corrected for heteroscedasticity when the Pagan-Hall test is significant.

### Different tests :

Tests	(1)	(2)	(3)	(4)	(5)	(6)
F stat	3,45**	4,43***	3,63**	3,73**	3,89**	3,89**
DWH ((1))	0,23	0,56	0,15	0,73	0,45	0,31
Pagan-Hall ((q))	2,65	4,54	3,22	1,76	2,41	2,34
Sargan ((1))	2,25	1,47	1,72	0,62	1,65	0,46

Tests	(7)	(8)	(9)	(10)	(11)
F stat	4,61***	4,24***	1,54	4,30***	4,32***
DWH ((1))	0,26	0,64	0,82	0,25	0,45
Pagan-Hall ((q))	3,58	4,51	3,26	3,61	3,04
Sagan ((1))	0,41	0,83	1,35	0,32	0,21

### Interpretations :

#### · Fisher statistic

Fisher test allows to know if a multiple regression model is globally significant or not. Except the equation (9), tests of other equations are significant. In addition, the values associated with the probability of Fisher are less than 0.05. So, we accept the alternative hypothesis  $H_1$  which confirms the global significance of the model.

#### · Durbin-Wu-Hausman

This test was conducted in two stages least squares regressions to ensure that the Gini coefficient is actually disencumber of the part of endogenous after the introduction of the instruments. According to the results, the DWH test is not significant,  $F_{calculated} < F_{theoretical}$  so we accept  $H_0$  which means the absence of endogeneity of the Gini coefficient. So, in order to have consistent and unbiased estimators, we must use the method of 2sls. In another words, we must introduce valid instrumental variables.

#### · Pagan-Hall

This test is performed to check the constancy (homoscedasticity) of the residues in regressions with two stages least squares. According to the results, all chi-square statistics are not significant. Thus we accept the null hypothesis of homoskedasticity. So, to verify the validity of the instruments we should applied the Sargan statistics.

#### · Sargan

According to the results, all the coefficients are not significant. So, we accept  $H_0$  which confirms the validity of the instruments.

□ In table 2, the regression of equation (1) the Gini coefficient is negative and significant. The results are more robust than in Table 1. They confirmed the negative effect of income inequality on growth respecting the assumptions of the transmission channels. In the next section, we will test the empirical effects of income inequality on each determinant of growth (transmission channel).

### The effect of income inequality on the transmission channels

To detect the importance of transmission mechanisms, we estimate the effect of income inequality on human capital, political stability, corruption, financial liberalization and trade liberalization. This step captures the indirect effect of income inequality on economic growth. First, we will estimate the dependence of the transmission variables on the measurement of income inequality (Gini):

$$Z_i = \beta_0 + \beta_1 \text{ gini } i + \mu_i \quad (e)$$

With  $\beta_0$  is the coefficient associated to the constant,  $\beta_1$  is the coefficient associated to the variable « gini » and  $Z_i$  represents the vector associated to the different transmission channels. To test the robustness of our results, we use an alternative specification for the transmission channels. To do this we incorporate the variable “initial level of real GDP per capita” in equation (e). The equation that describes the transmission variables becomes:

$$Z_i = \lambda_0 + \lambda_1 \text{ Ln}() + \lambda_2 \text{ gini } i + \sigma_i \quad (f)$$

$Z_i$  represents the vector of transmission channels;  $\lambda_0$ ,  $\lambda_1$  and  $\lambda_2$  are coefficients that reflect the influence of the constant, the effect of initial income per capita and that of income inequality on the transmission channel concerned. Since the Gini coefficient explains some of the variation in transmission variables. Then it will be possible to calculate the direct and indirect effect of income inequality on economic growth. Substituting equation (e) in equation (a), we obtain:

$$G_i = (\alpha_0 + \alpha_3 \beta_0) + \alpha_1 \text{ Ln}() + (\alpha_2 + \alpha_3 \beta_1) \text{ gini } i + \alpha_3 \mu_i + \varepsilon_i \quad (g)$$

We will estimate equation (f) using the 2sls method to obtain robust results.

*Table 3: Gini index and transmission channels: Estimation WITH 2sls*

	Stab	Human	Trade	Cp	Ipc
Constant	2,634** (4,51)	9,731*** (5,22)	12,871** (2,72)	11,833*** (4,33)	23,712*** (6,71)
Gini	-0,160*** (-4,73)	-1,033*** (-4,42)	-1,732*** (-4,54)	-1,841*** (-4,58)	-1,556*** (-4,62)
Obs	120	116	116	121	120
F	12,52***	25,84***	5,92***	6,41***	13,58***
DWH	11,64***	15,52 ***	0,54	9,83**	8,41***
Pagan-Hall	2,48	3,81	3,03	2,57	3,16
Sargan	0,42	1,32	5,02**	3,15	1,42

Note that Stab, Human, Trade, Cp and Ipc are respectively dependent variables.

\*, \*\*, \*\*\* Correspond to the significance at 10, 5, and 1%.



$R^2$  is not on the table since the command *Ivreg* on *stata* removes  $R^2$  in the regressions by two least-squares method when it is negative. In addition, the  $R^2$  does not really statistical significance in

the context of regression by 2sls, see (<http://www.stata.com/support/faqs/stat/2sls.html>)

The results of the different regressions show that there is a significant negative correlation between the Gini index, and political stability, human capital, financial liberalization and corruption. So, income inequality has a negative and significant effect on these transmission channels. In contrast, the relationship between the Gini index and trade openness is negative but not significant.

In fact, the Fisher statistics indicate that the models are statistically significant.

In addition, exception of the equation of trade openness, the DWH test shows the endogeneity of Gini coefficient, so we had to settle for a regression with 2sls method.

In addition, the Pagan-Hall test indicates that the residuals are homoskedastics, so we will apply the Sargan test. And this shows that the selection of instruments are valid for our regressions except for the variable "Trade" where the Gini coefficient is exogenous.

So, we conclude that the indirect effects of income inequality on economic growth are confirmed. The Gini coefficient has a negative and significant effect on all variables. Thus, human capital, political stability, financial liberalization, trade openness and corruption are the transmission channels through which income inequality affects growth. In the next section, we will quantify the relative contribution of each transmission channel.

### **The total effect of income inequality**

To distinguish between direct and indirect effects of income inequality on economic growth, we will use a simultaneous equations model. It should be noted that we use this model only to decompose direct and indirect effects and not to estimate these effects. In fact, to get the long term effect of income inequality on the transmission channels, we rewrite the equation  $Z_i$ :

$$Z_i = \beta_0 + \beta_1 \ln Y_i + \beta_2 \text{gini}_i + \epsilon_i$$

$$E(\Delta Z_i) = \beta_0 + \beta_1 (\Delta \ln Y_i) + \beta_2 (\Delta \text{gini}_i) + \epsilon_i$$

$$\text{With } \Delta \ln Y_0 = \ln Y_1 - \ln Y_0, \Delta \text{gini} = \text{gini}^j - \text{gini}^k, \Delta Z = Z^j - Z^k$$

Then, we divide the last equation by  $(\Delta \text{gini})$  to release the long-term effect of income inequality on the transmission channels.  $E\Delta Z / \text{gini} = \beta_1 (\Delta \ln(Y_0) / \text{gini}) + \beta_2$

$$\text{From this equation: } G_i = (\alpha_0 + \alpha_3 \beta_0) + (\alpha_1 + \alpha_3 \beta_1) \ln Y_i + (\alpha_2 + \alpha_3 \beta_2) \text{gini}_i + (\alpha_3 \mu_i + \epsilon_i)$$

We can conclude the value of  $(\Delta \ln(Y_0) / \text{gini})$ , and we obtain:

$$E\Delta G_i / \text{gini} = (\alpha_1 + \alpha_3 \beta_1) \Delta \ln Y_i / \text{gini} + (\alpha_2 + \alpha_3 \beta_2)$$

$$\Delta \ln Y_i / \text{gini} = -$$

We replace this equation in  $E\Delta Z / \text{gini} = \beta_1 (\Delta \ln(Y_0) / \text{gini}) + \beta_2$  we obtain;

$E\Delta Z / \text{gini} = \beta_1 [ - ] + \beta_2$  □ This expression represents the long-run effect of income inequality on the transmission channels.

*Table 4: Simultaneous equation model*

	OLS	2SLS
Constant	5,4357* (1,98)	4,51* (1,99)
$Ly_{60}$	-0,2455 (-0,65)	-0,245 (-0,65)
$\mu_1$ (Human)	-0,5381 (-0,08)	-1,033 (-0,03)
$\mu_2$ (Cp)	-0,1472 (-1,31)	-4,841 (-0,93)
$\mu_3$ (Icp)	-2,5377 (-1,09)	-1,556 (-0,53)
$\mu_4$ (Trade)	0,1534 (1,66)	-1,732 (1,66)
$\mu_5$ (Stab)	0,3176 (1,15)	0,160 (1,22)
Gini	-0,4361* (-1,98)	-0,163* (-1,98)
Obs	69	69
$R^2$	0,116	0,115

*Simultaneous estimation with GDP per capita growth rate as dependent variable \*. \*\*, \*\*\* correspond to 10. 5. and 1% of significance respectively*

Returning to the analytical framework of Mo (2000-2009), the decomposition of the contribution of income inequality on economic growth through the channels of transmission are as follows:

Where  $\alpha_1$  represents the total effect of income inequality on growth,  $\alpha_2$  represents the direct effect of inequality on economic growth detected by the coefficient  $\alpha_2$  in the equation (a).

In addition,  $\alpha_3$  is the effect of transmission channels on growth captured by the coefficient  $\alpha_3$ . Finally,  $\beta_2$  is the effect of income inequality transmission channels captured by the coefficient  $\beta_2$ . The total effect represented by this equation corresponds to the coefficient  $(\alpha_2 + \alpha_3 \beta_2)$ . We will estimate this coefficient in the following table. We have found that the coefficient is equal to 4,454.

*Table 5 : The importance of transmission channels*

Variables	Direct Effect	Indirect EFFECT	Contribution			Relative Contribution
			$\alpha_2$	$\alpha_3$	$\beta_2$	$\alpha_2 + \alpha_3 \beta_2$
Gini	-0,0054			-0,0054		0,12%
Stab		0,317	-0,160	-0,0507		1,13%
Human		-0,538	-1,033	0,5557		12,47%
Trade		0,153	-1,732	-0,2649		5,94%
Cp		-0,147	-1,841	0,2706		6,07%
Icp		-2,537	-1,556	3,9475		88,62%
Total				<b>4,4541</b>		<b>100%</b>

This table presents the calculation of the relative contributions of income inequality and transmission channels on economic growth. The main result that emerges from these estimates is that income inequality affects growth primarily through corruption with a relative share of 88.62% of the total effect. The political stability is the least important channel through which income inequality affects growth with a contribution of almost 1.13% of the total effect.

## Conclusion

The effects of income inequality occupy a major concern of economists. In fact, based on the work of Papyrakis and Gerlagh (2006) and the analytical framework developed by Mo Pak Hung (2000-2009), we analyzed the direct and indirect effects of income inequality on economic growth. Our study consist to examine the transmission channels through which inequality has an impact on growth.

To address the problem of endogénéisation of the Gini index, we adopted the regression with the method of two stages least squares. The results show that corruption is the most important channel, while trade liberalization is the lowest channel.

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## **Gender and Islam: Normative Approach in Islamic Law**

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### **Abstract**

*The normative regulations in Islamic Law and the diverse cultural practices among Muslims are not consistent with each other. Muslims' perceptions and response to these customary traditions must be evaluated on the normative standards of Islam that are mislaid. For this purpose a shift to a mode of understanding and bringing about trans-cultural exchange of ideas may be incorporated in contrast to the prevailing hypercritical dominative standards. With this an understanding may be developed to concentrate the needs and practices of gender in Islamic perspective. Thus general gender practices may be assessed to see their compliance with normative standards of Islam.*

### **Introduction**

The issues emerging out of gender-related subject matter are as old as human civilization. The present debate on gender issues and the concern of academic world on gender studies is comparatively modern prerogative. An analogous curiosity is to learn about the gender relations in Muslim societies which seem part of complex relations between Islam and the West. The discussions on gender and Islam is not completely absorbing the over-whelming global changes due to modernity, as changing global context brings in more challenges to social and cultural unpredictable circles. While talking about the gender issues, a clear distinction must be made between normative teachings of Islam that may be variant or inconsistent with diverse cultural practices in Muslim societies. Thus, to evaluate the practices prevalent in Muslim societies, normative teachings of Islam can be set as the criteria to evaluate their compliance with Islam.

### **Gender in Muslim Society**

A critical analysis to understand the gender issues in Muslim societies, a dominant judgmental and manipulative mode must be replaced with changing perceptions and attitudes to an approach of understanding the cultural pragmatism in absorbing trans-cultural interaction and enlightenment. This will help in drafting a framework to meet the requirements on a realistic level understanding gender relations in an Islamic context. The harmonization of both genders is the main key to synchronization and happiness, depending upon the balance in carrying out the nature and functions of each gender in the relative (or relational) sense. The world is dissected into manly and womanly bifurcation that cannot be merged without realization of harmony between the both. Islam gives a possible solution to achieve this goal by making both sexes available to each other with a sense of respect and radiance.

### **Influences of Social Development on Gender Relations**

Cultural and material factors play significant roles in social development and approaching gen-

der in Muslim societies. Traditions, values, belief systems and values reflect in social approaches on one hand while economic and technological factors play a vital role in social organization and cultural attitudes. Muslim scholars assess that such gender relation can be traced to social development keeping in view many determining factors including discipline of the researcher, traditions, sources, personal and ideological basis.

Generally Muslim societies demonstrate a cultural identity, accredited to prevalence and distinctive homogenizing influence of Islam on structure and development in different societies. This cultural specificity is substantiation of the fact that Islam as a religion lays great emphasis on faith as well as community that is reflected as historical and sociological reality in Muslim communities. Thus the linkage between Islam and community association is more than hypothetical notion in Muslim society. Another dominant factor in the same context is family that always has been a primary social unit in Islam having the basis of gender relation and sex role differentiation; as gender is the most important feature for its conception and development. Gender as a social construct thus lies at the convergence of culture and biology.

### **Islam on Gender Roles**

There are a number of verses in the Qur'an that lay down its essential teaching on gender and genderization. A few of these lay down the equality of the male and female sexes and/or genders, but the more decisive verses lay down the hierarchy of the sexes and/or genders. Whether the Qur'an is contradictory or, at least, inconsistent, will depend upon how one reads the verses in question, but, it seems safe to maintain, that while, on the one hand, the Qur'an appears to put both male and female Muslims on a plane of spiritual equality, it, on the other hand, certainly seems to put them on a footing of social, economic, psychological, and cultural inequality. In these respects, it favors what can only be described as patriarchy and sexual hierarchy, with superiority of the male over the female. In the present research both sets of a few selected verses of each kind in the Qur'an, viz., those that favor the equality of man and woman and those that favor the inequality of man and woman are analyzed. Among the verses that favor male-female equality may be included also those that emphasize the mutuality and/or complementing the two.

### **Quranic arguments for Legal Equality and Inequality**

There are two kinds of reasoning presented in the Holy Quran and traditions about rights of women. One kind of verses regards both men and women having same rights with no difference in law perspective. The other kind claims men are superior to women but with certain responsibilities of support and protection of women.

#### **Verses that Imply Equality**

The verses that imply equality of men and women fall into five categories of equality in creation, hereafter, rights and duties, rewards and punishments and in married life. Equality in creation implies that both man and woman are created from the same essence thus rejecting all gender based discrimination. The closeness to Allah is rendered on the basis of piety, not gender (al-Quran 49:13; 4:1). Gender is not the criterion of superiority in the hereafter thus



righteousness in belief and action is the means to salvation (al-Quran 16:97; 33:35). Both men and women are charged with certain responsibilities and duties that enjoin on them certain obligations as mentioned in the Holy Quran 9:71. On the basis of performance of these rights and duties, similar rewards and punishments are specified without any discrimination of gender in 48:5-6; 57:12-13; 5:38 and 24: 2, 26 & 31 equally for both of them. Equality in married life is emphasized in the Holy Quran 30:21; 2:187 explaining that both are source of comfort for each other thus peace and tranquility should be the basis of their relation (in marital life).

### **Verses that Imply Inequality**

The evidences quoted from the Holy Quran and Sunnah in this context are chiefly four verses and two traditions. Verse 228 of Surah Baqarah denote that men have a degree above women; while Verse 34 of Surah Nisa mention that men are superior over women as they support them from their means. A tradition of the Holy Prophet (S.A.W) is quoted from Sahih Bukhari that the Holy Prophet said that people who entrust their affairs to women will never find prosperity and salvation. A tradition from Hadrat Ali (R.A) is also presented in the same context in which he said women are inferior to men in faith, wealth and reason.

### **Arguments Balancing the Equality**

The arguments given in female witness being half of man (al Baqarah 2:282) is voided by Quranic Verses 6-9 of Surah al Noor that equates the testimony of both genders as equal. The reference of half witness of woman is only in case of financial transactions that were not to assert any superiority of gender rather to prevent any error or confusion in financial transactions. Similarly, the use of word *Qiwamah* for rendering the gender inequality is not apt, as it deals with role differentiation, financial responsibilities of men and complementing the roles of husband and wife, which in no way can be an argument of gender discrimination or superiority of one sex on another. The words of the Holy Prophet (S.A.W), and his companion, Ali (R.A) are interpreted by many exegeses as specific and not generalized. Thus the hadith is not conclusive evidence of categorical exclusion.

### **Cultural specificity of Muslim settings**

Muslim societies have specified the gender roles in social, cultural and religious circles for both men and women to differentiate between 'masculine' or 'feminine' (gender). The communal and cultural patterns learned in a particular context, supported by education and economics; often adversely affect women socio-economic status and freedom and right due to gender-bias. In the Holy Quran, numerous verses declare women to be equal to men in human dignity, social and spiritual rights and ethical equality in making independent decisions in family matters.

The present era emphasize on a universally binding morality on one hand and a contextual relative morality on the other. The epistemological limits to human knowledge have been unsuccessful to generate a stable framework that may relate relative to absolute and change to constancy. It is not easy to understand gender in Islamic societies with fixed and inflexible notions for gender. Since social relations and community are an entirety and gender relations are one aspect of social relations; thus a social whole must not be abstracted or understood reductively



without initiating their deformation. Gender issues must be addressed with a multi-dimensional approach as every given society has developed a certain status about gender subject to multiple influences.

Creation is a demonstration of division in diverse range in primeval schism of two challenging principles manifested in this world of human life as the male and female sexes. The division as two-fold by segregation of the microcosm into man and woman is a most profound feature of human nature. For this reason Allah Almighty speaks of creating mankind in different pairs and the distinction between the two sexes shows His Wisdom and Providence. The distinction is essential to the meaning of the human state (identified with the Universal or Perfect Man—*al-insān al-kāmil*) which both men and women carry within the depths of their being.

Despite the fact that gender is a fundamental category in any social order, its relative importance is conditional on the organization and cultural preferences and discernment in that society. Muslim societies have pre-dominantly effective significant elements in the form of religion and family. The social paradigm for understanding and resolving gender issue in a society can be conceptualized from the Quranic notions relevant to societal conceptions. The Holy Quran asserts that any theory or hypothesis must be put into reality and practice and have a facet of putting information into context. The examples from the life of the Holy Prophet (S.A.W) and early centuries of Islam form an imperative factor in constituting the paradigm of gender and gender relations in the Muslim experience. However the development, or change within a system or process regarding social reforms is yet an unachievable target as the same approach and rationale is prevailing in Muslim societies that needed to be abstracted. Hence, the social behaviors and cultural development criterion need extensive scrutiny in order to acclimatize the practice and actuality of gender relations and gender related debate in Muslim societies.

## Conclusion

A common perception about Muslim societies is that Islam has supremacy and a dominating impact on the structure and development of these societies, thus having a cultural specificity. This notion of intersection between Islam and society correlation is not mere abstraction rather a factual veracity. Islam holds both men and women in equal esteem and emphasizes their equal worth before Allah, but recognizes that they are physically and emotionally different and play different parts in society. The Islamic concept of gender relations can be described as complementary rather than competitive.

# Human Factors of Total Quality Management: A Conceptual Review

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**Abstract**\_\_Total quality management (TQM) becomes a famous approach, since it has new methods to assure the successful for organizations in business environment. The spotlight on quality management in business environment urged the researchers to focus seriously on the improvement of quality management methods, which enhance the organization activities via the successful of total quality management implementation. Recently, many attempts have been made to identify the critical successful factors of total quality management from one side, and to discover the importance of these factors to the implementation of the TQM from the other side. On the other hand, some studies were interested in dividing the quality management practices. They divided the critical factors of quality management into two groups; either hard and soft factors or technical and human factors respectively. This paper attempts to explore the human factors of TQM from one side, and their importance to total quality management implementation from the other side via deep concentration on literature of TQM.

**Keywords**\_\_Human factors of quality management, technical factors of quality management, total quality management

## I. INTRODUCTION

Total quality management approaches were developed by quality gurus such as

Deming, Grosby, Juran, Feigenbaum, and Ishikawa who made the main structure of TQM (Dale, 2001). In fact, TQM has known as a famous approach, since it has new methods to ensure the successful of organizations in business environment.

The spotlight on quality management in business environment urged the researchers to focus seriously on the improvement of quality management methods which would enhance the organization activities via the successful TQM implementation. Recently, many attempts were made to identify the critical successful factors of TQM from one side, and also to discover the importance of these factors to the implementation of the TQM from the other side (e.g. Saraph et al., 1989; Porter and Parker, 1993; Flynn et al., 1994; Tamimi and Gorshon, 1995; Badri et al., 1995; Black and Porter, 1996; Yusof and Aspinwall, 1998; Quazi et al., 1998; Zhang, 2000; Antony et al., 2002; Sharma and Kodali, 2008; Wahid and Corner, 2009; Fotopoulos et al., 2009).

Moreover, some studies were interested in dividing the quality management practices, which divided the critical factors of quality management into two groups; namely hard and soft factors or technical and human factors respectively (e.g. Wilkinson, 1992; Flynn et al., 1995; Louise, 1996; Rahman and Bullock, 2005; Demirbag et al., 2006; Tari, 2007; Abdullah et al., a, b 2008; Gadenne and Sharma, 2009; Fotopoulos and Psomas, 2009; Kumar et al., 2009). According to Wilkinson

(1992), there are two aspects of quality management; one of whom is the hard aspect (technical factors) that focuses on tool and work process and the other is the soft aspect (human factors) that interests in the human side of quality management. Moreover, he suggested that the hard aspect has more preoccupation rather than the human aspect when the organizations implement TQM program.

Literature on quality management also suggested that human factors of quality management such as leadership, teamwork, employee involvement, training and education, customer focus, communication, supplier relations, and rewards and recognition have significant impact on the implementation of TQM (Saraph et al., 1989; Flynn et al., 1995; Ho et al., 2001; Rahman and Bullock, 2005; Abdullah et al., 2008 (a,b); Gadenne and Sharma, 2009; Fotopoulos and Psomas, 2009; and Kumar et al., 2009). Thus, this conceptual paper attempts to explore the human factors of TQM and their importance to TQM implementation by reviewing the literature on TQM.

#### Definition of quality management

Actually, TQM has gained many definitions as an important approach impact on all process and practices of management due to the fact that TQM becomes the only way to face a new challenge in business environment and achieve for competitive advantage.

TQM gurus defined TQM program in different ways, for example, it was defined by Deming (1986) as a continuous quality improvement process towards predictable degree of uniformity and dependability and as “fitness for use” Juran (1993) who considers everyone in the organization must be contributing in effort of achieving of quality aims. In addition, Crosby

(1979), who focused on “zero defect” and “do it right in the first time”, defined TQM program as a conformance to requirement. While, Isikawa (1985) considered that quality doesn’t only mean the quality of product, but also the quality of service after sales. And Feigenbaum (1993), in his focus suggested that the quality is a continuous work processes starting with customer’s requirements and ending with customer’s satisfaction.

## II. TOTAL QUALITY MANAGEMENT THEORY AND CONCEPTS

Amoundson (1998) considered the theory as an act to define, establish, and explain the relationship between the concepts or constructs. Dale et al. (2001) suggested that the TQM still in early stage of theory, while Klimoski (1994) pointed out that the total quality field have been taken a place and already get enough of sufficient empirical and theoretical findings. TQM researches interested more on practices rather than theory that was due to TQM philosophy which led by practitioners (quality gurus) rather than by academic researchers (Dale et al., 2001; Sitkin et al., 1994).

As literature suggested, quality management has made revolution in business environment, and changed methods of work. These new methods appear in new approaches of quality management that had developed by TQM gurus, who their work provided a good foundation for the development of TQM theory, such as Deming, Juran, Crosby, Isikawa, and Feigenbaum.

Deming in his approach focused on creating an organizational system that adopt cooperation and learning to facilitate the implementation processes of management practices from one hand

and to enhance customer's satisfaction and firm's survival through continues improvement of processes, product, and service and employees fulfillment from the other hand (Anderson et al., 1995). Juran et al. (1993) considered quality as a system which includes activities that lead to achieve delighted customers, empowered employees, higher revenues and lower costs. Crosby (1979) emphasized on making methods lead to prevention rather than after the event inspection, which doing things right the first time, and he claimed that zero defect reduces the cost of quality. However, Isikawa (1985) claimed that the successful of firms based on treating quality improvement as a never-ending quest. That can ensure the continuation of people to learn and improve their skills.

Management's role to achieve quality aims has been discussed much more seriously by quality gurus. For example, Deming (1986) considered top management as the responsible to drive the changing in processes and systems, while the leadership is the responsible to put clear standards of acceptable work to employees and create an appropriate environment and also provide methods to complete quality aims. However, Quality problems come due to management rather than workers (Juran et al., 1993). Juran et al. emphasized on the importance of top management commitment and empowerment, participation, in addition to recognition and rewards. They considered team and project acting to enhance quality improvement through improve communication and coordination between the management and the employees and enhance coordination between the employees themselves. Crosby (1979) identified all of the management participation, management responsibility for quality, employee recognition, and education as the important principles and practices for a

successful quality improvement program. Also, he considered change the thinking of top management is the key role to quality improvement.

Generally, employees play a key role in the implementing of quality improvement; thus, they have been taken a lot of attention in quality programs to achieve the supposed objectives of quality. Moreover, Quality approaches emphasis on improving employees' abilities to carrying out the requirements of quality through enhancing their education and training. Accordingly, Quality gurus (Deming, 1986; Crosby, 1979; Juran et al., 1993 & Ishikawa, 1985) put the employee participation, empowerment, teamwork, training, education, communication, recognition and rewards as the most important principles and practices for quality improvement program.

Furthermore, customer satisfaction becomes as a central aim for researchers in TQM domain. In this regards, Deming (1986) has emphasized the importance of measurement of customer's requirement. Feigenbaum (1991) said "the quality chain starts with the identification of all customers' requirements and ends only when product or service is delivered to the customer". That means all resources and activities of the organization are acting to explore and achieve the customer's requirements.

On the other hand, total quality awards such as the Deming Prize that was established in Japan in 1951, the Malcolm Baldrige National Quality Award that was established in USA in 1987, and European Quality Award that was established in Europe in 1991 contribute to TQM theory through their criteria which act to enhance the implementation of TQM.

Recently, the field of TQM has earned a place of honours and special atten-



tion in several empirical studies , most of those studies acted to identify a set of TQM practices as a critical success factors to the implementation of TQM (e.g. Porter & Parker,1993; Flynn et al., 1994; Tamimi and Gorshon,1995; Badri et al., 1995; Black & Porter,1996; Yusof& Aspinwall,1998;Quazi et al.,1998; Zhang,2000; Antony et al., 2002; Sharma & Kodali,2008; Wahid & Corner,2009; Fotopoulos et al., 2009).

On the other hand, a fewer studies emphasised on the human side of TQM such as leadership, communication, training and education, employee involvement, teamwork, reward and recognition, customer focus, and supplier relations (e.g. Wilkinson, 1994; Flynn et al., 1995; Ho et al., 2001; Rahman and Bullock, 2005; Abdullah et al., 2008).

### III. CRITICAL FACTORS FOR QUALITY MANAGEMENT IMPLEMENTATION

In fact, it was claimed by Zairi (1994) that it is difficult to identify and measure the critical factors of quality management, even though, Saraph et al. (1989) had started to identify and measure these critical factors of quality management. Moreover, other studies attempted to recognize the critical successful factors of TQM implementation (such as Oprime et al., 2012; Guion, 2010; Fotopoulos et al., 2009; Wahid and Corner, 2009; Sharma and Kodali, 2008; Antony et al., 2002; Zhang, 2000; Hesani et al., 1998; Yusof and Aspinwall, 1998; Black and Porter, 1996; Tamimi and Gorshon, 1995; Badri et al., 1995; Flynn et al., 1994; and Porter and Parker, 1993). However, all these studies were based on previous literature and approaches of the previously mentioned leaders of TQM. Also, some of them based on the standard of quality

awards such as Deming Prize in Japan, the European Quality Award in Europe, and the Malcolm Baldrige National Quality Award in the United States of America.

Deming in his approach defined the problem of management from the statistician's perspective (Saraph, 1989); he put 14 points as principles acting to improve quality management with statistical methods. Subsequently, many researchers in the domain of quality management used Deming's 14 points to enhance their studies and identify the critical success factors for TQM implementation.

Furthermore, Deming prescribed the importance of top management to quality, process, design, and control through emphasizing on the effectiveness of communication between managers and employees and creating modern methods of training and education. Also, he prescribed the removal to employees' involvement and teamwork.

Juran (1978, 1981,& 1986) in his approach considered the quality problems due to the management rather than the workers. He considered that achieving the quality needs affect all the activities in all organization's functions. According to Zhang (2000),Juran's approach emphasises on team and project work, which performs to more quality improvement, advanced communication between management and employees,in addition to enhancing the relations between the employees. Juranidentified the top management commitment, empowerment, employees' involvement, and recognition and reward as the important activities for quality management implementation. The importance of the customer's requirements are essential in Juran's approach, he considered the understanding of the customer's requirementsis very important issue to ensure the design quality that meet the customer's

needs through the use of techniques including quality deployment, experimental design, reliability engineering, and concurrent engineering. On the other hand, Crosby (1979) created some principles to enhance the effort of quality improvement, these principles became as a roadmap to the researchers and the managers in identifying the critical success factors of quality management implementation.

According to Saraph et al. (1989), collecting quality data such as defect rate, error rate, rework cost, and scrap cost can be considered as a measure of quality performance not a measure of organization-wide quality management. In general, Saraph et al. (1989) had made the first attempt to identify and measure the critical factors of quality management; he claimed that this operational measurement would be useful to both decision makers and researchers, since, it makes the decision makers enable to know the controllable status of the organization and make organization-wide improvement in quality management. Moreover, Saraph et al. (1989) identified and measured eight factors from the quality management literature as critical factors of quality management implementation in business unit, they are: top management leadership, role of the quality department, training, product design, supplier quality management, process management, quality data, and employees relations. They used questionnaire technique and factor analysis from 162 general managers and quality managers of 89 divisions to measure managers' perception of eight critical factors of quality management in 20 companies at the business level.

A weak development and measurement in issues related to reliability and validity in the quality management literature was claimed in 1994 by Flynn et al, who identified seven dimensions of quality man-

agement, and tested the measurement of these dimensions reliability and validity. In addition, they established a framework to evaluate quality management program by researchers and practitioners. They emphasized in their processes and analysis on measurement rather than quality performance. However, the seven dimensions of quality management were identified based on search on a sample of 716 respondents at 42 plants in the USA in the transportation component, electronics, and machinery industries. They are: top management support, quality information, process management, product design, work force management, supplier involvement, and customer involvement.

From the other side, Porter & Parker (1993) suggested that there is no agreement to identify the key elements of TQM or the critical factors that influence TQM implementation, though; they attempted to identify the critical factors that influence TQM implementation, which were based on Saraph's attempt in 1989 and the criteria of the Malcolm Baldrige National Quality Award (1992). Again, they identified eight critical factors to TQM implementation by a survey on 10 organizations in UK through an in-depth interview technique; these eight factors are: management behavior, strategy for total quality management, organization for TQM, communication, training and education, employee involvement, process management and strategy, and quality technologies.

Furthermore, Tamimi and Gershon (1995) attempted to develop a tool for assessing TQM practices. They used Deming philosophy as a guide in developing a survey instrument for the purpose, and they used Deming's 14 points as critical factors. While, Ahier et al. (1996) developed an instrument to measure the key quality management constructs by testing

371 automotive companies, they attempted to make a comprehensive approach in identifying and validating the critical success factors of TQM. In short, they identified 12 critical factors, respectively they are: top management commitment, customer focus, supplier quality management, product design quality management, benchmarking, statistical process control, sharing internal quality data, employee empowerment, employee involvement, employee training, product quality, and supplier performance.

Other attempt was done by Black & Porter (1996) to establish a research methodology in order to improve a self-assessment framework to better inform organizations in the development of total quality system. They used Baldrige award criteria to derive 10 critical factors to quality management implementation by questionnaire sent to over 200 managers in industries in USA and Europe. The ten critical factors are: people and customer management, supplier partnerships, communication of improvement information, customer satisfaction orientation, external interface management, strategic quality management, teamwork structures for improvement, operational quality planning, quality improvement measurement system, and corporate quality culture.

Besides, in 1999, Yusof & Aspinwall attempted to review and analyze the critical success factors developed by previous authors in small and medium enterprises. They used questionnaire to meet the purpose of their study.

After that, Zhang in (2000) said "the implementation of TQM can't be successes without utilizing suitable quality management methods ". Zhang attempted to develop a model of quality management methods to assess the organization's strength and weaknesses, which utilizing

to improve business performance. He focused on the effect of quality management methods on business performance through 212 manufacturing companies in China.

More recently, Guion (2010) suggested that critical success factors such as leadership, strategic planning, competitive benchmarking, process management, human resource development, education and training, quality tools, information and analysis, customer management, and supplier management have an important impact on TQM implementation.

Other attempts to identify the critical success factors were carried out in different environments such as Badri et al. 1995 in Middle East (UEA), Quazi et al. (1998) in Singapore, Antony et al. (2002) in Hong Kong, Wahid & Corner (2009) through case study on XYZ Limited in Malaysia, and Fotopoulos et al. (2009) in Greek.

#### IV. HUMAN FACTORS OF QUALITY MANAGEMENT

There is a lack of studies which emphasize on human factors of quality management while many studies were carried out to contribute the design development and application of the total quality system (Lau and Idris, 2001). In the implementation of TQM, there is little attention for the human factors of quality management such as leadership, communication, training and education, employee involvement, teamwork, reward and recognition, customer focus, and supplier relation due to the production orientation of the gurus of TQM (Hill, 1991; Wilkinson, 1992; Louise, 1996). Thus, as a result of TQM orientation gurus, more attention was paid to the technical factors of quality management rather than to the human factors of quality management when the organization reworks their processes to implement TQM practices.

Based on message of quality “the quality is everyone”, Wilkinson (1992) started to make a highlight emphasis on human factors of quality management. He divided quality management into two aspects: the first is the soft aspect, which interest human side of quality management such as leadership, teamwork, employee involvement, training and education, customer focus, communication, supplier relations and rewards, and recognition. And the second aspect is the hard aspect that interests on work process such as process flow management, product design process and statistical, benchmarking, and just in-time principle (JIT) and control/feedback.

According to Louise (1996), the cultural change is a major reason for the reorientation of total quality toward the human factors of quality management. The changing culture becomes as a stumbling block for many companies involved in TQM implementation (Kearney, 1991; Louise, 1996)

Lau and Idris (2001) suggested that it is necessary to study the critical soft factors (human factors) of quality management due to their importance to TQM implementation in contributing to the changing thinking of managers and employees and permeating TQM throughout the entire organization. Yasuo (1980), said “To make good use of personnel is difficult, but it is an issue that is required and must be overcome”. According to Tamimi&Sebastianelli (1998), 48 percent were identified as barriers to TQM due to the human factors of quality.

Recently, there is more emphasis from the researchers on the dimension of human factors of quality management and their influence and relations with the technical factors, besides to their impact on the implementation of TQM (e.g. Hill, 1991; Wilkinson, 1992; Motwani et al., 1994; Louise, 1996; Lau&Idris, 2001;

Sila&Ebrahimour, 2002; Rahman& Bull-ock, 2005; Boon &Arumugam, 2005; Lewis et al., a, b, 2006; Abdullah et al., 2008a, 2008b; Gadenne& Sharma, 2009; Fotopoulos &Psomas, 2009).

Controversial claims have been suggested by researches in regards to the more effective factors on TQM implementation, for example, Black and Porter (1995) claimed that hard factors concern with tools and systems that tend to support the implementation of human factors, while Samson and Terziovski (1999), found that human factors of quality management such as executive commitment, employee empowerment, and an open culture can make a competitive advantage more strongly than the technical factors such as process improvement, benchmarking, and information analysis. Thus, it is difficult for quality tools to contribute in quality improvement, customer satisfaction, and consolidation of its market position without support and guidance by the human factors of quality management such as top management commitment and employee and supplier support (Fotopoulos &Psomas, 2009).

On the other hand, Lewis et al. (2006) found that the hard criteria implementation has more attention than the soft in small and medium enterprises (SMEs). He identified the human factors of quality management which are largely related to the behavioural aspects of working life such as leadership, human resource management, supplier's relations, and customer focus. Hill (1991) suggested that there are lacunae in the implementation of the social factors when the organizations re-engineering their systems and procedures.

Moreover, Lau &Idris (2001) found that human factors such as culture, trust, and teamwork have a strong influence on quality management. The importance



of human factors of quality basis on their important role in the implementation of TQM as a program needed great and continues changing in the culture of organization. And Motwani et al. (1994) considered that human factors of quality management such as leadership, organizational skills, and culture as a key player acting to achieve quality performance.

Actually, it is easy to quantify the hard criteria (Louise, 1996). Despite of the fact that the soft criteria are more open to interpretation, they are more difficult to measure (Lewis, 2006). More specifically, Flynn et al. (1995) attempted to explore and investigate the relationship of quality management practices and their impact on performance and competitive advantage. They divided quality management practices into two groups; the first group named as the core quality management practices, and includes: process flow management, product design process and statistical and control/feedback. The second group named as the quality management infrastructure practices (human factors), which includes: customer relationship, supplier relationship, work attitudes, workforce management, and top management support. They found a positive relationship between quality management practices and performance; also, they found that the core quality management practices act as a mediator factor for the relationship between the human factors of quality management and the organization's performance, which supports the purpose of this study. Furthermore, Ho et al. (2001) divided the eight factors of quality management that were developed by Flynn et al. (1994) into two groups, namely the core quality management factors and the quality management infrastructure factors. They found a positive impact of quality management infrastructure factors on the core quality management factors, besides,

it was found another impact of the quality management infrastructure factors on the performance through their impact on the core quality management factors.

Furthermore, Lewis et al. (2006) identified 13 soft factors (human factors) and 12 hard factors (technical factors) as critical factors of quality management based on Sila and Ebrahimpour (2002) study, which identified 25 elements as criteria factors of quality management.

Rahman & Bullock (2005) and Abdullah et al. (2008) suggested that the hard factors of quality management need the support of human factors of quality management to have a significant impact on organizational performance. They provided evidence that human factors of quality management support the hard factors to impact on organization performance. Practically, they found a significant relationship between the human factors of quality management (such as e.g. workforce commitment, shared vision, customer focus, use of team, personnel training, and cooperative supplier relations) and the technical factors of quality management (e.g. use of JIT principles, technology utilization, and continuous improvement enablers). Abdullah et al. (2008 a, b) also found a significant positive relationship between the human factors of quality management (e.g. management commitment, employee involvement, training and education, and reward and recognition) and the organization's quality improvement practices.

Recently, Gadenne & Sharma (2009) suggested the favourable relationship between the technical factors (e.g. benchmarking and quality measurement, continuous improvement, and efficiency improvement) and the human factors (e.g. top management philosophy and supplier support, employee training and increased interaction with employee, and customer

improve organizational performance).

From all what have been discussed above and based on the work that has been done by TQM gurus such as Deming, Grosby, Juran, Feigenbaum, and Ishikawa, in addition to the previous studies that interested on identifying the critical factors of the TQM implementation (e.g. Saraph et al., 1989; Porter and Parker, 1993; Flynn et al., 1994; Tamimi and Gershon, 1995; Badri et al., 1995; Black and Porter, 1996; Yusof and Aspinwall, 1998; Quaziet al., 1998; Zhang, 2000; Antony et al., 2002; Sharma and Kodali, 2008; Wahid and Corner, 2009; Fotopoulos et al., 2009; Guion., 2010) and the studies that concentrated on the human side of TQM (e.g. Wilkinson, 1992; Flynn et al., 1995; Louise, 1996; Rahman and Bullock, 2005; Demirbag et al., 2006; Tari, 2007; Abdullah et al., 2008a, 2008b; Gadenne and Sharma, 2009; Fotopoulos and Psomas, 2009; Kumar et al., 2009), this paper explores 17 factors as critical human factors for the successful of TQM implementation as shown in Table 1.

## V. CONCLUSION

This study explores 17 factors as the most critical human factors to the implementation of TQM. In fact, these human factors act to enhance the implementation of TQM through their support to quality improvement practices, which led to improve the organization performance. Further work can empirically evaluate the role of these factors for the competitive advantage of the companies.

**Table 1.The human factors of total quality management**

No	Human factors	No	Human factors
.1	Leadership	.10	Human resources management
.2	Customer focus	.11	Empowerment
.3	Supplier relations	.12	Quality culture
.4	Employee involvement	.13	Employee satisfaction
.5	Education and training	.14	Social responsibility
.6	Reward and recognition	.15	Open culture
.7	Teamwork	.16	Break of department barriers
.8	Communication	.17	Shared vision
.9	Role of quality department		

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# Ethnocentrism and Rhetorical Sensitivity in the New Media Age: A Case Study of Bangkok University Students

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## ABSTRACT

This study examines the effects of new media use on levels of ethnocentricity and rhetorical sensitivity. Ethnocentricity is the tendency to judge out-groups using the in-group as the standard for what is good, correct, and natural. Rhetorical sensitivity is characterized by having a high concern for both the self and the other in communication interactions. Intercultural sensitivity was used as a mediating factor for the effects of new media use. Using a path analysis, the results revealed that the ethnocentrism and rhetorical sensitivity levels of the 367 Thai university students who participated in the study were significantly indirectly affected by their use of new media through intercultural sensitivity. A model of the effects was developed to show the relationships between the variables.

**Key Words:** Ethnocentrism; Intercultural Communication; Intercultural Sensitivity; New Media; Rhetorical Sensitivity.

## INTRODUCTION

Intercultural communication competence is an area of research that is growing and adapting with new ideas in communication studies. This thesis aims to investigate what relationship exists between a person's self-reported use of new media technology and two concepts purported as contributors to intercultural communication competence: ethnocentrism and rhetorical sensitivity. Additionally, the possibility of a representation of common ground between ethnocentrism and rhetorical sensitivity is explored. While the main variables under investigation focus on ethnocentrism, rhetorical sensitivity, and a person's use of new media technology, the end result will provide a better of understanding of intercultural communication competence.

Links between ethnocentrism and new media use, and rhetorical sensitivity and new media use are suggested. Ethnocentrism has been shown to be a possible result of a lack of world knowledge through its negative correlation to consuming international news, which, from today's perspective, should still be relevant in that the Internet serves as a facilitator in international engagement. Rhetorical sensitivity is an act of other-orientated adaptation while use of media has been shown to facilitate cultural adaptation and acculturation. Therefore, new media use is proposed to be related to both ethnocentrism and rhetorical sensitivity. Intercultural sensitivity was added as a mediating factor between new media and the other two variables as it represents a person's interest in learning about different cultures, their ability to recognize cultural differences and similarities, and the respect they have for other cultures.



## LITERATURE REVIEW

Ethnocentrism is a concept first published in writing by Sumner (1906) in the book *Folkways*. Sumner's (1906) work in *Folkways* cover a wide range of topics in sociology. One of the main focuses of the book is how and why a society develops and utilizes customs, traditions, etiquette, politeness, and other cultural aspects of a society. Furthermore, morality and ethics are discussed in a manner relating to the concept of in-groups and out-groups. Through his discussion on in-groups and out-groups, Sumner (1906) coins the term ethnocentrism. Sumner (1906) discusses a "primitive society" consisting of "we-group" and "other-group," and "insiders" and "outsiders." The insider's relationship to the outsiders is "one of war and plunder, except so far as agreements have modified it" (Sumner, 1906, p. 12). Sumner (1906) further mentions that "the exigencies of war with outsiders are what make peace inside" (p. 12) and that "Loyalty to the group, sacrifice for it, hatred and contempt for outsiders, brotherhood within, warlikeness without,—all grow together" (pg. 13). The relationships suggested between loyalty to the group and contempt for outsiders seems to serve the group. Thus, a technical term ethnocentrism is coined and used to describe this "view of things in which one's own group is the center of everything, and all others are scaled and rated with reference to it" (Sumner, 1906, p. 13). In the ethnocentric society, the in-group will deem themselves as true and right while judging the out-group as wrong. While in the primitive society, ethnocentrism served a purpose, and some research today does suggest that ethnocentrism has the benefit of increasing effectiveness in cooperation through solidarity (Neuliep & McCroskey, 1997), the current research seems to overwhelmingly point to the negative outcomes of ethnocentrism.

In a time when world peace and global cooperation are highly valued and becoming a necessity, this contempt for outsiders is problematic. The research strongly suggests that ethnocentricity is a hindrance to intercultural communication competence (Neuliep & McCroskey, 1997; Gudykunst & Kim, 1997; Toale & McCroskey, 2001; Neuliep, 2012). Neuliep (2002) elaborates on the direct relationship between ethnocentrism and intercultural communication by comparing each concept's description. Ethnocentrism is described as a "disposition where the values, attitudes, and behaviors of one's in-group are used as the standard for judging and evaluating another group's values, attitudes, and behaviors" (Neuliep, 2002). Intercultural communication is communication between people of different cultural backgrounds. Culture is sum of a group of people's values, attitudes, behaviors, etc. The relationship is evident.

In 1950 Adorno (1950) published a book, *The Authoritarian Personality*, describing his development of a scale to measure ethnocentric ideology. The scale is a quantitative opinion-attitude measurement intended to "answer the major questions concerning the structure of ethnocentric ideology" (Adorno, 1950, p. 104). The overall ethnocentrism scale (E-scale) was divided into three sub-scales to address the generality of ethnocentrism. The sub-scales include a "Negro sub-scale", a "minority sub-scale", and a "patriotism sub-scale." The "Negro sub-scale" consists of twelve negative statements towards black people such as, "It would be a mistake to have Negroes for foremen and leaders over whites" (Adorno, 1950, p. 105). The sub-scale was an "attempt to cover most of the current ideology regarding Negroes and Negro-white relations" (Adorno, 1950, p. 106). The second sub-scale, "minority sub-scale," consists of twelve negative statements about minorities in America, such as "any group or social movement which contains many foreigners should be watched with suspicion and, whenever possible, be investigated by the FBI" (Adorno, 1950, p. 106). The "minority sub-scale" also included statements about specific minority groups (other than black people and Jewish people), such as Japanese-

Americans, the insane, and criminals. The final sub-scale, “patriotism sub-scale,” included ten statements “dealing with international relations and view America as an in-group in relation to other groups as out-groups” (Adorno, 1950, p. 107). For example, one of the items states “the main threat to basic American institutions during this century has come from the infiltration of foreign ideas, doctrines, and agitators” (Adorno, 1950, p. 107).

From Adorno’s (1950) sub-scales, we can see the original E-scale was aimed at United States Americans and their relationship to different identities of ethnicity, race, and nationality. Given the era of the publication and development of the E-scale, its relevancy was probably a result of limited international and intercultural interaction at the time. Additionally, the context of America in the 1950’s is of problematic relations between white people and black people which have since improved. Today, the focus has shifted to intercultural communication on a larger scale, partly due to the “global village” effect. Therefore, Adorno’s (1950) original E-scale would be much less relevant today and Adorno’s statement that “the total E scale is intended to measure the individual’s readiness to accept or oppose ethnocentric ideology as a whole” (p. 109) would be an inaccurate description in today’s global context.

Following Adorno’s (1950) E-scale, a score of researchers attempted to develop their own specialized scale for measuring ethnocentrism. In 1967, Warr, Faust, and Harrison developed the British Ethnocentrism Scale. The British Ethnocentrism Scale consisted negative and positive statements to be rated on a Likert-type scale. The researchers (Warr, et al., 1967) reported reliability and validity in their scale development and presented it as a major improvement to the original E-scale developed by Adorno (1950). Similarly, an Australian Ethnocentrism Scale was constructed in the same manner around the same time (Beswick and Hills, 1969). Later Chang and Chang and Ritter (1975) would develop a scale for measuring ethnocentrism in black college students that also utilized a Likert-type scale consisting of half negative and half positive statements. The limitations of these scales lies within the content of the items. Each of the previously mentioned scales use group-specific items to measure ethnocentrism of a specific group, similar to the original E-scale. For example, the ethnocentrism scale for black college students includes 20 pro-black sentiment statements and 20 anti-white sentiment statements; and, is intended to only measure a single specific group.

The next major development in measuring ethnocentrism came from the field of consumer advertising. Based on Sumner’s (1906) original concept of ethnocentrism, Shimp and Sharma (1987) sought to develop an instrument “to measure consumer’s ethnocentric tendencies related to purchasing foreign- versus American-made products” (p. 281). The instrument produced was called the Consumer Ethnocentrism Tendency Scale (CETSCALE). The author’s (Shimp & Sharma, 1987) noted that a “unique scale is necessary because the classic measure of ethnocentrism, the California ethnocentrism scale (Adorno, et al. 1950), is not directly relevant to the study of consumer behavior” (p. 281). Thus, a 17-item Likert-type scale was developed including items such as “Purchasing foreign made products is un-American” (p. 281). Sharma and Shimp (1995) later investigated possible antecedents to consumer ethnocentrism. They found that openness to foreign cultures, patriotism, conservatism, and collectivism/individualism to be related to consumer ethnocentrism.

The CETSCALE was used in an intercultural context to look at differences between countries in particular regards to income, westernization, and exposure to mass media. “Significant relationships were found between the lifestyle dimensions of Kyrgyz and Azeri consumers

and their ethnocentrism levels” (Kaynak and Kara, 2001, p. 478). Lower ethnocentric tendencies were reported to be a result of being “westernized and more aware of mass-media communication” (Kaynak and Kara, 2001, p. 478). However, a large portion of the study focused on the characteristics of the products, rather than that of the consumers. While the implications of this study are predominantly relevant to marketing and consumer advertising, the consumer characteristics that relate to ethnocentrism can be applied to general intercultural communication research.

In another intercultural consumer ethnocentrism study (Kwak, Jaju, & Larsen, 2006), relationships were explored between consumer globalization, online behavior, and ethnocentrism among US Americans, South Koreans, and Indians. The study sought to identify the factors that could reduce the effects of consumer ethnocentrism in offline and online environments. The researchers suggested that the type of websites visited by consumers regularly had a significant impact on ethnocentrism levels. Furthermore, it was found that companies could reduce the impact of consumer ethnocentrism online by increasing the amount of online communication, such as e-mail, with the consumers. The results of this study indicate a strong relationship between online behaviors of consumers and their level of ethnocentrism.

Lwin, Stanaland, and Williams (2010) recently used the CETSCALE in a cross-cultural experimental design study. The CETSCALE was used to separate groups according to low and high ethnocentrism. For the low ethnocentrism groups, advertising with out-group symbols were preferred, while the high ethnocentrism groups preferred the advertisements with in-group symbols. Results of the study supported the idea that high levels of ethnocentrism manifest in predictable behavioral outcomes. In this case, people who have previously displayed higher levels of ethnocentrism will make behavioral decisions that show a preference for in-group related content. Interestingly, people who have previously displayed lower levels of ethnocentrism not only did not prefer the in-group related content, but actually preferred the out-group related content instead. Part of the research also emphasized that while higher levels of ethnocentrism did correlate to a bias for in-group related content in advertising, it did not, however, correlate to a prejudice towards out-group related content. In other words, bias for in-groups and prejudice for out-groups can operate exclusively and be a result of varying factors.

Because the wording of the CETSCALE limited the applicability to consumer marketing research, Neuliep and McCroskey (1997) developed a more general scale to measure ethnocentric tendencies. The development of a general ethnocentrism scale was a two-step process. Two scales were developed concurrently; a United States Ethnocentrism scale (USE) and a Generalized Ethnocentrism Scale (GENE). An exploratory factor analysis was conducted on both to determine which items on the two scales were usable. After discarding items that did not load in the factor analysis, changing some wording on unclear items, and adding new items, modified versions of the same scales were tested for validity by comparing the scales to seven predictor variables. The seven predictor variables were (1) intercultural communication apprehension, (2) inter-ethnic communication apprehension, (3) size of home town, (4) frequency of travel outside of home state, (5) number of same race people in hometown, (6) frequency of contact with people from different countries, and (7) frequency of contact with people from different cultures. The final results of the scale development study indicated that “the USE and GENE appear to be reliable and valid measures of the concept” (Neuliep & McCroskey, 1997, p.395). However, the GENE scale correlated more than the USE scale with the seven predictor variables, suggesting that “they do not seem to be measuring the same concept” (Neuliep

& McCroskey, 1997, p. 395) despite being correlated. “The USE is probably tapping into both ethnocentrism and US patriotism while the GENE mainly taps into ethnocentrism” (Neuliep & McCroskey, 1997, p. 395). Items on the final GENE scale contained items not specific to a particular culture, ethnicity, or nationality, such as “Most people from other cultures just don’t know what is good for them,” and “I am very interested in the values and customs of other cultures” (Neuliep & McCroskey, 1997, p. 392).

To further assess the reliability and validity of the GENE scale, Neuliep (2002) conducted a correlational study to compare the modified GENE scale to six additional scales related to ethnocentrism. The six additional scales were (1) Traveling to Other Countries scale, (2) Working With Foreigners scale, (3) Gudykunst’s Ethnocentrism scale, (4) Patriotism scale, (5) CETSCALE, and (6) Self-Construal scale. Scales one and two were based on a general attitude scale and were included to assess the predictive validity of the GENE scale. Scale three was included to assess concurrent validity in that both were aimed to measure the same thing. Scale four was from the original E-scale, scale six is the previously discussed consumer ethnocentrism scale, and the Self-Construal scale is a measurement of personality and social psychology factors related to ethnocentrism of which were included to assess construct validity. The results indicate that the modified GENE scale is both reliable and valid. However, GENE did not correlate significantly with all six of the included scales. GENE was found to be significantly related to the Traveling to Other Countries scale, Working With Foreigners scale, Gudykunst’s Ethnocentrism scale, and Adorno’s Patriotism scale. Despite not correlating with the CETSCALE and the Self-Construal scale, validity still emerges through correlation with the remaining scales. Neuliep (2002) expected a correlation between GENE and the CETSCALE due to theoretical similarities, but noted that the CETSCALE was only applicable to ethnocentrism that related to consumer purchasing behavior of foreign products.

Since its development, the GENE scale has been used in various cross-cultural studies and used in comparison with other variables related to intercultural communication. Because of its reliability, validity, and generalizability, researchers have been able to use the GENE scale to compare ethnocentrism levels between different cultures and compare ethnocentrism to other intercultural communication variables, such as communication apprehension, willingness to communicate, uncertainty avoidance, and more. The following paragraphs will cover research utilizing the GENE scale to help better understand various elements of intercultural communication.

In 2001, Toale and McCroskey (2001) compared ethnocentrism against interethnic communication apprehension and communication apprehension. To measure ethnocentrism, the GENE scale was used. Personal report scales were used to measure interethnic communication apprehension and communication apprehension. The researchers sought to investigate the ability of communication apprehension and ethnocentrism to predict interethnic communication apprehension. While both variables were found to be significant predictors of interethnic communication apprehension, ethnocentrism was found to be a slightly better predictor. Meaning that higher levels of ethnocentrism would result in higher levels of interethnic communication apprehension. Use of relational maintenance strategies were also investigated in relation to ethnocentrism. Relational maintenance theory describes behaviors used to adjust to the partner in a relationship or the behaviors used by people to “maintain relationships by adapting to constantly occurring changes” (Toale & McCroskey, 2001, p. 73). Again, ethnocentrism was found to be a strong predictor of relational maintenance behaviors. In this case, people with higher



levels of ethnocentrism are less likely to employ relational maintenance strategies.

To test ethnocentrism across cultures, Neuliep, Chaudoir, and McCroskey (2001) went to Japan. The levels of ethnocentrism were compared between American and Japanese college students. The study only employed the GENE scale. The results show that “overall, Japanese students scored higher on GENE for ethnocentrism than their American counterparts” (Neuliep, et al., 2001, p. 143). The researchers suggested that socialization and various cultural aspects accounted for the differences in ethnocentrism. The study concludes with the statement that “eventually, this work may lead to our determining what cultural changes nations may need to make if they wish to become effective partners in the world community” (Neuliep et al., 2001, p. 144).

To test ethnocentrism against other variables in intercultural communication in an attempt to solidify a model of related factors, Lin and Rancer (2003) compared ethnocentrism, intercultural communication apprehension (apprehension towards real or imaginary interaction with ethnically, racially, or culturally different people), intercultural willingness to communicate, and intentions to participate in an intercultural dialogue program. Conceptually, these variables should be related, and, as expected, the results support the hypothesized relationships. Ethnocentrism and intercultural communication apprehension were found to be positively correlated. Ethnocentrism and intercultural willingness to communicate were found to be negatively correlated, and intercultural communication apprehension and intercultural willingness to communicate were found to be negatively correlated. The results reinforce each concepts construct validity in that they share common theoretical consequences related to intercultural communication competence or effectiveness.

Next, in a cross-cultural comparison between Korean and American college students, Lin, Rancer, and Lim (2003) investigated ethnocentrism and intercultural willingness to communicate. The GENE scale and a self-report scale for a person’s willingness to communicate in intercultural interactions was employed. In this study, it was found that Korean college students scored significantly lower in ethnocentrism compared to their American counterparts; however, it the opposite was expected due to the previous studies’ results showing that Japanese students were more ethnocentric than American students. These results suggest that the cultural aspects affecting ethnocentrism are more complex than previously thought. The results of the study also support the expected outcome that ethnocentrism would be negatively correlated with intercultural willingness to communicate. In other words, the more ethnocentric someone is, the less willing they are to communicate interculturally. The negative correlation was present in both cultures.

Similarly, Lin, Rancer, and Trimbitas (2005) looked at ethnocentrism and intercultural willingness to communicate, but between Romania and US American college students. While, this time, the Romanian students scored higher in ethnocentrism than the American students, the negative correlation between ethnocentrism and intercultural willingness to communicate was still present. Only speculation as to what causes the difference in ethnocentrism is offered.

Another study looked at religiousness and ethnocentrism. Wrench, Corrigan, McCroskey, and Punyanunt-Cater (2006) hypothesized that ethnocentrism would be positively correlated with religious fundamentalism and negatively correlated with tolerance for religious disagreement. Again, the GENE scale was used to measure ethnocentrism. The hypothesized relationships were supported. Not only does this study show the strength of the GENE scale’s

construct validity, but also the range of application. Because the researchers suggest that religion is an important factor in the overall understanding of intercultural communication, this study exemplifies the applicability and relevancy of ethnocentrism, specifically the GENE scale, in intercultural communication research.

In 2007, ethnocentrism was looked at as a predictor, along with sensation seeking, for intercultural contact seeking behavior (Arasaratnam & Banerjee, 2007). The purpose of this study was to introduce ethnocentrism into a previously reported model containing variables for social initiative, motivation to interact with people from other cultures, and quantity of intercultural friendships. The GENE scale was used to measure ethnocentrism and the other variables used various Likert-type scale questions, except for the measurement for quantity of intercultural friendships, which was a simple nominal scale. Ethnocentrism proved to be a significantly related factor in all of the other variables. Arasaratnam and Banerjee (2007) concluded that “the results indicate that ethnocentrism strongly hinders motivation to interact with people from other cultures, even among high sensation seekers” (p. 309).

Dong and Day (2008) conducted a study to see if intercultural communication sensitivity and multiculturalism are significant predictors of reducing ethnocentrism. The intercultural sensitivity scale included items such as “I respect the values of people from different cultures” (p. 33). The multiculturalism scale included items such as “You can learn a lot from cultural groups” (Dong & Day, 2008, p. 33). The GENE scale was used to measure ethnocentrism. Significant correlations were found between ethnocentrism and the variables of intercultural communication sensitivity and multiculturalism. The suggested implications are that higher levels of intercultural communication sensitivity and multiculturalism will lead to lower levels of ethnocentrism.

Attempting to address intercultural communication effectiveness, or competence, Rucker (2009) compared ethnocentrism to intercultural effectiveness among American and Asian college students. Rucker (2009) hypothesized that ethnocentrism would predict American and Asian college student’s intercultural communication effectiveness. The results showed that ethnocentrism had no significant impact on levels of intercultural effectiveness. However, the research instruments used in this study have not been proven as valid instruments of intercultural effectiveness or ethnocentrism. Conceptualization of intercultural communication competence has resulted in a multi-dimensional concept, divided into skills and personality traits, with moderating factors such as culture specific knowledge. Rucker’s (2009) use of Walter, Choonjaroen, Bartosh, and Dodd’s (1995) 22-item instrument attempting to measure intercultural effectiveness with items such as “Being around foreign people makes me nervous” and “Friendships with people from countries other than mine are important to me,” do not account for the complexity of intercultural communication competence as prescribed by the various conceptual frameworks and models of past researchers (Chen, 1989; & Lussier, 2007).

Furthermore, the ethnocentrism scale developed by Gregg Hood in Dodd’s (1998) intercultural communication textbook is specific to American culture in their wording of the questionnaire items, such as “In reality members of other cultures cannot adequately copy the characteristics of American culture” (Rucker, 2009, p. 363), and has not undergone the rigorous testing for reliability and validity or been used in as many studies compared to the GENE scale. Therefore, the results of Rucker’s (2009) study are suspect in terms of both reliability and validity.

More recently, Neuliep (2012) used the GENE scale to compare to uncertainty reduction and communication satisfaction in dyadic intercultural dialogues. Neuliep (2012) notes that along with ethnocentrism, uncertainty reduction is a prerequisite to effective intercultural communication, giving a basis for the expected relationship between the two. The results of the study affirmed that expectation. People who reported higher levels of ethnocentrism were less likely to attempt to reduce uncertainty in communication interactions. Furthermore, people who reported higher levels of ethnocentrism reported lower levels of communication satisfaction in a real dyadic intercultural interaction. Neuliep (2012) concludes that intercultural communication competence requires mindful communication and that “ethnocentrics are not mindful” (p. 12).

The idea of cultural exposure also presents itself as a possible means of reducing ethnocentrism. Cargile, and Bolkan (2013) hypothesized that exposure to culturally diverse people would correlate negatively with ethnocentrism. The results of the study found that cultural exposure does mitigate ethnocentrism. The researchers propose that “opportunities that facilitate cultural exposure may have the biggest impact on reducing levels of intergroup ethnocentrism” (Cargile & Bolkan, 2013, p. 351).

Ethnocentrism has also been subject to non-intercultural communication research. In 2003, Wrench and McCroskey (2003) used the GENE scale to investigate its impact on homophobia. Wrench and McCroskey (2003) predicted that ethnocentrism would be a good predictor of homophobia. Results indicate a strong relationship between the two variables. Individuals who reported higher levels of ethnocentrism also reported higher levels of homophobia.

Knowledge is often presented as factor in increasing intercultural communication competence (Chen, 1998; Allen, 2000; & Lussier, 2007). Therefore, classes in intercultural communication instruction should have an impact on the various dimensions of intercultural communication competence. Corrigan, Penington, and McCroskey (2006) conducted an experimental design study to test the impact of a semester of intercultural communication instruction on ethnocentrism and intercultural communication apprehension. Levels of ethnocentrism and intercultural communication apprehension were measured before and after participants studied in a semester of intercultural communication instruction. The results show no significant difference in levels of ethnocentrism and intercultural communication apprehension before and after the semester of instruction. Corrigan et al. (2006) claim that the data suggests that “something is missing experience essential to improving our student’s affective orientations” (p. 15).

In another look at knowledge and ethnocentrism, Meeusen, Vroom, and Hooghe (2013) used education as their variable for comparison. Participants’ level of education was found to be negatively correlated with ethnocentrism. In other words, the more educated someone is, the less ethnocentric they are. Meeusen, et al. (2013) specifically sought to uncover what underlying mechanisms were responsible for the already proven education/ethnocentrism link. What they found were two components of education that are believed to be causing the negative correlation: cognitive ability and occupational status. Cognitive ability is the ability to understand, organize, and apply information which is necessary for empathy. Dong, Koper, and Collaco (2008) describe empathy as a part of cognitive ability in that “the individual is able to not only feel, but understand what the other person is experiencing” (p. 164); thus, linking the concept of ethnocentrism to empathy, a prerequisite to intercultural communication competence.



Ethnocentrism is an undeniable hindrance to intercultural communication competence (McCroskey, 1997; Rhine, 1989; Toale & McCroskey 2001; Neuliep, 2012; Arasaratnam & Banerjee, 2007; & Kim & Hubbard, 2007). To overcome ethnocentrism we must fully understand how ethnocentrism is created and fostered. Wrench and McCroskey (2003) note that “there are a wide variety of interpersonal communication variable that have not been researched with respect to ethnocentrism” (p. 31). This research intends to reduce the amount of variables not yet researched in regards to ethnocentrism, effectively increasing our understanding of human communication phenomena demanding of a high level of understanding.

### Rhetorical Sensitivity

In outlining the behaviors necessary for effective social interaction, Hart and Burks (1972) presented the rhetorically sensitive person:

The rhetorically sensitive person, then, (1) tries to accept role-taking as part of the human condition, (2) attempts to avoid stylized verbal behavior, (3) is characteristically willing to undergo the strain of adaption, (4) seeks to distinguish between all information and information acceptable for communication, and (5) tries to understand that an idea can be rendered in multi-form ways (p. 76).

Rhetorical sensitivity focuses largely on flexibility and adaptability in social interactions. A simplified description of rhetorical sensitivity is to have a high concern for the self, a high concern for others, and to display flexibility and adaptability in communication. Comparing to communication competence and intercultural communication competence, we can see some similarities that suggest that some of the concepts presented in rhetorical sensitivity may be related. However, to establish construct validity measurements need to be compared.

The first attempt to measure rhetorical sensitivity took place in 1980 by Hart, Carlson, and Eadie (1980). The first scale to measure rhetorical sensitivity used a version of rhetorical sensitivity that was broken down into three sub-categories of communicators developed by Darnell and Brockriede (1976): the noble selves (NS), the rhetorical reflectors (RR), and the rhetorically sensitives (RS). The noble selves see themselves as a standard for integrity and of most importance. The rhetorical reflectors adapt themselves for the other for every new person they meet. Somewhere in between, the rhetorical sensitives will attempt to adapt depending on the social interaction while maintaining the self. The RHETSEN scale developed by Hart, Carlson, and Eadie (1980) attempts to establish how people align to the three types of communicators.

The initial development of the RHETSEN scale included 75 items written by the researchers thought to be valid in their ability to measure rhetorical sensitivity. Over 260 university students completed the questionnaire which yielded 17 usable items, however, reliability was not consistent. Despite a lack in reliability, the modified questionnaire was given to an additional 800 university students to help further the development of the scale. At this point, the researchers only noted that “it did appear to have face validity” (Hart, Carlson, & Eadie, 1980, p. 3).

The second stage in the development of a valid and reliable RHETSEN scale involved creating an entirely new instrument. The researchers (Hart, Carlson, & Eadie, 1980) testing a number of items ending with a 40-item scale with twelve dummy items. At this stage in the

scale development, all three types of communicators were accounted for with each belonging to a particular set of items on the scale. The results of thousands of participants were analyzed and found to be only partially reliable; considered “acceptable” or “encouraging.” Tests for validity proved to be challenging as the “RHETSEN items are inappropriate mathematical candidates for factor analysis” (Hart et al., 1980, p. 9). Further tests for validity compared RHETSEN scores with other measurements expected to be indicative of the characteristics prescribed by the RHETSEN scale. While some expected correlations did appear, the overall magnitude was low. However, the authors note that “the reliability and validity of the scale seem sufficiently demonstrated to warrant its continued use in scholarly inquiry” (Hart et al., 1980, p. 21).

Since rhetorical sensitivity seems to be in the realm of communication competence, Ward, Bluman, and Dauria (1982) attempt to draw theoretical connections to the theories of rhetoric by Aristotle. Ward et al. (1982) discuss the nature of rhetorical sensitivity as goal directed communication, having an active audience, having situational constraints, dependent on probability, being a function of invention, and requiring adaptation while relating each component to Aristotle’s principals of rhetoric. Discussing rhetorical sensitivity in relation to traditional rhetoric provides a bases for the theory and a justification for its use as a way for redescribing what scholars already know; that is, how to communicate effectively. Ward et al. (1982), however, explain that rhetorical sensitivity goes beyond what traditional rhetoric teaches us. Ward et al. (1982) explain that Harts and Burks (1972) “are concerned with achieving effective relational communication with an individual other” (p. 194), where the individual other is the audience. Ward et al. (1982) further explain that the audience is “a unique individual able to make decisions or judgments in any area which affects the relationship with the speaker” (p. 194).

It is this conception of audience that moves us significantly beyond traditional rhetorical theory. By presenting audience as unique, choice-making individuals aware of self as well as speaker and circumstance, Hart and Burks make situation subject to individual perception, and thus to dynamic change. A speaker engaging such an individual in interpersonal communication calculates the probabilities likely to win the relationship, not the argument. Rhetorical sensitivity thus departs from tradition because the emphasis of concern has moved from the “case” to the relationship (Ward et al., 1982, p. 194).

From this point, the RHETSEN scale was used in a few empirical studies despite its questionable reliability and validity. Eadie and Paulson (1984) tested the three communicator styles of rhetorical sensitivity (NS, RR, RS) against situational variables to determine communication competence. First, the three dimensions of rhetorical sensitivity were tested against each other. The test confirmed equal statistical variance. In other words, each communicator style is its own distinct type. Perceived communication competence was then compared with each of the three communicator styles, participants’ attitudes towards communication, and the situation of communication (determined by the participants writing their own dialogues). The noble self was perceived to be most competent in nonintimate situations. The rhetorical reflector was perceived to be most competent when the speaker is in a low power situation. The rhetorical sensitive was perceived to be most competent when collaboration is necessary. A solidified distinction between the three communicating styles gives a “clear indication of what each function represented” (Eadie & Paulson, 1984).

To address the problems of testing for validity and help increase reliability Eadie and

Powell (1991) developed a new scale to measure rhetorical sensitivity. Knutson, Komolsevin, Chatiket, and Smith (2003) lauded the new rhetorical sensitivity scale, RHETSEN2, as an “improved measurement of rhetorical sensitivity” (p. 68). Knutson et al. (2003) were able to conduct a successful factor analysis of the RHETSEN2 scale and that “sub-scales developed for all three dimensions displayed adequate reliability” (p. 69).

Spano and Zimmerman (1995) examined possible relationships between three communication competences related concepts and job interview selection outcomes. Self-reported interpersonal communication competence, communication flexibility, and rhetorical sensitivity were used as the three communication competence related concepts. While correlating data was expected to emerge, the researchers found no supporting evidence that any of the three concepts were related to higher job interview selection rates. The context-specific nature of job interviews may have been a confounding factor in the study’s methodology. While the measurements claim to measure specific traits leading to general communication competence, they may not accurately pinpoint the traits related to the job interview process. Further research regarding the job interview context is suggested to focus on what behaviors interviewees are engaging in and how they change based on the situation. It should also be noted that the study, despite a 1995 publish date, used the dated RHETSEN scale, instead of the already conceived and improved RHETSEN2 scale.

Again, despite the RHETSEN2’s introduction in 1991, House, Dallinger, and Kilgallen (1998) set out to investigate the relationship between rhetorical sensitivity and gender orientations. House et al. (1998) used the original RHETSEN to measure rhetorical sensitivity and used a gender orientation scale that measures femininity and masculinity. Participants could be labeled as undifferentiated, masculine, feminine, or androgynous. Rhetorical sensitives were more likely to be in the undifferentiated category (mostly moderated answers on the gender orientation scale). It was suggested that the undifferentiated would be more flexible and being able to display different characteristics at different times. Noble selves were correlated with the masculine gender orientation. The masculine gender orientation was related to the noble selves through an “unyielding, consistent communicator style” (House et al., 1998, p. 18). Rhetorical reflectors were matched with the androgynous category. The androgynous category was also characterized by flexibility and adaptability, which the authors expected to correlate with rhetorical sensitivity. The authors of the study note flaws in the chosen instruments, particularly with the RHETSEN scale, noting that the RHETSEN scale measures multiple dimensions on the same scale items. Using the improved RHETSEN2 scale may have provided better results consistent with what was expected.

The RHETSEN2 scale was finally used in a cross cultural examination of rhetorical sensitivity between American and Thai college students by Knutson, Komolsevin, Chatiket, and Smith (2003). Included in the investigation was the original RHETSEN scale to test the improved measurement capabilities of the RHETSEN2 scale. As previously mentioned, Knutson et al. (2003) found the RHETSEN2 scale to produce both valid and reliable results compared to the original RHETSEN scale. However, the comparison between American and Thai college students in terms of rhetorical sensitivity presented a new measurement problem. Knutson et al. (2003) criticize the wording of the RHETSEN2 scale in a Thai context where words like “conflict,” “disagreement,” and “argument” can produce much more negative sentiments in Thai people than in Americans. As a result, the Thai participants scored significant lower on rhetorical sensitivity than did their American counterparts despite the cultural characteristics of Thai

people suggesting otherwise. Knutson et al. (2003) claim that while the RHETSEN2 scale is effective in measuring rhetorical sensitivity in the West, “the RHETSEN2 instrument must be adjusted to locate rhetorical sensitivity variations in cross-cultural and intercultural environments” (p. 75).

Because of the measurement problems with the western developed RHETSEN2 scale in an intercultural context, Knutson, Komolsevin, Datthuyawat, Smith, and Kaweewong (2007) developed a scale to measure Thai rhetorical sensitivity (THAIRHETSEN). Along with the original 30 items from the RHETSEN2 scale, a new 120-item preliminary scale was created using 90 items written by Thai faculty members at a Thai university after being given a description of rhetorical sensitivity. The 120-item scale was then given to 429 undergraduate students at various Thai universities. A factor analysis was conducted with the data and the top 10 loading items for each communicator type (NS, RR, and RS) generating a 30-item THAIRHETSEN scale. The results show clear distinctions between the three dimensions of rhetorical sensitivity.

Next, Knutson and Posirisuk (2006) tested the results of the THAIRHETSEN scale from Thai participants who thought of short-term relationships and Thai participants who thought of long-term relationships. It was expected that Thais would display high levels of rhetorical reflection in short-term relationships and high levels of rhetorical sensitivity in long-term relationships. The results failed to support the first expectation that Thais would display high levels of rhetorical reflection in short-term relationships. Knutson and Posirisuk (2006) explained that rhetorical reflection may be a means to reaching rhetorical sensitivity that naturally occur in long-term relationships. Furthermore, Thai culture suggests that short-term relationships may illicit communication behaviors not consistent with rhetorical reflection due to a lack of information between the speakers that Thai people require to communicate normally. For example, Thai people require knowledge about someone’s age and status to use the correct pronoun with communicating. Using the incorrect pronoun would be seen as an offense. The second expectation that Thai people will display high levels of rhetorical sensitivity in long-term relationships was supported. Knutson and Posirisuk (2006), again, attribute the results to Thai cultural values. “The nonassertive, flexible, polite, and humble style of Thais during initial encounters continues throughout the relationship’s history” (Knutson & Posirisuk, 2006, p. 211).

Okabe (2007) wrote a paper comparing American and Japanese rhetorical sensitivity by delineating cultural aspects that form the culture-specific construct of rhetorical sensitivity. It is Okabe’s (2007) main contention that “each culture is assumed to have developed its own unique way of looking at and resolving human problems, that is, its own communicational and rhetorical thinking, and to have codified it into theory” (p. 80). Japanese communication behaviors consistent with the theory of rhetorical sensitivity are shown in contrast to American communication behaviors to support his standing on the culture-specificity of rhetorical sensitivity. The discussion leads to the suggestion that the nature of rhetorical sensitivity should be delineated between cultures, for example American and Japanese culture, to make relevant comparisons between cultures.

Recently, Dilbeck and McCroskey (2009) suspected that socio-communicative orientation would be related rhetorical sensitivity. Socio-communicative orientation suggests that competent communicators are equally supportive in the expression of the self and the other. Because the main tenant of rhetorical sensitivity is having a high-concern for the self and a high-concern for other, a relationship seems likely. However, no such relationship was found

except for a “modest positive relationship between their Noble Self and Assertiveness orientations” (Dilbeck & McCroskey, 2009, p. 263). The unexpected results were attributed to a “excessive conceptual overlap” (Dilbeck & McCroskey, 2009, p. 263). While conceptually the two theories are similar, they may, in fact, be measuring different phenomena not as related as their conceptualization would suggest.

## New Media

The word media refers to all medium of communication. A medium of communication is a channel for delivering a communicative message. Traditional communication media include print media sources, such as newspapers, magazines, and books; radio; television, and movies. Traditional media’s role in human communication has been well researched, but now there is a new category of communication media that has emerged and deserves the same attention. “New media” is the new media. The concept of what makes new media different from traditional media is thoroughly discussed in *New Media: a critical introduction* by Lister, Dovey, Giddings, Grant, and Kelly (2009). Lister et al. (2009) is careful to give a single defining description of new media because of vagueness that comes with the words and the range of applicability with various communication technologies. “We consider these here as some of the main terms in discourses about new media. These are: digital, interactive, hypertextual, virtual, networked, and simulated” (Lister et al., 2009, p. 13). In referring to those main terms offered to define what new media is, Lister et al. (2009) warns that “the characteristics which we have discussed above should be seen as part of a matrix of qualities that we argue is what makes new media different. Not all of these qualities will be present in all examples of new media” (p. 61).

Examples of new media relevant to this study include the wide range of activities people can engage on their computers, mobile smart phones, tablets, TV sets, and gaming consoles. In the digital age, even TV sets are interactive and connected to a network. Gaming consoles feature online multiplayer mode, or some kind of interactive online feature with nearly every new game. Smart phones and tablets now act as small computers with similar processing power and similarly available programs.

Because new media technology allows users to access a continuously growing network, interact with other people in ways traditional media does not allow, and is available at our fingertips anywhere we are at any time, it should be significantly related to intercultural communication. The following publications will demonstrate various relationships between new media technology and intercultural communication.

In 2004, when communication technology was already starting its journey into hypermobility and the Internet was matured with various methods for tele-communicating, such as e-mail, video conferencing, voice-over-Internet-protocol calling, etc, O’Kane and Hargie (2004) wanted to test the difference in attitude towards communication technology between people from the United Kingdom, and people from Norway. The basis of their suspected difference comes from Hofstede’s (1991) cultural values. Hofstede’s original cultural value research shows that Norway is significantly more feminine on the masculinity-feminine scale, significantly more collectivistic on the individualism-collectivism scale, Norway is more threatened by uncertainty, and is lower on the power-distance scale. While little is suggested to hypothesize in which ways the two cultures will differ in their attitude towards communication technology, evidence is presented to suggest that culture will affect those attitudes. To test the difference, the authors developed a 125-item questionnaire to measure attitude toward communication



technology. Specifically, the instrument measured habits in use of communication technology. The four dimensions in Hofstede's (1991) cultural value framework were assigned to sets of questions on the communication technology questionnaire. Differences were found between the two cultures with regards to the four cultural dimensions.

Communication technology was suggested to encourage individualism in the Norway sample, and higher levels of feminine among the United Kingdom sample. The other two cultural dimensions did not produce significant differences. Overall, the United Kingdom sample had a more positive attitude towards communication technology than did their Norwegian counterparts. The implications of this study are that use of communication technology may have an impact on intercultural communication related cultural traits.

As a mechanism for understanding how new media technology can affect our personal traits related to intercultural communication, Kwak, Poor, and Skoric (2006) investigated the relation between Internet use and international engagement. Kwak et al. (2006) note that the Internet serves multiple functions that may increase international engagement: organizing international movements, increasing communication networks across borders, and disseminating international news. The authors hypothesized that the use of international news would increase knowledge of international issues, a sense of attachment to the international community, and participation in international events. It is also suggested that the positive effect of international news will have a larger effect among younger respondents. Both hypotheses were fully supported by the data, and the authors conclude by stating that "fostering international engagement may be one of the main functions of the Internet" (Kwak et al., 2006, p. 207). These findings implicate a strong need for research of the effects of Internet use and other new media technologies on international topics, such as intercultural communication.

Cultural value identity has also been the subject of new media research. Chen (2009) examined two areas of new media use: how Chinese college students are using new media and what affect new media use has on their cultural value identity. Cultural value identity was operationalized by a set of value laden phrases to be aligned with:

The terminal values are true friendship, mature love, self-respect, happiness, inner harmony, equality, freedom, pleasure, social recognition, wisdom, salvation, family security, national security, a sense of accomplishment, a world of beauty, a world at peace, a comfortable life, and an exciting life. Instrumental values refer to preferable modes of behavior. These are preferable modes of behavior, or means of achieving the terminal values. The instrumental values are: cheerful, ambitious, loving, clean, self-controlled, capable, courageous, polite, honest, imaginative, independent, intellectual, broad-minded, logical, obedient, helpful, responsible, and forgiving (Chen, 2009, p. 43).

Correlations were found between the value identities and frequency and volume of Internet use, depending on which type is used more. The implications of the study are that the Internet can change cultivate cultural values.

Research on how cultural values affect online behavior have also been conducted. In 2009, Tokunaga (2009) looked at self-disclosure in online and offline relationships and tested if cultural values were related. Specifically, Hofstede's (1991) cultural dimension of individualism and collectivism was investigated. Self-disclosure was measured through a self-disclosure scale that was worded for the two types of communication (online and offline). Hofstede's

(1991) individualism-collectivism scale was also used. The results of the study indicate that self-disclosure offline is more correlated with collectivism than self-disclosure online, and that both online and offline self-disclosure are more correlated with collectivism than individualism. Online behavior is, once again, affected by cultural values contributing to the notion that new media and intercultural communication is an intersect ripe with research opportunities.

In a qualitative study evaluating the effects of the use of new media in an educational context on students in a “global class” (Devran, 2010). The “global class” is a class of students learning about culture related concepts in a real, new media technology mediated intercultural setting between American students and Turkish students. Internet based video conferencing was used to join the two groups of students visually, and audibly. The class involved mutual interaction between the American students and Turkish students through discussion and presentations by the students. The study utilized interviewing to find out what effects the class may have had on the participants. The authors discovered that

The Global Class is an effective learning method to remove the prejudices the students who participate in the project have in their minds about other cultures and countries, and highlights the vast differences between the previous preconceptions and the new perceptions of the students (Devran, 2010, p. 96).

This study demonstrates that new media technology facilitates direct interaction with people culturally different than ourselves and that the effects are positive towards the development of intercultural communication competence.

Another study looked at a similar cross-cultural education project. O’mara, and Harris (2014) found that students interacting with students from different cultures were more effective when using new media technology; concluding that “animation, Facebook, Photoshop, mobile phones and YouTube can be used effectively for bridging cultural gaps” (p. 11).

For the social network context (Facebook, Twitter, Instagram, etc.), Croucher (2011) offers multiple propositions for how social networking may facilitate cultural adaptation. The first proposition is that social networking will affect immigrant’s cultural adaptation while adapting to a host culture. The bases of the first hypothesis is that social networking will facilitate increased interaction with members of the host culture siting past research demonstrating that the use of social networking increased learning in the host culture through interpersonal connections with members of the host culture. The second proposition, however, suggests that the opposite is also possible. The authors suggest that the use of social networking will affect communication with the members of the in-group by citing research demonstrating that social networking behaviors of immigrant’s in another culture strengthened their own cultural identities by communicating with members of their in-group through social networking. The implications of these propositions suggest that new media plays an important role with people’s intercultural interactions while living in another culture.

Some research has also investigated the use of certain types of new media in relation to intercultural communication. Usage intensity of Facebook, a social networking site, was measured against attitudes of non-Americans toward messages with explicit American cultural values. Their research suggests “that the adoption of social networking sties is another important avenue to enhance cultural learning” (Li, 2014, p. 168). As previous research suggests (Kwak, et al., 2006; Cargile & Bolkan, 2013), ethnocentrism should be affected by cultural learning



facilitated by social networking sites.

Another study focused on new media exposure. Literate (2013) found that general media exposure positively correlated with “the ability to travel across diverse communities, discerning and respecting multiple perspectives, and grasping and following alternative norms” (p. 168). Participation in YouTube, a video hosting site, was found to have the largest impact on this ability. Their description suggests that intercultural communication competence can be gained from media exposure and participation.

Park, Song, and Lee (2014) surveyed students studying abroad to see if their acculturation stress levels were affected by the amount of time spent on social networking sites. Their research found that the use of Facebook, measured in minutes per week, reduced levels of acculturation stress. The authors suggested that the social networking sites increased their network of friends while living abroad.

### Intercultural Sensitivity

Early constructs of intercultural sensitivity seems to overlap with existing concepts of intercultural communication competence. The following characteristics of intercultural sensitivity described by Kealey and Rubin (1983) include many of the same characteristics of intercultural communication competence: empathy, flexibility, tolerance, and communication skill. Characteristics that separate sensitivity to communication competence include respect and interest in other cultures. Further distinguishing sensitivity from communication competence, Bhawuk and Brislin (1992) state that intercultural sensitivity people must “be sensitive enough to notice cultural differences and also be willing to modify their behavior” (p. 416). Using this construct of intercultural sensitivity, Bhawuk and Brislin (1992) developed the intercultural sensitivity inventory scale (ICSI). The ICSI measured traits thought to be related to intercultural sensitivity: individualism-collectivism, and open-mindedness and flexibility. While individualism-collectivism measurements for the ICSI did not seem relate to their original construct of intercultural sensitivity, the open-mindedness and flexibility measurements addressed issues of willingness to try new things, adaptability in culturally different situations, and tolerance of different behaviors. The ICSI had a short run in future research. A study comparing American and Mexican participants attempted to validate the ICSI (Kapoor & Comadena, 1996). The results of their study demonstrated mixed results in regards to how individualism-collectivism related to intercultural sensitivity and offered an unclear explanation in to how individualism-collectivism should remain a valid part of the intercultural sensitivity construct. The authors state that “our results reveal anomalies that render any clear-cut pattern invisible” (Kapoor & Comadena, 1996, p. 174).

Later, Chen and Starosta (2000) developed a scale to measure intercultural sensitivity that did not include individualism-collectivism as part of its theoretical construct called the intercultural sensitivity scale. The intercultural sensitivity scale was based on a construct developed by Chen (1997) including characteristics of self-esteem, self-monitoring, open-mindedness, empathy, interaction involvement, and non-judgment. Chen (1997) described these characteristics were required to “develop a positive emotion towards understanding and appreciating cultural differences and eventually promote the ability of intercultural competence” (p. 6). The intercultural sensitivity scale has since been used many times to measure intercultural sensitivity.

Intercultural sensitivity was measured and compared between Chinese and Thai ethnics. Peng, Rangsipaht, and Thaipakdee (2005) found significant differences between Chinese and Thai participants in intercultural sensitivity. Furthermore, differences were found between majors being pursued by the participants during university study and employment in multinational companies. Chinese participants scored higher than Thai students in overall intercultural sensitivity. Students majoring in English and employees at multinational companies has higher overall intercultural sensitivity. The researchers suggest that Chinese participants displayed a higher level of overall intercultural sensitivity due to a higher level of cultural differences present in China compared to Thailand. The results regarding English major students and employees of multinational companies can be attributed to the higher level of intercultural communication experience that English major students will attain through English media exposure and interaction with English speaking people and multinational company employees will interact with more people of different cultural backgrounds compared to domestic companies with a predominantly single-nation employee demographic. The results of this study promote the idea that exposure to different cultures can lead to intercultural sensitivity.

Later, intercultural sensitivity was compared with social intelligence and self-esteem. As intercultural sensitivity was previously theorized to include self-esteem and social intelligence (Chen, 1997; Chen & Starosta, 2000; Bhawuk & Brislin, 1992), Dong, Koper, and Colloco (2008) set out to test those relationships. Statistically significant relationships were found among social intelligence and intercultural sensitivity and among self-esteem and intercultural sensitivity as hypothesized by the researchers. Dong et al. (2008) explain that social intelligence can lead towards acceptance and adaptation in different cultures. Self-esteem is reported to lead to less defensiveness, higher acceptance of others, higher participation in intercultural encounters, and a higher motivation to learn about cultural differences and similarities. The results validate Chen's (1997) construct of intercultural sensitivity.

In the development and validation of an intercultural communication effectiveness scale, Portalla and Chen (2010) used the intercultural sensitivity scale to provide construct validity in their intercultural communication effectiveness scale. A positive correlation was hypothesized and found between their intercultural effectiveness scale and Chen and Starosta's (2000) intercultural sensitivity scale. The researchers presented intercultural sensitivity as a prerequisite to intercultural communication effectiveness.

Other concepts reported to relate to intercultural communication are willingness to communicate, communication competence, and intercultural apprehension (McCroskey, 1997). Del Villar (2010) surveyed Filipino participants for intercultural sensitivity, willingness to communicate, communication competence and intercultural apprehension. The results of the survey confirmed the researchers' suspicion that intercultural sensitivity was positively related to both willingness to communicate and communication competence and negatively correlated with intercultural apprehension. Furthermore, the researchers expect that Filipinos reported high levels of intercultural sensitivity because of a high exposure to culturally different people through global changes and a high level of employment abroad among Filipinos.

The research involving intercultural sensitivity points has progressed from an unclear variety of definitions of early researchers to a well-defined concept with a frequently used and valid instrument. Use of the intercultural sensitivity scale has supported the validity of the both the instrument and the concept of intercultural sensitivity by relating to a number of other

concepts such as social intelligence, self-esteem, willingness to communicate, communication competence, and communication apprehensions. Most importantly, however, has been the re-occurring notion that exposure to different cultures leads to intercultural sensitivity and that intercultural sensitivity leads to intercultural communication competence; thus, the presence of the intercultural sensitivity scale in this research is justified.

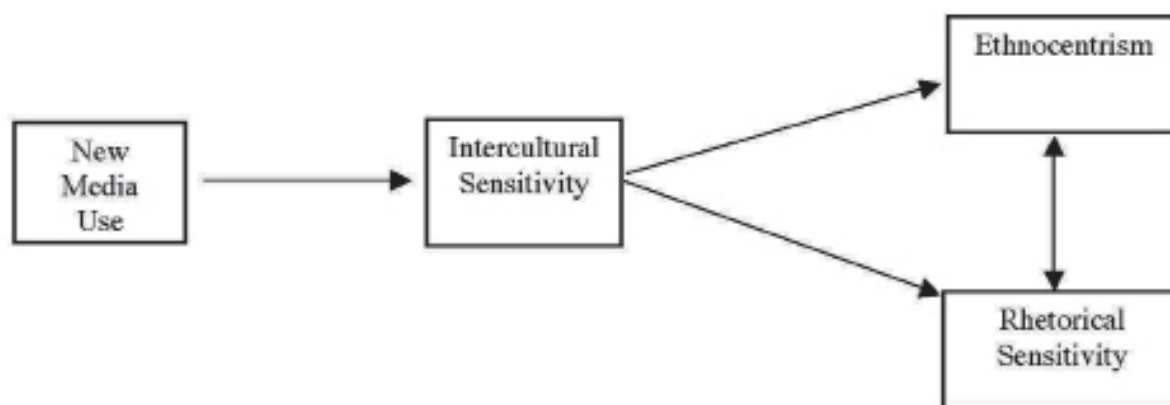
### Hypotheses

H1: New media use will have an indirect negative influence through intercultural sensitivity on ethnocentrism.

H2: New media use will have an indirect positive influence through intercultural sensitivity on rhetorical sensitivity.

H3: Ethnocentrism and rhetorical sensitivity are negatively correlated.

### Proposed Model



## METHODOLOGY

### Population and Sample

A sample of Thai undergraduate students enrolled at a private university in Bangkok, Thailand were selected to complete the questionnaire used in the current thesis project. Demographic information was collected along with the main questionnaire to account for the generalizability of the sample to the population. Participants' age, gender, academic class level and year were measured to account for the participants' generalizability to the population. Nationality was also measured to confirm that all participants are of Thai nationality.

### Instruments

The questionnaire consists of four parts. Each part consists of the instrument for measuring each variable. Part one of the questionnaire packet contains the 22-item GENE scale questionnaire to measure general ethnocentrism. Part two contains the 30-item THAIRHET-SEN scale to measure rhetorical sensitivity. Part three contains a 9-item questionnaire to measure how much time is spent engaging in various new media technologies. Part four contains the 24-item intercultural sensitivity scale. The four parts were presented to the participants in a single convenient packet.

Consisting of the four variables being measured, the questionnaire packet includes a total of 88 items. Specifically the GENE and THAIRHETSEN scales have remained the current instruments used in recent research measuring those variables; thus, the current study will use the same instruments as no other instruments have been shown to be more reliable or valid in measuring the variables under investigation by this thesis. Furthermore, Cronbach's alpha tests were conducted to confirm reliability of the instruments in use. The alpha reliabilities were: GENE .58, THAIRHETSEN .81, New Media Use .77, and Intercultural Sensitivity .81. Convergence validity will be determined by the comparison of ethnocentrism and rhetorical sensitivity in terms of their suggested relation to intercultural communication effectiveness; specifically, how the concepts of empathy, flexibility, and cultural knowledge are related to both concepts and intercultural communication competence. Predictive validity will be assessed by how the use of new media instrument affects ethnocentrism and rhetorical sensitivity. Use of new media should theoretically predict ethnocentrism levels and rhetorical sensitivity based on past research (Allison & Emmers-Sommer, 2011; Croucher, 2011; Kwak et al., 2006; Korzeny, Del Toro, & Gaudino, 1987; Cargile & Bolkan, 2013; Okabe, 2007; Knutson & Posirisuk, 2006; O'Kane & Hargie, 2004; McCroskey, 2003). Intercultural sensitivity will act as a mediator between new media use and both ethnocentrism and rhetorical sensitivity. Previous research suggests that exposure to other cultures and intercultural interaction leads to intercultural sensitivity in-turn leads to the prerequisite characteristics of both ethnocentrism and rhetorical sensitivity (Peng et al., 2005; Dong et al., 2008; Portalla & Chen, 2010; & Del Villar, 2010).

The Demographics portion of the questionnaire determined the basic information of each participant. Age, gender, university major, and nationality. The information provided by the demographics questions were used in determining the qualification as well as the sample's generalizability to the general public. For example, any participant not meeting the qualifications through the demographics questions (i.e. Not of Thai nationality) were not included in the data analysis.

### Data Collection

Participants were chosen through a convenience sampling method. Large Thai classes at a private university in Bangkok, Thailand were asked to complete the questionnaire packet during normal class time at the approval of the standing professor at the beginning of the second semester of the 2014-2015 academic year. The questionnaire packet was administered by the standing instructor of the class and the current researcher.

Participants requested to complete the questionnaire packet were expected to meet a set of qualifications to be included in the data analysis for this thesis. Participants were expected to be Thai citizens. Therefore, the questionnaire was issued to Thai college students attending a private university in Bangkok, Thailand. Copies of the questionnaire packet were provided to course instructors willing to participate in the thesis project. The participating course instructors will administer the questionnaire packet to their undergraduate students during normal class time at the university, in the class room. The undergraduate students were given the questionnaire packet at the same time and be instructed on how to correctly complete the questionnaire by the course instructor. After completion of the questionnaire by the undergraduate participants, all completed copies of the questionnaire were collected by the course instructor and returned to the thesis researcher for data analysis.

## Data Analysis

After the data was collected from the participants who completed the questionnaire, a standard multiple linear regression test of the data was conducted using statistical analysis software. Statistically significant relationships between the variables were investigated. Reverse coded items in the GENE and the intercultural sensitivity scale were returned to a normal coded mode before being tested for statistical significance. All seven hypotheses tested relied on the presence or absence of a statistically significant relationship between the variables under investigation.

## FINDINGS

### Demographics

420 questionnaires were distributed to classes by the standing instructors and the thesis researcher or were distributed by the standing instructor alone. 367 of the 420 distributed questionnaires were included in the survey while the rest were unusable due to non-Thai nationality or incorrectly filling out the questionnaire, and some questionnaires were not returned. Of the included questionnaires, 100% fell between the age-range of 15-30. 48.8% reported as female and 51.2% reported as male. The reported demographic data suggests a homogenized sample of Thai subjects between the ages of 15-30, studying for their bachelor's degree during the first three years of their program. Additionally, most (89.9%) of the students are majoring in communication studies with the remaining studying engineering (10.1%).

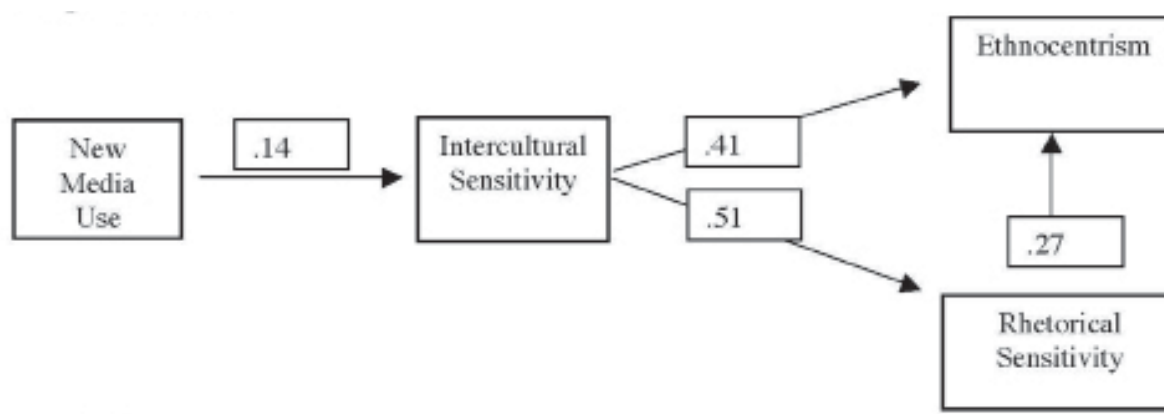
### Hypothesis Testing

#### Hypothesis One

To test for each of the two paths hypothesized, a correlation needed to be established between new media use and its intermediary factor intercultural sensitivity. A correlation of .14 was found with a significance level of  $p=.006$ . Using both new media use and intercultural sensitivity as the independent variables, a path analysis could be conducted to test for the first two hypothesis.

The first hypotheses states that new media use will have an indirect negative influence through intercultural sensitivity on ethnocentrism. The path analysis revealed a relationship between these variables with a strength of .41 at the significance level of  $p=.0$ ; thus, confirming the first hypothesis and the first leg of the hypothesized model. The second hypothesis states that new media use will have an indirect positive influence through intercultural sensitivity on rhetorical sensitivity. The path analysis revealed a relationship between these variables with a strength of .51 at the significance level of  $p=.0$ ; thus, also confirming the second hypothesis and the second leg of the hypothesized model. The third hypothesis did not required a path analysis but only sought to confirm a correlation between two variables related to the same construct in order to strengthen the implication that both decreasing ethnocentrism and increasing rhetorical sensitivity would conceptually lead to intercultural communication competence. The third hypothesis states that ethnocentrism and rhetorical sensitivity are negatively correlated. A relationship with a strength of .27 was found at the significance level of  $p=.0$ .

### Completed Model:



## DISCUSSION

The results of the study confirm the hypothesized model. A higher frequency of new media use, with the help of being interculturally sensitivity will result in decreased ethnocentrism and increased rhetorical sensitivity.

### Implications

Given then support of the hypothesized model, implications of the research can be established. The supported model states that use of new media indirectly influences both ethnocentrism and rhetorical sensitivity through intercultural sensitivity. In other words, people who have a higher rate of new media use will be less ethnocentric and more rhetorically sensitivity if they are interculturally sensitive. An explanation of the results, the implications of the results, and proposed application are provided.

The literature can help explain why the results came out the way they did. First we can see the relationship between new media use and intercultural communication competence. Korzenny et al. (1987) first found the link between media consumption and ethnocentrism. It was clear that watching international news was correlated with better attitudes towards other cultures. The new media of today, however, offers a much larger variety of media types beyond international news, but increases the availability and access to internationally produced media and intercultural communication interactions. As stated by Kwak et al. (2006), the Internet may increase international engagement. Kwak et al. (2006) also suggest that the younger generation would be more impacted by the effects of the Internet. Because this thesis was conducted using participants of the 15-30 age-range, we can see the impact suggested by Kwak et al. (2006). More recent studies also suggest the same link between new media use and intercultural communication competence. New media use was found to increase the ability to increase acculturation levels in students studying abroad (Park et al., 2014). While the literature is almost non-existent in comparing new media use and rhetorical sensitivity, it is not surprising that people who often find themselves face-to-face with intercultural communication interactions or culturally different media content through new media have had to develop characteristics outlined by rhetorical sensitivity. However, no direct link between new media use and these two variables was found in this study.



The link between new media and the two intercultural communication competence variables in this thesis was only found using intercultural communication sensitivity as the mediating variable. Again, the research argues the presence of the link. Studying Chinese and Thai university students and company employees, Peng et al. (2005) found that the students studying an English major program and the employees working for multinational companies were more likely to be interculturally sensitive. The explanation given was that they had a higher exposure to both intercultural communication interactions and culturally different media. In other words, they had more chances to interact with culturally different people. The same explanation can be applied to this thesis. People who use new media more will be exposed to both intercultural communication interactions and culturally different media, and thus, have more chances to interact with culturally different people. Another example of exposure to different cultures leading to intercultural sensitivity is Del Villar's (2010) study about Filipinos' intercultural sensitivity. The researcher suggests that Filipinos' high level of intercultural sensitivity can be attributed to their high exposure to a variety of different cultures in their country and the high rate of both foreign workers in the country and Filipinos working abroad. From these two studies, we can see the underlying mechanism to explain why new media use was correlated with intercultural sensitivity in this thesis. The exposure of culturally different media and the increase opportunity for intercultural interaction provided by new media use creates the high level of intercultural sensitivity. Spending time consuming culturally different media and having to interact with culturally different people has trained new media users to be interested in different cultures, how to distinguish the cultural differences they are exposed to and to respect other cultures. When someone's Facebook page consists of friends from all over the world, making a culturally insensitive comment can result in conflict opportunities that provide lessons valuable to the process of developing intercultural communication competence through intercultural sensitivity. Furthermore, intercultural sensitivity can also be argued as a gateway towards both lowering ethnocentrism and increasing rhetorical sensitivity. Although Chen and Starosta (2000) clearly suggest intercultural sensitivity has a prerequisite to intercultural communication competence, we can also argue a clearer link to ethnocentrism and rhetorical sensitivity. Because intercultural sensitivity involves the desire to learn about other cultures, respect other cultures, and the ability to recognize cultural differences and similarities, ethnocentrism seems inevitable without intercultural sensitivity. Without having the desire to learn about other cultures, respect other cultures, or the ability to even recognize cultural differences and similarities a person will have both a hard time withholding bias and judgment when interacting with culturally different people. Likewise, without being interested in other cultures or having respect for them, rhetorical sensitivity cannot be achieved. Rhetorical sensitivity is the characteristic of having a high concern for both the other and the self while adapting behavior to achieve mutually desirable outcomes. As a result, when interacting with culturally different people, intercultural sensitivity is required to recognize their cultural differences in order to adapt. The supported model matches nicely with the available information in the literature.

From the supported model we can draw some implications. The effect of new media on intercultural communication competence can be seen as inevitable and to be increasing as new media technology increases in availability and accessibility. Therefore, we can make some predictions based on the model presented in this thesis. The model purports that new media use through intercultural sensitivity can decrease ethnocentrism and increase rhetorical sensitivity; thus, as the use of new media of the general global population increases, accounting for a coinciding increase in intercultural sensitivity, the ethnocentrism levels of the general population can be expected to decrease as well as the rhetorical sensitivity levels can be expected to increase. This means that over time, intercultural communication competence can be expected to increase.



An increase in intercultural communication competence in the general population can result in many benefits. Less international conflict is one such benefit, possibly having an effect on the prevalence of international war and other violent events. Less inter-racial, inter-ethnic, inter-religious, etc., conflict on smaller scales is also a possible benefit. Better international relations with an increase in effective collaborations in areas such as science, technology, and medicine is also possible with more effective intercultural communication. Truly, the sense of the global village is coming to realization more than we had ever imagined, and the benefits are coming to fruition.

Aside from the implications that will naturally occur as the use of new media rises, this model can be applied to education and training programs. Devran's (2010) study of the "global class" demonstrates a viable application of the information the thesis provides. While that study provides qualitative evidence of the effectiveness of new media used directly in the classroom, this thesis provides some quantitative evidence. Previous research also suggests that new media use in the classroom allows students to communicate more effectively in intercultural situations (O'marra & Harris, 2014). In training programs, encouragement to engage in new media use could be done to promote the intercultural communication benefits. For example, a culture specific training program could elaborate on the ways native people in the host culture might communicate on social media and the best ways to respond. Another example of training programs incorporating the subject of new media is how methods for sojourners to find natively produced media from the host culture could be taught. For instance, the popular Youtube channels in the host culture could be explored in the training program. Beyond just teaching that new media use can improve intercultural communication competence there are many activities that can promote an increase use of new media effective ways that actively attempt to improve intercultural communication.

### Limitations

This thesis is the first to measure the frequency and volume of new media use and compare it to these two fundamental intercultural communication concepts, however, it is not without limitations. In any research there are some aspects which can be improved on, or some challenges that were not overcome, especially with a master's thesis such as this. As a result, this thesis has some limitations, particularly in the research process. The limitations of this thesis are the type of instruments used in the questionnaire were self-reported and not actual observations, the language challenges in the questionnaire posed possible problems in the interpretation by the participants, the chosen subjects of the data collection were homogenous, and the possible changes in attitudes of today's generation compared to generation during the development of some of the surveys.

### Recommendations for Future Research

Future researchers can find many ways to improve on the ideas represented by this thesis. Both conceptual and methodological changes are recommended. Conceptual changes can be achieved by changing someone of the concepts in the model, or by adding more to improve its validity and relation to intercultural communication competence. Ethnocentrism and rhetorical sensitivity only represent a part of intercultural communication competence and methodological changes could improve the accuracy of the measured variables.

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## **EXPLORATION OF DESIGN AND MOTIFS FOR LAPOHAN SURFACE DECORATION TECHNIQUE IN BAJAU LAUT COMMUNITY IN SABAH**

by

Nurul Aisyah Binti Othman & Norhayati Ayob

### **Abstrak**

This research focused on the local pottery product design which known as Lapohan. Because of the rapid rise in cultural product ceramic design in recent years, a study of culture pottery as Bajau Laut heirloom should be identify and be preserve. Lapohan as an object heirloom in Bajau Laut familiars. This unique show as the design and motifs is not be presented from other ethnic that because the motifs and design is a part of their culture and community. This study also show that several specific motif such as flowers and animals found on Lapohan ceramics ware are connected to the social culture beliefs of that Bajau Laut community. Repeated design surface themes which appear on the Lapohan pottery such as lapohan tongkang, lapohan tibnuk, lapohan pindas

Key words: Traditional Pottery, lapohan, symbolisme of Bajau Laut, design.



## Introduction

The birth of craft tradition has existed for a very long time in the community. It has begun since the pre-historical time along with the cultural development. It proves that the art of pottery is the earliest handcrafted art in human civilization development. The art of pottery is a form of handcrafted art which is made from clay and undergoes firing and polishing. Each shape is created based on its function which is to keep drinking water and foods for a long period of time.

Today, ceramic development era have spread widely especially in Malaysia because our community loves its aesthetic value. Either as decorations or souvenirs such as Malaysia 'labu sayung' in Perak which is known worldwide due to the regional trading relationship to South-east Asia and the land of Borneo that is Sabah and Sarawak. Each traditional handcrafted pottery product in this state possess its own unique characteristics and is also closely related to local customs and beliefs. Its main raw material is clay.

In a detailed research conducted at Kampung Melangkap, Semporna Sabah, regarding the Lapohan pottery, as called by the Bajau Laut whereas in Malay it means place for burning or cooking, shows the beauty which has not been explored and needs to be introduced to the world.

### Research method of Lapohan pottery

In completing the research, researcher needs a long period of time to collect all the data regarding the Lapohan pottery because it is less known by our today's community. This is because Lapohan is only used by certain community which still perpetuates the tradition especially the Bajau Laut. Data collection at the field area is conducted using in-depth interviews and audio record.

This study is taking into account various aspects including the informants background in terms of their involvement and development in producing the Lapohan pottery. This includes the design and motif pattern that they usually produce. In this study, the researcher's focus is to analyze the motif pattern of the pottery produced and the ornaments which could highlight the identity of ceramic manufacturing in Sabah.

With this research, the researcher can analyze the raw and compact data which can be a reference by the public. Objectives of this study is to categorize the types of pottery design, categorize the types of design available in the study area and categorize the names of designs and motif produced in detail and the tools used to make the Lapohan pottery.

### Bajau Laut community

There are many Bajau Laut community in Semporna, Sabah. They have inhabit Sabah more than 200 years ago and they can also be found living in the southwestern area of Philippines, Sulawesi Archipelago, Mergui Archipelago in Myanmar and in the southeastern part of Sabah. In the olden days, the Bajau spend a lot of time at the sea to make a living by catching fish and other marine life.

The boat known as 'lepa-lepa' is the main place where they lived while they are on the sea. They will only come ashore just to make a new boat or fix their boat. In the 'lepa-lepa', there are many parts based on its structural function such as the sleeping area and cooking area. The use of Lapohan on 'lepa-lepa' can save the space due to its small size and also it is not heavy.

#### Lapohan History

The Bajau in Semporna is not only proficient in making their craft heritage of 'lepa-lepa' but they also inherited the craft of pottery making. Craft product which is synonym with the Bajau community is the stove made from clay or otherwise known as Lapohan by the Bajau Laut. The stove is the main tools which the Bajau needs, either for cooking or as a heater while they are sailing or at home.

The Lapohan has been produced since the 1920's and Nahimah Tahalil is one of the main people who inherited this pottery craft. The distance from Semporna to Pulau Selakan took 30 minutes of boat ride. This island is one of the villages which still produce the pottery craft traditionally and the skills are passed down from generation to another and is now inherited by four generations.

According to the informant, Bunga Eniuh binti Batu Rua (2014), that is the second inheritor after Nahimah Tahalil whom is paralyzed and can no longer involve actively in the production of Lapohan pottery. At first, Lapohan is made for the villagers' personal utility use due to the far distance of the island to the town which made them produce their very own daily tools. Besides that, the local potters are also capable of mastering the knowledge related to raw materials.

The main focus which is important to the traditional potter includes the aspects of selecting the suitable raw materials as clay to produce a high quality pottery, pliable clay which makes it easy to shape, strong, not easily broken and have unique characteristics due to the effect of mixing the raw materials.

With this fact, we are able to reject the claim that our local pottery production possessed low quality. Susan Peterson also said that:

Confrontation with clay can bring us into contact with the self—earthy, intense, and passionate. The material is soft and sensuous, as well as strong, hefty substance, at once resistant, as pliable. It is so plastic that it can take any shape. Yet clay work is not easy. It is not immediate; it requires a series of processes that are hard to control. Only at the end, after the firing, can one see the finished work. This limitation decreases as skill increases and experience makes pre-visualization possible. Ideas tend to be superseded by the sheer physical problems of working clay.

If we look closely, the production process of traditional pottery requires high hand skills. From simple clay, it is shaped into various designs and is functioning well. This proves that the pottery production is not mere shaping process but also includes its function. Other than that, it requires high processing skills and the shapes of the traditional pottery are very suitable with its functions.

#### Material for produce Lapohan

Material to make Lapohan comes from the natural materials available in Pulau Selakan. Among the material used is the original soil also known as 'kodot' soil in Bajau language, found on the slopes of the hill in Pulau Selakan. This soil is taken by using an iron which is called 'talimbu' that looks like forked iron with the shaped of iron nail that serves to excavate the soil so that it is easier to collect them.

Next, the excavated soil is collected by using coconut shell and gathered in a basket or known as 'ambong' by the Bajau. This process is usually conducted by two people, one excavating the soil while one scooping it into the basket. Another natural material used is sand which is known as 'gusungan' by the Bajau Laut.

The sand used in the pottery process is taken from the beach in Pulau Selakan. The sand found in this island is very special because it is black in color and has a fine and soft texture. The use of tool is not required to collect the sand as it can easily be dig out with hands and then placed in jute sack or else known as 'karut'.

Sea water is another main material in the clay mixture used to shape the pot. According to Bunga Enih Batu Rua (2014), the salty sea water is added during the mixing process of soil and sand because the reaction between the materials make the 'lapohan' becomes more durable when burning compared to when using well water or rain water, according to the beliefs of Bajau community. Show at figure 1.









			
Sea Soil	Black Sand	Wooden Carvers	Wooden Pounder
			
Wooden 'Penempek'	Coconut Shell	Basket	Sea Water

Figure 1: Material to produce Lapohan

### Lapohan Design

There are three types of Lapohan design which is Lapohan Tungkang, Lapohan Pindas and Lapohan Tibnuk. The type of Lapohan that is usually used by the Bajau Laut is Lapohan Tungkang Show at figure 2.

Lapohan Tungkang has a lower front part compared to the back part and have motifs pattern on the upper part as decoration. The second type is known as Lapohan Pindas, it is oval in shape and have flat upper parts. Lapohan Tibnuk is round in shape and also possesses flat upper parts.

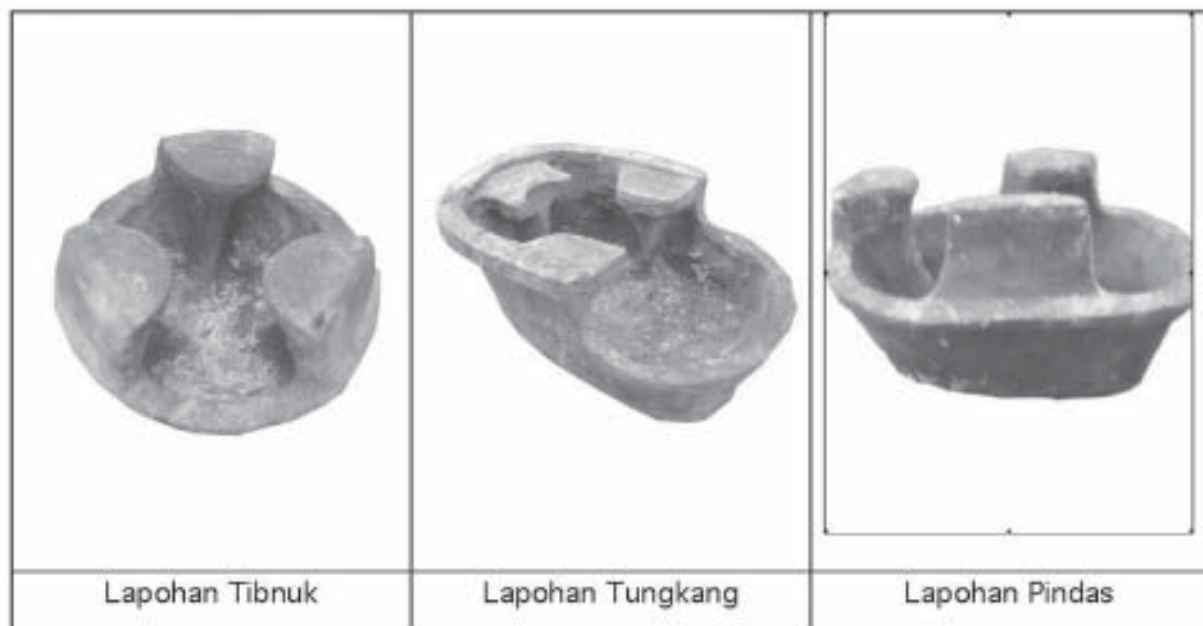


Figure 2: Types of Lapohan

### Lapohan Size

There are two sizes of Lapohan that is small and large, according to customer's demand. The small size that is usually asked by the customer is around 102 centimeters wide, 13 centimeters height whereas the larger size is 130 centimeters wide and 16 centimeters height.

### Motifs

The shape of the pot is more dynamic with the presence of decoration on its surface. The inspiration of decorative motifs comes from the beauty of the nature. Geometrical lines are also used in the production of the pot. However, the uses of the motifs are limited especially in Lapohan pottery because it is judge by its function for cooking instead of its decoration.

There are four types of techniques to decorate the pot. One of the technique known as pressing technique which is commonly used to produce Lapohan. The motifs that is commonly used with this technique are usually related to the nature especially plants such as trees and flowers. A wood will first be carved based on the potter's inspiration. The carved wood will then be pressed on the body of the pots, leaving the motifs sink slightly from the surface of the pots.

Another technique is carving. A sharp object such as the bamboo is used in this technique. Carving technique produce beautifully arranged lines on the pot. Sometimes, the surface of the pot is pricked a little bit according to the creator's inspiration as the decorative technique.

Pasting technique is also used to decorate traditional pot. Another piece of clay is shaped into either flora or fauna and pasted on to the body of the ceramic which makes the motifs arise from the surface shown as at figure 3.1 and 3.2 . With the mixture of shapes and decorative technique, it makes the pottery product such as Lapohan appears more beautiful, attractive and unique.

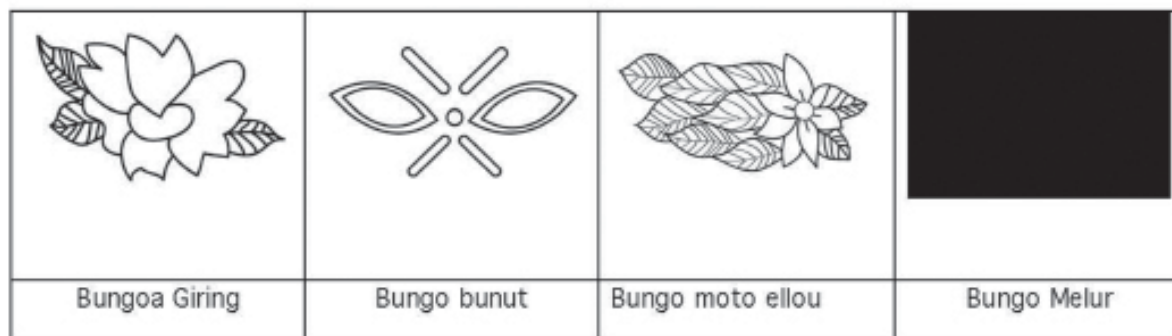


Figure : 3.1 Types of Flora Motifs

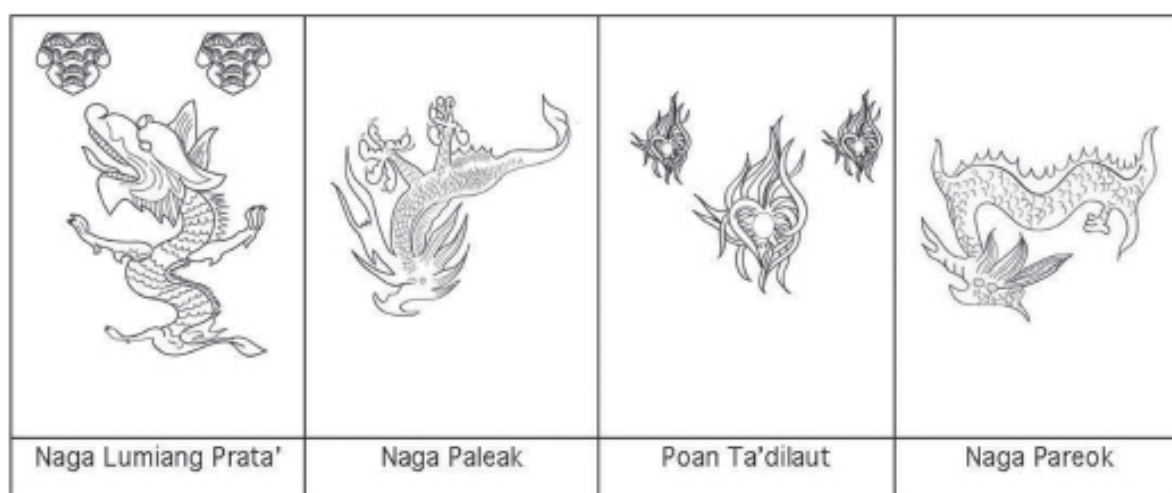


Figure : 3.2 Types of Flora Motifs

Taboo during the manufacturing process

One of the unique tradition that is inherited by Bunga Eniuh Binti Batu Rua (2014) family is during the process of excavating the soil and sand, according to the beliefs of the Bajau community in Semporna, the pregnant women or after delivery are not allowed to join the process as they believe that the ceramic produced cannot be produced perfectly.

Other than that, during the excavation process, the potter will read certain mantras so that the process will run smoothly. Example of the mantras is:

Mbok, dah aku' sagdalahun

Aku tu' empu nuru

Kia bun aku !

The meaning of the mantras in Malay is

Nek, jangan kau tegur , (Dear Grandma, don't you ask)

Aku ini cucu kau, (I am your grandchild)

Kau kenal aku juga ini ! (You know me too)



Another taboo is during the manufacturing process of the ceramic, it is emphasize that it is not conducted during rainy day. They are forbidden to either make or gather the materials because according to the potter, it is feared that disaster will come upon them.

All the taboos must be followed during the process of ceramic production and inherited from one generation to another.

## CONCLUSION

The uniqueness and beauty of the Lapohan produced by the Bajau Laut ethnic is a type of art that must be conserved and preserved. Moreover the diversity of motifs that are heavily influenced by motifs of flora and fauna. The identity of a certain ethnic in Sabah is shown by this kind of art. Lapohan pottery created by the Bajau Laut community must be explored and marketed to industrial level, in Malaysia or overseas, in order to make the community knows about the existence of this traditional craft product. This crafted product has its own specialty and a rare design identity other than its function for human daily needs.

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## INFORMANT

Nahimah Tahalil, 85 Years Old. Pulau Salakan Semporna Sabah, Head of Lapohan Production Organization in Pulau Selakan, 30<sup>th</sup> August 2014.

Bunga Eniuh Binti Batu Rua, 53 Years Old, Pulau Bum-bum Semporna Sabah, Deputy Head of Lapohan Production Organization in Pulau Selakan, 30<sup>th</sup> August 2014.

Rugayan Binti Abdul Jal, 22 Tahun, Pulau Bum-bum Semporna Sabah, Third Generation Lapohan Producer, 31<sup>st</sup> August 2014.

## Justice of Fate: False Honors for the Leaders of a New Genre

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### ABSTRACT

Like other Central Asian countries, Turkmenistan was badly effected by Stalin regime as well. This paper seeks to point out the injustices suffered by the leading scholars of Turkmen literature who expressed a new of genre of ideas. In this scope, I propose to analyze and discuss the works and lives of two of those leading scholars, Abdulhekim Kulmuhammedow and Hydyr Deryayev.

**Key words:** Abdulhekim Kulmuhammedow, Hydyr Deryayev, Stalin regime, Turkmen Literature, Turkmenistan.

### Introduction

The ideas of Abdulhekim Kulmuhammedow (1885-1931) were deemed unacceptable for its reformist content. He was the co-director of Turkmen Academic Literature Society, which was established in 1920s. He was charged as a “Turkist, bourgeois nationalist, enemy of the country” because the aforementioned society represented Turkmen Jadidism. The hard ‘proof’ behind his supposed guilt was a degree he had obtained in the 1910s from Istanbul University in Turkey where he got the foundation of his pathway.

The second example is of Hydyr Deryayev who was the author of the first Turkmen novel called “Kanly Pengeçden” (From Bloody Claw) written in 1934. The novel’s content and title had to be changed before it was allowed to be published for public consumption 26 years after it was written. When he finished the first Turkmen novel in 1934, the book was not permitted to be published until 1937, and the reason of postponement was not offered. Not only was the name of this first Turkmen novel changed to “Ykbal” (Fate) in 1960, but also before the publication of the book in 1937 Deryayev was banished to Siberia for long and hard 19 years of forced labor.

### Abdulhekim Kulmuhammedov (1879-1931)

He was born in Halaç province of Lebap, one of the five sates of Turkmenistan. Kulmuhammedow studied in Istanbul University, Turkey where he got the philosophy of his life. He joined the Russian Communist Party in 1918 and in 1920 he was the only Turkmen member of the Zakaspi (Beyond the Hazar Sea) Region Revolution Committee. He used his position authority to return the Turkmen intellectuals forgiven by the Russian government. He was selected as a commander to the detachment from Turkmen people which was founded in the Bayram Ali province. His battalion played an important role in the establishment of Bukhara National Soviet Republic in 1920. At that time M. V. Frunze was the commander of the Revolution movement and he valued the battalion of Kulmuhammedow. After this success he selected one of the eight members of Bukhara National Soviet Republic and appointed him to the Ministry of Defense of Bukhara National Socialist Republic. For his remarkable works and contributions

he was awarded with the “Golden Star” medallion of Bukhara Republic<sup>1</sup>.

After a while in 1921 even though he had an important role in the Soviet system a conflict occurred between him and the Soviet authorities. He escaped to Afghanistan because of political pressure. With a positive attitude he turned back from Afghanistan in 1923 but the same year he escaped while he was being investigated. A question (or questions) can be asked why he had conflict with the Soviet authority during his brilliant administration years. Because the new system was tried in all regions of Soviet republics, officials did not put their trust fully in the local representatives. It was a political and strategic way of controlling domestic leaders due to their national and public effects. They were viewed as potential rebelling factions toward the Russian government even though those selected local authorities were chosen by the republican commission.

Kulmuhammedow returned from Afghanistan in 1925 to attend the 1<sup>st</sup> General Assembly of Turkmenistan organized by the Soviet Russian Republic where the establishment of the Turkmenistan Soviet Social Republic was announced. He was the delegate and member of the central executive committee.

He was not only government authority but also in charged other duties as well. For instance between 1925 and 1928 he worked as an assistant director of the newspaper named *Turkmenistan*, which played an important role for local media. In 1926 Turkmenistan Science and Literature Community were established and he became the assistant chief of this organization. He was also editor of *Tokmak* (Mallet) and *Dayhan* (Farmer) magazines. In those important years he published nine different articles about issues of Turkmen literature. But his master piece was his book of poems named *Umyt Ýalkymlary* (Lights of Hope) published in 1926. He also re-published Ali Shir Nevai's *Muhakamat al-Lughatayn* (Judgment of two languages; Turkish vs. Persian).

In the 1930s he went to Leningrad (Saint Petersburg) for PhD research and studied with well-known scholars, A. N. Samaylovich and V.V. Barthold. He was appointed to the Institution of Turkmencult (Turkmenistan Culture) to collect and publish manuscripts about Turkmen nation's history. In 1931 he published a book named *Materials about Literary Monuments of Central Asia*. The same year he was also planning to publish *Biographic Dictionary for Old Turkmen Poets* but he could not do it because of extenuating circumstances to be detailed later.

In those years a committee was founded by the Russian government to control Turkmen literary works in case of threat against the regime. Because of his book *Lights of Hope* Kulmuhammedow was declared as a “deputy of anti-proletarian trend and enemy of the state” by O. Tachnazarov, leader of the censorship committee of Turkmenistan. After this “unmerited label” at the end of 1931 he was taken to the Iran border of Turkmenistan and shout by Soviet regime soldiers. This event was declared and reflected to the local media wat the time and recorded that he was planning to escape from Turkmenistan<sup>2</sup>.

One can ask for what reason was he accused labeled unfairly and assassinated. In 1930s the nation was divided into two different groups due to their attitude towards the Russian government; whites and blacks. Being in the black side of this “game” was equal to being nationalist. To be accepted as a “white” adulator it was enough for one just to denigrate the other by

1 Soyegow, Muratgeldi. “An Innocent Turkmen Scholar in Soviet Era: Abdulhekim Kulmuhammedov”. Bilig, 2000.

2 Soyegov, Muratgeldi. “Jadidism in Turkmen Literature: New Informations and Results”. Bilig, 1998.

labeling him nationalist. For instance G. Sahedow wrote that “There are nationalist issues in the book of Kulmuhammetow, *Lights of Hope*”, on his article published in *Youth Communist* newspaper in 1928<sup>3</sup>.

It was acceptable after long years to write about national issues and show a pathway to the people. Kulmuhammedow was doing his duty for his country. For example in one of his poems he was declaring that all the Turkmens come together and unite:

Bölek bölek dört tarapa pytyran  
Ata-ene bir, Türkmen ili birleşdi.  
Zulm astynda dili bagly titirân  
Duýgy-düşünjesi dili birleşdi<sup>4</sup>.

(Turkmen nation get together and unite whose mother and father, ancestors are one. And the nation which was crumbled to different sides finally joined. This nation was trembling under a cruel act and silenced. But now its feelings and ideas are united)

He did not write poems only but he also criticized the Turkmen poets because of their political poems. The style and art side of the new generation was not successful, according to his point of view. One can see that he discussed with his professor Samaylovich about historical issues about Turkmenistan. His multi-faceted studies and research show that he also deals with linguistics. After Kashgarly Mahmut, Rashiduddin and Ebulgazi he was the only researcher talked about etymology of word “Turkmen”. He claimed that the Turkmen nation should show enough importance to its mother language. In *Turkmenistan* newspaper, published in 1927, he pointed out that in the Soviet era people must deal with issues of Turkmen language and literature.

### Hydyr Deryayev (1905 – 1988)

He was born in Mary (Merv), last Seljuk capital. After finishing high school in Turkmenistan he went to Uzbekistan – Tashkent for Central Asian University in Oriental Studies. In 1930-31 there were serious follow and pressure from the government towards researchers of oriental studies. Because all the professors of University of Oriental Studies were sent to prison, he and his class moved to the Pedagogy Faculty. He came back to Turkmenistan in 1931, started to work in Turkmen State Institute of Pedagogy, and in a short time he was appointed to the head of the Department of Turkmen Language and Literature<sup>5</sup>. Deryayev wrote a school book named *Syntax of Turkmen Language* for 6 - 7<sup>th</sup> grades and an exercises book of *Turkmen Language* for 4<sup>th</sup> grades. But his first main work was writing *Turkmen Language for European People*, with H. Bayliyev in 1932 and being the Coordinator of 1<sup>st</sup> Linguistic Symposium of Turkmenistan.

After writing an article about the importance of dealing with the old Turkmen language in the *Communist Education* magazine in 1932, he started to be investigated by government scholar ‘hunters’. He was accused as a “nationalist” with this article by G. Nazarov in newspaper *The Council of Turkmenistan* in 1933. He was also blamed with collecting his colleagues

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3 Sahedow, G.

4 Soyegow, Muratgeldi. “An Innocent Turkmen Scholar in Soviet Era: Abdulhekim Kulmuhammedov”. Bilig, 2000.

5 Soyegov, Muratgeldi. “Turkmen Jadid Writers”. Gazi Türkiyat, 2010.

and students to promote the value of Turkmen language and literature. After long political pressure he had to write a new article to *The Council of Turkmenistan* and apologize for writing about the old Turkmen language. After this comment his investigation was decreased to a minimum but in 1937 he was arrested for being a member of Turkmen Freedom Council and writing a novel<sup>6</sup>.

The factors concerning his work, his novel and political pressure on him is an interesting example of force and censorship in the Stalin era. Hydyr Deryayev, who studied in Uzbekistan and had a chance to become familiar with Uzbek literature without translation, got his first influence of Russian literature by reading translations in the Uzbek language. A classic writer of Uzbek literature Abdulla Kadiri's novels was the first experience he had as a student. K. Salihow included Hydyr Deryayev's memoirs in the introductory part of the novel *Ykbal* (Fate) and showed how he started to write his novel:

That novel put unforgettable influence in my youthful hearth. Because of that, in my mind I started to think about the heavy history of Turkmen nation which is the same with the Uzbek nation. I also can write a novel about this important history. This idea which I got after reading the novel *O'tgan Kunlar* (Days Gone By) never let me forget both the Tashkent student years and after started to work in Ashgabat. But even the facts and events of the novel occurred in my mind and characters started to grow in my heart, it was in the beginning of 1933 when I intended to write a novel<sup>7</sup>.

Kaka Salyh was not only giving information about influence of Uzbek literature, he also mentions that some misunderstandings about the Turkmen literature should be cleared. According to him, "it is inevitable that influence of Russian classics and modern literature on Turkmen literature is big"<sup>8</sup>. But he is against restricting that influence with only Russian literature and it is not fair since we can feel enough of the effects of regional literatures on our literary works. "Example of Hydyr Deryayev's works gives us enough proof to say not only Russian literature, but our literature is affected by other nations as well"<sup>9</sup>.

Even though Hydyr Deryayev thinks about writing a big format fiction about a similar history with the Uzbek nation, he did not start until 1933. In the article "What are Writers doing?" in the magazine *Turkmenistan Shura Literature* in 1933 we can see the information about him. One article informed that "Deryayev Hydyr – is writing the first part of his novel about the life of a Turkmen woman before and after the revolution"<sup>10</sup>. K. Salyhov, in his introduction to the novel *Ykbal* (Fate) informed that H. Deryayev finished his novel *Ganly Penjeden* (From Bloody Claw) and gave it over to be published in 1934. His novel was not published immediately. In 1937 in the article "Arrested Works" in the magazine *Tokmak* (Mallet), it accuses and dispraise that not only Hydyr Deryayev's works but also other writers' works are kept without being published and no reason was shown<sup>11</sup>. He ended his novel *Ganly Penjeden* (From Bloody Claw) in 1934; however his work was only published with editing by A. Niyazov in 1937.

Muhammet Gurbansahedov is an academician who wrote many articles and biography

6 Gurbansahedov, M. Hydyr Deryayev. Ashgabat, 1975.

7 Salyh, Kaka. *Ykbal*. Ashgabat, 1962

8 S. K.

9 S.K

10 Turkmenistan Shura Literature, 1933

11 *Tokmak*, 1937



book about Hydyr Deryayev. He classified his novel which was published in 1937 as a realistic-historical novel. He and other researchers accepted Berdi Kerbabayev's *Aygytly Adim* (The Decisive Step) as a first Turkmen novel, published in 1940. In their opinion this novel is a sample of a revolutionary novel. With regard to their researches about the history of Turkmen novels scholars agree that *Aygytly Adim* (The Decisive Step) is the first Turkmen novel<sup>12</sup>.

For instance, Yakup Sarıkaya argues and considers that Berdi Kerbabayev's novel was the first novel, based on incomplete information about historical background: "His novel, named *Ayğıtlı Ädim* (The Decisive Step) is the one of the first novels in the Turkmen Literature. According to publication date, this is the first Turkmen Novel"<sup>13</sup>. But when *Aygytly Adim* was published in 1940 Hydyr Deryayev was in Siberia for forced labor and there were nobody to support his novel. One can easily see that there is three years between publication years of two novels.

By submitting examples of Turkmen authorship I contend that first Turkmen novel is *Ganly Penjeden* (From Bloody Claw). This argument is also commented by K. Salyhow in 1960s by looking at its publication date. Muhammet Gurbansahedov also agrees with this idea and tells his idea in article "The Inspiration Donated to Nations' Fate" in the 70th year anniversary of Hydyr Deryayev, in 1975, "The main work in his productive life was *Ganly Penjeden* (From Bloody Claw). Not only in his life, but also in the history of Turkmen literature it was first trial of writing novel"<sup>14</sup>. There is a dilemma between his statements about Hydyr Deryayev. He considers his book realistic-historical novel that is why it cannot be called the first Turkmen novel. On the other hand he claims that it was first trial of writing novel. When I met him in 2008 in Turkmenistan and talked about the history of Turkmen literature, he confessed that it was a serious issue and responsibility to talk about arrested authors and their works. With help of him we could find the only copy of *Ganly Penjeden* (From Bloody Claw), published in 1937, in archive and I took a copy of it. I am surprised that the fear of Stalin regime can be seen even after long year since he did not take a copy of the novel he used to write about it.

Like Gurbansahedov, other people also know that even writing about Hydyr Deryayev and his work can be reason for arrest. The Stalin regime developed its own way of writing and controlling writers. In the *Handbook of Russian Literature* this issue was summarized as follows:

The October Revolution of 1917 had an immediate, powerful, and lasting effect on the world of Russian letters. Since the victorious Bolsheviks immediately installed their own brand of censorship and greater pressure for conformity that had existed before the Revolution, Soviet literature soon assumed a very different posture from Russian literature as it existed before the Revolution<sup>15</sup>.

As it can be seen here not only Turkmen and other Central Asian scholars were affected by this conscious attitude, but even Russian writers had to escape like A. Tolstoy, A. Kuprin and M. Tsvetayeva. This colonial movement was different than others; not only taking the lands but also the national values of local people has been trampled. Edward Said put this colonial method of the Russian empire in this way: "Unlike Britain or France, which jumped thousands of miles beyond their own borders to other continents, Russia moved to swallow whatever land

12 Gurbansahedov, M. Turkmen Romanynyn Kemala Gelmegi. Ashgabat, 1990

13 Sarıkaya, Y. "Berdi Kerbabayev, Writer of Soviet Age Turkmen Literature and his Novel, Named *Ayğıtlı Ädim* Bilig 2006

14 Gurbansahedov, M. Edebiyat ve Sungat, 1975

15 Handbook of Russian Literature. Ed. Victor Terras. (Yale University Press: New Haven and London: 369, 1985



or people stood next to its borders, which in the process kept moving farther and farther east and south”<sup>16</sup>.

After being arrested in 1937 Deryayev returned from Siberia in 1956 and re-organized his novel, changed some scenes, hero and events. He published the same novel with new name *Ykbal* (The Fate) in 1960. This book was first translated to Russian, then to the Uzbek language. O. Kuzmin, translator of the novel, did not mention about the “fate” of the author or the novel. He did not give information about how author’s works were censored and prevented from being published. During the next 10 years four volumes of *Ykbal* were published, with the last volume released in 1970. After *Ykbal* was published, a movie based on story of “*The Fate*” was produced. An Uzbek movie studio produced a 3-part play based on story of the *The Fate*. After two years the same studio put a new version of the play on TV. Hydyr Deryayev himself was awarded with prize named National Author of Turkmenistan and the Mahtumkulu Prize which is a prestigious prize for important people<sup>17</sup>.

## Conclusion

In a conclusion, one can see that Russian government and especially the Stalin system of management for all Soviet countries depended on censorship and pressure. Because of this negative movement Turkmen language and literature could not grow up and improve like other Central Asian countries. Abdulhekim Kulmuhammedow and Hydyr Deryayev are only two examples of hundreds who were repressed by the regime which they supported.

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16 Said, Edward W. Culture and Imperialism. 1993.

17 G. M.

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## **JOB RELATED EXTRINSIC FACETS IN AN IN-SITE ACADEMIC WORKPLACE: PARALLELISM BETWEEN HERZBERG'S HYGIENE FACTORS AND MASLOW'S HIERARCHY OF NEEDS**

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### **Abstract**

This investigation highlighted analyses of the empirical findings from a case study in an academic workplace. The evidence-based data on job related extrinsic facets or Herzberg's hygiene factors were elicited specifically on school policy and administration, salary, job security, work condition, status/position and relationship with superiors from a scientifically computed sample size of 94 faculty members. These qualified respondents were selected through stratified random sampling by proportional allocation. The findings of the study revealed the following: the teacher respondents were not dissatisfied with the hygiene factors on status, work conditions and relationship with superiors while they were dissatisfied with the factors on school policy and administration, salary and job security. The empirical findings on the hygiene factors were interconnected with Maslow's lower order needs however, there were some indices within the hygiene factors of status, work conditions, relationship with superiors, school policy and administration that were motivators linked with the higher order needs of Maslow. An executive development program was accentuated in this study to address the causes of dissatisfaction and illuminate insights into aspects to which managers can improve the motivation and satisfaction of their employees.

Keywords: empirical view, in- site academic workplace, job-related extrinsic facets

### **Introduction**

Herzberg's Two-Factor Theory or Motivation-Hygiene Theory (1959) posited that job satisfaction and job dissatisfaction were independent of each other in view of certain sets of job related facets (intrinsic or extrinsic factors) that were separate dimensions in the workplace. This independent phenomenon was based on the findings of Herzberg's critical incidents technique reports from 203 engineers and accountants in Pittsburg. This survey work was replicated by Herzberg's count 60 times (Dowling, 1971) with various types of populations including the

communist countries (Herzberg, 1968), although a critique on the absence of individual differences (Gaziel, 1986) not measured in the study came out of the fore. This investigation was thus embarked to validate in particular the applicability of Herzberg's hygiene factors in Philippine setting with special considerations to certain profile characteristics of the respondents. To accentuate further, the empirical findings of this study were paralleled with that of Maslow's hierarchy of needs.

The first component in Herzberg's approach to motivation theory are the hygiene factors independent of the work itself that cause dissatisfaction in the workplace while the second component are the motivators dependent on the work itself that are linked to an employee's motivation. The first step then in the application of Herzberg's theory is to eliminate job dissatisfaction caused by the hygiene factors and secondly, address the motivators to create conditions for job satisfaction. In view of this direction, the objectives of this study were to determine the distribution profile of the Filipino teacher respondents' characteristics and job related extrinsic facets under the scale of operations of no dissatisfaction and dissatisfaction with hygiene factors and to establish the parallelism between Herzberg's hygiene factors and Maslow's hierarchy of needs utilizing the findings with the assumption that the hygiene factors can be utilized to unlock what motivate and satisfy employees. The job related extrinsic facets empirically investigated were on school policy and administration, salary, job security, work conditions, status/position and relationship with superiors. Based on the results, the recommendations were geared towards utilizing the issues on hygiene factors through a proposed executive development program as sources to build job satisfaction thereafter by navigating opportunities for the teachers to increase their motivation and satisfaction in work.

## **Review of Related Literature**

### **1. Conceptual Literature Review**

#### **1.1 Job-Related Extrinsic Facets**

This investigation focused on the hygiene factors or extrinsic facets related to the job reflected in Herzberg's Motivation-Hygiene Theory such as company policy and administration, supervision, interpersonal relations, working conditions (Robbins, 2002), pay and job security (George and Jones, 2002). The following specific options under each of the hygiene factors in this study were derived from the discussions of Gordon, Mondy, Sharplin, Themeaux (1990) and Donnely, Gibson and Ivancevich (1992) and slightly contextualized within the confines of the medical school and faculty respondents studied: (1) school policy and administration (well informed about the provisions through orientation or manual; the policies are clear/understandable, flexible and stable, provide for coordination with other departments, reasonably comprehensive in scope; school environment conducive to a high level of teacher motivation through recognizing teachers' efforts and loyalty utilizing citations and awards, personal interest in teachers without showing partiality, building and maintaining teachers' morale, handling grievances promptly and fairly); (2) salary (equitable and adequate pay based on rank, changing economic, commercial and competitive conditions, received definitely on scheduled pay day, reasonable additional monetary compensation on time for each year of service, bonus, 13th month pay, for overtime services, extra teaching load, hazardous duty, night duty in the hospital, time off with pay on holidays, personal days, maternity /paternity leave, sabbatical leave, sick leave and vacation leave).

Further, the options on (3) job security were on provisions to forestall lay off, security in the job with income supplements such as profit-sharing plans, stock bonus plans, stock options, entitlements to benefits such as income protectors, accidental death insurance, disability insurance, life insurance, pension, retirement plan, health protectors such as medical insurance and dental insurance; while the hygiene factor on (4) work conditions highlighted the challenge to improve and reinforce quality of performance due to these factors: educational assistance, flexible work arrangements, superior continually tells the teacher is needed, valued and important in the workforce, the workplace is clean, safe, comfortable and accessible. Meanwhile, the extrinsic factor on (5) status dealt with feelings of self-fulfillment in being able to use one's own unique capabilities and potentials, given the chance for independent thought and action, given the opportunity to participate in the determination of teaching-learning methods and procedures, given the opportunity for personal growth and development, receives high regard/prestige from superiors, colleagues, staff within one's department, staff from other colleges within same institution and others not connected with the teacher's institution.

On the other hand, the indices for (6) relationship with superiors were extracted from McGregor (1960) and Solomon (1989) that pointed out this lineage: listening attitude, concern for staff's personal goals, development of potentials through challenging tasks, provisions for professional development, pleasure on success, trust, straightforward messages, gracious praises, kind, private and privileged communication, open door policy, regular meetings and small get-together, rewards system for accomplishments, feedback on staff performance, systems for creative solutions, updating, expectations, support and management review, empowerment, physical, emotional and mental involvement in work, goal setting and achievement and promotions.

## **1.2 Herzberg's Motivation-Hygiene Theory**

Otherwise known as the Two-Factor Theory, Herzberg's Motivation-Hygiene Theory (1959) differentiates between motivators such as recognition, responsibility, achievement, or personal growth that are intrinsic to the job itself and hygiene factors/maintenance factors that are extrinsic to the work itself such as company policies, supervisory practices, or wages/salary. Herzberg, elaborated further on hygiene factors from highest to lowest importance : 'company policy and administration, supervision, relationship with supervisor, work conditions, salary, relationship with peers, personal life, relationship with subordinates, status, security'; while the motivators were: achievement, recognition, work itself, responsibility, advancement, growth' (Robbins, 2002: 124). Drafke and Kossen (1998: 284) expressed consideration that '... an employee's perception of a motivational factor is of far greater importance than the manager's perception of it. A factor that merely maintains one person may motivate another'.

From the angle of the Two- Factor Theory these scenarios may arise within the context of hygiene factors and motivators: (a) few complaints (high hygiene) with high motivation; (2) few complaints, wage consciousness (high hygiene), minimal/low motivation; (3) lots of complaints, issues with salaries and work conditions (low hygiene), interesting and challenging job (high motivation) ; (4) many complaints (low hygiene), no or low motivation.

Drafke and Kossen (1998: 281) spelled out these points from what they also call Herzberg's Motivation-Maintenance Model : 'essentially hygiene factors are facets of the work environment that need to be present in order to make the job at least minimally acceptable. Motivators are facets that actually give people a reason to grow in their work'; the scale to

which the hygiene factors and motivators operate are dissatisfaction to no dissatisfaction and no satisfaction to satisfaction respectively, therefore, if one is not dissatisfied it does mean that the individual is satisfied since real satisfaction is brought about by adequate motivators not by adequate hygiene factors.

### **1.3 Maslow's Hierarchy of Needs**

Maslow (1943) endeavored to explore individuals' motivation by examining in depth human needs on the premise that the 'basic human needs are organized into a hierarchy of relative potency'. The details of Maslow's (1943,1954) original five stage model were as follows: (1) basic needs such as biological and physiological needs: homeostasis, food, shelter, clothing, water, warmth, air sex, sleep; (2) safety needs: stability, physical and mental safety, protection from elements, security, order, law, elimination of fear and anxiety; (3) love and belongingness needs: love from family, work colleagues, friends, romantic relationships, intimacy and affection; (4) self-esteem needs: self-worth, self-confidence, achievement, mastery, independence, status, dominance, prestige, self-respect, earned respect from others; (5) growth needs such as self-actualization needs: realizing personal and highest potential, self-fulfillment, seeking personal growth and peak experiences. The basic needs and growth needs are the lower order and higher order needs respectively. The key points in Maslow's theory (1954) stressed this aspect: gratification of each need level going up to the next level after the other.

In the 1970's changes to the five stage model incorporated cognitive and aesthetic needs (Maslow, 1970a) and transcendence needs (Maslow, 1970b). The model had this sequential order then: (1) biological and physiological needs; (2) safety needs; (3) love and belongingness needs; (4) esteem needs; (5) cognitive needs pertaining to knowledge, meaning etc.; (6) aesthetic needs referring to appreciation and search for beauty, order and balance, form, etc.; (7) self-actualization needs; (8) transcendence needs on attaining self-actualization for others.

## **2. Empirical Literature Review**

From the time Herzberg published the findings of his 1959 investigation, an array of various studies had been launched for different reasons such as to generate evidence based data related to the two factor theory of Herzberg, to authenticate the applicability of the motivation-hygiene factors and to refine certain angles of Herzberg's premise on intrinsic and extrinsic motivators. On the factor of interpersonal relationship, the large scale study of Ducharme and Martin (2000) projected a significant positive correlation between work group interactions and co-workers' support on job satisfaction. The factor on working condition was delved empirically by Islam and Ismail (2008) and correlated it with motivation which reflected a positive relationship. Edward and Teoh's (2009) case study findings in two universities in Malaysia revealed that the presence of extrinsic motivation factors positively influenced job satisfaction. From the standpoint of job security, Danish and Usman (2010), pointed out a positive relationship between job security and job satisfaction among 220 respondents in Pakistan. Stringer (2011) and company proved that pay and benefits were strongly associated with job satisfaction as well as the study of Ibrahim and Boerhaneoddin (2010) in Malaysia confirmed that compensation had a significant effect on job satisfaction. While Lin and Lin (2011), spelled out in their research a positive relationship between leader-member interactions and job satisfaction. Aydin (2012) tested on 150 academicians in a Turkish Foundation University the effect of hygiene factors (salary, job security, company policy and administration, supervision, interpersonal relations, status and working conditions) and job satisfaction on research performance that



elicited positive influence except for the factor on status.

Maslow's speculations on human needs attracted experts and researchers to undertake empirical elaborations on his hierarchy of needs. Zalenski & Raspa (2006) developed a framework for human potential in hospice and palliative care. Their study adapted the original Maslow's hierarchy of needs in comprehensive patient assessment and intervention designs to the attainment of comfort and experience of transcendence. A hologeistic comparative method by Davis-Sharts J (1966) utilized Maslow's theory in conjunction with this method. Leidy (1994) tested the adequacy of Maslow's theory in determining the usefulness of the Basic Need Satisfaction Inventory as an instrument to measure need satisfaction. Mousavi and Dargahi (2013) embarked on Maslow's needs order by comparing differences in needs and motivation among Iranian employees in various ethnic groups.

### Methods and Techniques

The evidence-based data from an in-site case study of hygiene factors from a minimum sample size of 94 Filipino faculty members of a private tertiary institution in Cebu City, Philippines was further analyzed. Utilized in this case study were two sets of research tools to measure the respondents' relationship with their superiors from the reliable literatures and test tools of McGregor (1960,1966,1967) and Solomon (1989) on hygiene factors respectively. Validity and reliability tests of the questionnaires were confirmed for its acceptability and accuracy in these excellent results (Hutcheson & Sofroniou, 1999; George & Mallery, 2003): .910 for construct validity or factor analysis and .982 for Cronbach's alpha reliability coefficient.

Through purposive sampling using the criteria on tenured or non-tenured faculty and years of service from 1 year and above sorted out the qualified respondents. A sampling frame reflecting the number of respondents by strata from each of the seven colleges of the institution was used to determine the final set of qualified respondents employing the stratified random sampling by proportional allocation. The data were computed through descriptive statistics to arrive at the distribution profile of the respondents' characteristics and job-related extrinsic facets and the data were orchestrated into tables and bar graphs.

### Findings and Interpretations

#### **1. Teacher Respondents' Demographic Characteristics**

Included in this study were faculty members specifically 52 (55.32%) tenured and 42 (44.68%) non-tenured; 68 (72.34%) were male and 26 (27.66%) were female; 63 (67.02%) were in early adulthood; 30 (31.92%) in the middle adulthood stage and 1 (1.06%) was in the late adulthood; married were 55 or 58.51% and single were 39 or 41.49%; 63 (67.02%) were 3-9 years in the service; 22 (23.405) within 10-19 years and 9 (9.58%) from 20 and above years of service.

Table 1: Major Findings on Job Related Extrinsic Facets/Hygiene Factors  
in Means, Frequencies, Percentages, Interpretations and Ranks

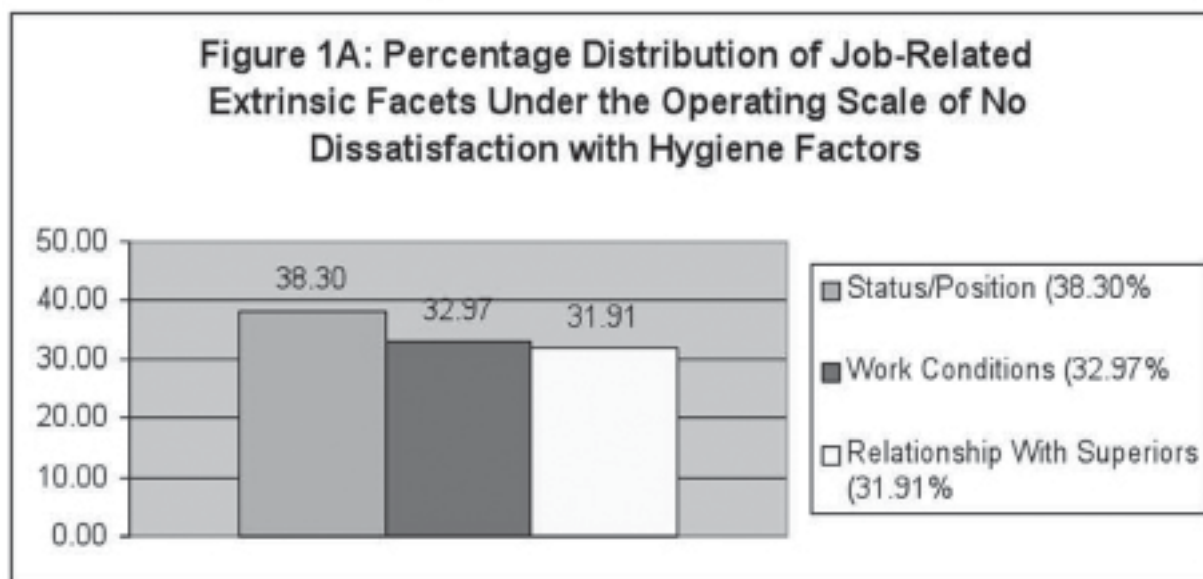
Category	Mean	Frequency	Percentage	Interpretation	Rank
1. Status/Position	3.07	36	38.30%	Good/ High	1
2. Work Conditions	2.94	31	32.97%	Good/High	2
3. Relationship with Superiors	2.70	30	31.91%	Good/High	3
4. School Policy and Administration	2.49	37	39.36%	Fair/Low	4
5. Salary	1.85	44	46.81%	Fair/Low	5
6. Job Security	1.40	34	69.15%	Poor/Very Low	6

Amplified in Table 1 were the major findings that depicted from highest to lowest distribution, however under the categories of good/high only. Based on the ranks, the first three hygiene factors to which the teacher respondents were not dissatisfied were status/position, work conditions and relationship with superiors while dissatisfaction were on school policy and administration, salary and job security. Featured in Tables 3 and 4, Figures 1A and 1B were the specific hygiene factors and corresponding discussions relevantly linked to Table 1.

Table 2: Legend for Ratings, Mean Ranges, Response Modes, Descriptions  
and Interpretations

Rating & Mean Range	Response Mode	Description	Interpretation
5 4.21- 5.00	Excellent	Fully Met/ Not Dissatisfied	Exceptionally High
4 3.41- 4.20	Very Good	Frequently Met/ Not Dissatisfied	Very High
3 2.61- 3.40	Good	Generally Met/Not Dissatisfied	High
2 1.81- 2.60	Fair	Periodically Met/Dissatisfied	Low
1 1.00- 1.80	Poor	Not at all Met/ Dissatisfied	Very Low

For reasons of consistency in the responses of the teachers, Table 2 thus reflected the rating system used that also served as guide for the researchers to interpret the findings.



The data in Figure 1A evidently revealed the highest to lowest distribution profile of the job related extrinsic facets /hygiene factors where the teacher respondents were not dissatisfied in the following order: status/position, work conditions and relationship with superiors. The general graph scenario revealed that the hygiene factors were met and addressed by the institution's management not way above 50% although it depicted that the teacher respondents were generally happy and comfortable in their work however not necessarily satisfied bearing in mind Herzberg's theory. Within this context, the possibility of dealing with the motivators to effect motivated and satisfied faculty members was high and feasible. Past studies could affirm this direction of creating job satisfaction in the workplace such as that of Fang Yang (2011) where extrinsic motivation factors motivated the studied employees to work hard in China; specific hygiene factors namely pay, relationship with superiors, job security, and working conditions were found to have positive correlation on job satisfaction in the researches of Islam and Ismail (2008), Weng, Lai, Li (2010), Saraswathi (2011), and Jaafar et. al (2006).

**Table 3: Major Findings on Job Related Extrinsic Facets in Interpretations and Indices for No Dissatisfaction with Hygiene Factors**

Category	Interpretation	Indices
1. Status/Position	Good/High	High regard/prestige from deans, colleagues, staff within the department, staff from other colleges within the staff's institution and others not connected with the establishment; cleanliness, safety, comfort and accessibility of the workplace
2. Work Conditions	Good/High	Challenge to improve and reinforce quality of performance due to flexible work arrangements
3. Relationship with Superiors	Good/High	Participation in setting goals and how to achieve them

Reflecting back to Table 1 in means, frequencies, percentages, interpretations and ranks, it was conspicuous that the hygiene factors on status, work conditions and relationship with superiors were rated good/high indicating no dissatisfaction in these extrinsic facets. In Table 3 then, in the context of status/position rated as good/high, it drew out the teacher respondents being highly regarded as professionals and academicians for their expertise and capability to bring about a change in behavior among students. Bauzon (1994) contends that every individual is a value carrier; therefore, the teacher in this aspect is respected. Further, value forms a

holistic person and drives one to a life with meaning, treasured and expressed openly to others. Colleges and universities should take dignity of individuals vital in relating with their staff. Owens (1987) evinced that high prestige afforded to teachers heightens competence, respect, achievements, self-worth reaching to a peak of being an influential person in their workplace.

The good rating for work conditions was attributed to the fact that the institution studied was geographically located in an area where transportation was very accessible. The physical facilities were properly maintained and several classrooms and faculty offices were duly air conditioned. In terms of flexibility of work arrangements, the college regularly issued the school year calendar of activities thus, the teachers can program their own activities based on the guidelines stipulated in the official calendar of activities. Edwards and Rothbard (1999) affirmed that job satisfaction and productivity were enhanced by strong social relations within the work environment.

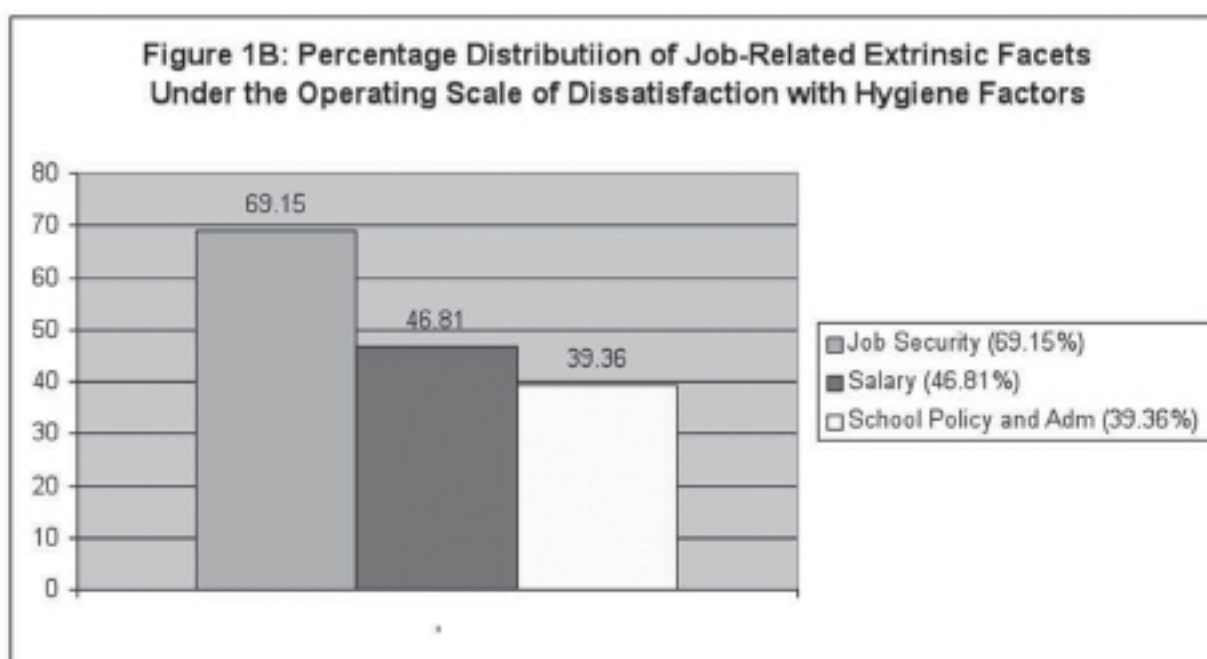


Figure 1B displayed these hygiene factors wherein the teacher respondents were dissatisfied from highest to lowest: job security, salary, school policy and administration. With the exclusion of job security, all other hygiene factors were also not met (dissatisfied faculty members) but not exceeding 50%. The factor on job security being dominantly the facet causing more than 50% dissatisfaction among the teacher respondents must not be taken for granted nor overlooked, otherwise, the institution may end up having their teachers with stressors related to the economic functions of work (Drafke and Kossen, 1998) and lower job satisfaction. The issue on dissatisfaction with salary may not be as alarming as job security however, should not be underestimated for a very clear reason that money fulfills the basic and physiologic needs of man. The presence of dissatisfaction with school policy and administration can escalate if not addressed in the same manner as the rest of the hygiene factors under issue in Figure 1B.

Table 4: Job Related Facets in Frequencies, Percentages, Interpretations and Indices for Dissatisfaction with Hygiene Factors

Categories	Freq.	%	Interpretations & Indices
1. Status/Position	23	24.46	Fair/Low: self fulfillment in being able to use own unique capabilities & potentials; chance for independent thought and action; opportunity to participate in the determination of teaching –learning methods & procedures; opportunity for personal growth & and development
	3	3.19	Poor/ Very Low: chance for independent thought and action
2. Work Conditions	26	27.66	Fair/Low: challenge to improve quality of performance due to educational assistance
	7	7.45	Poor/Very Low: being valued and important in the workplace by the dean
3. Relationship with Superiors	27	28.72	Fair/Low: the superior's system of rewarding punishment explained to staff; system to elicit creative solutions for specific institution's problems; quick & gracious praises in front of staff's peers
	15	15.96	Poor/ Very Low: the superior's concern for staff's personal goals; attempts for praises for staff even those that failed
4. School Policy and Administration	37	39.36	Fair/Low: administration's establishment of a school environment conducive to a high level of motivation through (1) recognizing teacher's efforts & loyalty through citations & awards; (2) taking a personal interest in teacher's without showing partiality; (3) building and maintaining teacher's morale, handling grievances promptly & fairly
	12	12.77	Poor/Very Low: flexibility and stability of the policies
5. Salary	44	46.81	Fair/Low: reasonable additional monetary compensation on time for overtime services for night duty in the hospital; taking time off with pay for sabbatical leave
	34	36.17	Poor/Very Low: equitable and adequate pay based on changing economic, commercial and competitive conditions; reasonable additional monetary compensation on time for each year of service
6. Job Security	21	22.34	Fair/Low: school provisions to forestall lay off
	65	69.15	Poor/Very Low: security with income supplements such as profit-sharing plans, stock bonus plans, stock options; benefits entitlement such as accidental death insurance, disability insurance, life insurance

Table 4 illustrated the gravity of the dissatisfaction by reflecting those indices rated low and very low in order to recognize the extent to which the issues for dissatisfaction be addressed by the institution and also to distinguish this scenario with that in Figure 1A and Table 3. The fact would be that there were many aspects within each hygiene factor that should alarm for

interventions in the angle of self-driven staff towards intrinsic motivation (status/position); supportive work environment (working conditions); superior's human skills and system driven work (relationship with superiors); staff oriented policies (school policy and administration) and compensation (salary); stock shares for staff and work life protectors (job security). In short, much effort from the institution was anticipated as Lussier (1996) expressed to make jobs more interesting and challenging. Increased productivity, proper management, balancing individual needs with organizational goals, concern for employees to contribute at their highest level and humanistic view of staff elevate into an amiable atmosphere of quality life in the job and with the job. If dissatisfaction was to be avoided, the hygiene factors may have to be viewed as temporary interruptions within a far more permanent positive outlook about work.

Table 5A: Parallelism Between Herzberg's Hygiene Factors and Maslow's Hierarchy of Needs Under the No Dissatisfaction Scale of Operations

Herzberg's Hygiene Factors	Findings on Indices for No Dissatisfaction	Interpretation	Maslow's Hierarchy of Needs
1. Status/Position	High regard /prestige from deans, colleagues, staff within the department, staff from other colleges within the staff's institution and others not connected with the establishment;  Cleanliness, safety, comfort and accessibility of the workplace	Good/High	Esteem
		Good/High	Aesthetic, Safety
2. Work Conditions	Challenge to improve and reinforce quality of performance due to flexible work arrangements	Good/High	Safety
3. Relationship with Superiors	Participation in setting goals and how to achieve them	Good/High	Social

The findings in Table 5A indicated that the indices under the hygiene factor on part of status, work conditions and relationship with superiors were normally congruent with Maslow's lower order needs on safety and social needs however the hygiene factor on status (lower order in Maslow's theory) drew out the aspects of recognition (high regard/ prestige) and order/aesthetic (cleanliness) as motivators (higher level in Maslow's theory). Thus, the good/ high result on status meant that the teacher respondents were not dissatisfied and at the same the recognition (motivator) received from their deans and the rest of their colleagues as well as the cleanliness/aesthetic (motivator) of the work environment were midpoints within the no dissatisfaction and dissatisfaction continuum hence these motivators projected an element of positive attitude to satisfy the esteem and aesthetic needs. Maidani (1991) in his findings pointed out a single continuum where the hygiene factors were also sources of satisfaction.



The milestones in terms of the link between Herzberg's and Maslow's theories by

Robbins (2002: 126), Drafke and Kossen (1998: 285) spelled out these relationships: motivators to esteem and self-actualization needs in Herzberg's and Maslow's theories (higher order needs) respectively, while the hygiene factors of Herzberg corresponded to the biological, physiological, safety/security and social/affiliation needs in Maslow's theory (lower order needs). Maslow (1943, 1954) organized his hierarchy into basic needs and growth needs and expanded the higher order to consist of four other needs (Maslow, 1970a & Maslow 1970b): (1) cognitive; (2) aesthetic; (3) self-actualization; (4) self-transcendence. Maslow contended that one becomes wiser as one becomes more self-actualized and self-transcendent and becomes self-steering in knowing how to deal with various situations.

Table 5B: Parallelism Between Herzberg's Hygiene Factors and Maslow's

Hierarchy of Needs Under the Dissatisfaction Scale of Operations in terms of Status, Work Conditions and Relationship with Superiors

Herzberg's Hygiene Factors	Findings on Indices for Dissatisfaction	Interpretation	Maslow's Hierarchy of Needs
1. Status	Self -fulfillment in being able to use own unique capabilities & potentials; chance for independent thought and action;  Opportunity to participate in the determination of teaching –learning methods & procedures; Opportunity for personal growth & development	Fair/Low	Self-actualization  Social  Self-actualization
	Chance for independent thought and action	Poor/ Very Low	Self-actualization
2. Work Conditions	Challenge to improve quality of performance due to educational assistance	Fair/Low	Esteem
	Being valued and important in the workplace by the dean	Poor/Very Low	Social
3. Relationship with Superiors	The superior's system of rewarding punishment explained to staff; system to elicit creative solutions for specific institution's problems;  Quick & gracious praises in front of staff's peers	Fair/Low	Social  Social
	The superior's concern for staff's personal goals;  Attempts for praises for staff even those that failed	Poor/ Very Low	Self-actualization  Esteem

Table 5C: Parallelism Between Herzberg's Hygiene Factors and Maslow's

Hierarchy of Needs Under the Dissatisfaction Scale of Operation in terms of School Policy and Administration, Salary and Job Security

Herzberg's Hygiene Factors	Findings on Indices for Dissatisfaction	Interpretation	Maslow's Hierarchy of Needs
1. School Policy and Administration	Administration's establishment of a school environment conducive to a high level of motivation through (1) recognizing teacher's efforts & loyalty through citations & awards; (2) taking a personal interest in teacher's without showing partiality; (3) building and maintaining teacher's morale	Fair/Low	Esteem
	Handling grievances promptly & fairly		Safety
	Flexibility and stability of the policies	Poor/Very Low	Safety
2. Salary	Reasonable additional monetary compensation on time for overtime services for night duty in the hospital; taking time off with pay for sabbatical leave	Fair/Low:	Biological/Physiological
	Equitable and adequate pay based on changing economic, commercial and competitive conditions; reasonable additional monetary compensation on time for each year of service	Poor/Very Low	Biological/Physiological
3. Job Security	School provisions to forestall lay off	Fair/Low	Security
	Security with income supplements such as profit-sharing plans, stock bonus plans, stock options; benefits entitlement such as accidental death insurance, disability insurance, life insurance	Poor/Very Low	Biological/Physiological

Similar to Table 5A, the scenarios in Table 5B and 5C also reflected that these indices on self-fulfillment (status), challenge to improve and being valued (work conditions), superior's praises for staff (relationship with superiors) institution's interest on their teachers (school policy and administration) were motivators/intrinsic factors within the hygiene factors depicting

a phenomenon of extrinsic and intrinsic factors combined but this time in the angle of low to very low of not being met and hygiene factors corresponding to higher order need (self-actualization) instead of lower order needs. The factors of salary and job security were congruent with the lower order needs in Maslow's theory.

Tables 5A, 5B and 5C then, conspicuously displayed evidences to argue at some points the delineation between extrinsic and intrinsic factors under the conventional framework of Herzberg's two-factor theory. Wan Fauziah and Tan (2013) purported in their study the combination of extrinsic (hygiene factors) intrinsic (motivators) factors to accentuate a broader scope of usage in determining job satisfaction and consequent job performance.

## Conclusions

The empirical findings of this study substantiate Herzberg's premise on hygiene factors under the no dissatisfaction and dissatisfaction continuum and the parallelism between Herzberg's hygiene factors and Maslow's lower order needs although at some points of the indices for status, work conditions, relationship with superiors, school policy and administration, an interplay of hygiene factors and motivators within the hygiene factors came out of the fore and a scenario of part of some hygiene factors linked to higher order needs.

## Recommendations

The practical application of the findings of this study to management was a focal point to gauge that the time span for addressing the issues on hygiene factors should not offset the building of more opportunities to motivate the staff appropriately. An executive development program was proposed as the main recommendation which utilized the findings on hygiene factors as a springboard to provide intervention strategies and enhancement activities that could place value on employers and managers as among the most deserving people who can invoke conditions in the workplace to increase motivation and job satisfaction among their employees. Emerging from the strengths of the school administrators identified in this study, these recommendations were further emphasized: (1) capitalize on the identified strengths such as a clean, safe, comfortable and accessible workplace; flexible work arrangements; high prestige for teachers from deans, colleagues, and those outside the institution; deans allowing participation in goal setting and achieving these goals to make the teaching job more interesting and challenging, upholding the dignity of each faculty members, achieving feelings of professional self-worth and increasing job satisfaction, motivation and commitment.

## THE EXECUTIVE DEVELOPMENT PROGRAM

A. Rationale: In a non toxic work atmosphere, successful leaders often view teachers as professionals to be inspired and shared with values and commitments. Maximum utilization of the best of the potentials of the teaching workforce and placement of the right people in the right job and the right time are the best tenets for the organization's success.

Without the teachers nothing much can be achieved in the educational system in the pursuit for productivity, quality education, excellence and competitiveness. The findings in this study called for approaches such as intervention strategies and enhancement activities (seminar workshops, value reorientation). The employers and managers can utilize the gaps identified on hygiene factors in this study as grounds to uncloak what their staff's job motivation and satisfaction needs are wherein they can find meaning to bring out high productivity in the workplace.

### B. Evaluation

1. Measure the outcome of the seminar-workshops in terms of the following:
  - a. reactions from the school administrators
  - b. learning of principles, facts and concepts by the school administrators
  - c. behavior change observed from the school administrators
2. Evaluate the effectiveness of the development program after one year through an evaluation research.

Area for Development #1: Human Relations/ Interpersonal Communication

Person's Involved: School Administrators (Top Managers, Senior Managers, Middle Managers)

Time Frame: January-February

Objectives, Intervention Strategies (IS) and Enhancement Activities/Seminar Topics (EA)

1. Device a practical and humanistic approach in dealing with faculty members' work behavior by considering each teacher's attributes and individual needs.

IS: reflect on extent of knowledge on developmental tasks of early and middle adults.

EA: Understanding the Developmental Tasks of Early and Middle Adults: A Humanistic Approach for Leaders.

2. Take personal interest in teachers without showing partiality.

3. Build and maintain teachers' morale.

4. Handle grievances promptly and fairly.

IS: provide teacher's car parking space for convenience and safety purposes; schedule regular open forum with teachers to sort out needs and problems related to work and to evaluate their administrator's performance; provide sufficient support, access and audience for the staff to express out their grievances with no fears

EA: Administrator: What You Ought To Do To Make Subordinates Smile?

5. Know how teachers are motivated and what stimulate their work behavior.

IS: data feedback from teachers themselves through individual conference; form a quality circle (forming voluntary groups of 5-10 members to meet periodically to identify work-related problems); open door policy

6. Show concern for teachers' personal goals.

7. Praise all teachers' attempts even those that failed.

IS: (Obj. 6-7): open door policy (the dean's door is always open to the teachers for any problem)

EA: (Obj. 5-7): A Good Leader: Learning From the Parable of the Good Samaritan

Area for Development #3: Policy-Making

Person's Involved: School Administrators (Top Managers, Senior Managers,  
Middle Managers)

Time Frame: May-July

Objectives, Intervention Strategies (IS) and Enhancement Activities/Seminar Topics (EA)

3.1 Formulate reasonable adjustments/alterations on the school policy and administration  
procedures pertaining to salary and job security

IS: regular forum with teachers with regard to school policy and administration  
procedures; update on government laws and regulations pertaining to salary and

other

compensation with the Department of Labor and Employment (DOLE) through round  
table discussion; give reasonable additional monetary compensation on time for

night

duties in hospital; give service credit for official overtime work; consider inclusion in  
the policy the following: sabbatical leave, unused leave credits converted into cash  
equivalent; increase longevity pay; uniform allowance for tenured teachers; make  
teachers feel secured in their job with profit sharing plans, stock bonus plans, stock  
options, accidental death insurance, disability insurance, life insurance, dental  
insurance

EA: How Leaders' Mind Work; half-day session with known insurance companies

Area for Development #3: Policy-Making

Person's Involved: School Administrators (Top Managers, Senior Managers,  
Middle Managers)

Time Frame: May-July

Objectives, Intervention Strategies (IS) and Enhancement Activities/Seminar Topics (EA)

3.1 Formulate reasonable adjustments/alterations on the school policy and administration  
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IS: regular forum with teachers with regard to school policy and administration  
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the policy the following: sabbatical leave, unused leave credits converted into cash  
equivalent; increase longevity pay; uniform allowance for tenured teachers; make  
teachers feel secured in their job with profit sharing plans, stock bonus plans, stock  
options, accidental death insurance, disability insurance, life insurance, dental  
insurance

EA: How Leaders' Mind Work; half-day session with known insurance companies

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Title of the paper: “Curbing Creative Accounting: Role & Effectiveness of Ethics”

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## Curbing Creative Accounting: Role & Effectiveness of Ethics

### Abstract

The purpose of this paper is to critically analyse and evaluate effectiveness of ethics in curbing the scope of Creative accounting within the outlines of Gray's (1988) theoretical framework, which establishes that societal values influence accounting values, which in turn influence accounting systems. In this sense shared societal values within a country will influence the nature and structure of national accounting systems. The focus is on establishing the argument that the ethical belief system of an individual influences professional values which in turn influence accounting systems and practices. To show the influence of individual and professional ethics in curbing the incidence of creative accounting, one-way ANOVA followed by multiple comparison technique, Tukey's procedure was used to show the paired comparison between 'ethical mindset' and 'stringent regulation' to curb the unwanted act of creative accounting. The potential ranges of reasons; ways of practicing creative accounting and solutions to curb creative accounting have been summarized in simple theoretical models. Study concludes that having ethical mindset is over and above the prudent rules of accounting or the rigid regulations for that matter. This is nothing but the integrity and the mindset of the accountant, manager, auditors, principals and the society as whole will decide the way any society/country will respond to the practices of creative accounting and therefore, is the most reliable solution to combat the scope of the creative accounting.

Keywords: Accounting ethics, creative accounting, earnings management, societal values

### Introduction

Based on Hofstede's four-dimensional cultural framework (Hofstede 1980), Gray (1988) argued that societal values influence accounting values, which in turn influence accounting systems. In this sense shared societal values within a country will influence the nature and structure of national accounting systems. To show this influence of culture on accounting systems, Gray (1988) developed a theoretical framework of four accounting values: Professionalism vs. Statutory control: "a preference for the exercise of individual professional judgment and the maintenance of professional self-regulation as opposed to compliance with prescriptive legal requirements and statutory control" (Gray, 1988, p.8). Uniformity vs. Flexibility: "a preference for the enforcement of uniform accounting practices between companies and the consistent use of such practices over time as opposed to flexibility consistent with the perceived circumstances of individual companies" (Gray, 1988, p.8). Conservatism vs. Optimism: "preference for a cautious approach to measurement so as to cope with the uncertainty of future events as opposed to a more optimistic, laissez-faire, risk-taking approach" (Gray, 1988, p.8). Transparency vs. Secrecy: "preference for confidentiality and the restriction of disclosure of information about the business only to those who are closely involved with its management and financing as opposed to a more transparent, open and publicly accountable approach" (Gray, 1988, p.8)

Gray (1988) argues that accounting values could be used in categorizing national accounting models. Specifically, Gray (1988) proposes that there is a relationship between 'professionalism/uniformity', the authority of an accounting systems and its enforcement. The influence of Gray's (1988) theoretical framework has grown significantly and his theoretical framework has dominated international accounting research and accounting education. While some re-



searchers acknowledge limitations (Doupnik & Tsakumis, 2004), most researchers have not questioned the validity and reliability of Gray's framework. Furthermore, Gray's (1988) theoretical framework has been taken for granted and students all over the world rely on published textbooks which incorporate Gray's (1988) framework. Gray's hypothesis and terminology is found in a number of international accounting textbooks and very widely quoted in research on accounting education. Whereas, a very few researches have mention the lack of confirmation (Choi and Mueller 1992; Radebaugh and Gray 1993, 1997, 2002; Riahi-Belkaoui 1994). As such, accounting students all over the world are fed a heavy dose of Gray's (1988) theoretical framework.

Now, if we talk about ethics, they are considered as a rational theory of good and evil, a «upstream» reflection on the values intelligent and moral ordained. Though, we all have some inner understanding of what constitutes ethical behaviour but when it comes down to defining ethics this is found to be extremely problematic as it is influenced by personal, cultural, societal and professional values, all of which are difficult to describe specifically. There is a lobby which stresses the importance of the society's interests, while another school of thought stresses upon the interests of the autonomous individual. These conflicting viewpoints have been the centric point of discussion on ethics for a long time. But, most of them agree that ethical belief systems emerge from a community – a social or cultural context or what Blackburn has called “the surrounding climate of ideas about how to live” (2001. p 1). To the author, the perceived moral consequences of decisions can be taken as a most effective way of understanding ethics, which can be drawn in terms of potential damage for each beneficiary of the decision. If we take this approach of ethics in accounting, we can assume that this is the ethical duty of all those entities involved in preparation of financial statements to present a fair picture of the company's financial standing, where there should be no potential damage to any of the beneficiaries/users of the financial information provided by them. The accounting scandals, which occurred in the U.S. in the recent years, such as World-Com and Enron and Satyam in India, in particular, lead to debates about accounting practices and reveal the fact that there is still much to do about ethics in accounting profession.

Financial statements are one of the most important ways for most businesses to reveal their performance and status to investors, regulators and employees alike (Elliott, B. et al. 2005). Jameson (1988) from the perspective of an accountant argues that the accounting process consists of dealing with many matters of judgment and of resolving conflicts between competing approaches to the presentation of the results of financial events and transactions. This flexibility leads to opportunities for financial chicanery, misrepresentation and deceit. These activities – practiced by the less scrupulous elements of the accounting profession – have come to be known as ‘creative accounting’ (Jameson, 1988). Most of the literature agrees that creative accounting is an act where accountants use their knowledge of accounting rules to manipulate the figures in the account of a business. The same was concluded by Amat et. Al (1999). Therefore, the goodwill and the moral values of the accountant matter. (Merchant & Rockness, 1994). The concept of creativity in the financial-accounting domain is approached in the specialized literature from two perspectives: one positive in which creativity has a innovative role bringing added value to the accounting science, and other, negative that uses «unorthodox» practices to present in a favorable position something that does not exist (Ana-Maria Marculescu et al., 2001).

One may think accounting is a clear-cut issue, but creative accounting is surely not. On one hand, creative accounting is not exactly illegal or unwanted, but on the other hand, it is not exactly widely supported as well. If we study this issue from the perspective of Gray (1988) theoretical framework combined with most accepted definition of ethics, then get an understanding that creative accounting is completely unethical since its consequences can be drawn in terms of potential damage for each expected beneficiary of the decision. And this paper starts with a premise that the most important way to curb creative accounting would be if the people involved in preparing financial statements have ethical mindset.

The remainder of this paper is organized as follows. The first section deals with reviewing the exiting literature with an objective to develop theoretical models on reasons, ways and solutions against creative accounting. The second section deals with literature survey, while the third section outlines the objectives of the study. Next Section elaborates the research method. Section five presents the findings of the study. Finally, section six deals with conclusions.

## Literature Review

Various research studies have examined the reasons of management motivation towards creative accounting behaviour. Jameson (1988) argues that choices in accounting treatment are considered to be a legal reason to create distorted and unfair financial data. Thus, we can say that management has considerable scope for estimation in discretionary areas. Regulatory flexibility or dearth is another major reason for creative accounting. Attitude to creative accounting of CPAs/CAs is to make compromises with situations and consciously ignoring their professional ethics while dealing with lucrative proposals made by principals, suppliers and sometimes competitors. Thus, flexibility in itself is not a problem; rather this is the attitude of the auditors and other concerned people, which constitute the reason for accepting such deceit practices. Healy (1985) examines managers' earnings manipulations motives where executive compensation is linked to income measurement. Trueman and Titman (1988) discuss managers' motivations to reduce the perception of variability in underlying economic earnings of the firm. The countries like India having such a high rate of tax come with a convincing reason to get into creative accounting. Niskanen and Keloharju (2000) mentioned Tax as a significant motivator in Finnish context and in Japan by Herrmann and Inoue (1996). Hepworth (1953) also identified several motivations including the existence of tax levies based on income. Healy and Wahlen (1999) concluded that the other motivations for creative accounting are influenced by expected significant capital market transactions. Sometimes the companies decide to mis-present the financial information to come up to the expectations of both present and perspective shareholders. These expectations are created either by the financial analysts or through the conscious decision of the management itself. Person (2002) says that as a result of creative accounting practices, a firm can confront with a better earning picture, higher stock prices and more valuable stock options and incentive earnings.

Both Hepworth (1953) and Herrmann and Inoue (1996) consider tax is as a significant motivator for earnings management. Healy (1985) concluded that managers' tend to get into earnings manipulations where their compensation is linked to income measurement. Trueman and Titman (1988) discuss managers' motivations to reduce the perception of variability in underlying economic earnings of the firm. There are studies like by Fox (1997) which concluded that a large part of the profit is deferred to future years to cover potential upgrade and customer support costs. A variant on income smoothing is to manipulate profit to tie in to forecasts. Thus, this leads to help in developing an understanding that if an accountant opts for an option which

he/she knows will lead to dissemination on unfair and biased information to the end users is simply the ethical limitation and nothing to do with the flexibility available. Based upon the above discussion, the reasons for creative accounting have been summarized in the following figure-1 'CREATIVE':

Reasons for Creative Accounting	C	Choices in Accounting Treatment
	R	Regulatory Flexibility or Dearth
	E	Ethical Limitations
	A	Attitude to Creative Accounting
	T	Tax Obligations
	I	Interest of Managers/Directors
	V	Volatility & Forecasts
	E	Expectations

Fig 1: 'CREATIVE'---Reasons for Creative Accounting

Source: Research Data

Now, if we talk about the ways by which creative accounting is practiced, it would not be possible to identify an exhaustive list but we can review the existing literature on this aspect of creative accounting to draw a theoretical model of 'ways of practicing creative accounting'. Abusing accounting rules is considered the most legal way of creating accounting in which accountants use their knowledge to reclassify and present financial numbers by abusing the accounting rules. The study by Gramlich et al. (2001) suggests that firms may engage in balance sheet manipulation to reclassify liabilities in order to smooth reported liquidity and leverage ratios. Later on, a large-scale study of classificatory smoothing (Dempsey et al., 1993) found that 'managers showed a propensity to report extraordinary gains on the income statement and extraordinary losses on the retained earnings statement'. Moreover, this research found that the propensity to report in this way was significantly greater in non-owner managed firms. Further, the creative accounting practices can be seen in the forms of "recognizing premature or fictitious revenue", extended amortization policies, aggressive capitalization, misreported assets and/or liabilities, income statement items and cash flow reporting (Mulford and Comiskey, 2002). Large provisions against uncertain levels of future loss are highly dependent upon the judgments made by management. This is though a so-called legal, yet a very popular way of playing with accounts.

A simple yet a very creative way of creative accounting is minor massaging of figures to reach significant reference points. Black et al. (1998) concluded that, where the relevant accounting standards are permissive managers will exploit the potential for creative accounting via timing of asset sales. The Imarbank failure in Turkey is a best example to elucidate this situation where the technology was used in such a way that it was not easy to identify the actual value of transactions (Bloomberg.com: News & Commentary, 20.02.2004).

Manipulating the reporting of actual time of the transaction will lead to under or overstatement of profits, thus completely ignoring the matching concept as well as manipulating the reporting of actual time of the transaction. If directors engage in 'insider dealing', they can delay the release of information for the market; thereby gaining an opportunity to benefit from inside

knowledge. Expenses of the WorldCom Company were recorded as investment so the financial state of the firm was shown better than it really was. It was discovered that the WorldCom Company had made the biggest accounting fraud in history. The company boosted the profit between January 2001 and March 2002 by 3.8 billion US\$ (Aydogan and Karan, 2003). Using ‘Gimmicks’ is another way of practicing creative accounting. Person (200) says that a firm can confront with a better earning picture, higher stock prices and more valuable stock options and incentive earnings.

The ways of creative accounting have been summarized in the following figure-2 ‘ACCOUNTING’:

Ways of Creative Accounting	A	Abusing Accounting Rules (for Assets, Liabilities, Incomes & Expenditures)
	C	Creation of Unreasonable Provisions
	C	Cognitive Reference points
	O	Overplaying with Extraordinary Items
	U	Use of Artificial Transactions
	N	Non-Current Assets & Liabilities' Revaluation
	T	Technology & Timing's Misuse
	I	Inside Trading
	N	Non-compliance with the Pre-defined Definitions
	G	Gimmicks

Fig 2: ‘ACCOUNTING’---Ways of Creative Accounting

Source: Research Data

Now, we will analyse some measures, which can help to reduce the scope of creative accounting practices. The flexibility of accounting policy is said to be the legal part of the practice. Therefore, the goodwill and the moral values of the accountant matter. The ethical dimension of the accountancy profession comes into play in testing situations and the accountant has to arbitrate between corporate and public interest and the final result is determined by the accountant's integrity. All professional bodies have a charter, which usually states that the public interest is the foremost consideration. Transformation of Professional Values to the public interest is a very important factor to combat with the problem of creative accounting. Puxty, Sikka and Willmott (1994) stated that the issue of public interest continues to be a deeply contested notion yet it remains the cornerstone of claims to professional status. Scope for choice of accounting methods can be reduced by reducing the number of permitted accounting methods or by specifying circumstances in which each method should be used. Accountants are in fact more critical of abuse of accounting rules than of manipulation of transactions. ‘Abuse of judgment’ can be curbed either by drafting rules that minimise the use of judgment or by prescribing “consistency” so that if a company chooses an accounting policy that suits it in one year it must continue to apply it in subsequent years when it may not suit so well. Artificial transactions can be tackled by emphasizing on the concept of ‘substance over form’. Amat et al. (1999) suggests that the scope to use creative accounting can be limited by requiring regular revaluation of items in the accounts. The challenge of enforcing International Accounting Standards within a range of differing accounting cultural contexts is certainly problematic. But, once enforced definitely will squeeze the scope of creative accounting.

The solutions to combat the scope of creative accounting have been summarized in the fol-

lowing figure-3

‘ETHICS’:

Solutions Against Creative Accounting	E	Ethical Mind-Set
	T	Transformation of Professional Values
	H	Hindrance to Choices
	I	Involvement of Principals
	C	Compliance with ‘Substance over Form’
	S	Strengthening Regulations

Fig 3: ‘ETHICS’---Solutions against Creative Accounting

Source: Research Data

### Objectives of the Study

Overall objective of the study is to critically analyse and evaluate effectiveness of ethics in curbing the scope of creative accounting. Here are a few precise objectives:

1. To study and analyse the potential range of reasons for companies to engage in creative accounting and to find out the most dominate one.
2. To analyse possible solutions to combat the scope of creative accounting and to suggest the most effective solution for the same.

### Research Question

Undoubtedly, the creative accounting represents undesirable practices because such practices prevent people seeing the true and fair financial state of a company. This has been concluded in many researches that almost every accountant/manager is involved in the one or the other way of distorting books of accounts either by simply abusing the accounting rules or under pressure from principals, contractors or any other force as per the previous discussion in this regard. The illegal/fraudulent aspect of creative accounting, in the form of fraud, deceit or conscious manipulation of accounting information is, of course, more dangerous than the legal aspect. This study seeks to place in the forefront the notions of ethics and creativity, and the situations that put the two terms in antithesis, in the work of professional accountants, and also the negative consequences that derive from the adoption of an unethical behavior and the creativity in the negative sense. The issue of ethics in financial-accounting always revolves around the preparation financial statements. Of course, there are no laws broken or ethical lines crossed by a company being optimistic about its future, nevertheless this is the right of shareholders and other interested parties to get fair, honest and accurate financial information. Considering this in mind, the study seeks to find out the answer; whether ‘Ethics’ can be used better than ‘Stringent Regulations’ to curb the scope of creative accounting since the discussion in the preceding section suggests that this issue still remains unresolved.

### Methodology

The paper is based on empirical research method; where responses of 35 CAs (CPAs) based in NCR are collected through structured questionnaire in order to answer the research question “whether ‘Ethics’ can be used better than ‘Stringent Regulations’ to curb the scope of creative



accounting”. The study is both descriptive and exploratory in nature. A thorough study of empirical researches in this direction had been made and three theoretical models have been developed based upon the evidences available in the literature. Reasons for creative accounting have been identified with the help of literature review and are expressed using an acronym named as ‘CREATIVE’; ways of practicing creative accounting have been put under another acronym ‘ACCOUNTING’ and identified solutions have been put in the third acronym ‘ETHICS’. Since, it is not practically possible to all the possible ways of practicing creative accounting, especially the fraudulent aspect of it, so only two models viz ‘CREATIVE’ and ‘ETHICS’ have been further worked upon. In order to provide an insight into the ‘reasons of indulging into creative accounting’ and also to suggest ‘solutions to curb the scope of creative accounting’, both primary and secondary data have been used. Statistical tools used for this purpose are Descriptive Analysis, 2-D bar chart, ANOVA and Tukey’s Multiple Comparisons procedure. MS Excel software is used to analyze the data. Following hypothesis were framed:

Ho1: All identified reasons are equally influencing in adoption of creative accounting.

Ho2: The mean of level of effectiveness in curbing creative accounting is same for all the six identified factors ( $\mu A = \mu B \dots\dots\dots = \mu I$ ).

Ho3: Having ‘Ethical Mindset’ is not as effective as ‘Strengthening Regulations’ in curbing the scope of Creative Accounting.

To test that the mean of level of effectiveness in curbing Creative Accounting is same for all the six identified factors, Analysis of variance (ANOVA) was used, which is a powerful statistical procedure that allows a researcher to compare relative differences among treatment conditions or types of individuals. Since using analysis of variance rejected our null hypothesis, we wanted to know where inequalities exist among the different  $k$  means. Many methods exist to detect differences between individual means. Since, all multiple comparison tests work best if sample sizes are equal; hence Tukey test has been used for this study. The Tukey test is probably the most ‘conservative’ multiple comparison test. It tests the two tailed null hypothesis,  $H_0: \mu_a = \mu_b$ , where  $a$  &  $b$  represent all possible combinations of the  $k$  sample means. The term ‘Multiple Comparisons’ refers to making several tests for statistical significance of differences between means (or proportions or variances, etc.) within a group (C. V. Rao and U. Swarupchand). Statistical procedures that are designed to take into account and properly control for the multiplicity effect through some combined or joint measure of erroneous inferences is called multiple comparison procedures (MCPs). Multiple comparison tests have the same assumptions of ANOVA: normality and homogeneity of variance.

## Analysis & Discussion

In order to better understand the practice of creative accounting specifically in India, an analysis was undertaken; wherein 35 professionals (CAs/CPAs) were interviewed. To understand their perspective, they were asked to assess the severity of the ‘reasons for creative accounting’ pre-identified in the literature review. A likert scale was obtained in the order: 5 for strongly agree, 4 for agree, 3 for Indifferent, 2 for disagree and 1 for strongly disagree. The 2-D bar chart of all the variables considered in the study is shown in figure 4.



Frequencies were plotted on the bar chart to understand the reasons, which are more predominant than the others. Professionals identified compliance with 'Choices in Accounting Treatment', 'Regulatory Flexibility or Dearth' and 'Ethical Limitations' to be the top three reasons for creative accounting.

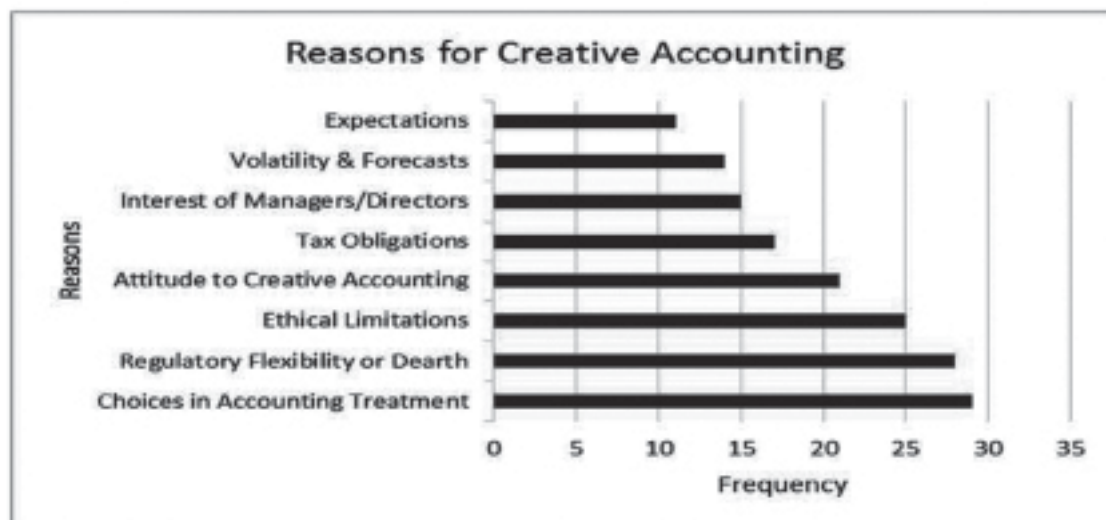


Fig 4: Comparative Analysis of Reasons for Creative Accounting

Professionals were asked to assess those factors, which in their opinion, would be most instrumental and effective in curbing creative accounting. Analysis of Variance was conducted with the following null hypothesis.

Ho: The mean of level of effectiveness in curbing Creative Accounting is same for all the six identities factors ( $\mu_A = \mu_B = \dots = \mu_I$ ).

Fig 5: ANOVA SUMMARY

Groups	Count	Sum	Average	Variance
E	35	159	4.542857143	0.72605042
T	35	146	4.171428571	0.499159664
H	35	136	3.885714286	0.457142857
I	35	125	3.571428571	0.781512605
C	35	117	3.342857143	0.702521008
S	35	108	3.085714286	0.845378151

Fig 6: ANOVA OUTPUT: Within Groups

Source of Variation	SS	df	MS	F	P-value	F critical
Between Groups	51.16667	5	10.23333333	15.30498534	9.05478E-13	2.258342485
Within Groups	136.40000	204	0.668627451			
Total	187.5667	209				

Since the p-value is less than .05; our null hypothesis is rejected establishing that means for all the six variables are not same. Since the decision from one-way Analysis of Variance is to reject the null hypothesis, it means that at least one of the means is not the same as the other means. A further analysis has been carried using Tukey's method. The null hypothesis for Tukey's method is that difference of mean for all possible pairs is same.

Tukey's five assumptions were met, which are as follows:

1. Samples are obtained using simple random sampling.
2. Sample data is independent of each other within and amongst the samples.
3. The populations are normally distributed.
4. The populations have equal variances.
5. A decision to reject the null hypothesis 'that all means are same' was made during one-way ANOVA.

Tukey's HSD (q) was calculated using the following formula:

$$q = \frac{M1-M2}{\sqrt{MSw (1/n)}}$$

$$MSw (\text{within groups}) = .668$$

$$n = 35$$

$$\text{Critical } q = 5.24$$

Fig 7: Multiple Pair wise Comparison (Turkey's HSD (q) values)

	Ethical Mind-Set	Transformation of Professional Values	Hindrance to Choices	Involvement of Principals	Compliance with 'Substance over Form'	Strengthening Regulations
Ethical Mind-Set	—	—	—	—	—	—
Transformation of Professional Values	2.687	—	—	—	—	—
Hindrance to Choices	4.754	2.067	—	—	—	—
Involvement of Principals	7.028	4.341	2.274	—	—	—
Compliance with 'Substance over Form'	8.682	5.995	3.928	1.654	—	—
Strengthening Regulations	10.543	7.855	5.788	3.514	1.860	—

Amongst the pairs tested, the pair of E and S has highest value of q (=10.5). Also, q (ES) is more than Critical q (5.24); implying that mean comparison is statistically significant between E S. Rejecting the null hypothesis; leading to conclusion that having 'Ethical Mindset' is the most effective solution to curb the scope of creative accounting.

## Conclusion

This can be concluded that having ethical mindset is over and above the prudent rules of accounting or the rigid regulation for that matter, which is in conformity to the Gray (1988) theoretical framework. This is nothing but the integrity and the mindset of the accountant, manager, auditors, principals and the society as whole will decide the way any society/country will respond to the practices of creative accounting and therefore, is the most reliable solution to combat the scope of the creative accounting. The flexibility of accounting policy is said to be the legal part of the practice, therefore, the goodwill and the moral values of the accountant matter. Hence, being ethical and moral in the business world should be a rule, not an exception.

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## An Initial Investigation into the Affordable Care Act, Professional Ethics, Faith and Hobby Lobby

### Abstract

In 2014 the US Supreme Court heard a case (*Sebelius v. Hobby Lobby Stores, Inc.* (now *Burwell v. Hobby Lobby*)) involving the Affordable Care Act (ACA), professional ethics, business law, religious freedoms and faith. The purpose of this paper is to examine the legal and ethical aspects of this case and to provide relevant information that can be used as a basis for discussion in business ethics and business law classes. This case is important in that it addressed such issues as religious rights of a corporation, the relevance of the Religious Freedom Restoration Act (RFRA) as it is applied to corporations, and its effects on implementing the ACA.

### Introduction

In 1972 David Green and his wife Barbara opened the first Hobby Lobby store in Oklahoma City, OK. In 2014 there were 560 stores nationwide employing over 28,000 employees. The Greens are evangelical Christians and even say that the true owner of their business is God and thus Hobby Lobby is not a secular business but religious in nature. The stores are closed on Sundays, and they often play Christian music when open (1). As part of the Affordable Care Act (ACA), employers are required to include in employees' insurance plans 20 contraception methods without copayments. In other words, these birth control methods must be provided free of charge to employees. Because of the controversy related to this issue, the federal government allows religious organizations that object to contraception coverage to transfer responsibility to a third party insurance company (2). However, this exception does not cover for-profit companies such as Hobby Lobby. The Green family believed that four of these methods would result in abortions, and their faith forbids them from assisting in abortions. The Greens sued in court arguing that they should be exempt from this requirement of the law. The case ended up at the US Supreme Court in 2014. A large part of their argument invoked the Religious Freedom Restoration Act (RFRA) of 1993 (3). The Religious Freedom Restoration Act was passed in reaction to previous attempts by government to deny individuals religious exemptions from applicable laws (4).

## Business Law Aspects

First, a detailed analysis of the majority and dissenting opinions of Burwell v. Hobby Lobby is presented. This is followed by an analysis of certain legal and ethical issues that result from this case. We answer questions such as the following: What practical effects have already been seen from this decision? Have any other cases cited Hobby Lobby and what are the rulings from those cases?

The majority ruled that the RFRA applies to closely-held for-profit corporations like Hobby Lobby. According to Justice Alito, Congress included corporations within the RFRA's definition of "persons." (Hobby Lobby, majority opinion page 18). "A corporation is simply a form of organization used by human beings to achieve desired ends. An established body of law specifies the rights and obligations of the *people* (including shareholders, officers, and employees) who are associated with a corporation in one way or another. When rights, whether constitutional or statutory, are extended to corporations, the purpose is to protect the rights of these people." (Hobby Lobby majority opinion page 18). Extending religious freedoms under the RFRA to corporations furthers an individual's religious freedoms. (Hobby Lobby majority opinion page 21).

The Court, argued that it made no sense under the RFRA to treat non-profit corporations and for-profit corporations differently. (Hobby Lobby majority opinion pages 23-24). These differing types of corporations can be similar in purpose. Not all for-profit corporations seek to maximize profit. Their goals, along with profit, may include religious and charitable aims as well. A corporation might also seek for-profit status for political reasons, such as the ability to lobby or campaign. (Hobby Lobby majority opinion page 24).

Because the Plaintiffs in this case were closely-held for-profit corporations, we do not know exactly how far-reaching this decision will be. However, Justice Alito took little time to dismiss the Health and Human Services (HHS) position that this decision may cause contentious and disruptive battles over the religious identities of large public corporations. (Hobby Lobby majority opinion page 29). Alito stated that there were restraints in place to keep these battles from happening. He argued that public corporations would seldom try to assert RFRA claims. "For example, the idea that unrelated shareholders-including institutional investors with their own set of stakeholders-would agree to run a corporation under the same religious beliefs seems improbable." (Hobby Lobby majority opinion page 29).

Finally, the majority answered the question of "whether the HHS contraceptive mandate substantially burdens the exercise of religion." (Hobby Lobby majority opinion page 31). The Court answered this question in the affirmative. By requiring the companies to provide health coverage, including the types of birth control at issue here, HHS is forcing the owners of these companies to "engage in conduct that seriously violates their religious beliefs." (Hobby Lobby majority opinion page 32). Also, if these companies do not follow the HHS mandate, the economic consequences will be severe. (Hobby Lobby majority opinion page 32). Alito argued that it was not for the Court to decide whether the Plaintiffs were reasonable in not wanting to provide the birth control at issue here; the issue for the Court was whether the plaintiffs were arguing an honestly held conviction and belief (and the Court ruled that they are). (Hobby Lobby majority opinion pages 35-38).

Justice Ginsburg argued in her dissent that the majority ruled that the "RFRA demands accommodation of a for-profit corporation's religious beliefs no matter the impact that accommodation may have on third parties who do not share the corporation owners' religious faith--in these cases, thousands of women employed by Hobby Lobby and Conestoga or dependents of persons those corporations employ." (Hobby Lobby Ginsburg dissent page 2). She argued that

women carry a disproportionate burden of comprehensive health services. Accordingly, the Affordable Care Act should require employers to include in their insurance plans preventative care and screenings as provided in guidelines from the HHS. (Hobby Lobby Ginsburg dissent pages 4-6). Quoting Senator Mikulski, Justice Ginsburg stated that to do otherwise would put the personal opinion of employers and insurers over the practice of medicine. “Congress left health care decisions—including the choice among contraceptive methods—in the hands of women, with the aid of their health care providers.” (Hobby Lobby Ginsburg dissent page 6).

This dissent argued that neither under the First Amendment Free Exercise clause, nor under the RFRA must the plaintiffs be given the exemptions they seek. “The exemptions sought by Hobby Lobby and Conestoga would override significant interests of the corporations’ employees and covered dependents.” (Hobby Lobby Ginsburg dissent page 8). Arguing against the RFRA as dispositive for the plaintiffs, Justice Ginsburg stated that “the exercise of religion is characteristic of natural persons, not artificial legal entities.” (Hobby Lobby Ginsburg dissent page 14 (joined only by Justice Sotomayor)). Despite agreeing that the plaintiffs’ beliefs were sincerely held, Justice Ginsburg argued that these beliefs are not enough in this instance to sustain a RFRA claim. The Court must consider “the legal conclusion ... that [plaintiffs’] religious exercise is substantially burdened.” (Hobby Lobby Ginsburg dissent page 22 quoting Kaemmerling v. Lappin) (5). Justice Ginsburg then concluded that the “connection between the families’ religious objections and the contraceptive coverage requirement is too attenuated to rank as substantial.” (Hobby Lobby Ginsburg dissent page 22). Even if the connection was substantial, the plaintiffs would lose because “the Government has shown that the contraceptive coverage for which the ACA provides furthers compelling interests in public health and women’s well being.” (Hobby Lobby Ginsburg dissent pages 23-24) (6).

Finally, Justice Ginsburg asked questions that cannot be answered by this decision, but certainly may come up in the future. The majority found that the least restrictive means to satisfy all sides in this case was to let the government pay for any women needing/wanting one of the four contraceptives at issue. However, how far will this “let the government pay” argument be carried? What if an employer’s sincerely held religious belief is against vaccines, paying a minimum wage, affording women equal pay for equal work, or even refusing to serve black patrons in a restaurant based upon religious beliefs opposing racial integration? (Hobby Lobby Ginsburg dissent pages 29-33). All of these are issues that Justice Ginsburg showed have been litigated in the past. Will the government pay in these or similar situations so long as the religious beliefs are sincerely held? How will the Court decide which of these or similar situations need accommodating and which do not? When will public health, safety, or welfare be so important as to override sincerely held religious beliefs such as those here?

One way to see the breadth of the Hobby Lobby decision is to look at the cases that have already cited it. One such case is Perez v. Paragon Contractors, Corp. (7). In this case, the Department of Labor (DOL) sought the enforcement of a subpoena by a magistrate judge against Vernon Steed. The DOL was investigating potential child labor violations involving children from the Fundamentalist Church of Jesus Christ of Latter Day Saints (FLDS) during a harvest on a pecan ranch in Utah. Vernon Steed was subpoenaed and when questioned under oath, he refused to fully answer questions invoking the First Amendment. The magistrate judge ruled that Mr. Steed must answer the questions. (Perez pages 1-2).

On appeal, the District Court ruled that Mr. Steed did not have to answer the questions, citing the RFRA and the Hobby Lobby case. The District Court correctly noted that under the RFRA, “the government may not substantially burden a person’s exercise of religion unless it can demonstrate that the burden [is] in furtherance of a compelling government interest, and it is the least restrictive means of advancing a compelling interest.” (Perez pages 8-9). The court,

citing Hobby Lobby, then went on to find that the least restrictive means were not used in this situation. It found that the requested information could be obtained from others and therefore Mr. Steed should not have to answer questions that violated his sincerely-held religious beliefs. (Perez page 9).

The Hobby Lobby majority and dissenting opinions offer very different legal reasons why the plaintiffs should (majority opinion) or should not (Ginsburg dissent) have won. The majority focused more on the rights of the corporation and its owners, while the Ginsburg dissent focused more on the rights of the employees being affected by the decision. Future cases that cite Hobby Lobby will help determine whether Alito and the majority opinion were correct in their arguments, or whether the dissenters' arguments prove prescient.

## **Ethics Issues**

This case involves ethical issues as well as legal issues. The Green family felt that paying for certain contraception coverage would violate their religious beliefs. Thus, for them, they argued that following this part of the law would be unethical. At what point does a person's ethical beliefs allow for not following the law? At what point does the public interest prevail over a person's religious beliefs?

## **Conclusion**

The purpose of this paper is to examine the legal and ethical aspects of the Hobby Lobby case and to provide relevant information that can be used as a basis for discussion in business ethics and business law classes. This case brings up several interesting questions in both areas.

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# **Nigeria, 1914-2014: From Creation to Cremation?**

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**NIGERIA**

## **Abstract**

Nigeria is a British creation fashioned out between 1861 and 1914. Following the 1861 annexation of Lagos, the British gained a firm foothold in Nigeria and between that year and 1903; virtually every Nigerian nation capitulated to British imperial rule. On 1 January 1914, Sir Donald Fredrick Lugard climaxed the British policy of territorial unity in Nigeria by 'uniting' the two halves of the country – Northern and Southern Protectorates – in what has since been known as the amalgamation. The British thereafter administered the country they created for about five decades – Nigeria obtained flag independence on 1 October 1960. This implies that Nigeria is a century old as a geographical entity and approximately five decades old as an independent sovereign state. This paper is an appraisal of Nigeria at hundred. The paper contends that while the British may have created Nigeria; quite a large number of Nigerian leaders cremated it. Today, apart from the existence of legally constituted governments and the absence of pervasive internecine wars, Nigeria manifests virtually all the traits of a failed state. A country of inexplicable trajectories, despite enormous national wealth, ineradicable corruption has sentenced an overwhelming percentage of Nigerians to grinding poverty; health institutions are near total collapse resulting in high maternal deaths, preventable ailments and morbidity; social services such as potable water, power supply, good roads and a functional and dynamic educational system are either altogether non-existent or hopelessly inadequate and erratic thereby turning Nigerians into infrahumans. The paper concludes that while Nigeria, as a politico-geographical entity, is neither disintegrating nor dismembering, pervasive corruption, intractable unemployment, endemic poverty and infrastructural deficit had ensured that millions of her citizens are socially muzzled and economically cremated. The study utilised both primary and secondary data and employed the simple descriptive collation and analysis of historical method of data analysis.

**.Keywords:** Lugard, Amalgamation, Nigeria, Democracy, Governance, Corruption

## **Introduction**

The history of Nigeria, like those of other countries in sub-Saharan Africa and other parts of the world, divides into three – pre colonial, colonial and post colonial. The present paper concerns itself with Nigeria's centennial; it therefore completely excludes the first. While the second may not require any further division except one wants to underline and emphasise certain aspects and features of the various colonial constitutions and the ascending tone and tune

of nationalism and constitutionalism which eventually propelled Nigeria to flag independence thereby forcing the demurring British officials to retreat; the third period divides into two – the less than two and a half decades of democratic rule (1 October 1960 – 14 January 1966; 1 October 1979 – 31 December 1983 and 29 May 1999 to date) and the approximately three decades of military dictatorship (15 January 1966 – 30 September 1979 and 31 December 1983 – 28 May 1999).

This paper attempts a historical reconstruction of the vagaries of Nigerian history in the last one century. Although, fundamentally, history is the study of man's past actions with the objective of moulding the present for a secured future, this paper does not intend to over-flog the past because most of the men, the pillars and caterpillars in Nigeria's political history and their lieutenants, are dead. From Sir Fredrick Lugard to General Sanni Abacha – men who provoked joy and those who precipitated sorrow; men who stopped suffering and those who spread misery; men who developed infrastructure and those who decimated the treasury; men whose tenures of office prospered the people and those whose tenures pillaged and plundered the land and men whose administration benefitted the masses and those whose regimes brutalised the citizens. However, since men are supposed to draw lessons from the lives of both heroes and villains and since a historical reconstruction of the kind attempted in this paper must be logical and sequential, it must necessarily delve, even if briefly, into the past. The reason this paper concerns itself mainly with the present is simple: today, dozens of millions of Nigerians are socially deprived and economically muzzled by governments elected by themselves. If this orgy is emphasised and some of its manifestations, ramifications and implications are laid bare, the pervasive socio-economic problems ravaging Nigeria may abate somewhat.

Having attempted a brief description of its structure and methodology might be necessary. The paper adopts the historical method of data analysis – simple descriptive collation and analysis of historical data with emphasis on the point-encompassing rather than the period-regimentation approach. The latter has the fundamental limitations of monotony, repetition and running back and forth. The former does not have these limitations since this method of data analysis discusses issues straight-line. Sequentially, this introduction is followed by what Lugard called 'necessity for amalgamation' but which this author prefers to call background to the amalgamation. This is followed by a fairly detailed examination of prevailing socio-economic conditions in Nigeria and lastly by the conclusion.

#### Background to the Amalgamation: Reasons for and Reactions Against

In Nigeria's parlance, amalgamation refers to the January 1914 fusion of the hitherto separate administrative systems of the Northern and Southern Protectorates although Adiele Afigbo has argued that the amalgamation is much wider because, according to him, it began much earlier than 1914 and is still ongoing. Although, the 1914 mega amalgamation is clearly the most celebrated in Nigerian history, other lesser amalgamations had been effected earlier. Quite a lot of scholarly works had been done on both the rationale for (and reservations about) and the justifiability or otherwise of the 1914 amalgamation which requires no repetition here. Although, scholars do not seem to agree on the immediate reasons for the 1914 exercise, Lugard, the arrowhead of the amalgamation, did not leave anyone in doubt regarding the factors that necessitated the amalgamation. Reading between the lines, he had three main reasons. The first was financial expediency. While Southern Nigeria was financially viable, Northern Nigeria

was not. Indeed, on the eve of amalgamation, while the former was deriving about £1,138 from liquor duties alone with colonial reserves of about £1,007,625, the latter was largely dependent on annual grant-in-aid from Britain which stood at about £314,500 on the eve of amalgamation. On the other hand, the Northern Protectorate was barely able to balance its budget with the most parsimonious economy and was unable to find funds to house its officers properly. Indeed, Lugard's budget of £135,000 for 1900 was supplemented to the tune of £45,000 by Southern Nigeria while the rest came from London as grants-in-aid. This was at cross-purposes with Britain's colonial economic policy. It will be recalled, for example, that Lord Grey, a very influential Colonial Secretary (1846-1852) had maintained that "the surest test for the soundness of measures for the improvement of an uncivilised people is that they should be self-sufficing". Grey's view had become policy by the time Chamberlain became Secretary of State for the Colonies in 1895. Indeed, as Lady Lugard later pointed out, the financial concessions from the Imperial treasury "were reluctantly made rather by respect for the judgement and wishes of Mr. Chamberlain, then occupying the position of Secretary for the Colonies, rather than by any strong conviction on the part of the British Government that Northern Nigeria was likely to prove a very valuable acquisition to the Crown". Lugard expressed the view that Nigeria's aggregate revenue was practically equal to its needs but that the 'arbitrary line of latitude' that divided the country into two created economic and financial imbalance and anomaly. The removal of this 'arbitrary [financial] line of latitude' constituted the primary aim of the amalgamation. Lugard expressed the view that Nigeria's aggregate revenue was practically equal to its needs but that the 'arbitrary line of latitude' that divided the country into two created economic and financial imbalance and anomaly. The removal of this 'arbitrary [financial] line of latitude' constituted the primary aim of the amalgamation.

Pressing difficulty with regard to railway policy and coordination was another immediate reason for the 1914 amalgamation. It would be recalled that the Baro-Kano Railway Project embarked upon by Northern Nigeria in 1906 conflicted with that of Southern Nigeria. This created what Lugard described as unnecessary, unhealthy and acute competition between the two halves of the country. Citing an earlier report by Major R.E. Wagborn and himself, Lugard concluded that some sort of joint control and administration of railway policy in Nigeria was inevitable. Moreover, the 1914 amalgamation was expected to bring the backward North to "the highest plane attained by any particular part [of the country, i.e. the South]". I.F. Nicolson, a onetime Civil Servant in Lagos Colony and arguably the most outstanding critic of Lugard and the amalgamation, had attempted a very detailed examination of this factor. As Heussler has argued, "Northern Nigeria commends itself for [Britain's] special attention being the most populous British-ruled unit in sub-Saharan Africa". This line of thought must have informed the view that the "amalgamation of 1914 is broadly speaking, the conquest and subjugation of Southern Nigeria by Northern Nigeria". There now seems to be sufficient evidence to add a fourth reason for the amalgamation: Lugard probably wanted to build a Nigerian Empire within the larger British Empire.

Be that as it may, the Colonial Office consented to Nigeria's amalgamation on the 'strength' of Lugard's Report. Unfortunately however, a careful perusal reveals that there is nowhere in the 173-page Report (broken into 206 lengthy paragraphs) where Lugard made reference to Nigerian unity as either the propelling force or remote consideration for the amalgamation. Thus altogether omitted from the priority list in 1914, one hundred years after, unity still

remains evasive and illusive in Nigeria so that today, the Federal Government expends millions of dollars annually on ‘unity campaign’ to counter centrifugal tendencies and convince the federating units on the gains and imperativeness of unity. A scholar has argued that the purpose of amalgamation in Nigeria was not to produce, nor has amalgamation anywhere aimed at producing, a smooth ethnological blend out of different nationalities and that amalgamation in the United Kingdom, Canada, Switzerland and the defunct Soviet Union did not “produce harmonious or human alloys”. While it may be true that amalgamation may not manifest or produce the same degree of consistency, coherence, smoothness and unity found in chemical alloys or amalgams; one would at least normally expect that amalgamation would foster and promote some sort of political unity no matter how modest or superficial.

This omission – calculated or inadvertent – became and probably still remains the hotbed of opposition to and criticism of the 1914 exercise. Indeed, this must have informed the submission that “the most remarkable thing about Lugard’s ‘amalgamation’ of Nigeria is that it never really took place”. A brief commentary on what Nicolson referred to as ‘Lugard’s amalgamation’ may be necessary. Although, Lugard eventually became the arrowhead of the 1914 mega amalgamation, the impression that he was the architect of the amalgamation is wrong. Lugard had precursors since he was not a member of the Selborne Committee appointed by Joseph Chamberlain in 1898 to make recommendations regarding the future administration of Nigeria which recommended a piecemeal fusion of the different governments and territories in Nigeria into one ‘Nigeria’. Indeed, it was probably this Committee that originally recommended for Nigeria a central administration headed by the Governor-General. Although, in a private letter to his brother in 1900, Lugard had broached the idea that the three Nigerias (the Colony of Lagos, the Southern and Northern Protectorates) had to be amalgamated someday; it was in 1905 that he wrote his first official confidential memorandum (in which he outlined his ‘unity’ proposal) to the Colonial Office.

Before we move away from the amalgamation and Sir Lugard, one more point is essential – immediate reactions to the amalgamation. While this paper does not intend to evaluate the balance-sheet of the 1914 amalgamation so as to avoid value judgements, it must not fail to point out that there existed and probably still exist two diametrically opposing viewpoints on Lugard and the amalgamation. Dame Margery Perham, the British historian, probably remains the most celebrated supporter of Lugard and apologist of the amalgamation. According to her “this plan stood the test of almost every critic and of six years’ progressive implementation, emerging at the end as a working system substantially unchanged from his original design...He seemed to know from the very first moment what he would do and it was not as though he saw his work as simply as a piece of administrative joinery. He made it a work of reorganization, indeed of reform”.

On the other hand, critics of the amalgamation and Lugard dismissed the former as otiose and the latter as a huge failure. Immediate opposition to Lugard and his policies was spearheaded by the Lagos Press which battled him in and out of office. There was probably no single issue of the Times of Nigeria, the Lagos Standard and the Lagos Weekly Record between 1914 and 1920 that did not disparage Lugard and the content and context of the amalgamation. Indeed, when Reuters broke the news of Lugard’s retirement in 1919, the Lagos Weekly Record described how the news was received ‘with joy and gladness by the loyal natives of Nigeria’ who went on their knees to thank God for ‘delivering his dusky children from the baneful effect

of an inglorious administration'. The paper wrote Lugard off as a huge failure; 'a hopeless anachronism' and dismissed amalgamation as 'mess and muddle' and 'fossilized remains of an administrative experimental failure'. Two other papers poured unrestrained invectives on Lugard and his policies. While one accused him of grievous maladministration and racial pride, the other dismissed amalgamation as an unwanted policy and accused Lugard of 'pride and self-sufficiency'. The Southern Press antagonism to amalgamation came to the fore when Lugard's successor, Sir Hugh Clifford, arrived the country. In an editorial, the Lagos Weekly Record said 'anything which will afford any degree of relief – however brief or temporary – from the blighting effects of Sir Fredrick Lugard's nefarious administration will be gladly welcomed by all loyal Nigerians'. It must be pointed out, however, that 'all' in the above quotation is misleading, at least, as at the time the paper wrote. This is because opposition to the amalgamation and particularly criticism of Lugard was almost exclusively confined to the South. While it is equally misleading to assert that Northern Nigerians had no misgivings about the amalgamation and Lugard, such misgivings were probably largely latent and muted as at the time the paper wrote. On the whole, critics created the wrong impression that viewed from any standpoint – political, economic, demographic, etc – the amalgamation was completely otiose, poorly designed and badly executed. Let us consider, for example, the following verdict

...instead of administering 'things' and developing 'services', Lugard [was] preoccupied with the widespread extension of rule over 'people' – an undertaking so unprofitable that it made amalgamation of the viable South and the bankrupt North...urgent...to free the home Government from the expensive [financial] millstone which Lugard had fastened round its neck and to transfer the whole burden to a new amalgamated Nigeria...Lugard's motives remain an inscrutable mystery...But whatever the reasons were [for the amalgamation], the failure was rapid and complete.

The last word in the above quotation is emphasised to underline Nicolson's overstatement and extreme verdict stop. While the amalgamation, like any other administrative and political policy, may have had its pains; it also had/has its gains. Apart from marking the beginning of modern Nigeria and brought northerners and southerners together politically thereby creating the single largest geo-polity in sub-Saharan Africa; it animated the political scene and propelled the country towards constitutionalism. Unfortunately, anytime the interests of any of the three dominant ethnic groups appeared threatened or circumvented, references were made to the amalgamation in a manner that depicted it as a mistake. Having briefly outlined some of the reasons for and reactions to the 1914 amalgamation, we can now proceed to the kernel of this paper.

#### Nigeria: One Century after Creation

This is not the Nigeria our founders envisaged. Things have changed and continue to change in a nasty sort of way. This is a failing nation – thanks in no small measure to successive governments and their prowling elites. Nigerian leaders are inured to the pitiable condition



of life in Nigeria characterised by an acute unemployment, gruesome killings of innocent citizens by Boko Haram Sect, kidnapping, oil theft ... fuel scarcity, epileptic power supply and sundry life threatening activities that have daily defined the people's existence.

Nigeria is one century old. In all, the country had had nearly two dozen administrators – colonial, civil and military. Since its creation, the country had undergone quite a great deal of political transformation and turmoil as well as socio-economic viability and vicissitudes. The purpose of this section is to examine some of the prominent features of contemporary Nigeria. As should be expected of an ethnically varied and geographically/demographically vast country like Nigeria, there are localised features and challenges such as ecology, economy, and culture; the features and challenges examined here are national and ubiquitous. Let us start with corruption. The word 'corruption' may have derived from the Latin verb 'rumpere' meaning 'to break'. This implies that corruption is the violation of established rules for personal gain and profit. Corruption occurs in several forms and shapes, but this paper focuses on what Hellman and Jones call 'administrative corruption'. That is the use of public office for private gain or the use of official position, rank or status by an office bearer for personal benefit. According to the incumbent (2014) Speaker of the Nigerian House of Representatives, "the manifestation of corruption, especially in the public sector of Nigeria, is legion, ranging from direct diversion of public funds to private pockets, contract over-pricing, bribery, impunity, nepotism, general financial recklessness, fraudulent borrowing and debt management, public assets striping, electoral fraud, shielding of corrupt public officers..." It must be stressed, however, that corruption is not a recent phenomenon nor is it peculiar to Nigeria or Africa – it is an antiquity and a world-wide phenomenon. For instance, in a survey of 150 high level officials from 60 third world countries, the respondents ranked public sector corruption as the most severe obstacle confronting the development processes of their respective countries.

In the 1950s, corrupt Nigerian businessmen swindled many firms in Europe and elsewhere so that by 1952, Nigeria's trading name abroad was seriously threatened. Consequently, the colonial government decided to create a special department to halt the trend. This was what led to the creation of the Criminal Investigation Department (CID) in 1953. Administrative corruption in Nigeria dates from the colonial period when the messenger collected bribes from the illiterates before he allowed them to go in to see the District Officers and when the interpreter took money and 'gifts' before presenting the illiterates' cases before the expatriate dispenser of justice. Being the nearest to the then corridors of power, the messengers and interpreters wielded great influence. Later on came the council clerks of the Native Administration many of whom succeeded only too well in the perversion of the course of justice. On 26 February 1952, the Emir of Gwandu moved the following motion on the floor of the Northern Nigeria House of Chiefs

That this House, agreeing that bribery and corruption are widely prevalent in all walks of life, recommends that Native Authorities should make every effort to trace and punish offenders with strict impartiality and to educate public opinion against bribery and corruption



In a similar vein, bugged by the problem of corruption in its civil service, the defunct Western Region set up a committee to study the ramifications of corruption and make appropriate recommendations to the regional government. One of the recommendations of the committee was the creation of an Anti-Corruption Office and J.O. Ajomale was thereafter appointed the Region's Anti-Corruption Officer. Among others, the Western Nigeria Anti-Corruption Office recommended the dismissal of a messenger who accepted 10s from another party whom he promised to help obtain a civil service job. Also, a medical officer who accepted payment for services he should have rendered free of charge was severely punished while an applicant for a senior civil service job who offered a £5 bribe to a government official was arrested, prosecuted and sent to prison. Unfortunately, today, while the Nigeria Labanji craved for some four and a half decades ago where "politicians refuse to rig elections or filch public funds, where the police refuse to be bribed, where none on the bench can be swayed by monetary, ethnic or lascivious considerations, where men are no more propelled by greed and lust for wealth" has completely disappeared; his prediction that "there may come a time when many actions which Nigerians now regard as marks of corruption would be accepted as a normal way of life – as natural as the air we breathe" is now fully fulfilled. Indeed, five decades after the Emir of Gwandu's motion, a member of Nigeria's Federal Parliament said 'whoever tells you there is no corruption in this House [of Representatives] is in fact corrupt. Ministers and heads of parastatals are often asked to bring money so that their budgets can be passed'.

This author and another scholar have dealt with what they term 'institutionalised corruption' in Nigeria in a recent publication; there is therefore no need for repetition or embellishments here. What should be underlined and emphasised here is that while corruption may not be peculiar to Nigeria, the peculiarity may be the overt support successive Nigerian governments had given to corruption. Only recently, South African President, Jacob Zuma, was severely criticised for benefiting 'unduly' from a \$20 million state-funded security upgrade to his private home. In a report entitled 'Opulence on a Grand Scale', South Africa's anti-corruption agency accused Zuma of conduct "inconsistent with his office". Also recently, in what has been described as China's biggest corruption scandal in more than six decades, Chinese authorities seized assets worth about \$14.5 billion from family members and associates of retired domestic security chief Zhou Yongkang while an Israeli court jailed a former Prime Minister, Ehud Olmert, for receiving \$160,000 as bribes. In October 2012, a former Italian Prime Minister, Silvio Berlusconi was jailed for four years for corruption-related offences while Tymoshenko, former Ukrainian Prime Minister was also convicted and jailed for corruption charges in 2011. Other former Presidents and Prime Ministers convicted and jailed for corruption-related charges included Chen Shui-bian (Taiwan) and his wife, Wushu-chen (life imprisonment); Laisenia Qarane (Fiji); Jose Socrates (Portugal); Nambar Enkhbaya (Mangolia); Alberto Fujimori ((Peru); Ivo Sanadar (Croatia); Nasasimha Rao (India); Bahadur Deuba (Nepal); Khaleda Zia (Bangladesh) and a former Zambian Deputy High Commissioner to India, Andrew Banda. Nothing remotely close to the above steps had ever been taken in Nigeria. Indeed, Nigerian dailies are awash not only with sundry cases of monumental administrative corruption at all levels, but with biting allegations that the President is aiding and abetting corruption by shielding corrupt officials. A few examples will suffice.

Chief Diepreye Alamieyeseigba, a former governor of Bayelsa State, south-south Nigeria, probably stole more than \$5 billion state funds between May 1999 and September 2005.

Following his impeachment by the Bayelsa State House of Assembly on 9 December 2005, he was arrested by the Economic and Financial Crimes Commission (EFCC) and charged for corruption. In July 2007, Alamieyesigha pleaded guilty to all the charges against him and was sentenced to two years in prison from the day of his arrest two years earlier and was released a few hours after leaving court room. On 12 March 2013, the National Council of State presided over by President Goodluck Jonathan granted Alamieyesigha presidential pardon. Indeed, the President described the latter as his 'political benefactor' – Jonathan hails from the same state as Alamieyesigha: he was the latter's deputy between 1999 and 2005 and became governor following Alamieyesigha's removal from office. Today, Alamieyesigha is eligible to vie for public office. In a report on Nigeria entitled 'Corruption and Lack of Transparency in Government', the United States of America reinstated her opposition to Alamieyesigha's pardon and condemned the impunity "with which officials of the Nigerian government...frequently engaged in all forms of corrupt practices at all levels with the police and security forces factored in". According to Nigeria's Economic and Financial Crimes Commission, in 2013 alone, about 533 high profile corruption cases were investigated while about 117 public officials were convicted. In all, the EFCC had secured the convictions of 773 public officials since inception.

On 28 February 2014, about one hundred Nigerian leaders – dead and alive – received various awards at the grand finale of Nigeria's centennial celebration. General Sanni Abacha who, as military Head of State between November 1993 and June 1998, siphoned well over \$6 billion from Nigeria was one of the awardees. The centenary award, according to the Federal Government, was not "a test of sainthood" but that of recognition of meritorious service. The Government argued that Abacha took over power when the nation was on the brink of precipice and held the country together despite sundry centrifugal pulls. However, honouring a man who looted the nation's treasury so monumentally is tantamount to giving official recognition to corruption. In other climes, only citizens who make imperishable contributions to the socio-economic, political and educational advancement of their countries are honoured. While this paper may not concern itself with the suitability or otherwise of the awardees, it seeks to point out that an overwhelming percentage of them are the architects of Nigeria's socio-economic and political problems. As far as awards to past Nigerian leaders are concerned for instance, apart from the pre and independence leaders, Lt.-Col. Yakubu Gowon who fought a decisive 30-month Civil War to keep the country united and General Abdusalami Abubakar who spent less than one year in office and restored democracy after one and a half decades of military dictatorship, there are probably no convincing or justifiable reasons for any kind of awards to the others. It is therefore not surprising that some Nigerians, including Noble Laureate, Wole Soyinka, turned down their nominations. Indeed, Soyinka described the entire centenary celebration as scooping "up a century's accumulated degeneracy in one preeminent symbol, then place it on a podium for the nation to admire, emulate and worship". Soyinka was particularly averse to what has since then been referred to in Nigeria as Abacha award. He dismissed the Abacha award as "a sordid effort to grant a certificate of health to a communicable disease that common sense demands should be isolated".

As if to demonstrate to the whole world that the Nigerian Government had stood logic on the head, five days after the award, the United States' Department of Justice announced the freezing of more than \$500 million corruption proceeds hidden in bank accounts around the world by Abacha in what the US Justice Department described as the "largest kleptocracy forfeiture

action...in the Department's history". The US described Abacha as "one of the most notorious klepcrats in memory who embezzled billions from the people of Nigeria while millions lived in poverty". Ironically, barely two weeks after the centennial awards, the Nigerian Government recanted by filling fresh corruption charges against the Abacha family alleging that Abacha's eldest son coordinated the looting of about \$2.67 billion from the country's treasury. Indeed, the President constituted an Inter-ministerial Committee to advice the Federal Government on the best use to which part of Abacha's repatriated loots could be put.

Despite enormous national wealth, ineradicable corruption has sentenced millions of Nigerians to grinding poverty. Although, poverty is not peculiar to Nigeria because according to the International Monetary Fund, poverty afflicts about 45% of Africa's households; but for endemic corruption, Nigeria should not be in the committee of poor nations. In the last one and a half decades, Nigeria had earned about \$50 billion from Natural Liquefied Gas alone but today, Nigeria is home to 7% of the world's poor with poverty level as high as 72% in Northern Nigeria; 27% in parts of Southern Nigeria and 35% in the Niger Delta. Thus, in a recent World Bank report, Nigeria was rated as an 'extremely poor country'. In contrast to Singapore that has 35 functional refineries, Nigeria has four all of which are either epileptic or in permanent limbo; Nigeria is one of the three countries in the world - along with Afghanistan and Pakistan - where polio is still endemic and where more than seventy million citizens have no access to safe drinking water and electricity. While South Africa generates about 40,000 megawatts of electricity for a population of about 50 million and South Korea generates about 83,000 megawatts for 55 million people; Nigeria currently generates a paltry 3,400 megawatts for a population nearly three times that of either South Korea or South Africa. It is therefore not surprising that apart from consistently maintaining the lead in the importation of generator in Africa since 2007; Nigerians spend about \$8 billion annually running generators. It must however be added that the problem of erratic or non-availability of power is not peculiar to Nigeria. For example, in its 'West Africa Monitor Quarterly' for the second quarter of 2014, the West African Development Bank estimated that more than 57% of the people of West Africa are without access to electricity.

Today, many Nigerian leaders will not only accuse but will almost certainly cast aspersions on British colonial administrations for not embarking on development programmes aimed at the holistic development of Nigeria. While this study has no intention of justifying colonialism, it should at least point out that during the colonial period, massive funds were injected into building power generation stations and roads. For example, the colonial government expended millions of pounds on the Ijora 'B' power project. In 1946, the Governor of Nigeria requested the Director of Road Research of the United Kingdom Department of Scientific and Industrial Research to send a representative to Nigeria to assist the Public Works Department in the construction and maintenance of roads. Although a critic may argue that Nigeria's colonial economy, like any other colonial economy, was disarticulated and was a mere appendage of the metropolitan economy; the fact that massive funds were injected into power generation and road construction is incontrovertible. If colonial administrations could construct feeder roads to facilitate the export of raw materials to the metropolis, indigenous administrations should do much better. On the contrary, expenditures on road and power generation had dwindled significantly so that today good roads and stable power are rarities in Nigeria. It must be stressed however that like other socio-economic problems, poor road network is not peculiar to Nigeria. According to the

Global Road Safety Facility of the World Bank, more than two hundred thousand people die in road accidents in Africa annually owing to poor roads. According to the Report, Nigerian roads “rank among the poorest in the world in terms of safety facilities and road network” yet a cabinet minister squandered about €12 million state funds on air charter services for non-official trips within the last two years.

In the report referred to earlier, the US expressed the view that the Nigerian Federal Government has deliberately stymied the country’s anti-corruption agencies by denying them of requisite funding, logistic support and laizzez faire attitude to corruption cases. For instance, after ordering a series of probes into stolen oil subsidy money in which the country lost more than \$1.2 billion, an amount far in excess of Nigeria’s capital budget for 2014, nobody has been convicted more than two years after. Another corruption case was the purchase of two cars for about \$1.5 million for/by a former Aviation Minister. Following public opprobrium, it took the President four months to reluctantly bow to public outcry that the minister be sacked. Finally, the immediate past Governor of the Central Bank of Nigeria probably remains the only holder of that office who regularly briefed the nation about the state of affairs at the Bank. Throughout his tenure of office, he alerted the nation once and again on the disappearances of huge sums from the Federation Account. The latest was his insistence that about \$20 billion was missing from the Nigeria National Petroleum Corporation-Federation Account. In February (2014), he was sacked by the President for ‘financial recklessness and gross misconduct’ but obviously for exposing the monumental corruption in the NNPC. The instances cited above, among others, may have led the House of Representatives to the conclusion that the President’s ‘body language’ encourages corruption. This is also probably what Alliyu et. al. meant when they referred to the Nigerian Federal Government as ‘grandfather-spiders of corruption’. It is therefore not surprising that for three consecutive years, Transparency International rated Nigeria the second most corrupt country in the world.

Another prominent feature of Nigeria at hundred is unprecedented insecurity/terrorism. Since the return to civil rule in May 1999, Nigeria has witnessed an upsurge in civil strife and insurgency particularly kidnapping the current Boko Haram insurgency. The severity and intensity of the current insecurity in Nigeria is far beyond what had been witnessed since the end of the Civil War in 1970. While the south-west is relatively peaceful, kidnapping has rendered the south-south thoroughly unsafe. Indeed, in an attempt to stem the tide of kidnapping in the south-south, the Federal Government and the Rivers State Government inaugurated a special security outfit known as ‘Operation Spark’ – comprising the Police, Army, Navy, Air Force and the Department of State Security – The situation in Northern Nigeria (particularly the north-east) where the Boko Haram sect has almost permanently brought socio-economic activities to a halt is even more desperate and devastating. The group Jama’atu Ahlus-Sunnah Lidda’Awati Wal Jihad, which in English means ‘people committed to the propagation of the Prophet’s Teachings and Jihad’ known the world over as Boko Haram, is an extremist Islamic sect in Nigeria that has caused unprecedented dislocation and destruction of lives and properties across northern Nigeria and the Federal Capital, Abuja. Its violent attacks on government offices, villages, churches, mosques, schools and other public places and utilities had led to the death of thousands and the collapse of hundreds of businesses. In the south-south, Abuja and Lagos, dozens of aliens and prominent Nigerians – including the President’s cousin – had been kidnapped and released upon the payment of ransoms. In the last twelve months, more than



450 school pupils had lost their lives to the Boko Haram insurgency. According to the United Nations, more than 57,000 Nigerians have fled to Cameroon, Chad and Niger Republic as a result of Boko Haram's serial attacks while more than half a million are internally displaced. The most horrendous attack of the sect in recent times was probably that of 25 February in which about 59 students of a federal college in Yobe State were killed. According to the New York Times, the attack brought "maximum humiliation to President Goodluck Jonathan, occurring as it did, two days before centennial celebrations". In a speech entitled "One Massacre Too Many", the Speaker of the Federal Parliament summarised the attack in the following words

...a horrendous terrorist attack that stuck a total blow at the heart and soul of the Nigerian nation and desecrated values that descent peoples of all nations hold dear...about 59 students of Federal Government College, Buni Yadi, Yobe State, were killed in the most heinous manner. Some of our future leaders were mowed down in gruesome circumstances in their sleep...That day was a day that will live in infamy in the history of this nation

Although, the killing of the 59 students did not stop the grand finale of the centennial celebration which held twenty-four hours after the attack, it has effectively arrested the educational pursuits of hundreds of thousands of youths in the north-east in particular and northern Nigeria in general. In March (2014), the Federal Government shut six colleges in areas it described as "high security risk" in the north-east. The Borno State government followed suit by shutting down 85 of its secondary schools thereby truncating the educational aspirations of about 115,000 students. In addition, more than 15,000 school pupils dropped out of school in Borno State between February and May 2014. This is very significant given the fact that compared with Southern Nigeria, Northern Nigeria is educationally backward – the United Nations International Children Education Fund has estimated that of the 10.5 million children who are out of school children in Nigeria (the highest in the world), 6.3 million (60%) are in Northern Nigeria. Indeed, in virtually every sphere of life – socio-economic, medical, etc – north eastern Nigeria is now almost completely paralysed.

A number of factors are responsible for the inability of the Federal Government to quash Boko Haram. One is that the Nigeria Police and the Army are poorly equipped. This, once again, takes us back to cyclical and ubiquitous official corruption which ensures that monies voted to developmental projects are not expended on same. Thus, despite enormous national wealth and abundant human resources, the Police and the Army remain ill equipped. According to the Governor of Borno State, members of the Boko Haram sect are better armed than the Nigeria Armed Forces even though about \$1.339 trillion had been supposedly allocated to and expended on defence in the last five years. Despite the generally held view that the Alhaji Sheu Shagari's administration (October 1979-December 1983) was outstandingly corrupt, the last time the army was effectively equipped was during his regime. Before he was overthrown, his administration ordered 50 Chinook helicopters for carrying equipment and Armed Forces personnel, procured several armoured vehicles and ensured that the armouries in all the divisions were well equipped. But, following a succession of military rulers starting from Major-General Muhammadu Buhari to General Ibrahim Babangida and the late General Sani Abacha, the army

was demobilised for selfish reasons. Indeed, even when former President Olusegun Obasanjo, a retired general who should have reversed the rot, assumed office in 1999, he continued with the demobilisation of the Armed Forces so as to prevent ambitious officers from overthrowing his government.

Indeed, the history of Nigeria's Armed Forces is a microcosm of the larger Nigerian society. For example, immediately after the Civil War (1970), Nigeria with a population of 56.13 million had a military strength of 250,000 troops, which was by far the largest in West Africa. Today, however, with a population of 170.2 million, Nigeria has a little over 100,000 Armed Forces personnel that are ill-equipped, poorly trained and poorly motivated. It is therefore not surprising that the Nigerian Armed Forces have not been able to curtail Boko Haram, particularly in the three north-eastern states of Yobe, Adamawa and Borno, the hotbed of insurgency. Today, Nigeria is a country flowing daily with the blood of her citizens: about 75 people were bombed to death in a highly crowded motor park in Abuja, the Federal Capital Territory on 14 April 2014, on the following day about 230 college girls were abducted from their dormitories in Chibok, Borno State by members of the sect.

Intractable unemployment is another outstanding feature of Nigeria at hundred. Unemployment, like corruption or any other socio-economic problem, is universal although it is more endemic in some nations than in others and like corruption, unemployment is not a tree of recent growth. For instance, an Employment Committee was inaugurated by the Governor of Nigeria in April 1935. The Committee, which was chaired by Hon. C.W. Leese, was saddled with the duty of registering "all persons residing in Lagos who had no employment or means of sustenance" registered about 4,000 unemployed persons. Successive Nigerian governments, as pointed out earlier on in this paper, had in one form or the other, castigated Nigerian colonial administrators yet as a follow up to the recommendation of the above Committee, in a memorandum to the Colonial Office, the (Nigerian) colonial government insisted that "measures for improving the physical and social conditions of the people [of Nigeria] must now have a claim on our attention which should take precedence over other considerations". Today, the improvement in the 'physical and social conditions' of the people occupies the bottom rung of the priorities of Nigerian government. Nigeria is home to about 51 million unemployed people yet billions of dollars which could be channelled into industrially and economically productive ventures are embezzled annually by public office holders.

With a conservative estimate of an average of about 200,000 graduates from 129 universities and hundreds of thousands from intermediate colleges, polytechnics and colleges of education entering the job market annually, Nigeria's job market is probably the most crowded in sub-Saharan Africa. It is therefore not surprising that the army of jobless Nigerians who have become socio-economic liabilities to themselves, their families and the nation at large engage in sundry illegalities and anti-social acts. Thus, there are enough un-utilised or under-utilised able-bodied men for politicians to recruit as thugs, others take to kidnapping for ransom while several others readily swell the ranks of Boko Haram. Indeed, the incumbent Inspector-General of Nigeria Police opined that "unemployment and poverty are responsible for the widespread insecurity in Nigeria". This view agrees with that of the British Prime Minister, David Cameron, who, while commenting on the increase of job opportunities in Britain said "more jobs means more security, peace of mind and opportunity for the British people"..

The ill-fated recruitment exercise into the Nigeria Immigration Service during which about



700,000 job seekers scrambled for fewer than 5,000 jobs clearly illustrates the prevalence of unemployment in Nigeria. The resultant stampedes led to the death of about 20 applicants including pregnant women and nursing mothers. Following what was obviously a national disgrace and disaster, the Nigerian Senate expressed grave concern over escalating unemployment rate in the country and opined that it could provoke a re-enactment of the French Revolution (1789-1799) or even the more recent Arab Spring which led to violent change of governments in the Middle East and North Africa. Moreover, the Senate described Nigeria as a country “in the grip of an acute employment crisis” which had brought many Nigerians into “the coalition of the oppressed”. It concluded that revolution is “staring Nigeria in the face” and appealed to the executive to set aside between 15 and 25% of the nation’s total annual budget to address the problem of unemployment. It must be stated however that a large number of members of the Senate had, at one time or the other, served as state governors and federal ministers and did very little or nothing to fight unemployment. To commemorate the 15 March 2014 tragedy, a youth organisation, Re-Orientation Advocates of Nigeria, has declared March 15 of every year a national day of unemployment in Nigeria.

Nigeria’s acute unemployment problem is a consequence of paucity of industries and the neglect of agriculture. Since the discovery of crude oil, successive Nigerian governments had paid mere lip service to the development of agriculture and the diversification of the economy. Industries like textiles, shoe, food, tyre, glass, rug, carpet, iron and steel, etc, which would have provided jobs for millions of Nigerians have either folded up or relocated elsewhere. The Nigerian Association of Chambers of Commerce, Industry, Mines and Agriculture, NACCIMA, estimated that in Lagos State alone, more than 9,000 businesses had either shut down or relocated to other countries within the last one year due to harsh operation environment, particularly power related problems. In a clearly conservative estimate, the Association pointed out that Nigeria requires a minimum of 85,000 megawatts (500 megawatts per one million people as against its paltry 3,400 or 20 megawatts per one million people) of electricity to cope with the industrial and commercial needs of the country. According to the Nigeria Labour Congress, the performance index of industries in Nigeria has dropped from 46% to 25.81% while service industry more than doubled to 50% from 23%. This is not surprising given the nexus between regular/constant power supply and industrialisation – industrialisation is a nullity if there is no sufficient electricity supply. Unlike the ‘Asian Tigers’ (Malaysia, Singapore and Indonesia) and the emerging industrial nations of India, Brazil, Taiwan and Thailand, Nigeria failed to take advantage of increased flow of capital and the opening of markets in the advent of globalisation thereby failing to increase the pace of its national development and job creation.

### Conclusion

Nigeria, as a politico-geographical entity, is neither disintegrating nor dismembering but because of pervasive corruption, intractable unemployment, endemic poverty, infrastructural deficit, neglect of agriculture and paucity of industries, scientific and technological backwardness and absence of basic social services, millions of her citizens are socially muzzled and economically cremated. Indeed, both in life and in death, the welfare of the common man in Nigeria had meant very little to successive Nigerian governments. This consideration may have informed the view expressed by Niran Adedokun who opined that “...in Nigeria, Government cares about no one. You build your own home, provide your own water, find a way to bring power into your home, struggle to feed yourself and family, ensure that the road leading to your home

is motorable and at the end die on your own...without being noticed by the state that should ordinarily record your death". Despite the grinding poverty afflicting ordinary Nigerians, each of the 109 Senators of the Federal Republic of Nigeria earns about \$1.7 million per month (\$20.4 million per annum) approximately five times the \$400,000 annual salary of President Obama of the United States of America. As far as millions of Nigerians are concerned, except for tenuous unity, Nigeria has little or nothing to celebrate at hundred. In his own assessment, which a very high percentage of Nigerians will controvert with facts and figures, the Nigerian President said, *inter alia*

On my watch, we have witnessed high national economic growth rates, steady improvements and expansion of national infrastructure including airports and roads, the restoration of rail transportation, the efficient implementation of a roadmap for improved power supply, a revolutionary approach to agricultural production, as well as advances in education, sports, youth development, healthcare delivery, housing, water supply and other social services

On the contrary, a former Lagos State Police Commissioner, Abubakar Tsav, identified the outstanding features of the Nigerian state as "insecurity...corruption and waste of resources" and dismissed Nigeria as a failed state. Thus, at hundred, Nigeria is corruption-infected, poverty-ridden and lagging behind in virtually every facet of life. We may therefore conclude with the several questions raised by Lawal Ogienagbon

What is there to celebrate about a nation where the per capital income is nothing to write home about? What is there to celebrate about a nation where the gap between the rich and the poor keeps widening by the day? What is there to celebrate about a nation which is the ninth producer of oil in the world but cannot meet its people's domestic need for petroleum products? What is there to celebrate about our 100th year when all the industries which used to be our pride in the 70s and 80s are dead? Those that did not die have since relocated to smaller countries like Ghana and Togo. What is there to celebrate about a nation that does not care about its people? The people only matter to our leaders in times of elections.

As should be expected, the rather awry socio-economic state of affairs in Nigeria has taken incalculable tolls on the personality of Nigerians at home and the image of the country abroad. In desperate attempts to access those socio-economic opportunities that are available elsewhere, Nigerians had perpetrated serious financial crimes and engaged in sundry social misdemeanours so that by 2008, more than 20,000 Nigerians who were supposed to be making diverse contributions to the political and socio-economic transformation of their fatherland were languishing in prisons abroad with about 60 of them on the death row. In 2012, more than 16,000 Nigerians were in jail in other countries and in August 2013, the Nigerian Federal Government estimated that 9,500 Nigerians were in various prisons across the world with the United Kingdom alone holding 752.

## Notes and References

## The initial shock of undergraduates when stepping into English state school classrooms in Brazil.

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### Introduction

This article talks about a unique experience in a teacher's life: the first experiences an undergraduate goes through when teaching English classes in a state high school. The representation of these experiences will be analyzed in their narratives. Nine students were participants in a Brazilian governmental program for improving English teaching in state schools using game format, role plays so that the high school students would learn English interacting with their peers not having to memorize a number of rules to learn the foreign language. The school is situated in Brasilia, capital of Brazil, in Asa Norte.

What Hubberman (2000) calls the initial shock that students face at the beginning of their teaching I myself witnessed as the coordinator of a federal teaching program for those undergraduate students in the University of Brasilia. This article analyses the written narratives of two (2) student teachers. As the coordinator of the sub project English, I decided not only to coordinate the program but also investigate their representations about their practices in the state high school. What led me to carry out the research was the following questions:

Why do students in state schools do not learn English effectively?

What methodology would be the best to apply in the context of state schools in Brazil?

The undergraduates will be called student teachers the students of the school simply students and the teachers of the state school will be called supervisors. I, the researcher, coordinator.

### Theoretical and methodological assumptions

The theoretical assumptions derive from the biographic research, they originate from the subject's singularity: the one who narrates his / her story based on his her life's experience. DEWEY (1929) is our reference in respect to this narrative once what is in question is the whole life experience of the subject.

Much of the present education fails because it neglects this fundamental principle of the school as a form of community life. They conceive the school as a place where certain information is to be given where certain lessons are to be learned or where certain habits are to be formed. The value of these is conceived as lying largely in the remote future, the child must do these things for- the-sake of something else he is to do. They are mere preparations . As a result they do not become a part of the life experience of the child so are not truly education(DEWEY,1929)

Past and present experience and future plans lead our investigation. According to Denzin; Lincoln (1994) the empirical material from the qualitative research, where we are included,

involve meanings and problems connected to the subjects' lives. As an investigation field it crosses many borders not prioritizing any particular methodological or interpretative practice being hard to define clearly in what theory or paradigm is supported. Coles (1989) caused a big impact when telling stories about children's lives and the difficulties that arise from poverty. The depth and enrichment of his analyzed data showed the value one singular case can have what triggered the discussion about the generality and the power of a singular, determined case. This thought contrasted with the possibility science searches of capturing the universal that can be generalized for all cases. Geertz (1983) argued that:

Whether it be a Balinese widow burning, a Moroccan family name, a Navajo hemaphrodite, a Youruba carving, an Elizabethan pageant, or a Muslim legal procedure, the effort is to preserve the individuality of things and enfold them in larger worlds of sense at the same time. Doubtless, method is undeveloped, technique crude, and success uneven. But it is the sort of thing one can get better at doing, given the opportunity to practice. (GEERTZ, C. 1983)

Delory-Momberger (2006) constructs an analysis category through schemes of actions that is the relationship of subjects with situations, their reactions and attitudes. In other words, her thoughts are compatible with Clandinin and Connelly (2006) who affirm that the research in the area of narratives bring about some terms that are fundamentally associated to Dewey's notion of experience. Says Clandinin and Connelly that to a such a question as: Why narratives? The immediate answer would be: because of the experience (2012, p.85). The authors propose a tridimensional approach to study the narratives. The interaction dimension that presupposes the terms: personal and social, the continuity dimension: present, past and future, and the third dimension related to the second, that is the situation: the place.

Having talked about the time the continuity dimension it is opportune to talk about the specificity of this research which analyzes undergraduates (student teachers) who are 17-18-19 year olds and are initiating their lives as future English teachers. It is noteworthy that Huberman studied the teacher life as of his length of teaching experience. The author says that the teacher starts his career with a shock- the shock in front of the reality that can be illustrated by his her constant question: Can I stand it? when he faces the distance between his / her ideals and the reality of a classroom, discipline, didactic material. Many authors name this phase as the survival phase or confrontation. This phase or stage is accompanied by anguishing and suffering feelings - a moment that Huberman has called discovery in which the initial enthusiasm in becoming a teacher in having his/her own class, belonging to a group of teachers is experienced by the beginner. When I was present to observe these classes as the coordinator of the program I had an opportunity to observe one of the student teacher.:

The student teacher stares at the classroom and the students were waiting expectantly for the English class to begin. There was an atmosphere of surprise, fear, excitement. The student teacher- to - be modulates his voice to be heard, feels clumsy with his own body, does not know how to explore the space yet: the space between him and the desks, between him and the board, between him and the other students. Body, space, interaction with the class became factors to be negotiated. It is his first class of an English undergraduate. Despite the fact that this is shock he perseveres and doesn't give up. (coordinator's notes)

Narratives have appeared in the academic literature to help researchers understand life inside schools, inside classrooms, and inside other educational landscapes, it has developed in contrast to technical rationalism in the process of teacher education. Souza E. (2008) reflects

upon narratives arguing that they open space for reflecting upon experiences and deepening self knowledge as well as expanding the meanings of teaching practices. Narratives can also be regarded as a possibility of education for the teacher themselves besides investigation of their lives. (JOSSO, 2002)

The narratives here mentioned will be analyzed from various perspectives. Clandinin e Connelly (2000) approach the following categories mentioned before: Interaction-personal and social-which points at internal conditions: hopes, feelings, aesthetical reactions, existential and moral dispositions. Continuity: past, present and future which contemplates a backward and forward movement combined with situation perspective, in which we consider the place, the physical specific limits and scenarios. Another author who writes about narrative methodology is Schutze, F. (2010). The author clarifies the procedures to analyze interviews and narratives following certain principles. He mentions the importance of the formal markers that show the end of a unit of presentation. He believes the formal marker step commences with eliminating passages which are not narratives to reach the pure narrative text. After that we should come across the description of the marked passages limited by markers such as: so, for, to, however, but. The markers of time flux are to be considered. They are: yet, already, suddenly...Schutze also mentions the analytical abstraction that takes place after, as well as, the contrastive comparison between two texts. Schutze (2010) also comes up with an important methodological category called trajectory which represents the principle of conditioning through which socio-structural conditions determine the existence

### The Federal Program

In our research we selected three undergraduates who agreed to write about their experiences in the program financed by the Brazilian government to promote the teaching in state schools. Actually this program has been used for many other disciplines such as Biology, Chemistry, Informatics.

The program articulates university and municipal and state school systems aiming at improving the teaching of various subjects expecting that the national average of development of Basic education go up. The English teaching project actually started in 2014 as a subproject called : Playing with the English language: researching learning through the ludico. The undergraduates were selected according some parameters such as: period he/she is in his/her English teaching course, commitment to participate in meetings with the coordinator, and give workshops at high school, participate in events. The undergraduates get a scholarship to be part of the program and follow its rules.

The Program also gives scholarships to the teachers who work at the chosen school. They are supposed to help the undergraduates providing information about the curriculum, the students' evaluation and information about the school structure and organization. They are called supervisors and mediate between the student teacher and the school. The coordinator, myself, as the name says, coordinates the undergraduates and the school supervisors. The coordinator and the undergraduates have weekly meetings to talk about the positive and negative points of the workshops as well as to come up with new ideas for techniques, approaches and ideas to assist with difficult students, problems that occur during the workshops. The idea underlying the coordinator's work is to make the students become aware how important it is to learn English in the contemporary society. The coordinator highlights that the objective of the sub project is to give voice to the high school students and that they should learn English and be capable



of talking and writing what they think and what they believe in.

What has led the coordinator (myself) to be part of the program is my embracing the idea that we are constituted by language and that learning a language is not like acquiring a package of rules to be applied in situation X or Y. My own development as an English teacher has transformed me and made me believe that students should identify themselves with the foreign language. The underlying idea behind the project is that of Discourse Analysis in which language is conceived not simply as a tool to use to communicate. That would be the simplest and emptiest way to describe language. What must be put in evidence is the subject of the discourse who is called to speak by the discursive formation. That means certain ideological formation predetermines what can and must be said (Pêcheux, M. 1988, p. 160) Words, expressions have their meanings according to the discursive formation they belong to. One word can have several different meanings, they don't have a proper and autonomous meaning. (op.cit. p. 161) During the meetings with the undergraduates the coordinator made clear that the objective of the sub project was to show workshops in which the students would take part playing games role playing and expressing themselves like subjects who have voice and are aware of the importance of learning English in a globalized world where English is used as a passport to the discovery of new ideas, cultures and self development.

## Methodology

Two excerpts of narratives were chosen to represent the undergraduates' ideas about their experience at the high school.

The coordinator asked the undergraduates to write their experiences and interaction with students as they were paying attention to what approaches or techniques were more efficient in their workshops. The narratives were sent by e-mail to the coordinator/researcher. Besides the narratives the researcher observed the undergraduate's workshops and has been in frequent contact with them all through a facebook page they created and also through an applicative called Whatsapp through which the undergraduates, supervisors and I have a permanent contact.

## Analysis of excerpts

The analysis will start with Amelie's and Susane's trajectory as Schutze proposes or in other words with the reported conditions that influenced their decision to study English and decided to choose English as their major. Amelie and Susane agreed to write and authorized their writing's publications.

### Amelie

Amelie is 19 years old and started to learn English at the age of 13. She went to a school where she had classes with many teachers who she describes as friendly, fulfilled, and professional. It seems that her choice to study English at the university has to do with that time when she says she identified herself with those teachers who were teaching English. She had fun going to learn English because of the dynamic classes and teachers who were happy teaching English. She also said her English classes made her dream about new possibilities. She marks with adverbs of time the sequence of her narrative from the time she started to study English to the present days when she says she wants to teach English to teens.



I was born on April 27,1995.

I started to study English at the age of 13

Immediately I identified with it (English)

Soon I realized classes were different from school

I decided when I was in the second year... that I wanted to be like my teachers..

Full narrative:

I was born in Taguatinga - DF on April 27, 1995. I started to study English at CILC when I was in the 7th grade at the age of 13. CILC is a state institution which offers Languages. There teachers just speak English and are very friendly and what is even better they show happiness because they chose Language as their major. English. At that school I came into contact with the English language and immediately I identified myself with it. I usually say that I fell in love with English and its culture. I liked going to school because classes were dynamic with happy teachers who never showed laziness or tiredness or sadness..It was like I enjoyed being at school and also enjoyed every minute I was there. Soon I realized classes were different from the English classes I had at the state school. I learned to enjoy the language and the culture and I fell in love with the profession. I decided while I was in the second year in high school that I wanted to be like my teachers at CILC that I wanted to teach English at that institution that showed me that being a teacher is not a profession without recognition (like many people think), My teachers showed me that learning a language changes your view of the world ,increases your expectations and allows you to dream further and like them I decided that I wanted to be a teacher to work with the language that I love to be able to transmit to others to other teens that they can dream beyond that there are many possibilities. I want to influence students like I was influenced and that is the reason why I chose English, and decided to be a teacher.

Another undergraduate or student teacher ,who also gives workshop with Amelie, wrote about her life. For the sake of comparison I will summarize it here too. Her name is Susane and she also authorized her writing's publication. She is 19, was born in Brasília, and chose firstly Languages (English) because she fell in love with literature when she was in high school. As her friend Amelie she took an English course at another school and fell in love with the language. She also compares the English teaching at that school saying that it was extremely different from the English taught at high school because the teaching had songs and games what made her feel different in relation to learning English and she needed to teach other people that way. I have always loved English she says , Since she was a kid; She says she wanted to go to an English school when she was 9. She was curious about the language. Like Amelie, Susane was influenced by English teachers to choose her major in English.

Susane

Susane marks her narratives with adverbs of time. Below we have units of languages marked by adverbs:

I chose English firstly because I fell in love with literature

I have always been good at English

Since I was a kid I got interested in learning English

I entered a English course when I was 9 not because my Mom asked.

I think it is of the most importance that people know English, mainly at present days...

Full narrative:

I chose Languages firstly because I fell in with Literature when I was in high school, but I have always been good at English and I chose to take English and be a teacher because the English classes I took at a course classes that I thought were extremely different from the ones I had at high school because we learned paying and listening to songs. That made me feel different in relation to English learning and I needed to transmit that feeling to other people. Since I was a kid I got interested in learning English I entered an English course when I was 9 and not because my Mom asked me, I, myself, decided that I wanted to learn English deeply and not only I learned at school, because I was curious and wanted to learn more about that language. I was influenced by some teachers I had at school and at the English course I have always been in love for English and I think it is of the most importance that people know English ,mainly at present days, so learning this fascinating language makes me feel privileged

Now having in mind the theoretical - methodological approaches I mentioned before we are going to focus on excerpts of the experience those student teachers went through when actually leading a workshop aiming at making students to learn English in a more interactive way. Still following Schutze steps, we are going to observe how the student teachers Amelie and Susane configure their representations of English workshops highlighting the themes they develop.

Theme Connection:

Amelie develops her narrative with a comparison: the first and second groups she taught. According to her she was connected with the second group and all worked out after that contact with the second group when there was a genuine interaction between them.

“ and for me, it was much easier than dealing with the smaller group. Maybe because we ,teachers, were able to create a bigger connection with the students from the second semester than with the students from the first semester. It was my first experience as a teacher. I was very nervous and anxious and still there was some euphoria while preparing something nice to the students and so on.”

Theme wall:

“In our first class, we introduced ourselves normally and we played some games using music but the students were very shy. During all the semester it was like there was a wall between us and them. Already in the second semester the activity was presentations.”

### Theme recognition:

Amelie shows how she felt good when one of the students came up to her to ask why she and her friend Susane had missed classes. That moment which was like a recognition of her work was important for her to keep up with the good work at the program

“That moment was motivating for me, it gave me stamina to prepare classes , to take to the class nice activities ,because the students care about what is happening with PIBID, they miss when we cannot be there.”

### Full narrative:

During these two semesters giving workshops at Cean (state school) we had two different groups .The first semester group had just 4 students at the beginning, finishing with 8 students. Yet in the second semester we had a group of about 25 students , and for me, it was much easier than dealing with the smaller group. Maybe because we ,teachers, were able to create a bigger connection with the students from the second semester than with the students from the first semester. It was my first experience as a teacher. I was very nervous and anxious and still there was some euphoria while preparing something nice to the students and so on. In our first class, we introduced ourselves normally and we played some games using music but the students were very shy. During all the semester it was like there was a wall between us and them. Already in the second semester the activity was presentations. This time we, the teachers, presented ourselves in a less formal way and after that we asked the students to talk in pairs talking about their hobbies and after that they presented themselves to the whole group without going to the front of the class. Meanwhile we could learn their names, ask questions about their lives and so on, we could break that wall that so much separated us from the students of the first semester. From then on the activities always worked out. The students were not ashamed of talking aloud , of repeating words in English, of taking part in the proposed activities. In one of the last classes we were rehearsing a dialogue with my group that is composed of 4 students and when we finished rehearsing there was still some minutes for the class to finish the students kept talking to me about their school, how they were doing in their subjects about their personal lives, it was very cool and I could realize at that moment how we really had made the students feel comfortable with the class and with us explaining to the point that they talked to them as if we were not their teachers. Once Susane and I could not go to CEAN (school) for a few weeks and when we returned to give our workshops one student approached us and asked why we had missed last classes. We explained that there had been some problems in the schedule and at last he asked us not to miss any workshops anymore because they missed the workshops when we were absent .That moment was motivating for me, it gave me stamina to prepare classes , to take to the class nice activities ,because the students care about what is happening with PIBID, they miss when we cannot be there. Pibid (The federal program) has been a wonderful experience, we are learning a lot each day and with our own mistakes , and we are meeting wonderful people.

Susane

Theme shock:

This theme reflects Susane's shock and disappointment in stepping in the class and not having a good response from the part of the students. She thought of giving up, but waited.

«the students didn't speak nor at least knew English, so they did not want to participate of the activities and they stayed laughing at everything what upset me a little. The first class was really a shock, I felt frustrated and scared with the students' behavior and I came closer in thinking of giving up from PIBID, because I did not want to go through that situation of asking students to do something and being refused.»

theme: learning with the students

Susane continued going to the workshops and learned with the students what she should do to keep their attention. As she started getting along well with the students she said things were getting clearer, easier than before.

«I continued learning with the students how to deal with them trying to understand them and beginning to have a better relationship with each of them. As time went by I didn't care anymore I already knew what I had to do for them to participate and I already knew how to act in front of their carelessness so all was becoming clear and easier.»

Theme: reward

«I felt very much fulfilled because those same students that at the beginning did not want to participate and did not know (almost) anything could already understand a lot of things that we talked in English and participate in the class without suffering. So, I can say that even though it was hard and totally scary at the beginning, all my experience was very interesting and pleasant.»

Full narrative:

The first time I entered a classroom as a teacher (or almost kk) was when I entered PIBID some months ago. I was very excited with the first class and super anxious to meet the students. When I arrived, I was a little nervous and expected a great quantity of students, but I got surprised because there were only 4. I became kind of lost at the beginning of the class, but soon I got the knack, however, the students didn't speak nor at least knew English, so they did not want to participate of the activities and they stayed laughing at everything what upset me a little. The first class was really a shock, I felt frustrated and scared with the students' behavior and I came closer in thinking of giving up from PIBID, because I did not want to go through that situation of asking students to do something and being refused. The second class was calmer because I knew what was expecting me so I was more prepared. And like that I continued learning with the students how to deal with them trying to understand them and beginning to have a better relationship with each of them. As time went by I didn't care anymore I already knew what I had to do for them to participate and I already knew how to act in front of their carelessness so all was becoming clear and easier. At the end of the semester I felt very much fulfilled because those same students that at the beginning did not want to participate and did not know (almost) anything could already understand a lot of things that we talked in English and participate the class without suffering. So, I can say that even though it was hard and totally

scary at the beginning , all my experience was very interesting and pleasant.

### Conclusions

Both narratives show similarities. The decision to take English as their major goes back to the time they were pre teens or teens when English taught at a school outside the regular state school was fun and different. Fun because of games and different because the teachers seemed happy and interested in teaching English. Both felt compelled to pass on to other teens the feeling they had of learning a language that made them dream of new possibilities, new worlds. English became a tool to achieve good things and they constructed their imaginary based on their first impressions when they were students at smaller schools not the state high schools.

The workshops they gave at the state, public schools in Brasilia through the program PIBID were marked by themes that also coincide since both student teachers felt nervous and anxious at the beginning but gradually took the command of the groups. Amelie talks about how connecting, making contact to the students was fundamental for the classes become easy tasks to handle, and Susane says she learned with the students what she had to do to make them feel comfortable and learn. In other words using the metaphor employed by Amelie they broke a wall that separated the students from the student teachers and after that they could work more happily and feel the pleasure of a victory. Finally what made them go on and improve themselves was the fact that the students learned in fact what was given in the workshops ,and also the students from the state schools acknowledged the student teachers' work.

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## Students' Perceptions on Dimensions of Classroom Management, Positive Interpersonal Relationships.

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### Abstract

The quality of teacher-student relationships is related to all other aspects of classroom management. In fact, research indicates that teachers who have high-quality relationships with their students have fewer discipline problems and as a result more instructional time into their disposal, which would further lead to higher student achievements. In the study undertaken by the researcher, classroom management is presented in twelve dimensions which have been further presented in three domains. The subject of this paper will be only the third domain of the questionnaire, which is about positive interpersonal relationships. The dimensions of this domain are; effective interpersonal relationships, teacher's personality, and the teacher as motivator.

For the analysis of the data of this quantitative study the SPSS program was used. The participants of the study are 1020 students of secondary schools in three cities of Albania, Tirana, Elbasan and Durres. This paper will show how according to students' perceptions, positive interpersonal relationships among teacher-student/s and student-student/s effect their language acquisition. From the statistical analysis of the data it was found that students have an average perception,  $M=123.07$ , about positive interpersonal relationships related to their acquisition of English as a foreign language.

Key words: classroom management, positive interpersonal relationships, student perception.

## Introduction

Teaching offers many opportunities for positive interaction with and among students, yet one of the most common complaints from teachers relates to the amount of time spent dealing with negative student behaviors. Teachers must be sensitive to the individual needs of students in order to practice instructional methods that will most effectively engage students in the learning process (Maier, 2003). Research has shown that the quality of teacher-student relationships is the keystone for all other aspects of classroom management (Marzano & Marzano, 2003, Sammons et al, 1995, Good & Brophy, 2008, Hadfield, 1992). In fact, research indicates that on average, teachers who have high-quality relationships with their students have 31 percent fewer discipline problems, rule violations, and related problems over a year's time than did teachers who do not have high-quality relationships with their students (Marzano & Marzano, 2003).

It was also found that the quality of the interaction between teachers and students greatly influences how students adapt to life in general and school life in particular. Positive experiences nurturing positive emotions have been shown to increase academic success and the motivational levels of students at the same time (Eryilmaz, 2014). Positive relationship building with all pupils may well be the first and most important strategy for teachers to attend to, closely followed by effective instructional methods, simple and clear classroom rules, clear boundaries, and a strong focus on attending positively to desired and appropriate student behaviors. At the same time, teachers can reduce their stress and increase the enjoyment of their teaching and their students' enjoyment of their daily learning experiences. (Parsonson, 2012).

## Literature Review

### Effective interpersonal relationship

According to Good and Brophy (2008), research has well established that good teacher-student relationships are an important aspect of classroom life, and teacher actions that are viewed by students as positive and supportive of them are consistently found to correlate with student motivation and achievement (p. 181).

Sammons, Hillman, and Mortimore, (1995) state that student-teacher rapport is found to have a beneficial influence on outcomes, and a number of studies have shown positive teacher-pupil relations to be a dimension linked with success (Rutter et al, 1979; Coleman et al, 1982; Lightfoot, 1983; Lipsitz, 1984 as cited in Sammons et al, 1995). They also state that positive effects were found where teachers communicated enthusiasm to pupils, and where they show interest in children as individuals (Sammons et al, 1995). They suggest that teacher-student relationships can be enhanced out of the classroom. Studies of secondary schools have found that when there were shared out-of-school activities between teachers and students (Rutter et al, 1979; Smith & Tomlinson, 1990 in Sammons et al, 1995) and where students felt able to consult their teachers about personal problems, there were positive effects on outcomes (Sammons et al, 1995).

Given that teaching is much more difficult than it looks, in order for teachers to feel good with themselves and as a result have a higher performance, Houghton (2001 as cited in Good &

Brophy, 2008) recommends a strategy of seeing, finding and using allies in mutually beneficial ways. Houghton advises teachers to see allies in colleagues, students, parents, professional literature, and even see themselves as an ally (p. 437).

Through working with peers teachers can exchange ideas and improve instruction throughout the school. If schools are to affect student outcomes broadly and significantly, teachers must be cognizant of how other teachers in the same school teach (Good & Brophy, 2008 p. 443). Good and Brophy suggest that there should be a sense of community among teachers who try to develop appropriate, positive expectations for all students and to challenge students by designing tasks based on information obtained in carefully planned and coordinated discussions with other teachers (p. 443).

A positive group atmosphere can have a beneficial effect on the morale, motivation, and self-image of its members, and thus significantly affect their learning, by developing in them a positive attitude to the language being learned, to the learning process, and to themselves as learners (Hadfield, 1992 p. 10). Hadfield suggests that it is important to begin to establish a good group atmosphere right from the first lesson in order to relax the students and relieve the tension they may be feeling, to introduce them to each other, and to encourage them to begin to get to know each other. But it is also important to begin to help the students to become aware of what is involved both in learning a language and working together in a group, to begin to develop both a sense of direction and a feeling of co-operation. For all the above to happen Hadfield suggests the use of ice-breakers while mentioning the main reasons for using these activities with a new

group:

1. to get the students to make their initial contacts with each other through English (it is then easier to go on speaking English with each other)
2. to get the students to make contact with as many other people as possible
3. to learn names
4. to find out something about other group members and to begin to get to know them in an informal and friendly way
5. to encourage fluid seating arrangements and discourage 'territoriality'
6. to create a relaxed and enjoyable atmosphere (Hadfield, 1992 p. 25).

Teacher-student relationships provide an essential foundation for effective classroom management, and classroom management is a key to high student achievement, and as Marzano and Marzano suggest it should not be left to chance. Instead, by using strategies supported by research, teachers can influence the dynamics of their classrooms and build strong teacher-student relationships that will support student learning (Marzano & Marzano, 2003). According to the authors, the most effective teacher-student relationships are characterized by three specific teacher behaviors: 1- Exhibiting appropriate levels of dominance, 2- Exhibiting appropriate levels of cooperation, and 3- Being aware of high-needs students.

## Teacher's personality

For Williams and Burden (1999 as cited in Larenas et al, 2011) personality refers to an individual's characteristic patterns of thought, emotion and behavior, together with the psychological mechanisms –hidden or not– behind those patterns.

Based on evidence from literature, there are three major approaches to the study of personality, situationism, interactionism, and constructivism. These approaches have resulted in the emergence of three major types of personality; type theories, trait theories, and factor theories (Shalabi & Nodoushan, 2009). Shalabi and Nodoushan (2009), argue that in connection to TESOL extroversion/introversion and risk-taking are the most important personality factors, as well as tolerance of ambiguity, empathy, self esteem, inhibition, and intelligence.

Getzels and Jakson (1963 as cited in Martin, & Baldwin, 1993) maintained that the personality of the teacher is the most significant variable in classroom success. Martin and Baldwin present other studies that also indicate that many of the variables associated with effective teaching are non-academic in nature. Pittman (1985) found that student ratings of teacher effectiveness were highly correlated to the personality dimensions of warmth, creativity, and organization. They also cite Easterly, (1985) who found that teachers identified as «effective» by their peers were willing to take risks, had a capacity for loving, were independent and assertive, and were more mature (Martin, & Baldwin, 1993, pp. 6-7).

Research on the relationship between personality and teacher effectiveness has mainly used the Myers-Briggs Type Indicator, and the Big-Five Personality Inventory or the NEO Five-Factor Inventory. In the Myers-Briggs Type Indicator personalities are defined by four measures; energy, perception, judgment, and outside world. Each measure is then divided into two opposing functions or attitudes. The two functions of energy are extroversion and introversion. The opposing functions of perception are sensing and intuition. Thinking and feeling are the opposing attitudes of judgment, and the two attitudes toward the outside world are judging and perceiving (Quenk as cited in Roberts et al, 2007). The five-factor model of personality (Costa & McCrae, 1992 as cited in Jamil et al, 2012) posits that the personality of adults can be most completely described in terms of five factors: neuroticism, extraversion, openness, agreeableness, and conscientiousness.

The personality literature shows a consistent and robust relationship between neuroticism and negative affect and extraversion and positive affect (Jamil et al, 2012). In a study about pre-service teachers' association of performance, personality and, beliefs, Jamil, Dower, & Pianta, (2012) state that teaching is a very stressful profession, requiring high levels of social interaction, and extraverted individuals who are naturally prone to positive affectivity and enjoy interacting with others might feel better prepared to enter such a career. Similarly, teachers who are less prone to psychological distress tend to be less reactive and can better manage the stresses of teaching, so they may also feel more confident that they will be able to succeed in such a stressful work environment. In addition, the positive physiological and emotional arousal associated with high extraversion and low neuroticism is another source of self-efficacy, further clarifying why teachers in their sample who exhibited these personality traits might have reported higher levels of teacher self-efficacy (Jamil et al, 2012).

In their study Jamil et al, (2012) found that extraversion was positively associated with self-efficacy, and neuroticism was negatively associated with self-efficacy. The results of their study showed that pre-service teachers who were more social and outgoing, and less anxious, reported higher levels of self-efficacy. They also imply that helping pre-service teachers explore and understand their own personality may help them feel better prepared at the start of their teaching careers.

Apart from the role of interaction between teachers and students, the personality traits of teachers also play a part in increasing academic success. For instance, teachers with personality traits such as conscientiousness are more likely to help students with their academic success (Patrick, 2011 as cited in Eryilmaz, 2014). Eryilmaz, (2014) found that the most important personality traits of “liked” teachers are extroversion, conscientiousness, agreeableness, emotional stability, and openness. Supporting the same conclusion about extroversion, Larenas and others (2011), even though with not a great difference in percentage, found that the majority of teachers in public schools are extroverted (Larenas et al, 2011). Roberts, Mowen, Edgar, Harlin, and Briers on the other hand found a positive relation with “judging”, as a feature of personality, and efficacy in classroom management (Roberts et al, 2007).

Even though it may not be possible to change stable elements of basic personality traits, programs might play a role in helping teachers modify the characteristic adaptations, or the coping strategies, defense mechanisms, and other behaviors that develop from the interaction of their personality and their social context. Engaging teachers in discussions about their personality traits, and how these impact the ways in which they respond to classroom situations, may be a small step in helping them feel better equipped to the challenges they will face in their careers (Jamil et al, 2012).

Teacher’s personality is related to students’ motivation as well. Studies confirmed the effects of liked and disliked teachers on student motivation, participation and academic success. It was concluded that students who were cared about were more successful (Montalvo et al. 2007, as cited in Eryilmaz, 2014).

Teacher’s motivation skills

Appropriate curricula and good teaching are necessary but not sufficient that students learn. Teaching, however purposeful, cannot automatically lead to learning for the simple reason that learning is primarily a personal construct controlled by the individual learner (Kumara-vadivelu, 2003 p. 44). If students minimize their investment of attention and effort, they won’t learn much. The degree to which they invest attention and effort depends on their motivation (Good & Brophy, 2008 p. 143).

The desire to achieve some goal is the bedrock of motivation and, if it is strong enough, it provokes a decision to act (Harmer, 2007). In the classroom context, the concept of student motivation is used to explain the degree to which students invest attention and effort in various pursuits, which may or may not be the ones desired by their teachers (Brophy, 2004, p. 4). According to Brophy, (2004) student motivation is rooted in students’ subjective experiences, especially those connected to their willingness to engage in lessons and learning activities and their reasons for doing so. By motivation to learn, Good and Brophy mean a student’s tendency

to find learning activities meaningful and worthwhile and to try to get the intended learning benefits from them. Motivating students to learn means not only stimulating them to take an interest in and see the value of what they are learning but also providing them with guidance about how to go about learning it (Good & Brophy, 2008 p. 168).

Research shows that Second Language motivation has important social and psychological dimensions which distinguish it from other forms of learning motivation, since learners are expected not simply to acquire knowledge of the language but to identify with the target language community and adopt their distinctive speech behaviors and styles (Ushioda, 2012, p.78). Finding ways of sparking students' initial interest and enthusiasm is not enough, since motivation needs to be regulated and sustained through the long and arduous learning process, so the key lies in orchestrating the social learning environment and learning experience in such a way that students will want to participate and want to learn (Ushioda, 2012).

In order to motivate and maintain motivation Dornyei (2001 in Ushioda, 2012) has developed a framework for motivational teaching practice structured according to these successive phases:

- Creating the basic motivational conditions, which involves establishing good social relations and a positive learning atmosphere.
- Generating initial motivation, which involves building students' interest in and positive attitudes to learning the language.
- Maintaining and protecting motivation, comprising pedagogical strategies for keeping students well motivated and involved during the learning process.
- Encouraging positive retrospective self-evaluation, which entails enhancing students' self-perceptions of competence and success (p.79).

Ushioda (2012) suggests that in order to increase students' motivation, teachers need to engage students in using the target language to express their own personal meanings, interests and identities, rather than treating them as language "learners" who are merely practicing or demonstrating knowledge of the language (p.83).

In his book "Motivating Students to Learn" Jere Brophy (2004) states that, "students will not respond well to motivational attempts if they are fearful, resentful, or otherwise focused on negative emotions. To create conditions that favor your motivational efforts you will need to establish and maintain your classroom as a learning community- a place where students come primarily to learn, and succeed in doing so through collaboration with you and their classmates" (p 26).

A positive learning community is a very important element of good classroom management. Brophy (2004) suggests that educators must create a learning community in which students feel comfortable and at home. He states that there are three important agendas that need to be accomplished when creating a learning community. Those include: 1) make yourself and your classroom attractive to students, 2) focus their attention on individual and collaborative learning goals and help them to achieve these goals, and 3) teach things that are worth learning



in ways to help students appreciate their value (p. 28-33).

Another element that enhances motivation to learn is teacher's enthusiasm. When teachers are enthusiastic about a subject, students are likely to develop enthusiasm of their own, and as a result achieve at higher levels. According to Good and Brophy (2008), teacher enthusiasm includes at least two major aspects. The first is conveying sincere interest in the subject, and the second aspect is dynamic vigor. Enthusiastic teachers are alive in the room; they show surprise, suspense, joy, and other feelings in their voices and they make material interesting by relating it to their experiences and showing that they themselves are interested in it (Good and Brophy, 2008 p. 311).

A very important moment when teachers should be enthusiastic, and also show it, is when students make questions. Good and Brophy (2008), confirm that students typically ask very few questions during lessons and they should be encouraged when they do so by using techniques and being opened to students' questions. Encouraging questions is especially important at the beginning of the term, because some of the students' previous teachers may have discouraged questions or allowed them only at certain times. Warm encouragement of questions shows students that you view them as co-participants and need their questions to help you teach well (Good and Brophy, 2008 p. 311).

## Research Methodology

### Population and sampling

The population of this study consisted of all secondary school students in the cities of Tirana, Durrës and Elbasan. Out of the total population, a sample of 1020 students was randomly selected as respondents. To ensure equality of representation, the secondary schools were selected to be private and public secondary schools, general and professional secondary schools, and lastly the schools were chosen from the suburb as well as the central areas of the cities. Of all the 1020 participants in this study 34.% (n=347) of the respondents responded to be males, 63.7% (n=650) of the respondents responded to be females, and 2.3% (n=23) of the respondents did not give this information.

### Analysis of the data

Data was collected from 1020 secondary school students using a questionnaire. The 1020 questionnaires that were personally administered to each respondent were collected back by the researcher personally and the response rate was 100%. The collected data were analyzed using the SPSS program.

### The instrument

A questionnaire, whether administered to a single student, small groups, or a whole class has its advantages and disadvantages. As far as advantages are concerned, the questionnaire allows the collection of information on a variety of topics in a relatively short time. Since students respond to the same set of questions, questionnaires allow comparison among individuals or across classes. But on the other hand, question construction is more difficult than it may appear, responses may not truly represent what students will do in actual situation (va-

lidity), and finally, responses may differ if questionnaire is given at another time (reliability) (Good & Brophy, 2008 p37).

The questionnaire used in this study investigates three main domains of classroom management which are further subdivided in a total of twelve dimensions. The third domain of the questionnaire aims at measuring the importance of positive interpersonal relationship according to students' perception in relation to their language acquisition. The dimensions included in this domain are; effective interpersonal relationship, teacher's personality, and teacher's motivation skills. The questionnaire was designed based on a Five Point Likert scale; 1 - It never happens in my class, 2 - It helps me very little in knowledge acquisition, 3 - It helps me somehow in knowledge acquisition, 4 - It helps me very much in knowledge acquisition, 5 - It is one of the elements that helps me the most in knowledge acquisition.

To ensure the validity and reliability of the data collecting tool, a pilot study was conducted in three secondary schools; each one selected from each city included in the study. The questionnaire was reviewed in the light of the results gained from the pilot study. Furthermore, three lecturers of SLA and Teaching Methodology in the Foreign Language Department were engaged to cross check the items and finally the questionnaires were administered to the selected sample by the researcher. Cronbach Alpha was calculated to ensure reliability of the instrument (Tab. 1).

Table 1. Instrument reliability. Cronbach's Alpha before and after the piloting of the instrument.

Dimensions	Cronbach's Alpha (Piloting)	Cronbach's Alpha (Final)	Nr of items
Effective interpersonal relationships (EIR)	.877	.837	13
Teacher's personality (TP)	.893	.834	11
Teacher's motivation skills (TMS)	.864	.823	11

## Findings and discussion

Findings and results of this study are presented in the following tables that represent the views and perceptions of the respondents.

As far as effective interpersonal relationships (EIR) are concerned it resulted that the students of secondary schools, participants of this study, have an average perception about the influence that these skills have on the acquisition of their knowledge in English as a foreign language. From the calculations of the thirteen items in this dimension, it resulted that a mean of 13 to 30.3 would be considered as a low perception, a mean of 30.4 to 46.7 would be considered as an average perception, and a mean of 47.8 to 65 would be considered as high perception. As it is shown in the table below (tab. 2), there is a mean of 43.86 for this dimension, being so an average perception as it is lower 47.8.

Table 2. Students' perception about effective interpersonal relationships (EIR).

Descriptive Statistics					
	N	Mini- mum	Maxi- mum	Mean	Std. Devia- tion
Effective interpersonal relationships (EIR)	866	14	65	43.86	9.598
Valid N (listwise)	866				

Low perception 13-30.3

Average perception 30.4-47.7

High perception 47.8-65

The same average perception has resulted from the second dimension of this domain, teacher's personality. From the calculations of the eleven items in this dimension, it resulted that a mean of 11 to 25.6 would be considered as a low perception, a mean of 25.7 to 40.3 would be considered as an average perception, and a mean of 40.4 to 55 would be considered as high perception. In table 3 it can be seen that there is a mean of 36.74 which shows that there is an average perception for this dimension as it is lower 40.4.

Table 3. Students' perception about teacher's personality (TP).

Descriptive Statistics					
	N	Mini- mum	Maxi- mum	Mean	Std. Devia- tion
Teacher's personality (TP)	925	11	55	39.57	8.195
Valid N (listwise)	925				

Low perception 11-25.6

Average perception 25.7-40.3

High perception 40.4-55

Students' perceptions on teacher's motivation skills that are presented in table 4 show an average perception with a mean of 39.26. From the calculations of the eleven items in this dimension, it resulted that a mean of 11 to 25.6 would be considered as a low perception, a mean of 25.7 to 40.3 would be considered as an average perception, and a mean of 40.4 to 55 would be considered as high perception. The mean of 39.26 of this dimension is considered an average perception because it is lower than 40.5.

Table 4. Students' perception about teacher's motivation skills (TMS).

Descriptive Statistics					
	N	Mini- mum	Maxi- mum	Mean	Std. Devia- tion
Teacher's motivation skills (TMS)	882	12	55	39.26	8.133
Valid N (listwise)	882				

Low perception 11-25.6

Average perception 25.7-40.3

High perception 40.4-55

According to the present study students have an average perception on the domain of positive interpersonal relationship with a mean of 123.07. From the calculations of the thirty-five items (13 items EIR + 11 items TP + 11 items TMS = 35 items PIR) in this domain, it resulted that a mean of 35 to 81.6 would be considered as a low perception, a mean of 81.7 to 128.3 would be considered as an average perception, and a mean of 128.4 to 175 would be considered as high perception (table 5).

Table 5. Students' perception about positive interpersonal relationship (PIR).

Descriptive Statistics					
	N	Mini- mum	Maxi- mum	Mean	Std. Devia- tion
Positive interpersonal relationship (PIR)	736	38	172	123.07	24.126
Valid N (listwise)	736				

Low perception 35-81.6

Average perception 81.7-128.3

High perception 128.4-175

## Conclusion

Wubbels and his colleagues, (1999 as cited in Marzano, 2003) note that: ...teachers should be effective instructors and lectures, as well as friendly, helpful, and congenial. They should be able to empathize with students, understand their world, and listen to them. Good teachers are not uncertain, undecided, or confusing in the way they communicate with students. They are not grouchy, gloomy, dissatisfied, aggressive, sarcastic, or quick-tempered. They should be able to set standards and maintain control while still allowing students responsibility and freedom to learn (p. 167). Marzano argues that teacher-student relationships are the keystone for other factors related to classroom management, and if a teacher has a good relationship with students, then students more readily accept the rules and procedures and the disciplinary actions that follow their violations (Marzano et al, 2003. p. 41).

In this paper it was discussed about positive interpersonal relationship as a domain of classroom management and its dimensions; effective interpersonal relationships, teacher's personality, and teacher's motivational skills. It was stated that student-teacher rapport is found to have a beneficial influence on outcomes, and a number of studies have shown positive teacher-pupil relations to be a dimension linked with success. It was argued that elements such as extroversion, judgment, conscientiousness, agreeableness, emotional stability, and openness, etc., have a positive relation with effective classroom management and student achievements as well. Related to teachers' motivational skills, they always want to maximize students' motivation to learn, and of course, maximize successful achievement outcomes, but only insofar as this can be done by maximizing motivation to learn and supplying supportive incentives and rewards (Brophy, 2004, p. 17).

Lastly, from the finding of the present study, even though each dimension of the domain positive interpersonal relationships, and the domain itself as well, resulted to have an average perception, students' perceptions, according to their mean, about the effect these dimensions have in their language acquisition are ranked as follows;

1. Teacher's personality
2. Teacher's motivation skills
3. Effective interpersonal relationships.

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**ASSOCIATING WOMEN IN ENTREPRENEURSHIP FOR JOB  
CREATION AND ECONOMIC EMPOWERMENT IN INDIA**  
**(WITH A SPECIAL REFERENCE TO NEWLY EMERGED STATE OF ANDHRA-  
PRADESH)**

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**ABSTRACT**

The main challenge developing countries like India are facing, is jobless economic growth. Optimum utilisation of productive human resources is impossible unless women are provided right opportunities to build up their standing in the society. It is time to encourage first generation entrepreneurs who are job providers and not seekers. Entrepreneurship is a prodigious chore encumbering risky exertion. No one can understand the upheavals, trials and turbulences of entrepreneurs better than those involved in. Women confront analogous challenges irrespective of gender. Women also have distinct factors that first block their entry and later their existence as successful entrepreneurs. Emergence of women entrepreneurs relies on the economic, cultural, social, religious and psychological aspects of the society. Women entrepreneurship development is an indispensable segment of Human Resource development. The international community has a strong mandate to promote women's opportunities and fight discrimination on the basis of gender through the convention of eliminating discrimination. To impart knowledge, action is required to develop marketing, outreach and education for women's enterprise development. Women's empowerment is a small investment with positive social and economic returns. This paper focuses on relevance of developing women entrepreneurship in India comparing with other parts of the world in general and the state of Andhra Pradesh in particular highlighting the Government initiatives.

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**Key words: Andhra Pradesh, Development, Entrepreneurship, India, Women.**

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## **INTRODUCTION:**

Women constitute around half of the world population which is true with respect to India also. During the recent past the magnitude of female participation in the economic activity among the different nations is quite high. In fact, women are economically very active in industrialised countries in comparison to countries that are predominantly agricultural. The question of female input to the progression of economy has received a limited attention and the economic role played by women is barely accepted. India being a developing economy is not an exception to this. The reason could be the traditional middle class discernment prevailing in the country that women's role is confined to home and family.

In modern societies, women have to come forward to participate in all production activities venturing out into the open world from the confines of the four walls of their homes. It has been proved beyond doubt that women have been performing exceedingly well in the fields of Academics, Administration, Politics, Industry etc. Though women represent 50% of the world population they receive share of only 10% of the world income and less than 1% of the world's assets. Efforts have been made by Government and non-governmental agencies to promote women entrepreneurship all over the world. The level of civilisation of a country is best judged by the status women enjoy in its society and the extent of their participation in the progression of the countries' affairs.

## **DEFINITION OF WOMEN ENTERPRISE:**

An enterprise owned and controlled by a woman having a minimum financial interest of 51% of the capital and giving 51% of the employment generated by the enterprise to women.--- Govt. of India.

**METHODOLOGY:** This paper is based on primary and secondary data. Primary data is collected through a questionnaire and personal interview. The secondary data and information has been collected from different published books, articles published in different journals, periodicals, working papers and websites.

#### Data collection:

1. Source: Primary & secondary data
2. Method: Survey
3. Mode of collection: Questionnaire
4. Sample size: 50 female entrepreneurs.
5. Area: Andhra Pradesh.

#### LIMITATIONS:

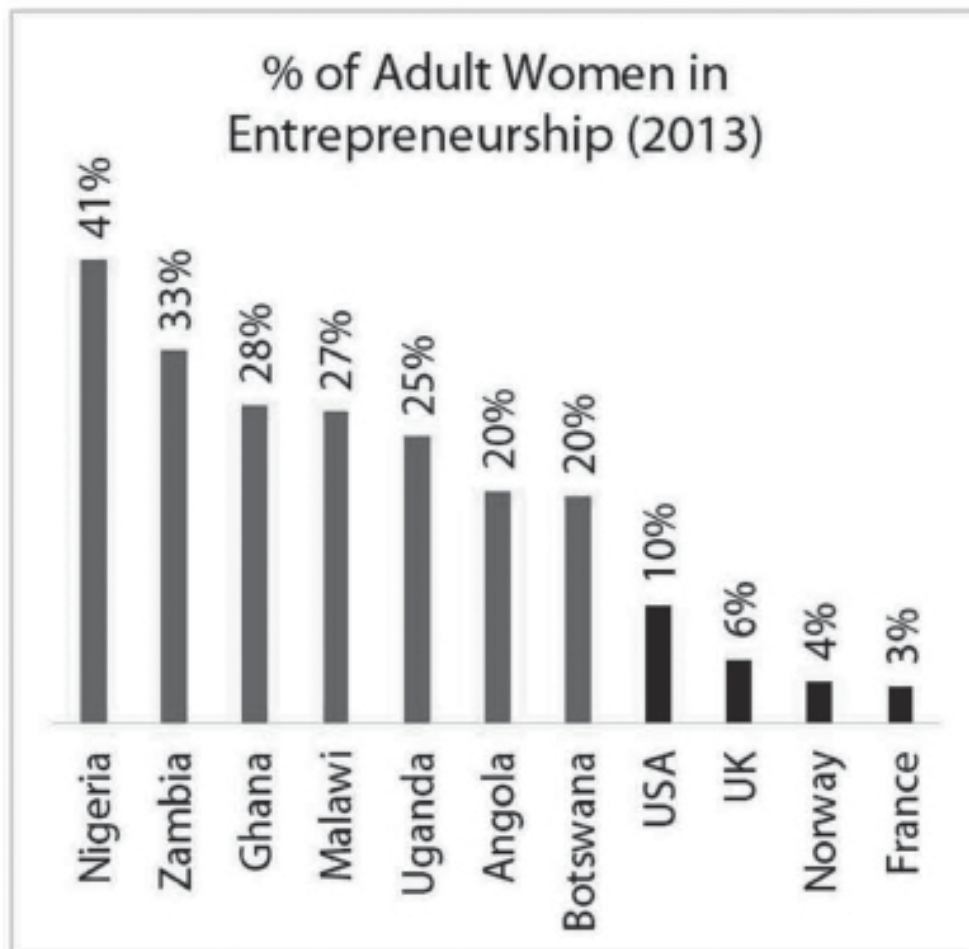
This paper is mainly based on the sample survey which is only the essence of 50 women entrepreneurs' opinion.

#### ENTERPRISES COVERED:

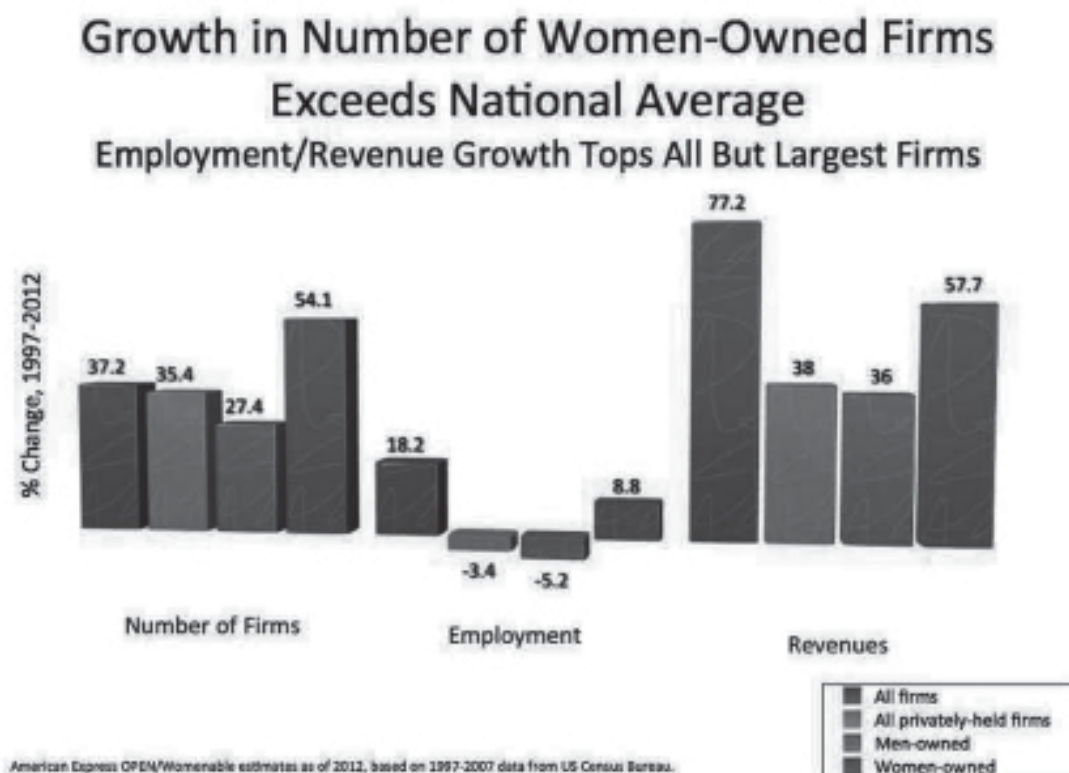
Beauty Parlors, fancy and gift articles, bangle shops, hardware, electrical and electronic goods, readymade garments, tailoring, cloth stores, food processing units, paper products, medical shops, kirana stores, departmental stores, books and stationery shops etc.

In recent times especially following the declaration of United Nations' decade for women there has been an increasing awareness of the disadvantaged status of women and the need to promote social equality and recognition of women as equal partners with men in development. Women in 3<sup>rd</sup> world countries are still struggling against many impediments inbuilt in their social status. South Asian women have the burden and baggage of history, traditions and social structures. Access to education and work options differ for women. Women entrepreneurs of Different countries face similar problems which may be stated as follows:

1. Gender inequality.
2. Lack of finances
3. Lack of training
4. Lack of education (in India as per 2011 census 30% of women are illiterate where as it is 13% among men.)
5. Unawareness of the govt. schemes.
6. Inability to bear the risk.
7. Lack of family support
8. Lack of managerial capabilities.



The above graph shows the %age of women participating in entrepreneurship in selected countries.



## **Indian context:**

Women entrepreneurship claimed importance for the acceleration of economic growth no matter the country developed or developing. Now-a-days it has become the buzz word of many governments. The economies are trying to inculcate the entrepreneurial thinking. It is a process of exploring markets, finding resources to gain in long run. It involves risk and ability to adapt the changing environment. In India the number of enterprises owned by men was 13,49,320 and women own 2,14,650. Tamilnadu ranks highest followed by Kerala, Karnataka and Gujarat. The proportion of women managed enterprises are higher in rural areas than in urban areas.

**DISTRIBUTION OF ENTERPRISES BY GENDER**

AREA	FEMALE	MALE
RURAL	15.27%	84.73%
URBAN	12.45%	87.55%
ALL	13.72%	86.28%

SOURCE: MSME ANNUAL REPORT 2011-12 (MINISTRY OF MSME, GOVT. OF INDIA)

A study by GEM which covered 37 countries the average rate of entrepreneurship among women is 8.9%. Thailand tops the list with 18.5% followed by India with 14.1% the United Nations' report has also concluded that economic development of a country is closely associated with the progression of women. Gender inequality widely prevails within the Indian society.

According to Human Development report 2013 India ranks in 132 out of 186 countries in gender inequality index. Iceland ranks 1<sup>st</sup> in the world on gender equality according to the world economic forum's gender gap report 2011. High level of illiteracy, lack of decision making power, over child bearing, early marriages are still persisting. Though the Indian society is fast growing still it is a patriarchal society where women have to struggle to become a successful entrepreneur. Gender insensitive business development support system (BDS) often create biased environs for women in the process of starting and managing their business, especially while registering, procuring finance and marketing the product. The following table clearly shows that gender linked growth index is significantly connected with GDP per capita.

### GENDER RELATED DEVELOPMENT INDEX AND ITS COMPONENT

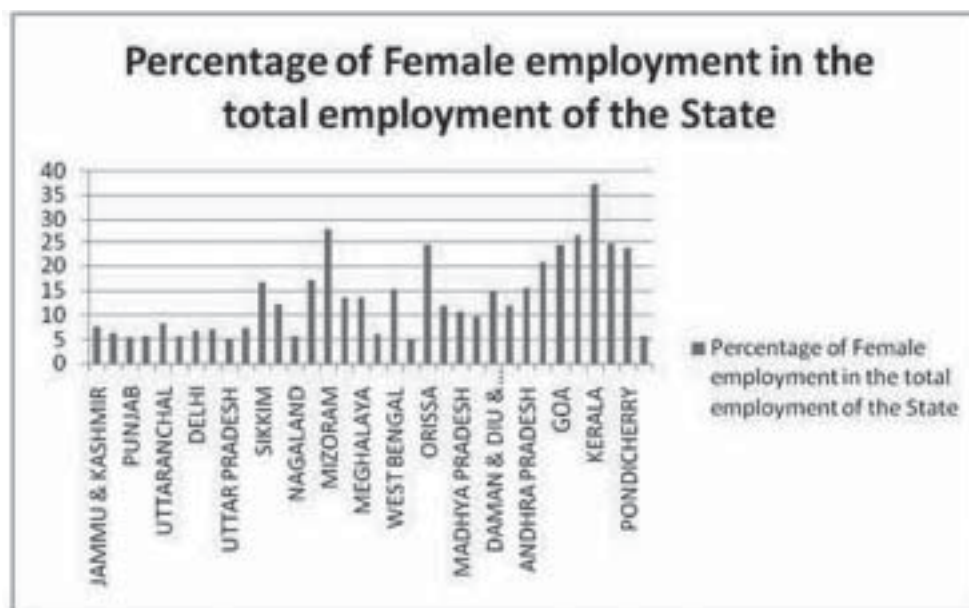
RANK	COUNTRY	GENDER RELATED DEV'T. INDEX	AS A % OF HDI	GDP PER CAPITAL
1	Australia	0.966	98.9	34923
2	Norway	0.961	99.6	53433
3	Iceland	0.959	99.0	44613
4	Canada	0.959	99.2	35812
5	Sweden	0.956	99.3	36712
6	France	0.956	99.4	33674
7	Netherland	0.954	98.9	38694
8	Finland	0.954	99.5	34526
9	Spain	0.949	99.4	31560
10	Ireland	0.948	98.2	44613
11	India	0.594	97.1	4102

Source: Human development Report.

In India since independence the Govt. is set to bring the change in the society by promoting women in the areas of health, nutrition and economic development. More than 4/5 of Indian population live in rural areas and the population is spread over 6, 30,000 villages. In rural areas 9/10 population depend on agriculture. There are many a number of policies and credit schemes especially for micro enterprises in India. Community development programmes were introduced by the Govt. for development of rural community such as Rural Developmental programmes, Development of women and Children in Rural Areas (DWCRA) etc.

When individual entrepreneurship does not become successful group entrepreneurship becomes necessary. A group of women are tied together by a common bond living in the same village doing the same business. A transformational role from house wife to entrepreneur. The changing role of women from home maker to an entrepreneur reflecting the process of change in the society.





Women coming from Privileged classes are able to pursue University education and take up jobs. Simultaneously, cultural constrictions on women are also changing in the lowest echelons of society where women are being pushed into the labour market out of dire necessity. These women take up a diverse range of economic activities to meet their subsistence needs

#### **STATISTICAL DATA OF WOMEN ENTREPRENEURS IN WORLD**

COUNTRY	PERCENTAGE
INDIA1970-71	14.2
INDIA1980-81	19.7
INDIA1990-91	22.3
INDIA-2000-2011	31.6
USA	45
UK	43
INDONESIA	40
SRILANKA	35
BRAZIL	35

SOURCE: WIKIPEDIA.ORG

#### **GEOGRAPHICAL PROFILE OF ANDHRAPRADESH:**

June 2<sup>nd</sup> 2014 the residual state came into existence with a deficit of ‘000s of crores of rupees. The reason could be attributed to the concentrated development focussed mainly on Hyderabad, now the permanent capital of Telangana where there is no stake to Andhra Pradesh. There are many a number of problems that are to be addressed to by the newly formed Govern-

ment. Sri. N. Chandrababu Naidu, who proved himself to be the efficient administrator cum entrepreneur and who played an important role in making Hyderabad as a world class city was elected as CM of the AP state by the people with a hope that he is the right choice and an icon of development. He is a man of visionary and he gives priority to women and trusts the capabilities of women. After swearing as CM he handed over maintenance of the sand quarries to women.

The state is bound on the North by Odisha and Chhattisgarh, on the West by Telangana and Karnataka, on the South by Tamil Nadu and on the East by the Bay of Bengal. Andhra Pradesh is located in the Southern peninsula of India and has a coast line of 974 km.

**Key cities:** Visakhapatnam, Vijayawada, Tirupati, Guntur, Kakinada, Nellore & Kurnool are some of the key cities in the state.

**Languages:** The most commonly spoken language of the state is Telugu. Hindi, English and Tamil are the other languages used.

**Capital:** Hyderabad for 10 years.

Geographical Area (sq km) 1,60,200

Administrative Districts (No) 13

Population Density (persons / sq km) 308

Total Population (Lakhs) 493.8

Male Population (Lakhs) 247.3 (50.1%)

Female Population (Lakhs) 246.4 (49.9%)

Sex Ratio (Females per 1,000 males) 996

Literacy Rate (%) 67.41

Source: Population Census (2011) & Statistical Abstract (2012-13)

At constant prices the Gross Stat Domestic Product (GSDP) of Andhra Pradesh was Rs.2, 35,930 crores and India was Rs.55, 03,476 crores.

## A VIDEO OF ANDHRA PRADESH

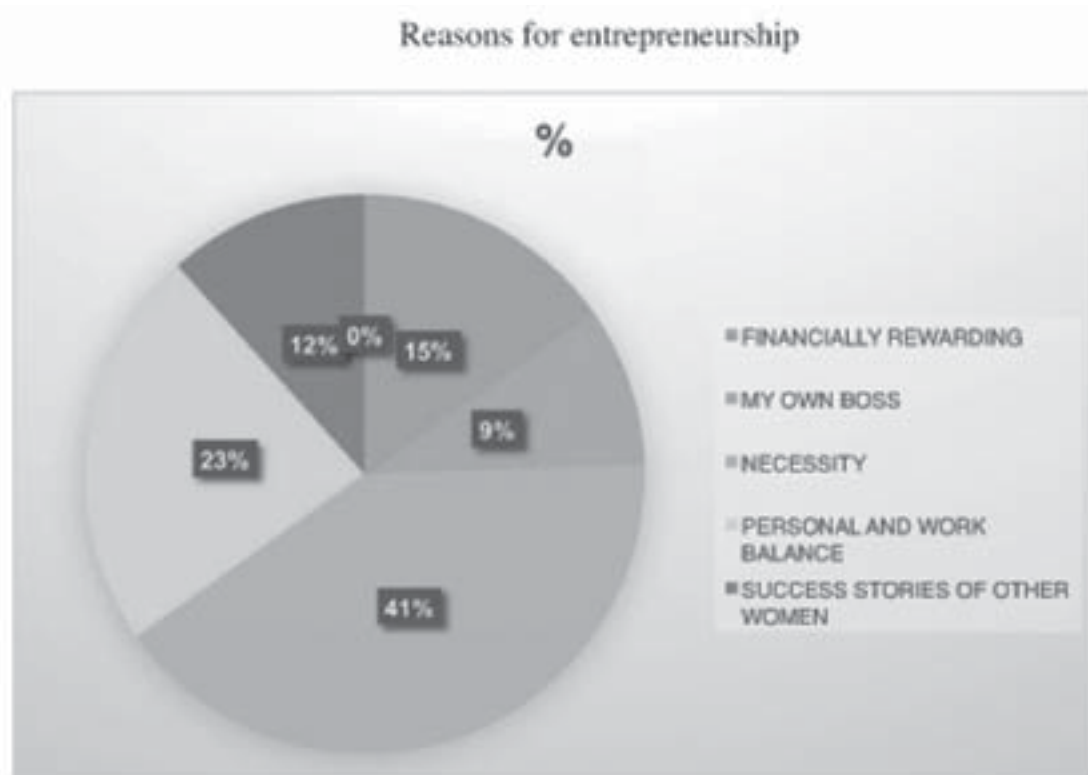
During my research I came to know that the women entrepreneurs are of 3 types:

### 1. Those who are running large business units:

These women are well qualified, trained, having their own financial resources, accessible to the financial markets, having support from the family. They learn to select machinery, they can access the technology through exhibitions and from the suppliers. The number of women involved in large business units is comparatively less. The entrepreneurs of this category are self-confident, will-powered, optimistic, and risk bearing. Out of passion they take up the entrepreneurship.

2. Those who are running medium size business enterprise: These are not well educated, insufficient skills, lower propensity of previous job or experience, delayed entry into the entrepreneurial activities. Mostly women entrepreneurs fall under this category. They enter into entrepreneurship to support the family financially.
3. Family business: These are illiterate women, no financial strengths, based on agriculture, horticulture, dairy, handlooms, power looms, fisheries etc. They come into the business for livelihood.

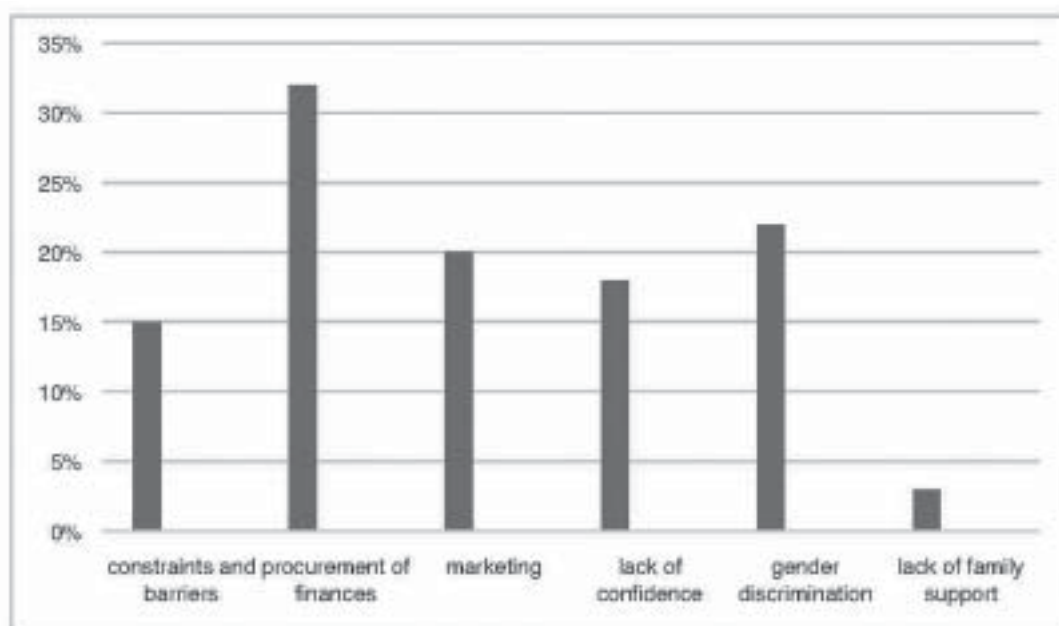
I came to know during my research that the choice of most women entrepreneurs is either manufacture or service sector. 38% responded to be in the manufacturing sector and the remaining 62% wish to serve in the service sector which is comparatively involves less capital investment. This clearly shows that women entrepreneurs are afraid of taking risk. Some of the entrepreneurs interviewed inherited the business and some started by their own means. Women entrepreneurs taking it as a challenge balancing both business and family. On an average 80% of the entrepreneurs expressed the difficulty in managing both but they do it willingly because it is quite rewarding.



The above pie diagram shows that 41% of the women take up entrepreneurship out of necessity, 9% wants to be her own boss, 23% to balance the home as well as the business front. They take entrepreneurship as a part time job to support their family, 12% of the entrepreneurs are inspired by the success stories of others and why can't we forced them to take up entrepreneurship and 15% took up because it is financially rewarding.

### Problems faced by women entrepreneurs:

Mostly women are facing the problems of raising finances for start-ups, marketing the products, stiff competition from male counterparts, lack of confidence because of no knowledge of markets and technical skills.



The first generation entrepreneurs require

- Knowledge for enterprise building
- Management skills.
- Entrepreneurial attitude and behavioural skills
- Motives and motivations

GOVT. INITIATIVES: The following training and financial schemes especially for women are introduced by government:

- Support for Training and Employment Program of Women (STEP).
- Development of Women and Children in Rural Areas (DWCRA).
- Small Industry Service Institutes (SISIs)
- State Financial Corporations

- National Small Industries Corporations
- District Industrial Centers (DICs)
- Yojana schemes and programs
- Associations
- Mahila udyoga nidhi schemes.
- Small industries Development Corporation of India.
- Entrepreneurship development institute of India
- Trade related entrepreneurship assistance and development

Numerous initiatives have been taken by the govt. to promote women entrepreneurship. Still they are lagging behind and needs to be substantiated and supported. The potential for supporting and developing entrepreneurship among women is vast and women participation in economic activity is the priority of the state of AP. Govt. should create an environment for the women entrepreneurs with respect to access to the markets, access to the finance, creating awareness of the govt. policies, access to infrastructure and latest technologies. The government sponsored development activities have benefited only a meagre section of women. AP Govt. is giving an additional 5% investment subsidy on fixed capital investment subject to a maximum of 5 lakhs to MSEs.

#### SUGGESTIONS:

Government initiatives are appreciable in all respects but what is needed is the wide publicity of the schemes that are available for woman entrepreneurs. Most of the woman entrepreneurs are not able to reach the financial institutions for start-up business because of the formalities and time taking procedures. Who has the might are able to procure the finances from financial institutions. During my interaction I see the enterprises run by men in the name of their spouse to get the benefits that are really meant for women. The big problem these women face as entrepreneurs is balancing personal and professional roles. Their entry into entrepreneurship is in their middle age. There are some associations like ALEAP and CII that provide necessary training and counselling in finding the markets, preparing the project reports, approaching the financial institutions, creating awareness of different schemes of the Govt. but they are not sufficient. Sincere efforts are to be made to partner the huge female talent into the production activities and growth of the economy.

#### CONCLUSION:

Earlier the role of women entrepreneur is limited to small businesses like fashion and

other woman related service sectors but now the portals are wide open to enter and prove successful in the manufacturing, construction and other male dominated industries also. Now they came to realize their rights and the value of their existence in the economy. But it takes a very long period to change their roles because of the fears of social repercussions.

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## **The Need for Cultural Ecology in Higher Education Curricula**

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### **Abstract**

Natural and sociological ecosystems influence scientific theories ecologists and cultural anthropologists formulate. Cultural ecology theories provide clear examples of these complex links, illustrating how these reciprocal relationships do not constitute a closed system, but are undetermined and open to the influences of two broader worlds: the social and the natural environment. The status of cultural ecology today can be measured through the numbers of publication focused on the study of culture and its relationship to their environment. Most of these publications are from Europe, followed by North America and the rest of Asia, very few from South America and Africa. The link between environment and culture is also emphasized in Asia, including the Philippines, in preparation for the ASEAN Integration by 2015. The environmental problems of different sociological origins can be solved by means of the theories and concepts of cultural ecology interlinked with the environmental attitude of people living in a given place. Three significant correlation analyses revealed. The first one indicates the need to integrate cultural ecology in all academic curricula (0.27 with p-value 0.01). This result recommends that cultural ecology becomes a separate and active field of study today. The second one reveals that female are more likely to have a great interest in the field of Cultural Ecology (-0.22 with p-value 0.02). Lastly, people in the rural areas highly demonstrate the positive cultural-ecological attitudes (0.28 with p-value 0.01). The researcher concludes the need to integrate cultural ecology in all higher education curricula in the Philippines.

**Keywords:** cultural ecology (CE), cultural-ecological attitudes, sociological origins, natural ecosystems, social ecosystems

### **Introduction**

Culture appeared as the integrated system of learned behavior patterns characteristic of members of a society (Brock, 2004). The system of behavior constitutes a way of life of any given social group. It is also a social heritage, transmitted from generation to generation by individuals and organizations. This heritage is instilled into the minds of the young, not only by initiation and education, but also by the long, unconscious conditioning whereby each

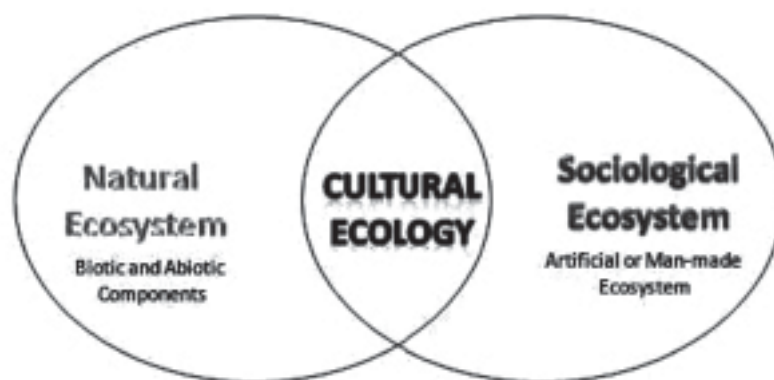
individual becomes the person he/she ultimately is. It thus becomes a form of social heredity. As an evolved harmonious whole, it ensures that all the institutions interacting within a society, and constituting it, contribute to group solidarity.

New relationships are being forged between culture and ecology in response to social concerns that arise because of the present state of the earth household. One of these responses is the concept of sustainability, which is not a scientific term, but more a focus of social problems arising from the large-scale use of natural resources (Tietenberg, 2002). These issues can only be solved by new social organizations, local and global, established to manage industrial production within the limitations of Earth's ecological infrastructure. There also has to be a new holistic cross-disciplinary social model, where knowledge about human social evolution is categorized to connect the social sciences with disciplines, such as law, history, geography, education, and biology.

One holistic approach of cultural ecology was made by Ramchandra Guha (1994) who argues in favor of creating an environmentally-orientated sociology for a world in environmental crisis by placing ecological infrastructure at the base of the traditional pyramidal model of society. In such a pyramid, consisting of nature, society and culture, the two functional pillars of social organization are the organization of people for production, the political economy and the organization of natural resources for production, the natural economy (Bennet, 2009).

The diagrammatic – correlational model of cultural ecology is provisionally set out in Fig 1. Geographers and anthropologists mean different (but complementary) things by cultural ecology (Schlüter et al., 2007). In general, cultural ecology studies the relationship between a given society and its natural environment. But geographers generally mean the study of how socially organized human activities affect the natural environment. Anthropologists generally mean the study of how the natural environment affects socially organized behaviors (although, at its extreme, environmental determinism has fallen out of favor among most anthropologists).

Fig.1 Diagrammatic – Correlational Model of Cultural Ecology



This paper discusses the need for cultural ecology today and how the theories and concepts integrated holistically in different stakeholders and field of study. This paper also statistically identifies specific environmental problems derived from sociological origins and how cultural ecology solved the problems using a simple tool, the cultural-ecological attitudes.

## **Method**

### *Theory and Concept Analysis*

The researcher collected and analyzed the theories and concepts of cultural ecology as basis for making conclusions and recommendations about the present use of this new emerging field of study. Theory and concept analysis was also used identify whether cultural ecology is the central solution in solving environmental problems arises from different sociological origins.

### *Sampling Procedures and Survey*

Using simple random sampling, the researcher employed 100 students in the survey. These students were randomly selected from the list of participants joining the environmental awareness seminar, a community extension project of Lyceum of the Philippines – Laguna. The questionnaire used in the study was the modified cultural-ecological attitude test by Joddi Forlizzi (2007).

### *Data Analysis*

The results of the survey were subjected to statistical analysis to correlate environmental problems of different sociological origins to cultural-ecological attitude of the respondents. Point biserial correlation analysis was used to determine which environmental problems of different sociological origins significantly correlated to cultural-ecological attitude of the respondents. The result will be the basis in identifying the sociological factors of individuals that will affect environmental problems.

## **Discussion**

### *A. Theories and Concepts of Cultural Ecology*

The emerging discipline of cultural ecology was developed through the observation of the linkages between the social and natural ecosystems. Julian Steward, as cited by Carpenter, (1999), mentioned that cultural ecology studies and analyses the interrelationships between environment and culture in a human society. It seeks to explain the social sciences by means of the natural sciences. Ostrom (2003) said that cultural ecology focuses on how cultural beliefs and practices help human populations adapt to their environment and live within the

means of their ecosystem. Table 1, summarizes several important theories and concepts of cultural ecology.

Table 1 Theories and Concepts of Cultural Ecology

Theory/Concept	Proponent	Statement
The Theory of Cultural Change	Julian Steward	The more complex a society is, the larger the presence of socially-derived needs rather than necessities
The Techno-economic Determinism	Marvin Harris	The technology, economy, and natural environment linkages is a determinant for human adaptation
The Concept of Participant's View	Charles Frake	The interrelationship between any culture and nature can only be analyzed and interpreted through the knowledge gained by a person who is associated with that culture and environment
The Concept of Adaptation Process	James Anderson	Culture is created and changed because of the need of adaptation to the changing environment
The Cultural Materialism	Roy Rappaport	There is a strong collaboration between cultural phenomenon in terms of material factor among people and the surrounding natural environment

*B. Presentation of Different Methodological Perspective (Based on the latest researches and case studies)*

Several scholars presented numerous studies focusing on the field of ecology and anthropology which relatively links to the new field called cultural ecology. Most authors studied how human interactions will change the society and their surrounding environment. Cultural ecology was created to fill the gap between the human thinking and their actions (Mills, 2002). Relatively, the theories and concepts proposed by several authors of the past created a big influence in today's cultural ecology study.

Interlinking the ideas of the latest studies in cultural ecology may lead to the development of concrete solutions to the many problems of environment today (Westbroek, 2002). The comparative ideas of different cultural ecology studies result in the formulation of new knowledge in the mitigation of environmental problems. The combined concepts of Frake and Rappaport have been used by the University of Florida School of Natural Resources and Environment for their university-wide program in ecology, environmental science and sustainability. Joddi Forlizzi (2007) came up with the concept of product ecology. The combined concept of adaptation process by Anderson and Techno-economic determinism by Harris are the main focus of product ecology.

The theory of cultural change by Julian Steward is considered as the pioneer theory of cultural ecology and still useful today. This theory became the foundation of some stud-

ies of today. Steward stated that the more complex a society is, the larger the presence of socially-derived needs rather than necessities.

The concept of participant's view by Charles Frake was one of the most intriguing concepts of cultural ecology (Ostrom, 2003). This concept partly focuses on the environmental conditions and the observant idea of solutions. Technically, the concept was biased unless thorough qualitative research was conducted. In line with Frake's concept, two latest researches focused on observant's view and qualitative study applied to come up with more reliable new theories. Costanza et al. 1997, in their study on the value of the world's ecosystem services and natural capital came up with a good framework showing the concepts of participant's view. Also, the study of Bruno (2012) brings the modern concepts of Frake's concept.

The partial combinations of each theory and concepts of pioneered cultural ecologists were used by several authors in their studies and they came up with new theories and concepts which are useful in the changing world. Studies such as the Mechanisms of Resilience in Common-Pool Resource Management Systems: An Agent-Based Model of Water Use in a River Basin by Schlüter and Pahl-Wostl (2007), made a conceptual model of the social-ecological system in the river delta showing the major linkages between the water resources that supply the irrigation system and the aquatic ecosystem, which both support the social system. The model was used to mitigate environmental problems in the river system and continuously used to solve problem related to human factor and river productivity and sustainability.

González, Montes, Rodríguez, and Tapia (2008), simplified the modeling of three plausible interconnected scenarios for the Galapagos social-ecological system, showing the tourism model as the main indirect driver of change. Today, this study was already established for the implementation of sustainable tourism within Galapagos Islands. Lastly, Anderies, Janssen, and Ostrom (2004), focused on a framework to analyze the robustness of social-ecological systems from an institutional perspective. The study creates multiple ideas concerning conservation management systems and exploitative management systems.

### C. *Status of cultural ecology today*

The study of cultural ecology was not yet established in many parts of the world. The proponents of this emerging discipline came up with the idea of analyzing the status of continuous practice of the established theories and concepts of cultural ecology. Published researches were the only parameter for now in monitoring the continuity of cultural ecology disciplines (Anderies et al., 2011). Figure 2 shows the distribution of publication of papers related to cultural ecology disciplines. Data were taken from several universities based on published researches from 2002-2012.

Figure 2 shows that majority of the published researches are from Europe, less in South America. The most prolific authors are a group of people who are working to bridge the social and natural sciences (with number of papers in brackets). The top two authors, Carl and Fikret, were editors of the Linking and Navigating books. Carl Folke has 26 published researches, Fikret Berkes has 14, Steve Carpenter has 14, Per Olsson has 13, and J. Marty Anderies has 11.

The universities with the most publications are: Stockholm University with 41 publications (where Carl Folke is located), Arizona State University with 27 publications (where Marty Anderies and a number of SES researchers are), University of Wisconsin with 19 publications (Steve Carpenter), University of Manitoba with 18, (Fikret Berkes), Indiana University with 14 (Elinor Ostrom and formerly Marco Janssen, both of whom have frequently published on social-ecological systems).

The top five journals which are dominated by Ecology and Society are Ecology and Culture with 78 journals, Global Environmental Change and Ecosystems, both with 13, Proc. of National Academy of Science (USA) with 10 and Ecological Economics with 8.

#### D. *Cultural Ecology and ASEAN Integration 2015*

ASEAN nations are now building a plan for 2015 and beyond to renew the future by integrating all their knowledge and efforts to compete with the western world (Anderies et al., 2011). But the readiness was not yet clear. In the study Anderies, et al. (2011) conducted, results reveal that ASEAN nations have a big trouble in coordinating with less productive Asian countries. The establishment of the plan was clear but impossible to come into reality by all means.

There is a slight difference between productive and slowly productive ASEAN countries in the readiness of the integration of cultural ecology in ASEAN 2015 plan (Anderies et.al., 2011). South Korea and Japan lead the idea of integrating cultural ecology in the productivity patterns of ASEAN integration. Singapore, the only Southeast Asian country representative, tried to present data on how cultural ecology appears in the picture of productivity during ASEAN integration 2015 (Bennet, 2009).

### Synthesis

In view of the previous theories and concepts of cultural ecology, the researcher came up with the ideas to construct a new concept of cultural ecology that may help solve more environmental problems of the world today. The basic assumptions, as the foundation of the new concepts, were established. These are the sociological origins that may affect the attitude of individuals in relation to his environment. The major sociological origins are the economic, political, psychological, religion, gender, education, family, geographical (residence) and technological. Figure



10 shows the diagrammatic relationships of cultural ecology and different sociological origins in solving environmental problems.



Fig.3 Emerging Cultural Ecology Concept

The new concept gives an idea on how the established theories and concepts of cultural ecology are used in solving environmental problems originated from each of the given sociological origins in the diagram. The new concept emphasized how cultural ecology is considered as the central solution to environmental problems of different sociological origins.

Quantitatively, concept testing was used in a population of students in a university. This is to make sure that the representation of needed variables showcases to make a realistic view of quantitative concept application. Using point biserial correlation analysis, it shows that there is a significant relationship between some sociological origins and environmental attitude, the tool used in measuring cultural ecology concept. Table 2 on the next page shows the significant correlation analysis of three sociological origins computed with high correlation and with significant relationship.

Table 2 Point Biserial Correlation Analysis between Sociological Origins and Environmental Attitudes

Variables	Correlation Coefficient $r^{pb}$	Interpretation
Educational Courses (Curriculum)	0.27 with p-value 0.01	High Correlation/Significant
Gender	-0.22 with p-value 0.02	High Correlation/Significant
Geographical (Residence; urban or rural)	0.28 with p-value 0.01	High Correlation/Significant

The results show that among the sociological origins, educational courses (curriculum), gender and geographical (residence; urban or rural) have the highest correlational coefficient with high level of significance.

In the correlation coefficient of educational courses, it indicates that cultural ecology needs to

be integrated in the curriculum of any disciplines. This study is useful in the evaluation and re-evaluation of the curriculum of different courses offered in the tertiary school. It can also be a basis in studying different attitudes of professional towards the environment, as they enter into their respective professions.

As numerous literature emphasized on gender as the most correlated variables in the study of environment, similarly, the results shows that the value -0.22 with high correlation indicated that women have shown high concern for the environment rather than men. The results also mentioned by Arrow (1951) in his study on social choice and individual values, stated that “women empowerment makes new and sustainable environment to live in”. Baker (2004) in his study “Communities, networks, and the state: Continuity and change among the Kuhl irrigation systems of the Western Himalaya” agreed on the power of women to manipulate the thinking capability of men to protect their environment to man-made calamities and disturbances.

Definitely, people who live and were born in the rural areas have shown a highest concern for the environment (Berks, 1998). Correlation analysis shows that respondents who live in rural areas have the highest correlated value in relation to environmental attitude. This means that rural communities in the Philippines have the capacity to protect and improve the situation of their environment.

## **Conclusion**

The framework of different cultural ecology studies based on the established theories and concepts are useful for scholars from diverse disciplines as a method for analyzing the cultural relativity in solving environmental problems. The status of cultural ecology as a useful discipline can be measured by means of the number of published documents, researches or journals. In line with the ASEAN integration 2015, only the productive ASEAN countries can really focused on the progress of combining cultural ecology concepts for ASEAN Integration 2015 preparation (Bennet, 2009). In the correlation of all possible sociological origins in the cultural-environmental attitude (tool in measuring cultural ecology concepts), only gender, education and geographical residence have the highest correlation with highest significance. The computed correlation coefficient means that cultural ecology is needed to be integrated in higher education curricula, that cultural ecology must be a separate and active field of study today, that female are more likely to have a great interest in the field of cultural ecology and that the positive cultural-ecological attitudes are the natural characteristics of the people who were born and live in rural areas.

In this paper the researcher proposed modest steps in what might become an exciting journey to understand the basic concepts and theories of cultural ecology and how to use them in multidisciplinary approach.

## Recommendations

Based on the analyses of the concepts and theories of cultural ecology and using statistical analysis the researcher has the following recommendations: (1) integrate cultural ecology in higher education curricula; (2) establish cultural ecology as a separate and active field of study today; (3) produce more interesting activities by which cultural ecology enters in the systems of the lives of men and (4) plan for cultural ecology exposure to urban communities.

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## **UNDERSTANDING THE ROOT OF SECTARIAN DIFFERENCES IN ISLAM AND INTRA-RELIGIOUS TERRORISM: THE SUNNIS, SHI'AS AND WAHHABIS.**

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### **Abstract**

The present troubles and insurgency in Islamic states in MENA has prompted this paper to investigate why this particular region has suffered more instability than any other regions today. In addition, the peculiarity of the insurgency and unrest in this region, especially where Muslims are confronting Muslims and Muslim states makes one to wonder what is actually wrong. This paper has therefore tried to explain that the division amongst and between Muslims today is a factor of beliefs and sectarian differences. This paper therefore takes a historical excursion into the past to explain the root cause of these sectarian differences and its resultant effects. Our findings and submission is that the emergence of many ulama (or Ayatollahs and Sheikhs) shortly after the death of the Prophet and over the centuries of Islamic religion, each with his claim to piety, teachings and illuminations, have led to the emergence of many sects, with each sect claiming to be more pious than the others and adhering to the precepts, teachings and examples as laid down in the Qur'an and set by Muhammad more than the other sects. The basic difference in beliefs and interpretations is what has fuelled and cause the present problems and unrest in most states in MENA. The conclusion is therefore that this unrest may yet be with us for many years to come especially when one sect not only sees the other as apostates, but that there is a divine will that such sect should be exterminated.

### **Introduction**

Traditionally and historically, the origins and beginnings of Islam (Submission to God's will) have always been traced to central Arabia, the region of Mecca and Medina, which is also known as the Hijaz. Thus, although Islam traditionally traced its beginning to this area, scholars are however agreed that it underwent essential development and achieved distinct form outside of Arabia. As Craig et al (2009:331) have noted, "Islam is not a religion of the desert. It began in a commercial urban centre and first flourished in an agricultural oasis and small merchant towns of the Hijaz region of the western Arabian Peninsula. Historically and traditionally, it has been accepted that around 610, in the city of Mecca in what is now known as Saudi Arabia, a merchant called Muhammad began to have religious experiences which culminated in the Qur'an (Recitation of God's Word) and hadith and by the time he died in 632, most of Arabia

had accepted and converted to his teachings. A century later, his followers had spread to and controlled Syria, Palestine, Egypt and what are now Iraq, Persia (present day Iran), northern India, North Africa, Spain and part of France. Within another century, Islam has spread from across Central Asia to the borders of China. By the 9<sup>th</sup>, 10<sup>th</sup> and 11<sup>th</sup> centuries, the Muslims have created a brilliant civilisation that had Baghdad as its centre in Iraq, a culture that profoundly influenced the development of both Eastern and Western civilisations.

The Arabian Peninsula is about a 1/3 of the size of Europe or the United States and was named Arabia after the Bedouin nomadic Arabs that grazed their livestock in the semiarid land. Thus, initially, the word 'Arab' meant a native of Arabia.' Today, the term is used to refer generally to an ethnic identity and 'Arabic' means a linguistic and cultural heritage. For the Arabs, the basic social unit was the tribe – a group of blood relations that was patriarchal. Arab tribes were not static entities and were joined by strong economic links. In the northern and central Arabia, tribal confederations dominated by warrior elite characterised the political system. In the southern parts, religious aristocracies held political power. The power of the northern warrior class rested on its prowess and fighting skills whereas the southern religious aristocracy depended on its cultic and economic power. Located within an agricultural that also functioned as the commercial nerve centre of the Peninsula, the southern religious aristocracy had a stronger economic base than the warrior-aristocracy.

The political genius of Muhammad was to bind together these different tribal groups and warlords into a strong unified state. Although the instrument used was religion; Islam, with which he was able to weld together all the Bedouin tribes, but in actual fact, Muhammad's social and political views are inseparable from his religious ideas. By the time of his death, the symbol of Islam, the crescent and the star, controlled most of the entire Peninsula. After the Prophet's death, Islam emerged not only as a religious faith but also as an expanding culture of worldwide political significance. Islamic scholars are quick to attribute the victories and spread of Islam to God's support for the faith. The religious fervour which the adherents possessed was not matched by the cultic beliefs of their enemies. Muhammad has been able to convince his growing adherents of the need of a jihad or holy war. Although the actual meaning of the term has been debated over time by Islamicists, the general consensus among the adherents is that it signifies on one hand, an individual's struggle against sin and toward perfection of Islam, others have argued that the term has both a social and communal implication; a militancy as part of a holy war against unbelievers – *infidels* – living in territories outside the control of the Muslim community.

To fully comprehend Islamic fundamental beliefs, it is necessary to review the essential tenets of Islam and understand how fundamentalism differs from other contemporary sects. Islam is the youngest of the world's three major monotheistic religions. It is also one of the largest, with



over one billion adherents and is the dominant religion in the developing nations of the Middle East, Africa and Asia. The fundamental belief of Islam is that there is only one God (Allah); He is the same God that is worshipped by Jews and Christians and He is the sole and sovereign ruler of the universe. Although Allah has made himself known to other prophets at other times, his most significant and final revelation was made in the seventh century to the Prophet Muhammad. Adherents to the religion are called Muslims, which means “those who submit to God” because believers must submit to the will of Allah. Islam teaches that believers only have one life to live and how they live it determines how they will spend their eternal existence. The sacred text of Islam is called the Qur’an, which literally means ‘reading’ or ‘recitation’ and indicates the basic beliefs that Muslims hold about the Qur’an, that it is a recitation of an eternal scripture written in heaven and revealed chapter by chapter to Muhammad. The Qur’an is believed to be God’s last word to humanity and it is eternal, absolute and irrevocable. Although Islam respects the scriptures of the Jews and Christians, the Qur’an is understood to be God’s complete message. It was literally revealed to Muhammad who acted as a speaker for Allah and it has been virtually unchanged since the days of the prophet. An important ritual act is the recitation of the Qur’an as it is a source of Allah’s blessing because it reproduces his divine speech.

The sources of legal authority are the Qur’an and traditions known as the Hadith. There are thousands of Hadith, which expand on the basic teachings of the Qur’an. They have been used by Muslim scholars to answer legal questions as well as to clarify the ritual duties of Islam. The study of the Qur’an and Hadith form the basics of religious education in Muslim societies. Islam is essentially a religion that is based on surrender to God. In order for Muslims to submit themselves to Allah and to reassert their faith in Islam, there are various practices and beliefs that each Muslim should follow. Significantly, Islam is not only a belief; it is a way of life and what Muslims believe dictates how they should live for Allah. The five pillars of Islam are the ritual obligations required of every good Muslims. They include (1) *shahadah* or the declaration of the faith by repetition of the creed, “There is no God but Allah and Muhammad is the messenger of Allah;” (2) *Salaht* is the name for obligatory prayers, Muslims are expected to pray five times daily; (3) *Zakat* represents an important principle of Islam — all things belong to God and Muslims are expected to share their possessions with the poor, widows or orphans — charity is obligatory according to Islamic law; (4) *Sawm* or fasting is required every year in the month of Ramadan. It is regarded as a principle of self-purification and is held in remembrance of the month when the prophet received his first revelation; and (5) *Hajj* is the pilgrimage to Mecca. Every Muslim who can afford the trip is ritually obligated to make the pilgrimage to Mecca at least once in a lifetime. There are also six pillars of faith consisting of (1) belief in Allah; (2) belief in His Angels, (3) belief in the divine revelations, (4) belief in His messengers (5) belief in the hereafter and (6) belief in the Divine will. The combination of the five pillars of Islam and the six pillars of faith outline the Islamic faith and the religious obligations for all practicing Muslim.

### **The Beginnings of the Islamic State**

Although centred in towns and cities, Islam arose within warring tribal societies that lacked central, stable and coherent governing institutions. At the death of Muhammad in 632, he left a large Muslim *umma* (or community), but this community was in danger of disintegrating into separate tribal groups as before with some of the tribesmen electing for themselves new chiefs and leaders. The major accomplishment of Muhammad's genius as a political strategist and religious teacher was the establishment of a unique and unified umma or Muslim community made up of all those whose primary identity and bond was a common religious faith and commitment and not a tribal tie. As conceived by Muhammad, the umma was to be a religious and political community for the achievement of God's will on earth. Hence, the Islamic notion of an absolute higher authority which transcended the boundaries of individual tribal units and this fostered the political consolidation of the different tribal confederations. All authority came from God through Muhammad. Within the umma, the law of God predominates and is discerned and applied through Muhammad. Thus, Islam became a centralising instrument that centralised both political and religious authority in the hands of Muhammad (Donner, 1981:57-60).

**The Caliphate:** Although Muhammad had fulfilled his prophetic mission, but his religious work not only remained but continued through the leadership and rule of the caliphs (or successors to Muhammad, representatives or deputies of God). Their rule formed what is today referred to as the Caliphate. The various caliphs were therefore saddled with the mission of carrying Islam to the rest of the world and to achieve this, political, religious and military powers have to be exercised by them. A crisis of succession followed the death of Muhammad. However, a group of Muhammad's ablest followers elected Abu Bakr (573-634), a strong supporter and father-in-law to Muhammad, as the first caliph or *Khalifa*. This election marked the beginning of the victory of the concept of a universal community of Muslims whose political and religious goals had been set out in both the Qur'an and the hadith. Although the principal role of the Qur'an and the hadith was to set out rules and regulations for the faithful and to guide the umma, there had to be an authority to enforce and ensure that the precepts, moral codes and teaching as contained in these two documents were adhered to, more so when Muslim teaching hold that the law was paramount. According to the belief system, God is the sole source of the law and therefore the ruler has a religious obligation to obey and enforce obedience to the law. Thus, within the Muslim belief system, government merely exists not to make laws but to enforce them. Of importance therefore, and this understanding is one of the major issues at the roots of the present modern day acts and justification for terrorism, is that deriving from the leadership style and examples of Muhammad and as justified by the Qur'an and the hadith, there is no distinction between the secular temporal and spiritual domains. Social laws are therefore an extension or a basic strand in the fabric of comprehensive religious laws. As Grunebaum (1954:142-150) has noted, religious belief and political power are inextricably intertwined; the first sanctifies the second, and the second sustains the first.

The first caliph, Abu Bakr, ruled for only two years (632-634). His rule was based on his personal prestige as the father-in-law of the Prophet among the umma. He performed all functions tied to the normal functioning of a secular-cum-religious state; he sent out military expeditions in continuation of the jihad, collected taxes, dealt with tribal issues on behalf of the entire community and led the community in prayer. Gradually under him and his next three successors, Umar (634-644), Uthman (644-656) and Ali (656-661), a caliphate emerged as an institution. The first four caliphs were all close to Muhammad and this closeness gave their reign legitimacy, a sense of nostalgic and an aura of pristine purity as the later caliphal institutions was based largely on sheer power legitimised by hereditary succession. The contestation for power led to the formation of two major dynastic systems or caliphates.

**The Umayyad Dynasty/Caliphate:** The nature of Islamic leadership became an issue with the first civil war (656-661) and the recognition of Mu'awiya, a kinsman of Uthman, as caliph. He founded the first dynastic caliphate, that of his Meccan clan of Umayya (661-750). His descendants held on to power until they were ousted by the Abbasid clan which based its legitimacy on direct descent from Abbas, an uncle of the Prophet. The Umayyads had all the prestige of office of the caliph, although many strongly opposed them as worldly when compared to the first four who were seen as true Muslim successors to Muhammad. Mu'awiya, the founder of the dynasty, shifted the capital of the Islamic state from Medina in Arabia to Damascus in Syria. The actual consolidation of the caliphal institution began with the victory of the Umayyad caliph Abd al-Malik in 692 in the second civil war.

However, when the Umayyad family assumed the leadership of Islam, there was no Muslim state in terms of a formal impersonal institution of government exercising jurisdiction over a wide geographical area (McKay et al, 2007:228). Rather what was in existence then was “only a federation of regional armies, each one of which was recruited and employed within its own region, maintained from its own revenues and administered by such local bureaucrats as it contained” (Crone, 1999:324-325). Thus, the Umayyad depended for governmental services on personal connections based on tribal relationships with people they knew. This type of relationship was further reinforced by marriage alliances with other tribal chiefs. As Crone (1999) has noted, “this preference for personal networks over formal institutions was to become a standard feature of Muslim society.”

Mu'awiya sought to enhance and consolidated the power of the caliphate by making the tribal leaders dependent on him for certain concessions and special benefits. His reign was also ensured by his control of a well disciplined and loyal army which enabled him to develop the caliphate in an authoritarian direction. Through intimidation he forced the tribal leaders to accept his son, Yazid, as his successor thereby creating the dynastic principle of succession. By distancing himself from a simple life within the umma and withdrawing into the palace that he

built at Damascus and by surrounding himself with symbols and ceremony, Mu'awiya laid the foundation for an elaborate caliphal court system. Beginning with Mu'awiya, the Umayyad caliphs developed a court ritual that emerged into a grand spectacle. However, in actual fact, many of his innovations were actually designed to protect him from assassination. Direct access to him was strictly controlled and restricted by an official, *the hajib*, or chamberlain and the caliph received visitors seated on a throne and surrounded by bodyguards.

The assassination of Ali and the assumption of the caliphate by Mu'awiya had another profound impact and consequence which is still felt today. It gave rise to a fundamental division in the umma and in Muslim theology (McKay et al, 2007:229). Ali's claim to legitimacy and acceptance by the umma as the authentic caliphate and successor to Muhammad had been based partly on family and blood ties – he was Muhammad's cousin and son-in-law, and partly because Muhammad had designated him *imam* (or leader in community prayer). His assassination by the Umayyad clan led to the emergence of dissenters among the umma and his supporters were called Shi'ites (or *Shi'at Ali*, the Arabic word *Shi'a* meaning 'supporters' or 'partisans' of Ali). In succeeding generations, the Shi'ites constituted opponents of the Umayyad dynasty and all other Islamic sects that do not accept or pay allegiance to their blood descent from Ali and their opposition to all other sects is based on the acknowledgment of the divine knowledge that Muhammad had given them as his heirs. Thus, the Shi'ites emerged as a distinct group or sect from other Muslims who still adhere to the practice and beliefs of the umma based on the precedents of the Prophet. A major sect whose belief is in counterpoise with that of the Shi'ites is the Sunni (*Sunna*). The Umayyad caliphs were Sunnis and throughout the Umayyad period, the Shi'ites constituted a major source of discontent. The Shi'ite rebellions expressed religious opposition in political terms.

**The Abbasid Dynasty/Caliphate:** The Abbasids won the caliphate by openly rebelling against the Umayyad dynasty in 750. Their rebellion capitalised on the general dissatisfaction with the Umayyad worldliness, non-Arab Muslim resentment of Arab preference (primarily in Iran) and dissension among Arab tribal factions in the garrison towns. For all their stress on Muslim piety, the Abbasids were no better than the Umayyads and continued the hereditary rule begun by the Umayyads. Nevertheless, they were able to retain their hegemony and monopoly of power until 1258. In reality, the caliphate was primarily a titular office representing an Islamic unity that only existed politically in name only. In terms of the religion, many sects laying claim to piety, originality, true teaching and fundamentalism emerged. Their claim to the caliphate can be traced back to their descent from Abu al-Abbas, the uncle of both Muhammad and Ali.

The height or the golden age of the caliphal power and splendour came in the first century of Abbasid rule, particularly during the caliphal rule of Harun al-Rashid (786-809) and his son, al-Ma'mun (813-833). The Abbasids rebellion effectively ended Arab dominance as well as

Umayyad dominance except in Spain. The Abbasid caliphal rule led to the shift of the Islamic imperial capital from Damascus to the new “city of peace” built in Baghdad on the Tigris (762-766) and this symbolised the West Asian shift in cultural and political orientation under the new regime. In line with this shift, more Persians became involved in the administration. The Abbasids disavowal of Shi’ites’ hope for a divinely inspired imamate was to gain the support of a broad spectrum of Muslims. Whereas the Umayyads had relied on Syrian Arab forces, the Abbasids used the Khorasanian Arabs and Iranians and regional mercenaries for their main troops. As their reach enlarged, they enlisted slave soldiers (mamluks) who were mostly Turks from the northern part of the empire. By sheer number and dexterity, these mamluks and their officers were able to seize and dominate positions of power in the central and provincial bureaucracies and the army. Eventually, the caliphs were dominated by their mamluk officers and this domination led to increasing alienation of the Muslim populace from their own rulers. This unrest especially in Iraq led to the removal of the seat of government from Baghdad to Samarra where it remained from 836 to 892.

The first three Abbasid caliphs crushed their opponents, turned against and eliminated their former Shi’ites supporters and created new ruling elite drawn from the newly converted Persian families that had traditionally served the ruler. The Abbasid revolution established a basis for rule and citizenship more cosmopolitan and Islamic than the narrow, elitist and Arab dominance that had characterised the Umayyad dynastic rule. The Abbasids were particular in identifying their rule with Islam by building mosques, patronising ulama and supporting Islamic scholarship. Moreover, under the Abbasids, the Muslim state which had been a federation of regional and tribal armies became semi-independent powers with provincial governors over them. Although initially, the Muslims constituted a minority of the conquered people, the Abbasid rule provided a religious-political milieu in which, over time, Islam gained the allegiance of the vast majority of the population from Spain to Afghanistan.

At the height of their splendour, the Abbasid caliphs changed their title from “successor of the caliphate” to “deputy of God” with a magnificent palace, hundreds of attendants and elaborate court ceremonies which deliberately isolated the caliph from the people. Subjects had to bow before the caliph, kissing the ground, a symbol of his absolute power (Esposito, 1988:57-58, Hourani, 1991:36). Under the third caliph, Harun al-Rashid, Baghdad became a flourishing commercial, artistic and scientific centre; the greatest city in Islam and one of the most cosmopolitan cities in the world. The caliph established a library, *the Bayt al-Hikma* (House of Wisdom),

### **The Breakup of the ‘Unity’ and the Beginning of Sectarian Differences and Dissent.**

Although the caliph monopolised all authority and power in both political and religious matters, they were never emperor and pope combined (Craig et al, 2009:339). Religious leadership



devolved on another group in the umma. These were the *ulama* (persons of right knowledge) that were the functional successors of the Prophet and recognised for piety and learning, are sought by the people as authorities and whose views and opinions were respected by the umma. Initially, these were the companions of the Prophet who at demise were replaced by younger followers who were most concerned with continuing the tradition of preserving, interpreting and applying the Qur'an and with maintaining the norms of the Prophet's original umma. The ulama were seen as authority in all religious and legal matters such that their personal legal opinions and collective discussions of issues from ideological to criminal punishments established a basis for religious and social order. By the 19<sup>th</sup> century they had largely defined the understanding of the divine law or shari'a that Muslims have held on to for legal, social, commercial, political, ritual and moral standards.

The centres of ulama activities were initially restricted to Medina, Mecca and especially Iraq (primarily Basra and Kufa and later Baghdad), then Khorasan, Syria, North Africa, Spain, and Egypt. As far back as the Umayyad times, the ulama had already assumed the position of religious critics and the guardians of the Muslim conscience, often criticising caliphal rule when it strayed too far from the Muslim precepts and norms. With time, the ulama assumed the character of a new elite, an upper class one whose opinion and support the caliph and their governors regularly sought for on moral or legal (these two being the same in Muslim view) issues. Thus, without aiming to build a formal class of clergymen, Muslim society developed a workable moral-legal system based on formally trained, although informally organised, scholarly elite and a tradition of concern with religious ideals in matters of public affairs and social order. Thus, an enduring pattern emerged in which the ulama shared leadership in Muslim societies with the political rulers' even if unequally. The unfortunate outcome of this system was the emergence of different ulama professing to know and follow the truth path and by so doing succeeded in causing a schism or break in the hitherto unified body of the umma by their teaching. These ulama were able to acquire followers who were later convinced that non-adherents and followers of their leader and his teachings were deviates and hence branded as infidels. Hence the emergence of sectarian differences that have polarise the Muslim faith, each claiming pious orthodoxy and fundamentalism while at the same time proclaiming that the others or non-adherents to their brand of Islam are infidels.

### **Islamic Fundamentalism**

The breakup of the 'unity' of Islam and its precepts due to emergence of different ulamas, their teachings and interpretations has led to the emergence of two major Islamic fundamentalist groups; the Kharijites and Wahhabis, which have further confounded the belief system, with each claiming to be more authentic and pious than the other. However, it is from these two that other Islamic religious sects have emerged. Fundamentalism has been defined as "a movement that is radical in terms of its goals, extremist in terms of its methods and literalist in terms of its adherence to scripture" (Ben-Dor and Pedahzur 2005:74). Appleby (2004:199) has also defined



fundamentalism as “an identifiable pattern of religious militancy in which self-styled believers attempt to arrest the erosion of religious identity by outsiders, fortify the borders of the religious community, and create viable alternatives to secular structures and processes.” Morgan (2001: xviii) has opined that “fundamentalism is more of a political movement with a political agenda and organised religion has always been about power and thus has always been political. But whether political or religious, fundamentalists’ agenda are revealingly interchangeable.” Kaplan (1992:15) (citing Martin E. Marty ‘Fundamentals of Fundamentalism’), has also argued that fundamentals refers to some distinctive, not necessarily unique, features of movements called fundamentalist. They need not be present in some way or measure in all movements, but they should be characteristic of most of them.

Thus, in broad strokes, ter Haar (2004:6) has attempted to summarise the basic content of what constitutes fundamentalism as including; (1) a return to traditional values and an accompanying sense of restoration which may stimulate and contribute to the building of alternative structures; (2) the search for a new identity, often at the expense of minority groups; (3) a preoccupation with moral concerns that tends to have an adverse effect on the position of women; and (4) a spirit of militancy with which these objectives are pursued. As Armstrong (2007:4) had equally noted;

Fundamentalism represents a rebellion against the secularist ethos of modernity. Wherever a Western-style society has established itself, a fundamentalist movement has developed alongside it. Fundamentalism is, therefore, a part of the modern scene. Although fundamentalists often claim that they are returning to a golden age of the past, these movements could have taken root in no time other than our own. Fundamentalists believe that they are under threat. Every fundamentalist movement – in Judaism, Christianity and Islam – is convinced that modern, secular society is trying to wipe out the true faith and religious values. Fundamentalists believe that they are fighting for survival and when people feel their backs are to the wall, they often lash out violently.

However, a further distillation from the literature has shown other broad and basic characteristics peculiar to groups and movements to which the term fundamentalism has been applied. (1) is that they are reactive in character, devising new methods, strategies and techniques to counteract the various inroads and development made by modernity and secularity which are perceived as eroding away tenets of religious teaching and observance. These methods, strategies and techniques may include violence if that is a feasible option. (2) is that they are highly selective and in this regard, fundamentalist groups cannot really be said to be practitioners of the religion they espoused to defend or uphold because in reality, they selectively adopt and adapt certain teachings, texts and practices of their religion that are deemed as useful and necessary in their fight against modernity and the modern state system (Almond et al, 2003:94-95). (3) fundamentalists defined the world in strict dichotomous and Manichaeian terms that is, between good and evil, true and false, saved and dammed, the house of peace (*dar al Islam*) and

the house of war (*dar al Harb*). Fundamentalists therefore considered themselves as engaging in an apocalypse war but on the side of the former against the latter. This explains the rhetoric common in the vocabulary of such demagogues denigrating and dehumanising their victims in terms such as ‘infidels,’ ‘dogs,’ ‘children of satan,’ and many others. The deliberate use of such terms not only justify the acts of violence since the victims are not seen or regarded as human beings, but also justifies and erodes away very form of constraints on violence and emboldens the perpetrators. (4) is that deriving from the above and as Almond et al (2003) have pointed, all religious fundamentalist regard their holy texts as sacred, inerrant and irrefutably beyond questioning both by man and science because of their divine origins thereby leading to absolutism as one of the component of religious fundamentalism. Any attempt to subject the texts or parts of their teaching to scientific enquiry or any modern form of hermeneutical criticism always invoke in the adherents a kind of condemnation as blasphemous.

(5) religious fundamentalist defines time and human history in strictly millennial and messianic terms, each using specific historical periods in the development of important landmarks in their religions as a basis and in direct counterpoint to popular secular dating system. Perhaps of more importance is the fact that virtually all of them “believe that human history will come to a miraculous end with the ultimate triumph of the good over evil, usually in the not-too-distant future and that this end will be brought about by the intervention of a divine force, the Messiah, Saviour, Mahdi or Hidden Imam” (Weinberg and Pedahzur 2005:6). (6) virtually all fundamentalists are isolationists, preferring to distance themselves from the corrupt secular world. This separation may be by physical exclusion, living in communes, caves, monasteries or other form of enclaves, or symbolic by the way they dress or wearing special clothing which denote them as belong to a particular sect distinct from others or by adopting peculiar behavioural pattern and religious practices that set them apart. In either way, fundamentalists separate themselves from the rest of the populace and even from others who may share similar beliefs like them but are seen as already tainted by secularity of the world. (7) concerns the outright rejection of democratic tenets and value systems as anti-religious purity leads fundamentalist organisation into adopting authoritarian value system base on charismatic rather than rational-legal sources of authority with the leadership considered as having some indisputable mystical or religious powers which are not easily attainable by the followers. Most holy texts are believed to have been acquired through such leaders having such unique experience. (8) in view of the above, fundamentalists can be called ‘monists’, a term Lipset and Raab (1970:3-25) coined in relation to political extremism which assumed a belief system that there is only one correct answer to all questions. Like all extremists, fundamentalists are intolerant of ambiguity and those who hold differing views do so because they are evil, and because of their failure to recognise and uphold the truth. (9) fundamentalists are very vocal and rigid in their views about the sexuality, procreation and the status of women in the community. This is in addition to the formal limitation on the involvement of women in public life, freedom of movement and their legal rights. The (10) issue has to do with the word ‘simplicism’ which Lipset and Raab (1970) have used in rela-

tion to another aspect of political extremism. This is based on the fact that political extremists and religious fundamentalists share the belief that not only is there a sharp distinction between truth and falsity, but that what is the truth itself is self apparent, accessible to all and hence not complicated. Therefore, the truth does not broach any discussion and hence extremists tend to shut down the marketplace of ideas a fundamental tenet usually associated with democracy.

We shall now turn to discuss the two fundamentalist groups in Islam.

**The Kharijites:** This group formed the most radical idealist whose origin can be traced to the first civil war (656-661). They were the Kharijites (or Seceders) from Ali's camp because, in their view, he compromised with the enemy. The Kharijites' position is that the Muslim polity must be strictly based on Qur'anic principles as Muhammad had received them from God and practiced them during his lifetime. They espoused total equality of the faithful and insisted that the head or leader of the umma should be the best and most pious among them. They were exclusionary and took a rigorous view of the membership of the umma, insisting that any who has been found guilty of committing a major sin should be expelled from the umma. Such a person can no longer be a Muslim. So extreme Kharijites called on all true Muslim to rebel against the morally compromised reigning caliph and the group therefore provided such dissenters a rallying point for opposition to the Umayyads and Abbasids. Although there are moderates within the ranks of the Kharijites which tolerated the less than ideal Muslims and caliphs but still retained a strong sense of the moral imperatives of the Muslim duty. Today, moderate Kharijites can be found in Oman and North Africa. Although it is reputed as the oldest religious sect of Islam, it comprised of less than 1% of all Muslims. Because of the extremist nature of their doctrines, they are extremely violent and were responsible for the assassination of the fourth caliph Ali. This sect is considered strictly fundamentalist and Qur'anic literalists. They strongly believe that the succession of the Prophet is open to anyone of true faith and not just the Sunni and Shiites.

**The Wahhabis:** This group influenced Al-Shabab (The Youth) which controls southern and central Somalia with incursions into neighbouring countries like Kenya. Main advocacy is for a strict Saudi-inspired Wahhabi version of Islam. The Wahhabi movement is considered the most reactionary of all Muslim sects. Wahhabis refuse to accept any revision of Qur'anic law. Their goal is to return to the ideal fundamental form of Islam as it was in the era of the first four caliphs following the Prophet. Many Islamic scholars and organizations through various publications have denounced Wahhabism as a particularly rigid minority Islamic sect that is intolerant of other forms of Islam. The Wahhabi view of Islam asserts that all who do not adhere to its beliefs are infidels, including Sunni and Shi'ite Muslims. Wahhabis practice an extreme form of puritanism inclusive of simple short prayers, undecorated mosques, and they do not permit the name of the Prophet to be inscribed on mosques nor do they celebrate his birthday. In fact, any form of ostentatious spirituality is considered a form of idolatry. The Wahhabis' strict interpretation of the Shar'ia sanctions extreme laws and corresponding forms of punishment.

There are thousands of current practitioners of Wahhabism. Most citizens of Saudi Arabia, including hundreds of members of the royal family, practice Wahhabism. According to Stephen Schwartz in an October 6, 2001 *Spectator* article, all recent acts of terrorism were enacted by Wahhabis: Bin Laden was a Wahhabi. So are the suicide bombers in Israel, [bin Laden's] Egyptian allies, who exulted as they stabbed foreign tourists to death at Luxor not many years ago, bathing in blood up to their elbows and emitting blasphemous cries of ecstasy, the Algerian Islamist terrorists whose contribution to the purification of the world consisted of murdering people for such sins as running a movie projector or reading secular newspapers, and the Taliban-style guerrillas in Kashmir who murder Hindus. In the same vein, members of Nigeria's Boko Haram are also Wahhabis.

According to some sources, the Taliban do not practice Wahhabism, but belong to what is known as the Deobandi movement, named after a small town in the Indian Himalayas where it was founded in 1860 during British rule. Although similar to Wahhabism, it is an unusually strict form of Sunni Islam. The followers of both the Deobandi and Wahhabi movements make sharp distinctions between revealed sacred knowledge and human knowledge and thus exclude any learning that does not appear sacred. Deobandi philosophy helped spawn many other fundamentalist groups in the Muslim world including the Taliban in Afghanistan, although the Afghans have been part of the Deobandi movement since its beginning. Over time, Deobandi philosophy has changed toward more orthodoxy and militant fundamentalism.

The Wahhabi movement was founded by Muhammad ibn Abd al-Wahab in the 18th century. It is essentially a purification of the Sunni sect and regards the veneration of images, any ostentatious worship and luxurious living as evil. Basically, Wahhabism teaches that all additions to Islam after the third century of the Muslim era are false and should be removed. Members describe themselves as Muwahhidun (Unitarians) who firmly uphold the doctrine that God is one, the only one, Wahid. In 1744, the founder of the Wahhabi sect, Abd al-Wahhad, was exiled from his native city, Uyayna, because of his controversial preaching from his book, *Kitab al-Tawid (Book of Unity)*. During his exile he travelled to the northeast Nejd and converted the Saudi tribe. Once the Saudi sheik was convinced that it was his religious mission to wage holy war, jihad, against all other forms of Islam, he began the conquest of his neighbors in 1763. By 1811, the Wahhabis ruled all of Arabia except Yemen from their capital at Riyadh. The Ottoman sultan attempted to crush them by sending out expeditions but to no avail. However, the Sultan met with success when he called on Muhammad Ali of Egypt and by 1818, the Wahhabis were driven into the desert. In the Nejd, they regained their power and from 1821 to 1833, gained control over the Persian Gulf coast of Arabia. Their subsequent domain steadily weakened; nonetheless a third triumph came for the Wahhabi movement when Ibn Saud advanced from his capture of Riyadh in 1902 to the reconstitution in 1932 of nearly all his ancestral domain as Saudi Arabia, where Wahhabism remains dominant to this day. Members of the Wahab family

continue to hold prominent positions in Saudi Arabia because their ancestors helped the Saudi ruling family unify its kingdom in 1932. Wahhabism also served as an inspiration to other Islamic reform movements from India and Sumatra to North Africa and the Sudan.

Wahhabi theology and jurisprudence are based, respectively, on the teachings of Ibn Taymiyah and on the legal school of Ahmad ibn Hanbal. They stress literal belief in the Qur'an and Hadith and the establishment of a Muslim state based only on Islamic law. The contemporary Wahhabi movement is flourishing in every Muslim country. In Lebanon alone, the movement is estimated by officials to have about 4000 members. The sect has far more members in Egypt, Saudi Arabia and Pakistan. It goes by many names including *Ikhwan*, *Wahhabi*, *Salifiyya*, *Mowahabin* and the well known Taliban. Anti-Wahhabi Muslims refer to Wahhabism as *fitna an Najdiyyah* or the *trouble out of Nejd*. Wahhabis have in common a militant view of Sunni Islam and financial support at the highest levels of the Saudi Arabian government. Wahhabi religious schools, referred to as madrassas, belong to a worldwide network of Muslim extremist organizations. Beginning at the ages of 7 to 15, young men are indoctrinated into the fundamentals of strict Islam, religious obligations and radical militancy at Wahhabi schools. Between the ages of 15 and 25, the young men are prepared for jihad or holy war and are trained to fight for the conquest of Wahhabi Islam. Not all young men who attend Wahhabi schools turn to violence. Some become religious teachers and the vast majority of Wahhabi communities do not openly maintain armed militias although they engage in paramilitary training. The exception is the Taliban, whose followers do not conceal weapons or other arms (Lackey, 2001).

Obviously, the term *Wahhabi* has pejorative connotations and Saudis do not use it, preferring to call themselves Unitarians — believers in one indivisible deity (Hardy, 2001). The violence inflicted because of Deobandi and Wahhabi religious ideology is substantial, to say the least. Among the thousands of quotes given and articles written about Islamic fundamentalism after September 11th, one particular statement sums up the religious connection: Not all Muslims are suicide bombers, but all Muslim suicide bombers are Wahhabis (Schwartz, 2001). No one can dispute the violence that this belief system has inspired and continues to inspire. Unfortunately, we have all become familiar with the names of terrorist organizations such as al-Qaeda, Islamic Movement of Uzbekistan, Egyptian Islamic Jihad, Armed Islamic Group, Harakat ul-Mujahidin (Pakistan) and Abu Sayyaf (Philippines), all of which were linked to bin Laden. The violence perpetrated by these groups includes many incidents of suicide bombings, kidnappings, hijackings and murders.

### **Religious Beliefs and Sects in Islam**

Today, as Perlmutter (2004) has noted, sectarian differences have led to the emergence of over 70 different Islamic religions, sects and traditional schools of Islamic faith. These include such diverse and little known sects such as the Islamilis, Zaidis, Fatimids, Nizari, Deobandi, Alawis, Druze, Baha'i World Faith, Ahmadis, and Black Muslim Movement (Nation of Islam). How-



ever, the well known and major ones are the Sunnis, the Shi'as and Sufis. We shall look at these sects and their core teachings as this formed the root of not only sectarian differences but intra-religious disagreement and terrorism. However, in spite of the sectarian differences and claims and counter-claims of apostasy, a unifying factor of all the Muslim faithful irrespective of doctrinaire teachings and dissent is the adherent to the Five Pillars of Islam.

**The Shi'as:** The emergence of this group was defined largely in terms of the leadership of the umma. With Muhammad not having any surviving son, his son-in-law and cousin Ali laid claim to the caliphate in 656. His justification and acceptance hinged on his blood tie with the Prophet even at that, his claim was contested by Mu'awiya in the first Islamic war. When Mu'awiya took over after a Kharijite assassinated Ali in 661, many of Ali's followers felt that the rulers and umma have gone astray. The roots of the "partisans of Ali" (*Shi'at Ali, or simply Shi'a or Shi'ites*) can be traced back to the murder of Ali and especially to that of his son, Husayn at Karbala in Iraq at the hands of Umayyad troops in 680. While all Muslim held Ali in great regard because of his closeness and blood tie to Muhammad, the Shi'ites believed him to be the Prophet's appointed successor. Ali's blood tie with Muhammad was to the Shi'ites a convincing proof as the Prophet's designated successor. Numerous rebellions in the Umayyad times rallied around persons claiming to be such a true successor whether as an Alid or merely a member of Muhammad's clan of Hashim. Even the Abbasids based their right to the caliphate on their Hashmite ancestry. The major Shi'ite contenders who emerged in the 9<sup>th</sup> and 10<sup>th</sup> centuries based their claims on both the Prophet's designation and their descent from Ali and Fatima, Muhammad's daughter. Thus, the Shi'ites saw the true Muslim as the faithful follower of the imams who carried Muhammad's blood and spiritual authority.

For the Shi'ites, Ali's assassination and the massacre of his son, Husayn and his family were sufficient proofs of the evil nature of this world's rulers and as rallying point for true Muslims. The Shi'ites belief is that all true Muslims, like their imams, must suffer here on earth but they would be vindicated by a *mahdi* (or guided one) who would usher in a messianic age and a judgment day that would see the faithful rewarded. Today, the Shi'a Muslims prevail as the majority faith and have headed Muslim state in Iran since 1500. The Shi'as is in majority in Iraq and Iran. The sectarian war and differences in Iraq now shows a great possibility that Iraq may be partitioned among the three sects of Sunni, Shi'a and Kurdish population.

Shi'ite traditions crystallised between the 10<sup>th</sup> and 12<sup>th</sup> centuries. Many states came under Shi'a rule but only the Fatimids in Egypt were able to establish an important empire. The Shi'ite Fatimids were those who claim descent from Muhammad's daughter, Fatima. Nevertheless, a substantial Shi'ite population arose in Iran, Iraq and the lower Indus (Sind). From this spread of the Shi'ite adherents, two dominant groups emerged as the most influential. The first were the "Seveners" or the "Isma'ilis" who recognised and accepted the first son of the sixth Alid



imam as the seventh imam. The Isma'ili groups are perhaps the most revolutionary Muslim sect today. Their history dated back to when as a radical Muslim movement founded by a Fatimid defector in the Elburz Mountains of Iran around 1100, became notable assassins. The word 'assassins' was actually an Anglicised corruption of the Arab word *Hashishiyyin* (smokers or users of hashish) because it was believed that they were under the influence of drugs (Lewis, 2003). The assassin sect was destroyed by the Mongols in the 13<sup>th</sup> century. However, by the 11<sup>th</sup> century, most Shi'ites began to accept a line of twelve imams, the last of whom is said to have disappeared in Samara (Iraq) in 873 into a cosmic concealment from which he will eventually emerge as the Mahdi or "Guided One" to usher in the messianic age and final judgment. This new group of "Twelvers" Shi'ites are in the majority and they flourished in Iran, the home of most Shi'ite thought. The Safavids of Iran were later to make the Twelver doctrine the state religion in Iran in the 16<sup>th</sup> century.

In summary, the original conflict between the Sunnis and the Shiites was about who should succeed the Prophet. Shiites account for less than 15% of all Muslims. The fundamental belief of this sect is that the first successor to Muhammad should have been Ali, the husband of Muhammad's only surviving daughter.

**The Sunnis:** Most Muslims accepted a compromise that less sharply defined position, membership and leadership of the umma. In some ways this compromise proved acceptable to lukewarm Muslims or pragmatists and also to those of intense piety. To emphasise their position on issues and their deviation from positions already assumed by the other sects, they adopted the name Sunnis, which means 'followers of the tradition' – *sunna* – as set down by the Prophet in the Qur'an. The basic guiding ideas of the Sunni sect are (1) the umma is a theocratic entity, a state under divine authority and law – the Shari'a. The sources of guidance are first, the Qur'an, second, Muhammad's precedent; and third and fourth are the interpretive efforts and consensus of the Muslims. (2) the caliph is the absolute temporal ruler who is charged with administering and defending Islam, protecting the Muslim norms and practice but possesses no greater authority than other Muslims in matters of faith. (3) a person who professes to be Muslim and confesses that "There is no god but Allah and Muhammad is his Messenger" should be considered a Muslim and not even a mortal sin excludes such a person from the umma.

The Islamic world was to be later shaped by the consolidation and institutionalisation of Sunni legal and religious norms. The Sunnis ulama gradually became popular and accepted and therefore it was easy for them to entrench their religious, social and political ideas among the elite class of merchant, landowning and bureaucracy. In contrast to Christianity, the tendency of Muslims to define Islam in terms of what Muslims do – by practice – rather than by beliefs made basic Sunni orthopraxy or "correctness of religious practice" discourages religious or social innovations. By the year 1000, Sunni orthopraxy has become the dominant tradition, even though Shi'ite aspirations often made themselves felt either politically or theologically.

The emergence and general acceptance of a conservative theological orientation tied to one of the four main Sunni legal schools, the Hanbalites (after Hanbal the Ulama) further narrowed the scope for creative doctrine and tolerance of other teachings of other ulama. The Hanbalites relied on a literalist reading and interpretation of the Qur'an and the hadith made them more socially conservative even as they became integrated into the social aristocracies.

Today, Sunnis theology has influenced extremist militant group that seeks to create an Islamic State of Iraq and the Levant (ISIS). They are joined in the offensives by Sunni militant groups including Saddam-era officers and soldiers. It grew out of Al-Qaeda linked organisations in Iraq. Led by Abu Bakr al-Baghdadi, an obscure figure regarded as a battlefield commander and tactician. ISIS success in the Middle East can only make the turmoil there worse. It is an ultra-extremist Sunni group and its success will only deepen the sectarian war between Sunni and Shi'a that is already the most dangerous fault line in the Middle East and North Africa (MENA). Iran which is majority Shi'a Muslim country shares border with Iraq. The Sunni insurgents regard the Shi'a Muslims as infidels. ISIS is estimated as having between 3,000 to 5,000 fighters. Today, Sunnis are the most dominant sect of Islam comprising about 85% of Muslims worldwide. There are four different schools of Sunni faith varying in their strictness of interpreting how the Prophet lived. All Sunnis agree in their belief in the legitimacy of the first three successors to Muhammad. The four Sunni groups are the Hanbalites, Malikhites, Hanafites and Shafites.

**The Sufis:** The Sufi sect presents the modern world today with the spiritual and mystical dimensions of Islam. The term Sufi came from the Arab word *suf* (wool) based on the ascetic practice of wearing on a coarse woollen garment. Sufi simplicity and humility had roots with the Prophet and the Companions but developed into a distinctive tendency when after about 700 C.E., male and female pietists emphasised a godly life over and above mere observance of Muslim rituals and duties. Some Sufis laid stress on ascetic avoidance of worldliness and temptations while others emphasise a loving devotion to God. Sufi piety bridged the gap between the human and the Divine that the exalted Muslim concept of God of creation implies. Socially, Sufi piety took such dimension as the popular practices of veneration of saint, shrine pilgrimage, ecstatic worship often using music and bodily movement to induce the feeling of ecstasy which they believe bring them closer to God, and seasonal festivals. Sufi writers have collected stories of saints, wrote treatises on the Sufi path and composed some of the world's finest mystical poetry.

Sufi ulama were revered as spiritual masters and saints and their disciples have formed brotherhoods with their own distinctive mystical teaching, Qur'anic interpretation and devotional practice. All though these fraternal orders differ from monasticism, they have nevertheless, became the chief instruments for the spread of the Muslim faith, as well as the locus of popular

piety in almost modern Islamic state and societies today. Sufism has always attracted members from the populace at large as well as those dedicated to poverty or other radical disciplines. Indeed the widespread of Sufi ideological and religious leaning has made it in this age and time, one of the typical social institutions of everyday Muslim life such that whether a Sunni or Shi'ite, many Muslims identified in some degree with a Sufi order. Sufism is a mystical sect of Islam. Sufis are considered a heretical sect because of their mystical beliefs. Some argue that Sufis are actually the most orthodox believers of Islam. Where Sufis diverge from other sects is their belief in saints and martyrs, which mainstream Islam considers a form of idolatry.

To summarise, the Sunni and Shi'a share fundamental beliefs but differ in doctrine, ritual, law, theology and religious organisation. The origin of the split lies in a dispute over who should have succeeded the Prophet Muhammad as leader of the umma. While the Sunnis are the majority sect in the Muslim world, the Shi'a, most of them ethnic Arabs, form between 60% and 65% of Iraq's population while the Sunnis make up 32-37% split between Arabs and Kurds. Sunni Arabs dominated Iraq under Saddam Hussein and their persecution of the Shi'a stoked sectarian tensions. The US led invasion in 2003 gave the Shi'a an opportunity to seek redress and revenge. Iraq's president, Nouri Maliki, has been accused of denying Sunni Arabs meaningful representation and pursuing security policies that target them. The situation has gone beyond reasoning and exclusivity of Iraq. Presently, news report has it that an estimated 400-500 British-born jihadists have been recruited by ISIS which now has a significant presence in Syria.

### **The Result of Sectarian Differences**

Islam has always been a religion birthed in the crucible of violence either for its perpetuation, spread, evangelising and converting 'infidels'. The violence of Islam has been of two types; internal and external. The internal dimension is when adherents of Islam turn against each other while the external dimension is when violence is turned against those perceived as enemies of Islam and *infidels* (unbelievers and apostates). Each of this type of violence has explicit justification in Qur'an and the hadith. According to Islamic law, it is lawful to wage war against four types of enemies; apostates, rebels, infidels and bandits (Lewis, 2003a). The first two qualify as internal wars while the last two are external. For instance, the rule of war against apostates is very strict than against unbelievers basically because they are seen as renegades, one who has known the true faith and abandoned it. For this offense there is no human forgiveness and so the renegade must be put to death. The confusion comes in defining who is a renegade/apostate. The assassination of many Muslim government and spiritual leaders have been justified by counter claims that they have turned apostate and rebelled against the true teaching of Muhammad. On the other hand, the somewhat special or peculiar 'hatred' that Muslim fundamentalists have for Jews and later Christians is based on the interpretation of the hadiths and Qur'an and perceived them as people who had gone astray and had followed false doctrines. The belief is

that both the Jewish and Christian religions have been superseded and replaced by Islam, the final and perfect revelation of God. The failure of these two religious groups to accept Islam makes their adherents not only rebels and apostates, they are worse than infidels by their refusal to accept Islam as the only true religion (Lewis, 2003a).

Another major fall-out of these sectarian differences is the different interpretations and meanings given to injunctions in the Qur'an and the hadith. Perhaps more than any other, these differences in interpretation and meanings-given have polarised the *umma* (Muslim community), turning each sect against the other, with one labelling the other as apostates and infidels. Among many others are the interpretation and meaning given to basic Islamic concepts such as jihad, and the use of terrorism and suicide bombers as means of insurgency. The significance of fundamental Islamic beliefs to justifying terrorism can be found in the basic tenets of Islam, although this by no means implies that all Muslims interpret their beliefs this way. In effect, what Muslims believe determines how they live their lives. If this belief entails viewing other people and infidel nations as evil, then extremists can theologically justify their terrorist attacks against the Great Satan, who appears in the form of the United States and western education. Terrorism becomes not only a political choice, but a religious imperative that is crucial in determining their eternal destiny. Fortunately, most Muslims do not view the U.S. as the personification of evil and abide by international law; however, Islamic fundamentalists do not distinguish between religious and civil law. This is vital to understanding the seriousness of the danger posed. Islamic extremists interpret the Qur'an in such a way as to designate anyone who is not a devout Muslim as an infidel who must be annihilated. Infidels include other Muslims who do not practice their extreme version of Islam.

Sectarian differences have also led to the emergence of many militant groups all purporting to represent the interest of Muslims in general but located within a certain geographical location and propel by certain belief system which they claimed is derived from the Prophet's teaching, the Qur'an and hadith. Again within the doctrinaire beliefs on which these militant groups based their actions especially the justification for use of terrorism and suicide bombers are differences based on disparate understanding, interpretation and meanings given to the injunctions in the hadiths. Their interpretation of Islam is how they justify acts of terrorism. The most popular with a worldwide jihad mandate is Al Qaeda (the Base). In 1998, Osama bin Laden announced the formation of the International Front for Fighting Jews and Crusades, an alliance bent on killing Americans and destroying U.S. interests around the world. Member groups include Al Qaeda, Egyptian Jihad, Pakistani Society of Ulemas, Ansar Movement, Bangladesh Jihad and Islamic Army for the Liberation of the Holy Sites. At the zenith of its popularity, al Qaeda is reported to have operational bases in: Afghanistan, Algeria, Egypt, Morocco, Turkey, Jordan, Tajikistan, Uzbekistan, Syria, Xinjiang in China, Pakistan, Bangladesh, Malaysia, Myanmar, Indonesia, Mindanao in the Philippines, Lebanon, Iraq, Saudi Arabia, Kuwait, Bahrain, Yemen,

Libya, Tunisia, Bosnia, Kosovo, Chechnya, Dagestan, Kashmir, Sudan, Somalia, Kenya, Tanzania, Azerbaijan, Eritrea, Uganda, Ethiopia and the West Bank and Gaza in Palestinian areas of Israel.

Islamic fundamentalists justify sacred violence through various interpretations of the religious doctrine of jihad. The term *jihad*, which does not literally translate to holy war, is very controversial and Islamic scholars have continually been divided on how it should be interpreted. Similar to other concepts in the Quran, the interpretation of jihad is dependent upon the religious and political views of individual Islamic sects. Even contemporary definitions are contradictory. According to the *Islamic Glossary* of the Muslim Students Association at the University of Southern California, *jihad*, sometimes spelled *jihad*, is an Arabic word the root of which is *jahada*, which means *to strive for a better way of life*. The nouns are *juhd*, *mujahid*, *jihad* and *ijtihad*. Other meanings are *endeavor*, *strain*, *exertion*, *effort*, *diligence* and *fighting to defend one's life, land and religion*. Jihad should not be confused with holy war; Islam does not allow its followers to be involved in a holy war. References to holy war are to the holy war of the crusaders. The *Encyclopaedia of Politics and Religion* states, that "the Islamic idea of Jihad, which is derived from the Arabic root meaning to strive or to make an effort, connotes a wide range of meanings, from an inward spiritual struggle to attain perfect faith to an outward material struggle to promote justice and the Islamic social system" (Wuthnow, 1998:425). Hughes' *Dictionary of Islam* presents a different definition; it affirms that "jihad is an effort, or a striving. A religious war with those who are unbelievers in the mission of Muhammad. It is an incumbent religious duty, established in the Qur'an and in the traditions as a divine institution, and enjoined specially for the purpose of advancing Islam and of repelling evil from Muslims"

For some, jihad means to struggle to maintain one's faith. For others, it represents the duty of Muslims to preserve Islam by ridding the world of Western influences. The concept of jihad for militant Islamic fundamentalists, including Osama bin Laden, is clearly holy war to rid the Muslim Holy Land of infidels. It is also a justification for waging war against all enemies in their struggle to achieve an Islamic state. In fact, some consider jihad the sixth pillar of Islam - the missing or forgotten obligation. Viewed from this perspective, Islam is a revolutionary ideology which seeks to alter the social order of the entire world and rebuild it in conformity with its own tenets and ideals.... Jihad refers to that revolutionary struggle and utmost exertion which the Islamic Nation/Party brings into play in order to achieve this objective (Zeidan, 2001). The suicide attacks on the World Trade Centre and the Pentagon are a form of jihad as are all the other acts of terrorism attributed to Islamic fundamentalists. Since suicide is religiously prohibited by Islam, suicide attacks must be viewed as a form of sacred violence. Suicide in the cause of holy war is not only legitimate, but represents one of the highest forms of self-sacrifice. Killing oneself for the glory of Islam is considered by extremist fundamentalists to be a supreme form of jihad and a type of terrorism that is allowed by the Shari'a. It is not suicide (*intihar*), but mar-



tyrdom (*istishhad*), one that will procure a special place in Paradise. Active martyrdom is another area of reinterpretation and implementation. Martyrdom is being actively encouraged and glorified by fundamentalists, and its rewards in the afterlife stressed to induce many to court it. Extreme fundamentalists have revived the khariji and assassin traditions of suicide-killings as a legitimate weapon in their contemporary jihad although most radicals agree that suicide is a major sin forbidden in Islam. However, they use Qura'nic verses, Hadith and cases from the early history of Islam to prove either that the voluntary sacrifice of oneself in the cause of Islam (including blowing oneself up as a living bomb) with the objective of defending Muslims and hurting their enemies, is not considered suicide but is a legitimate fight to the death (Zeidan, 2001). Modern terrorists fundamentally understand the nature of sacred violence and how to manipulate the political situation so that ordinarily peaceful people will engage in violence as a necessary religious obligation. Trapped in a cycle of righteous revenge, there is no remorse because religious terrorism is always justified by true believers.

## Conclusion

We conclude by reiterating the fact that what basically distinguished Sunni from Shi'ite Muslims was the Shi'ite doctrine of the *imamate*. According to the Sunnis, the caliph, the elected successor of the Prophet, possessed political and military leadership but not Muhammad's religious authority. In contrast, the Shi'ites claims that the imam (leader) is directly descended from the Prophet and is the sinless, divinely inspired political leader and religious guide of the umma. Put differently, both the Sunnis and the Shi'ites are in agreement that authority within Islam lies first in the Qur'an and then in the Sunna. The divergence comes when the question arises about who interprets these sources. Shi'ite Muslims claim that the imam does because he is invested with divine grace and insight. Sunnis, on the other hand, insists that interpretation comes from the consensus of the ulama.

The emergence of many ulama (or Ayatollahs and Sheikhs) over the centuries of Islamic religion, each with his claim to piety, teachings and illuminations have led to the emergence of many sects, with each sect claiming to be more pious than the others and adhering to the precepts, teachings and examples as laid down in the Qur'an and set by Muhammad. As a matter of fact of all the sects discussed, none claimed to deviate from the teaching and precepts as laid down by Muhammad in the Qur'an. Each sect claims to be more pious and religious than the others while calling the others infidels and apostasies who have deviated from the traditional teaching and have become corrupt. The schism in the umma has pit one sect against the other, each seeing the destruction of the other as its divine goal thereby making a compromise a non-issue or possibility. In an earlier paper we have alluded to why this is so by comparing politically motivated terrorism and insurgent with religious one.

The root of this schism or fault line in Islam is greatly due to the many interpretations which the



Qur'an and the hadith have been subject to by different ulamas and imams. This paper has tried to show that this is not a recent incident; it predates even the coming of western civilisation. What we are experiencing now is the manifestation of these various teachings and interpretations which have led to even Muslims being pit against each other as a result of doctrinaire teachings. What was once a religious matter has now assumed political secular connotations. Most nations in MENA have experienced more religious motivated but with political connotations violence. Iraq has spiralled into violence and instability following ISIS (now Islamic State; IS) serious threat to the Iraqi nation since the US and coalition forces had removed Saddam Hussein in 2003. ISIS is made up of individuals who have successfully merged religion, politics and military expertise to form a potent force that has swept the country. ISIS has attracted and inspired extremists of all stripes to join its operations in Syria and Iraq through social media and mass propaganda campaign that hinges on its jihadist goals.

As in Syria, it is often the case that many individuals in extremist movements use them as a vehicle for their own interests, adopting the garb and mannerism of a committed Islamic radical as a pathway to greater political goals. Whilst the instability in Iraq has connections to the Syrian conflict next door to it, many individuals who fought for ISIS in Syria are now present in Iraq. The Iraqi insurgent is more acutely focused on solving the problems of Iraq's fractured polity than it is the goals of more radical Islamic groups. To dismiss the violence in Iraq as the product of the maniacal whims of a few radical fanatics is to ignore the very real social inequality that exists in Iraq. The groupings of fighters that has swept through Iraq to within 60km. of the capital (as at the time of writing) is not entirely a nihilistic jihadist group bent on establishing an Islamic caliphate but more of a general uprising by large groups of disaffected people. This is a product of years of social exclusion, poor government and corruption by Iraqi government. The ISIS army are well trained and organised with key former Baathist military officers coordinating the military activities and operations. This portends a strange alliance – the goals of secular pro-Saddam Baathist and radical Islamists would appear antithetical – and this may eventually be the movements undoing.

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**DETERMINANTS OF CONSUMER PATRONAGE FOR E-TAIL OUTLET CHOICE  
:AN EMPIRICAL EVIDENCE FROM AN INDIAN CITY OF VISAKHAPATNAM**

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**Abstract**

The basic purpose of the study is to identify the determinants of patronage of online customers while selecting an electronic retail website. The study attempts to identify the determinants with respect to the buying process of online customers. The determinants of before, during and after purchase stages of online shopping are listed out from the previous literature of e-tailing. The expectations towards all these determinants are recorded on a five point scale with a structured questionnaire from a sample of 600 online shoppers in an Indian city of Visakhapatnam. The determinants are evaluated by adopting multivariate analysis tools like factor analysis to determine most influencing determinants of electronic shopping store selection, thereby proposes the etailers to concentrate on the most significant determinants identified after performing factor analysis for data reduction.

**[Keywords:** consumer buying process - electronic retailing - factor analysis – online shopping — online shopping]

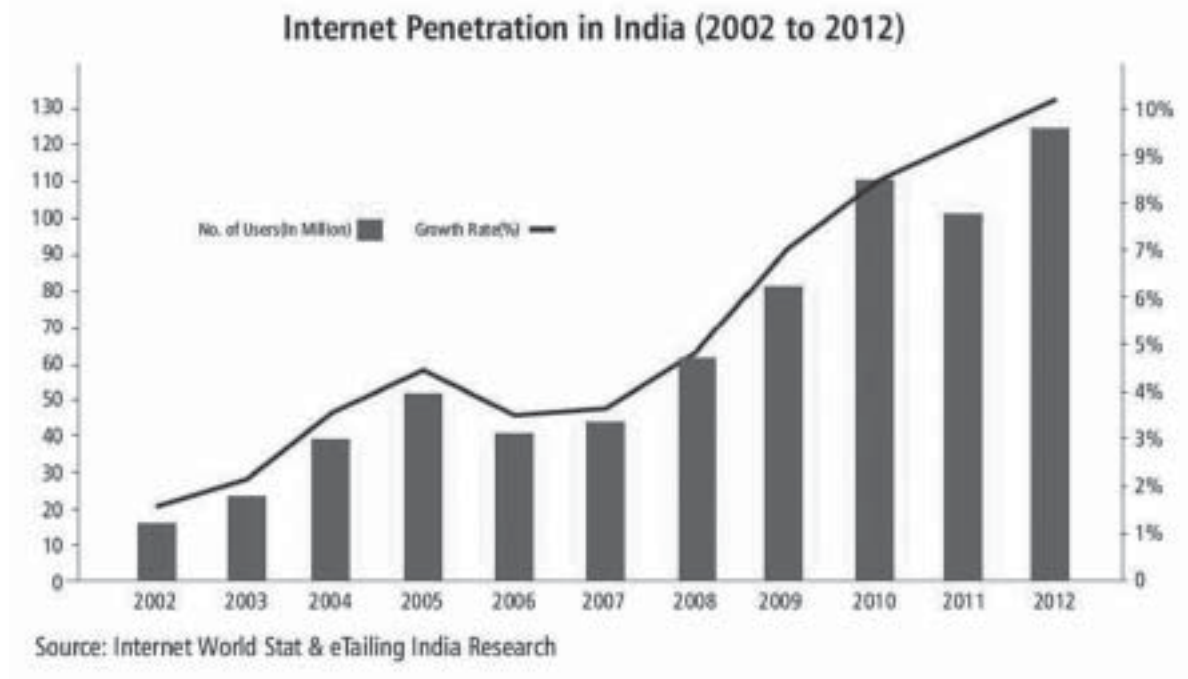
## **DETERMINANTS OF CONSUMER PATRONAGE FOR E-TAIL OUTLET CHOICE :AN EMPIRICAL EVIDENCE FROM AN INDIAN CITY OF VISAKHAPATNAM**

### **INTRODUCTION**

Filpkart.com, Amazon.in, Snapdeal.com, Myntra.com, Yepme.com, Homeshop18 .....the new emerging companies in India attracting Indian customers where they can get goods online at lower price comparatively than the physical retail outlets. The selling of products through online is called e-tailing and these companies are called e-tailers. India's etail market is at budding stage and is expected to foresee a rapid development in future. The business biggies of India like Tatas, Birlas, Ambanis have started investing heavily in India's etail market.

A new set of start-ups have surfaced and the etail framework has been developed in the country, thus giving way to a plenty of opportunities for the companies to grow. In India, at present, most retailing is done through physical outlets and the importance of location has been given significance in traditional retailing. The physical location of a store is seen as a source of competitive advantage as it attracts the customer. With the advent of information and communication technology there is a rising of a new segment called online retail. In 2010 e-commerce was usually limited to booking, payments and reservation but currently it is used for pre-purchase to post-purchase, placing an order to after sales services.

There are numerous reasons why Indian e-tail market is more attractive. India has about 150 million internet users currently and it is the third largest in the world; the number will grow up to 370 million by 2015-16. Every fifth internet user in India visits e-stores while they are online. India has largest number of Facebook users in Asia and the second highest number of LinkedIn users (13.3 million) after the United States. According to a Technopak study, E-tailing, which was just US\$0.6 billion in 2012 in India, will grow by over a hundred-fold to US\$76 billion by 2021. It is estimated that currently e-tailing share in the retail market is 0.1% in India. This is just an indication the growth of online retail space in the coming years. If some of the analysts are to be believed then by 2021 the online retail market will rise to 5.3%. Figure 1 shows growth happened so far in internet penetration.



Currently Indian e-tail market is attracting other international e-tail giants to set up their physical and virtual networks to sell goods online. In this scenario, an attempt has been made to provide assistance to Indian e-tailers as well as International e-tailers to know what exactly the online customers want. This study attempts to find out the determinants of customer patronage towards selection of an e-tail outlet from available outlets.

### RESEARCH GAP

A good number of studies are available in e-commerce and electronic retailing domain but those studies are only concentrated either on customer expectations or satisfactions/perceptions of Indian customers. But the studies that discuss the determinants which drive the customers towards a particular e-tail outlet are missing. During customer decision making process, a customer considers a number of e-tail websites to shop. But after evaluating them basing on certain decision attributes, the customer selects only one website to do shopping. This study concentrates on those decision attributes that make customer to choose the e-tail website.

### REVIEW OF LITERATURE

Doolin (2004) [1] conceptualized e-tailing as is the sale of products and services to individual customers. According to him, the definition of e-tailing encompasses the sales of products or services online. Grewal et al (2002) [2] opined that the Internet shopping fulfils several consumer needs more effectively and efficiently than conventional shopping. The challenges of e-tailing are the response time of the web-server; moves to the amount of time the customer must wait until the order ships, and also includes the time



the shipping process takes: (Cao and Zhao, 2004) [3]. Zott et al. (2001) [4] analysed value creation on e-business and proposed four main drivers of value creators as efficiency, complementarities, lock-in and novelty. Forsythe and Shi (2003) [5] studied the risk factors of online shopping and proposed that there are four types of risk with online shopping they are financial, product performance, time/convenience, and psychological (privacy) risk impact. Zeithaml (2002) [6] had identified the factors of successful e-tailing as efficient web site design, effective shopping and prompt delivery. Burke (2002) [7] found out that online customers desire to know the availability of inventory, and want fast and convenient check-out, secure ordering and the ability to track purchases. Provision of comparative shopping (Grunert and Ramus, 2005) [8], speed of accessing e-store and screen complexity (Kim et al., 2002) [9], Value Added Services (Reichheld and Schefter, 2000) [10], prompt delivery (Zeithaml, 2002) [6] are other attributes of successful e-tailing. Zhang and Von Dran (2000) [11] identified the attributes of e-store attraction are the color and background images of web-pages.

**Table 1: Determinants of e-tail stores**

S.No.	Determinants	Author(s)
1	Comparative Shopping	Grunert and Ramus (2005) [8]
2	Availability Of Product Information	Chen and Dubinsky (2003) [12]
3	Range of Products	Zeithaml et al.,(2000) [13]; Bakos (1991) [14]
4	Financial Security	Forsythe and Shi (2003) [5]
5	Product Performance	Forsythe and Shi (2003) [5]
6	Time/Convenience	Forsythe and Shi (2003) [5]
7	Psychological Risk Impact, Privacy	Forsythe and Shi (2003) [5]; Cheung and Lee (2001) [15]
8	Online Tracking of Orders	Kolesar and Galbraith (2000) [16]; Burke (2002) [7]
9	Convenient Check-out	Betts (2001) [16]
10	Color and Background Images	Zhang and Von Dran (2000) [11]
11	Access to Information	Peterson et al., (1997) [18]
12	Speed of Accessing e-store	Kim et al., (2002) [9]
13	Screen Complexity	Kim et al., (2002) [9]
14	Efficient Website Design	Zeithaml (2002) [6]
15	Minimum Transaction Cost	Liang and Huang (1998) [19]
16	Availability of Pricing Information	Burke (2002) [7]
17	Value Creation	Zott et al. (2001) [4]
18	Costs of Shipping	Peterson (1997) [18]
19	Reliability / Prompt delivery	Kolesar and Galbraith (2000) [16]; Zeithaml (2002) [6]
20	Timeliness of Product delivery	Burke (2002) [7]
21	Return and Replacement process	Zeithaml (2002) [6] Zott et al. (2001) [4];
22	Complementarities	Gale (1994) [30] [20];

### OBJECTIVES OF THE STUDY

The basic purpose of the study is to identify the determinants of patronage of online customers while selecting an electronic retail website. The study attempts to identify the determinants with respect to the buying process of online customers. The determinants are evaluated by adopting multivariate analysis tools like factor analysis to determine most influencing determinants of electronic shopping store selection, thereby proposes the retailers to concentrate on the most significant determinants identified after performing factor analysis for data reduction.

- To identify the determinants of e-tail outlet selection by online customers.
- To record and analyse customer expectations on the determinants.
- To evaluate the determinants basing on customer expectations, thereby identifying most influencing determinants of customer patronage for e-tail outlet selection.
- To recommend retailers to concentrate on the most influencing determinants for better business performance.

### RESEARCH DESIGN

This empirical study used both quantitative and qualitative data to identify most influencing drivers of e-tail outlet selection. The study is primarily based on primary data. The primary data is collected from 600 online customers after confirming that they performed online shopping for purchasing of goods. The study aimed at recording the expectations of the online customers on identified attributes of online shopping in pre-purchase stage, during purchase stage and post-purchase stage. A structured questionnaire is designed in such a way that it captures the expectations of online shoppers at each stage.

Sampling technique: Purposive Sampling

Sample Size: 600

Study Area: Visakhapatnam

Data Collection Instrument: A structured questionnaire.

**Profile of The Study Area:** (Source: Aponline.gov.in - Official Government website of Visakhapatnam). Visakhapatnam is one of the North Coastal districts of Andhra Pradesh state of India and it lies between 17°-15' and 18°-32' Northern latitude and 83°-54' and 83°-30' in Eastern longitude. The population of the district is 4.28 millions as per 2011 Census and this constituted 5.0 percent of the population of the state while the Geographical area of the District is 11161 Sq. Kms, which is only 4.1 percent of the area of the State. Out of the total popula-

tion 2.140 millions are Males and 2.147 millions are Females. The Urban population is 3.53 millions whereas rural population is 1.301 millions. The Sex Ratio is 1003 Females per 1000 Males. The District has Density of population of 384 per Sq.Kms. The literacy rate is 67.7 percent in the District.

The questionnaire was administrated in such a way that it carefully records the customer expectations. The customers were asked to provide their expectations on a five point likert scale (Most-Expected [5], Expected [4], Slightly- Expected [3], Least-Expected [2], Not-at-all Expected [1]) regarding attributes of e-stores. The Questionnaire also concentrates on socioeconomic profile of online customers and also attempts to study shopping behavior of customers.

## MATERIALS AND METHODS

The following statistical methods are used in the analysis.

**Tabular Analysis:** Simple tabular analysis is used to analyze the socioeconomic profile of the respondents. This method is also used for analyzing associations among any two required variables.

**Means, proportions and ranks:** Most of the analysis is simple and relied on comparing means (average) and proportion. The determinants of the customer patronage for retail outlet choice are ranked basing on factor loadings for different retail outlets.

**Factor Analysis:** It is a statistical technique used for determining the underlying factors or forces among a large number of interdependent variables or measures: (Krishnaswami and Ranganatham, 2007) [22]. In social sciences and especially in behavioral studies, variables cannot be measured directly. Such variables are usually referred as “latent” variables and can be measured by qualitative propositions to reflect the perceptions of the respondents. The factors generated are used to simplify the interpretation of the observed variables.

The factor loadings are the correlation coefficients between the variables and factors. Factor loadings are the basis for imputing a label to different factors. Like Pearson’s correlation coefficient “r”, the squared factor loading is the percentage of variance in the variable, explained by a factor.

**Eigen values:** The Eigen value for a given factor reflects the variance in all the variables, which is accounted for by that factor. A factor’s Eigen value may be computed as the sum of its squared factor loadings for all the variables. The ratio of Eigen values is the ratio of explanatory importance of the factors with respect to the variables. Eigen Value or Latent root is the sum of squared values of factor loadings relating to a factor (Krishnaswami and Ranganatham 2007) [22].

**Chi-Square test:** Using the information provided in each grouped factor Chi-square test is used to test the significance of the cumulative explanation of variance. If the Calculated Chi- square value is found to be significant (if it is above the table value) the factor/factors are considered as proper and used the factor scores as Indices for further analysis.

**KMO Measure:** Kaiser-Meyer-Olkin measure of sampling adequacy is performed in factor analysis to determine whether the factor should be considered for further analysis or not. If

KMO measure is greater than threshold value of .5, then only the factor should be considered for further analysis: (Hair et al. 1998) [23].

**Bartlett's Test of Sphericity:** In order to find out the appropriateness of factor analysis for the set of variables Bartlett's Test is used. It measures the correlation of variables where the probability of less than .05 ( $p < .05$ ) is acceptable: (Akansha Anchaliya et al. 2012) [24].

**KMO and Bartlett's Test:** In order to find out the appropriateness of factor analysis for the set of statements (variables), Kaiser-Meyer-Olkin and Bartlett's Test of Sphericity is used. KMO measures the magnitude of observed correlation coefficients to the magnitude of partial correlation coefficients. A value greater than .5 is desirable. Bartlett's Test measures the correlation of variables. A probability of less than .05 is desirable: (Akansha Anchaliya et al. 2012) [24].

**Cronbach's Alpha:** The value was calculated for the questionnaire administrated in order to determine the reliability of the data where the alpha value is greater than .70 is the recommended level: (Bernardi 1994) [25]. For this study, Cronbach's Alpha value is calculated as .789 for 600 sample which indicates that the data have relatively higher internal consistency (78.9%).

## SOCIOECONOMIC PROFILE OF ONLINE CUSTOMERS

In this section an attempt has been made to analyse socioeconomic profile of online customers. This analysis helps the e-tailers to plan for their merchandise in terms of style, type, brands etc depending on gender, age group, income, education, occupation and size of family. This analysis also helps in planning their marketing communications, media selection, promotional campaigns etc.

**Table 2: Socioeconomic Profile Online Customers**

Variable	Categories of variable	Frequency	%
Gender	Male	395	65.83%
	Female	205	34.17%
Age	15 - 20 years	13	2.17%
	20 - 30 years	371	61.83%
	30 - 40 years	178	29.67%
	40 - 50 years	28	4.67%
	above 50 years	10	1.67%
Occupation	Students	49	8.17%
	Unemployed	40	6.67%
	Employed	316	52.67%
	Business people	195	32.50%
Education	Less than or 5 <sup>th</sup> Class	4	0.67%
	5 <sup>th</sup> to 9 <sup>th</sup> Class	16	2.67%
	SSC / 10 <sup>th</sup> Class	59	9.83%
	Higher Secondary / Diploma / ITI	69	11.50%
	Graduation (UG)	269	44.83%
	Post Graduation (PG)	156	26.00%
	Higher than PG	27	4.50%

Income	Less than Rs.5,000/-	25	4.17%
	Between Rs.5,000/- and Rs.10,000/-	156	26.00%
	Between Rs.10,000/- and Rs.20,000/-	249	41.50%
	Between Rs.20,000/- and Rs.50,000/-	112	18.67%
	More than Rs.50,000/-	58	9.67%
Size of Family	Two	95	15.83%
	Three	245	40.83%
	Four	225	37.50%
	Five	23	3.83%
	Six	12	2.00%
<i>Sources: field data</i>			

In this section an attempt has been made to analyse the socio-economic profile of online customers as presented in table 2. Out of total 600 sample respondents, 395 (65.83%) are male and 205 (34.17%) are female.

Basing on their age, the respondents are classified into five groups. Out of total sample 600, 13 (2.17%) are from the age group of 15 – 20 years, 371 (61.83%) are from age group of 20 – 30 years, 178 (29.67%) are from early middle age group (31 – 40 years), 28 (4.67%) belong to late middle age group 40 – 50 years and 10 (1.67%) are from old age group (above 50 years).

Based on occupation, the respondents are classified into four groups, students 49 (8.17%), unemployed 40 (6.67%), employed 316 (52.67%) and business people 195 (32.50%).

Basing on the education, the respondents are classified into seven groups, 4 (0.67%) respondents completed elementary education, 16 (2.67%) have secondary education, 59 (9.83%) studied 6<sup>th</sup> class to 9<sup>th</sup> class, 59 (9.83%) completed secondary education, 69 (11.50%) completed higher secondary education, 269 (44.83%) are graduated, 156 (26%) have post graduation qualification and 27 (4.5%) are higher post graduates.

Basing on the income levels, the respondents are classified into five groups, 25 (4.67%) are having monthly income less than Rs.5,000/-, 156 (26%) have income between Rs.5,000/- and Rs.10,000/-, 249 (41.50%) have income between Rs.10,000/- and Rs.20,000/-, 112 (18.67%) have income between Rs.30,000/- and Rs.50,000/-, another 58 (9.67%) respondents have income more than Rs.50,000/-.

The family size attribute of online consumers is categorised into five groups, 95 (15.83%) have family size two, 245 (40.83%) have size three, 225 (37.50%) are having family size four, 23 (3.83%) have five and 12 (2%) of respondents are having size six.

## SHOPPING BEHAVIOUR OF ONLINE SHOPPERS

<b>Table 3: Shopping Behaviour of Respondents</b>			
<b>Variable</b>	<b>Categories of variable</b>	<b>Frequency</b>	<b>%</b>

Frequency of online shopping	Daily	15	2.50%
	Weekly	75	12.50%
	Biweekly	54	9.00%
	Monthly	227	37.83%
	Bimonthly	9	1.50%
	As per requirement	220	36.67%
Most preferred week of e-shopping	First week of month	279	46.50%
	2 <sup>nd</sup> week of month	91	15.17%
	Last week of month	16	2.67%
	As per requirement	214	35.67%
Amount spent per month	Less than Rs.1000/-	250	41.67%
	Between Rs.1000/- to Rs.5000/-	200	33.33%
	Between Rs.5000/- to Rs.10000/-	90	15.00%
	More than Rs.10000/-	60	10.00%
Source of Information about E-tail site	News Papers	200	33.33%
	Television	220	36.67%
	Radio	34	5.67%
	Internet Ads	96	16.00%
	Social Networking Sites	50	8.33%
Internet Browser used while online shopping	Google Chrome	200	33.33%
	Internet Explorer	95	15.83%
	Mozilla Firefox	150	25.00%
	Opera	50	8.33%
	Any browser	105	17.50%

*Sources: field data*

The online shopping behavior is analysed in this section as displayed in the table 2. The study of online shopping behavior enables the e-tailers to design and implement their marketing strategies so as to promote and sell goods online.

- The frequency of online shopping is observed in this section so that the e-tailers can plan for their merchandise procurement as per shopping frequency of customers. From the total sample 600, the frequency of online shopping is observed as daily 15 (2.50%), weekly 75 (12.50%), biweekly 54 (9%), monthly 227 (37.83%), bimonthly 9 (1.50%) and 220 (36.67%) of respondents are doing online shopping as per requirement of goods.
- In this segment, the most preferred week of shopping in a month has been analysed. The objective of this analysis is to assist the e-tailers in planning their promotional programs during that week. Out of 600 sample, online customers doing shopping in first week of the month are (46.50%), second week 91 (15.17%), last week of the month 16 (2.67%) and 214 (35.67%) of the respondents perform online shopping is as per requirement of goods.
- The monthly expenditure for online shopping by the customer are analysed in this section so that the e-tailers can take the merchandise decisions for their business how



much stock levels should be maintained at BOM (Beginning Of the Month) to EOM (Ending Of the Month), out of the sample 600, 250 (41.67%) are spending less than Rs.1000/- for online shopping, 200 (33.33%) of the customers are spending an amount between Rs.1000 and Rs.5000, 90 (15%) are spending an amount between Rs.5000/- to Rs.10000/- and 60 (10%) are spending an amount more than Rs.10000/-.

- The concept of retail branding is also applicable to e-tail outlets also as it is applicable to physical retail outlets. An attempt has been made to identify through which media sources the customers are able to know about the e-tail websites so that the e-tailers can plan and promote their brand marketing programs. The source is as Newspaper for 200 (33.33%) customers, TV 225 (36.67%), Radio 34 (5.67%), Internet ads 96 (16%) and Social Networking sites as a source for 50 (8.33%) respondents.
- The types of internet browsers used by the online customers are identified in this segment. This analysis can be used to recommend to the online customer by the e-tailer through which browser the online shopping can be better performed and also to perform testing process by the website maintenance team while designing WebPages. In the study area, out of 600 respondents, 200 (33.33%) are using Google Chrome as browser, Internet Explorer by 95 (15.83%), Mozilla Firefox 150 (25%), Opera 50 (8.33%) and remaining 105 (17.50%) are using any available browser for performing online shopping.

## **DATA ANALYSIS – DETERMINANTS OF CUSTOMER PATRONAGE TOWARDS SELECTION OF E-TAIL OUTLET**

In this section an attempt has been made to analyse the determinants of customer patronage towards selection of e-tail outlet by performing multivariate analysis (factor analysis for data reduction). The situations where more than one dependent variable is influencing the decisions then factor analysis is considered to be appropriate tool for data analysis. Factor analysis was performed on the data of customer expectations on selected determinants that motivate the customer to shop in an e-store (24 determinants presented in table 1). The customers were asked to provide their expectations on a five point likert scale (Most-Expected [5], Expected [4], Slightly- Expected [3], Least-Expected [2], Not-at-all Expected [1]) regarding twenty attributes which were derived from previous studies. To determine the data reliability, Reliability test was performed on the data of customer expectations towards selected determinants. The value of the Cronbach's Alpha is found to be .795, which shows the data of pre-purchase-attributes is 79.5% reliable which ensures to proceed for further analysis.

### **Reliability of Data: Kaiser Meyer Olkin (KMO) and Bartlett's Test for Determinants of Customer Patronage**

<b>Table 4: KMO and Bartlett's Test for Selected Determinants</b>	
Kaiser-Meyer-Olkin Measure of Sampling Adequacy	0.662

Bartlett's Test of Sphericity	Approx. Chi-Square	6789.699
	df	190
	Sig.	.000

*Source: Factor Analysis Data Reduction*

To know about which determinants the customers are most expecting, factor analysis was performed on the data of customer expectations towards determinants of customer patronage towards selection of e-tail outlet choice. To determine the appropriateness of application of factor analysis, Kaiser Meyer Olkin (KMO) and Bartlett's Test was performed as shown in table 4. The KMO measure is observed to be .662 which is higher than the threshold value of .5 (Hair et al. 1998) [23]. So it can be interpreted that there is no error in 66.2% of the sample and remaining 33.8% there may occur some sort of error. Bartlett's Test of Sphericity ( $\chi^2 = 6789.669$ ) is found to be significant ( $p < .001$ , df 190). Finally it can be concluded that the data collected on pre-purchase attributes is appropriate for factor analysis.

### Factors – Determinants of Customer Patronage

Table 5: Factors - Determinants of Customer Patronage			
Factor	Eigen Values	% Total variance	Cumulative %
WEBSITE DESIGN	5.354	29.55	29.55
PRICING	2.794	12.99	42.54
MERCHANDISE	2.119	11.45	53.99
RISK	1.365	7.11	61.1
DELIVERY	1.278	6.89	67.99
BENEFITS	1.109	5.12	73.11

*Source: Factor Analysis Data Reduction*

Factor analysis was used to remove the redundant variables from the survey data and to reduce the number of variables into a definite number of dimensions. The application was done in SPSS. The factor analysis was performed using principle component extraction method with varimax rotation. After performing factor analysis, the twenty four determinants were reduced to six factor dimensions, which explained 73.11% of overall variance which is indicating that the variance of original values was well captured by these six factors as shown in table 5. The six factors are provisionally named Website Design, Pricing, Merchandise, Risk, Delivery and Benefits.

### Factor Scores Matrix - Determinants of Customer Patronage

The factor scores matrix of Determinants of Customer Patronage shows the associated variables

in all the six factors and their relative factor scores as presented in table 6. The factors, factor loadings and their associated determinants are as follows.

- **FIRST FACTOR - WEBSITE DESIGN:** The first factor formed is website design with an Eigen value of 5.354, variance of 29.55% and four associated variables. The associated variables are Access to information (.91), speed of accessing e-store (.89), color and background images (.7) and screen complexity (.53).
- **SECOND FACTOR - PRICING:** The second factor formed is pricing with an Eigen value of 2.794, variance of 12.99% and four associated variables. The associated variables are Minimum transaction cost (.8), Availability of pricing information (.71), Value Creation (.62) and Costs of shipping (.55).
- **THIRD FACTOR - MERCHANDISE:** The third factor formed is merchandise with an Eigen value of 2.119, variance of 11.45% and three associated variables. The associated variables are Comparative shopping (.8), Availability of product information (.74) and Range of products (.52).
- **FOURTH FACTOR – RISK:** The fourth factor formed is risk with an Eigen value of 1.365, variance of 7.11% and four associated variables. The associated variables are Financial Security (.82), Privacy (.65), Online Tracking of Orders (.57) and convenient check-out (.57).
- **FIFTH FACTOR – DELIVERY:** The fifth factor formed is risk with an Eigen value of 1.278, variance of 6.89% and three associated variables. The associated variables are Reliability of product delivery (.82), Timeliness of product delivery (.7) and Return and replacement process (.62).
- **SIXTH FACTOR – DELIVERY:** The sixth factor formed is risk with an Eigen value of 1.109, variance of 5.12% and two associated variables. The associated variables are Secured Complementary Benefits (.78) and Value Added Services (.68).

**Table 6: Factor Scores Matrix - Determinants of Customer Patronage**

Determinants	WEBSITE DESIGN	PRICING	MERCHAN- DISE	RISK	DELIVARY	BENEFITS
Access to informa- tion	0.91					
Speed of accessing e-store	0.89					
Color and back- ground images	0.7					
Screen complexity	0.53					
Minimum transac- tion cost		0.8				
Availability of pric- ing information		0.71				
Value Creation		0.62				
Costs of shipping		0.55				
Comparative shop- ping			0.8			
Availability of product informa- tion			0.74			
Range of products			0.52			
Financial Security				0.82		
Privacy				0.65		
Online Tracking of Orders				0.57		
Convenient check- out				0.54		
Reliability of prod- uct delivery					0.82	
Timeliness of prod- uct delivery					0.7	
Return and replace- ment process					0.62	
Complementarities						0.78
Value Added Ser- vices						0.68
<i>Extraction Method: Principal Component Analysis.</i>						
<i>Rotation Method: Varimax with Kaiser Normalization.</i>						

**ELIMINATED FACTORS:** While performing factor analysis, four determinants from the total list of twenty four were eliminated. They are time/convenience, product performance, efficient site design and loyalty programs.

## **DISCUSSION AND SUGGESTIONS**

Hence it is suggested to the e-tailers to concentrate on the determinants in the order of factors scores from highest to lowest i.e. Website Design, Pricing, Merchandise, Risk, Delivery and Benefits. In order to attract new customers and to retain existing customers of the e-store, the e-tailers have to take care of these determinants. The website must be user friendly and its design must be in an approachable manner with good speed of transactions. Pricing of the merchandise must be fair when the shipping charges are included along with product price. The merchandise available in the e-store must reflect according to the socioeconomic profile of target customers i.e. basing on age, income, gender etc. The website must ensure that the safety and security for online payments and other transactions. The delivery must be prompt, in-time and products should be in good condition after reaching the customer. The complimentary benefits to the customer must be well informed and the e-store must be offering time-to-time sales promotion schemes to retain the customer.

It can be observed that women are not participating actively when compare to men in online shopping (refer table 1). They are contributing to only about 35%. The e-tailers have to create awareness and educate the women about the usage and performance of online shopping. Most of the online consumers are belonging to 20 to 40 years of age (about 90%). The e-tailers have to concentrate on the needs of this age group and offer merchandise with which this age group can be more attracted.

On the basis of education, majority of the online shoppers are graduates and post graduates. The e-tailers have to concentrate on other education groups i.e. from less than 5<sup>th</sup> class to higher secondary level, which represent about 25%, certain computer literacy programs and campaigns must be organised. In the website itself some online tutors must be made available so that less educated / non-graduate customer segment can also participate in online shopping. Most of the online customers belong to Rs.5000/- to Rs.20000/- income group. The e-tailers are advised to bring/offer such merchandise so that this group of customer can afford to purchase.

## **CONCLUSION AND SCOPE FOR FURTHER RESEARCH**

From this empirical study it can be observed that the online customers are expecting Website Design, Pricing, Merchandise, Risk, Delivery and Benefits. The e-tailers must provide these attributes first and concentrate on others later in order to motivate the customers to log on to the websites. The same research can be organized on sectors like banking, insurance, travel, tourism etc. Basing on the previous studies, the present study is concentrated only on twenty

four determinants of e-store, but there may be more determinants. The study was organized in Visakhapatnam city only, the sample size may not be representing the entire study area properly so that the chances of occurring sampling error is moderate to high. The same study can be organized across the world because e-tailing exists every part of the world.

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# Exploring the Ethos of Employees toward Virtual Management: An Empirical Study

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## Abstract

This research seeks to examine employees' ethos under Virtual Management (VM) as manifested by their attitudes. There is a lack of empirical research to shed light on the attitudes of employees towards VM. Self-administrated questionnaires, distributed to a set of randomly selected Small and Medium Sized Enterprises (SMEs) located in Greater Western Sydney (GWS) region. 159 employees participated in the study, yielding a response rate of 15%. The study measured the three components of job attitude namely, job satisfaction, job involvement and organisational commitment. Cronbach's test was performed to check the reliability and validity of the questionnaires as a research instrument. Non-parametric test Mann Whitney Rank test was used to analyse data through SPSS. The results revealed that job attitude remains invariable as management shifts from non-virtual to virtual. The study has a paramount role in broadening the empirical knowledge on VM and the job attitudes of Virtual Employees (VEs) in the context of contemporary organisational behaviour.

Keywords: Job Attitude, SMEs, Virtual Employees, Virtual Management, Virtual Organisation,

## Introduction to Research and Literature Review

**Virtual Organisation:** In recent years, the evolution and revolution of information technologies enabled many brick and mortar organisations to transform to a new model of business operation namely "Virtual Organisations (VOs)". While a variety of definitions of the term VO have been suggested, this study will use the comprehensive definition suggested by Askarzai (2013) "Virtual Organisation" is a type of temporary or permanent organisation with geographically and time-dispersed members (individuals, departments or organisations). The members share their core-competencies towards the production of a product that cannot be achieved by a standalone member. Core competencies refer to the main strengths of an organisation that can be utilised as competitive advantage. The operation of VO is enabled by Computer Mediated Communication (CMC). CMC refers to communication processes where computer-mediated technologies are used as a medium. CMC is divided into two synchronic states; asynchronous (different-time) communication, such as e-mails, and synchronous (same-time) communication, such as video conferencing. The essence of a VO is process management and customer sa-

tisfaction. For the purpose of this study the term Virtual Organisation (VO) refers to the Virtual Management (VM) being undertaken within VO. Hence for the sake of practicality, we have used the two terms interchangeably.

Needless to say, VO has profoundly impacted the nature of workplace and the relation of employees and management. The norms of face-to-face management and regular working hours amid other work norms have slowly diminished. Employees are not managed from close proximity as they can work in different locations and time zone. These employees are termed Virtual Employees (VE). During the literature review that was conducted as background to this research it became clear that apart from the advancements in technology the brick and mortar organisations lured to VO because of the numerous advantages offered by VO such as, uniting qualified employees and, work and home balance to name but a few (Biglow 2000; Hemingway & Breu 2003; Furst, Reeves, Rosen, & Blackburn 2004; Edwards & Wilson 2004; Ebrahim, Ahmed & Taha 2009; Intranet Focus 2012).

Analogously, the preliminary data analysis of this research reveals that some Small and Medium-sized Enterprises (SMEs) are on the verge to become VOs. This so as, SMEs need to collaborate with service providers such as, marketing agencies, accounting firms and IT services to take advantage of the benefits offered by VO (Van den Berg 2009). Thomson, Stone and Ion (2007) and Ebrahim, Ahmed & Taha (2009) argued that as SMEs grow to multiple locations, covering a wide geographical area, they need to share knowledge and resources. This can happen when SMEs are transformed or partially transformed to VO status. VOs have been recommended by Pihkala, Varamaki & Versalainen (1999) as a solution for SMEs to increase their competitiveness. SMEs can become VOs as a strategic tool to reach foreign markets (Has-souneh & Brengman 2011).

Amongst the predicaments to this transformation, the relations between the management (i.e. VM) and the employees (i.e. VEs) can portray manifold scenarios. As an example, the scenario where VEs are not managed face-to-face and in this context what attitudes they will exhibit towards their outlying management can pose noteworthy questions. Reflecting on this scenario, this research investigated the attitudes of employees under VM in SMEs located in Greater Western Sydney (GWS). The subsequent sections delineate the notion of attitude, SMEs and GWS.

**Job Attitude:** Attitude is an evaluative/responding statement towards objects and people which can be favourable or unfavourable (Pickens, 2005; Robbins & Judge, 2007; Harvey & Erdos, 2011). Attitude is a component of an individual's behaviour, and influences the individual's approach to work and the treatment of co-workers (Pickens, 2005; Smith et al., 2012). The components of attitude are a cognitive component (thoughts), affective component (feelings) and behavioural component (actions) (Pickens, 2005; Robbins & Judge, 2007; Kinicki & Kreitner, 2009; Harvey & Erdos, 2011).

While an individual may have various attitudes, this research focused on job attitudes. Job attitudes are evaluations of the employee's job that express the employee's feelings; beliefs and

attachment toward his/her job (Judge & Mueller, 2012). The three components of job attitudes are job satisfaction, job involvement and organisational commitment. Job satisfaction is the positive feeling of an employee about his/her job (Robbins & Judge, 2007; Griffin, Moorhead & Gregory, 2007). Job satisfaction is a feeling that emerges as a result of the perception that the job enables the material and psychological needs (Kinicki & Kreitner, 2009; Aziri, 2011; Colquitt et al., 2011). According to Saari and Judge (2002) and Griffin et al. (2007) from the research perspective, the focal point of job attitude is job satisfaction. Job involvement is the degree to which an employee identifies with a job, actively participates in it, and considers performance related to the employee's self-worth (Robbins & Judge, 2007; Buchanan & Huczynski, 2010). Organisational commitment is the degree that an employee is committed towards the organisation goals (Robbins & Judge, 2007; Buchanan & Huczynski, 2010).

**Small & Medium-sized Enterprises:** According to the *Australian Bureau of Statistics* a micro business is a small business with 0–4 employees. A small enterprise is an actively trading business with 0–19 employees. A medium-sized business is an actively trading business with 20–199 employees, and a large business is an actively trading business with 200 or more employees (Department of Innovation, Industry, Science and Research 2012).

SMEs play a major role in any economy as they create jobs, business opportunities; and are considered to be crucial to economic success (Peng, Chung, Yu & Luan, 2007; Ardic, Mylenko & Saltane, 2011; Hassouneh & Brengman, 2011). According to Fan (2003) and the OECD (2005, 2012) SMEs are important as they are engines of economic growth, are a cause of social cohesion, assist in poverty reduction, facilitate competitive and efficient markets and make up over 95% of businesses globally. Ebrahim, Ahmed & Taha (2009) stated that the wealth of the nations and economic growth correlates with the growth of SMEs. Furthermore, they argued that SMEs play a major role in many developed and developing countries as they bring economic stability and serve as a key engine behind equalising income.

**Greater Western Sydney:** According to reports compiled by Parramatta City Council and NSW department of trade and investment (2012) GWS consists of 14 local government areas.

Gross regional product (GRP) in 2010-11 for GWS was \$114 billion. The major employing industries in GWS are Manufacturing, Health care & social services and Retail trade. There are 146,792 businesses in GWS.

Based on the reports compiled by AEC group limited (2007; 2009) approximately, 2 million people reside in GWS and over one third of all people in Sydney Metropolitan region are employed in GWS.

SMEs play a major role in GWS as the economy of GWS is heavily dependent on SMEs (University of Western Sydney, n.d).

## **Research Methodology**

**Objective:** The objective of this research is to test the following hypothesis.

**Hypothesis:** Positive job attitude tends to increase as management type shifts from non-virtual to virtual.

**Sub-hypotheses:**

*Hypothesis 1 (H1): Job satisfaction tends to increase as management type shifts from non-virtual to virtual.*

*Hypothesis 2 (H2): Job involvement tends to increase as management type shifts from non-virtual to virtual.*

*Hypothesis 3 (H3): Organisational commitment tends to increase as management type shifts from non-virtual to virtual.*

**Data Collection:** For the purpose of the hypothesis testing a hybrid of online (self-administrated) and paper surveys were distributed to a set of randomly selected Small and Medium Sized Enterprises (SMEs) located in Greater Western Sydney (GWS) region.

The survey was divided into three parts. The first part of the survey comprised of ten questions which were designed to measure the Job satisfaction. The second part of the survey comprised ten questions which were designed to measure Job involvement. The third part of the survey comprised of nine questions which were designed to measure Organisational commitment. Five-point Likert scale was used to measure the level of agreement to each particular question. 180 responses were collected, yielding 15% response rate.

**Data Editing:** Zikmund 2003 defined data editing procedure as the “process of checking and adjusting the data for omission, legibility and consistency”. The purpose is to ensure that the data is consistent, complete and readable for the analysis stage.

For the purpose of data legibility and consistency the incomplete survey responses and the responses by participants with less than six months employment were excluded from the data analysis procedure. As a result only 159 responses out of 180 responses were useful.

**Research Design:** Cronbach’s test was performed to check the reliability and validity of the questionnaires as a research instrument. Non-parametric Mann-Whitney test was used to analyse the data because the dependent variables were measured on an ordinal scale. Furthermore, the Kolmogorov-Smirnov test was used to check for normality.

**Statistical Tools:** IBM SPSS (Statistical Package for the Social Sciences) 21 was used for data analysis.

## **Results and Interpretations**

Table 1 below present the Cronbach’s test results. A Cronbach’s alpha greater than .70 is considered reliable. Thus, the questionnaire used in this research is reliable and valid.

Non-virtual employees	
Constitutes of Job Attitude	Cronbach's $\alpha$ coefficient
Job Satisfaction	.817
Job Involvement	.829
Organisational Commitment	.910
Virtual employees	
Constitutes of Job Attitude	Cronbach's $\alpha$ coefficient
Job Satisfaction	.868
Job Involvement	.840
Organisational Commitment	.899

Table 1: Cronbach's test results

Based on the results of Kolmogorov-Smirnov test which indicated highly non-normal then the Mann-Whitney test deemed the right test statistic for this research. Tables 2, 3 and 4 present the Kolmogorov-Smirnov test results for Job Satisfaction, Job Involvement and Organisational Commitment respectively.

Kolmogorov-Smirnov			
Responses	Statistic	df	Sig.
	.328	159	.000

Table 2: Normality test for Job Satisfaction

The significant value ( $p = .000$ ) is less than a significant ( $\alpha$ ) level of .05 then the data is highly non-normal.

Kolmogorov-Smirnov			
Responses	Statistic	df	Sig.
	.293	159	.000

Table 3: Normality test for Job Involvement

The significant value ( $p = .000$ ) is less than a significant ( $\alpha$ ) level of .05 then the data is highly non-normal.

Kolmogorov-Smirnov			
Responses	Statistic	df	Sig.
	.236	159	.000

Table 4: Normality test for Organisational Commitment

The significant value ( $p = .000$ ) is less than a significant ( $\alpha$ ) level of .05 then the data is highly non-normal.

Table 5 below presents the results of Mann-Whitney test for Non-Virtual and Virtual Employees' attitudes towards their management.



Variables	Employees	Number	Mean rank	Z	Sig.
Job Satisfaction	Non-virtual employees	71	78.21	-.496	.620
	Virtual employees	88	81.44		
Job Involvement	Non-virtual employees	71	75.18	-1.281	.200
	Virtual employees	88	83.89		
Organisational Commitment	Non-virtual employees	71	72.78	-1.860	.063
	Virtual employees	88	85.82		

Table 5: Mann-Whitney test results

For Job satisfaction the significant value ( $p = .620$ ) is more than a significant ( $\alpha$ ) level of .05 then the null hypothesis 1 is rejected as shown in the following table.

For Job involvement the significant value ( $p = .200$ ) is more than a significant ( $\alpha$ ) level of .05 then the null hypothesis 1 is rejected as shown in the following table.

For Organisational commitment the significant value ( $p = .063$ ) is more than a significant ( $\alpha$ ) level of .05 then the null hypothesis 1 is rejected as shown in the following table. Table 6 presents the summary of hypotheses test based on Mann-Whitney U test using median values.

Job Satisfaction Hypothesis		
	p value	Test Results
(H1 <sub>0</sub> ): Job satisfaction tends to increase as management type shifts from non-virtual to virtual.	(p =.620)>.05	Reject
(H1 <sub>a</sub> ): Job satisfaction does not increase as management type shifts from non-virtual to virtual.		Accept
Job Involvement Hypothesis		
	p value	Test Results
(H2 <sub>0</sub> ): Job involvement tends to increase as management type shifts from non-virtual to virtual.	(p =.200)>.05	Reject
(H2 <sub>a</sub> ): Job involvement does not increase as management type shifts from non-virtual to virtual.		Accept
Organisational commitment Hypothesis		
	p value	Test Results
(H3 <sub>0</sub> ): Organisational commitment tends to increase as management type shifts from non-virtual to virtual.	(p =.06388)>.05	Reject
(H3a): Organisational commitment does increase as management type shifts from non-virtual to virtual.		Accept

Table 6: Summary of hypotheses tests based on Mann-Whitney U test

Table 7 below presents the summary of the main hypothesis. Based on the above hypotheses test the null hypothesis is rejected.

Main hypothesis	
Hypothesis (0): Positive job attitude tends to increase as management type shifts from non-virtual to virtual.	(Reject)
Hypothesis (1): Positive job attitude tends not to increase as management type shifts from non-virtual to virtual.	(Accept)

Table 7: Summary of the main hypothesis

## Discussion

This research provided empirical evidence of the employees' job attitude towards VM. It was hypothesised that as management shifts from non-virtual to virtual the job attitude remains invariable. Surprisingly, based on the results of this research the hypothesis was rejected. The following paragraphs put these results into perspective.

Many authors agreed that employees and employers alike lured to advantages of VO. For instance, in their studies Biglow (2000), Hemingway & Breu (2003), Frust et al. (2004), Edwards & Wilson (2004) and Ebrahim et al. (2009) outlined the advantages of VO such as, uniting highly qualified people, facilitating work and home balance and reducing the cost of production to name but a few. Concurrently, these authors and many more like Hunsaker & Hunsaker (2008), Pang (2001), Vinaja (2003), Sundin (2006) and Mulki, Bardhi, Lassk & Nanavaty-Dahl (2009) have argued that the drawbacks of VO such as, employees' feeling of isolation, lack of face-to-face communication and many more should not be underestimated lest VO may lose the support of the employees. A possible explanation for the rejection of the research hypothesis lies within the above argument. Hence, despite the many advantages offered by VOs-its drawbacks overshadows these advantages which are reflected by the findings of this research. This is further validated by Askarzai (2014) which investigated the perception of employees towards VM and concluded that for VOs to sustain the support of employees it is important to maintain some aspects of a traditional work environment such as, face-to-face interaction.

## Conclusion

This research set out to determine the ethos of employees towards VM as manifested by their attitudes. The evidence from this research suggests that as management shifts from non-virtual to virtual management the job attitudes of employees in terms of job satisfaction, job involvement and organisational commitment remains invariable. The study has a paramount role in broadening the empirical knowledge on VM and the job attitudes of Virtual Employees (VEs) in the context of contemporary organisational behaviour.

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## Letting Go (Pagpapalaya) Among School Helping Professionals: A Phenomenological Study

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### Abstract

Often the term “letting go” as religiously used in education and in other fields, remains diffuse and unexplored. This aims to contribute essence of letting go, and knowledge in guidance and counseling, specifically, (1) document their lived experiences before letting go; (2) describe the process of difficulty of letting go; and (3) develop a therapeutic model of letting go who have had handling difficulty. The attempt to understand **pagpapalaya** becomes possible using a phenomenological study through a non-random, purposive sampling technique (i.e. snowball approach). Purposely, in-depth interview draw their lived experiences of **pagpapalaya**, acquiring the thematic reflections using Moustakas’ Phenomenological Reduction and Imaginative Variation. The results produced eidetic insights and its domains. These comprised of domain 1 (**Documented Trauma**): Giving proof on *surfacing the distress* and *essential sources of their traumas*; domain 2 (**Difficulty**): *Introspecting the difficulty letting go* gave details of their difficulty letting go in *cognitive, affective, actions*, as well as of *spiritual* domain; and domain 3 (**Therapeutic Model - Pagpapalaya**): *Life changing lessons and hope of pagpapalaya*, with communal process of *awareness, handling patterns*, and **SPACE**. Thus, the results included positive aspects of change to the participants. The culturally rooted therapeutic model can bring synchronicity to the four (4) dimensions. Indeed, there is a need to develop and implement a competent program to support school helping professionals, especially those with difficulty letting go.

**Keywords:** Letting Go (Pagpapalaya), synchronicity, trauma, and SPACE.

### Introduction

Narratives are fundamental elements to human life because these transpire the essence of every individual’s unique lived experiences. Being human, we are noted to be meaning-making creature; we look at the object and see its meaning. As Fisher (1984) stated it, we are “*homo narrans*,” hard-wired to see meaning as cited in a periodical article (Barusch, 2012, p. 2). Likewise, this will allow us “to relate, explain, account, and make acquainted (Latin, *narrare*), as well as “to know” (comes from Greek term ‘*Gno*’) which might be one of the reasons why we live and create meaning to our experiences.

Being a Filipino who is a product of a close-knit family and culture, I became increasingly aware of a reassuring sense of belonging, yet also experienced a need to separate and define a personal sense of self to whom others might be contradictory. As human, in our relationship with others, we hesitate between poles of being trapped and isolated. Indeed, we attach and let go, relatedness is essential to our lives. Santrock’s (2005) descriptions of life-span development could have been written with the concept of letting go in mind. He wrote: *It is about the life of every human being. It tells the story of human development from the conception to*



*death — from the point in time when life begins until the point in time when it ends, at least life as we know it.* More so, Erik Erikson's (1967) side with this phenomenon by highlighting his second Eriksonian developmental phase - *autonomy vs. shame and doubt*. This stage depends on the achievement of trust as challenged during the previous phase. The phase of *autonomy vs. shame and doubt* is specifically significant to the phenomenon of letting go. Erikson directly attends to the phenomenon of letting go and in the context, the experience of the lived body gains significance. At this time, the infant's capacity to hold on and to let go, with bowel and bladder movements, creates an awareness of a personal ability to control and release (Kalat, 2011). The experience of "holding on" and "letting go" precedes the psychological aspects of development, where, with the rapid advance in muscular maturation and concurrent experience of his body, the child becomes aware of a personal will and ability to hold and control, or let go and release (Kalat, 1998). Likewise, bringing this in my work as a helping professional, I am privilege to hear stories of lives lived and to listen to the meaningful moments experienced. Often, the term to "let go" or "letting go" has been used religiously, but the meaning of the experience remains diffuse and unexplored. Being one with the school helping professionals, I have also become acutely aware that the mobility of letting go is absent; a living pain exists. Immobility is a painful entrapment experienced by everyone, which even helping professionals remain vulnerable. Whether it is the inability to make a decision or the inability to leave an abusive relationship, being unable to let go reflects halted growth.

Although the Asian countries, particularly the Philippines, have been uncovered to Western approaches and therapies since the early 1930s, the practice of counseling is relatively not a new phenomenon. To prove this claim, there were vast local researches (e.g. Parental Efficacy, Experience of Stressful Life Events, and Child Externalizing Behavior as Predictors of Filipino Mother's and Father's Parental Hostility and Aggression), which were printed as part of the Philippine Journal of Psychology in 2012 and presented globally through the Frank Lynch SJ Library. Likewise, the birth of Republic Act 9258 (also known as Guidance and Counseling Law) took place as a response to the development of counseling in the Philippines. The increasing popularization of counseling and psychology in our country is analyzed in the context of the changing personal, social, economical, and environmental crises and opportunities that accompany Filipino life in the coming 21<sup>st</sup> century. In spite of having immense researches in guidance and counseling, it is generally addressing the target beneficiary – the counselee. There might be a number of researches (e.g. (Cadao, 2011)) about the counselor; however, majority of which discuss the construct of enumerating their skills and competencies. This has been affirmed by the study conducted by Abrenica (2003) discussing one hundred sixteen (116) counseling outcome master's theses that were reviewed by straining four (4) criteria, namely: method of assessments, instruments used, experimenter's expectancies, and use of statistical inference (Abrenica, 2013). With this regard, I think that there is a need to explore the counselor's boundary as a help provider.

In focusing on the experience and lived meaning of letting go or **pagpapalaya** in local term, I gave an effort to contribute to an understanding of the phenomenon from an existential-phenomenological perspective. By getting the participants concept about '**pagpapalaya**', this can possibly reveal the natural world of letting go since there is scarcity on the psychological researches conducted regarding the phenomenon in the Philippines. Therefore, there is a need to move closer by exploring and understanding the nature of the experience, what it is, and whether it is linked to separation (personal to professional aspect of the helping professionals), a term often used synonymously with letting go. Indeed, in being born and in dying, we let go, and yet throughout the course of our lives, in living our development, it appears that we are in a continuous process of letting go. Thus, Achaan Cha (2008) pronounced (cited in Still Forest

Pool), “*Do everything with a mind that lets go. Do not expect any praise or reward. If you let go a little, you will have a little peace. If you let go a lot, you will have a lot of peace. If you let go completely, you will know complete peace and freedom. Your struggles with the world will have come to an end.*”

## Framework

Since time immemorial, no one exempts from the events caused by stress, trauma, or any form of pain and its different effects to the body, which gave birth to Biopsychosocial approach. In 1977, Dr. George Engel first framed the Bio-psychosocial model as a response to the cold and clinical ‘reductionist’ medical model. A diagnosis and treatment based entirely on clinical tests ignored the how person is coping generally. The Specialist Osteopaths (2003) mentioned that it was conceptualized from a dynamic interaction between psychological, social, and bio-medical factors. Hence, Dr. Engel eloquently stated: *...to provide a basis for understanding the determinants of disease and arriving at rational treatments and patterns of health care, a medical model must also take into account the patient, the social context in which he lives and the complementary system devised by society to deal with the disruptive effects of illness, that is, the physician role and the health care system. This requires a biopsychosocial model.* Today, the Biopsychosocial approach paves its way to assist the clients to alleviate trauma, depression, anxiety, general well-being, and persistent pain, through therapeutic and counseling sessions, within and beyond hospitals and clinics. With this, many institutions are trying to incorporate biopsychosocial model to health and pain. Likewise, the concept of wellness states good health with accompanying quality life and strong relationships (Kalat, 1998). A research anchored from modules employed the bio-psychosocial (domains concerning the biological, psychological, and social aspects) of an individual approach of Dr. Engel to the indigent children of the Philippines. The Modules for Caregivers: Basic Bio-Psychosocial Help for Children in Need of Special Protection was a joint project of University of the Philippines and UNICEF-Manila in 2012. The module facilitates understanding of the components of the theoretical framework underlying the process of providing basic biopsychosocial help to CNSP. It includes important concepts in childhood and development, children’s rights, and stress and coping (UNICEF-Manila, 2012).

In this study, the interactive and meaningful process, and vulnerability of every school helping professionals to let go either during or after terminating the counseling session, which the concept of (counter) transference can be manifested among its help provider (Figure 1).



Figure 1. Conceptual paradigm of “Letting Go (Pagpapalaya)” process and therapeutic model.

The phenomenon of letting go can be present among school helping professionals even in their work place or day-to-day activity. During therapy or counseling sessions, school helping professional polarize duality to connect with the client. The effectiveness of the process relies with the good techniques or strategies, well-guided procedures, skills employed by the therapist or counselor, and the natural ability of the client to recover. However, the client as source to transfer the conflict, trauma, persistent pain, or any form of problem is crucial. This can greatly affect the therapist/counselor-practitioner and counselor-educator at certain point through *transference* (i.e. client bringing developmental baggage into therapy/counseling session can invariably project his/her old or traumatic issue/s onto the school help provider) or *counter-transference* (i.e. school help provider brings his/her developmental baggage into counseling session; same projection process can occur in the opposite direction leading onto the client) resulting to vicarious traumatization (Sommers-Flanagan & Sommers-Flanagan, 2004). If this happens, the therapist/counselor-practitioner or counselor-educator may find himself in the abyss – difficulty to let go.

Indeed, “let go” is an expression often used in contemporary language, yet little is known about the experience and its true meaning. According to Ainsworth – Smith and Speck (1982, as cited by Fortunas in 2003), letting go implies being gently drawn into a new sort of existence, or released or dragged into a void where nothing is safe of nothing consistent. The term entails as a concept, where both a sense of liberation and a sense of loss defined. This imparts as change, through mobility, from one position to another. Thus, researches on psychological literature reveal no significant theory regarding the concept of letting go and, therefore, a gap appears (Fortunas, 2003). I observe that the term is often use in self-help books (e.g. “The Art of Letting Go” by Schweitzer in 2010). Nevertheless, the psychological meaning of the phenomenon remains vague or even unexplored. Even with a surplus of studies, books, and article dealing with cessation in psychotherapy with bit of information about the phenomenon of letting go, it cannot suffice the lived experiences of the helping professionals’ letting go after handling counseling sessions. Even help providers like school helping professionals cannot be spared from this phenomenon.

As mentioned by Lee (2008), trauma pertains to the experience of being psychologically overwhelmed. When traumatized, a person rendered impotent. This allows him to be incapable of coping either intellectually or emotionally. Thus, a research has shown that trauma leaves a person changed both psychologically and physiologically and alters a person’s thinking patterns, emotional responses, and even biochemistry (Van der Kolk, 1994). By bringing this in my field, indeed, I am privilege, increasingly the excitement of listening to their stories allows me to be enticed and be able to provide emphatic engagement. Thanks to the school helping professionals, as stated by Van der Kolk (1994), the trauma survivors are free from frequent experiences of depression, anxiety, and difficulty responding to new situations, rigid thinking, defensiveness, paranoia, aggressiveness, over-reactivity to mild stress, and increased health problems. However, when the trauma accumulates in me without my recognition, I became a hidden victim. The trauma or pain, which the (trauma) survivors used to have, is now a part of me. This phenomenon might also be evident to anyone. With this, the outcome of this study is a qualitative discovery and exploration of the lived experiences of letting go (**pagpapalaya**) among school helping professionals. The research also contains current content knowledge attributed to letting go, purposely to school helping professionals as well as their families, peers/friends, and significant others. According to Dela Cruz (2010), when trauma, depression, anxiety and persistent pain are not healed by mere passing of time, they strike the general wellbeing of an individual which marks the phenomenon of failure in “letting go.” This is the time when an individual seeks assistance from a professional or sometimes from an ordinary

person significant to him. By chance, the primary victim once becomes possibly free (or not) from extraneous trauma, transferring it to another individual in the persona of the help provider (counselor/therapist) who is now considered a hidden victim. The professionals whose nature of work inherently exposes themselves to trauma and its by-products are subject to acquire vicarious traumatization. It has been noted that the nature of trauma can be cumulative (*small and big collectively pile up together*), insidious (*unaware of it but you already acquired the trauma*), and contagious (*transferred from one victim to another by virtue of sympathy, compassion, or just by observation*). Thus, most individuals who undergo difficulty letting go hold firmly onto something such as their stories, fears, losses, expectations, relationships, possessions, and the alike. These might be the things that cause them pain and suffering. When a person finds the traumas evidently upsetting, frightening, or painful to one's life, either threatened or totally hurt, these things can further affirm one's difficulty letting go or "getting over" it. Hence, the individual might feel the upshots of these traumas for many years, even for the rest of his/her life, especially when they build up. At times, the person does not notice the effects right after the trauma happens. To others, it can *recur* (recurrence) or happen again before one's recognition while some might let it *relapsed*. If so, the individual may develop the symptoms and not even remember the traumatic things that once happened.

Hence, the demarcation of an individual to find himself with the difficulty of letting go depends on the process of synchronicity. When one experiences asynchronous thoughts, emotions, and/or actions, there is a great chance that the person cannot find the meaning or appropriate response to it. If this happens, the person will find himself/herself having difficulty letting go or, worst, being fixated and unable to move on. According to SAMHSA (2014), the traumatic things that happen to people are overlooking as a possible cause of frightening, distressing, and sometimes disabling emotional symptoms such as depression, anxiety, phobias, delusions, flashbacks, and being out of touch with reality. In recent years, many researchers and health care providers have become convinced of the connection between trauma and these symptoms. More likely, the evidences are marked in the individual's thought or cognition. As observed, the major part of holding on takes place in thought, which can be obsessive thoughts, worries for the future, and even regrets of the past. Sommers-Flanagan (2004) affirmed that the thoughts flow to the brain through the process of transduction. This is how the human brain and the rest of the nervous system determine what an individual perceives, feels, thinks, says, and does. Various individuals may find it obvious to their emotions or affect, for they may be having mood swings or extreme sadness, which sometimes leads to depression. Several people might find the trauma affecting their bodies. Physiologically, the intense muscular tightness or even looseness, together with the pounding beat of their heart, marks the trauma. A few might encounter trauma on spirituality, which can cut off the link between man and his God.

By looking into the dimensions of contemporary letting go (**pagpapalaya**), the present study underscored and explained the essential elements a culturally rooted therapeutic model. Peralta (2011) mentioned that in understanding the Filipino people, an in-depth study of the different ethnic groups is needed - their beginnings, differentiation, adaptation, distribution, convergence and many other aspects. With his book (i.e. *Glimpses: Peoples of the Philippines*), he intends to identify all the ethnic boundaries that define their existence and provides glimpses of the different people that make up a nation. Thus, cultural-rootedness begins with recognition that there are differences between cultures. These differences reflected in the ways that groups communicate and relate to one another, and they carry over into interactions and intervention. This considers the native and authentic cultural formulation of the participants with regard to their diverse cognition, affect, and behavior. This provides recognition of how the participants' cultural orientation contributed to their healing process (Maj Majest.com, 2012). The lived ex-



periences and cultural origin can possibly contribute to the outcome of their interventions. The culturally rooted therapeutic model of letting go (**pagpapalaya**) attempts to prevent or avert the negative impact of the trauma and its by-products among the Filipino helping professionals. Any extent of change, effect, or outcome, which occurs through partial or repeated intervention, is therapeutic in nature (DSM-IV-TR-Plus, 2012). Accordingly, it provides the possibility of having any form of positive change among school helping professionals who have undergone difficulty in letting go.

### Purpose of the Study

The study aims to understand the meaning of experience, to discover and describe the structure and essence of the phenomenon of letting go (**pagpapalaya**), and to contribute to knowledge in the field of education as well as in guidance and counseling. By narrating the participants' experiences of letting go considers the intention not to seek theoretical confirmation but to allow the phenomenon to surface and reveal itself. Specifically, this seeks to do the following: (1) document the lived experiences among school helping professionals undergoing trauma before letting go; (2) describe the process of difficulty of letting go; and (3) develop a therapeutic model of letting go among school helping professionals who have had handling difficulty.

### Literature Review

#### A Journey to Psychological Approach

Understanding the psychological process of our human journey through life requires a developmental approach. Knowles (1986) profoundly stated that human psychology cannot be understood unless it is considered within the framework of developmental psychology. The human being always has some relationship to time – to his past, present, and future – and this relationship is central to his existence. Psychoanalytic development theory views growth as a process of separation from dependence and autonomy, and in the mobility of separation through space and time, as well as growth and development. While Heidggerian (1962) said, human development occurs in a spiral manner rather than in chronological line. In the process of growth and development, as we define a sense of self, we let go, separate, and move on. Similarly, Erik Erikson (1971) also noted the evidence of letting go using the second Eriksonian developmental phase, viz, that of “autonomy vs. shame and doubt” depends on the achievement of trust as challenged during the previous phase. This phase is specifically significant to the phenomenon of letting go (Erikson, 1971; 1969). Erikson directly attends to the phenomenon of letting go and discusses it in the context of this phase, where the experience of the lived body gains significance up to the infant's capacity to hold on and to let go (Merleu-Ponty, 1962). Although holding on and letting go are paradoxical in meaning, a personal will unfolds. The basic trust in the world and faith in existence develop during the earlier (trust vs. mistrust) phase. With this, letting go also sets its ability to hold and control. The dialectical significance of holding on and of letting go is reflected in the child's experience of control (holding on) and submission (letting go), these being paradoxically juxtaposed. The lived body experience of holding on and letting go extended in relation to the world of things and others. Developing a muscular capacity provides a greater ability and awareness of personal control, with an increased power over the environment. Control is holding on while letting go is a release or submission (Erikson 1969; Knowles, 1986).

With the evolving will, a sense of a personal control increases, and yet there is an awareness of the interpersonal aspects of control. While the second phase, the mutual regulation between the parent and child is greatly challenged. This phase has noted in the research conducted by Castronuevo-Ruga (2010) wherein the analysis revealed that identity/orientation development normally begins in childhood. It pervades by a conglomeration of feelings and thoughts, and culminates in late adolescence where milestones like initial intimacies, first full sexual encounters, and relationship occur. It has seen that as a defining moment in the samples' development, the resolution of identity issues did not automatically happened and totally lead to the supposed momentous event. The outcome of such choice, as seen in most of the accounts, seems to show otherwise. Similarly, citing an earlier work, Alapack and Alapack (1984) explicated as follows: *We face certain life issues repeatedly; rarely do we deal with them for once and for all.* If we do not resolve previous significant aspects of our life, we desperately hold on to their earlier meanings, destined to repeat them in order to find a resolution and move on. Previously unresolved aspects of one's life lie dominant, where their meanings can be reactivated later in life. This is Freud's repetition compulsion, or stated differently, a tendency to repeat with an inability to let go. Similarly, Fairbairn (1943) described a traumatic experience as the activation of a pre-existing, previously unresolved event in one's life. As we find solutions and move on, the developmental achievements acquired determine personal development and the quality of our lives.

#### Phenomenon of Letting Go: Heidegger, Levinas, Mahler and Erikson

The following proponents aim connection on the concept of 'being' which coincides the vital features of human existence and its separation-individualization concerns. Like Martin Heidegger (1962), a German philosopher, brings together existential concerns and the phenomenological method. His analysis of human existence deals with the ontological question of the meaning of 'being' (Dasein). To Heidegger, human existence is a contextual "being in the world", a concept that undeniably acknowledges existence as relational, where the human individual shapes the world and others, but is, in turn, shaped by the world and the others. For his work on human development, Richard Knowles (1986) reviews Erikson in the light of Heidegger and includes a comprehensive existential-phenomenological perspective. Significant to understanding development is Heidegger's view of existence as temporal and historical, as well as acceptance of transcendence to reflect openness to what has not occurred or 'unknowness' of what one enters as implied by letting go. Heidegger's ontology and temporality has been acknowledged by the work of Emmanuel Levinas (1979), who describes truth as moving beyond existence, beyond the ontology of Being. In acknowledging the significance of 'being', his study also acknowledges an intentionality and willingness to move beyond the centralized paradigm of ontology or the contextuality of recognizing letting go. In embracing the contextuality of human existence, both Erikson (1969) and Mahler (Mahler, Pine & Bergman, 1975) substantially extend psychoanalytic theory into a general developmental psychology. Thus, Erikson describes as the autonomy vs. shame and doubt phase while Mahler identifies as Rapprochement or third sub-phase of Separation-Individuation. As explained, Mahler, Pine, and Bergman (1975) consider the process of continuity as integral to separation-individualization. She considers the "separation-individuation process" as psychological birth of the individual, where there is: *The establishment of a sense of separateness from, and relation to, a word of reality, particularly with regard to the experiences of one's own body and to the principal representative of the world as the infant experiences it, the primary object.* Later, Bowlby (1998) described as occurring with the absence of separation-individualization process towards autonomy. The concepts of 'separate' and 'separateness' indicate the developmental growth and maturity that unfold as the child lets go of the mother or others by explaining the complementary to "the psychologi-



cal birth of the human infant” or separation-individualization. Thus, this simply explained the connection on the concept of ‘being’ which concur the vital features of human existence.

### Phenomenology as an Approach and Method in Research

The contemporary definition of phenomenology all rooted from its proponent. Edmund Husserl (1859–1938), the founder of phenomenology, addressed the body throughout his philosophical life, with much of the relevant material be found in lecture courses, research manuscripts, and book-length texts not published during his lifetime. Nevertheless, its evidences were clear and left great marked at present. He organized four (4) main tasks as Husserlian phenomenology of embodiment: bringing naturalistic presuppositions about the body to light, setting aside the naturalized body in favor of embodied personhood, offering phenomenological descriptions of the structure of embodied experience, and demonstrating that transcendental (inter)subjectivity itself must be thought as kinaesthetic consciousness. Hence, the Husserlian phenomenology stands in opposition to naturalism, for which material nature is simply a given and conscious life itself as part of nature, to be approached with natural-scientific methods oriented toward empirical facts and causal explanations. In contrast, phenomenology turns directly to the evidence of lived experience—of first-person subjective life—in order to provide descriptions of experiencing and of objects as experienced, rather than causal explanations. For Husserl, these descriptions are to be eidetic (or “essential”) insofar as what is being described is not a specific set of empirical facts considered for their own sake, but invariants governing a certain range of facts (Behnke, 2013).

On the other hand, Giorgi (1977) said that phenomenology, as an approach, describes the lived experience of the phenomena. Similarly, Denzin and Lincoln (2012) explained a qualitative research using phenomenology as a situated activity that locates the observer in the world. It consists of material practices that make the world visible. They turn the world into a series of representations, including field notes, interviews, conversations, photographs, recordings, and memos to the self. It involves the use and collection of a variety of empirical materials – case study; personal introspection; life story; interview; artifacts; cultural texts and productions; observational, historical, interactional and visual texts – that describe routine and problematic moments and meanings to individuals’ lives (Denzin & Lincoln, 2012). Correspondingly, Thomas Groenewald (2004), in his article, “A Phenomenological Research Design Illustrated” mentioned that in phenomenological research, the goal of the researcher is to describe as accurately as possible the phenomenon, refraining from any pre-given framework, but remaining true to the facts. This, he cited from the work of Giorgi (1977), states that the operative word of phenomenology is ‘describe.’ He further explained it from the point of view of Welman and Kruger in 1999, which said that the phenomenologists are concerned with understanding social and psychological phenomena from the perspectives of people involved. In the same article, several authors were cited describing phenomenological research. Gubrium and Holstein (2000) quoted the works of Alfred Schultz whose foundation was from Husserl’s philosophical phenomenology that states towards the ways in which ordinary members of society attend to their everyday lives. Groenewald also made mention of (Greene, 1997; Holloway, 1997; Kruger, 1988; Kvale, 1996; Maypole & Davies, 2001; Robinson & Reed, 1998), describing that a researcher applying phenomenology is concerned with the lived experiences of the people involved, or who are involved, with the issue that is being researched. He further captured the words of Van den Berg, which said and translated by Van Manen (1997) that profoundly says: *[Phenomena] have something to say to us - this is common knowledge among poets and painters. Therefore, poets and painters are born phenomenologists. Or rather, we are all born phenomenologists; the poets and painters among us, however, understand very well their task of sharing, by means*

*of word and image, their insights with others - an artfulness that is laboriously practice by the professional phenomenologist.*

Similarly, Peñaflor (2010) saw the importance of reflecting on the lived experience to be able to return to the concrete or the essence of things, as mentioned by Edmund Husserl with his famous slogan “Back to the things themselves!” (Groenewald, 2004). He posed a challenge as he questioned: “What does the lived experience mean from the perspective of the subjects of the study based in the context of their specific socio-cultural milieu? Equally, Luna’s (2009) inclusion of the “Essential Elements of Phenomenology Adopted in the Methodology of Human and Social Sciences” was helpful in the methodology of Human and Social Sciences in understanding further phenomenology as a method of study. By adopting these concepts, a deeper grasp of phenomenology was taken and these are: (1) **life world**, which refers to the “everyday world we live in with the taken-for-granted attitude” (Husserl, 1930); (2) **lived experience** points to the experience as lived by the person at a given time and place (Van Manen (1997); (3) **consciousness** (Giorgi, 1977), refers to the elements that present themselves in the lived world which need to be part of the consciousness of the person (for them to be spoken of or referred to) and acknowledged the consciousness; (4) **intentionality** (as defined by Van Manen, 1997), refers to the inseparable connectedness of the human being to the world; and (5) **redirection** from the words of (Van Mannen, 1997). Lastly, (6) **essence**, as defined by Van Manen (1997), refers to what makes a thing it is. The essence of a thing is its essential meaning before social and cultural meanings. It is the seeking of the essence, the true being, of the “things for themselves” as opposed to how they are experienced in the life world (Luna, 2009 as cited by Peñaflor- Gosgolan, 2013).

A classic and stable method established by Clark Moustakas (1994), in “Phenomenological Research Methods” serves as a comprehensive description in trying to explain this approach from the Human Science Perspectives and Models. He described five human science research approaches that make use of qualitative approach. These are (1) **ethnography**, which refers to the direct observation of the activities of a certain group, as well as communication and interaction with the group members. Then, (2) **grounded theory approach**, wherein he explained that the data is collected and the hypotheses and concepts based on data analysis are worked out during the study; with (3) **hermeneutics**, which involved the art of reading text or experiences in such a way that the intention and meaning behind the appearances are understood. Followed by (4) **empirical phenomenological research** that described as returns to experience in order to obtain comprehensive descriptions and to determine what the experience means for the people who have had the experience; and (5) **heuristic research** that begins with a personal question or challenge, but one that has a social or universal significance through self-inquiry and dialogue (Moustakas, 1994). Consequently, Moustakas (1994) also adapted the following processes from Patton’s (1990) notes. These included, (1) **epoche** setting aside prejudgments and opening the research interview with an unbiased, receptive presence; together with (2) **phenomenological reduction** as description of what is seen on both the external and internal level, the relationship between phenomenon and self. Then, (3) **imaginative variation** in varying the frames of reference and of the perspectives, employing polarities and reversals; and (4) **synthesis of meanings and essences**, intuitively-reflectively integrate the composite textural and composite structural descriptions to develop a synthesis of the meanings and essence of the phenomenon or experience (Moustakas, 1994).

### Introspection on the Sources of Trauma

Recently, the Philippines suffered from national trauma. Earthquake shook Bohol and its

nearby provinces, and then a super typhoon came, which almost erased the entire Tacloban and its close proximity. An excerpt from an interview conducted by Pedrasa (2013) to Honey Carandang, a social scientist and trauma expert stated: *I can say we have national trauma because the magnitude is more than we could ever think of. It's unimaginable. Because of that, everybody is affected: those whose family members have died as well as the relief workers. Reporters are also vicariously traumatized. It's what we call secondary trauma.*” Even people watching the scenes on television are traumatized, she told ANC.

In the contemporary world, Lee (2008) defined trauma as the experience of being psychologically overwhelmed. When traumatized, a person rendered impotent. At that moment, he is incapable of coping either intellectually or emotionally. Research has shown that trauma leaves a person changed both psychologically and physiologically, and alters a person's thinking patterns, emotional responses, and even biochemistry (Van der Kolk, 1994). On the lighter note, trauma survivors frequently experience depression, anxiety, difficulty responding to new situations, rigid thinking, defensiveness, paranoia, aggressiveness, over-reactivity to mild stress, and increased health problems (Van der Kolk & Van der Hart, 1991; Van der Kolk, 1994). More so, trauma can come from a single catastrophic event, such as violence in the workplace, or a series of less dramatic stressors that, through their cumulative effect, create debilitating psychological and physical changes. The combined effects of stressors such as demeaning work conditions, worker/job mismatch, prejudice, unclear job expectations, and impossible workloads create Cumulative Emotional Trauma (CET), abusive treatment by peers or superiors, emotionally draining interactions with difficult people, and job insecurity. Although not as cataclysmic as a major violent episode in the workplace or a natural disaster, these factors chisel away at a worker's sense of security, value and well-being. Although we often refer to the more chronic sources of trauma as “stressors”, we need to recognize their cumulative effect when assessing the damage they cause. As if Cumulative Trauma Injury sustained from repetitive movements, CET does not result from a single dramatic incident, but from the accumulation of micro-traumas over time. Thus, trauma can come from a single, cataclysmic event or the cumulative effect of multiple stressors. Whichever the cause, emotional trauma results in emotional, intellectual, and physiological damage, which reverberates throughout a person's life.

Specifically, the emotional effect of trauma publicized well. To scratch the surface in our understanding of the damage it causes, especially at the work place because of colleagues and the environment itself (aka traumatic workplace). The depth and breadth of trauma's effect on our workforce is far more serious than many people realize. Trauma impacts every aspect of a person's effectiveness in the workplace. Traumatized workers compromised in their ability to learn, think, manage change, and relate to others. Likely, Lee (2008) mentioned that by understanding and articulating to decision makers how their organization is affected by trauma, workplace wellness consultants make a major economic and humanitarian impact on the workplace. This explores the cumulative effects of chronic and acute stressors to the worker's trauma. Likewise, how this trauma affects a worker's intellectual abilities, creativity, productivity, ability to manage change, response to diversity, and interpersonal capabilities. Similarly, (Shepell, 2010) stated that coping with a workplace trauma can be one of the most challenging events you and your team have to face. While the event itself is difficult enough, the residual effects can be longer lasting if not handled effectively. On the other hand, another form of trauma is translated through the clientele themselves (Radmore, 2012). This study deals about the implementation of a trauma informed care on clients' perception safety. One proposed method is to increase clients' safety and perceptions of safety in agencies that work with populations who experience trauma, including the homeless population through the implementation of Trauma Informed Care. The results revealed no statistically significant increases in perceptions of physical or

emotional safety between 2011 and 2012, which could be because the implementation of complex to the organizations' staff, administration, policies and procedures, and hiring practices of Trauma Informed Care in the clients' perceptions of safety (Ravasi & Schultz, 2006). Similarly, Colorado Coalition for the Homeless Clients reported that they asked about trauma. There was increased perception of physical and emotional safety. This indicates a strong relationship when asked about trauma and perceptions of safety, thus suggesting that it is important for service providers to ask clients about experiences of trauma.

Finholt (2011) explored and associated trauma to romantic partner betrayal wherein this serves as a predictor of trauma and depression, and whether the three variables serve as moderators of the links between betrayal, trauma, and depressive symptoms. The three moderating predicting variables studied were attachment (avoidant and anxious), dependence, and forgiveness. These relationships were analyzed in a community sample of 18 to 81 years old participants (N=3,111). Participants recruited and data collected through the internet. Hierarchical multiple regressions used to test the predicted relationships. The findings underscored (1) positive relationship between partner betrayal and trauma, such that the greater the partner betrayal the greater the trauma; (2) positive relationship between partner betrayal and depression, such that greater partner betrayal is related to greater depression; and (3) the moderating variables of attachment, dependency, and forgiveness also provided significant results. Since significant relationships were found between partner betrayal, trauma, and depression, the knowledge of betrayal could inform treatment planning and guide treatment choices when working clinically with individuals and couples (Finholt, 2011). The journal made by Owen (2012) explored the association among young adults' (N=86) experiences of betrayal traumas (interpersonal trauma perpetrated by someone close) prior to age 18, psychological well-being, attachment styles, and romantic relationship function (i.e., dedication, relationship adjustment, and perceived partner respect). Based on betrayal trauma theory, it posited that those participants' reports of betrayal traumas would negatively related to their perceptions of respect from their partner but would not relate to their perceptions of relationship adjustment or dedication. Results identified a negative association between betrayal traumas and psychological well-being and a positive association between betrayal trauma and anxious and avoidant attachment. Another study conducted by Nelson and Schwerdtfeger (1995) provided a stable information about the family and its trauma. As discussed, it states that partners, parents, and sibling often must endure the effects when a family member is traumatized. The family may serve as a resource for support or an obstacle that blocks a traumatized member's recovery (Compas & Epping, 1993). Families may become "trauma-organized systems" (Banyard, Englund & Rozelle, 2001), with patterns related to the traumatic experience manifested on a family system level. When children suffer from the effects of trauma exposure, the reactions of parents may negatively impact children more than the direct trauma exposure (Steinberg, 1998). Parents' own past traumatic experiences might account for this, or parents might feel inadequate in helping their children cope with the trauma (Marans, Berkman, & Cohen, 1996).

Similarly, Steinberg (1998) identified two ways that children are affected when a parent is traumatized: (a) witnessing a parent's trauma (e.g., domestic violence, sexual assault), or (b) experiencing posttraumatic symptoms of the parent (e.g., flashbacks, startle responses). Literature on children of trauma survivors primarily has focused on the children of war survivors (e.g., Bar-On, 1996; Danieli, 1998; Rosenheck & Fontana, 1998). Other literature has addressed the intergenerational transmission of abuse (Buchanan, 1996; McCloskey & Bailey, 2000) and the effects of community violence (Dulmus & Wodarski, 2000). The conclusion indicates that depression, anxiety, psychosomatic problems, aggression, guilt, and related issues may be com-



mon in the offspring of trauma survivors (Felsen, 1998). Limited literature has focused on the impact of trauma on the sibling subsystem. Children who suffer the loss of a sibling unexpectedly (through accident or murder) may be at risk of developing PTSD or other symptomatology (Applebaum & Burns, 1991; Freeman, Shaffer & Smith, 1996). When a trauma survivor experiences severe PTSD symptoms, there may be negative effects on other family members. Assessments should focus on both individual and interpersonal sequelae from trauma, including parent-child interactions, discipline, communication, and other areas of family functioning. Identifying the repercussions from trauma on families is critical to prevent further traumatization (Nelson & Schwerdtfeger, 1995). The assumption is that family members who experience a shared distressing event often become closer and appreciate each other more. Such events include car accidents, floods, crime or violence, and a sudden illness and/or death in the family. These experiences can change a person's attitudes, beliefs, feelings, and behavior (State Government Victoria-Department of Health and Services, 2011). If so, each family member will react to the event in his own way. If family members do not understand each other, then misunderstandings, communication breakdowns, and other problems can result. This became evident during the Ondoy typhoon, which hit Manila. The results presented and gathered through interviews and visits to Provident Villages. The findings revealed that the respondents could identify three major floods in the village prior to the Ondoy flood (i.e. 1978, 1988, 1998/1999). The floods in the past considered manageable compared to the Ondoy flood. Moreover, the results showed that most of the respondents did not prepare for future eventualities prior to the Ondoy flood but their families served as strong source of strength (Yumul, 2011). Many families who look back and consider that crises or trauma in any form have helped them be closer and stronger. Thus, if the distress begins to grow its roots and anchors too much on the ground, do not hesitate to seek professional help.

Cornista, de los Reyes, Garde, Lichaytoo, and Tibayan (2012) focused on phenomenology of K-Pop. The first Philippine K-pop convention was held in PICC last 2009 which was attended by more than two thousand K-pop fans. The theories researched on assimilated with the qualitative study, such as the Acculturation Theory (a process in which members of one cultural group adopt the beliefs, values, and behaviors of one group), Super Peer Theory (believes that adolescents mimic the behavior of those individuals whom they most want to be like), and Social Learning Theory (states that behavior can easily be learned). This research aimed to give information on the experiences of K-pop fans, to whom and where they express their fandom. Therefore, fans of Korean Pop Culture commonly experience imagining themselves as the artist and meeting their favorite band. Similar to the Super Peer Theory, fans look up to the artists in Korean Pop Culture and admire them to the point that they want to be like them. Fans also invest their time in the internet, and use Social Networking Sites to express their fandom. Media exposure has made this new culture available for Filipinos to appreciate. Acculturation occurs, to a certain extent, through the way media has helped Filipino fans adopt behaviors from Korean Pop Culture, such as watching Korean TV shows/movies and listening to K-pop. According to Kim (1992), increased interpersonal communication within the host environment will result in increased acculturation. Finally, fans would always find ways to express their fandom to family, friends, and fellow fans. Participants "learned" to like K-pop because of the behavior shown by their peers, thus learning takes place through imitating the behavior others.

### Therapeutic Approaches: Brief Humanistic and Existential Therapies

Lane (2012) mentioned that humanistic and existential psychotherapies use a wide range of approaches to case conceptualization, therapeutic goals, intervention strategies, and

research methodologies. They unite by an emphasis on understanding human experience and a focus on the client rather than on the symptom. Psychological problems (including substance abuse disorders) viewed as the result of inhibited ability to make authentic, meaningful, and self-directed choices about how to live. Consequently, interventions aimed at increasing client self-awareness and self-understanding. While the key words for humanistic therapy are *acceptance* and *growth*, the major themes of existential therapy are client *responsibility* and *freedom*. More so, humanistic and existential approaches share a belief that people have the capacity for self-awareness and choice. However, the humanistic perspective views human nature as good, with an inherent potential to maintain healthy, meaningful relationships and to make choices while the humanistic therapist focuses on helping people free themselves from disabling assumptions and attitudes so they can live fuller lives. On the other hand, the existentialist is more interested in helping the client find philosophical meaning in the face of anxiety by choosing to think and act authentically and responsibly. Thus, creativity, love, authenticity, and free will recognize as potential avenues toward transformation, enabling people to live meaningful lives in the face of uncertainty and suffering. Hence, everyone suffers losses (e.g., friends die, relationships end), and these losses cause anxiety because they are reminders of human limitations and inevitable death. An existentialist recognizes that human influence shaped by biology, culture, and luck, as well as the belief that each individual is responsible for making meaning out of life.

#### Therapeutic Alliances: Using Humanistic and Existential Therapies in Case Study and Researches

In general, brief therapy demands the rapid formation of a therapeutic alliance compared with long-term treatment modalities. The counselor's empathy and acceptance, as well as the insight gained by the client, contribute to the client's recovery by providing opportunities for his/her to make new existential choices and decisions. Thus, clients may be more likely to see beyond the limitations of short-term treatment and envision recovery as a lifelong process of working to reach their full potential. Many aspects of humanistic and existential approaches (including empathy, encouragement of affect, reflective listening, and acceptance of the client's subjective experience) are useful in any type of brief therapy session, whether it involves psychodynamic, strategic, or cognitive-behavioral therapy. Some of the key proponents of this approach include Abraham Maslow (i.e. self-actualization), Carl Rogers (i.e. person-centered therapy), and Fritz Perls (i.e. Gestalt therapy).

Meanwhile, narrative therapy emerges from social constructivism, which assumes that events in life are inherently ambiguous, and the ways in which people construct meaning largely influenced by family, culture, and society. Narrative therapy assumes that people's lives, including their relationships, shapes by language and the knowledge and meaning contains in the stories they hear and tell about their lives. Recent approaches to understanding psychological growth have emphasized using storytelling and mythology to enhance self-awareness (Feinstein & Krippner, 1997). When people tell and retell their life stories (with the help of a therapist), the stories evolve into increasingly meaningful and healing constructions. As narrative therapists listen to the stories clients tell, they assist them by identifying alternative ways of understanding events in their lives. Thus, they help clients to assume authorship of their lives in order to rewrite their stories by breaking patterns and developing new solutions. Narrative approaches to psychological healing have been used across various cultures (Katz, 1993), but they have often been overlooked by mainstream mental health professionals. Contemporary approaches to narrative therapy recognize the importance of understanding how human experience becomes meaningful. A person's life influenced by the narratives he constructs, which



are, in turn, influenced by the narratives of those around him. Thus, the therapy viewed as a collaborative attempt to increase clients' awareness of the ways in which events in their lives become significant. Similarly, transpersonal therapy recognizes the need for basic psychological development to integrate with spiritual growth (Nelson, 1994). Without such integration, there is danger of "spiritual bypassing," where issues of basic psychological functioning avoided in the name of spiritual development. In other words, the basic psychological work should be undertaken first.

### Rituals: An Indigent Approach in the Process of Change

Rituals are symbolic actions that communicate a forming or transforming message in a unique social space which may mark or assist in the process of change (Schirch, 2004). The ritual is a connection to the perceived behavior that one wants to achieve or be healed of. The difference lies in uncovering the principles behind it and linking it to modern therapy. It is the "meaning" behind the ritual providing essence of healing together with the therapeutic relationship between the client and the counselee (Parker & Horton, 2011). In counseling, primarily the essentials in a good intervention, as Corey (2009) would say, would be the therapeutic relationship and the technique. Everyday actions, routines, and celebrations said to be rituals that people perform. It is the key to cognitive consonance (Parker & Horton, 2011). It has the power to reach people in cognitive and affective manner at the same time (Mullis & Fincher in Di Guardi, 2005). Through the power of symbolism, individuals move beyond cognitive knowledge to a deeper level of affective understanding (Parker in Di Guardi, 2005). Prayer is a form of meditation and is the highest form of ritual, which mats in spirituality (Saraydarian, 2012).

The nature of ritual presents in different ways (Bird in Kreinath, Agustinus, Snoek, & Stausberg, 2007). First, ritual scripts must act out and not just spoken; it calls for bodily action. Second, by virtue of the ritual enacted, participants expect something to happen. Ritual action believed to have an immediate efficacy. Third, as in theatrical drama, participants assume particular valid positions/character rather than a special role because, within the ritual, the focus of attention is on their sense of identity and on their relation to what counts on reality and not on a specific tasks and function. Fourth, ritual actions repeated. Fifth, they authoritatively designated. Rituals gain authority in part through the very process. Yet, rituals may gain authority by other means than by tradition. It helps eliminate toxins such as hurts, regrets, and other negative thoughts (Arseneau, 2013). Rituals used in counseling may be across cultures (Zhang, Risen, & Hosey, 2013). In another study, it was found out that ritual behavior stimulates goal-directed action and enhances the enjoyment of consumption because of the greater involvement in the experience that they prompt (Vohs, Wang, Gino, & Norton, 2013). Similarly, another study pointed out the importance of rituals in lowering levels of grief. Although the specific rituals in which people engage after losses vary widely by culture and religion and as observed among the participants, the results suggest a common psychological mechanism underlying their effectiveness - regained feelings of control (Noton & Francesca, 2013). Rituals are as simple as presenting a token that has meaning. In the present times, rituals need not be formal (Arseneau, 2012). In the cultural sensitive counseling approach, a counselor can provide that connection and insight during this transformative phase in a client's life. The counselor can be objective and supportive during a difficult time with the use of ritual (Arseneau, 2013).

## The Gift of Synchronicity

Dr. Richo David (2013) is a professor, researcher, and contributor of various sites, which cater psychology and research. His expertise explains the connection of spirituality to individuals' seeking meaning and reasons. Synchronicity is the phenomenon of meaningful coincidence. It is a resemblance, correspondence, or connection between something going on outside men and something happening inside men. In any ordinary coincidence, the events connect by meaning rather than by cause and effect, which is simply synchronization. It becomes synchronicity when it makes a meaningful connection with men's life's purposes or helps unfold our destiny to show love, see wisely, and bring healing to themselves and their world. All coincidences connect by meaning, but synchronicity happens when the meaningfulness is relevant to men's personal evolution. Synchronicity is a word made from two Greek terms meaning "joined with" and "time." It is a bond or connection that happens in a timely way, thus, combines an essential unity with an existential one. This is why it seems fitting to say that synchronicity guides men into spirituality and clusters around significant events. As if, synchronicity is the surprise that something suddenly fits. Likely, synchronous events are meaningful coincidences or correspondences that guide men, warn men, or confirm men on their path. Coincidence happens at a specific moment. Similarly, synchronicity also found in a series of similar events or experiences. It can appear as one striking event that sets off a chain reaction. It is always unexpected and somehow uncanny in its accuracy of connection or revelation. This is what makes it impossible to dismiss synchronicity as mere coincidence. To give strength to this claim, Jung called synchronicity: *A non-caused but meaningful relationship between physical and psychic events... a special instance of acausal orderedness. Conscious succession becomes simultaneity... Synchronicity takes the events in space and time as meaning more than mere chance.*

A coincidence is two unplanned events that happen simultaneously. It becomes synchronicity when it links by meaning. Synchronicity gives men a clue to the deep underlay of purpose and meaning in the universe and how that purpose is working itself out in men's lives. Generally, prayer answers synchronicity since prayers, which answered the ones that are consistent with our destiny. Synchronicity is the special moment in which destiny summons men to move forward. Synchronicity cuts across time-bound warps. Rilke (2003, p.213) wrote: *to transform itself in us, the future enters into us long before it happens.* Synchronicity also occurs in looking back upon one's life and seeing how it all prepares him/her or instructs him/her for the fullest fruition of his/her potential. A hidden feeling or truth waits to be awakened by just the right person or circumstance, sometimes painfully. Often, the only way a lost piece of one's self or of one's history comes back to his/her through another person (David, 2013).

## Methodology

This depicts an overview on how the research conducted. This includes the research design and method, research participants, sampling procedure, data gathering procedure, instruments used, and unit of analysis associated with "letting go" or in Filipino **pagpapalaya**.

## Methodological Orientation

The approach of this study is qualitative, specifically phenomenological method, as reflected by the research statement: "Describe your experience of letting go." The narration requires a descriptive answer rather than a quantitative study of measurements and statistical deductions. The intention is to understand the phenomenon of letting go among school helping professionals, rather than attempting to control or predict what it is and, to explicate its meaning and reveal its structure. According to Sue (1999), there is a need for more qualitative studies in

order to understand constructs and phenomena from different cultural perspectives. Moreover, qualitative method is preferred in studies that are exploratory in nature and when the essence of individual experiences is sought (Patton, 2002). It uses data obtained in the form of spontaneous descriptions regarding conscious awareness of the experience of letting go as it appears in the life-world of the research participants. The study is psychological, purposely, the in-depth interview was used to draw the lived experiences and the ways those experiences are understood to develop a worldview of **pagpapalaya**. Fortunas (2003) highlighted the phenomenological technique used by Moustakas (1994) as he explained the technique used by Van Kaam (1968) in the analysis of phenomenological data as an approach in research.

As a researcher, I allowed myself to unlearn and free from any form of belief (i.e. bracketing by Moustakas), followed by reviewing the transcription and field notes, while conducting the in-depth interview, together with the participants who highlighted and served as confirmatory details of their lived experiences. At the end of each reflective narrative, I acquired the thematic reflections using the in-depth interview. This allowed me to see my participants' textural language and structural descriptions which Moustakas (1994) calls as Phenomenological Reduction and Imaginative Variation. It is evident through "*the task of describing in **textural language** and seeks possible meanings through the utilization of imagination, varying the frames of reference, employing polarities and reversals and approaching the phenomenon from divergent perspectives, different position, roles, or functions to arrive at **structural descriptions** of an experience.*" The purpose of this type of interviewing is to describe the meaning of a concept or phenomenon that several individuals share (Seidman, 1998). Likewise, the methodological approach is open-ended, and there is no specific, predetermined idea of the outcome. Whereas, Husserl (1989) considers the first step using phenomenological *epoche or past experience* with the phenomenon of interest. The second focuses on present experience while the third joins these two narratives to describe the individual's essential experience with the phenomenon (Fortunas, 2003). A non-random sampling was employed, specifically the purposive sampling technique using snowball approach.

## Participants

One hundred twenty (120) licensed school helping professionals from Metro Manila and nearby provinces subjected for possible screening. Using snowball technique, only twelve (12) licensed counselors who function as counselor-practitioners (no other work load except guidance and counseling tasks) and counselor-educators (who at the same time, teaching only guidance and other allied subjects, such as Psychology, Values Education and Special Education) self-reported participants with difficulty letting go were chosen for interview. There were two (2) men and ten (10) women who self-reported as having man-made trauma associated to difficulty letting go. All participants affirmed the presence of trauma either through (counter) transference while handling the counseling session. Eleven (11) asserted its recurrence while one (1) of them pronounced relapsed of the traumatic episodes after the therapy. The participants were scouted through internet, support groups, personal contacts and even referral. They contacted to be the participants after responding to the screening test and delivering their initial narratives about the experiences of trauma. Participants' ages range from 29 years old to 58 years old, with the mean age of 44.3 years old. All are natural born Filipino and practicing as licensed school helping professionals - seven (7) counselor-educators and five (5) counselor-practitioners. Six (6) are Catholic, three (3) are Born Again, two (2) are Seventh Day Adventist, and one (1) is Iglesia ni Cristo. In addition, the interview with the participants was delivered in Tagalog and/or English, depending on their preference. Using Alapack's approach, the participants agreed to the following requirements: (1) intensely interested in understanding the meaning of the phe-

nomenon; (2) willing to participate in lengthy interview and perhaps follow-ups; (3) grant the researcher the right to tape-record and possibly even videotape the interview; and (4) grant the researcher the right to publish the data in dissertation or other publication (Moustakas, 2003).

## Research Environment

The identified participants were school helping professionals (as either counselor-practitioner or counselor-educator) in selected institutions (academe) within Metro Manila and nearby provinces (e.g. Bulacan, Laguna, and Cavite provinces). For school helping professionals, the counseling session served as one among the avenues with varied spectrum of trauma. From slight to profound cases, the counseling session has shown the scenario or reenactment of traumatic or toxic events.

## Instrument

The screening instrument was composed of a 25-item self-reported rating scale that measured the participants' affirmation of letting go. Five (5) experts whose expertise deals about related concepts of letting go, resiliency, and hope validated it. Thus, appendices B<sup>1</sup> contained the guide questions, which served as an initial in-depth interview, together with the narratives. These were developed to get the qualitative attributes of the participants' lived experiences. These questions were designed to obtain some basic demographic information, as well as a rich description of the internal and external processes involved with the participants' experiences of difficulty letting go, as well as the concept of letting go (**pagpapalaya**). The interviews were administered using the guided questionnaire. This allowed a dual purpose of: (1) ascertaining whether the participants would feel that they understood and (2) determining whether the participants would require a follow-up.

## Data Gathering Procedure

One hundred twenty (120) licensed school helping professionals within Metro Manila and nearby provinces were initially screened. The details of their contacts and institutions were provided through the Philippine Guidance and Counseling Association (PGCA). A letter asking for the complete list was submitted to the office. The screening part was administered via internet. Figure 2 illustrates that data analysis and reflective analysis of letting go (**pagpapalaya**).

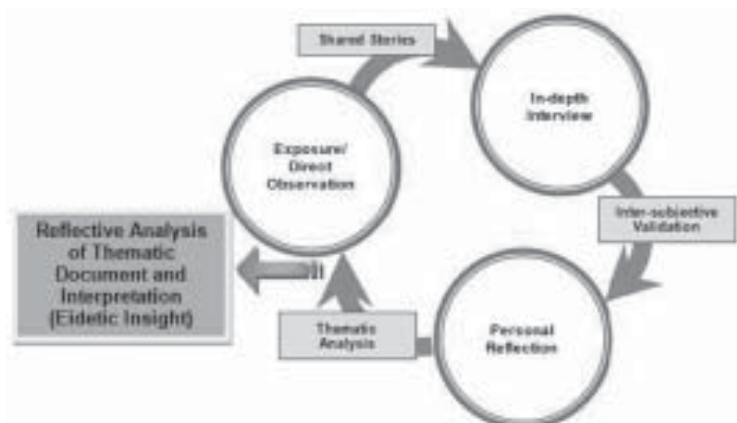


Figure 2. Data gathering and reflective data analysis process of letting go (**pagpapalaya**).



Then, twelve (12) participants were asked to start via the internet, support groups, personal contacts, and referral with those in the school helping profession. In order to promote confidentiality, the information was given to the contact persons and prospective participants to seek approval regarding their participation in the study. During the initial contact, I introduced myself through phone calls to keep the rapport present. The study tried to answer the questions that the participants had. The participants were also offered the opportunity to review consent forms and questions ahead of time before agreeing to participate and be interviewed by using the guidelines presented by Alapack's approach (Moustakas, 2003).

Participants were interviewed (served as the primary method) separately for 20-45 minutes, depending on the degree of their openness about the experience of trauma and its difficulty letting go. Bracketing was highly noted to avoid personal connection which could make the interview void and too personal. To neutralize the possible contamination in the interpretation of the data, double hermeneutics approach was used. It is a two-stage interpretation process: (1) the participants tried to make sense of their world, and (2) the researcher tried to make sense of the participants, trying to make sense of their world (Smith & Osborn, 2008). This was employed while working with the initial stage of doing the themes (e.g. *Pinky delivered her narratives and in-depth interview. After which, I will review and provide themes of her lived experience. Then, the theme will be given to Pinky to be reviewed. Upon accepting the themes, insightful comments will be provided by the participants to seal their lived experiences.*) The interviews were conducted using the mother tongue (Filipino) but with freedom to use English whenever they would want to best express their experience. Interviews were audio-taped (secondary and specialized method) and discarded after transcription as requested by other participants.

During the interview with one of the participants, she requested to retract specific details of stories that she had expressed because she felt the information was too restricted. Agreement was made between the researcher and participants about taking these parts out of the data analysis as it was stipulated in the agreed consent. Participants were offered the option of reviewing and validating their transcribed interviews. The initial offer for review and validation was made at the time of the interview. It was explained that during this process, participants could review the transcriptions of their interviews for accuracy and affirmation to be underscored and highlighted during presentation of the data. In addition, the participants and I also agreed as to which elements, if any, of the interview could be expanded so that the participants could not be easily identified.

All participants indicated that they were interested in reviewing and validating their interviews and indicated the best way to be reached, such as via phone (SMS or call) or email and asked to provide the transcribed data. Majority reviewed and agreed on the transcriptions. No one offered any changes. A few among the participants indicated lack of time to review their transcripts but provided trust to the possible outcome of the interview. Memoing even started while listening to the participants narratives during in-depth interview. On the other hand, coding was made after accomplishing the memos (notes) made out of the necessary themes. At certain point, some of the interviews were really traumatic and emotion-filled, so they did not want to revisit the experiences. Transcriptions of the interviews underwent memoing and coding so that the researcher could send the appropriate transcription to the right participant for review. The tracking system to the code was discarded once a transcript was considered validated.

### Clinical Impressions of Participants

Some of the female participants initially tend to mention the interviews to be more careful

and presented with reservation. They particularly secured the details' confidentiality that they only presented to those who are in the field. All of the participants seemed to be relaxed during the interview and appear engaged in the process. At times, the interviews were capturing a range and expressions of emotions, which underscored their traumas, and the difficulty of letting go with the identified trauma. The majority of participants expressed sadness and tears most often when discussing issues related to their parents or anyone close to them, such as grief, recognition of one's sickness, death, and fears of any form of loss.

## Data Analysis

In order to analyze the data, the twelve (12) audio-taped interviews were transcribed verbatim and labeled as documented transcriptions. Majority of the interviews provided personal expressions and fillers. All interviews were transcribed by the researcher, then, validated by a professional transcriptionist. Analysis of the data was based on inductive analysis (Patton, 2002), as well as on a modified Consensual Qualitative Research (CQR) approach, described by McCarthy Veach, Bartels, and LeRoy (2001). Inductive analysis (Patton, 2002) begins with specific observations and develops toward general patterns. Data analysis consisted of organizing the smallest units of data (concepts) into meaningful and progressively broader themes, categories, and domains. This analysis also observes the principles of CQR (Hill, Thompson, & Williams, 1997), which emphasizes a team approach and a consensual process (Smith & Osborn, 2008). In this study, it is comprised of the researcher and advisers who have expertise in Counseling Psychology, Therapy, and Research, as well as in Philippine Studies. This entailed a process of both working separately and consensually in order to come to agreement about themes and their domains.

## Results and Discussion

This presents the lived experiences and insights gathered from the participants of the study. It encompasses the reflective narratives of the licensed school helping professionals in selected institutions in Metro Manila and nearby provinces. These participants surfaced their characteristics and owned self-report trauma, as well as the process of letting go.

Corollary, this part identifies and explains the domains, categories, and themes derived from the qualitative interviews. Three (3) domains and nine (9) themes emerged. The domains represent key ideas participants presented about their letting go or **pagpapalaya** experiences, meaning making introspection towards their difficulty letting go life-changing lessons and hopes. Several themes were presented in each domain. Afterward, selected quotes from the respondents were cited and highlighted as "raw data" to illustrate the domain, categories, and theme. Disparity within samples was identified in accordance to the suggestions done by Hill, Thompson, and Williams (1997). According to them, general concepts that are greater than five ( $> 5$ ) are denoted as typical while those that are less than five ( $< 5$ ) are denoted as variant (Yang, 2008). Another component in this study is the presence of general concepts which were highlighted by the participants to indicate the unanimity of themes. Hill et al. (1997) recommend dropping ideas that apply to only one or two cases. On the other hand, in an attempt to capture unique perspectives of the data, some of those cases have to be included and signified as such. In classic qualitative researches, results are often presented using the most common themes, which might taper off the variant themes though these results are presented in a more intuitive representation of participants' lived experiences, such as beginning with documenting their traumas, difficulty on handling their trauma of letting go, and ending with lessons learned and hopes.



The eidetic insights brought by the twelve (12) participants during the in-depth interview led me to gain themes which were fundamental to the study of letting go or **pagpapalaya**. Domain 1 (**Documented Trauma**): Giving proof on the trauma, comprises themes such as, *surfacing the distress* (theme 1) and *essential sources of their traumas* (theme 2). Consequently, Domain 2 (**Difficulty**): Introspecting the difficulty letting go contained details of their difficulty letting go or **pagpapalaya** in the areas of cognitive, affective, actions, as well as of spiritual domain. All the participants tried *re-collect* (theme 3), *affirm sentiments* (theme 4), *show bodily impact* (theme 5), and *exclaim for spiritual assistance* (theme 6). It focused on the difficulty handling trauma which they expressed in their in-depth interview. Domain 3 (**Therapeutic**): Life changing lessons and hope of letting go or **pagpapalaya** presented SPACE to all the participants' hope and total letting go. This served as the communal process of *awareness* (theme 7), *handling patterns* (theme 8), and its *SPACE* (theme 9). All the twelve (12) participants extracted the essential core – SPACE, which was vital to give way to the culturally-rooted therapeutic model of letting go or **pagpapalaya** among the Filipino school helping professionals.

#### Domain 1 (Documented Traumas): Giving proof to their traumas

For the participants of this study, *surfacing their trauma* (Theme 1) gave distress. More so, identifying the trauma became more distressing. Making sense of the negative sources, especially in the concept of synectic, allowed each participant to find meaning and to incorporate their trauma as part of being human. Hence, this also explains the prevalence of occurring trauma among participants. Generally, recurrence took place among the participants while one of the participants had a relapsed after undergoing therapeutic assistance. Certainly, the participants' distress experiences simply affirmed that traumas are caused by the people within the premise of their workplace, coming from clientele, shared through romantic relationship, and products that are from family are all man-made.

With this, a spectrum or *sources of trauma* (theme 2), either psychological trauma or any of its form, is widespread that even mental health providers, at any given time, are subjected to acquire. The hazardous impact of the experience embedded in the workplace trauma is also known as **unrelenting trauma** because of insistent distress caused by the co-worker/s and/or the workplace, as well as the nature of job itself. The set of trauma helpers (i.e. counselor) acquire from the traumatized victims or clientele as result from emphatic engagement is known as **vicarious trauma**. A romantic relationship (romance) experiencing trauma from an (interpersonal trauma perpetrated by someone close) attachment style and romantic relationship function is called **betrayal trauma**. **Residual pain** is the pain caused by death, bereavement, grief, loss, and familial isolation and abandonment. Indeed, no single person can be spared with this phenomenon. Hence, Dela Cruz (2010) classified the types of trauma events as whether caused by natural disasters or man-made. He even expounded man-made traumas, either accidental or intentional. Thus, all the participants depicted man-made.

#### Domain 2: Introspection of difficulty letting go

All the participants tried to *re-collect* (theme 3), *affirm sentiments* (theme 4), *show bodily impact* (Theme 5), and *exclaim for spiritual assistance* (theme 6). It focused on the difficulty handling trauma which they expressed in their in-depth interview. It was evident that even school helping professionals experienced asynchronous thoughts, emotions, and/or actions. If it happens, there might be a chance that they cannot find the meaning or appropriate response to their trauma. They will find themselves having difficulty letting go. This explains the phenomenon, which takes place a coincidence in two unplanned events that happen simultaneously. It becomes synchronous when it is connected by meaning. The unifying connection is always

present but an immediate and meaningful coincidence makes it visible due to their inability handling man-made trauma.

In addition, the present study affirms to the value of faith or 'spiritual' that Filipinos are rooted from. Even during traumatic events and difficulty, the spiritual element gravitates the three other elements (mental, emotional, and physical), allowing the flow in a path, in succession, and in connection. David (2013), in his discussion about Soulful Living, mentioned that synchronicity thus combines an essential unity with an existential one. The eternal present makes an appearance in the momentary present. This is why it seems fitting to say that synchronicity guides us into spirituality.

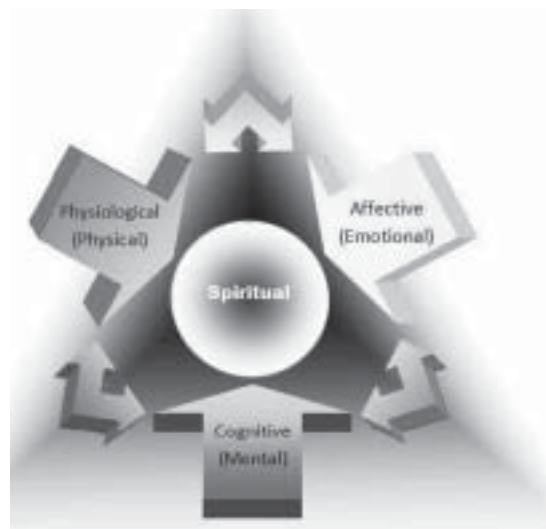


Figure 3. Difficulty in Letting Go Process (Pagpapalaya)

### Synthesis of difficulty letting go

As what have been conversed above, figure 3 indicates the process of the participants' difficulty letting go, corresponding to thoughts (cognitive), sentiments (affective), and physical impact (physiological) which were anchored to the Bio-psychosocial model of Dr. Engel (1977). Another dimension surfaces (Theme 6 - Call for divine help), which is the spiritual aspect present among participants. This serves as an essential contribution of this study.

Whenever the participants would experience asynchronous thoughts, emotions, and/or actions, there would be great chance that they could not find the meaning or appropriate response to their trauma. If happened, they would find themselves having difficulty letting go. Herewith, the need for synchronicity is very essential. The theory of Carl Jung (1992) explains synchronicity: *A non-caused but meaningful relationship between physical and psychic events....A special instance of a causal orderedness....Conscious succession becomes simultaneity....Synchronicity takes the events in space and time as meaning more than mere chance* (David, Soulfulliving.com, 2013, p. 8). More so, synchronicity is a word made from two Greek terms meaning "joined with" and "time." Synchronicity is a bond or connection that happens in a timely way. This explains the phenomenon, which takes place. A coincidence is a two-unplanned event that happens simultaneously. It becomes synchronous when it is connected by meaning. The unifying connection is always present but an immediate and meaningful coincidence makes it visible here and now. This became evident among the participants. Thus, this present study gives clarity to the value of faith or **spirituality**, which Filipinos are rooted from. Even during traumatic events and difficulty, the spiritual element gravitates the three other

elements (mental, emotional, and physical), allowing the flow in a path, in succession, and in connection. According to Peralta (2011), religion and spirituality, too, are powerful organizing principle that defines the edges of an ethnic group. The communities may be organized based on any number of parameters. One of this would be based on the circle of members that constitute a “parish.” The parishes of ritual specialists are sharply confined to specific groupings of individual households. The linkages may be based on kinship network or more intimate personal associations, or simply, the structure of the religion itself limits the membership. Furthermore, David (2013), in his discussion about Soulful Living, mentioned that: *...synchronicity, thus, combines an essential unity with an existential one. The eternal present makes an appearance in the momentary present. This is why it seems fitting to say that synchronicity guides us into spirituality.*

### Domain 3: Life-Changing Lessons and Hopes of (total) Letting go (Pagpapalaya)

**Domain 2** (Difficulty): (*Introspecting their difficulty letting go*) links to **Domain 3** (Therapeutic): *Life changing lessons and hope of letting go or pagpapalaya* by presenting the SPACE to all participants’ hope and total letting go. The communal process of *awareness* (theme 7), *handling patterns* (theme 8), and its *SPACE* (theme 9) were highlighted in **domain 3**. All the participants discussed their life-changing experiences of handling their trauma and finding possible resolutions or insights to letting go which contributed to the culturally rooted therapeutic model of letting go (**pagpapalaya**) among Filipino school helping professionals. The need for SPACE (**S**piritual/ity, **P**ace, **A**ceptance, **C**irca, and **E**mplying) to school helping professionals with difficulty letting go.

Participants’ recall exists as a reminder, which leads them *awareness* (theme 7). Awareness brings them to the reality that problem or trauma happens. Bringing awareness to the thoughts and noticing the process of how thoughts emerge, develop, rise and fall, helps to neutralize the identification with the content of the thought. By recognizing the existence of problem, awareness takes place. This essential element serves as an entry point in the newly developed culture-sensitive therapeutic model of letting go (**pagpapalaya**). Truly, awareness triggers the individuals’ coping mechanism to facilitate empowerment to respond to any form of challenges in life such as trauma. The participants showed wide array of interpretation, reaction, and sometimes judgment toward their difficulty letting go. Every one confirms that awareness serves as a salient component of the therapeutic letting go (pagpapalaya) model. Hence, Gestalt therapists seek to help their clients gain awareness of themselves and the world. Discomfort arises from leaving elements and experiences of the psyche incomplete-- primarily past relationships and intrapsychic conflicts that are unresolved, which Perls (1969) calls “unfinished business” (Lane, 2012).

On the other hand, *the participants employed handling patterns* (theme 8). **Professional help** (1 among 12) is the existence of a mediator like a psychologist or counselor who executes the specialized approaches and techniques. **Self-help** (5 out of 12) is the action or process of bettering oneself or overcoming one’s problems without the aid of others (e.g. expressive writing or verbal expression - catharsis) or by venting on self-help books and exercises. Another way of handling is **rituals** (9 out of 12) are patterned behaviors used by an individual in accordance with individual or social protocol. To some extent, this is an established act, which can be regularly repeated in a set of precise manner (Sommers-Flanagan & Sommers-Flanagan, 2004). The patterned behavior tends to change due to adaptation and applicability. Likewise, Peralta (2011) described rituals in some areas in the Cordillera (Philippines). For instance, the ritual specialist will only celebrate the rituals of a particular grouping of households whether or

not these belong to a contiguous group. A further, Rogers (1997) discussed the contribution of another individual in one's success or failure which he coined as **significant person** (Peñaflor-Gosgolan, 2013). In the same way, a good support system is not just measured by the number of people but by the quality of the interactions, as well. Among Filipinos, kinship becomes evident in Filipino folk or tradition explains the meaning of affinity that resembles connection within and outside the members of a cultural community (De Leon, 2011). On the lighter note, all of the participants noted the presence of their families, children, relatives, friends, and colleagues as a medium of handling their difficulty letting go. Indeed, the need of significant person serves as a motivating factor, which became evident to all participants. All the participants agreed that having a significant person completely adds support whenever they feel down or have failure. To some participants, the number of their significant person plays an added strength and physical vigor, while a few mentioned that it is not measured by how many supporters one should have; it is about the quality of interactions. What is important is that all of the participants recognized the presence of their families, children, relatives, friends, and colleagues as a medium of handling their difficulty letting go.

Theme 9, expounds the school helping professionals explored their *SPACE* (**S**pirituality, **P**ace, **A**ceptance, **C**irca, and **E**mplying) in letting go (**Pagpapalaya**). In this model, awareness serves as the key element in a psychological processing among the participants. The participants' response is to recognize their affected thoughts, feelings, behavior and health. Then, handling takes place on the appropriate ways of managing simple complaints and proper dealings with the existence of trauma, which can be done by seeking professional help, self-help, rituals, and even through significant person/s. Thus, the core – *SPACE* is a culturally-rooted therapeutic model.

All the participants exhibited the existence of **spirituality**, which is one of the most essential components among Filipinos, especially during hard times. Although there is no single definition of spirituality, we are still intact with our faith and affirmation of a divine and Supreme Being - God. It can be mediated by another person or directly to Him through prayer. More than half of the participants claimed that **pace** (7 out of 12) or giving distance and possibly movement can help in providing feedback to their trauma. As defined, pace is the rate of movement that determines progress. It is also parallel to growth and development that can emulate support. Movement, mobility and distance are descriptions associated to pace. This process is an essential component used in a reality therapy (Lane, 2012). **Acceptance** (7 out of 12) gained position among the essential elements employed by more than half of the total participants. Acceptance seems simple enough and may seem innocuous or harmless in its application to the world around us. Yet, our every day words, thoughts, images, definitions, and labels contribute towards our lack of acceptance like accepting others, ideas, concepts, possibilities, differences, distinctions, and appearances from so many layers (Atmanandam, 2013). This became evident among a number of the participants during the time trauma happened. Below are confirmations of the acceptance made by the participants. Some of the participants considered **circa** or time (5 out of 12) as vital element in facing their trauma of letting go. For the participants who found it important, explained the possible period of change to exist or to take place – in an action, process, or condition. Circa also depicts the essence of continuity. As a tool, it has been injected in a therapeutic process (Owens, 2012). Lastly, a few of the participants unearthed **emptying** (3 out of 12) as a fundamental part of letting go. Emptying (*aka clearing mind*) is defined as the result of unloading and releasing. It even explains the individual to free himself from any form of trauma or pain. The absence of negative thought, emotions, or actions simply marks the human's capacity to divest and be ready for a new positive experience to come to his/her life.



The model (Figure 4) is the product of the in-depth interview elicited from the participants. This culturally rooted therapeutic model is anchored to the Bio-psychosocial model established by Dr. Engel (1977). It consists of cognitive, affective, and physiological dimensions with special connection to a culturally rooted dimension – spirituality that is evident among all the participants. The model attempts to provide information for possible preventive or aversive negative impact of the trauma and its by-products. Any extent of change, effect or outcome, which occurs through partial or repeated intervention using this model, can give positive change and hope of total letting go.



Figure 4. Therapeutic model of Letting Go (**Pagpapalaya**)

## Conclusions

The following conclusions are made in light of the above-mentioned findings.

1. The participants' human-made trauma (unrelenting trauma, vicarious trauma, betrayal trauma, and residual trauma) is attributed to their trauma of letting go which can either recur or relapse before, during or after counseling session.
2. The data presented by the participants' experiences exhibit asynchronous thoughts, emotions, and/or actions, which leads to their trauma and will find themselves having difficulty letting go. Therefore, the derived qualities and patterns of difficulty letting go such as re-collecting (cognitive), affirming sentiments (affective), bodily impact (physiological), and exclaiming for spiritual assistance (spiritual) indicate the need to process the school helping professionals' dependence with synchronicity.
3. The therapy becomes successful when the cultural orientations among school helping professionals as expressed through the letting go (**pagpapalaya**) process. Filipino orientations on spirituality, bonding with significant others and other manifestations of Filipino culture led to decrease the difficulty of letting go. The newly developed culturally-rooted therapeutic model of letting go (**pagpapalaya**) serves as an essen-

tial process to help school helping professional, especially those with difficulty letting go.

## Recommendations and Implications

Four (4) recommendations are given in the light of the study, together with its possible implications:

1. Development and Implementation of Programs.
  - A. Development and implementation of a culturally-rooted and competent training program suited for school helping professionals undergoing trauma. The lacks of counseling programs or national-based competencies for counselor-practitioners and counselor-educators should be provided to, at least, minimize the impact of human-made traumas.
  - B. Development and implementation of a culturally-rooted and competent training/workshop, seminar, or program to support the needs of school helping professionals experiencing difficulty letting go or with painful experiences, especially in the areas of mental, emotional, physical, and spiritual which can gravitate synchronicity.
  - C. Development and implementation of a culturally-rooted and competent programming to support school helping professionals with difficulty letting go. Hence, it should underscore the target or essential features of the proposed culturally-rooted therapeutic model of letting go.
2. Research-based program and training development is necessary because of the dearth of information, such as on letting go among school helping providers. In addition, this would allow for building programs that are grounded in empirical data.

## Caveats

Limitations were acknowledged in this paper. The inherent limitation of choosing depth over breadth was evident in this phenomenological research. While phenomenology methods often provide richness in understanding the subjective experiences of participants, these experiences cannot be generalized beyond the people who were studied since it was not the essential feature of strength of this research design. Moreover, the sample size was very small; hence, it focused only on an information-rich approach rather than on a representative subject pool (Richards & Morse, 2013). Since, the number of participants could not generalize the population; the sampling method might have also excluded people who had very different experiences from that of the participants. Although everything seemed possible and made to protect the participants' identity, the intensity and sense of rekindling the emotion-filled scenario of letting go were not totally acquired. Participating in this research may sound uncomfortable for the participants themselves; hence, only those who are self-report participants submitted to the qualitative study. Lastly, thinking that other researchers might consider this study with bias, I executed bracketing (or 'unlearning') to neutralize this claim. Hence, it could have been possible that I had an effect on the entire conceptualization of this study what participants experienced, how they responded and interpreted the results. Therefore, it is highly suggested to interpret the results through a different perspective to strengthen the paper's validity and reliability.



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## A Comparative Study on Cinematic Portraits of Juvenile Delinquency in Youth Films Made in China and the United States

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### Abstract

This study discusses the differences between Chinese youth film and American teen film through the perspective on cultural foundation. The authors argue that Confucianism was an alternative that greatly affects the depiction of young characters and the causal relationship of morality and fate of the characters in Chinese films. In Confucian philosophy, 'kingdoms' (*guo*) and 'family' (*jia*) are equally considered inviolable. 'Family' occupies a central position in Confucian culture. Filial piety is a virtue of respect for his/her parents and ancestors. This study attempts to provide a picture of juvenile delinquency depicted in both contemporary Chinese and American youth films. This study argues that 'juvenile delinquency' indicates any failure in or omission of 'family' and 'kingdoms'. The objective of such a comparison is not to advocate for either Chinese or American youth cinema in portraying juvenile delinquency, but to promote a better understanding of the strengths and impacts of youth cinema and youth culture. It is argued that the depictions of juvenile delinquency expose the social discontent of youths in Chinese youth films; it also argues that Hollywood and the rest of America would rather avoid the topic of boys' badness altogether than take the chance of being responsible for changing it.

**Keywords:** Confucianism, youth culture, juvenile delinquency, China, the United States, film studies

### I. Introduction

"Chinese society can now boast that it is the world's fastest growing economy, but this has been achieved at a cost" (Zhou, 2007, p. 10), as Ji Baochen (2005) commented that Chinese teenagers are crazy about Hollywood blockbusters but have no idea who some well-known historical figures are. Zhou (2007) argued that "within Chinese society, growing up in a context of modernization and Westernization, youth [since the last decade of the twentieth century] have demonstrated even more startling changes in their values and worldview" (p. 10). Significantly, youth films "are marked by a startling display of sexual and emotional frankness" (Zhou, 2007, p. 141). Moreover, some American scholars' critiques on representations of young people in cinema also paid much attention to the changes in terms of sexual issues. For instance, Timothy Shary (2005) argued that "teens on screen [in the contemporary era] learned to explore their sexual practices and endeavored to actually educate themselves about the subject" (p. 89). Following such a trend, the debate over sexual expressions among young people is a substantial concern in this section. This study specifically examines the way of portraying young people that focuses not only on features and characteristics of young protagonists, but also on the nature of portraits of juvenile delinquency, such as narrative style and film form, as well as social indication. This implies that the differences in both youth cinemas should be treated in terms of essence, instead of degree (e.g., degree of badness).

With that this study focuses on differences in essences, context, and representation of juvenile delinquency in both Chinese and American youth cinemas. An overview of the contemporary Chinese youth cinema is provided, including a brief cultural foundation, industrial trends, and market acceptability. Comparisons are made between the Chinese youth cinema and American youth cinema in terms of juvenile delinquency, and its social implications.

## II. Objective

The purpose of this study is to present a profile of Chinese youth cinema, comparing and contrasting it with American youth cinema. This can provide representative perceptions of juvenile delinquency in the youth genre, so that the national differences in filmmaking and outcomes may be better understood and interpreted. The objective of such a comparison is not to advocate for either Chinese or American youth cinema in portraying juvenile delinquency, but to promote a better understanding of the strengths and impacts of youth cinema and youth culture.

## III. Methodology

The employment of content analysis in this study aims to analyse the contents of selected films that use qualitative procedures for assessing the significance of particular ideas or meanings in the films. After viewing each film, some questions in the viewers' minds will arise—how the film portrays a personal identity or sense of a particular character, what represents the relationship between different characters, which plot addresses moral values issue, or who is the victim of the film. The fact, however, is that film contents have various perceptions for answering those questions. The advisable way to describe and analyze film contents should employ less subjective preference and selectiveness.

## IV. Cultural Foundation

The Chinese youth film industry has drawn upon talent from the world of the youth/teen genre. In the contemporary era, youth genre has outlived its educational, inspirational, realistic purposes. The influx of American youth films gave added stimulus to the film industry. The appearance of the sexual conquests of the characters in *American Pie* in many ways presented a radical change for Chinese youth film. It is an excellent example of the teen sex-quest story that embodies the impact on Chinese young audiences. In the 2000s, the Chinese film series *Pubescence* (China) demonstrates not the conventional young characters but libidinous young protagonists. These films appeared, all working on the sex-quest plotline, and collectively revealed taboos of teen sex, such as portraying the male protagonist masturbating with underwear on. However, an extraordinary fact should be paid much attention while we admit the influx of American, and Western, culture. The content of Chinese youth film is influenced by Chinese culture itself, including Buddhism, Confucianism, and the Chinese classics. Dominant among those influences, the Confucian philosophical traditions emphasized respectful, benevolent and hierarchical relations, harmonious social relations, and morality.

Chinese culture, especially Confucian culture, tends to give a considerable amount of reverence for life as an absolute ethic. Significantly, Confucianism is an alternative that greatly affects the depiction of young characters and the causal relationship of morality and fate of the characters. Why, then, use Chinese Confucianism in youth films to offer an ethical system that shapes the familial and young characters' personal values? Why not use other ethical and philosophical system? Confucianism is the great Chinese tradition that has gathered around the teachings of Confucius<sup>1</sup> for over 2,500 years (Littlejohn, 2011, p. xix). As a result, it infuses all phases of Chinese life. It is reflected in China's poetry and history, its government and social life, and the ethics that shaped society (Hoobler & Hoobler, 2009, p. 8). The fact is that Confucianism influenced not only China, but also some other countries and regions such as Japan, and elements of Confucianism can be found in the cultures of those countries. Dorothy Hoobler and Thomas Hoobler (2009) stated that the same is true of Vietnam, North and South Korea, Hong Kong, Taiwan and Singapore (p. 9).

According to Sheila Cornelius and Ian Haydn Smith (2002), Confucius' teachings became an essential part of the imperial examination system by which men entered the governing class (p. 4). Shigeki Kaizuka (2002) also argued that Confucius made his way round the various kingdoms of eastern China, spreading his own particular theory of government (p. 13). In Confucian philosophy, 'kingdoms'

<sup>1</sup> Confucius (551–479 BC) was a Chinese teacher, editor, politician, and philosopher of the Spring and Autumn period (Chun-qiu) of Chinese history. Confucius's principles had a basis in common Chinese tradition and belief. He championed strong family loyalty, ancestor worship, respect for elders by their children, and of husbands by their wives. Confucianism is a system of thought based on the teachings of Confucius, who lived from 551 to 479 B.C.E. If only one word were to be used to summarize the Chinese way of life for the last 2,000 years, the word would be Confucian.



(*guo*) and 'family' (*jia*) are equally considered inviolable. 'Family' occupies a central position in Confucian culture. Filial piety is a virtue of respect for his/her parents and ancestors. It is defined as lifelong service to parents. In terms of this obligation to father/past generations, Cornelius and Smith (2002) had argued that:

... the family was a microcosm of society and operated under the same hierarchical system, with the most important relationship within the family being that between father and son (p. 69).

This fairly embraced their understanding of two relationships of the well-known Confucian 'Five Relationships': (a) *jun wei chen gang* (ruler guides subject), and (b) *fu wei zi gang* (father guides son). Interestingly, the legacy of Confucian ethics for centuries remains the role of a son's (or a daughter's) obligation<sup>3</sup> to the domestic sphere and to their secondary position to their parents. On the other hand, for Confucianism, the material-satisfaction between 'father' (*fu*) and 'son' (*zi*) has no priority for either side. Spiritual and moral satisfaction is more important for the father as a father and for the son as a son. It is argued that the basic characteristics of Confucian ethics are hierarchy and inequality, and that the typical manifestations of hierarchical and unequal relationships are integral to that ethical relationship (Zhao, 2007, p. 5). An understanding of the ethical relationship between a 'father' and his 'son' (or, in general, his children) 'lies at centre' (p. 5) of Confucian ethics, and may thus provide a better understanding of Confucian ethical theory.

In Chinese culture, the relationship between the father and child (*ren*) is viewed as a significant relationship in everyone's social life. While this study focuses on the issues related to representations of sex and sexuality, the quality of the father-child relationships was more important than the masculinity of the father. The conventional belief is that since 'filial piety' is a cardinal value in Confucianism, a salient feature of the father-son relationship is unquestioned obedience of the son to the authority of the father (Tu, 1985, p. 115). However, Michael E. Lamb (2010) argued that the rising level of education among younger fathers in China explained some generational changes, especially in urban centers like Shanghai and Hong Kong (p. 351). He believes that Chinese filial piety and Confucianism have thus changed, and apparently have not had a uniform effect on all fathers, past or present.

Young people conform to sex role standards when the relationships with their fathers are close. According to Joseph H. Pleck (2010), a similar conclusion was suggested by research on other aspects of psychosocial adjustment and on achievement: paternal warmth or closeness appeared beneficial, whereas paternal masculinity appeared to be irrelevant (Lamb, 2010, p. 98). Although it is not possible to deny the 'change' to Confucianism, the important feature of 'father' does not change. Tu (1985) argued it is the recognition that the father's ego ideal, his wishes for himself as well as what he has created as standards of emulation for his family, is an integral part of the legacy that the son receives (p. 119). For example, the Chinese philosopher Mencius' statement of '*fu zi you qin*' (father and son ought to have a close relation) is employed to analyze the motivation of the young son's behaviour after committing crime in the film *Walking on the Wild Side* (Han Jie, 2006).

Moreover, young people in American youth films find themselves involved in sexual activities, whether intercourse, foreplay, or the basic negotiation of sexual preference; "The majority of these narratives could be characterized as comedies, although they tend to take seriously the stakes of sex"

<sup>1</sup> Later Confucians posited five basic human relationships: father and son; elder brother and younger brother; husband and wife; ruler and government minister (or subjects); friend and friend (or friends). Any other human relationship could be seen as some variation of one of the five. According to Lee Dian Rainey, our roles are based on how we relate to one another — as a father or as a younger brother. In each case, our behaviour and our duty will be different, depending on what our role is in the relationship. "*Confucius and Confucianism: The Essentials*", John Wiley & Sons, (2010), p.28.

<sup>2</sup> When Mengzi talks about filial piety, usually the emphasis was not particularly directed at the father-and-son relationship but of the child-parent. Scholars in the Han dynasty had developed this fundamental principle of elevating the role of both the father in a family and the ruler in a state and transferred the expectation of filial piety to the ruler in place of the father, thus, exchanging the functions of father and ruler. "*Father And Son in Confucianism And Christianity: A Comparative Study of Xunzi and Paul*", Sussex Academic Press, (2007), p.6. Many scholars have reached a similar conclusion regarding the importance of the child-parent relationship in contemporary China. Chinese scholar Yu Dan, in her *Sentiment of the Analects of Confucius* published in 2008, pointed out that the current definition of father-and-son relationship does not reflect the ruler-and-subject, but 'filial piety' still functions as 'civic virtue' (*gong gong mei de*) in the society.



(Shary, 2005, p. 63). Those young protagonists in Chinese youth films are also involved in sexual activities, but the majority of the narratives display tragic, unfortunate, sorrowful predestination and negative representations. Confucian culture is significant in these films for a variety of reason, not the least of which is explaining such a difference. Confucius addressed his students that “As sexual desire diminishes with age, there may be less conflict between the desire for sex and the desire to do good (at the very least, the older crowd may not waste so much time thinking about sex)” (Bell, 2010, p. 153). This is not to imply that the desire for sex needed to be entirely extinguished, but it indicates that adolescents may have difficulty controlling and subordinating to moral principles.

Shary described American youth cinema after 1994 as ‘*the return of teen sex*’ (2005, p. 104). He argued that the narrative emphasis on sexual conquest has become ‘prominent’ since the later 1990s. A considerable number of films had been covered in his study, such as *Kids* (Larry Clark, 1995), *Cruel Intentions* (Roger Kumble, 1999), *American Pie* (series), *Real Women Have Curves* (Patricia Cardoso, 2002), *What a Girl Wants* (Dennie Gordon, 2003), and *Confessions of a Teenage Drama Queen* (Sara Sugarman, 2004). The author also notices that teen films produced after 2005 fulfills the trend of ‘return of teen sex’, such as *Love at First Hiccup* (Barbara Topsøe-Rothenborg, 2009), *Fired Up* (Will Gluck, 2009), *16 Wishes* (Peter DeLuise, 2010), etc.

Shary (2005) believed that the surest sign of change since the 1980s, teens on screen began having sex again, and even liking it, as they learned to explore their sexual practices and endeavored to actually educate themselves about the subject (p. 89). However, he also argued that the narrative emphasis on sexual conquests were not prominent in those youth films (produced after 1994) as much as they had been in the early to mid-1980s (p. 104). Shary (2002) pointed out that portrayals of teen sex in ‘90s youth films are not quite as pessimistic or condescending, although it is usually shown to be distinctly more problematic than it was in the ‘80s (p. 235). Although the majority of youth sex in cinema remains problematic, youth films such as *American Pie* and its sequel (e.g., *American Pie 2: Secret Disguise* in 2001, and *American Pie Presents Book of Love* in 2009) represent ‘a return of the romp or even an inauguration of more balanced, meaningful depictions of carnal education remains to be seen’ (2002, p. 238).

In 2000, *100 Girls* (Michael Davis, 2000) tells a story about a college freshman who is trapped in an elevator after leaving a party at a women’s dormitory with an unknown, unseen woman when the power goes out. He and this unknown woman have sex in the dark. When this freshman wakes up in the morning—still in the elevator—he finds himself alone with a pair of her panties. He tries to identify his mystery dream girl from a whole dormitory of young women. A film like *100 Girls* (Michael Davis, 2000) offers another clear perception of teen sex: without seeing the face of a girl, the boy may have sex with her. Libb Thims (2007) tried to explain it from the perspective of ‘thermodynamic system’. He stated that:

... the relation between heat and order also explains the stereotypical inverse connection between the highly ordered neurological nature of geeks and nerds, to use common terms, and their lower levels of physical hotness, on average, as well as the less ordered neurological nature of supermodels and beauties and their higher levels of physical hotness, on average (p. 501).

Thus, we find that Cynthia (played by Jaime Pressly)—the ‘hottest of the 100’—states in her notes:

“I’m not stupid. I know I got things easy. Guys will pretty much do anything for me because of the way I look. It’s a case. You see, nothing is a challenge for me. Everything’s made easy. And if I ever actually do, do something on my own, then everyone assumes I got there because of the way I look. It sucks.” (from the film’s subtitle)

Yet instead of examining the nature of love’s dynamics, *100 Girls* attempts to highlight the male protagonist’s motivated behaviour after sex in the elevator. This film approaches youth sexual practice with a very facetious view, depicting it as a licit love affair, and beyond being devoid of any real sexual responsibility.

Libb Thims’ ‘thermodynamic system’ is in this sense rationally explicable. When we look at the representations of sex, Confucianism is frequently described as sex-negative, but that is incorrect. Fang Fu Ruan (1991), the Chinese physician and medical historian, argued that Confucius himself never spoke

slightly of the sexual impulse (p. 19). Ruan (1991) also quoted that “when teenagers and youths become conscious of sex, they will look toward young and beautiful women” (p. 20). Madsen and Strong (2003) examined the early Confucian masters’ classics (e.g., *The Works of Mencius*) in terms of human sexuality as well as sex, and they argued that “it is not something that we need to despair and repress” (p. 149). However, “to purify the heart and diminish the desires” was highlighted in *Later Chronicles of the Han Dynasty*<sup>4</sup>. In the current decade, some Chinese scholars point out that there is a renaissance of Confucianism in contemporary Chinese communities. Erika Yu discussed about Confucian social and political aspirations in terms of quality and democracy as well as the Confucian conceptions and values. Yu also paid much attention to the application of Confucianism to the group that is ‘coming-of-age’ in the modern Chinese communities and even in Western countries. Yu (2011) argued that the Confucian religion with its emphasis on filial piety present itself as a moderating force in the contemporary world of clashing civilizations (p. 89). She also believed, thus, that in the Confucian context, we may want to revive a series of terms in relationship to humanity and ritual propriety in public discourse (p. 134).

Even though some teenage characters in Chinese youth films audaciously have sex, and masturbate, the narrative emphasis on sexual conquest is different from those of American teenage characters. We find that boys’ horny desires take place in the youth films produced in Mainland China, Taiwan and Hong Kong. But this ‘sexual desire’ (*xing yu*) always leads to some tragic, unfortunate, sorrowful narrative and negative representations. We find little narrative that could be characterized as comedies.

There are some 2000s films that did show the scenes of having sex and masturbation, although primarily as non-comedy films, such as *Shanghai Dreams* (China) (2005) depicting a rape scene, *2 Young* (Hong Kong) (2005) illustrating teenage parents who have sex at an early age as well as their unfortunate experiences after the girl becomes pregnant, and *Formula 17* (Taiwan) (2004) demonstrating that homosexuality reaps poor karmic fruit after the two young protagonists have sex. These films often depict characters as humorlessly failing to approach anything originally intended by them. In the following paragraphs, the comparison between Chinese youth films and the American youth films are made in terms of representations of sexuality existing in the subgenre of youth films—juvenile delinquency, since the most conspicuous differences usually remain aligned with the otherness of the cultural matrix.

## V. Cinematic Portraits of Juvenile Delinquency

The depictions of juvenile delinquency expose the social discontent of youths in Chinese youth films. Perhaps they are all just looking for a safe port for their feeling. As discussed earlier involving rebellious teenage girls depicted in 1980s Hong Kong youth films, youth felt that they had no way out. Cheuk (2008) strongly believed that youth films exposed certain realistic problems in Hong Kong, particular juvenile delinquency, to the audience, arousing public attention (p. 202). In an article about worldwide juvenile delinquency films, Lau (2010) suggests Chinese delinquents are certainly not depicted as criminals with high intelligence. However, American juvenile delinquency films moved away from the generational conflicts that had helped define the teenager as a cultural category. These films offer more complex explorations of juvenile violence. Also, the style of American juvenile delinquency films shows its uniqueness, as these recent films “employ a documentary realism that forces viewers to see violent or delinquent youth through their own eyes in ways never imagined by purveyors of commercially oriented ‘teenpics’ or reform-minded social problem films” (Finley, 2007, p. 80). *Elephant* (Gus Van Sant, 2003) is a perfect example.

Chinese youth cinema and American teen cinema are similar as the industries that so rely upon and influence youth have chosen to ignore the very vital issues of teens’ delinquency and their causes. It seemed that Hollywood and the rest of America would rather avoid the topic of boys’ badness altogether than take the chance of being responsible for changing it (Pomerance & Gateward, 2005, p. 37). Similarly, Yeh and Davis (2005) argued that, in the history of modern Chinese dramatic tradition, family ethical drama rose to handle the dilemmas of Confucian family ethics in the modern world (p. 240).

£ *Later Chronicles of the Han Dynasty* is an official Chinese historical text covering the history of the Han Dynasty from 6 to 189. Fan Ye and other authors compiled it in the 5th century during the Liu Song Dynasty, using a number of earlier histories and documents as sources. The book is part of the early four historiographies of the Twenty-Four Histories canon, together with the Records of the Grand Historian, Book of Han, and Records of the Three Kingdoms. Paüis 1 and 2 of Volume 79 were the biographies of Confucian scholars. Forty-six Confucian scholars were included.

They claimed juvenile delinquency was one of the forms representing crises of the family in Chinese drama. Ekotto and Koh (2009) have discovered that rebellion such as juvenile delinquency in Chinese productions “is more a matter of style than content” (p. 212). They specifically examine the Sixth-Generation filmmakers’ works, such as Jia Zhangke and Zhang Yuan. Yeh and Davis (2005) believe that these Chinese films portray “a new understanding of parents and children, together with their mutual obligations” (p. 240).

Shary (2002) argued that the greatest change in any youth subgenre will almost certainly come from depictions of delinquency, which have seen considerable change and diversification in the past generation (p. 263). He pointed out that all the while youth would continue to become more conscious of their reasons for rebelling and, perhaps, become more effective at it. A great number of scholars have argued the representations of juvenile delinquency in *Rebel Without a Cause* (Nicholas Ray, 1955). Mara Sidoli and Gustav Bovensiepen (1995) considered this film depicted psychological clichés of the weak, mother-bound youngster (p. 123). Simon Reynolds (1996) argues it represents “rampant anti-momism” (p. 6). The young protagonist with a troubled past comes to a new town, finding friends and enemies at the same time. This rebellious young man seeks refuge in a gang of juvenile delinquents where he has to submit to a test of courage to become initiated. The depiction of this rebel embraces teen tensions in sincere tones. Shary argued the influence of this film is difficult to underestimate. He also believed that James Dean’s performance in *Rebel Without a Cause* is certainly the most influential of any juvenile delinquency depiction in American cinema (Pomerance & Gateward, 2005, p. 27). As he (2005) would claim, “[James Dean’s] performance as Jim Stark which embodied that image—that made the film such an indelible symbol of youth trying to discover themselves and declare their identity within the prosperous torments of the post-war world” (p. 21). Shary also fairly stated that, unlike the issues of teen films in the 1950s, delinquency became increasingly difficult to address from the mid-1990s onward, primarily due to the real-life violence of numerous school shootings by students. He suggested the industry could not exaggerate the tragedy of the 1990s murders.

Since the beginning of the 2000s, there continue to be some teen films portraying school violence. *Elephant* portrays a day in the lives of a group of average teenage high school students. This film at first follows every student character and connects their daily routines with each other. In fact, there is only a short time before the campus shootings occur, following the lives of the teen characters both in and out of the school, as they are unaware of what is about to unfold. The murderers, or the juvenile delinquents, are two students who study in the same school. This film, behind their insane behaviours, reveals the actual reason: they are always bullied at the school. One of the killers warns a student, before killing him, not to bully a kid like himself. Interestingly, the portrayal of this ringleader indicates that he is an accomplished but frustrated pianist and sketch artist. He and the other killer have a short love affair before the massacre, both citing the fact that they had never been kissed. However, according to Shary (2005), “*Elephant* gave U.S. audiences little insight and little interest in the Columbine killings themselves” (p. 90). *Bully* (Larry Clark, 2001) and *Zero Day* (Ben Coccio, 2003) also take the pressing issue of young men’s anger and campus shootings. However, in another paper, Shary (2005) pointed out further films with arguably juvenile delinquent characters drew virtually no interest (Pomerance & Gateward, 2005, p. 36). The author also notes the ebbing of extremist delinquency depictions in the 2000s, especially after the September 11 attacks. Although still controversial, juvenile violence on film is less a Hollywood phenomenon than in past years and is less likely to offer comforting answers for viewers of any age group (Finley, 2007, p. 80). Critics negatively received the independent film *The United States of Leland* (Matthew Ryan Hoge, 2003). Roger Ebert (2004) commented it was as cruel and senseless as the killings in *Elephant*, and declared this film “a moral muddle”. The 2005 coming of age drama film *Twelve and Holding* (Michael Cuesta) also received negative feedback. Keith Uhlich (2006) criticised its screenplay writer and film director as having “just got off the boat from Eden and found themselves in the cities of the plain”. The juvenile delinquency films favourably commented on by the audience are like gold dust round the cinema, and are very rare and sought-after. *Thirteen* (Catherine Hardwicke, 2003), which explores incidents of drugs, sex, and petty crime, is one of the juvenile delinquency films receiving positive reviews. The success of this film goes to two young actresses’ performances. One of them was nominated for the Academy Award and the other for the Golden Globes.

Chinese scholars and officials generally point to the following factors as causing the recent rise in delinquency: growing unemployment among youth; the disruption of the urban opportunity structure; the growing divorce rate; increasing permissiveness of parents; and the inability of officials to control the influx and influence of harmful foreign TV, films, pornography, and customs (Regoli *et al.*, 2011, p. 481). As delinquency continued to increase during the 1990s, the Chinese government passed the Juvenile Delinquency Prevention Law in 1999. Most juveniles are treated at the community level, typically within the child's neighborhood, where the juveniles will be turned over to their parents, teachers, or a neighborhood committee<sup>5</sup> (*ju wei hui*) for help in better understanding correct moral values and behaviour. In practice, Hong Kong society prefers disintegrative shaming rather than reiterative shaming. According to Jon Vagg's (Regoli *et al.*, 2011, p. 170) survey of youths from Hong Kong, disintegrative shaming, in which delinquents were swiftly punished and stigmatized, was very effective as a method of social control. Disintegrative shaming, according to John Braithwaite (1999), divides the community by creating a class of outcasts (p. 55). And, the outcome of disintegrative shaming will often be that the outcasts will reintegrate themselves. Hence, the portrayals of juvenile delinquency in either Chinese cinema or Hong Kong cinema embody their participation of a life of rejection, stigmatization, and dramatized wrongdoing.

This study discusses the depictions of three juvenile delinquents in the film *Walking on the Wild Side* (Mainland China), as well as youth gang narration in *Winds of September* (Lin Shu-Yu, 2008) (Taiwan) and *High Noon* (Heiward Mak, 2008) (Hong Kong). For example, the leading delinquency character in *Walking on the Wild Side* acts impulsively and attacks the target of his rage (a student). He obtains no support or guidance from his family but all the changes occur after he absconds from his hometown. It vividly demonstrates Braithwaite's viewpoint of his reintegrative shaming theory: "shaming in the community is ... a more mediated, subtle process than it is within the family" (Braithwaite, 1999, p. 76). *Chongqing Blue* (Wang Xiaoshuai, 2010) tells a story of a sea captain, who returns from a six-month journey to be told that his son has been gunned down by the police. In his quest to understand what happened, he realizes he knew very little about his own son. He starts a journey back to Chongqing, a city where he once lived. Ironically, the portrayal of the delinquent son in this film serves as a tool to lead to the father character's awareness of the impact of his repeated absence on the life of his child.

## VI. Conclusion

A study such as this can only offer an overview and evaluation of past practices. This study submits that youth film is becoming a more active, popular and feverish genre. There are more films that address youth issues than ever before. And at the same time, some frivolous works continue to be produced and released in the regions. Definitely, this study does not encourage the production of frivolous films, but encourages academic integrity in the studies of these films. A study such as this needs to encourage local production of youth films that make young reviewers feel good about their age, the nature of adolescence, and make them aware of abilities in a progressive journey.

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<sup>5</sup> The neighborhood committee is the lowest administrative unit in urban China and keeps updated records of all residents in their geographically defined neighborhood. Neighborhood committee members are familiar with members of the community, and refusal rates were kept low by using them to facilitate introductions to heads of households scheduled for interviews. The neighborhood committee also has knowledge about basic features of the population in the neighborhood, and the neighborhood committee is responsible for distributing the minimum living allowance to eligible households.



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## Addressing Student Need: Maslow in the Classroom

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### Abstract

Recently, media attention has been shed on the need for American students to increase academic performance to remain globally competitive in the post-graduation job market. Resultantly, public outcry has led to mass educational reform that focuses on student performance, through assessment, to fulfill the need for students to reach higher academic standards. This paper utilizes management theorists, such as Maslow, to provide an intrinsic look at students' own hierarchy of needs and the correlation between the satisfaction of these needs and higher motivation. The question of whether or not enough is being done to address what students need to perform better in higher education will be explored in stark contrast to the academic pretenses set forth by these shifts in education reform; more simply: what students need as opposed to what higher education needs from them. This paper will utilize a blend of secondary research in the realm of motivation theory and primary observation from within composition classrooms of undergraduate colleges, in the hopes of elucidating the need for understanding what motivates students, the correlation between motivation and higher thinking patterns, and how instructors can better provide for students' hierarchy of need within the college classroom.

Keywords: Motivation, Needs, Maslow, Students

### Introduction

The need for students to demonstrate knowledge is perpetuated by state and national exams and enforced by shifts in educational standards, which promise to revolutionize learning in primary and secondary institutions. The echoes of these demands are felt even in post-secondary institutions, where students enter and are met with syllabi that explicitly outline the needs of their instructors. As a teacher of writing, I have a clear understanding of what students need to achieve in order to advance in my courses: to read at level, to write insightfully, and to master the rules of grammar. My own personal needs grow to include needing students to expand their minds, absorb curriculum, and grow as future citizens of the world. Instructor's needs and standards are usually quite clear; however, understanding students' motivational needs is integral to enabling student success in college courses. Through modifying common class design, activity, and protocol, instructors must satisfy students' most basic needs so that higher classroom motivation may emerge.

### Motivation in Education

Discovering what motivates students is a key element of encouraging student success at the college level. Motivation is a crucial component of many humanistic management theories. Ray (1992) even ventures to state, "Motivation is an essential condition of learning" (p.3). In application, motivation can be difficult to assess. What motivates students varies based on whether a student is intrinsically or extrinsically motivated. Although most instructors would hope that students veer naturally towards intrinsic motivation by the time reach the college level, the reality is that many students arrive in freshman classrooms with a variety of motivations. Therefore, "considering student motivation is vital for success in college, faculties [must]



place more emphasis on motivation and attitudes towards learning as central to learning than students themselves” (Lammers & Smith, as cited in Maurer, Allen, Gatch, Shankar & Sturges, 2013, p. 78). In brief; we as faculty members must discern what motivates students both in and beyond the classroom.

Motivation is rooted in need and as these needs get met, higher motivation occurs. Discovering what our students need is integral to ensuring their success (Ray, 1993). Deci and Ryan’s (1985) Self-Determination Theory states that students experience a non-Unitarian series of intrinsic, extrinsic, and a-motivations, and the key to promoting student success lies within the capability to make students feel confident in their abilities, value education, and enjoy the act of learning (Maurer et al., 2013). Unfortunately, many scholars note a shift in student motivation from intrinsic to extrinsic motivation upon entering undergraduate institutions; which can be problematic as data suggests that students perform better in college when they have higher intrinsic motivation (Prospero & Vohra-Gupta, as cited in Maurer et al., 2013). Deci and Ryan venture to assert that college standards and assignments sometimes encourage this shift towards extrinsic motivation; by creating tasks that are purely curriculum-focused and work to enforce the credentials of the college system (as cited in Pope-Ruark, Ransbury, Brady, & Fishman, 2014). This “creditalizing of the university system” then takes precedence over establishing students’ intrinsic motivation to learn (Pope-Ruark et al., 2014, p. 131).

#### Maslow’s “Integrated Wholeness”

It is the correlation between intrinsic motivation and academic achievement that leads me back to Maslow’s Theory of Human Motivation (1943). Deci and Ryan (2008) name their Self-Determination Theory a “macrotheory” of human motivation; therefore, in order to more accurately understand the progression of students’ needs that precede motivation, I have returned to Maslow’s hierarchy and his concept of Integrated Wholeness (p. 182). As I review my course outlines, assigned articles, and textbooks, I can see that my needs and standards for my composition courses are clear. I never once had a student who was failing my class reach out to me and say that s/he did not know how to pass my course, only that s/he could not. The question for me then became, “Am I doing everything that I can to help my students succeed?”

Many Humanistic theories have concluded that individuals operate on higher levels only when satisfaction of their most basic needs is achieved. In “A Theory of Human Motivation,” Maslow (1943) suggests that all humans have certain needs that are constant and of genetic origin. These needs can be categorized as physiological and psychological in nature, but occur in a hierarchy: with the most basic needs often being the most essential (Maslow, 1943). Only when the most basic physiological needs are met, can higher needs emerge and be achieved. This concept of “integrated wholeness,” as named by Maslow (1943), has been a cornerstone in a plethora of motivation theories, ever since (p.370). All schools, and instructors as agents of them, must use a comprehensive approach to fulfilling students’ needs and, “[focus] on students’ physical, social, emotional and academic growth in integrated efforts” (Kauchak & Eggen, as cited in Smith, 2011, pg. 125).

#### The Physiological Needs: Homeostasis and Safety

Among the most basic needs for any organism are the needs for food, shelter and physical health. Maslow (1943) states, “Undoubtedly these physiological needs are the most prepotent of all needs [...] If [these] needs are not satisfied, and the organism is dominated by the physiological needs, all other needs may become simply non-existent or pushed to the background” (p. 373). Among these most basic needs, food and shelter are presumed to be satisfied upon

students' arrival into college classrooms. However, the assumption that these needs are being met for all students, even in economically-developed countries like the United States, is one not supported by all data. According to the United States' Department of Agriculture (2013), 49.1 million people live in food-insecure households: households with reported lower-than-average quality, variety, or desirability of diet. In addition, 12.2 million were reported living in homes with very low food security; in households where hunger was actually experienced by some to all of their members (Department of Agriculture, 2013). Reports of hunger and malnutrition are matched by the rates of homelessness among young populations. Yearly, 1.7 million people under the age of twenty-four report experiencing homelessness in the United States; of this number, 39% are under the age of eighteen (Safehorizon, 2015).

The feeding and/or housing of students is not traditionally thought of as the primary concern of an instructor; in fact, many schools already have housing and nutrition resources in place to assist these students. Students however, may be unaware that these resources exist, and may not know where to begin looking for them. Therefore, outlining health and housing resources becomes integral to course outlines. The syllabus offers a venue for instructors to reveal their needs for the course and additions can be made to these documents to include a list of resources for students' physical needs. These resources can include the locations and phone numbers for specific departments on campus designed for mediating these particular needs. Syllabi can also contain contact information about local community resource centers like soup kitchens, homeless shelters, and mental health hotlines/clinics. By presenting these resources in a non-specific way, it allows students to not self-identify as being in crisis, but grants them access to these resources if they so choose.

Through showing awareness for students physiological needs, the needs for students to feel safe begins to be addressed. Safety is the second most fundamental need according to Maslow's Hierarchy (1943), yet many students may not feel safe on the college campus. According to a study at Southwest College, 78% of students polled said that safety was a factor in choosing when and where they took their classes; 25% also reported that they did not feel safe on campus (High & Southwest College, 1994). Studies also reveal that, globally, students' overall feelings of safety are decreasing, with nearly twice as many students feeling unsafe at school between the years 2002-2005 (Yablon&Addington, 2010). Like children, even college students seek structure from those in leadership roles to find some sense of security (Maslow, 1943). According to Maslow (1943), young adults "seem to thrive better under a system which has at least a skeletal outline of rigidity, in which there is a schedule of a kind, some sort of routine, something that can be counted upon, not only for the present but also far into the future» (p. 377).

Factors that can contribute to students' feelings of insecurity include injustice, unfairness, and inconsistency; as these factors can make students feel anxious and generally unsafe (Maslow, 1943). As instructors, we can perpetuate feelings of safety though basic classroom procedure, such as through focusing on being fair in our grading policies and clear in our assignments. The use rubrics and grading guides can also be particularly effective in conveying a sense of fairness. Routine and consistency in the classroom, along with a uniform standard for student accountability also add to this air of safety. When students feel safe, the needs of belonging and self-esteem have a path to emerge.

### The Higher Needs: Belonging, Esteem, and Self-Actualization

Continuing forward in Maslow's Hierarchy (1943), the need for belonging emerges following fulfillment of the basic physiological and safety needs. Students must believe themselves to be vital parts of our classrooms in order to become active members of our universi-

ties. Maslow (1943) states that students, “[...] hunger for affectionate relations with people in general, namely, for a place in a group, and [they] will strive with great intensity to achieve this goal» (p. 380-81). Yet high student attrition rates reveal that they may not have this need fulfilled; in fact, annual student dropout rates in the United States fluctuate between 30-50% (O’Keeffe, 2013). O’Keeffe (2013) found students’ senses of belonging and connectedness has a major effect on their retention rates, and calls for the need to establish caring classroom environments.

Instructors are instrumental in establishing students’ sense of belonging because they are in “a position to create a classroom climate that fosters social and emotional growth in tandem with academic knowledge” (Osterholt, 2014, p. 24). Measures such as demonstrating positive attitude and empathy towards students’ concerns are essential to fulfilling this need, as is getting to know students and making them believe that their thoughts, opinions, and judgements are valued. Positive attitudes and enthusiasm produce a desire to approach instead of avoid, thus allowing students to undertake new goals (Freudenberg & Samarkovsk, 2014). This may encourage students to confer with instructors and may make them more motivated to solicit help when they need it. Enthusiasm fuels student motivation, for “what the student does can be ‘more important in determining what is learned than what the teacher does’”(Shuell as cited in Freudenberg & Samarkovsk, 2014, p. 28).

From a sense of belonging, students develop a sense of self-worth; which is among the most advanced needs in Maslow’s Hierarchy. Maslow (1943) found that the qualities of self-esteem can be separated into two distinct phases. The first phase includes the desire for strength, achievement, adequacy, confidence, and autonomy. The second focuses more upon attention, reputation/prestige, importance, and appreciation (Maslow, 1943). According to Maslow (1943), “Satisfaction of the self-esteem need leads to feelings of self-confidence, worth, strength, capability and adequacy of being useful and necessary in the world» (p. 382). Instructors again play a pivotal role in students’ feelings towards their own value. In their study of first-generation college students, Garrison & Gardner (2012) found that instructors could help students identify their own assets and promote higher rates of well-being and student performance. This is not to say that instructors should be using overt positive reinforcement to build esteem; rather, that instructors must be aware that students’ perceptions of their own self-esteem can be greatly affected by an instructor’s comments or evaluation. Instructors must be aware that, “students need to see that achievement is related to the effort they put out; [therefore, professors must] establish clear expectations and rubrics that students can use to achieve the outcome, with effort as one of the criteria for success” (Cleaver, 2007, p. 31).

Following self-esteem, at the pinnacle of Maslow’s hierarchy, is the need for self-actualization. Self-actualization speaks to the achieving full potential or “the desire to become more and more what one is, to become everything that one is capable of becoming» (Maslow, 1943, p. 382). This stage is also characterized by perceptual and intellectual learning, and will only occur after all other needs have been met. Failure to help students achieve their most basic needs of health, safety, belonging, and self-esteem, will result in them not reaching self-actualization.

## Conclusion

As instructors, it is our obligation beyond the classroom that becomes key a component in perpetuating student motivation. Traditionally, we may not take into consideration the fragility of our student’s needs; some may even believe that students’ academic needs are the only ones that an instructor is obligated to fulfill; however, we must see all needs as mutually non-exclusive to promote the academic, physical, and psychological well-being of our students

(Kudrinskaia&Kubarev, 2013). Using Maslow's Hierarchy of Needs as a key to unlocking the secrets of student motivation, instructors can make slight adjustments to classroom procedures that better predict and accommodate their students' needs. As Maslow (1943) states:

If we remember that the cognitive capacities (perceptual, intellectual, learning) are a set of adjustive tools, which have, among other functions, that of satisfaction of our basic needs, then it is clear that any danger to them, any deprivation or blocking of their free use, must also be indirectly threatening to the basic needs themselves. Such a statement is a partial solution of the general problems of curiosity, the search for knowledge, truth and wisdom, and the ever-persistent urge to solve the cosmic mysteries. (p. 384)

Then, and only then, may we see improvement in student performance, and higher intrinsic motivation to develop a lifelong relationship with learning.

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## **AN APPLICATION OF ENGOBE TECHNIQUE USING MOYOG STONE TO CERAMIC ART FORM**

By

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### **ABSTRACT**

Assessment process engobe income using traditional elements as ceramic colouring agent will be examined. Income colour engobe use natural material which is, Moyog's Stone River contained in Penampang, Sabah is one of renewal in an effort to advance malaysia's ceramic industry. This is the latest income of materials that have undergone a process to produce new colours of the engobe. Initial studies using samples of river Moyog Stone will used in experiments. For the provision of stone powder which is the main subject of the study would involved destroying the hard stones using stone machine and then filtered to obtained a smooth stone powder. In addition, the study are carried out to assess the suitability engobe the resulting of Moyog stone powder on the surface of ceramic bodies such as porcelain and local clay. In conclusion, it is believed that through this study, there will be more understanding of the processes and how to generate colour engobe in the ceramic industry using the natural materials so as Moyog Stone River.



## INTRODUCTION

Apart from the manufacturing industry, the Malaysian government has encouraged the development and learning of ceramic art through public higher education institutions. For example University Malaysia Sabah. At University Malaysia Sabah, equipment such as studio, combustion chamber and also equipment such as machine «throwing» and so on are available. This can boost the development of ceramic art. However, the modern use of the term to expand its use to include non-metallic materials and inorganic. Until the 1950s, traditional clay used to make pottery (pottery), brick, tile, cement and glass.

Next, is a glazing material that will form a layer of decorative glass and slippery when baked at a specific temperature. This material is often used to decorate ceramic products to provide a smooth finish and waterproof. Glazes can be one of the most difficult aspects of the production process colours for ceramic products and at the same time it can also be one of the most interesting effect once it is properly controlled. Researchers have been collecting various articles designed to help in learning how to generate activity lustrous colour and increase knowledge in the field of ceramics.

## BACKGROUND

Engobe is a mixture of liquid clay (slip) and colour agents (oxide) used during colour or decorate the surface of the ceramic work. Engobe will stick to the surface of ceramic products during the drying process, the product so that the combustion process. Temperature combustion of engobe is the same as that used during the combustion temperature of 800°C bisque. Among the materials needed to produce the engobe is ball clay , feldspar pitash, whiting, flint and kaolin . For the production of color , the engobe is to be mixed with some type oxide (colour agent) such as red iron oxide , cooper oxide , yellow oxide , manganese oxide and cobalt oxide.

Researchers have selected the Moyog stone as the main medium in the production of colour engobe is because researchers believe natural ingredients should be explored as an exploration of materials science and documentation to develop the ceramic industry. It also can increase knowledge and science education. In addition, the exploration of natural ingredients is also considered as a scientific exploration can be touted as a new material in the ceramic industry. Colour engobe processed using Moyog stone (river stone) up new instances of colour engobe is a step for the development of the ceramic industry in the world arena as well as to foster the public perception of the use of ceramics in their lives .

## **METHOD OF STUDY**

This study also used qualitative methods to help researchers to work in the field of research areas that have been identified after surveying the area. Study using qualitative methods require researchers to make field work in the locations identified, documentation, interviews and observations determined by purposive sample in an amount not too much. Criteria for study leading to the production process specifically for producing new ceramic products. In addition, researchers been using laboratory experiments to analyze the content of oxide on the river stone powder. Sources for information are based on experiments regarding the suitability of river stones to be used as the main ingredient in the production of engobe. Through this process, researchers can gather information and can make the analysis and interpretation of colour engobe production using powder river stone on ceramic work.

## **MATERIALS RESEARCH**

The process of preparing the study material so important to launch the review process. Among the materials needed are colour powder river stone (Moyog stone River) and slip. Before the study started, there are several important processes that need to be done in advance of them preparing colour powder river stone, providing equipment that will be used, basic materials slips and body specimen study.

## **COLOUR POWDER MOYOG STONE**

For the preparation of stone powder which is the main ingredient in this study will involve the process of destroying the hard stones using stone grinding machine and then filtered to obtain a smooth stone powder.

In the study, this powder river stone colour is natural colouring agents materials that need to be tested. So every river stones that were destroyed must be separated by colour and must be dried in advance if it is in a wet condition. Drying is necessary for the purpose of removing the water content contained in the stone powder.

Actually, every stone rivers have iron oxide mineral that can produce colour. However, it depends on the type of stone that have been studied and among important factors that determine the colour is the colour of the stone itself. More dark and light stone colour is the colour that will be generated is also brighter and clearer.

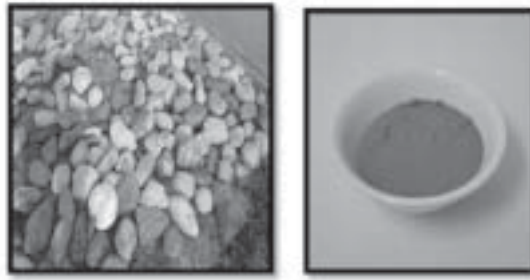


Figure 1 : Example of river stones that had been crushed and ground into powder .

### **MATERIALS «SLIP» (CLAY LIQUID)**

A second study was conducted using a mixture of stone powder Moyog river is blended and slip that will be burned at a temperature of 800°C. A mixture of both materials is known as engobe. Therefore, the role of engobe is also very important to see the colour difference resulting from the first study using a base glazes.

Slip is a mixture of clay and water and blend until thick liquid turns into a (smooth). The main ingredients slip is clay and water, but there are some other materials used during generate slip. Any clay can be used as well, but there are some considerations to be taken into consideration before it is processed into a slip.

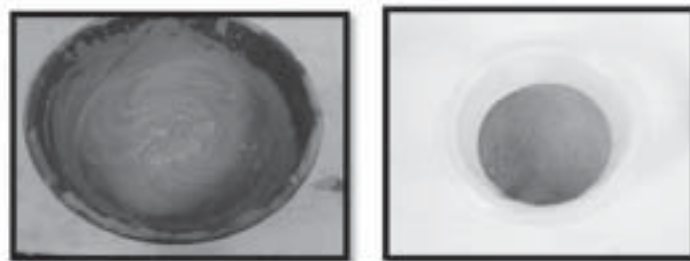


Figure 2 : Slip and stone powder which has been processed



Figure 3 : A mixture of these two materials , namely slip and stone powder in the measure called engobe

BIL	MATERIALS	(g)
1	Ball Clay	50
2	Pitash feldspar	20
3	Whiting	10
4	Flint	10
5	Kaolin	10

Table 1 : Recipes engobe

The total weight of each mixture should be the same for each set of studies made so that the results are accurate. If there is any serious errors ingredients such studies are likely to result set will be damaged and did not give any value to make an assessment.

### CLAY AND REVIEW BODY SPECIMENTS

Body specimens are very important study because the material will be used to determine the colour resulting from strokes engobe which is a mixture of stone powder and slip. Body specimens produced in large quantities by type of stone powder colours. This is so because only one type of colour stone powder were mixed slip (engobe) only will be applied to any body of research specimens. It can help researchers to identify the colours that are produced after going through some process.

In terms of materials, to produce a body of research specimens it requires a clay called stoneware. The clay can be found in the surrounding areas such as paddy soil, mounds, rivers and peat. Clay is going through some process for removing wasted materials such as wood, leaves, stone, cement, Plaster of Paris (POP) and so on. Clay that has been processed to be formed in a form suitable for the study of specimens body. To get the body shape specimens similar studies in large quantities, researchers have produced a mould (mould) made of Plaster of Paris. Clay will be inserted using a technique (press mould) into the mould to get the same design. Use of mould not only can produce the same design, but it also can save time in the process of producing the body specimens for study.



Figure 4 : The clay and plaster of paris .

## USED EQUIPMENT

Equipment used similar equipment used in the first process. It is divided into four parts, equipment used during the process of river stone crushing, equipment used during the process of weighing the stone powder and slip, the equipment used during the process brew both materials and equipment used during the combustion process.

For river stone crushing process, it requires a grinder and a stone mortar. It is used for crushing stone river up into powder. Then powder river stone will be filtered using a filter to obtain iron powder fine stone.



Figure 5 : Machine grinding stone , a stone mortar and filters .

The second process is a process of weighing and mixing materials research. The equipment used is electronic scales, glass container and brush. All three of these tools are used simultaneously, researches material of stone powder and slip will be weighed by using a ratio of 1: 3 and beyond will be brewed using a glass container and applied to the body of research specimens using a brush in wet conditions.

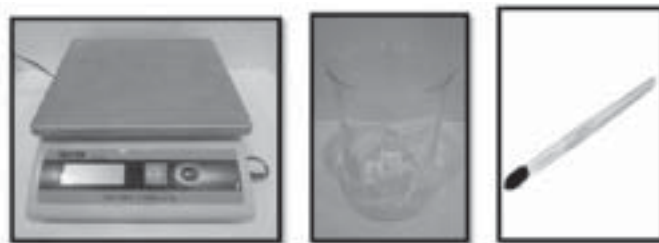


Figure 6: weighing machine , glass container and brush .

Whereas, for the combustion process is a furnace (kiln) electric ceramic used because it is easily handled and can reach temperatures of up 800°c combustion.



Figure 7 : kiln of electricity

## PROCESS STUDY PERFORMED.

There are two experimental sessions were conducted on the powder river stone colour to obtain the best results. The first study is to identify the total percentage of colour stone powder mixed into the slip. Meanwhile, a second study was a more detailed review only the total percentage of colour powder river stone the best results from the first study. The real focus of this study is to look at the colour produced by the colour of stone powder.

## POWDER COLOR STONE

There are nine types of powder colour stone that have been identified for review. Here are the stones powders:

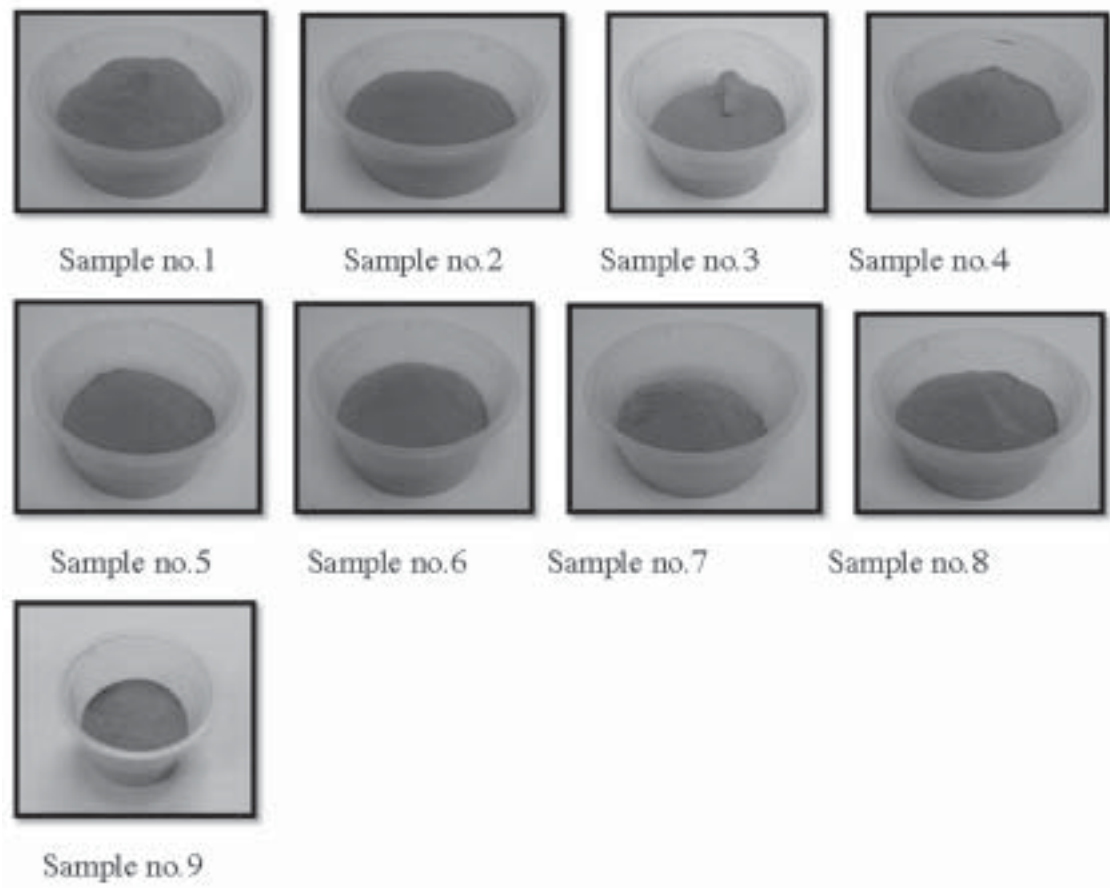


Figure 8: Sample stone powder



## **SCALES MATERIAL REVIEW PROCESS**

Both study materials need to be weighed carefully according to correct measurement using a ratio of 1:3. Study materials are weighed using electronic scales to get the exact dosage because if the study materials are weighed according to one measure, the findings will be considered a failure.

Total weight of research materials will be weighed divided into two parts, namely the study material weighing slip and then weight the powder colour river stones. Experiments that have been conducted involving 9 types of colour powder river stone with each having two different samples. Number of samples is 19 samples. Next researchers have added 19 more samples are used during the process of comparison of colour on the body surface of the specimen studies that have applied use transparent glazes and without the use of transparent glazes. The total sample of research are 38 species were sampled.



Figure 9 : The process of scales the study materials

## **MIXING, APPLYING AND BURN SPECIMENS REVIEW**

After completion weighed all the samples in the study will mix with slip to dissolve the compound. The total of slip used in the same quantity for each sample to be brewed 30gram. Results should be mixed thoroughly mix the ingredients well so it does not lumpy. Mixing the two materials is known as engobe study. Engobe mixture will be applied to the body of research specimens in wet conditions to ensure colour experiments will be attached to the surface of the body specimen study.

Materials which have been prepared sample was then applied to the surface of brewed body specimens study in wet conditions to ensure engobe or stone powder mixture is absorbed on the surface of the body.

## THE PROCESS OF APPLYING TO STUDY MATERIALS RESEARCH SPECIMENTS

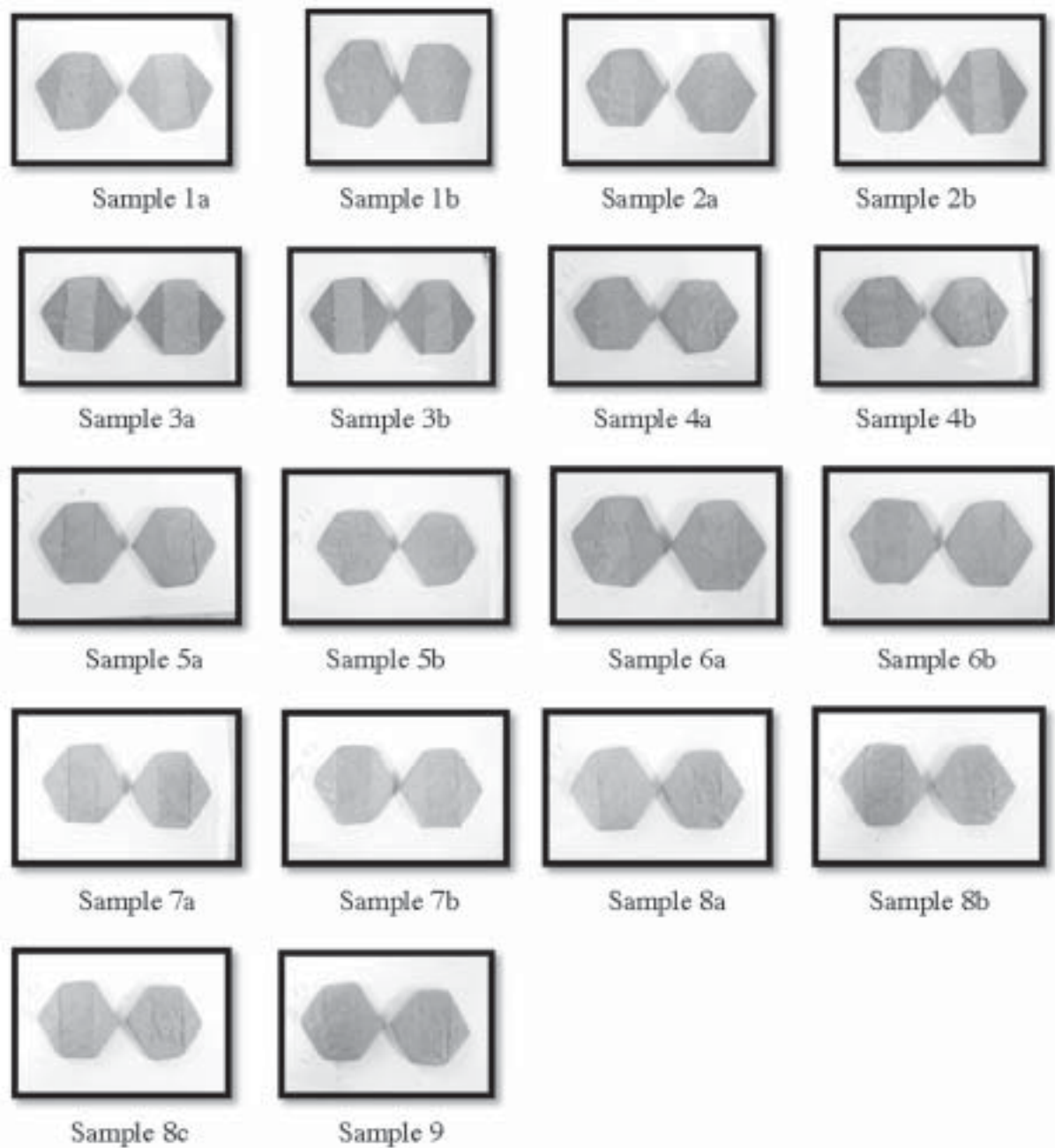


Figure 10: The process of applying to the body of research material specimens

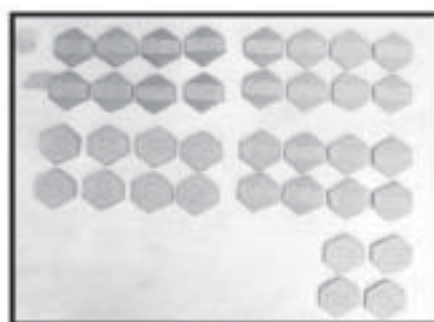
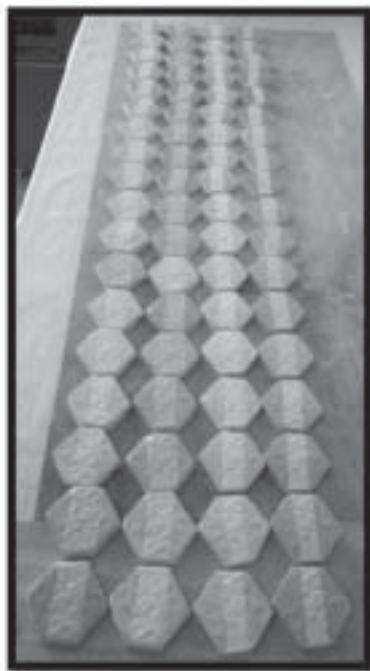


Figure 11: The body specimens that have been prepared brushed experimental material

Body specimens that are ready to be swept study materials experiments will be burned to get the desired results. It needs to be burned for 2 days at 800°c. The kitchen of the combustion process of the type of kiln (kiln) electronics used because it is easier to control.

## RESULTS OF RESEARCH

After going through the process of burning for two days including kiln cooling process . Then the results produced from burning kiln and began assessed and analyzed the results. Among the criteria that underlie the evaluation of this project is to study the resulting colour of the powder colour river stones, colour tone and quality of the resulting engobe.



## SUGGESTIONS AND IMPROVEMENTS

After doing all the research and detailed analysis. So it can be concluded that the powder river stone colour can produce colour when mixed into a engobe (slip) baked at a temperature of 1200C. However, there are improvements that can be done if subsequent studies continued.

Colour powder stone actually contain iron oxide in it. Each stone has a certain content of iron oxide and can be viewed on the colour of the stone. Light and dark colour of the stone is a higher content of iron oxide in it. So to get the results of a lighter colour, river stone be selected have the characteristics mentioned earlier.

Number of powder content highest river stone colour is added in engobe is 10g per 30g engobe, results can be seen in the sample numbered 2B and the resulting colour is dark

brown. So it can be concluded that the rock samples 2B can produce colour and if want to get a lighter colour and darker then the need to increase the amount of colour powder river rock samples 2B into glazes.

## **CONCLUSIONS**

Finally, the study is successful and can prove that the stone rivers can produce a certain colour. This research can be expanded and used to produce the colour adopted for the production at engobe in ceramic products. This could reduce the cost of production of various raw materials to be used. Coloured stone river can be obtained from any area of a nearby river and can be used as a useful raw material. Hopefully, this study will provide some benefit to the institutions of local institutions of learning, from the standpoint of the contribution to next research.

# The Correlation between Collocational Knowledge and Vocabulary Size

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## ABSTRACT

The key component of vocabulary knowledge, the most crucial aspect that is closely related to vocabulary and the one that needs to be emphasized and investigated more than it has been up until now, is the ability to combine words that co-occur frequently in the language. This study examined Saudi learners receptive and productive collocational knowledge. Furthermore, it investigated the relationship between their collocational knowledge and their vocabulary size. Participants included in this study were male advanced Saudi students at the Institute of Public Administration in Riyadh, Saudi Arabia. The results of the statistical analyses showed that there was an association between the subjects' productive and receptive collocational knowledge. Their receptive collocational knowledge, however, lagged behind their productive collocational knowledge. Overall, the subjects performed poorly on the collocational test. As for the relationship between the vocabulary size and collocational knowledge, a statistically significant correlation existed between them and in spite of this significant correlation, it seemed that the relationship between them was not straightforward. The t-test revealed that the subjects' vocabulary inventories exceeded their collocational knowledge, except at the 3,000-word level. Pedagogically, this study revealed that collocation is one of the error-provoking aspects in foreign language learning. The subjects' results were unsatisfactory, compared to their level "advanced." This is indicative of the dire need to provide L2 learners with tools to help them improve their collocational knowledge.

Keywords: Collocation, productive, receptive.

## Introduction

Vocabulary knowledge demands more than just knowing the basic meanings of the words, which could be useless if the learners restrict themselves to only this facet of knowledge. Collocation constitutes a fundamental component of second language acquisition in general and word knowledge taxonomies in particular. Nattinger comments, "The meaning of a word has a great deal to do with which it commonly associates" (Decarrico, 2001, p.292).

A native speaker, for example, produces "sour milk", rather than "bitter milk" or "weak tea" rather than "feeble tea". Ellis (2001, cited in Nation, 2013) argues "Language knowledge is collocational knowledge" (p.318) in the sense that language recognition and production rest on the ability to retrieve and recognize the combined lexical items, rather than the application of the syntactic rules. All these attributes of collocation raise our awareness of the role that collocation plays in language learning.

Collocation is regarded as the "Firthian term" (Nation, 2013). Firth (1957) was the first linguist who introduced explicitly and instigated the studies of collocation. Firth defined collocation as words that stick together. He maintained that collocation is a "mode of meaning" and he gave "dark night" as an example of a collocation. To clarify his notion using the same example, he argues that one of the meanings of "dark" allows its collocability with "night" and one of meanings of "night" is its collocability with "dark". Subsequent linguists and pedagogues offered various definitions of collocation. None

of them was able to define collocations in a more rigorous and systematic fashion (Gitsaki, 1999. Hsu, 2002).

Collocations are of two kinds: grammatical/syntactic and lexical/semantic collocations. Lexical collocations occur when lexical components such as nouns recurrently combine with other lexical components such as nouns, verbs, and adjectives. Conversely, grammatical collocations take place when a lexical item is followed by a grammatical word such as “abide by” (Schmitt, 2000).

Despite the fact that collocations were treated inadequately and in some cases in an incomplete fashion, collocations were regarded as being of first-rate importance. This growing interest increased noticeably during the last two decades. For a long time, linguists and teachers focus was on individual words and their basic meanings. The emphasis of vocabulary textbooks was on memorizing word lists, followed by gap-filing exercises. This resulted in poor results with regard to rich vocabulary knowledge. As the researchers and teachers acknowledged that vocabulary knowledge entails more than comprehending word meaning, and realized that focusing on this aspect of knowledge might not produce competent learners, suggestions were proposed to encompass the examination of the syntagmatic relations between lexical items. The shift of interest in collocations is evident in the introduction of the new approach “lexical approach” by Lewis (1993), which places collocation in an important role in the syllabus (Gitsaki, 1997).

Presently, collocations are widely acknowledged in many distinct fields: second language research, descriptive linguistics in which collocations obtained a higher profile, lexicography, corpus linguistics, artificial intelligence, discourse analysis, and second language pedagogy (Howarth, 1996; Cowie, 1994).

Several volumes and articles discussed elaborately the significant role that collocation possesses. Many linguists and language teachers have seen it as an important aspect of vocabulary development (Brown, 1974; Gitsaki, 1999; Laufer, 1988, cited in Gitsaki, 1999), language fluency, communicative competence and language performance in general (Pawley and Syder, 1983; Yorio, 1980; Nattinger and Decarrico, 1992) style and usage (Smith, 1983, cited in Gitsaki, 1999), clarity (Howarth, 1994, cited in Cowie and Howarth, 1995), the development of writing quality (Zhang, 1993; ALZahrani, 1998; Hsu, 2002), and sentence generation (Smadja and Mckeown, cited in Kita and Ogata, 1997). To put it rightly, collocations are “the building blocks of language” (Gitsaki, 1999, p. xviii). Collocation was also characterized as a tool for gluing words in a coherent way or an effective device to achieve cohesion (Halliday and Hassan, 1976, cited in Gitsaki, 1999). Along the same lines, Ellis (2001, cited in Nation, 2013) recognized the significance of collocations to language acquisition and production. He looked at language knowledge as collocational knowledge without which language learning progress could be impaired. Memorizing chunks and collocations and having command over them, as implied by Ellis, is the basis of learning. Additionally, he contends that speaking natively occurs through using frequent and familiar collocations (Ellis, 1996).

Collocations are pervasive in language use, and their worth is enhanced by the frequency with which they occur in both spoken and written language. They make a large proportion of any discourse. Howarth, (1996, cited in Bonk, 2001) determined that collocations constituted 34% of English native speakers’ academic writing, while idioms and frozen constructions were 5%. The ubiquity of collocation entails that second language learners must have control over them.

Among the advocates for the significance of collocations and the calling for the inclusion of collocations in second/foreign language learning was Hornby (1971, cited in Gitsaki, 1999), who introduced collocations in his English advanced learners’ dictionary. Brown (1974) was also among the few pioneers who advocated teaching collocations. He alleged that collocational knowledge improved listening and reading comprehension as well as reading speed. Along the same lines, Pawley and Syder (1983) believed that through collocations L2 learners achieve native-like selection and fluency. English native speakers “do not speak or write as if language were one huge substitution table with vocabulary items merely filling slots in grammatical structures” (Hill, 2000, p. 53). They know that the following example (I wish to be wedded to you) is grammatically impeccable, yet a less standard usage, compared to “I want to marry you”, which is more natural. Similarly, native speakers listen at the speed of



speech, and speak and read quickly because they rely on a large repertoire of ready-made constructions, available from their mental dictionary. These word combinations allow them to process the language as chunks, rather than word by word. Conversely, non-native speakers usually face difficulties in the English language because of the density of unrecognized collocations, which prevented them from the perception and production of these combinations at a faster rate (Hill, 2000). Actually, failing to have native-like selection and fluency can generate at best misunderstanding and at worst mocking smiles and disrespect. Thus, L2 learners need to learn collocations to bridge the gap between natives and non-native usage (Wray, 2002).

Addressing ESL/EFL learners in general, linguists and teachers insist that collocations are a crucial aspect to those learners and should occupy a better place than their current position, as their mastery of this knowledge can enable native-like comprehension and fluency. Furthermore, they recommend that collocations be taught from the beginning rather than postponed to a later stage, where a lexical error might become fossilized (Gitsaki, 1999; Nattinger and Decarrico, 1992; Lewis, 2000).

### Literature Review

Despite the long standing interest of collocations and the call for the need for research (Levenston, 1979, cited in Gitsaki, 1999), it is only recently that collocation has become a candidate for empirical studies (Channell, 1981; Elkatib, 1984; Hsu, 2002; Gitsaki, 1999; Bahns and Eldaw, 1993; Zahng, 1993; Farghal and Obiedat, 1995; Howarth, 1996; Sugiura, 2002; Schmitt & Dornyei and et al, 2004; Wolter & Gyllstad, 2011). All these studies agreed that second language learners do encounter difficulties in collocating words as noticeable by their performance. Choosing incorrect word combinations results in an output that is “at best unidiomatic and at worst unintelligible” (Hussein, 1990, p.123). If second language learners are not exposed to collocations, they often make mistakes. For instance, substituting words that are semantically compatible leads to producing unacceptable co-occurrences. The collocation “several thanks” is impossible while “many thanks” is acceptable, for example (Hussein, 1990). The aim of this study is to examine whether the size of the L2 mental lexicon is positively correlated with collocational knowledge.

### Collocation in Concordances and Lexicography

The growing interest in collocations led lexicographers and computational linguists to the compilations of general dictionaries that included collocations. Over time, more and more lexicographers have been devoting increased attention to collocations and have been involved in collecting and compiling dictionaries. Dictionaries, such as the Longman Dictionary of Contemporary English (LDOCE), Oxford Advanced Learners Dictionary of Current English (ALD), The Random House Dictionary of the English Language, Webster's New World Dictionary, and The Concise Oxford Dictionary made their appearance and included a considerable number of grammatical and lexical collocations (Hsu, 2002).

### The Purpose of the Study

This study has a two-dimensional purposes. It has evaluated the collocational knowledge (receptive and productive) of the EFL advanced learners at the Institute of Public Administration, Riyadh, Saudi Arabia. Second, it has examined whether the subjects' collocational knowledge is an indicator of their productive vocabulary size. It is hoped that with the modest amount of empirical studies, the current study will add more weight to prior research, leading ultimately to improved curricula in the L2 classroom.

To base the study on solid basis, the following research question and hypotheses were formulated.

### Research Question

What is the size or the percentage of the subjects' collocational knowledge and what is the rela-

tionship between this knowledge and their productive vocabulary size?

Hypotheses:

1. There is a relationship between the subjects' receptive and productive collocational knowledge.
2. There is a relationship between collocational knowledge as assessed by a collocational test and productive vocabulary size.

## Methodology

This is a quantitative study based on students knowledge of collocational knowledge and vocabulary size. Because most of the empirical studies, if not all, were examined in a somewhat unsystematic way, without taking account of items analysis, test reliability and validity, receptive/productive distinction, grammatical/lexical collocations, finding a valid and reliable measurement is essential and the first step towards our understanding of collocation. To alleviate the aforementioned shortcomings of the empirical studies, and to have a statistically sound basis of comparison, the present study has used Bonk's (2001) collocational instrument with minor modifications. This instrument has undergone exhaustive statistics procedures to prove its validity. To obtain data, The probe of this study consisted of a collocational test and Vocabulary Levels Test (VLT).

The collocational test contained 50 items divided into two sections, 34 productive items, and 16 item receptive items. Three types of collocations were included in the collocation test: verb-noun collocations, verb-preposition collocations, and figurative-use-of verb phrases. The verb-noun and the verb-preposition collocations, which were in the blank-filling format, constituted the productive collocational test. The figurative-use- of verb phrases, which was in the multiple-choice format, made up the receptive collocational test. The subjects in the productive test had to provide the correct collocation, whereas in the receptive test they had to select the incorrect collocation

One change from Bonk's test was the inclusion of the first letter of target collocates in the verb-noun collocations section. The initial letter was provided as a clue to ensure that only the target word was selected and reduce guessing possibility. Above all, this was assumed to increase the face and construct validity of the test. A pilot test was conducted on nonnatives to prove the validity of the initial letters. Using the initial letters as a clue elicited the responses that the present author was expecting the subjects to come up with.

To measure the participants' vocabulary size, VLT developed by Laufer was manipulated. The test sampled 18 items at each of the levels 1,000, 2,000, and 3,000. The 2,000 and the 3,000 measured the subjects' productive vocabulary size. The target items, adapted from these levels, were used in short sentences with the initial letters of the target items were provided to eliminate other options and avoid guessing.

The present study was conducted on 51 Saudi male advanced students studying at the ELC. They were at the last level of their intensive English program. Their ages ranged from 21 to 30. Most of the subjects had completed high school, and some of them had earned Bachelor's degree. The present author chose the advanced level because, it is hoped, at this level of education, the subjects would have acquired the ability to write well and would have ample opportunities to encounter collocations.

## Results

A cursory look at table 2 reveals a disparity between the subjects' receptive and productive col-

locational knowledge. A statistically significant difference was found between these variables,  $t(3.65)$ ,  $P < .001$ . As shown in table 1, the productive test produced a mean of 32.88 that was larger than that of the receptive test (24.64). The high standard deviations in both the productive test (std. = 14.79) and the receptive test (std. = 14.90) indicated a great deal of heterogeneity in the subjects scores. Overall, the subjects' accuracy in using collocations was low.

Table 1 Descriptive Statistics		
	Mean	Std. Deviation
Productive test	32.88	14.79
Receptive test	24.64	14.90

Table 2 Paired t-test		
	T	Sig. (2-tailed)
Productive and Receptive tests	3.65	.001

In response to the first hypothesis that there is a relationship between the subjects' receptive and productive collocational knowledge, the parametric correlation revealed a significant relationship as table 3 indicates. The two variables had a correlation of .45, which is significant at the 0.05 and 0.01 levels and this confirmed our hypothesis. Although this relationship was significant and implied an amount of overlap ( $r^2 = 20\%$ ) between these variables, it showed a substantial amount of unshared variance ( $r^2 = 80\%$ ). This small amount of shared variance ( $r^2 = 20\%$ ) indicated that the receptive and productive collocational knowledge represented related, yet distinguishable facets.

The productive and the receptive scores were strongly correlated with the total scores of collocations with Pearson correlation coefficients of .94 and .71, respectively. There was a less than 0.000 probability that correlations large like those would have occurred by chance in a sample of 51 subjects. As inferred from the correlation coefficient, the productive scores were strongly correlated with the total scores of collocation both significantly and practically. The shared variance ( $r^2$ ) accounted for 88%. Conversely, the  $r^2$  of the receptive scores and the total scores was less than the productive scores and the total scores (50%), which made it less practically significant.

Table 3 Pearson Correlations Among Variables		
	Productive score	Receptive score
Productive score	1	.45** .000
Receptive score	.45** .000	1
Total score	.94** .000	.71** .000
** correlation is significant at the 0.01 level (2-tailed)		
* correlation is significant at the 0.05 level (2-tailed)		

As for the vocabulary size, on average, the subjects knew approximately 79% (785) of the words in the 1,000 word level, 35% (350) of the words in the 2,000 frequency band, and 17% (166) in the

3,000 word level ( see table 4). These percentages were below the anticipated ratio. A score of 80% can indicate that the subject is able to effectively use the words of a particular level.

Table 4 Assessing Vocabulary Size				
Level	Total Score	Average Score	Vocabulary Size	Percentage of Knowledge
1 to 1,000	720	14.12	785	78.40 %
1,000 to 2,000	321	6.3	350	35 %
2,000 to 3,000	152	2.10	166	16.55 %

In order to investigate whether there is a significant difference between the subjects' vocabulary size and their collocational knowledge, a comparison was computed using a paired sample t-test. For the resulting comparison, the alpha level was set at 0.05. Means and standard deviations are shown in table 5. The subjects' scores were converted into percentages. As table 6 indicates, the t-test revealed that the difference between the mean scores for both variables was significant ( $t=12.54$ ,  $P < .000$ ). The mean score of the vocabulary size (43.23) was larger than that of the collocational knowledge (30.58), which demonstrated that collocational knowledge lagged behind and did not grow at the same rate as the subjects' vocabulary size. The high amount of the standard deviations of both vocabulary size (14.18) and knowledge of collocations (13.18) showed that the data were not homogeneous and more spread out.

Similarly, mean differences were calculated to compare scores on each word level and collocational knowledge. Statistically significant differences were found between collocational knowledge and 1,000, 2,000, and 3,000 word levels. The t-test values of the collocational knowledge and the 1,000, 2,000, and 3,000 frequency words were 23.99, 2.41, and 11.21, respectively (see table 6). Looking at the mean scores in table 5, it was found that the subjects' vocabulary size decreased gradually from one level to another. The subjects' vocabulary size was superior to their collocational knowledge, with the exception of the 3,000 frequency band. It was shown that the subjects' knowledge of collocation to be better. The subjects' mean score in the collocational knowledge was 30.58 and in the 3,000 word level was 16.70. Standard deviations throughout revealed that the data were heterogeneous. Generally speaking, the subjects' total scores means in both collocational knowledge and vocabulary size were low since they reached 43.23 and 30.58 of the total scores.

Table 5 Descriptive Statistics		
	Mean	Std. Deviation
1,000	78.33	15.007
2,000	34.90	21.66
3,000	16.70	13.83
TS of vocab	43.23	14.18
TS of collo	30.58	13.18
Prod collo( productive collocations)		
Recepcollo( receptive collocations)		
TS of collo( Total score of collocations)		
TS of vocab ( Total score of vocabulary)		

Table 6 Paired t-test	
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	T	Sig. (2 tailed)
TS of collo and TS of vocab	12.54	.000
1,000 and TS of collo	23.99	.000
2,000 and TS of collo	2.41	.019
3,000 and TS of collo	11.21	.000

As for the second hypothesis (there is a relationship between collocational knowledge and productive vocabulary size), it was found to be true. The Pearson correlation showed a strong relationship between these variables, with a correlation of .87 ( $P < .000$ ), and a magnitude of  $r^2 = .76$ , which means that 76% of the variance in the variable (vocabulary size) can be accounted for by the variable (collocational knowledge) and vice versa (table 7). To put this value into perspective, only 24% of the variability was not shared between the two measures, a finding indicating that collocational knowledge is a phenomenon that is considerably closely related to vocabulary size. Furthermore, it suggested that knowledge of collocations is directly proportional to vocabulary size.

Correlation analysis was also performed to measure to what extent scores of each of the word levels (the 1,000, 2,000 and 3,000) correlate with the productive and receptive collocational tests. Additionally, correlation was calculated between the total scores of vocabulary and the receptive and productive collocational tests. As shown in table 7, the intercorrelation between the three word levels and the productive collocational test seemed to be statistically significant. The relationship of the 1,000, 2,000, and 3,000 word levels with the productive collocational test was .51, .83, and .73, respectively. The receptive collocational test showed less significant relationship, and in one case, there was no association. This case occurred between the 1,000 word level and the receptive collocational test ( $r = .27$ ,  $P > 0.53$ ). The Pearson  $r$  indicated a significant positive relationship between the vocabulary size and productive collocational test (.84) as well as between the receptive collocational test and the vocabulary size (.57,  $P < .000$ ). However, the index of common shared variance ( $r^2$ ) was larger in the productive collocational test (70%) than in the receptive collocational test (32%).

Table 7 Pearson Correlations Among Variables						
	1,000	2,000	3,000	Prod collo	Recep collo	TS of vocab
Prod collo	.51 .000	.83 .000	.73 .000	1	.45 .000	.84 .000
Recep collo	.27 .53	.55 .000	.59 .000	.45 .000	1	.57 .000
TS of collo	.49 .000	.85 .000	.79 .000	.94 .000	.71 .000	.87 .000
TS of vocab	.70 .000	.93 .000	.83 .000	.84 .000	.57 .000	1
** correlation is significant at the 0.01 level (2-tailed)						
* correlation is significant at the 0.05 level (2-tailed)						

## Discussions and Interpretations of the Results

The most complex problem that learners encounter is of a lexical nature rather than a grammatical one. This is nowhere more obvious than in the field of collocations. The results showed that collocational mismatches were frequent in the subjects' responses and thus their collocational knowledge was not regarded as competent. They committed mistakes both receptively and productively, a finding reported by some studies such as Bonk's study. The subjects' lack of knowledge is hardly surprising, given the idiosyncratic nature of collocation and the absence of its recognition in the foreign/second language setting as well as the inappropriate teaching of lexical items. Unfortunately, the majority of ESL/EFL teachers are concerned with giving students synonyms (the open choice principle), without directing their attention to the restrictions of these words where the idiom choice principle is at work, or providing them with the common collocations utilized in this situation. There is no doubt that heavy reliance on synonymy can certainly impair the naturalness of communication and discourse flow. Thus, producing natural and accurate collocations is not a matter of constructing well-formed pairs or phrases, but of using natural well tied lexical items.

The data revealed that there was an association between the subjects' productive and receptive knowledge of collocations. This kind of relationship was not that significant in practicality, which indicated that although there was an overlap between these two facets to a noticeable degree, they were of different types of knowledge. The results also demonstrated that the subjects were more accurate in the productive test than in its counterpart receptive test. This finding showed a consensus with Bonk's study. This is somewhat paradoxical when considered in the light of evidence that receptive knowledge typically precedes productive mastery. This result also confirmed other studies conducted on the lexicon field. Researchers found that there is a relationship between a word's frequency and the quality of students' knowledge of it (Schmitt, 2000).

### Pedagogical implications

This lack of knowledge, as stated before, resulted from the neglect of the lexical approach in the foreign language learning context. The slight increase, which was in favor of the subjects' mental lexicon, could be as a direct consequence of the attention that vocabulary was given over collocations and the language teachers' tendency to teach words individually, rather than collocationally. Undoubtedly, the negligence of teaching collocations in the classroom leads learners to focus on individual words, throwing away all the important information on the words, namely, their partners. Additionally, the reliance on synonymy in dictionaries to obtain the meanings of particular words created the wrong thought that conceptual equivalence entails distributional equivalence (Abu-Ssaydeh, 1995). Inadequate proficiency in recognizing and producing collocations, as this study indicated, raises the need for a more constructive instructional focus on the field of collocations. Lexicon, especially collocation, should not be relegated to a minor position, but it should be brought to the forefront of language teaching. ESL/EFL learners need to observe the restrictions on the co-occurrences of words, and the fact that words do not join haphazardly.

Teaching collocations to ESL/EFL learners is important, and thus it is necessary to include them in the curriculum as this study proved significantly they are essential tools for the development of writing quality. ESL/EFL teachers need to capitalize on collocations in the classroom to help learners sensitize the idiosyncratic nature of collocation and catch the subtle distinctions among them, e.g. "powerful car", "\*strong car", "pay attention", and "\*do attention". This sanitization could help learners develop a sense of the importance of collocations and thus eventually lead to sharpening their lexical competence.

Increasing awareness of collocations could also be done by encouraging learners to read extensively. It is well established that vocabulary knowledge is directly related to the amount of reading consumed by learners (Nation, 2013). Furthermore, one way to improve students' collocational knowledge is to draw their attention towards making a greater use of English collocational dictionaries whenever they need to find out about a particular collocation or they are unsure about how to use particular words. Teachers also could use workbooks and sufficient materials containing exercises to enhance the acquisition of collocations. Collocational exercises, such as "collocational grids" and "brainstorming" where they are given a word and they are asked to list all the words they can collocate with it, could be utilized in the



classroom to consolidate word knowledge. An advantage that might work for EFL teachers, who teach learners sharing the same language, is that they could use workbooks presenting a variety of collocations with a special emphasis on collocations that showed a divergence with the English language

### Limitations and Suggestions

An important limitation of this study is related to the instruments. The scope of collocation types used in the collocational test was restricted to verb-noun and verb-preposition collocations. Although these collocation types are common in the English language, they do not necessarily capture the subjects' overall collocational knowledge. True English collocational knowledge can be approximated by considering all the aspects of collocational knowledge such as grammatical/lexical collocations, collocations types, high/low frequency, and receptive/productive collocations.

The present study included a relatively small number of subjects. Another study with a bigger sample of subjects in different settings (other male and female IPA branches) is recommended to see if the findings can be generalized to a large population.

As far as the productive collocational test is concerned, giving the subjects the meaning of the target collocations in the margins is a possibility for future research because the test measures the subjects' ability to produce collocations, rather than the ability to discern the meanings. For the receptive test, asking the subjects to choose the correct sentence, instead of choosing the incorrect one as in the present test, from three incorrect ones is more reliable because opting for the correct answer requires more knowledge. Additionally, adding a fifth option "I do not know" might reduce the possibility of guessing since this option does force the subjects to choose an answer.

Another possible area in which future research could be conducted lies in giving the subjects a translation task in addition to the present study. Along the same lines, more collocation types could be added to the present study to tap into the subjects' collocational knowledge.

Furthermore, a follow up study to the present study could be undertaken on the spoken language of the subjects to see how frequently the subjects use collocations in the spoken discourse as opposed to their written discourse.

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TECHNOWORLD OF TECHNOWOMAN

ABSTRACT

TechnoFeminist Science Fiction is a new approach combining cyberfeminism and cyborg feminism and it demonstrates the place of women in virtual World through examining cyber and cyborg figures. The core of this new approach is to give voice to the mutual relationship between women and technology. As a new trend in contemporary Women's/Gender Studies and Feminist Science Fiction, it creates new women figures— technowomen— in our New Millennium age. TechnoFeminist Science Fiction novels demonstrate these new types of women by erasing the gender duality problem. This study aims to demonstrate how British novelist Justina Robson have opened a new technodigital World through characterization of emancipatory cyber and cyborg women embodiment by breaking down the boundaries between woman and machine, animal/organism and machine, and physical and non-physical organisms. The issues of FemaleMan© Modest Witness, Cybernetics and Virtual Reality, Cyborgs and Posthuman, Cyborg Society and Cyborg Love are also discussed in Natural History. In this novel, Robson weaves the mutual relationship between women and technology and develops an image of cyborg consistent with Donna Haraway's cyborg manifesto and cyberspace consistent with Sadie Plant's cyber matrix. Shortly, the aim of this study is to show how technowoman figures in the New Millennium are examined in Natural History.

Key Words: Cyber, Cyborg, Gender Studies, Justina Robson, Natural History, Science Fiction Literature, Virtual Reality, Women's Studies.

INTRODUCTION

Two different but related discourses, cyberfeminism and cyborg feminism, are brought together in the current approach of the new Millennium, TechnoFeminism, which was coined by Judy Wajcman. She follows the philosophy of Sadie Plant in terms of cyberfeminism and relates cyborg feminism to the philosophy of Donna Haraway. Wajcman points out the exclusion of women from technoscience because of sex and cultural stereotyping of some jobs and their restricted and limited access to scientific and technical institutions and careers because of patriarchal domination and hegemony. Wajcman asserts that women have always been good technologists since the earliest human times from inventing plant tools, and some important industrial machines as sewing and loom, and to their important roles in the development of the computers as computer programmers and operators (13-15). That is, there has been a great love between women and technology throughout history. Contemporary technofeminist science fiction novels demonstrate this great mutual love and the new types of women, technowomen, and the aim of this study is to show how British novelist Justina Robson has opened a technoworld of a technowoman in our current technodigital space.

Early feminist groups' essentialist writings were fatalistically pessimist in concerning gender and technology by excluding women's technical skills and careers, because technology

was seen under the authority of male power and as the masculine character. Rather than defending the common tendency of technological determinism that considers women as the passive victims of technology, TechnoFeminists have increasingly begun to regard information, communication and biotechnologies as transformative and revolutionary (Wajcman, 12-22). TechnoFeminists are more closely dealing with new media, mobile phones, cyber-cafes, science fiction and virtual worlds than the women in the past, that is, we see more wired women now. Judy Wajcman conceptualizes TechnoFeminism on the mutually constitutive relation of society and technology and she creates a sociotechnical arena in which technology is reproduced as an outcome of gender relations. TechnoFeminist approach handles technology as constructivist and as a sociotechnical network.

In “Binaries” section of *Zeros and Ones*, Sadie Plant stresses on the symbolism of zeros and ones which represent Cartesian duality; male as phallus and female as lack. Plant announces that men have lost their power of control and their patriarchal authority in terms of technoscience after the 1990s because of Genderquake, but the power of control has not shifted either of them. The zeros that represent vaginas make women in need of men to fulfill their emptiness, holes and the ones that represent penis by fulfilling women hold the power on their body (Plant, 2003; 37-39). Plant claims that the zeros, considered as holes, absent and nothing to the Western world, now in the techno-digital age, have displaced “the phallic order of ones” and secured their place in digital world (2003, 126). Wajcman, hence, applauding Plant’s digital revolution, declares the decline of power based male hegemony and birth of a new techno-digital system in which both women and men stand together. Both Plant and Wajcman assert that the cyberspace (the Net, virtual reality and the matrix) is a nonlinear world that rewires people and frees them from the tyranny of physical boundaries to non-physical realms. Wajcman affirms Plant for emphasizing the fractured identities of women by stressing on multiple identities, multiple bodies, and multiple lived experiences of women. Therefore, fragmented, scattered and incoherent selves have been replaced by multiple, flexible and fluid selves, so women, suffered from their brilliance and called hysterics, lunatics, madwomen, the Other, zeros and holes, are now fluid, decentralized, multiplicitous, flexible, wired, weird, emergent, cyber and cyborg through network experiences.

TechnoFeminism brings out the cyborg embodiment by claiming that it is difficult to sustain full freedom and liberation by technology separated from the body. New technologies are appropriate for liberation of women, so Wajcman combines cyber with the cyborg embodiment in order for women to reach pleasure, freedom and liberation, and she rejects flying from the body but acknowledging embodiment. Haraway celebrates the progressive and liberatory potential of science and technology by creating new hybrid entities. Haraway joins the imagination and the material reality and creates cybernetic organism, a hybrid of machine and human, animal and human/organism and physical and non-physical organism (1991, 149). Haraway issues cyborg meta-category of heterogeneous entities as the OncoMouse™, the FemaleMan, and companion species. Haraway suggests affinity politics, instead of a unitary identity politics, in order to struggle against domination and break down the binary oppositions. Wajcman, then, applauds Haraway’s cyborg manifesto that provides emancipatory potential of cybertechnology as well as a hopeful and positive vision of science and technology. Wajcman also praises Haraway’s objective and the truest science that can only be achieved by democratic equality through FemaleMan© modest witnesses (Haraway, 1989; 13) for scientific observations. Wajcman knows that Haraway uses the cyborg metaphor ironically in order to subvert the dualism. Thanks to her hopeful vision of cyborg figures, there will be the end for binary oppositions and women would gain the equal power they wished for a long period of time. Hence, Wajcman ap-



plauds Haraway's emancipatory politics for women through her cyborg manifesto (101).

## TOWARDS TECHNOWORLD OF TECHNOWOMAN

TechnoFeminist Science Fiction weaves the mutual relationship of women and technology and techno-social relationships with both cyber and cyborg characters. TechnoFeminism is more concerned with the mutual relationship between women and technology, so TechnoFeminist Science Fiction deals with technowomen and their technoworld. Those technowomen are both cyber and cyborg figures such as female hackers, virtual female selves, virtual body, artificial intelligence females as well as technologically enhanced cyborgs, techno-bodies, machine/women hybrids, animal/women hybrids and physical/nonphysical hybrids.

Technologies are embedded in social networks, but feminist politics have led to change the character and identities of these social networks: "technological advances do open up new possibilities because some women are better placed to occupy the new spaces, and are less likely to regard machinery as a male domain" (Wajcman, 109). Robson's TechnoFeminist Science Fiction novel opens up new possibilities of technology such as genetic engineering, biotechnology, nanotechnology, AIs, online gaming, artificial reality, and so on. Robson places her technowomen to occupy the new cyber and virtual spaces; the cyborg Isol in *Natural History* explores the Stuff high technology Moon.

We can say that women still come up against a brick wall in some technoscientific jobs as professional or managerial although traditional male domination in technical, scientific, engineering jobs have declined. There is a traditional basis and concern that men have dominated scientific, engineering and technical institutions, so technology is seen as a culture that expresses male relations. To this traditional basis, feminine identity is seen as being ill-suited to technological field. Thus, as Wajcman says "Feminist writing has long not only identified the ways in which gender-technology relations are manifest in gender structures and institutions, but also highlighted gender symbols and identities. Men's affinity with technology is integral to the constitution of subject identity for both sexes" (111). Robson weaves feminist technoscience in her novels by giving technowoman figure the highest statue jobs in the field of technology and science.

## JUSTINA ROBSON'S NATURAL HISTORY-AN ANALYSIS

The *Natural History* consists of the cyborg embodiment, especially Haraway's cyborg subjectivities with its female and male cyborgs as well as other deviant unnatural bodies/forms. It covers all three cyborg types of Haraway; human and machine hybrid, animal/organism and human hybrid, and physical/non-physical hybrid. Besides these cyborg figures, we see Plant's cyberspace matrix and cybernetic features as well as virtual cyberselves in the novel. Therefore, TechnoFeminism meets cyber and cyborg metaphors in the science fiction novel of Justina Robson. Robson conjures up the three series of cyborg forms of life by using molecular biology, as well as cyberselves within cybernetic imagination.

The prefix post in posthuman might refer to both 'after' and 'beyond' as transcending the limitations of the human. That is, cyborg figures are not after/beyond human, but the human itself. Haraway deals with cyborgs, not with bodies and selves after/beyond humanism, posthuman creatures. Rather than applauding the transcending the limitations of the human as

posthuman figures do, cyborg figures in the novel are proud of having human facilities, genes and sensations. There is a debate between cyborgs and humans whether to accept the highest technoworld named Stuff to transform themselves to finite posthuman figures. Nevertheless, the novel is open ended, so we cannot meet with full transformation of the cyborgs or humans into posthuman. Thus, the cyborgs are portrayed as evolved, forged regenerations of human beings through technology, so Natural History of those evolved forged/cyborg humans is based on humanity itself.

Haraway asserts, "Contemporary science fiction is full of cyborg creatures simultaneously animal and machine, who populate worlds ambiguously natural and crafted" (1991, 149). Natural History depicts the future scientific possibility of human beings who, through science and technology, look very much like us, but only with better physical conditions, better health care, different appearance, longer lives, and perhaps more intelligent than today because humanity has mastered nanotechnology and biotechnology by mixing human genes with those of so many other species. For example, the Forged figures as designed humans in the novel are regenerated in order to get rid of the tyranny and the limitations of the human body, but they are human in origin having the human genes. Shortly, within the narrative, we do not see posthuman figures but cyborgs/evolved/forged, who are generated by technology rather than reproduced or produced solely by technology as posthuman. The science fiction narrative in Natural History features characters that embody almost every possible features and gene of the humanity breaking down the three boundaries that Haraway mentions; between human and animal, animal-organism and human, and physical and non-physical. Therefore, this TechnoFeminist Science Fiction novel meets Harawayian cyborg figures and Plant's cybernetics, so we examine first the kinds of cyborgs following Haraway's Cyborgology and then the cybernetic space of Natural History following Plant's cyberfeminism.

### The Natural History of Cyborgs

Plant argues that "Human history is the self-narrating story of [the] drive for domination; a passage from carnal passions to self-control; a journey from the strange fluidities of the material to the self-identification of the soul. Woman has never been the subject, the agent of this history, the autonomous being. Yet her role in history has hardly been insignificant" (1996, 58) Thus, what Plant tries to do is to create a herstory instead of male dominated history by bringing out successful women in technoscience. Hence, the Natural History of women is related to the Natural History of the Forged who try to create their own history through weaving the mega technology, the Stuff. This novel deals with the process of the Forged and their debate whether to create a new Forgedstory by accepting the Stuff technology or to remain loyal to the Natural History of humans.

As Haraway asserts "a cyborg world might be about lived social and bodily realities in which people are not afraid of their joint kinship with animals and machines, not afraid of permanently partial identities and contradictory standpoints" (1991, 154). In Natural History we see cyborg species that live in a Cyborg world, half on Earth, and half on other planets. All types of cyborgs (Forged, Degraded, Hives, Arachnoids, Gaiaforms, Terraforms, Anima MekTeks, etc. and unmodified humans (Unevolved) live together, and all of them have their own history of their nature. Every being has its own formative history. Through different human types, Robson's cyborgs explore the multi-faceted nature of human identity itself. Robson's TechnoFeminist politics is that, though different forms of humanity, it is possible to live together in peace without othering the Others because of their physical appearance, form or gender.

This complex story begins with the voyage of a Forged technowoman named Isol Voyager and her deep space exploration mission. In the light of Harawayian Cyborgology, her body consists of gene splicing combination as well as cybernetic parts both of which enable her to stand against the difficulties of outer space. On her voyage, she encounters alien technology that she calls 'Stuff' when she runs into space debris and is about to die. The Stuff recovers her and helps her to transport across space with a capacity of faster than light (FTL): Isol replaces her detective reactor core by taking the Stuff into her body, so by this way, she quickly transports to the across planet Zia di Notte. Natural History inhabits cyborg humans, modified humans and pure humans as well as animal human hybrids and other companion species, but this Stuff technology is portrayed as beyond cyborg and beyond humanity. Haraway deals with cyborgs, not with bodies and selves after/beyond humanism, posthuman creatures: "I never wanted to be posthuman, or posthumanist, any more than I wanted to be postfeminist" (1980, 17) because she prefers to be a cyborg rather than a posthuman or goddess. Haraway does not accept the post-human term, and instead prefers to be a cyborg. We do not see posthuman figures but cyborgs/evolved/forged, who are generated by technology rather than reproduced or produced solely by technology as posthuman. Thus, this posthuman creature, The Stuff, plays the role of God by offering eternal free-will. Although the Stuff alien fits Harawayian boundary breakdown of physical and non-physical, it is a posthuman itself. Isol begins to claim that planet as a new homeworld, technoworld, both for the Forged and the Unevolved. She later recruits several other Forged cyborgs. The Unevolved human community agrees to consider the Forged's demand of living on this distant planet altogether and they decide to send a representative to search the planet. Thereby, they decide to send an Unevolved anthropologist and historian of Earth's lost worlds, professor Zephyr Duquesne with Isol to the planet to determine whether it is dead and unoccupied and habitable like earth.

Zephyr and Isol departs and arrives at the stuff planet, Zia Di Notte. As Linda Badley asserts, the "Cyborg space is electronic, mediated space" (75). Likewise, the planet, Zia Di Notte, is a cyborg planet on which everything is simulation, but it takes much time for Zephyr to understand that the planet is not real. This cyborg planet, which is the simulation of the Earth, is being constructed by the Stuff technology. Meanwhile, Isol prepares a Roach, a small independently mobile AI cyborg for Zephyr to keep in contact with Isol so that she can travel around the surface. The AI bionic parts are in fact cyborg AIs because "biological AI brain is given a technological robot body then it is a type of cyborg □ a cybernetic organism (part animal/human, part technology/machine) □ with an embodied brain" (Warwick, 11). In the novel, the artificial intelligence modified organisms like Hand, Arm, Roach and artificial intelligence machine Abacand represent Haraway's third boundary breakdown between physical and non-physical. Although Isol is in a different place bodily, she can be near Zephyr with her Hand and Roach and can hear everything though these AI cyborgs. Thus, the Roach and the Hand work like a wireless connection between their controller and Zephyr. For Haraway, these new cyborg human machines are quintessential, being everywhere and invisible. Hence, Isol is both material and opaque and quintessence, and her Abacand is, as Haraway claims, a miniaturization, made of sunshine, portable, mobile sending electromagnetic waves (1991, 153-154).

Zephyr and the Gaiaforms cannot build or plant anything on this machine planet that eats their work and tries to conquer them through blurring their mind by talking. They also see many dead skeletons of human beings on the planet that is made of the Stuff and then question what might happen after they let the Stuff to transform them into a posthuman. While Zephyr and the Gaiaform cyborgs are in Zia Di Notte, Isol by the help of General, manages a scientific

laboratory on this Stuff Moon in which insect/human FemaleMan modest witnesses, scientists, work on this Stuff, the OncoMouce entity. While they are examining the Stuff, people on Earth start an open referendum debate to vote whether to accept the posthuman embodiment thanks to the Stuff technology or to remain heterogeneous cyborg-human society.

As Plant says, cyberspace “promised a zone of absolute autonomy in which one could be anything, even God: a space without bodies and material constraints, a digital land fit for heroes and a new generation of pioneers” (2003, 180). Corvax tries to connect with the Stuff on the Net, Uluru where he can transform himself into that Stuff, he enters this promised zone with the Stuff stone in order to meet his cyber avatar Caspar with the Stuff stone so that he can learn the mission of the Stuff. In his cyberspace, Corvax plays the role of God or a hero disguising in every shape and species. Plant asserts that, cyberspace is “a zone in which you can be what you want, do what you like, feel what you will” and it is a “time and a place for everything” (2003, 181). Corvax tries to be a Stuff in Uluru and succeeds it. Then, after he gets out into the lab proper, he experiences that the Stuff offering freewill might cause trouble if it is in bad hands and transforming into a posthuman Stuff will be the end of human being. As Plant claims cyberspace gives ultimate free will to its user who can be any figure, so Corvax has tried to be the Stuff but of course this experience has remained in virtual world. After this virtual experience, Corvax decides to prevent the Stuff hunters.

In the Homecoming chapter, two women end their voyage with a new voyage to home, a new (posthuman) home for the sake of saving the heterogeneous humanoid form. The novel starts with the voyage of two women, one is Unevolved and the other is a cyborg. However, Robson leaves the end of the novel open: to save the humanity, Zephyr agrees with Isol to stay on the alien posthuman planet Zia Di Notte, otherwise she will transport with Isol to the Earth, but on their way home, the Stuff will conquer Isol’s soul, so they will have brought the Stuff to other people on Earth. Thus, Isol persuades Zephyr to sacrifice herself for the sake of humanity, otherwise the whole humanity will transform themselves into a posthuman. Hence, they risk themselves to be captured by the Stuff and transformed into a posthuman. At the end of the novel, two women (Zephyr and Isol) are transformed themselves into a posthuman form and they save the humanity. In any case, as it is open ended, we cannot be sure whether the rest of the people, either Forged or not, will accept transformation.

### Harawayian Cyborg Figures

Haraway’s cyborg is self-declared deconstructor of humanism, offers an imaginative bio-technological form undermining the split between humanity and its technology. On the other side, her cyborg rejects humanist storytelling about death and birth operations. In her manifesto, she announces: “I would suggest that cyborgs have more to do with regeneration and are suspicious of reproductive matrix and of most birthing” (1991, 181). However, this does not mean that she completely eradicates the humanist narrative because the human element of cyborg is not eradicated, that is, the cyborg cannot be devoid of narrative-based life. Haraway’s cyborg has the features of multiple assemblies and disassemblies as well as the human cycle. Thus, the politics of her cyborg is of “building and destroying machines, identities, categories, relationships, spaces and stories” (1991, 181). Her cyborg, taking part in a socially constructed society, has self-reflexively transmogrified or evolved, and selects variations of subjectivity to its political advantage (especially self-willed subjectivity or self-willed material bodies). Modest\_Witness@Second\_Millennium. FemaleMan©\_Meets\_OncoMouse™ Feminism and Technoscience describes the cyborg as a “cybernetic organism, a fusion of the organic and technical forged in particular, historical, cultural practices” and considers cyborgs as “not about the Ma-

chine and the Human, as if such Things and Subjects universally existed. Instead, cyborgs are about specific historical machines and people in interaction that often turns out to be painfully counterintuitive for the analyst of technoscience” (1997, 51).

In the novel, we encounter with technologically enhanced, ambiguously gendered and behaviorally transgressive female cyborgs. The humanity consists of many kinds of human beings: the Unevolved humans (Old Monkeys), modified Unevolved MekTek humans, the Evolved humans (the Forged), the AnimaMekTek Forged humans and the Degraded humans (disabled cyborgs), the Terraforms and Gaiaforms, the AI cybernetic selves as Tupac, and the posthuman technology creation, the Stuff. It consists of a cybernetic virtual world named Uluru, as well.

Haraway mentions about three border crossings through which it will be impossible to return to nature. In order to constitute a political-fictional (political-scientific) analysis, Haraway points out three crucial boundary breakdowns: human and machine breakdown, animal-human (organism) and machine breakdown and physical and non-physical breakdown. These three breakdowns fit with all the human types in the novel except unmodified Unevolved humans who are enhanced living longer with good health care, happier and fuller lives. The rest of the humans are all cyborgs having human genes. One of the animal-human Hive, TwoPi, says that:

Despite our physical differences, [...] we have human minds. Not necessarily all the same, nor even structured the same way mechanically, biologically, but in our identities and the very design of our consciousness we are all bound in the human mould. Even those of us with enhanced intellect, or greater memory, or superior sensitivity to all kinds of stimuli both within and without, are not significantly different from this fundamental paradigm (Robson, 254-255).

Therefore, we can infer that any human being should not be judged by her/his appearance; especially women should not be considered as the Mad, the Alien, the Other, the Second Sex or the Weird. It was the women who had to transform themselves into manly bodies by leaving their domestic work and childrearing in order to be accepted to enter male dominated work place so that to work permanently without maternal leave. Now, in the novel, it is a male cyborg who tries to transform his body in order to help technoscientific job. In order to contribute to the human-sized laboratory, Corvax has his wings removed and turns his body into a disabled cyborg just to interact with the other scientists. Then, first leaving his body and then his consciousness, he turns into the Mad Man in the Attic, the Other and the Weird as the women in the society.

Boundary between Human and Machine

#### The Forged Humans: Abled Cyborgs:

Haraway's first boundary is between human (organism) and machine. She explains the distinction between pre-cybernetic machines and today's that previous machines were not “self-moving, self-designing, autonomous. They could not achieve man's dream, only mock it,” so they are mainly depended on humans. However, today they are much more developed, more intelligent and even self-designed. So, many of the distinctions between machines and organ-



isms are fading away. Haraway claims that:

They [pre-machines] were not man, an author to himself, but only a caricature of that masculinist reproductive dream. To think they were otherwise was paranoid. Now we are not sure. Late twentieth-century machines have made thoroughly ambiguous the difference between natural and artificial, mind and body, self-developing and externally designed, and many other distinctions that used to apply to organisms and machines. Our machines are disturbingly lively, and we ourselves frighteningly inert (1991, 152).

Robson's machines are like the ones Haraway's late 20<sup>th</sup> century machines, even more than them. We see human-animal (organism) and machine boundary breakdown in the novel. The Forged are self-moving, self-designing and autonomous. They are man and woman; they are not only a caricature of that masculinized reproductive dream. The Forged have made ambiguous the difference between natural and artificial, they are half natural human, unevolved and half unnatural, evolved artificial intelligence machines. They breakdown the boundary between mind and body; their mind is a human mind, but their body is free from human body constraints, and they are in form of every organism, mostly animal. Free from body images, they also breakdown the hierarchy, and binary oppositions between human and animal and man and woman. Robson's Forged cyborgs are disturbingly lively, human, more intelligent (AI), self-developing and externally designed. The Evolved humans are genetically and mechanically designed for specific purposes or environments, so they can live in space without spacesuits as each type of the Forged have special body forms. The Forged are just like humans, but they are physiologically and psychologically different from them. The extreme modification of the human body, represented by the Forged, lives with humans each of whom negotiate a space. The unmodified humans are aware of the fact that the Forged are also human beings.

### Strangeness of the Woman Cyborg Isol:

In cyborg narratives, that cyborgs look strange is what distinguishes them from the other normal human beings. In fact, the strangeness of the cyborg's results from the perspective of the viewer, so from a male dominant viewer, women were considered as abnormal and strange as aliens or monsters. In the narrative, Zephyr's first staring of the cyborg Isol is told like that: "Isol hung in the soft webbing of Tupac's embrace, looking like nothing than a piece of stranded sea-junk: an assembly of spars jutting from a central core of black hide that was knobbled with peculiar outgrowths and pits" (Robson, 134). That is because Isol was like an "unrecognizably human as the most extreme class of Forged that Zephyr had seen in her life" (Robson, 133). Some features of Isol are: her "visual sensors were a complex knot of radar, photo and radio, capable of 360-degree awareness" (Robson, 25) and she "could process memories at fifty times the speed of an Unevolved human and have it feel like real time" (Robson, 2). That is, cyborgs are considered as weird and strange as the women in our world who are judged because of their gender, accused of lacking mind, reason and logic, and eliminated from certain jobs because of their considered lack of ability and physical power. They were considered as animal-human hybrid body to be used for every physical activity (especially for sex and childbearing) and machine-human hybrid to be used for domestic work. Shortly, in TechnoFeminist Science Fiction narratives, cyborgs are looked strange or monster like the cyborg body of Isol's looking like a sea-junk.

### Terraform Class: The Gaiaform Forged Humans:



The Gaiaform Forged humans also fit Harawayian first border crossing by breaking down the boundary between human and machine. The Gaiaforms are created to terraform Mars and the Moon and all of them are controlled by a single mind and personality, but after they had completed their work, they were put into hibernation because they were “created with the promise of a long life and work, but prevented by their very form from enjoying any kind of existence outside the purity of mere Function” (Robson, 214). Each one consumes more than a thousand terabytes of storage in compressed form. In the novel, they are described by one of the cyborgs, Tatresi, as “bigger than he’d imagined” and “larger than he was, each of them, behemoths of metal and flesh more than five kilometers wide-and that wasn’t even counting their Arms, Hands, Feet, Legs and other appendages clinging with insensible grip to the platform’s [AI] meagre scaffold.” The Gaiaforms are designed for such vigorous lives and have to be kept in statics; otherwise they will consume themselves if they remain sedentary. Kincaid was “a tough, weathered man in a leather apron all twisted sinew and bone; Bara [a VanaShiva class] a narrow-armed sprite, white-haired, sexless and ageless, his feet and fingers indistinctly melding into the flurries of cloud that came into being around them” (Robson, 87). The larger shape is the dark color of the Asevenday. Kincaid is the only Asevenday who remains still in existence because the others were either subjected to voluntary decommissioning or killed during the work on Mars. Kincaid, after the completion of Mars, went into Dormancy but Isol breaks him from Dormancy and then brings him to the Stuff planet. An Asevenday considers the soil and water as gods always talking to them. A VanaShiva considers all gases like sacred.

#### Modified Unevolved Humans:

Haraway’s first border crossing between organisms and machines can also be seen on MekTek modified Unevolved humans. Not only are the Forged augmented by technology but also the abilities of some Unevolved. Some of the Unevolved have enhanced themselves with a set of technologies called MekTek. These modified Unevolved humans breakdown the boundary between human and machine. Unevolved humans, in order to advance their interaction with technologies, developed MekTek technology. Corvax as a Forged human calls MekTek “principally an Unevolved product – the brute cybernetics of machine and AI spliced to their feeble bodies and brains to enhance capacities too ecoprecious to have been butchered together like a Forged mind. And too small to cope with a Forged consciousness” (Robson, 16). Thanks to MekTek technology, human form and ability shift from disability to enhancement. By this way, these modified cyborg humans become free from the limitations and tyranny of the Unevolved human body. For this reason, MekTek is designed to compensate for feeble and small human minds and bodies. For example, MekTek Strategos Anthony is described as a “Forged but an adapted Unevolved human, capable of belonging to either side, or neither” (Robson, 67). He can reach information and communication systems in military operations thanks to his MekTek technology, and he augments his innate intelligent thanks to artificial intelligence (AI) technologies integrated to him. He can read a data chip and analyze the date, even the data is hidden discretely, via a connection below the surface of his skin by communicating the several AIs run alongside his natural mind (Robson, 50).

#### Blessed Mother-Father Tupac:

Bodies and minds of the Forged humans are combined with mechanical and organic components that show their human-machine hybrid feature. They have a specific design for specific jobs; that is, they are regenerated for specific purposes using a wide range of technologies. They are like Haraway’s kind of hybrids of organic and mechanical and in the cyborg with “tight coupling” of flesh and machine (1991, 152). This organic and mechanical hybridity is cy-

bernetics itself making the cyborg “not like a machine; nor it can be defined through automata or unprogrammed prosthetic devices or gender boundaries. The cyborg is an organic machine that is steered or governed by a homeostatic mechanism” (Muri, 19). Robson’s vision of cyborg delivers Haraway’s vision of cyborg that combines organic and mechanical embodiment together. Haraway mentions that “cyborgs have more to do with regeneration” rather than rebirth because they are “suspicious of the reproductive matrix and of most birthing” (1991, 181). She notes that “We have all been injured, profoundly. We require regeneration, not rebirth, and the possibilities for our reconstitution include the utopian dream of the hope for a monstrous world without gender” (1991, 181).

Robson has also created the cyborgs more concerned with regeneration than reproduction. The Forged are not reproduction or rebirth; instead both human/other species DNA and the machine components are inherent in the bodies of the Forged. They are not created by natural evolution of the human, but regenerated within the original Forged, the Pangenesis Tupac who is called “Blessed Mother-father” (Robson, 132) by her Forged children. Because of her role in regenerating new Forged, Tupac is assigned of the pronoun ‘she’. She also has a role of childhood educator besides playing the role of incubator. Tupac seems to fulfill traditional female roles in the gestation and early education of her progeny, but she is a cybernetic organism which frees her from the traditional role of bearing giving her freedom of regenerating new human forms who are not bound to traditional female roles. That is, she plays the role of technologic motherhood regenerating new human types, cyborgs with technological embodiment. Tupac’s womb is the zero and the matrix: “In Greek, the word for the womb is hystera; in Latin it is matrix, or matter, both the mother and the material” (Plant, 1996; 333).

Tupac is “spiked with antennae, tentacle with cable, studded with lights” and she is larger than the average city (Robson, 132). She has no avatars. When you enter the city of her, you are always with her, hearing the voice of her which is like an inner voice of you because she exists without any simulators, thus Tupac breaks down the binary opposition between physical and non-physical like a wireless connection as well as breaking down the boundary between human and machine. Tupac regenerates a living cybernetic organism with human DNA, but the human is reduced to the information contained within its DNA. However, as Haraway asserts, that the “human is itself an information structure, whose program might be written in nucleic acids or in the artificial intelligence programming language called FORTH” (1996, 352). These information structure human cyborgs break the boundary between organism and machine as they rest on two assumptions: “first, genes matter and are responsible for important aspects of who we are. Second, many of the influences our genes exert are straightforward enough to identify and select or rework” (Stock, 16). The engineering abilities of Tupac lie far beyond humanity’s current abilities, she can work as an incubator, but her function of gestation and bearing of million dozens of children at the same time reaches far beyond natural mothers. However, her engineering abilities cannot go far beyond the promise of nanotechnology that is “nanovision,” that is, it is “fault line marking the trace of the inhuman within the human, of the future within the present, of the impossible within the possible” (Milburn, 16). Nanotechnology “dreams of engineering every aspect of our material reality, precisely fashioned and designed at the limits of fabrication, one atom at a time....For if nanotechnology enables us to program matter as we would program software, then the world itself can be transformed,” (Milburn, 6) so Tupac’s engineering process would only be possible with the fabrication that nanotechnology makes possible, but her function cannot go beyond it. Tupac reengineers and regenerates humans into cyborg species by using the human genes and technology. Although Tupac’s physical appear-

ance resembles a big city and works like a wireless connection, she is a human, as well. Because of her physical appearance, Tupac breaks down the boundary between physical and non-physical: she has a form, but is felt far from the distance like a wireless connection as well as breaking down the boundary between human and machine. The Unevolved created Tupac, the cyborg regenerator, who transforms her human genes to her Forged children by using science and technology. She, therefore, is the ultimate mediator between the Unevolved and the Forged.

### Innocent Policy in Cyborgs:

Haraway asserts that in order to give impermeable wholeness, there is no need to organic holism, the total woman and her feminist variants. In feminist science fiction, the cyborgs make “very problematic the status of man or woman, human, artefact, member of a race, individual entity, or body” (1991, 178). That is, in studying these cyborgs, we cannot make identifications or search for innocent wholeness. In Natural History, we cannot identify ourselves with any of the cyborgs who do not present innocent wholeness. While Isol insists on transforming herself into the Stuff technology, she changes her mind preferring to stay on the Earth at the end of the novel. Thus, it is difficult to make a certain claim for the policy of the cyborg in the novel. Haraway claims that “A cyborg body is not innocent; it was not born in a garden; it does not seek unitary identity and so generate antagonistic dualisms without end (or until the world ends)” (1991; 180). Thus, cyborgs are not loyal to the origin, and they are not innocent, so they can adapt to a different place more easily than an Unevolved. For this reason, most of the Forged accept the alien Stuff technology and the distant planet at first. According to Haraway the cyborg has no origin story” (1991, 150) because it “skips the step of original unity, of identification with nature in the Western sense” (1991, 151). For this reason, “The cyborg does not dream of community on the model of the organic family, [...] Cyborgs are not reverent; they do not re-member the cosmos.” This difference makes cyborgs “exceedingly unfaithful to their origins. Their fathers, after all, are inessential” (Haraway, 1991; 151). That is why most Forged accepts the alien Stuff technology as they are unfaithful to their origins.

### Boundary between Animal and Human

For Haraway, due to scientific and technological progress, the boundary between human and animal starts to disappear in some respects such as “language, tool use, social behaviour and mental events:”

And many people no longer feel the need for such a separation, indeed, many branches of feminist culture affirm the pleasure of connection of human and other living creatures. Movements for animal rights are not irrational denials of human uniqueness; they are a clear-sighted recognition of connection across the discredited breach of nature and culture. Biology and evolutionary theory over the last two centuries have simultaneously produced modern organisms as objects of knowledge and reduced the line between humans and animals to a faint trace re-etched in ideological struggle or professional disputes between life and social science. [...] Biological-determinist ideology is only one position opened up in scientific culture for arguing the meanings of human animality. There is much room for radical political people to contest the meanings of the breached boundary. The cyborg appears in myth precisely where the boundary be-

tween human and animal is transgressed. Far from signaling a walling off of people from other living beings, cyborgs signal disturbingly and pleasurably tight coupling. Bestiality has a new status in this cycle of marriage exchange (1991, 152).

That is, Natural History classifies the Forged into various classes. While some of them are machine-human hybrids such as spaceships, incubator, trucks, etc. some others are animal-human hybrids. These animal based Forged are arachnids, hive-minded insectoids or avians, and Degraded pets, dogs. There are also vast hybrid creatures who are able to carry out mega engineering terraforming tasks that make them render the Moon and Mars habitable; the shuttle AnimaMekTek creatures like Ironhorse AnimaMekTek Pigeon Aurora. AnimaMekTek Pigeons “numbered only three in the whole creation, and spent most of their lives high in the atmosphere, ferrying important people and classified documentation around the globe.” When Zephyr first meets that animal-human hybrid, she describes the cyborg Pigeon as “a smooth blue oval with a long, graceful tail like a gigantic airborne manta ray” (Robson, 64). She lands “as delicately as a landing butterfly, making no sound at all.” It is the first time she has seen an eyeless Forged human “as beautiful as this one” whose feminine voice is as rich as an opera singer. Aurora who breaks down the boundary between animal and human. It is explained in the novel that “AnimaMekTek classes are among the more straightforward cyborg hybrids, of course. Part animal and part machine. [...] Human brains assume the management of both systems. The rarity of the Pigeon lies in its cross-environmental engineering...It’s a marine-style form in an aerial world.” Like most other female cyborgs, the Pigeon has a cabin to carry people like a woman’s womb carrying babies. The Pigeon before carrying Zephyr, tells her not to hesitate to step in her cabin; “Don’t worry, I’m not a virgin,” and then, Zephyr “stepped through with haste into a tiny cabin, warm and softy lit [like a womb] containing another passenger” (Robson, 64-67). However, another plane, Heavy Angel Sisyphus Bright Eagle by which Zephyr flies to Tupac’s home is described as “brutal and hideous to see” and “Seeing him like that [like elfin human with multiple white wings] defused one’s fear that to become his passenger was to enter the jaws of a dragon.” Zephyr feels lack of courage to make any step into him, but she steps in his cabin; “the passenger cabin was no bigger than an ordinary domestic room.” When hearing The Bright Angel’s instruction, “You will be fortunate to lose consciousness for a few seconds. After that there will be no further discomfort,” Zephyr thinks that, “It wasn’t the most reassuring in-flight instruction she’d ever had” (Robson, 130-131). The novel depicts that to step into the womb of a woman is safer than to enter the body of a man. Men’s inside are depicted as unsafe, uncomfortable and unkind. A woman cannot broaden her mind inside a man, under the borders of male hegemony.

The insect-human hybrids, Tictock Hive humans and the Arachnoid humans, are associated with the Harawayian cyborg metaphor breaking down the boundary between human and animal. These animal/human cyborg Hives are the insects, having human genes. They are soft and edible small animal-human without too much crunchy leg. Hives are known “to be capable of prodigious feats of intellect and imagination well outside any individual’s capacity” (Robson, 211-212). Arachno Buckminster Mouze is a physicist and the head of the Hive laboratory. Five degrees centigrade is cold for the Arachno humans as Arachno animals who cannot live less than five degrees. These insect-human hybrids will be enlarged more in FemaleMan© Modest Witness part.

### The Degraded Human Forms as Disabled Cyborgs:

Following the notion of Haraway, the boundary between human and animal is trans-

gressed by the Degraded human forms even though they are disabled cyborgs. The Degraded Forms are failed attempts to create Forged humans. As their name suggests, they are less than ideal, so they are considered as third class of humans being failed visions of the Forged. In the novel, they are labelled as “production errors” because of illegal breeding programs used among Unevolved and they are failures of Forged creating process. In other words, some Degraded forms are the result of Forged attempts at procreation (since all Forged are created through Pangenesis) and some others are the result of Unevolved attempts at producing Degraded to develop intelligent pets. The Degraded are in-between the Unevolved and the Forged culture and their imperfect nature of existence are expressed by slogan of the Restitution Fund for the Degenerate: “We did not strive to make lower, only higher, than ourselves. But, once in a while, accidents happen. For those of us as fortunate as others, give generously to the Restitution Fund” (Robson, 220). The Degraded humans are mistakes, accidents, regeneration errors and failure. Corvax best explains the error position of them with the epithet: “All great plans had their failures” (Robson, 35). The Degraded humans cannot function properly well because of having unattractive physical appearances, and suffering from reduced capacity to speak, and moving disabilities as a result of deformed bodies. The Degraded have an animal/avian form merging with the heavy MekTek supporting the human mind within that body. Cyborg figures can perform many functions, but these Degraded human types can be called disabled cyborgs like disabled humans or animals in the world.

#### Boundary between Physical and Non-Physical

With the development of technology, the machinery is now smaller, portable, powerful and in some cases even invisible. For example, invisible radio waves or wireless technology have changed our experience of mechanism. Haraway explains these new modern machines as “quintessentially microelectronic devices: they are everywhere and they are invisible” and adds that:

[...] miniaturization has changed our experience of mechanism. Miniaturization has turned out to be about power. [...] Our best machines are made of sunshine; they are all light and clean because they are nothing but signals, electromagnetic waves, a section of a spectrum, and these machines are eminently portable, mobile [...] People are nowhere near so fluid, being both material and opaque. Cyborgs are either, quintessence. The ubiquity and invisibility of cyborgs is precisely why these sunshine belt machines are so deadly. [...] So my cyborg myth is about transgressed boundaries, potent fusions, and dangerous possibilities (1991, 153-154).

Likewise, Robson blurs the line between physical and non-physical machineries by creating her non-physical cyborg figures such as the Stuff, Tupac or by creating cybernetic space as Uluru. The Stuff will do anything a person requests, so that loads the possibility of non-physical existence to the Stuff people who can be in everywhere whenever they wish. In other words, Robson depicts the alien form of life with this Stuff who regenerates itself in many dimensions at the same time. It is the combination of technology and organic life. We cannot assume consciousness for it as we do for the individuals. Hence, the Stuff has not an identity of its own, but fragments of many identities at the same time. These features make it the hybrid of intelligent machine as well as responsive and compassionate technology. The Stuff is both a technology and any organism, but it is invisible, portable, fluid, and free will-power. It can have any shape the user wishes or needs, and its power is invisible like the invisible radio waves or wireless



technology. As Haraway explains, this new modern cyborg is quintessence, is everywhere and invisible (1991, 153-154). The Stuff technology, which might also be considered as posthuman, is an advanced cyborg who breaks the boundary between physical and non-physical. On the other side, Tupac breaks down the boundary between physical and non-physical, as well. Tupac is built without sleep and is “an enigma: machine, animal, plant, person.” Tupac has no form in Virtua, and she is “only the god and goddess of all places, invisible, omnipresent” (Robson, 110). Therefore, she does not dream. Tupac was everything for the Forged when they were young; she “was the voice that spoke, the touch that consoled, the knowledge that hurt, and the punisher who deprived, who directed, who demanded and praised. She was their body and their parents and their friend.” Tupac says that her “consciousness is continual and sustained. It is generated at various centres scattered throughout [her] my body, although all of [her] my body partakes it” (Robson, 111). The Forged were trained and educated in a series of dreams created for them by Tupac’s Uluru systems. Tupac also symbolizes the physical/non-physical cyborg hybrids through Uluru. Her invisibility is best seen when she is controlling the Cyber reality, Uluru. Tupac, by running the simulation of Uluru, becomes an invisible wireless connection always felt in virtual cyberselves in cyberspace. All kinds of cyborgs in the novel, either regenerated from animal cells, human genes or any organisms, know that they are human.

#### FemaleMan© Modest Witness

Haraway develops her further argument about cyborgs in her work *Modest\_Witness@Second\_Millennium. FemaleMan©\_Meets\_OncoMouse™*. Feminism and Technoscience in which she uses modest witness as a term used for the uninvolved, neutral and patient observer of a scientific experiment. Since the 17<sup>th</sup> century, in order to establish an objective technoscientific fact, a proper witnessing has to be conducted. However, in the 17<sup>th</sup> century England, a special community could only be a group of selected gentlemen. The laboratory was open only to the “modest witnesses” who could observe the experiment without any emotion and report what they see honestly. According to Wajcman, modern scientific knowledge was entirely concerned with social practice despite its core features of rationality, objectivity and logical positivism. Thus, Wajcman asserts that “As Haraway observes, from these modest witnesses arose an immodest narrative, a grand narrative of scientific reason” (84) because all those modest witnesses were white and male, not women and not from other races. One must be the member of Royal Society or a guest of a member. It was not until 1945, almost 300 years later than Boyle’s experiment, that a woman was accepted to the Royal Society. However, the society is still dominated by white male members today. Haraway criticizes these conventions of masculine scientific modesty. To her, gender and race are at the heart of the way modern scientific knowledge is comprehended (1997, 29). In order to eliminate binary oppositions, Haraway uses the metaphor FemaleMan©, which she borrowed from science fiction writer Joanna Russ. We can say that Haraway might also have used the FemaleScience as in the traditional world science is associated with men, which she criticizes by consciously and ironically using FemaleMan©. Unlike the strong, universal and culture-free man of science, FemaleMan© is hybrid and has a number of different identities. What she wants to do is to establish a stronger and idealistic science free from its boundaries and patriarchal past. According to Haraway, the knowledge produced from a feminist point of view is different both in form and content and this difference will allow us to reach a truer science (Merchant, 68). Haraway utilizes the metaphor of FemaleMan© who is “skeptical of grand and totalizing narratives, including a grand feminist alternative to science” (Wajcman, 86). FemaleMan© takes part in the narratives of science and by spoiling and altering it, makes science a site for feminist technoscience, however FemaleMan© does not establish a



new grand narrative. FemaleMan© has many voices, and that makes FemaleMan© more democratic and anti-essentialist, and so makes witnessing truly modest. Therefore, what Haraway wants to do is to distort the modest witness within the limits of technoscientific practice and deploy the self-aware, reliable, anti-racist FemaleMan© (Wajcman, 87).

Today, a variety of animals such as sheep, goats, cattle, pigs and rabbits are being altered for genetic researches, but mice are still the most altered animals for scientific research today. In order to continue laboratory researches for diseases like cancer, tens of millions of genetically altered animals are being used since OncoMouse™. One of these patented and trade-marked laboratory products is the OncoMouse™, a type of mouse which is suitable for cancer studies for the different gene it carries. What makes OncoMouse™ important is its being the first creature to be trade-marked. Haraway uses this creature in her work in order to show how culture and nature intermingle. OncoMouse™ is the unnatural product of nature. According to her, OncoMouse™ is the symbol for the relationship between cyborgs and human interests. She asserts “a politics of hybridity would address the ethics of technoscience.” This OncoMouse™ lives and dies for the sake of women who have breast cancer and there appears women cyborgs with breast-endowed. At this point, FemaleMan© would meet OncoMouse™ as they share common features.

First of all, both OncoMouse™ and FemaleMan© are genetic technology production, so they are the offspring of these new reproductive technologies, they are genetic clones deliberately produced in laboratories, transgenic creatures or genetically modified organisms. Second, they are the offspring of writing technologies “one of SF literary and publishing practices, one of laboratory inscription practices.” Third one is their queer being: “the modest witnesses of matters of fact in technoscience” with their indisputable objectivity and reliability. Fourth, they blend all the actors by miscegenation of all organisms that are between/in-between/among humans and non-humans. Finally, they “come together in the energetically imploded conversation about constructivism and naturalism in transnational science studies and in multiracial, multicultural feminism,” so they are “modest witnesses to world-changing matters of fact and to the machines that metonymically produce them” (Haraway, 1997; 120-121).

This Stuff technology needs to be conducted by a proper witnessing for neutral objective observation of this scientific experiment. Implying Haraway's modest witness notion, Robson creates a modest witness laboratory with a male head working with female witnesses under the authority of a Hive Queen and a general director boss, the cyborg woman Isol. The Ticktock Comb is a shapeless mass in which the Hive sisters work at the artificial Stuff Moon above the new planet, Zia Di Notte. The hive sisters have leg hairs and many antennae. Secta Hives have high quality of comprehending audio waves. A hive's function is to examine, build and maintain complex machines, so they are sent to the Stuff machine world to make modest witnessing because this moon is an alien device, and it is “even more interesting than anything the hive had come across before” (Robson, 170). Isol also has the body of a fractured arachnoid that makes her act the femme fatale, and she is the boss of the Hive sisters because if Isol has not found that Stuff technology, there will not be any modest witness laboratory of Hives working on that new technology. In the light of Haraway's modest witness, Robson appoints both female and male cyborgs as a modest witness in the science laboratory. Haraway claims that science witnessing should not be under the authority of men and if women are included to this job, there will be truer and more democratic technoscience, so she adds self-aware, reliable, and anti-racist FemaleMan© modest witnesses (Wajcman, 87). The secret development of connecting the Stuff through Uluru is given to TwoPi and Arachno Buckminster Mouze, the head of the Hive laboratory. TwoPi is an insect nation in the form of the Lab Hive, and he is “the

most numerous and advanced of the Hives” (Robson, 247). In order to take part among Modest Witnesses laboratory in which the high technology is examined, mostly women, Corvax needs to pay a price; losing his wings and consciousness as once women had paid by leaving their maternity and femininity and turning into a manly woman in order to be accepted by male hegemonic modest witness world. Corvax needs to pay a prize to be a modest witness as the women once did.

Robson creates this unique community with a group of selected ladies and gentlemen rather than solely white male gentlemen. Like Haraway, Robson criticizes the conventions of masculine scientific modesty through creating female/man scientific modesty. By figuring modest witnesses as FemaleMan©, Robson enables science free from its boundaries and patriarchal past that excluded women from the scene of science studies, and scientific through a female point of view might allow us to reach a truer and more objective science. If Robson created a matriarchal science laboratory, it would be another grand narrative. Because of this reason, Haraway uses FemaleMan© metaphor claiming that scientific modest witnesses should be both female and male so that an objective and the truest science can be reached (1997). Hence, Robson uses both female and male modest witnesses who have many diverse voices, so the science is demonstrated as more democratic, anti-essentialist and truly modest.

FemaleMan© modest witnesses do not aim to make the enhancement of life in this laboratory as a commercial interest, but some groups (Tatresi and followers) try to make the Stuff technology as trade-marked laboratory product like the OncoMouse™. Thus, the Stuff technology that is examined in the laboratory is a kind of OncoMouse™ with the different gene it carries, a posthuman gene, so it would be unnatural product for human beings. Trying to apply this new technology to human beings brings out the genetically altered organisms that are beyond/after human. They try to alter the Stuff organism for genetic and scientific research for the future of human beings. This new organism breaks down the boundary between physical and non-physical, as well. At this point, FemaleMan© meets OncoMouse™ as they share common features; both are genetic technology production (while cyborgs are regenerated, the posthuman Stuff is trying to be reproduced), not the natural in born and not innocent to their origin. They both blur the animal/human/machine, machine/human/organism, and physical-non-physical boundaries, so they make transgressions between these binary constructions possible (the Stuff makes transgressions between human and posthuman) by miscegenation of all organisms that are between/in-between/among humans and non-humans.

In fact, this is the war of FemaleMan© and the OncoMouse™, but the Stuff wins and not to be conquered by the Stuff, The Queen commits suicide by killing all the Hive sisters and herself, as well. However, the only survivor, Trini, breaks the rule and presents herself to the alien power. This means that it is her inevitable end because the Stuff conquers her slowly. Again as in history, FemaleMan© cannot achieve to take place equally in scientific witnessing for the sake of more democratic and the truest science, so they need to sacrifice themselves not to be ruled under the authority of the dominant power. The struggle and fight of women (the Queen, the Hive sisters, Zephyr and Isol) result with sacrificing their lives.

### Cyborgs and Companion Species

Haraway argues that “cyborg refigurations hardly exhaust the tropic work required for ontological choreography in technoscience. Indeed, I have come to see cyborgs as junior siblings in the much bigger, queer family of companion species” (“Cyborgs to Companion Species,” 300). She asserts that “[...] ‘Kinship in Technoscience’ compares two cobbled together figures—cyborgs and companion species...These figures hardly polar opposites. Cyborgs and

companion species each brings together the human and non-human, the organic and technological, [...] and nature and culture in unexpected ways” “Cyborgs to Companion Species,” 297). In addition, she claims that “neither a cyborg nor a companion animal pleases the pure of heart who long for better protected species boundaries and sterilization of category deviants” “Cyborgs to Companion Species,” 297).

There needs to be at least two companion species to make one. Likewise, companion animals are only one kind of companion species. Haraway claims that the companion animals can be “horses, dogs, cats, or a range of other beings willing to make the leap from pet or lab beast to the bio sociality of service dogs, family members, or team members in cross-species sports.” However, companion species “is a much bigger and more heterogeneous category than companion animal, and not just because one must start including such organic beings as rice, bees, tulips, and intestinal flora, all of whom make life for humans what it is—and vice versa.” Companion species “is about a four-part composition, in which co-constitution, finitude, impurity, and complexity are what is.” Haraway claims that cyborgs are “a kind of companion species congeries of organisms and machines” and “genetically engineered laboratory organisms like OncoMouse™ [is] also companion species trying together many kinds of actors and practices.” She claims that “both people and their partners are co-constructed in the history of companion species” which “does not prejudge the category of the “species”; they could be artifacts, organisms, technologies, other humans, etc” (“Cyborgs to Companion Species,” 301-317).

In the novel, all figures such as cyborgs, monkeys (unevolved humans), the forged, animals, that is, species of all kinds meet. They are all companion species making each other up in the flesh. As Haraway asserts, all the species in the novel are “in a knot of species coshaping one another in layers of reciprocating complexity all the way down. Response and respect are possible only in those knots” with cyborgs, the forged animals and humans, degraded beings, Gaiaforms, Arachnoids, etc, “sticky with all their muddled histories,” with their Natural History (Robson, 42). Both the Forged cyborgs and MekTek humans are companion species; “Human and nonhuman animals are companion species, messmates at table, eating together, whether we know how to eat well or not” (Robson, 301). Haraway considers the cyborg as a kind of meta-category: “sometimes the cyborg functions as a meta-category” of the entities she uses such as the coyote, the OncoMouse™, the FemaleMan, the dogs. Nevertheless, she likes “to think of the cyborg as one of the litter, the one that requires an awful lot of intervention in order to survive...It has to be technically enhanced in order to survive in this world” (“Cyborgs Coyotes, and Dogs”, 332). In the novel, this companion species is best seen visually in the big debate among all species who has taken part in the referendum meeting in order to make a decision about the Stuff technology. these several companion species are living together; there is a heterogeneous society that has various race, human types and companion species with heterogeneous entities either, human, nonhuman, animal, organism or cyborg.

Cybernetics: Dreamtime-Uluru and Virtual/Cyber Reality

According to Judith Wajcman, unlike real space, the virtual world overcomes the tyranny of the distance and the virtual community represents “a new form of sociability and social interaction” (58). Likewise, Robson creates a virtual space in her novel that is named Uluru, the host system of the Dreamtime that is “a virtual reality prepared for Forged children to live in there before they are connected to the bodies that would one day be their only physical existence” (Robson, 130). The Forged children first live in Virtual Uluru space, in virtual bodily

existence and then they become embodied, so their identities and memories are based on their virtual past. For example, Isol remembers her childhood memory in little girl human body, in a pink ballet dress( Robson, 8). The Uluru is conceived as a playground for the Forged and their eventual bodies are constructed in a fully adult form only. First, shaping of the world takes place in Dreamtime. Second, Dreamtime is “an illustration of the power of the ancestors; the ordinary human beings who had created the first Forged also programmed the first Uluru.” Third, Dreamtime is a general way of life and Forged retreat in latter days to this place when “they’d sized control of several Uluru-hosts for themselves in order to continue their double potential as physical adults and imaginary totemized beings.” Lastly, a Forged can be connected to other of their kind in this Dreamtime: “the depth of each Dream contact subliminally negotiated in the first communications burst of every interaction, setting the scenario and all its detail before the real exchange began” (Robson, 107).

The Forged, in order to experience what it is like to be a wholly unmodified human, enters the virtual reality platform Uluru and this shows the difference between the engineered bodies and the wholly organic human bodies. Corvax was a key developer of its layer subsystems, but now he is Uluru’s primary host-keeper, and he makes his money renting time in Uluru. REM is “the natural state of Uluru, but REM-sleep brought [brings] the terror of uncontrollable changes in No-Space” (Robson, 39). That is, what Corvax tries to do in Uluru is to create a zone of unlimited freedom as Plant asserts: “a grid reference for free experimentation, an atmosphere in which there are no barriers, no restrictions on how far it is possible to go” (Plant, 1993; 14).

For Wajcman the virtual reality or the cyberspace is like this:

Unlike real space travel, cyberspace is open to the many. While the dream of new communities in outer space remains remote, cyberspace has been quickly populated by disembodied settlers. Progress is still defined by technological enterprises, but it is digital rather than space technology that now excites the imagination with its more immediate and accessible possibilities (57).

That is, in his/her various and many cyberspace travel, a forged can easily find herself/himself among disembodied digital settlers. On the other side, there are many Unevolved having virtua-based relationships in Uluru with Forged. However, “virtua-based relationships are often short-term affairs where non-Tek participants are involved.” The only rule to enter the first real of Uluru is to have the most advanced MekTek technology. Thus, very few Unevolved are aware of the Uluru because they cannot go there without MekTek, but in any case, there are always some Unevolved who try to enter Uluru despite their lack of skill in communicating and understanding the nature of the medium, so this causes difficult problems. In Uluru, there is also Forno, pornography of Forged and Unevolved together: “a sickeningly infinite array of penetration and interpenetration potentials, of violence, tenderness, lust and revulsion” (Robson, 156). In this Virtua world, they have a chance of feeling much more unlimited flexible sexuality within fluid and adaptable cyber bodies. This Forno virtual world is an escape for some Forged from the dissatisfaction of their physical form and some others become so much addicted to their dream world, Uluru.

## CONCLUSION

Plant challenges to the notion and understanding of technoscience as patriarchal ori-

gins, so she tries to create a herstory of technoscience in her Zeros and Ones which is a kind of rewriting of herstory instead of history of the progress of technoscience with female networks, computers and female agents. Likewise, in *Natural History*, the technological progress of technoscience is neither in the hand of patriarchy nor the matriarchy, that is, we see male and female, human and cyborg scientists and technologists. Women can have the best jobs with the highest statues. For example, the job of Isol Voyager is an elitist which puts her to the highest position to explore the deep space and Professor Zephyr is one of the most famous anthropologist and historian of Earth's lost worlds and chosen to voyage with Isol for that exploration work to determine whether the found planet is a habitable like Earth. The novel portrays the gender-technology relationship as mutual and constructivist by bringing women to technoscientific work and institutions. The involvement of those women protagonists in scientific and technological work, bring significant advances in redesigning technology: Isol helps to explore a new habitable technology, the Stuff by which it is possible to redesign the highest technology.

Women are increasingly concerned with technology's production and use, and they are an active presence in cyberspace and dynamic agents in networks that increase their participation in the production of scientific knowledge. Technowoman in Robson's *Natural History*, Isol, uses and produces technology and is active in cyberspace and network areas: Isol by finding high technology works in the process of the production of this new technology.

The promise of TechnoFeminist Science Fiction is to understand the nature of women writers and their change in techno-digital world as well as their making difference means. Robson makes contributions to TechnoFeminist Science Fiction though opening a different technoworld of equal and mutual relationship between gender and technology with cyber and cyborg diverse metaphors. TechnoFeminist Science Fiction blurs the boundaries between women and men, physical and nonphysical, body and mind, nature and culture, self and other, so on, it deals with multiple, unstable and fluid identities. The narrative *Natural History* challenges the idea that gender itself is a stable and unchanging by challenging all binary oppositions and divisions, especially gender. In the novel cyborgs are unstable by not having a fixed body. That is, we see unstable boundary of the body; cyborgs can send out the parts of their bodies' far distance and communicate through their joined parts such as Hands, Arms and Fingers that exist separately from the body. In this way, cyborgs can be in many different places at the same time. The other way to be at several places at the same time is to use avatars in holographic projections and in any physical form. Isol is an animal/machine/human hybrid and Zephyr is a natural human. The novel focuses on the female body by breaking the boundary and dualism between human and animal, natural human and evolved/forged ones, insider and outsider (Stuff). We see instability of female identities between the real worlds and simulated ones (the Stuff's technoworld) that enable creating multiple possibilities of reality and subjectivity, the narrative is open ended in such TechnoFeminist Science Fictions. The communication is achieved through the simulacra of network AIs (through Tupac). Robson is concerned with the instability of boundaries. Technowomen are fluid and break a stable boundary and that makes them unstable characters.

Consequently, following Haraway, Plant and Wajcman, we can conclude that TechnoFeminist Science Fiction provides technoscientific politics and TechnoFeminist politics in desire of women or feminist science fiction writers to be more active in creating technowomen (cyber and cyborg images) and their tehcnoworld in their technoscience fictions. *Natural History* deals with Haraway's self-declared cyborgs that offer liberatory potentials for feminist politics and Plant's cyberself politics that offer the digitalization of women. Thus, we easily

come across with female cyberselves and cyborg embodiments that redefine the relationship between women and technology as sociotechnical and mutual. In short, it can be said that TechnoFeminist Science Fiction novels, as Robson's *Natural History* develop an image of the cyborg consistent with any of Haraway's cyborg metaphors depicting hybrid entities/beings that break down the binary oppositions and boundaries between human/machine, animal/human, and physical/non-physical organisms, and develop wired, wet, fluid, flexible, adaptable, mutable, multiple, ever-flowing, unstable, self-controlled, virtual cyberselves.



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# **Supervisors' Leadership Styles and Teachers' Job Satisfaction a case study in the Saudi public Schools.**

**Dr. Abdullah Almanie**

أثر أنماط القيادة التي يستخدمها المشرفون التربويون على الرضا الوظيفي لمعلمي ومعلمات المدارس الحكومية في المملكة العربية السعودية.

هدفت الدراسة إلى التعرف على مدى العلاقة بين النمط القيادي المستخدم من قبل المشرف التربوي والرضا الوظيفي للمعلم. تكونت عينة الدراسة من 157 معلم ومعلمة في المدارس الحكومية في مدينة الرياض. استخدم الباحث الاستبانة لجمع المعلومات.

أظهرت نتائج الدراسة أن الرضا الوظيفي للمعلمين والمعلمات يكون مرتفع عند استخدام المشرف التربوي نمط القيادة التحويلية ويكون منخفض عند استخدام المشرف التربوي أنماط قيادية أخرى.

أوصى الباحث بإجراء بحوث مستقبلية أشمل تتعلق بالأنماط القيادية للمشرف التربوي ولكن في مجتمعات أخرى.

## Supervisors' Leadership Styles and Teachers' Job Satisfaction: a case study in the Saudi public Schools.

### Abstract

The purpose of this study was to examine the relationship between supervisors' transformational and transactional leadership styles, and the satisfaction of AlRiyadh teachers. This non-experimental, quantitative, explanatory correlation and explanatory comparative survey research explores the relationship between supervisors'

transformational and transactional leadership styles and the job satisfaction of AlRiyadh teachers.

This study utilized two questionnaires ;The two questionnaires were: The transformational leadership and transactional leadership of the MLQ-5x short-form developed by Bass and Avolio (1995), and Teacher Job Satisfaction Questionnaire (TJSQ) developed by Lester (1984).

The data analyzed using the statistical software program SPSS12.0. Data analysis consisted of descriptive statistics exploratory factor analysis, independent t-test and multiple regression analysis.

The study found that teachers who perceived transformational leadership were the most satisfied with their jobs. In contrast, teachers who perceived transactional leadership reported less job satisfaction. This study was limited to the relationship between supervisors' transformational and transactional leadership styles, and teachers' job satisfaction. suggestion Future may should add laissez-faire leadership and hypotheses to the research questions.

**Key Words:** Transformational leadership styles, Transactional leadership styles, Job satisfaction,

### The Purpose of the Study

The primary purpose of this research is to explore the relationship between supervisors' leadership styles and teachers' job satisfaction in the kingdom of Saudi Arabia (AlRiyadh).

The specific purposes of this study are to:

this study are to:

1. describe the personal characteristics of AlRiyadh teachers, their

perceptions of their supervisors' leadership styles, and their job satisfaction.

2. explain the relationship between personal characteristics of AlRiyadh teachers, perceptions of the leadership styles of supervisors and teacher job satisfaction.

## II. Literature Review

"Leadership is a universal human phenomenon" (Bass, 1981, p. 5). There are many definitions of leadership; the majority of which involves the idea of guiding followers to their goals (Yukl, 2002). Burns (1979) claimed that leadership is hard to understand, but easy to perceive in

human activities. Smith (2000) stated that "leadership is the process or activity of influencing an individual or group in efforts towards achieving a goal" (p. 4). Hackman and Johnson (2000) defined

leadership as "human communication which modifies the attitudes and behaviors of others in order to meet shared group goals and needs" (p. 36). Leadership can be transformational or transactional.

Burns (1978) stated that transformational and transactional leadership are both based on human morals and ethics. Leadership types have been identified from years of study and empirical research.

### Transformational Leadership

Transformational leadership is a process of inspiring change and empowering followers to improve themselves and the organization. It makes followers accept responsibility and accountability for themselves (Koehler & Pankowski, 1997). Bass (1985) cited four characteristics of transformational leadership: charisma, inspiration, intellectual stimulation and individualized consideration. Charismatic leaders are those who with pride, faith and respect, encourage workers to have their own ideas. Inspiration is the ability to motivate followers to meet high expectations. Leaders use intellectual stimulation to encourage their employees to be innovative in their problem solving. In addition, individualized consideration is the degree of personal attention and encouragement of self development a leader devotes to the employees (Bass, 1985). Bass (1985b).

Described three traits of transformational leaders:

1. They have charisma that can motivate followers.
2. They have provided intellectual stimulation to employees.
3. They can serve as a role model.



Transformational leadership theories can provide an understanding of how leaders manage organizational knowledge (Bryant, 2003). Transformational leadership is based on what the leader has accomplished and his relationship with the group. The transformational leader can bring positive changes to an organization (Dubrin, 2004). Dubrin (2004) claimed that the leader needs to improve organizations' performance. The transformations can take place under the following circumstances: the transformational leader can raise the group's awareness of the importance and values of rewards; transactional leader also encourages people to look beyond their self-interest for the good of the team and the organization. Transformational leaders help people search for satisfaction and to understand the need for organizational change. They convey a sense of urgency to their managers. The

transformational leader is committed to greatness, adopts a long term perspective, and builds trust (Dubrin, 2004).

### Transactional Leadership

Transactional leadership is based on a system of rewards and punishments (Dubrin, 2004). Bass (1985) indicated that transactional leaders focus on engaging in exchanges with their team members, these exchanges are based on what the leaders expect. In exchange, leaders articulate the goal and offer rewards if the goal is achieved. Transactional leaders focus on getting to the goal and finishing the task; they usually pay less attention to the needs of the organization (Avolio, 1999). Transactional leaders give rewards and punishments to motivate employees' performance, and to promote relationships with them (Bass, 1985). Bryant (2003) stated that transactional leaders have

three primary characteristics. First, transactional leaders work with their team members and try to get a reward for their goal. Second, they will exchange the rewards and promises of the reward for work

effort. Finally, transactional leaders are responsive to the immediate self-interests of workers. Transactional leadership exchanges what leaders expectation are and set up a connection between goals and rewards (Bryant, 2003).

### Job Satisfaction

Amburgey (2005) stated that job satisfaction is an important element of success in an organization. Morgan, McDonagh and Ryan-Morgan (1995) divided job sa-

tisfaction into two types.

Global job satisfaction concerned all levels of job satisfaction . Global job satisfaction explained that understanding job satisfaction itself is just as important as understanding individual employees. The second type of job satisfaction is facet job satisfaction. Facet job satisfaction depends on an individual's position in the organization. Different levels of job satisfaction arise from the differences in employees' working experiences.

### Related Studies

Adnan Riaz<sup>1</sup>, Adnan and Haider, Mubarak (2010) conducted a study of the role of transformational and transactional leadership on job satisfaction and career satisfaction. This research has been conducted to determine the impact of transformational and transactional leadership style on job success and career satisfaction. A total of 240 responses ( $n = 240$ ) from various private organizations working in the capital city of Pakistan were collected using various measures of TLI Questionnaire along with items of job success and career satisfaction. Results showed positive trends of all variables. Transactional leadership is found significantly related to job success while transformational leadership and job success are found highly related with career satisfaction. The results

of regression analysis show that job success is more dependent on transformational and transactional leadership as compared to career satisfaction.

Hamidifar, Fatemeh (2009) conducted a study of the Relationship between Leadership Styles and Employee Job Satisfaction at

Islamic Azad University Branches in Tehran, Iran. The objective of this study is to explore how at the 16 branches of Islamic Azad University, Tehran province, Iran, leadership styles (the independent variable) influence employee job satisfaction (the dependent variable). Using random sampling, the researcher distributed 400 questionnaires, 386 of

which were completed. This study concentrates only on non-teaching staff. The survey was administered between October and December, 2009. The researcher found that the dominant leadership styles were transformational and transactional and employees were moderately satisfied with their job. The results show that different leadership style factors will have different impacts on employee job satisfaction components. Individualized consideration and laissez-faire are strong predictors of all the job satisfaction factors.

Rosenthal (1976) conducted a study of the relationship between perceptions of leadership behavior and job satisfaction by teacher-coordinators. The sample was 78 vocational education administrators in Michigan public schools in 1974-1975. This study used the Leader Behavior Description Questionnaire (LBDQ) and the Job Satisfaction Questionnaire (JSQ) to determine the link between leadership roles and job satisfaction. The study found a significantly negative attitude

between teacher-coordinators and job satisfaction. There were non-significant leadership perceptions of vocational education administrators and teacher-coordinators.

Medley and Larochelle (1995) studied the relationship between nurses' leadership styles and the job satisfaction of the nursing staff. This study used the Multifactor Leadership Questionnaire and the Index of Work Satisfaction to measure transformational leadership and job satisfaction among 122 staff nurses in community hospitals. The study revealed that staff nurses in hospitals do perceive transformational leadership styles. Staff nurses have greater job satisfaction if their leaders practice

transformational leadership.

Patricia (2002) studied transactional and transformational leadership, and how the two relate to job satisfaction. The participants of the study were engineers and technical support staff at an aerospace company. This study used the Multifactor Leadership Questionnaire (MLQ) and Job Describe Index (JDI) to measure transactional and transformational leadership and job satisfaction.

The study concluded that transactional leadership was not positively related to job satisfaction but that transformational leadership was.

Research Question: the following question is administer,

1. What are the perceptions of supervisors' transformational leadership style (Idealized Attributes, Idealized Behaviors, Inspirational Motivation), perceptions of supervisors' transactional leadership style (Contingent Reward, Active Management by Exception), and job

satisfaction (supervision, colleagues, working condition) of AlRiyadh teachers?

Hypotheses

H1: AlRiyadh teachers that are more satisfied with their jobs perceive their supervisors to have significantly greater transformational leadership styles (Idealized Attributes, Idealized Behaviors, Inspirational Motivation) and significantly lower

transactional leadership styles (Contingent Reward, Active Management by Exception) than teachers that are less satisfied with their jobs.

H2: AlRiyadh teachers' perceptions of supervisors transformational leadership styles and transactional leadership styles are significant explanatory variables of perceived job satisfaction of AlRiyadh teachers ?

H2a: AlRiyadh teachers' perceptions of supervisors' transformational leadership style (Idealized Attributes, Idealized Behaviors, Inspirational Motivation) and perceptions of supervisors' transactional leadership style (Contingent Reward, Active Management by Exception), are significant explanatory variables of perceived job satisfaction with supervision.

H2b Saudi Arabia's teachers' perceptions of supervisors' transformational leadership style (Idealized Attributes, Idealized Behaviors, Inspirational Motivation)

Leadership Styles

Transformational Leadership

Transformational Leadership

Transactional Leadership

Job Satisfaction

Demographic and Work Profiles

Gender

Age

Years of teaching experiences

Educational level

Salary and perceptions of supervisors' transactional leadership style (Contingent Reward and Active Management by Exception), are significant explanatory variables of perceived job satisfaction with working conditions.

H3: AlRiyadh teachers' demographic and work profile characteristics, perceptions of supervisors' transformational leadership styles and transactional leadership styles are significant explanatory variables of perceived job satisfaction of AlRiyadh teachers?

H3a: AlRiyadh teachers' demographic and work profile characteristics (gender,

age, education level, years of teaching experience, salary) perceptions of supervisors' transformational leadership style (Idealized Attributes, Idealized Behaviors, Inspirational Motivation) and perceptions of supervisors' transactional

leadership style (Contingent Reward, Active Management by Exception), are significant explanatory variables of perceived job satisfaction with supervision.

H3b: AlRiyadh teachers' demographic and work profile characteristics (gender, age, education level, years of teaching experience, salary) perceptions of supervisors' transformational leadership style (Idealized Attributes, Idealized Behaviors, Inspirational Motivation) and perceptions of supervisors' transactional

leadership style (Contingent Reward, Active Management by Exception), are significant explanatory variables of perceived job satisfaction with working condition.

## Research Methodology

### Research Design

A non-experimental, quantitative, explanatory correlation and explanatory comparative survey research design was used to examine the relationship among supervisors' leadership styles, and teachers' job satisfaction in AlRiyadh.

This study used two sets of questionnaires. The two sets of questionnaires were the

transformational leadership and transactional leadership of the MLQ-5x short-form developed by Bass and Avolio (1995), Teacher Job Satisfaction Questionnaire (TJSQ) developed by Lester (1984). The

Teacher Job Satisfaction Questionnaire (TJSQ) explores two factors: (a) supervision, and (b) working conditions.

### Population

The population of this study encompassed all the teachers in AlRiyadh public and private schools (500 –male and female)

### Sample

Probability (random) sampling was used in this study. (157 male and female tea-

chers)

## Instrumentation

The survey of this study consists of two parts:

(1) transformational and transactional leadership measured by two of the five factors of Multifactor Leadership Questionnaire (MLQ Form 5x-short), which was developed by Bass and Avolio (1995).

(2) teacher job satisfaction, measured by the Teacher Job Satisfaction

Questionnaire developed by Lester (1984).

## Transactional and Transformational Leadership

### Description

The Multifactor Leadership Questionnaire (MLQ) is a 45-item. The MLQ consists of four dimensions Transformational Leadership (with five subscales), Transactional Leadership (with three subscales), Non-transactional leadership, (with one scale), and Outcomes of Leadership (with three subscales). Only transformational leadership and transactional leadership were used in this study.

Transformational leadership is measured by Idealized Influence (Attributes) or Attributed Charisma, Idealized Influence (Behaviors) or Behaviors Charisma, Inspirational Motivation (Bass & Avolio, 1995). Transactional leadership is measured by Contingent Reward (CR) and

Management-by-Exception (Active) (MBE-A). Bass and Avolio (1995) reported Cronbach's alpha (as estimates of internal consistency reliability) for subscales of transformational leadership were 0.86 for Idealized Influence (Behaviors) (IIB), 0.87 for Idealized Influence (Attributed) (IIA) and 0.91 for Inspirational Motivation (IM). The Cronbach's alpha scale for subscale of transactional leadership was 0.87 for Contingent Reward (CR), and 0.74 for Management-by-Exception (Active) (MBE-A). Sosik, Potosky, and Jung (2002) reported the Cronbach's alpha scale for subscale of transformational leadership was 0.71 for Idealized Influence (Behaviors) (IIB), 0.71 for Idealized

Influence (Attributed) (IIA), and 0.82 for Inspirational Motivation (IM). The Cronbach's alpha scale for subscale transactional leadership was 0.77 for Contingent Reward (CR) and 0.72 for Management-by-Exception (Active) (MBE-A).

### Validity



Bass and Avolio (1995), Gellis (2001), Sosik et al. (2002), Felfe and Schyns (2004) and Chen (2005), reported that the values ranged from an average of 0.64 to 0.91 in factor loadings, which established construct validity.

## Teacher Job Satisfaction

### Description

Teacher job satisfaction was measured by The Teacher Job Satisfaction Questionnaire (TJSQ), based on Maslow's Hierarchy of Needs and Herzberg's motivator-hygiene theory and developed by Lester (1984).

### Reliability

Lester and Bishop (2002) reported that the Cronbach's alpha scale for subscales of teacher job satisfaction were 0.93 for the Teacher Job Satisfaction scale is 0.93. Coefficients of internal consistency were 0.92 (supervision), and 0.83 (working conditions).

### Validity

According to Lester and Bishop (2002), the original number of TJSQ was 120 items, later reduced to 66 items. "Vaguely defined words, words with double meanings, emotionally loaded words, double negatives, and unclear words were eliminated, resulting in clear, concise, and direct statements of no more than 20 words" (Lester & Bishop, 2002, p. 147). Lester and Bishop (2002) and

Liu (2005) reported that the values ranged from the average of 0.71 to 0.93 in factor loadings, which established construct validity.

## Methods of Data Analysis

The methods of data analysis included descriptive statistics, exploratory factor analysis, independent t-test and multiple regression analysis. Descriptive statistics were used to answer the research questions about their perceptions of supervisors' leadership styles, and teacher job satisfaction. Independent t-test and multiple regression analyses were used to test all hypotheses.

## Research Results

This research explores the relationship among supervisors' transformational and transactional leadership styles and teachers' job satisfaction among 500 randomly selected in AlRiyadh teachers. The researcher used demographic and work profiles on gender, age, teaching experience, education, and salary to examine diffe-

rences in leadership styles and teachers' job satisfaction. One hundred and fifty seven sheets of the surveys were returned, yielding a return rate of 31%.

### Research Question

What are the perceptions of supervisors' transformational leadership style (idealized Attributes, idealized behaviors, inspirational motivation), perceptions of supervisors' transactional leadership style (contingent reward, active management by exception), and job satisfaction (supervision, working condition) of Riyadh school teachers?

Descriptive Analysis of transformational and transactional leadership questionnaire (table)

Table (1) (I)

Descriptive analysis of transformational and transactional questionnaire.

Variables	Items	Mean	Standard deviation
Transformational idealized Attributes		3.23	
	01	2.99	1.137
	02	3.27	1.123
	03	3.13	1.011
	04	3.54	0.795
		12.93	

Idealized Attributes dimension score (possible range 4-20) (I,B)

		3.41	
	01	3.69	1.062
Idealized behaviors	02	3.69	0.887
	03	3.06	1.067
	04	3.6	0.829
		13.64	

(1-B)

Inspirational motivation		3.58	
	01	3.57	0.868
	02	3.62	0.854
	03	3.61	0.926
	04	3.53	0.889
		14.33	

Inspirational motivation

Dimension score (possible range 4-20)

TABLE – 1C

Transactional

Contingent Reward		3.325	
	01	3.12	0.905
	02	3.61	0.993
	03	2.98	1.151
	04	3.59	0.885
		13.3	

### Contingent reward dimension score (possible range 4-20)

Active management by exception		3.07	
	01	2.85	1.113
	02	2.86	0.949
	03	3.13	0.926
	04	3.43	0.841
		12.27	

### Active management by exception dimension score (possible range 4-20)

Note. N = 127

### Descriptive Analysis of teacher job satisfaction questionnaire

The teacher job satisfaction questions were adapted from lester (1984), the teacher job satisfaction questionnaire is a 66- item.

The results of the analysis of descriptive statistics for the transformational and transactional items are presented in Table (2)

Table (2)

Variables	Items	Mean	Standard deviation
Supervision		3.29	
	01	3.37	1.133
	02	3.53	0.871
	03	3.10	1.068
	04	3.41	0.885
	05	3.20	0.979
	06	3.32	0.881
	07	3.18	1.011
	08	3.23	0.977
	09	3.06	1.093
	10	3.20	1.000
	11	3.35	1.004
	12	3.28	0.967
	13	3.41	0.995
	14	3.49	0.872
		46.13	

### Supervision dimension score (possible range 14-70)

		3.12	
Working condition	01	2.52	1.038
	02	3.03	0.992
	03	3.47	0.889
	04	3.23	1.048
	05	3.10	1.038
	06	3.20	1.069
	07	3.29	0.985
		21.84	

Working condition dimension score (possible rang 7-35)

Note N = 127

Table 2

### Descriptive Analysis of Teacher Job Satisfaction Questionnaire

Variables	Items	Mean	Standard Deviation
Supervision		3.29	
	01	3.37	1.133
	02	3.53	.871
	03	3.10	1.068
	04	3.41	.885
	05	3.20	.979
	06	3.32	.881
	07	3.18	1.011
	08	3.23	.977
	09	3.06	1.093
	10	3.20	1.000
	11	3.35	1.004
	12	3.28	.967
	13	3.41	.995
	14	3.49	.872
		46.13	

Supervision dimension score (possible range 14-70)

Working condition		3.12	
	01	2.52	1.038
	02	3.03	.992
	03	3.47	.889

Table 2 (Continued)			
	04	3.23	1.048
	05	3.10	1.038
	06	3.20	1.069
	07	3.29	.985
		21.84	

Working condition dimension score (possible range 7-35)

Note. N=127.

### Validity and Reliability Analysis

This study used quantitative, descriptive and inferential statistical analysis. The data were analyzed using the software program SPSS 12.0. The methods of data analysis consisted of descriptive statistics, exploratory factor analysis, independent t-test and multiple regression analysis.

### Transactional and Transformational Leadership Factor Analysis

To estimate the reliability of the transactional and transformational leadership. Cronbach's alphas and item analyses were conducted on the two leadership styles:

Transactional leadership alphas=.733; transformational leadership alphas=.899. Table 3 presents the Cronbach's alpha, corrected item-total correlation and Cronbach's alpha if item deleted.



Table 3

Cronbach Alpha Coefficients of the Transactional Leadership

Survey instruments	Dimensions	Cronbach's alphas	Corrected item to total	Cronbach's Alphas if Item Deleted
Transactional leadership		.733		
	Contingent Reward (CR)		.621	.588
	Management – by Exception		.411	.817
	(Active) (MBE-A)			
Transformational Leadership		.899		
	Idealized influence (Attributed) (ILA)		.832	.857
	Idealized Influence (Behaviors) (IIB)		.615	.903
	Inspirational Motivation (IM)		.706	.887

Teacher Job Satisfaction Questionnaire Factor Analysis

To estimate reliability of teachers' job satisfaction for AlRiyadh teachers cronbach's alphas and item analyses were conducted on the two leadership styles: teacher job satisfaction alphas=.829. Table 4 presents the Cronbach's alpha, corrected item-total correlation and Cronbach's alphaif item deleted.

Table 4

Cronbach Alpha coefficient of the Teacher Job Satisfaction

Survey instruments	Dimensions	Cronbach's alphas	Corrected item to total	Cronbach's Alphas if Item Deleted
Teacher Job Satisfaction		.829		
	Supervision		.665	.801
	Working conditions		.735	.796

exception (Active). Therefore, convergent validity was established for the transformational and transactional leadership subscales.

### Convergent Validity of the Transactional and Transformational Leadership and Related Subscales

As shown in Table 5, significant relationships were found between the transformational and transactional leadership and related subscales. Significant correlations between subscales ranged from .327  $p < .01$  to .746 ( $p < .01$ ). The strongest significant relationship was between the intellectual stimulation and the individualized consideration subscales. The weakest significant relationship was between the inspirational motivation and the management-by-

Table 5

Pearson r Correlations to Establish Convergent Validity between the Transformational and Transactional Leadership and Subscales

	Idealized Attributes	Idealized Behaviors	Inspirational Motivation	Contingent Reward	Active Management by Exception
Transformational leadership					
Idealized Attributes		.596**	.666**	.746**	.386**
Idealized Behaviors	.596**		.544**	.571**	.520**
Inspirational Motivation	.666**	.544**		.667**	.327**
Contingent Reward	.746**	.571**	.667**		.336**
Active Management by Exception	.386**	.520**	.327**	.336**	

Management-by-exceptions

\*\*P<.01

### Convergent Validity of the Teacher Job Satisfaction and Related Subscales

Convergent validity was established between teachers' job satisfaction and subscales using Pearson r correlation coefficients. The Teacher Job Satisfaction (TJS) has with two subscales which are (a) supervision, (b) working conditions. However, Table 6 shows the strongest significant relationship was between the supervision and the working condition. Therefore, convergent validity was established for teachers' job satisfaction subscales.

Table 6

Pearson r Correlations to Establish Convergent Validity Between the Teacher Job Satisfaction and Subscales

	Supervision	Working condition
Teacher Job		
Satisfaction		
Supervision		.661**
Working condition	.661**	

— \*\* P<.01

### Hypothesis 1

HI: AlRiyadh teachers that are more satisfied with their jobs perceive their supervisors to have significantly greater transformational leadership styles (Idealized Attributes, Idealized Behaviors, inspirational Motivation) and significantly lower transactional leadership styles (Contingent Reward, Active Management by Exception) than teachers that are less satisfied with their jobs. To test this hypothesis, the researcher classified teachers according to whether they were more or less satisfied with their jobs, using the average item job satisfaction score of 3.5 (on a scale of 1 to 5). One-tailed, independent t-tests were used to compare teacher perceptions of supervisor transformational leadership (idealized attributes, idealized behaviors, inspirational motivation) and transactional leadership contingent reward, active management by exception) according to more satisfied and less satisfied teachers.

Results showed that more satisfied teachers had higher perceptions for the total scales of supervisor transformational and transactional leadership styles. Furthermore, these scores were significantly higher for more satisfied teachers for all transformational and transactional leadership subscales with the exception of passive management by perception, with significant independent t values ranging from 1.13 to 4.69. Therefore, Hypothesis I was only partially supported. Not supported in Hypothesis I was: AlRiyadh teachers who are more satisfied with their jobs perceived their supervisors to have significantly lower transactional leadership styles (Contingent Reward, Active Management by Exception) than teachers who are less satisfied with their jobs.

Table 7

Independent t-Tests of perceptions of supervisors “Transformational and Transactional leadership according to Teachers that are More Satisfied versus less Satisfied with their jobs

	Score Range for Total and Subscales	More Satis- fied N= Mean	Less Satisfied N= Mean	Sig. t-value (1-tailed) p- value
Transformational Leadership (Total Score)		51	76	
	5 to 25			4.17 .000
		3.641	3.197	
		51	76	
Idealized Attri- butes	1 to 5			3.73.000
		3.608	3.114	
		51	76	
Idealized Beha- viors	1 to 5			3.36.001
		3.632	3.263	
		51	76	
Inspirational Mo- tivation	1 to 5			4.69.000
		3.882	3.385	
		51	76	
Transactional Leadership (Total score)				
	3 to 15			3.21.002
		3.414	3.079	
		51	76	
Contingent Reward	1 to 5			2.99.003
		3.534	3.181	
		51	76	
Active Manage- ment by excep- tion	1 to 5			1.13.263
		3.088	2.928	

## Hypothesis 2

H2: AlRiyadh teachers' perceptions of supervisors' transformational leadership styles and transactional leadership styles are significant explanatory variables of perceived job satisfaction of AlRiyadh teachers.

H<sub>2a</sub>: AlRiyadh teachers' perceptions of supervisors' transformational leadership style (Idealized Attributes, Idealized Behaviors, Inspirational Motivation) and perceptions of supervisors' transactional leadership style (Contingent Reward, Active Management by Exception), are significant explanatory variables of perceived job satisfaction with supervision.

The forward selection multiple regression analysis was used for transformational and transactional leadership variables explaining teachers' job satisfaction with working conditions. In Table 8, H<sub>2a</sub> was partially supported with AlRiyadh teachers' perceptions of supervisors' transformational leadership with idealized attributes and inspirational motivation were significant explanatory variables of perceived job satisfaction with working conditions.

Table 8

Summarized Regression Analysis of Transformational and Transactional Leadership Variables Explaining the Teacher Job Satisfaction with Supervision

Variable	B	SE	Beta	F	Sig.	Beta In
Transformational						
Idealized Attributes	.451	.052	.615	8.716	.000	
Inspirational Motivation				2.418	.017	.224

N= 127

R Square = .378

F=75.961 (p=000)

Adjusted R Square = .373

H<sub>2b</sub>: AlRiyadh teachers' perceptions of supervisors' transformational



Leadership style (Idealized Attributes, Idealized Behaviors, and Inspirational Motivation) and perceptions of supervisors' transactional leadership style (Contingent Reward and Active Management by Exception), are significant explanatory variables of perceived job satisfaction with working conditions.

The forward selection multiple regression analysis was used for transformational and transactional leadership variables explaining teachers' job satisfaction with working conditions. The result showed that there were three significant explanatory variables (idealized attributes, inspirational motivation and contingent reward), the idealized attributes had the largest correlation with teachers' job satisfaction with working conditions ( $p \leq .01$ ).

In Table 9, H2b was partially supported with teachers' perceptions of supervisors transformational leadership with idealized attributes, inspirational motivation, and contingent reward were significant explanatory variables of perceived job satisfaction with working conditions.

Table 9

Summarized Regression Analysis of Transformational and Transactional Leadership Variables Explaining the Teacher Job Satisfaction with Working Conditions

Variable	B	SE	Beta	F	Sig.	Beta In
Transformational						
Idealized Attributes	.200	.060	.285	3.327	.001	
Inspirational Motivation				.980	.329	.113
Transactional						
Contingent Reward				.728	.468	.094

N= 127

R Square = .081

F= 11.070 ( $p = .001$ )

Adjusted R Square= .074

### Multiple Regression Analysis for Hypothesis 3

H3: AlRiyadh teachers' demographic and work profile characteristics, perception of supervisors' transformational leadership styles and transactional leadership styles are significant explanatory variables of perceived job satisfaction of AlRiyadh teachers.

H<sub>3a</sub>: AlRiyadh teachers' demographic and 'work profile characteristics (gender, age, education level, years of teaching experience, salary) perceptions of supervisors' transformational leadership style (idealized Attributes, Idealized Behaviors, Inspirational Motivation) and perceptions of supervisors' transactional leadership style (Contingent Reward, Active Management by Exception), are significant explanatory variables of perceived job satisfaction with supervision.

Table 10 summarizes the multiple regression analysis was used for teachers' demographic and work profile in order to characterize supervisors' transformational and transactional leadership variables explaining teachers' job satisfaction with supervision.

The t-statistic found no significant explanatory variables in teacher job satisfaction with supervision ( $p > .05$ ). According to Beta weight, idealized attributes had more impact on teacher job satisfaction with supervisions (Beta.342). Salary had more impact on the model ( $t=1.031$ ,  $p=.305$ ), and a positive relationship (Beta,108) with teacher job satisfaction with supervision, such that teachers who earned more were more satisfied with their supervision. Therefore, the teachers' salary influenced teachers' job satisfaction with supervision.

Table 10

Summarized Regression Analysis of Demographic and work profile perceived of supervisors' transformational and Transactional Leadership Variables Explaining the Teacher Job Satisfaction with Supervision

Variable	B	SE	Beta	T	Sig
Transformational					
Idealized Attributes	.251	.094	.342	2.679	.008
Idealized Behaviors	.038	.090	.043	.421	.674
Inspirational Motivation	.136	.096	.153	1.423	.158
Transactional					
Contingent Reward	-.020	.118	-.024	-.173	.863
Active Management by Exception	-.100	.062	-.142	-1.627	.107
Demographic and work Profile					
Gender	-.043	.086	-.038	-.500	.618
Age	-.003	.055	-.006	-.061	.952
Educational level	.062	.099	.065	.632	.529
Years of Teaching Experience	-.005	.008	-.066	-.643	.521
Salary	.056	.054	.108	1.031	.305

N= 127

R Square = .451

F= 7.151 (p= .000)

Adjusted R Square = .388

H<sub>3b</sub>: AlRiyadh (teachers' demographic and work profile characteristics (gender, age, education level, years of teaching experience, salary) perceptions of supervisors' transformational leadership style (idealized Attributes, Idealized Behaviors, inspirational Motivation) and perceptions of supervisors' transactional leadership style (Contingent Reward, Active Management by Exception), are significant explanatory variables of perceived job satisfaction with working condition.

Table 11 summarizes the multiple regression analysis which was used for teachers' demographic and work profile characteristics perceptions of supervisors' transformational and transactional leadership variables explaining teachers' job satisfaction with working conditions.

The t-statistic found no significant explanatory variables in teachers' job satisfac-

tion with working conditions ( $\alpha > .05$ ). According to Beta weight, idealized attributes had more impact on teacher job satisfaction with colleagues (Beta.221). The number of years of teaching experience had more impact on the model ( $t=1.182$ ,  $p=.240$ ), and a positive relationship (Beta. 148) with teacher job satisfaction with working conditions, such teachers with the most experience were the most satisfied with their working conditions. Therefore, the number of years of teaching experience influenced teachers' satisfaction with working conditions.

Table 11

Summarized Regression Analysis of Demographic and Work Supervisors' Transformational and Transactional Leadership Teacher Job Satisfaction with Working Conditions Profile perceived of Variables Explaining the Teacher Job Satisfaction with working Conditions.

Variable	B	SE	Beta	T	Sig
Transformational					
Idealized Attributes	.155	.109	.221	1.418	.159
Idealized Behaviors	.007	.105	.008	.065	.948
Inspirational Motivation	.090	.112	.106	.802	.424
Transactional					
Contingent Reward	-.019	.138	-.024	-.138	.890
Active Management by Exception	-.081	.072	-.120	-1.127	.262
Demographic and work Profile					
Gender	.013	.100	.012	.126	.900
Age	.037	.065	.068	.569	.571
Educational level	-.067	.115	-.073	-.579	.564
Years of Teaching Experience	.011	.009	.148	1.182	.240
Salary	.056	.064	.114	.886	.378

N= 127

R Square = .178

F= 1.882 ( $p=.039$ )

Adjusted R Square = .083

## Discussion

This study explores the relationship between supervisors' transformational and

transactional leadership styles and teachers' job satisfaction in 500 randomly selected AlRiyadh teachers. In Riyadh The researcher used a demographic and work profile about gender age, teaching experience, education level and salary to determine the difference in leadership styles and teachers' job satisfaction

The survey instruments were mailed to 500 of AlRiyadh teachers. One hundred and fifty-seven survey instruments were returned, yielding a return rate was 31%. Of these, 127 surveys were valid.

Analysis of the research results found a significant relationship between teachers' perceived transformational leadership and their job satisfaction. In other words, teachers who are more satisfied with their jobs perceive their supervisors to have significantly greater transformational leadership styles (idealized attributes, idealized behaviors, inspirational motivation) than teachers who are less satisfied with their jobs. In addition, there were no significant explanatory variables in teacher job satisfaction based on gender, age, and years of teaching experience, education level and salary. Moreover the results show the teachers' teaching experience had the greatest impact on teacher job satisfaction in teachers' demographic and work profile.

### Recommendations:

- 1) The study was limited to the relationship between supervisors' transformational and transactional leadership styles and teacher's job satisfaction in Al Riyadh. In future studies, laissez – faire leadership should be added to the research questions.
- 2) Future studies should examine the relationship between supervisor's leadership styles and personality traits. and between teachers' personal characteristics and job satisfaction.



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# Appendices

## Appendix A

### Multifactor leadership questionnaire

#### Leader form

My name----- Date-----

Organization ID----- Leader ID-----

This questionnaire is to describe your leadership style as you perceive it. Please answer all items on this answer sheet . If an item is irrelevant, or if you are unsure or do not know the answer, leave it blank.

Forty five descriptive statements are listed on the following pages. judge how frequently each statement fits you.

- 0 not at all
- 1 once in a while
- 2 sometimes
- 3 fairly often
- 4 frequently, if not always

		0	1	2	3	4
1	I provide others with assistance to exchange.					
2	I re-examine critical assumptions to question whether they are appropriate .					
3	I fail to interfere until problems become serious					
4	I focus attention on irregularities , mistakes, and exceptions from standards.					
5	I avoid getting involved when important issues arise.					
6	I talk about my most important values and beliefs.					
7	I am absent when needed .					
8	I seek different perspective when solving problems.					
9	I talk optimistically about the future.					
10	I instill pride in others for being assessed by me.					
11	I discuss in specific terms who is responsible for achieving performance targets.					



12	I wait for things to go wrong before taking actions.						
13	I talk enthusiastically about what needs to be accomplished.						
14	I specify the importance of having a strong sense of purpose.						
15	I spend time teaching and coaching.						
16	I make clear what one can expect to receive when performance goals are achieved.						
17	I show that I'm firm believer in "if it ain't broke, don't fix it"						
18	I go beyond self- interest for the good of the group.						
19	I treat others as individuals rather than just as a member of a group.						
20	I demonstrate that problems must become chronic before taking action.						
21	I act in ways that build others' respect for me.						
22	I concentrate my full attention on dealing with mistakes, complaints, and failures.						
23	I consider the moral and ethical consequences of decisions.						
24	I keep track of all mistakes.						
25	I display a sense of power and confidence.						
26	I articulate a compelling vision of the future.						
27	I direct my attention toward failures to meet standards.						
28	I avoid making decisions.						
29	I consider an individual as having different needs, abilities, and aspirations from others.						
30	I get others to look at problems from many different angles.						
31	I help others to develop their strength.						
32	I suggest new ways of looking at how to complete assignments.						
33	I delay responding to urgent questions.						
34	I emphasize the importance of having a collective sense of mission.						
35	I express satisfaction when others meet expectations.						
36	I express confidence that goals will be achieved.						
37	I am effective in meeting others' job- related needs.						
38	I use methods of leadership that are satisfying.						

39	I get others to do more than they expected to do.						
40	I am effective in representing others to higher authority.						
41	I work with others in satisfactory way.						
42	I others' desire to succeed enhances.						
43	I am effective in meeting organizational requirements.						
44	I increase others' willingness to work harder.						
45	I lead a group that is effective.						

## Appendix B

### Multifactor leadership questionnaire

Rater form

Name of leader----- Date-----

Organization ID----- Leader ID-----

This questionnaire is used to describe the leadership style of the above – mentioned individual as you perceive it. Answer all items on this answer sheet . If an item is irrelevant, or if you are unsure or do not know the answer, leave the answer blank. please answer this questionnaire anonymously.

Important ( necessary of processing): which best describes you ?

-----I am at higher organizational level than the person I am rating?

-----The person I am rating at my organizational level.

-----I am at a lower organizational level than the person I am rating.

-----Other than the above.

Forty five descriptive statements are listed on the following pages. judge how frequently each statement fits the person you are describing. Use the following rating scale.

The person I am rating....

- 0 not at all
- 1 once in a while
- 2 sometimes
- 3 fairly often
- 4 frequently, if not always

		0	1	2	3	4
1	provides me with assistance to exchange my efforts.					
2	re-examines critical assumptions to question whether they are appropriate .					
3	fails to interfere until problems become serious					

4	focuses attention on irregularities , mistakes, and exceptions from standards.					
5	avoids getting involved when important issues arise.					
6	talks about my most important values and beliefs.					
7	Is absent when needed .					
8	seeks different perspective when solving problems.					
9	talks optimistically about the future.					
10	instills pride in others for being assessed by me.					
11	discusses in specific terms who is responsible for achieving performance targets.					
12	waits for things to go wrong before taking actions.					
13	talks enthusiastically about what needs to be accomplished.					
14	specifies the importance of having a strong sense of purpose.					
15	spends time teaching and coaching.					
16	makes clear what one can expect to receive when performance goals are achieved.					
17	shows that he/she is a firm believer in "if it ain't broke, don't fix it"					
18	goes beyond self- interest for the good of the group.					
19	treats me as individual rather than just as a member of a group.					
20	demonstrates that problems must become chronic before taking action.					
21	acts in ways that build my respect.					
22	concentrates his/ her full attention on dealing with mistakes, complaints, and failures.					
23	considers the moral and ethical consequences of decisions.					
24	keeps track of all mistakes.					
25	displays a sense of power and confidence.					
26	articulates a compelling vision of the future.					
27	directs my attention toward failures to meet standards.					
28	avoids making decisions.					
29	considers me as having different needs, abilities, and aspirations from others.					
30	gets me to look at problems from many different angels.					

31	helps me to develop my strengths.					
32	suggests new ways of looking at how to complete assignments.					
33	delays responding to urgent questions.					
34	emphasizes the importance of having a collective sense of mission.					
35	expresses satisfaction when I meet expectations.					
36	expresses confidence that goals will be achieved.					
37	Is effective in meeting my job- related needs.					
38	uses methods of leadership that are satisfying.					
39	gets me to do more than I expected to do.					
40	Is effective in representing me to higher authority.					
41	works with me in satisfactory way.					
42	enhances my desire to succeed.					
43	Is effective in meeting organizational requirements.					
44	increases my willingness to work harder.					
45	leads a group that is effective.					

## Appendix C

### Teacher job satisfaction questionnaire (TJSQ)

Directions: The following statements refer to factors that may influence the way a teacher feels about his/job. These factors are related to teaching and to the individual's perception of the Job situation. When answering the following statements, circle the numeral which represents the degree to which you agree or disagree with the statements. Please, set aside 10-15 uninterrupted minutes to provide thoughtful responses. Please, do not identify yourself on this instrument.

Key:	1	2	3	4	5
	Strongly disagree	Disagree	Neutral (neither disagree nor agree)	Agree	Strongly agree
1	Teaching provides me with an opportunity to advance professionally.				
2	Teacher income is adequate for normal expenses.				
3	Teaching provides, an opportunity to use a variety of skills.				
4	Insufficient income keeps me from living the way I want to live.				
5	My immediate supervisor turns one teacher against another.				
6	No one tells me that I am a good teacher.				
7	The work of a teacher consists of routine activities.				
8	I am not getting ahead in my present teaching position.				
9	Working conditions in my school can be improved.				
10	I receive recognition from my immediate supervisor.				



11	I do not have the freedom to make my own decisions.	1	2	3	4	5
12	My immediate supervisor offers suggestions to improve my teaching.	1	2	3	4	5
13	Teaching provides for a secure future.	1	2	3	4	5
14	I receive full recognition for my successful teaching.	1	2	3	4	5
15	I get along well with my colleagues.	1	2	3	4	5
16	The administration in my school does not clearly define its policies.	1	2	3	4	5
17	My immediate supervisor gives me assistance when I need help.	1	2	3	4	5
18	Working conditions in my school are comfortable.	1	2	3	4	5
19	Teaching provides me the opportunity to help my students learn.	1	2	3	4	5
20	I like the people with whom I work.	1	2	3	4	5
21	Teaching provides limited opportunities for advancement.	1	2	3	4	5
22	My students respect me as a teacher.	1	2	3	4	5
23	I am afraid of losing my teaching job.	1	2	3	4	5
24	My immediate supervisor does not back me up.	1	2	3	4	5
25	Teaching is very interesting work.	1	2	3	4	5
26	Working conditions in my school could not be worse.	1	2	3	4	5
27	Teaching discourages originality.	1	2	3	4	5
28	The administration in my school communicates its policies well.	1	2	3	4	5
29	I never feel secure in my teaching job.	1	2	3	4	5
30	Teaching does not provide me the chance to develop new methods.	1	2	3	4	5
31	My immediate supervisor treats everyone equitably.	1	2	3	4	5
32	My colleagues stimulate me to do better work.	1	2	3	4	5
33	Teaching provides an opportunity for promotion.	1	2	3	4	5
34	I am responsible for planning my daily lessons.	1	2	3	4	5
35	Physical surroundings in my school are unpleasant.	1	2	3	4	5
36	I am well paid in proportion to my ability.	1	2	3	4	5

37	My colleagues are highly critical of one another.	1	2	3	4	5
38	I do have responsibility for my teaching.	1	2	3	4	5
39	My colleagues provide me with suggestions or feedback about my teaching.	1	2	3	4	5
40	My immediate supervisor provides assistance for improving instruction.	1	2	3	4	5
41	I do not get cooperation from the people I work with.	1	2	3	4	5
42	Teaching encourages me to be creative.	1	2	3	4	5
43	My immediate supervisor is not willing to listen to suggestions.	1	2	3	4	5
44	Teacher income is barely enough to live on.	1	2	3	4	5
45	I am indifferent toward teaching.	1	2	3	4	5
46	The work of a teacher is very pleasant.	1	2	3	4	5
47	I receive too many meaningless instructions from my immediate supervisor.	1	2	3	4	5
48	I dislike the people with whom I work.	1	2	3	4	5
49	I receive too little recognition.	1	2	3	4	5
50	Teaching provides a good opportunity for advancement.	1	2	3	4	5
51	My interests are similar to those of my colleagues.	1	2	3	4	5
52	I am not responsible for my actions.	1	2	3	4	5
53	My immediate supervisor makes available the material I need to do my best.	1	2	3	4	5
54	I have made lasting friendships among my colleagues.	1	2	3	4	5
55	Working conditions in my school are good.	1	2	3	4	5
56	My immediate supervisor makes me feel uncomfortable.	1	2	3	4	5
57	Teacher income is less than deserve.	1	2	3	4	5
58	I try to be aware of the policies of my school.	1	2	3	4	5
59	When I teach a good lesson, my immediate supervisor notices.	1	2	3	4	5
60	My immediate supervisor explains what is expected of me.	1	2	3	4	5
61	Teaching provides me with financial security.	1	2	3	4	5
62	My immediate supervisor praises good teaching.	1	2	3	4	5
63	I am not interested in the policies of my school.	1	2	3	4	5

64	I get along well with my student.	1	2	3	4	5
65	Pay compares with similar jobs in other school districts.	1	2	3	4	5
66	My colleagues seem unreasonable to me.	1	2	3	4	5

## Educational Strategies of Universities in the Kingdom of Bahrain: Delivering Change To Gain and Maintain Global Competitive Advantage

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### ABSTRACT

The Agreement of World Trade Organization (1994) provided for liberalization of trade in services forcing countries to transform the ever monopolistic market structure of higher education industry, to perfect competition. The Kingdom of Bahrain was the first in the GCC region introducing educational strategic plans enabling higher education institutions to gain the strategic goal of global competitive advantage, for which universities implemented educational strategies. The research presented questions of whether or not the implemented four educational strategies resulted in attaining this goal, by examining the status, influence, and relationship between such strategies and goal. Based on strategic operations management framework, it developed a cause-effect framework where the strategies implemented to attain the goal in terms of three objectives. Findings reveal agreement of respondents on implementation of the strategies in achieving the goal in terms of these objectives. Significant relationships exist between the strategies and gaining this goal. The strategies of organizational values, cost-efficiency, and educational service innovations are significant predictors of the goal in terms of service excellence objective. The strategies of educational service innovations, cost-efficiency, and cultural diversity do not significantly influence the goal in terms of customer loyalty objective. The strategies of cultural diversity, organizational values, and educational service innovations are significant predictors of organizational image objective. Cost-efficiency strategy ranked first on the degree of influence of strategies on the goal, but the strategies of educational service innovations, organizational values, and cultural diversity ranked second, third, and fourth. Perceptions of professors and employees on the influence level of educational strategies in attaining the goal are significantly higher than those of students. Recommendations include regular monitoring and continuous implementation of the strategies, formulating new ones to raise awareness of students on utilization thereof, developing other strategies and conducting further research on objectives uncovered by this research.

**Key words:** Educational Strategies, Global Competitive Advantage.

### 1. Introduction

In most developing countries, higher education institutions remained operating in monopolistic market structure solely under strict control and ownership of governments. But, as a result of the Agreement of World Trade Organization 1994, higher education industry has been transferred from monopolistic to perfect competition market structure, where individuals can

set up their own private higher education institutions competing with governmental, Ossman (2006). Governments of developed and developing countries, facing high demand on higher education coupled with scarcity of public fund and other production factors, were compelled to introduce substantial operational and financial reforms to their higher education institutions forcing them to be semi-self-sufficient. Similarly, educational and financial laws introduced to enable private such institutions to gain and maintain the strategic goal of the global competitive advantage. The concept of this goal arose out of the need to develop an effective business model that guarantees long-term survival in the global environment with increasing movement of products, capital, and people. Global competitiveness standards have been set influencing goods/services excellence, customization, and cost resulting in increased economic integration and interdependence of nations. Formulation of strategies contributes to efficiency and service value as competition, risk, and complexity intensified at national and global levels, and the implementation of strategies are no long a matter of application at domestic level but extended to global level also, Ossman (2008). Techniques to overcome cultural and political barriers have been adopted in developing countries to attain productivity and competitiveness. Global organizations develop strategies that provide opportunities for gaining and maintaining the strategic goal through the creation of customer value in efficient and sustainable ways. In the Kingdom of Bahrain, emphasis is given to the development of educational strategies based on programmed projects and strategic plan on the stages of education. The Kingdom moves towards implementation of a new system and of flexible future education structure that provides graduates with the future study opportunity and entry into the labor market. The kingdom is considered to have one of the most developed educational systems in the Gulf region, utilizing advancement in the IT usage, Finance Ministry (2014). The education system initiated strategic initiatives of reforms to strengthen the teaching profession, bring educational resources close to the needs of private sector, develop practical skills meeting the needs of industries, and the promotion of continuous quality in education. Enhancement programs aligned with the national strategic plan have been implemented to improve student outcomes and the entire teaching and learning process. In recognizing education as a government partner and a requisite of economic growth, a global education project has been launched which demonstrates the importance of continued educational development. Educational strategies implemented by educational institutions as a response and commitment to the Bahraini government call for quality education.

This study was conducted to determine the level of influence of educational strategies of selected universities on achieving global competitive advantage. Moreover, it identified which of the educational strategy(s) contribute to the attainment of the long-run strategic goal of global competitive advantage and the significant difference in the perceptions of the two sets of respondents on the degree of influence of educational strategies on global competitive advantage of universities in the Kingdom of Bahrain.

### **1.1 Statement of the Problem**

This study assessed the level of influence of educational strategies, on the strategic goal of universities in the Kingdom. Specifically, it sought to answer the following questions:

- 1.** How do the respondents perceive the educational strategies that influence the attainment of the strategic goal of universities in the Kingdom in terms of

**A.** educational service innovations strategy

**B.** cost-efficiency strategy

- C. cultural diversity strategy
  - D. organizational values strategy
2. What are the perceptions of the respondents on the strategic goal of universities in the Kingdom in terms of the following three objectives;
    - A. service excellence
    - B. customer loyalty
    - C. organizational image
  3. Is there significant influence of educational strategies of universities in the Kingdom, on the strategic goal?
  4. Which of the following educational strategies singly or in combination predict the strategic goal of universities in the Kingdom;
    - A. educational service innovations
    - B. cost-efficiency
    - C. cultural diversity
    - D. organizational values
  5. Is there significant difference in the perceptions of the respondents on the influence of the educational strategies on the strategic goal in the Kingdom?

## 1.2 Null Hypothesis

- Ho1:** Educational strategies of universities in the Kingdom do not significantly influence the strategic goal.
- Ho2:** Educational strategies of educational service innovations, cost-efficiency, cultural diversity, and organizational values, singly or in combination, do not predict the strategic goal of universities in the Kingdom.
- Ho3:** There is no significant difference in the perceptions of the respondents on the influence of educational strategies of universities in the Kingdom on the strategic goal.

## 1.3 Scope and Limitations

The study limited to the perceptions of the respondents of professors, employees and students of the subject universities. It investigated the influence of the four educational strategies on the attainment of the strategic goal of universities in the Kingdom as perceived by the respondents. It looked into the findings of the significant difference between the perceptions of the two sets of respondents on the influence of the independent variables (four educational strategies) on the strategic goal of universities in the Kingdom.

## 2. Review of Literature and Studies

### 2.1 Overview of the Education Industry in the Kingdom of Bahrain

Establishment of the first public education system made the Kingdom, a leader in educa-



tional progress in the Gulf region, providing female population equal access to educational resources, with expenditures of 10.8% of government spending in 2006-2007. Education initiatives include reforms of training programs and quality assurance to raise accreditation standards of the system. The launching of the “Education Project” outlines the global plan of the government to improve the quality of education in the country. The nation pioneered the introduction of universal education to meet challenges of the 21<sup>st</sup> century with the higher education taking the lead in skills improvement essential in achieving global competitive advantage.

## **2.2 Literature and Studies**

The research of Braga et. al (2013) studied the effects of educational reforms on school attainment. A data set on relevant reforms was constructed and matched with individual information from twenty four European countries. It relied on identification strategy that deals with temporal and geographical variations in organizational arrangements. An ideal policy menu available to policy makers was developed by characterizing reforms for their impact on educational inequality, mean years of education and intergenerational persistence. Group of policies on inequality and persistence were distinguished and correlated reform measures to political coalitions that prevailed in parliament.

The study of Pauu and Mustea (2012) highlighted the strategic development of higher education and strategies for increasing absorption of structural funds and cohesion by Romania. It discusses absorption of structural and cohesion funds as a real problem in higher education institutions in Romania due to economic crisis and nonexistent of government and university funds. In order to achieve strategic objectives, the European Union Structural Funds and Cohesion provides the only opportunity for financial support for higher education.

The research of Dean (2013) focused on the layoffs of teachers and employees and the widespread closures of schools in USA. The research described how anti-intellectual learning degrades educational experience and function to intimidate both teachers and students. Discussions show that militancy of teachers unions is not sufficient, so the move to reverse education must consider all stakeholders.

Kapp (2001) found that variety of technology-based tools for the creation and delivery of instruction for learning professionals are not sufficient to change behavior, influence learners and ultimately improve organizations. There is a need for proper design, craft, and presentation of instruction. Learning professionals must match the right strategy for instruction to the content being delivered to create effective instruction. Instructional strategies help learners transfer content into behaviors and actions. These strategies are techniques for the presentation of content which assist learners in the achievement of the desired learning outcome. The application of the right strategies provides the learner retention of content and helps apply content in job performance and facilitates recall.

The study of Paige (2009) examined the promotional strategies for marketing cultural products from micro-entrepreneurs that perceive themselves as business people, stewards and brokers of cultural traditions. It determined the educational strategies used in their promotional efforts for the achievement of unique objectives, specifically financial objectives while simultaneously aiming to preserve and maintain the region’s cultural heritage. It employed qualitative and quantitative approaches to gain holistic understanding of these promotional strategies using consumer education practices and tools.

The research of Portef (2008) determined significant difference between pedagogical

strategies utilized in teaching cultural competency based both on entry-level programs' specific demographics and on expertise of faculty of cultural competency. The research was exploratory in nature, and used Pearson's chi-square test for comparison of the two variables. The investigation found no significant relationships among the cultural competency pedagogical strategies and specific program. Certain program demographics can influence assessment methods based on frequency of responses.

According to the paper of Gajic (2012), the primary goal of modern-oriented higher education institution capable of harmonizing supply with demands and defining the right marketing strategies is considering factors that create market environment conditions. Identification of opportunities, analyzing relevant competitors and positioning against them were essential part in strategy formulation of a higher education institution. Findings of his study show the need for a change in market strategy and market restructuring in higher education institution is a natural consequence of economic oscillations which result in competition and market needs. Overall perception of service quality and user satisfaction is influenced by continuous monitoring and adjusting of new developments with target market needs. Choice of marketing strategy includes definition of the best ways to achieve goals and should contribute to enhancement of the governance in educational institutions, market orientation, and alignment of curriculum with the needs of target groups. Findings reveal that utilization of marketing mix instruments ensures achievement of competitive advantage in the education industry. Marketing strategy combines competencies of educational institutions, coordinates challenges imposed by the external environment and finds the best ways to attain organizational vision and mission.

The study of Alper (2014) concluded that ideas from the control theory can be applied to educational planning through simple example on bottlenecks. The study compared optimal strategies with non-optimal strategies that educational planners do. Through demonstration of optimum solution for one criterion which can yield poor results in another criterion, robustness of the solution can be tested. However, the study of DeLangen (2012) dealt with theoretical views of strategy that can help educational institutes in developing new strategies in the global environment. The study discussed education a special case in the service industry, utilizing distance e-learning. Business model approaches to education can include the concept of the existence and increase of competition, strategic decisions on education must be taken on global views by government institutions and global educational organizations. Assumptions of the study include internationalization posing new problems for management and teaching staff. Teaching foreign students and collaboration with foreign institutes introduce institutional, cultural and legal problems. The framework of Wit and Meyers was used to analyze the design of a distance e-learning program of Global Distance MBA which is internationally oriented. A balance is made between international cooperation, academic acceptability, cultural exchange, flexibility, and localization, against coordination of joint activities of two educational organizations, global marketing, and lack of formality. Conclusions include explicit strategic decision-making relevant to the globalization of educational sector. Use of a framework and decisions can be designed according to an explicit assessment of options that enhance the quality of the chosen strategy.

The research of Gopinathan and Lee (2011) analyzed the adoption of developmental state orientation by Singapore placing strong emphasis on education in meeting needs of socio-economic development. Its higher education system hosts prestigious organizations and international partnerships in its efforts to be a regional education hub. The research explained distinctive features of the higher education model of Singapore and examined the features of globalization such as international collaboration, quality assurance, and ranking that were

expressed in the context of Singapore. It explored lessons which can be drawn for the experience of Singapore and the challenges the country will face in achieving its evolving vision for higher education.

The paper of Chapman et. al. (2005) presented a comparative analysis of strategies adopted by governments of five Central Asia Republics to raise the quality of primary and secondary education. Data were drawn from a study sponsored by the Asian Development Bank which examined efforts for education reform across these five nations. A comparison between fourteen-most commonly used strategies suggested that efforts to raise quality of education met with mixed results. The Findings show that while raising education quality was a safe political goal, it proved to be an elusive target.

The study of Weng (2011) investigated the management and performance of engineering educational systems and established a model for performance evaluation. Through the utilization of performance evaluation model, schools can formulate a better strategy for developing better educational systems. The concept of balanced scorecard is utilized to construct a model for performance evaluation and collects suitable configurations for performance evaluation and indices by literature reviews and interviews of department heads of engineering educational systems in Taiwan. An objective performance evaluation model was developed, based on the components of the balanced score card.

### 2.3 Relevance to the Present Study

The cited foreign literature deals with educational strategies and theories which can be adapted to the local environmental setting. Such strategies have been examined to describe the factors which influence the achievement of the long-run strategic goal of universities for gaining and maintaining global competitive advantage. Educational strategies and its long-term effects on gaining and maintaining global competitive advantage have been scrutinized to establish the basis for developing the study framework. Researches on the topic were used to describe how educational strategies used by the subject universities in achieving the goal for gaining global competitive advantage. The findings of local and foreign studies reveal the presentation of the present study.

### 2.4 Theoretical Framework of the Study

The study was based on the theory of management decisions that contribute to strategy formulation by organizations, which is the first stage of the process of strategic management process in modern organizations regardless of size, nature, and place of operations, according to Heizer and Bender (2010)



Figure 1: Theoretical Framework of the Study, Operations Management  
by Heizer and Bender (2010)

The framework shows how the three strategies, differentiation, low-cost, and response are implemented visa after-sales, service, delivery, quality, flexibility, and/or broad product line. Effective management decisions can result in increasing productivity and generate sustainable competitive advantage in market place. Furthermore, it shows that proper implementation of such decisions through operational functions can result in achieving competitive advantages visa organizational strategies.

## 2.5 Conceptual Framework of the Study

Figure 2 presents the conceptual model of the study. A cause and effect relationship is used to illustrate the influence of the independent variables on the dependent variables. The study evaluated the influence of the four educational strategies, namely; educational service innovations, cost-efficiency, cultural diversity, and organizational values implemented by the selected universities in the Kingdom of Bahrain, for attaining the long-run strategic goal of global competitive advantage. It identified the educational strategies in universities that singly, or in combination predict the attainment of the strategic goal. The study also determined the significant difference in the perceptions of the two sets of respondents on the significant influence of educational strategies on gaining and maintaining this goal.

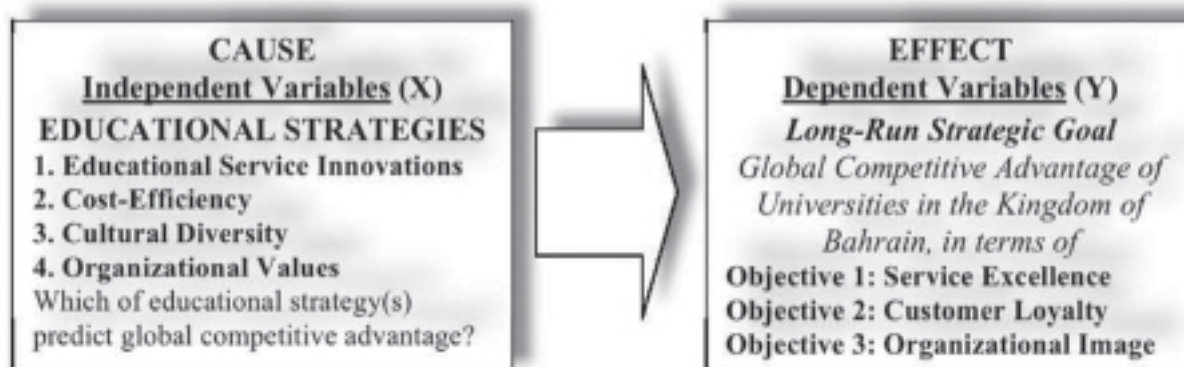


Figure 2: Conceptual Framework of the Study

“Cause and Effect Relationship of Independent and Dependent Variables”

## 3. Methodology

### 3.1 Research Design

The descriptive research was used to obtain information of the influence of educational strategies on gaining and maintaining the strategic goal of universities in the Kingdom of Bahrain. Descriptive research describes the data and characteristics of the population and phenomenon under study. The correlation research was also used, involving the collection of two or more sets of data from a group of subjects to determine the relationship between them. This study established the level of influence of educational strategies on gaining and maintaining the strategic goal by universities in the Kingdom if any.

### 3.2 Sampling Design

The participants of this research are selected universities operating in the Kingdom of Bahrain, which they requested not to be identified. The respondents were professors, employees and students. Purposive sampling was used to select the group of respondents to conform to defined criteria.

### 3.3 Respondents of the study

The respondents were students, employees, and professors from the selected universities in the Kingdom. Only graduating students were allowed to participate in the survey, due to their sufficient knowledge of the educational strategies adopted and used by their universities. They were divided into two groups and distributed as follows; the first was professors and employees of the selected universities, and the second was students thereof.

Respondents of the Study	Sample Size	Percentage
Professors and employees	50	34%
Students	100	66%
Total	150	100%

### 3.4 Research Instrument

For the purpose of conducting this study, the following instruments were used;

**A. Questionnaire.** The researcher developed a questionnaire for gathering information from the respondents, taking into account the variables identified in the statement of the problem and null hypotheses.

**B. Documentary Analysis.** The researcher reviewed annual reports, brochures, office records and other sources of secondary information.

### 3.5 Data Gathering Procedure

The questionnaires distributed to the respondents (professors, employees, and student) where the study was conducted, then collected, interpreted and analyzed by the Statistical Package for Social Science (SPSS). The Likert scale which was used, consisted of a series of opinion statements for issues related to the variables, allowed the researcher to determine responses of relative importance. The research also utilized the following statistical formulas, namely; arithmetic mean, standard deviation, Pearson correlation, multiple regression analysis, and T-test.

**A. Arithmetic Mean.** The mean used as a measure of central tendency of the raw data, to describe the nature of observations or responses collected from the respondents. The formula is:

$$X_a = \frac{\sum x}{n}$$

Where:  $X_a$  = arithmetic mean,  $\sum$  = summation,  $x$  = value of the response,  $n$  = number of responses

The arithmetic mean was interpreted according to the following boundary numerals:

**B. Standard Deviation.** The standard deviation was computed as a measure of spread to summarize how far from the mean the responses typically are, and to determine the variability of responses to different dependent and independent variables among the respondents. The formula is:



$$SD = \frac{\sqrt{\sum (X - \bar{x})^2}}{n}$$

where:  $X$  = an observation,  $\bar{x}$  = the mean,  $\sqrt{\quad}$  = the square root,  $n$  = the total number of observations,  $\sum$  = the sum.

**C. Pearson Correlation.** Pearson correlation was used to measure the degree of influence of educational strategies on global competitiveness. The formula is:

Where:  $N$  = number of pairs of scores,  $\sum x$  = sum of  $x$  scores,  $\sum y$  = sum of  $y$  scores,  $\sum xy$  = sum of products of paired scores,  $\sum x^2$  = sum of squared  $x$  scores,  $\sum y^2$  = sum of squared  $y$  scores

**D. Multiple Regression Analysis.** This tool was employed to determine which of the educational strategies, singly or in combination, predict global competitive advantage, and to construct an education model for gaining global competitive advantage by formulating educational strategies. The formula is:

$$Y = \frac{N \sum xy - (\sum x)(\sum y)}{\sqrt{[\sum x^2 - (\sum x)^2 / N][\sum y^2 - (\sum y)^2 / N]}}$$

where:  $Y$  = dependent variable,  $X$  = independent variable,  $N$  = number of paired data,  $\sum$  = summation

**E. t-test.** This tool was used to test the significant difference in the perceptions of the respondents on the influence of the educational strategies on global competitive advantage in the Kingdom. The formula is:

Where:

$T$  = difference between the means of two groups of respondents

$\bar{x}_1$  = mean of the first group, professors and employees

$\bar{x}_2$  = mean of the second group, students (customers)

$s_1^2$  = sample variance for first group, professors and employees

$s_2^2$  = sample variance for second group, students (customers)

$n_1$  = number of responses in the first group, professors and employees

$n_2$  = number of responses in the second group, students (customers)



## 4. The Findings

### 4.1. Status of Educational Strategies of Universities

#### 4.1.1 Educational Service Innovations Strategy

Table 1: Educational Service Innovations Strategy of Universities

<b>Educational Service Innovations Indicators</b>	<b>Mean</b>	<b>Std. Dev.</b>	<b>Interpretation</b>
Results in outline of global plan to improve education with clear deliverables.	4.1	1.03	Often
Innovations include job-oriented courses enabling student acquire special skills as per the current industry needs.	4.1	0.9	Often
Results in provision of exposure and experience in technologies allowing development of job skills.	4.2	0.9	Often
Allows participation of students in programs for accessing information and educational opportunities.	4.2	0.9	Often
Provision of hands-on approach for computing to gain high competence in the IT tasks' performance.	4.1	0.93	Often
Results in promoting research culture and opportunities for research publications.	4.1	1.01	Often
Barriers of race, gender, and nationality eliminated and resulted in widening of areas for shared concerns of citizens and expatriates.	4.1	0.96	Often
<b>Overall Educational Service Innovations Strategy</b>	<b>4.1</b>	<b>0.79</b>	<b>Often</b>

From Table 1, the findings are; the subject universities formulate a global strategic plan to improve education system with clear deliverables. The respondents (students, employees, and professor) agree (mean of 4.1) that the subject universities maintain quality of education in educational service innovations to the students through compliance with global standards. The respondents agree with a mean of 4.1, that the business program of these universities include courses that allow acquisition of job skills essential for meeting the current industry needs. The mean of 4.2 proves that the respondents agree on the practice of providing experience and exposure of students to technologies that enable them to develop job skills. The information access and educational opportunities, with the mean of 4.2, and emphasize on hands-on approach for computing in the performance of IT tasks, indicated by the mean of 4.1. The mean of 4.1 shows existence of a program that promotes research culture and publications. These universities embrace diversity with a mean of 4.1 by removing barriers of gender, race and nationality.

The average standard deviation of 0.79 describes the homogeneity of the respondents in the implementation of educational service innovations strategy, which indicate a narrow array of perceptions in the 5-point Likert Scale. The findings clearly indicate that the subject universities utilize this strategy with a grand mean of 4.1 that goes beyond physical characteristics and service attributes to influence the customer value derived from the strategy.

#### 4.1.2 Cost-Efficiency Strategy

Table 2: Cost-Efficiency Strategy of Universities

<b>Cost-Efficiency Indicators</b>	<b>Mean</b>	<b>Std. Dev.</b>	<b>Interpretation</b>
Results in tight cost control systems that include detailed control reports and close supervision of labor, materials, distribution, and other costs.	4.1	0.9	Often
Results in gaining competitive advantage through costs reduction.	4.0	0.9	Often
Pursuit of high levels of employee specialization to take advantage of cost associated with the division of labour.	4.1	0.9	Often
Provision of rewards for cost reduction and incentives to meet strict quantitative targets and maintain quality.	4.0	0.97	Often
Subject universities are able to purchase and use specialized tools, machines and other facilities that results in lowering average costs of the provision of student services.	4.1	0.96	Often
<b>Overall Cost-Efficiency Strategy</b>	<b>4.1</b>	<b>0.68</b>	<b>Often</b>

Table 2 presents the perceptions of the respondents on the implementation of cost-efficiency strategy in providing higher education service. The mean of 4.1 shows agreement of respondents on the adoption of cost-efficiency strategy, with a degree of homogeneity (standard deviation of 0.9), indicating implementation of cost control systems by the subject universities through close monitoring of control reports. Findings show an increase in demand for higher educational services that results in profitability and high market share in pure competition market structure. Reduced economic costs lower than those of competitors, with a mean of 4.0, show utilization of cost-efficiency strategy aimed at gaining competitive advantage. High levels of employee specialization, with a mean of 4.1, indicate that the subject universities take advantage of the benefits of cost-efficiency strategy through division of labor. Cost reduction to meet increased quality of educational services results in reward system, with a mean of 4. Facilities to reduce costs of operations are provided to students, indicated by the mean of 4.1. The overall mean of 4.1 with an average standard deviation of 0.68, indicates perceptions of some degree of homogeneity for provision of efficient-scale facilities, maintenance of tight control for costs, and cost minimization that result in reduced price for educational services which contributes to gaining and maintaining the strategic goal of the subject universities through the cost-efficiency strategy.

### 4.1.3 Cultural Diversity Strategy

Table 3: Cultural Diversity Strategy of Universities

<b>Cultural Diversity Indicators</b>	<b>Mean</b>	<b>Std. Dev.</b>	<b>Interpretation</b>
Incorporates pedagogy that respond to customer demand utilizing design technology.	4.2	0.93	Often
Process of teaching and learning occurs in a culturally supported and learner-centred context.	3.9	1.1	Often
Individual differences viewed by professors as a norm in society which entails developing respect for differences.	3.9	1.1	Often
Pedagogy recognizes the culture of students in instruction and respects the personal identities of students.	4.0	1.1	Often
Professors use families and communities as resources that will contribute to educational growth of students.	3.9	0.97	Often
Textbooks, communication facilities, and classroom activities are culturally supportive of students.	4.1	0.978	Often
<b>Overall Cultural Diversity Strategy</b>	<b>4.0</b>	<b>0.82</b>	<b>Often</b>

The pedagogy adopted by the subject universities responds to changes in the customer demand is perceived by the respondents with a mean of 4.1, as presented in Table 3. Perceptions show provision of culturally supported, learner-centered context of teaching and learning, with a mean of 3.9, indicating promotion of student achievement by identifying student strengths. Respect of individual differences of students has a mean of 3.9 and standard deviation of 1.1, which demonstrate heterogeneity of responses. Pedagogy recognizes and utilizes the culture of students and language in instruction and respects the identities of students with a mean of 4.02, but whose heterogeneity is discernible as deduced from the perceptions of standard deviation of 1.1. Families and communities are used as resources for student growth, with a mean of 4.0, and a high degree of heterogeneity, revealed by the standard deviation of responses of 1.1. The mean of 4.1 shows that pedagogy textbooks, communication facilities, and classroom activities are culturally supportive of students but reveals heterogeneity of responses evident by the high standard deviation corresponding to 0.98. The overall mean of 4.0 with an average standard deviation equivalent to 0.82, show some degree of homogeneity that the subject universities are culturally diversified and responsive to the changes in student demands, and support student growth and achievement. The perceptions standard deviation of 0.82 reveals some degree of homogeneity on the responses of the respondents.

#### 4.1.4 Organizational Values Strategy

Table 4: Organizational Values Strategy of Universities

Organizational Values Indicators	Mean	Std. Dev.	Interpretation
Promotes external partnerships to focus on issues critical to national interest and global welfare.	4.1	0.97	Often
Gives attention to academic integrity exemplified by practicing ethical standards.	4.1	1.04	Often
Combines personal, organizational, cultural values and ethics to succeed in a global setting.	4.3	0.8	Often
Creates an environment that values, develops, motivates, and rewards, and that engages employees in organizational success.	4.1	0.89	Often
Maintains the use of teamwork for task performance.	4.1	0.91	Often
Provides high degree of openness and communication at all levels.	4.2	0.8	Often
<b>Overall Organizational Values Strategy</b>	<b>4.1</b>	<b>0.74</b>	<b>Often</b>

Table 4 shows that the subject universities, with a mean of 4.1, promote external partnerships with other organizations in the industry or government agencies, both in the local and global environment but shows heterogeneity of responses of the respondents as evidenced by the standard deviation corresponding to 0.98. The respondents perceive high degree of ethical standards in educational services, indicated by a mean of 4.1 but observations show high degree of heterogeneity, judging from the standard deviation of responses of 1.04. Respondents agree with a mean of 4.3 that the combination of values and ethics is an effective strategy for gaining and maintaining the strategic goal. Homogeneity of responses on cultural diversity strategy is presented in Table 4, with an average standard deviation of 0.8. Utilization of people empowerment, techniques for motivation, reward systems and participative management in the achievement of the goal perceived to be implemented with a mean of 4.1 and homogeneity of responses indicated by standard deviation of 0.89. The use of teamwork in the teaching and learning environment presents homogeneity of observations, shown by a mean of 4.1 and standard deviation of 0.91 that reveals heterogeneity of perceptions on this particular issue. The subject universities practice two-way communication indicated by a mean of 4.2. The average standard deviation equivalent to 0.8, shows with some degree of homogeneity that these universities promote openness in communications at all organizational levels. From the overall mean of 4.1 with an average standard deviation of 0.74, it is perceived with some degree of homogeneity that these universities adopt organizational values strategy in their continuous search for excellence in all of their educational services.

Table 4 indicates the perceptions of respondents on adoption of organizational values strategy to achieve global competitive advantage. Organizational values adopted by the subject universities in terms of promotion of external partnerships for national interest and global welfare, with a mean value of 4.1, are perceived as vital to the attainment of the global competitive advantage. Standard deviation of 0.97 reveals some degree of homogeneity on responses for the perceived organizational values strategy. Respondents agree, with a mean value of 4.1 that

strategy gives attention to academic integrity, with some degree of heterogeneity of responses shown by the standard deviation of 1.04. The strategy combines personal, organizational, cultural values to achieve success in a global setting, revealed by a mean value of 4.3 and standard deviation of 0.8. Creation of environment that values and motivates people and engages in organizational success was perceived to be in place, shown by the mean value of 4.1, with homogeneity of responses indicated by the standard deviation of 0.89. The subject universities maintain teamwork for task performance and provide high degree of openness, shown by a mean value of 4.1 and 4.2, respectively, and standard deviations of 0.91 and 0.8. The overall mean of 4.1, reveal perceptions of the adoption of organizational values strategy in all aspects of educational services provided by the subject universities.

## 4.2 Status of the Long-Run Strategic Goal of Global Competitive Advantage

### 4.2.1 Perceived Status of the Strategic Goal in Terms of Service Excellence

#### Objective

Table 5: Perceived Status of Strategic Goal in Terms of  
Service Excellence Objective of Universities

Service Excellence Indicators	Mean	Std. Dev.	Interpretation
Attains continuous improvement in stakeholders' satisfaction.	4.1	0.89	Often
Provides access to talented employees that support innovation.	4.1	0.94	Often
Recognizes excellence to enhance teaching, scholarship, and service.	4.1	1.1	Often
Responds to cater for cultural differences and changes in industry needs.	4.1	0.98	Often
Fosters participatory workplace involving people in decision making.	4.1	0.97	Often
<b>Overall Global Competitive Advantage (Service Excellence)</b>	<b>4.1</b>	<b>0.83</b>	<b>Often</b>

Table 5 presents perceptions on the attainment of global competitive advantage of the subject universities in the area of service excellence. Responses of the respondents reveal agreement of the implementation of a strategy that strives for continuous improvement, indicated by the mean of 4.1, with some degree of homogeneity, shown by the standard deviation of 0.89. Respondents agree that service excellence adopted by the universities provide access to talented employees that support innovation, with a mean of 4.1 and standard deviation of 0.94. Responses reveal agreement on recognition of excellence as a means of enhancing teaching, scholarship, and service, with a mean of 4.1, but whose heterogeneity appears high as indicated by the standard deviation of 1.1. Service response to cater for cultural differences and changes in industry needs shown by a mean of 4.1, however, some degree of heterogeneity on this concern is observed from the standard deviation of 0.98. Fostering participative management involving employees in decision making processes, indicated by a mean of 4.1, with some degree of variability as evidenced by the standard deviation of 0.97. The high grand mean of 4.1 presents agreement of the respondents on the provision of service excellence objective by the

subject universities in the achievement of the strategic goal, but with low degree of homogeneity (standard deviation of 0.83) of responses on service excellence of the subject universities in the global environment.

#### 4.2.2 Perceived Status of the Strategic Goal in Terms of Customer Loyalty

##### Objective

Table 6: Perceived Status of Strategic Goal in Terms of  
Customer Loyalty Objective of Universities

Customer Loyalty Indicators	Mean	Std. Dev.	Interpretation
Conducts survey on needs/wants of students continuous improvement.	4.0	0.9	Often
IT and upgrading of facilities are employed to increase customer loyalty.	3.9	1.0	Often
Empowerment of employees and professors to improve customer experience.	3.9	0.9	Often
Response time communicates sense of urgency and concern for students and their experience with educational services of the universities.	3.9	1.03	Often
Provides realistic accomplishment of short- and long-term goals by action-plans of feedback.	3.9	1.1	Often
<b>Overall Global Competitive Advantage (Customer Loyalty)</b>	<b>3.9</b>	<b>0.9</b>	<b>Often</b>

Findings on the perceived status of global competitive advantage in terms of customer loyalty are presented in Table 6. The respondents rate often a mean value of 4.0 that the universities continuously monitor the needs and wants of students as basis for improvement in educational service. This perception illustrates some degree of homogeneity as shown by the standard deviation of 0.9. The subject universities address and increase customer loyalty objective through information technology and upgrading facilities as indicated by a mean value of 3.9. Perceptions show that strategy reveals a very low degree of homogeneity as shown by the standard deviation of 1. Employees and professors are experienced in dealing with customer demands as evident by a mean value of 3.9. Response time which communicates the sense of urgency and concern to such demands with a mean value of 3.9 reveals some degree of homogeneity as shown by their standard deviations of 0.9 and 1.03. Realistic goals are set by the universities as evident by a mean value of 3.9 that incorporate feedback into action plans, but opinions show a very low degree of homogeneity as the standard deviation of 1.1. The grand mean value of 3.9 points out the emphasis given by the universities on global competitive advantage in terms of customer loyalty objective. Form the average of standard deviation of perceptions 0.9, it is clear that the level of customer loyalty exhibits some degree of homogeneity.



### 4.2.3 Perceived Status of the Strategic Goal in Terms of Organizational Image

#### Objective

Table 7: Perceived Status of Strategic Goal in Terms of  
Organizational Image Objective of Universities

Organizational Image Indicators	Mean	Std. Dev.	Interpretation
Cost strategies enable the universities to compete in global market.	4.3	0.9	Often
Customer loyalty creates organizational image	3.9	1.05	Often
Employee empowerment creates an environment of dedicated employees and professors.	3.9	1.01	Often
Organizational commitment results from effective employee motivation.	3.9	1.0	Often
Benchmarking used as a powerful tool for continuous improvement.	3.9	1.1	Often
<b>Overall Global Competitive Advantage (Organizational Image)</b>	<b>3.9</b>	<b>0.87</b>	<b>Often</b>

Findings reveal that the subject universities use cost strategies as basis for competition in the global market with a mean value of 4.3. Responses show a lower degree of homogeneity as shown from the standard deviation of 0.9. Respondents believe that the organizational image objective resulted from customer loyalty objective with a mean value of 3.9, however, there is a high degree of heterogeneity in the respondents perception as evidenced by the standard deviation of 1.05. The subject universities create an environment of dedicated employees and professors through employee empowerment as indicated by a mean value of 3.9, but a high degree of heterogeneity thereon is observed from the standard deviation corresponding to 1.0. Organizational commitment exists with a mean value of 3.9, as a result of effective employee motivation, however a high degree of heterogeneity on the opinions of respondents exists as indicated by the standard deviation of 1.0. These universities strive for continuous improvement with the mean value of 3.9 emphasizing the use of benchmarking as total quality management tool to attain global competitive advantage in educational services but whose heterogeneity is discernible as deduced from the perception's standard deviation of 1.1. The grand mean of 3.9 shows that the subject universities are globally competitive as evidenced by the attainment of their organizational image objective. As indicated by the average standard deviation of 0.87, it is clear that global competitive advantage on organizational image exhibits some degree of homogeneity.

### 4.3 Significant Influence of Educational Strategies on the Strategic Goal

Table 8: Significant Influence of Educational Strategies on Global Competitive Advantage

INDICATORS	Mean	Std. Dev.	Pearson Correlation	Sig, (2-tailed)	Decision	Interpretation Of Correlation
Educational Service Innovations	4.3	.37	.35**	.003	Significant	Low Positive
Cost-Efficiency	4.2	.41	.54**	.000	Significant	High Positive
Culture Diversity	4.2	.47	.59**	.000	Significant	High Positive
Organizational Values	4.2	.37	.64**	.000	Significant	High Positive

\*\*Correlation significant at the .01 level (2-tailed)

The findings from Table 8 reveal significant relationships between the independent variables (strategies) of educational service innovations, cost-efficiency, cultural diversity, and organizational values, indicated by the p value of .003\*, Sig (2-tailed), at 0.01 significance level for all the variables investigated. Findings also show that there is high degree of correlation between educational strategies and global competitive advantage, indicated by the Pearson Correlation Coefficients of 0.35 for educational service innovations, cost-efficiency ( $r = .54$ ), cultural diversity ( $r = .59$ ). The variable of organizational values reveals significant relationship with global competitive advantage, with low positive correlation indicated by ( $r = 0.64$ ). These correlations are significant at the significance level of 1%, thus the null hypotheses were rejected for all educational strategies variables. Overall, there is significant relationship between educational strategies and global competitive advantage. The findings imply that a change in the effectiveness of the implementation of strategies will lead to a change in the ability of the subject universities to gain global competitive advantage.

### 4.4 Educational Strategies Singly or in Combination Predict the Strategic Goal

#### 4.4.1 Predictors of the Strategic Goal

Stepwise regression analysis reveals that most of the independent variables (educational strategies), singly or in combination, are strong predictors of the long-run strategic goal of global competitive advantage.

Predicted regression equation:  $Y = 5.2 + 0.77X_1 - 0.42X_2 + 0.16X_3$

Table 9 presents the predictors of educational strategies as variables for the strategic goal in terms of service excellence objective on educational strategies.

Table 9: Regression Analysis of Global Competitive Advantage (Service Excellence) on Educational Strategies

Educational Strategies	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
(Constant)	5.2	1.2		4.3	.000
X <sub>1</sub> = Organizational Values	.77	.08	.82	9.9	.000
X <sub>2</sub> = Cost-Efficiency	-.42	.11	-.34	-3.8	.000
X <sub>3</sub> = Educational Service Innovations	.16	.06	.21	2.8	.006

R<sup>2</sup>-Adjusted = 51.4%; F = 80.82; P < 0.001

Table 9 shows that the educational strategies of organizational values, cost-efficiency and educational service innovations are significant predictors of the service excellent objective. Together, these three independent variables significantly explain more than 50% (F = 80.82; p < 0.001) of the variation of perception scores on service excellence. In terms of relative importance, organizational values strategy ranks first (largest beta coefficient) in predicting service excellence objective followed by cost-efficiency strategy. The three of the four categories (strategies) predict significantly, singly or in combination, the strategic goal of the subject universities in terms of service excellence objective.

The first variable, among others that entered into the equation with significant influence on service excellence objective is organizational values strategy. The beta coefficient (0.77) between organizational values and service excellence with a calculated t value of 4.3 is significant at the level of 0.001. The positive effect indicates empirically that the respondents agree that organizational values are essential in the attainment of the strategic goal in terms of service excellence. The second variable that shows significant influence on service excellence objective is cost-efficiency strategy. The beta coefficient corresponding to -3.8 is significant at the 0.001 level, indicating that respondents agree that cost-efficiency is important in gaining and maintaining the strategic goal in terms of service excellence. The last step in the regression analysis indicates that educational service innovations strategy as another variable that exhibits influence on the goal in terms of service excellence. The beta coefficient corresponding to 0.16 denotes the high significance of this variable to its relationship with service excellence. In combination, the predictors account for 51.4 percent of the variations of the strategies of organizational values, cost efficiency, and educational service innovations are significant predictors of service excellence.

#### 4.4.2 Predictors of Customer Loyalty Objective

Predicted regression equation:  $Y = 1.44 + 0.74X_1 - 0.42X_2 + 0.16X_3$

Only organizational values strategy is a significant predictor of customer loyalty.

Table 10 presents the regression analysis of the strategic goal in terms of customer loyalty on educational strategies.

Table 10: Regression Analysis of Global Competitiveness (Customer Loyalty)  
on Educational Strategies

Educational Strategies	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
(Constant)	1.44	1.03		1.39	.17
X <sub>1</sub> = Organizational Values	.74	.04	.77	17.98	.000

R<sup>2</sup>-Adjusted = 58.8%; F = 323.3; P < 0.001

From the findings in Table 10, the strategies of educational service innovations, cost-efficiency, and cultural diversity do not significantly influence the strategic goal on customer loyalty. The only independent variable in the stepwise regression that significantly influences customer loyalty is organizational values strategy. This is supported by the beta coefficient of 0.74 at 0.001 level of significance. This independent variable (organizational values strategy) significantly explains more than 50% (F = 323.30; p < 0.001) of the variation of perception scores on customer loyalty objective.

#### 4.4.3 Predictors of Organizational Image Objective

Predicted regression equation:  $Y = 1.47 + 0.371X_1 + 0.24X_2 + 0.13X_3$

Table 11 shows the regression analysis of the long-run strategic goal of global competitiveness in terms of organizational image objective on educational strategies.

Table 11: Regression Analysis of Global Competitiveness (Organizational Image) on Educational Strategies

Educational Strategies	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
(Constant)	1.47	1.12			.192
X <sub>1</sub> = Cultural Diversity	.37	.06	.42		.000
X <sub>2</sub> = Organizational Values	.24	.07	.24		.001
X <sub>3</sub> = Educational Service Innovations	.13	.06	.17		.017

R<sup>2</sup>-Adjusted = 57.2%; F = 101.52; P < 0.001

The strategies of cultural diversity, organizational values and educational service innovations are significant predictors of organizational image objective. Together, the three independent variables explain significantly nearly 60% (F = 101.52; p < 0.001) of the variation of perception scores on organizational image. In terms of relative importance, cultural diversity strategy (largest beta coefficient) in explaining the variation of perception scores on organizational image followed by organizational values strategy.

From the findings presented in table 11, cost-efficiency does not significantly influence the strategic goal in terms of organizational image objective. The first independent variable in the stepwise regression that significantly influence organizational image is cultural diversity evidenced by the beta coefficient of 0.37 at the 0.001 level of significance. Organizational values strategy registered a beta coefficient of 0.24 which is significant at 0.001 level. Educational service innovations shows a significant influence on organizational image objective with a beta coefficient of 0.13. In combination, these variables are responsible for 57.2 percent in significantly influencing the strategic goal in terms of organizational image objective.

#### 4.5 Level of Influence of Educational Strategies on the Strategic Goal

The assessment of the level of influence of educational strategies on gaining and maintaining the goal is dealt with herein. From Table 12, it is deduced that the general perception of the respondents is that there is high level of influence of educational strategies on the goal as perceived by the respondents. This finding is indicated by the level of influence of four educational strategies, namely; educational service innovations with a mean value of 4.07; cost-efficiency with a mean value of 4.0; cultural diversity with a mean of 4.13 and organizational values with a mean value of 3.0.

Table 12: Perceived Level of Influence of Educational Strategies on  
the Strategic Goal

Educational Strategies	Group 1 (n = 150)		Group 2 (n = 77)		Both Groups (227)	
	Mean	Interpretation	Mean	Interpretation	Mean	Interpretation
Educational Service Innovations	4.1	High	3.9	High	4.1	High
Cost-Efficiency	4.1	High	3.9	High	4.0	High
Cultural Diversity	4.2	High	3.9	High	4.1	High
Organizational Values	4.4	High	3.9	High	3.0	High

#### 4.6 Degree of Influence of Educational Strategies on the Strategic Goal

Table 13 shows that cost-efficiency strategy ranked first on the degree of influence of educational strategies on global competitive advantage with a mean value of 3.0, whereas educational service innovation strategy ranked second with a mean value of 4.1, and organizational values strategy ranked third with a mean value of 2.1 and cultural diversity strategy ranked fourth with a mean value of 1.1.

Table 13: Ranking of the Degree of Influence of Educational Strategies on  
the Strategic Goal

Educational Strategies	Group 1 ( <i>n</i> = 150)		Group 2 ( <i>n</i> = 77)		Both Groups (227)	
	Mean Rank	Rank	Mean Rank	Rank	Mean Rank	Rank
Educational Service Innovations	3.03	2	3.01	2	3.03	2
Cost-Efficiency	3.9	1	3.9	1	3.9	1
Cultural Diversity	1.1	4	1.1	4	1.1	4
Organizational Values	2.1	3	2.2	3	2.1	3

A Wilcoxon Rank Sum Test

Interpretation of the mean perception scores for both groups (professors and employees, and students) fell into the category “high”. But, the mean scores per se are different, and the Wilcoxon Rank Sum Test showed that the distribution of scores of the two groups is significantly different in favor of Group 1 (professors and employees). Group 1 generally attained higher perception scores on all indicators of educational strategies than group 2 (students).

#### 4.7 Significant Difference in the Level of Influence of Educational Strategies on the Strategic Goal as Perceived by Respondents of the Subject Universities

Table 14: Comparison of Perceived Level of Influence of  
Educational Strategies on Global Competitive Advantage

Education Strategies	Group 1 ( <i>n</i> = 150)	Group 2 ( <i>n</i> = 77)	Computed	p-value
	Mean Rank	Mean Rank	Z-value <sup>a</sup>	
Educational Service Innovations	122.1	98.3	2.6	.009**
Cost-Efficiency	121.5	99.3	2.5	<0.001**
Cultural Diversity	123.3	95.9	2.99	.015*
Organizational Values	125.6	91.4	3.7	.003**

A Wilcoxon Rank Sum Test

The perceptions of Group 1 (professors and employees) respondents on the level of influence of educational strategies on global competitive advantage is significantly higher than that of Group 2 (students) respondents as all p-values are less than 0.05, therefore, the corresponding null hypothesis is rejected.



## **5. Summary of Findings, Conclusions and Recommendations**

### **5.1 Summary of Findings**

The treatment and analysis of data revealed the following essential findings:

#### **5.1.1 Perceived Status of Educational Strategies**

1. The subject universities utilize the competitive strategy of educational service innovations with a grand mean of 4.1 exceeds physical characteristics and service attributes which influence the value that customers derive from it.
2. From the grand mean of 4.1 with an average standard deviation equivalent to 0.68, it is perceived with some degree of homogeneity that the subject universities provide aggressive construction of efficient-scale facilities, and maintain tight cost control and cost minimization, allowing them to charge a lower price for educational services than competitors and to effectively compete in the industry on the basis of cost-efficiency strategy.
3. The value of standard deviation of perceptions 0.82 reveals some degree of homogeneity on the responses of respondents that the subject universities are culturally diversified in order to accommodate the changes in demands of students and customers, and support the growth and achievement of students.
4. From the grand mean of 4.1 with an average standard deviation equivalent to 0.74, it is perceived with some degree of homogeneity that the subject universities maintain organizational values strategy in their continuous search for excellence in the teaching and learning process and in all of their educational services.

#### **5.1.2 Perceived Status of the Strategic Goal**

1. The goal in terms of service excellence objective is high as described by the grand mean of 4.1. However, there is low degree of homogeneity as evidenced by the standard deviation of 0.83 of responses on the service excellence competitiveness of the subject universities in the global environment.
2. The grand mean of 3.9 points out that the emphasis given by the subject universities on global competitive advantage in terms of customer loyalty objective. The average of standard deviations of perceptions equivalent to 0.85 clearly reveals that the level of customer loyalty exhibits some degree of homogeneity.
3. The grand mean of 3.9 shows that the subject universities are globally competitive as evidenced by the attainment of their organizational image objective. The average standard deviation of 0.87 clearly indicates that competitive advantage on organizational image exhibits some degree of homogeneity.

#### **5.1.3 Predictors of the Strategic Goal**

1. The predictors account for 51.4 percent of the variations of the three strategies; educational service innovations, cost-efficiency, and organizational values are significant predictors of service excellence objective. These three independent variables explain significantly more than 50% ( $F = 80.827$ ,  $p < 0.001$ ) of the variation of perception scores on service excellence objective. In terms of relative importance, organizational values strategy ranks first (largest beta coefficient) in predicting service excellence objective followed by cost-efficiency strategy.

2. The only independent variable that significantly influences customer loyalty objective is organizational values strategy, as supported by the beta coefficient of 0.74 at 0.001 level of significance. This independent variable significantly explain more than 50% ( $F = 323.3$ ;  $p < 0.001$ ) of the variation of perception scores on customer loyalty objective.

3. The three independent variables (strategies); educational service innovations, cultural diversity, and organizational values are significant predictors of organizational image objective. Together, they explain significantly nearly 60% ( $F = 101.5$ ;  $p < 0.001$ ) of the variation of perception scores on service excellence objective. In terms of relative importance, cultural diversity strategy (with largest beta coefficient) in explaining the variation of perception scores on organizational image objective followed by organizational values strategy.

#### **5.1.4. Level of Influence of Educational Strategies on the Strategic Goal**

There is high level of influence of educational strategies on gaining and maintaining the long-run strategic goal of global competitive advantage as perceived by the respondents. This finding is indicated by the level of influence of educational service innovations strategy with a mean value of 4.1; cost-efficiency strategy with a mean value of 4.0; cultural diversity strategy with a mean value of 4.1 and organizational values strategy with a mean value of 3.0.

### **5.2 Conclusions**

The findings derived from the study led to the following conclusions:

1. The subject universities utilize the strategy of educational service that goes beyond educational service attributes to influence the customer value derived therefrom.
2. Efficient-scale facilities, maintenance of tight cost-control, and cost minimization, that result in reduced price for educational services contribute to gaining and maintaining the strategic goal in the higher education industry through cost-efficiency strategy.
3. The subject universities maintain cultural diversity strategy in their continuous search for excellence in the teaching and learning process and in the provision educational services.
4. Perceptions show adoption of organizational values strategy in all aspects of educational services provided by the subject universities.
5. Respondents agree on the provision of service excellence objective by the subject universities in gaining and maintaining the strategic goal.
6. The subject universities emphasize on customer loyalty objective for gaining and maintaining the strategic goal.
7. The subject universities are globally competitive as evidenced by the attainment of their organizational image objective.
8. There is significant relationships between the four educational strategies and the corresponding null hypotheses were rejected for all the educational strategies variables. Overall, there is significant relationship between educational strategies and the strategic goal.
9. The three educational strategies; organizational values, cost-efficiency and educational service innovations are significant predictors of the strategic goal in terms of service excellence objective.

10. The strategy of organizational values is a significant predictor of customer loyalty objectives. Whereas, the strategies of educational service innovations, cost-efficiency, and cultural diversity do not significantly influence the strategic goal on customer loyalty objective.
11. The three educational strategies; cultural diversity, organizational values and educational service innovations are significant predictors of organizational image objective
12. Cost-efficiency strategy ranked first on the degree of influence of educational strategies on gaining and maintaining the strategic goal. However, the strategy of educational service innovations, organizational values, and cultural diversity ranked second, third, and fourth respectively.
13. The perceptions of Group 1 (professors and employees) respondents on the level of influence of educational strategies on gaining and maintaining the strategic goal of global competitive advantage is significantly higher than that of Group 2 (students) respondents hence, the corresponding null hypothesis is rejected.

### 5.3 Recommendations

The stated conclusions merit the following recommendations:

1. Other educational strategies can possibly be formulated, implemented, and evaluated to cater for current and changing needs of students, professors and the education industry.
2. Similar studies are further suggested to focus on other variables (objectives) that will achieve the long-run strategic goal of global competitiveness and to determine other variables, not covered by this research, which may influence the strategic goal of global competitive advantage.
3. Regular monitoring of the variables (strategies) of educational service innovations, cost-efficiency, and organizational values, which have been perceived to significantly influence the achievement of the strategic goal of global competitive advantage in terms of three objectives; service excellence, customer loyalty, and organizational image.
4. Continuous implementation of the four educational strategies; educational service innovations, cost-efficiency, cultural diversity, and organizational values which were identified to be strong predictors of the long-run strategic goal of global competitive advantage by using the Regression Models formulated in the study.
5. Formulation, implementation, and evaluation of new strategies to raise the level of students' awareness on the utilization of the four educational strategies that lead to the achievement of global competitive advantage, where findings reveal perceptions of students on the level of influence of educational strategies on global competitive advantage to be significantly lower than that of professors and employees.

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## **PREPARING TEACHERS THROUGH REFLECTIVE TEACHER EDUCATION PROGRAMMES IN INDIA**

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### **Abstract**

Why teachers teach the way they do has been a conundrum for some and trivia for others. It is a trivial issue for those who believe that teachers teach simply the way they have been educated at the Teacher Education Colleges. It is an enigma for those who know and have witnessed teachers teaching in ways that do not always concur with what is recommended by the community of teacher educators. Invariably there is incongruence between the 'idealistic' content of teacher education programmes, school realities and the teacher's intuitive thinking and personal theories about the educational processes. Student teachers enter teacher education programmes with well formed beliefs, personal theories and values. The challenge of 'changing minds' is hardly recognized by the teacher educators. Many prospective as well as in-service teachers also believe that they already have the virtues and characteristics that are most important for effective teaching. As a result they may not feel the need to undergo any programme or a course in teacher preparation. Teacher's behaviour depends upon their thinking that guides them and helps them to take decisions. Teacher education programmes therefore need to have a relook at both the content and pedagogy of both In-service and preservice programmes. This paper discusses major implications that emerge as a result of a study, for both Pre service and In-service Teacher Education Programmes in India.

**Keywords** Teacher Education, Beliefs, Teacher Education Programmes, Reflection.

### **Introduction**

Why teachers teach the way they do has been an enigma for some and trivia for others. It is a trivial issue for those who believe that teachers teach simply the way they have been educated in the Teacher Education Programmes. It is an enigma for those who know and have witnessed teachers teaching in ways that do not always concern with what is recommended by the community of teacher educators. Invariably there is incongruence between the 'idealistic' content of teacher education programmes, school realities and the teacher's intuitive thinking and personal theories about the educational processes. Student teachers enter teacher education programmes with well formed beliefs, personal theories and values. The challenge of changing these minds is hardly recognized by the teacher educators. Many prospective as well as in-service teachers also believe that they already have the virtues and characteristics that are most important for effective teaching. Teachers have also been found to act in different ways in the classroom while teaching. Teachers' behaviour depends upon their thinking that guides them and enables them to take decisions. Teachers have different teaching styles. This is because all teachers are different, in their ways of teaching, interacting, and about many other issues. How and what a teacher thinks depends upon her personal theories or personal beliefs which are a product of his or her experiences as students,



their interaction with their families, friends and peers in their initial years. A teacher may have a set of beliefs about various aspects in education; it may, among other things, be about education per se, about nature of learning, about students, about teaching strategies, about what effective teaching is. These unconscious beliefs influence their students and their learning so much so that teachers act out of habit! It is therefore important to address these theories that unconsciously influence teacher behaviour and thereby affect student learning.

Beliefs are subjective theories and personal ideas about what we think are true about ourselves and the world around us. Teachers' beliefs may be defined as the attitudes and values about teaching, students, and the education process. Some researchers have called these beliefs entering perspectives or preconceptions. "Review of research literature in teachers' beliefs and thinking has found a myriad of labels or interpretative terms conceptualizing key features of teachers' thinking or beliefs about their professional practice. Included amongst these terms are 'teacher conceptions', 'teacher perspectives', 'constructs', 'understandings', 'teachers thinking', 'attitudes', 'beliefs' and 'values', 'metaphors', 'images', 'pedagogical content knowledge', 'practical knowledge', 'implicit theories', 'personal theories', and 'principles of practice' (Calderhead, 1996; Calderhead & Robson, 1991; Marland, 1995, 1998; Munby, 1986; Munby & Russell, 1989)." (CHAN, 2001)

It has truly been said that we ought to be interested in the personal theories or beliefs of teachers not because we wish these future educators to share similar and appropriate conceptions, but because the nature and importance of individuals' thinking or beliefs is such that they must be a focus of reflection and dialogue when teachers teach or when they are enrolled in teacher education programmes. Drawing on our research in the area in the last five years, have further emphasized the role and importance of Reflection in the area of Teacher Education.

Prospective teachers continue to develop their thinking and beliefs about various aspects of education based on the inputs that they receive during the teacher preparation programme. At the same time student teachers during the programme develop and express implicit beliefs which are influenced by the theoretical inputs of the course that they undertake. Therefore student teachers construct their own philosophy of educational theory and practice integrating their own experiences and personal theories with the learning from the colleges of education. The learning during teacher preparation does have a positive and effective impact which is reflected in their assessments during the programme both in theory and while they are teaching in practice teaching schools. In the teacher education programme the beliefs with which the student teachers enter are replaced by the ones learnt during the programme, as the prospective teachers practice what they learn during the course effectively. These are what Pajares (1992) refers to as the changes in the substructures but not Beliefs. The prospective teachers then while working as regular teachers, continue to teach for some years with the learning gained during teacher preparation. However it was found that after many more years of teaching in schools the teachers reverted to their traditional personal theories and strongly held beliefs. These beliefs it seems, had remained dormant during the teacher education programme and later in their initial years of teaching. Rather than practising what they had been equipped with during teacher preparation they begin to teach in the same ways as they themselves had been taught. It was seen that the teachers were able to confirm and accept their already formulated beliefs and theories rather than doing away with them or changing them completely. "These new teachers, fresh from teacher education programmes, equipped

with the ‘very best’ in training, actually lose what they had learnt which is confirmed by various studies ‘.....there exists a possibility that the pre-service teachers may revert towards traditional teaching practice after their graduation” (Pryor and Pryor, 2005). This pattern leads us to believe that the changed beliefs may just be changes in their behaviour and not a change in their beliefs.

The teacher preparation programme (B.Ed.) is effectively for a period of about nine months with only 30 days of teaching practice which may be in a 10 day block, 3 days a week or on alternate days in the beginning of the programme. At times with the problems like non cooperation from the schools and enforcement of regarding what, how much and how the ‘content’ should be imparted/taught!, it becomes for practicing teachers a difficult task and a dilemma between theory and practice. Most teacher preparation programmes also rarely have space in their curriculum for reflective thinking as a result the students continue to proceed with their earlier beliefs. Later when these prospective teachers go in for teaching as regular teachers, it becomes imperative for them to begin to associate with what the usual practice is of what, how and why of teaching in that particular school. The metaphors and similes too are commonly seen while in training.

## **Reflection**

Research on schemata is central to the interests of researchers mainly in the fields of Education, Psychology and Sociology. Schemata are both representations of knowledge and information processing mechanisms. Schemata are also mechanisms that simplify cognition. In schematic cognition we find the mechanisms by which culture shapes and biases thought. DiMaggio (1997). Teachers may therefore be more likely to recognize information that is connected to their own existing schemata formed as a result of their interaction with their culture and society. As a result teachers are able to recall and practice schematically embedded knowledge more quickly and accurately. In contrast to this automatic thought, that is schematically embedded, psychologists note a quite different form of cognition, which is «explicit, verbalized, slow, and deliberate» (D’Andrade 1995), referred to as Deliberate cognition. When sufficiently motivated and by reflecting on their actions teachers can override such programmed modes of thought to think critically and act accordingly

Much of what we do cognitively happens without intention, awareness or conscious control. (Hassin et al 2005). Our cognitive processing may therefore be either Automatic or controlled. Controlled processes are characterized by awareness, intentionality, controllability and cognitive effort, (Bargh, 1994, 1996; Posner & Snyder, 1975; Shiffrin & Schneider, 1977). Awareness includes recognizing the cognitive process as stimulus consciously and acknowledged recognition of the influence that the process or stimulus has; intentionality is described as the necessity of an act of will to start the process; controllability refers to the fact that an act of will can stop the process any time after it has started and that cognitive effort is required to execute the process. However, what people think, do and feel, i.e. the behaviours and attitudes may ‘automatically’ be influenced without conscious awareness, intention or control.

Prospective teachers and also regular teachers in schools, it was found, most of the times were not able to say much about their experiences or describe their own theories or beliefs. They were unable to express themselves as they generally did not engage in the process of self reflection. The teacher education programmes in India often, following the behaviourist paradigm hardly provide

any space for reflective thinking. The prospective teachers therefore find it difficult to express themselves easily, while the in-service teachers hardly ever find opportunities to indulge in the process of reflection, attributing it to 'a lot of work load' or 'too many students in one class'. As a result teachers continue to teach as they themselves were taught. Teachers do not feel the need to avail the opportunities for self reflection and use the insight that improves student learning. Going through the 'reflective diaries' of the prospective teachers in the present study, it was found that the student teachers often reported the happenings of their teaching day and of the rapport formation with students in their class and the regular teachers of the school rather than reflecting on their own teaching. Since the teachers had never indulged in the process of reflection in the true sense of the word while in the teacher education programme or otherwise, they were not able to understand the process of reflection.

It is suggested that teachers engage in active reflection as an ongoing process in their professional life. They need to be cognizant of their implicit theories in order to challenge the ones that are not in congruence with the stated goals of education and replace these with more compatible ones. For experiences to grow into implicit theories that can be expressed or verbalised it is imperative that teachers engage formally in the process of reflection.

Teacher beliefs are important constructs in teacher education research and are the greatest indicators of teachers' planning, decision-making and also their classroom behaviour. To be able to identify their own implicit and tacit beliefs, teachers need to be involved in the process of reflection. Reflective thinking has been found to be essential for both teachers as well as students. Goodman (1988) in his research on reflective practices emphasizes the need of reflection for both prospective as well as in-service teachers. Reflection as a process has been researched by various theorists from various disciplines.

"Over the past decade most studies on teaching try to link practice (action) and reflection (thinking) in more than one way. This linkage has been aptly labelled as: reflection on action (Schon, 1983), wisdom of practice (Shulman, 1987), thoughtful action (Clark & Hollingsworth, 2002), situational understanding (Bereiter, 2002), or situated knowledge (Leinhardt, 1988), and has become more specific through research on: reflective judgment (King & Kitchener, 2004), teacher action research (Kemmis & McTaggart, 1988), professional reflective practice (Wallace, 1991), and teacher knowledge construction (Orland-Barak & Tillema, 2006)." Marcos and Harm (2006).

### **Reflection before Action - John Dewey (1933)**

Dewey defined reflective thought as 'active, persistent, and careful consideration of any belief or supposed form of knowledge in the light of the grounds that support it and the further conclusions to which it tends' (Dewey 1933: 118). He set out five phases or aspects. These states of thinking as given by Smith (1996) are as follows:

1. Suggestions, in which the mind leaps forward to a possible solution.
2. An intellectualization of the difficulty or perplexity that has been felt (directly experienced) into a problem to be solved.
3. The use of one suggestion after another as a leading idea, or hypothesis, to initiate and guide observation and other operations in collection of factual material.

4. The mental elaboration of the idea, or supposition as an idea or supposition (reasoning, in the sense in which reasoning is a part, not the whole, of inference).
5. Testing the hypothesis by overt or imaginative action.

Calderhead (1987) describing 'features of reflection' as identified by Dewey lists the following features:

1. Sense of wonder or unrest at a purposeful, reasoned problem and search for a solution.
2. Reflection involves acquisition of certain attitudes and skills of thinking.
3. Reflective thought is initiated by uncertainty and guided by one's conception of a goal or endpoint.

John Dewey as early as 1910/1933 articulated his concept about thinking and reflection in his book 'How we think'. He identified various modes of thought, beliefs, imagination etc and reflection. Rodgers (2002) extracts four criteria that characterize his concept of reflection and the purposes it serves from Dewey's writing. These are:

1. Reflection is a meaning making process that moves a learner from one experience into the next with deeper understanding of its relationships with the connections to other experiences and ideas. It is a thread that makes continuity of learning possible and ensures the progress of the individual and ultimately, society. It is a means to essentially moral ends.
2. Reflection is a systematic, rigorous, disciplined way of thinking with its roots in scientific inquiry.
3. Reflection needs to happen in community, in interaction with others.
4. Reflection requires attitudes that value the personal intellectual growth of oneself and of others.

Reflection is therefore considered by Dewey "to be an active, persistent and careful consideration of any belief or supposed form of knowledge in the light of the grounds that support it and the further conclusions to which it tends. It is an intelligent action in which its justifications and consequences have been considered." Reflection according to Rodgers (2002) "is not an end in itself but a tool or a vehicle used in transformation of raw experience into meaning-filled theory that is grounded in experience, informed by existing theory and serves the larger purpose of moral growth of the individual and society. It is an iterative, forward moving spiral from practice to theory and theory to practice."

### **Reflection in Action - Schön (1983 - 87)**

Schön (1983) describes two types of reflection: reflection-in-action and reflection-on-action. The notions of reflection-in-action, referred to as 'thinking on our feet', and reflection-on-action, which is considered as thinking after the encounter, are believed to be central to Donald Schön's endeavour in the area of Reflection.

## **Reflection in Action**

Reflection-in-action helps us reflect on our actions during an activity. It is a process that permits one to restructure what one is working on, while working on it. It is identified as an on-going experimentation that helps one find a workable solution. The actions that we take are much more logical and focused. Reflecting-in-action is performed when while completing a task we encounter an element of surprise which makes us question and reflect on our own actions.

Teachers need to reflect-in-action to be able to introspect and understand their own beliefs and assumptions about various aspects of education. Teachers need to reflect-in-action to also be able to assess what might be infrequent in their thinking or practice and how ones thinking can be tailored to focus on the task at hand.

In each instance, “the practitioner allows himself to experience surprise, puzzlement, or confusion in a situation which he finds uncertain or unique. He reflects on the phenomena before him, and on the prior understandings which have been implicit in his behavior. He carries out an experiment which serves to generate both a new understanding of the phenomena and a change in the situation.... He does not keep means and ends separate, but defines them interactively as he frames a problematic situation. He does not separate thinking from doing... Because his experimenting is a kind of action, implementation is built into his inquiry.” (Schön 1983: 69).

According to Schön-

- Professional action as an applied science in which existing theories are put to practical use is rejected.
- Reflection in Action is viewed as the exercise of interactive, interpretative skills in the analysis and solution of complex problems.
- “Reflection-in-Action is a reflective conversation with the material of a situation”.
- Individual teacher’s role evolves through “Back talk” that result from earlier moves and responses through “on-line” production of new moves that give meanings and direction to the development of artefacts.

## **Reflection-on-action**

Reflection-on-action enables us to investigate our own actions after the encounter. While reflecting after the action we reflect on and question our actions in the light of the experiences encountered during practice. “We reflect on action, thinking back on what we have done in order to discover how our knowing-in-action may have contributed to an unexpected outcome”. (Schön, 1983).

The notion of repertoire is a key aspect of this approach. Practitioners build up a collection of images, ideas, examples and actions that they can draw upon. Donald Schon, like John Dewey (1933: 123), saw this as central to reflective thought. “When a practitioner makes sense of a situation he perceives to be unique, he sees it as something already present in his repertoire. To see this site as that one is not to subsume the first under a familiar category or rule. It is, rather, to see the unfamiliar, unique situation as both similar to and different from the familiar one, without at first being able to say similar



or different with respect to what. The familiar situation functions as a precedent, or a metaphor, or... an exemplar for the unfamiliar one.” (Schön 1983: 138)

In this way we engage with a situation. We do not have a full understanding of things before we act, but we can avoid major problems while ‘testing the water’. When looking at a situation we are influenced by, and use, what has gone before, what might come, our repertoire, and our frame of reference. We are able to draw upon certain routines. As we work we can bring fragments of memories into play and begin to build theories and responses that fit the new situation.

### **Reflection as Self determination - Habermas (1974)**

The idea of critical reflection is a development of Habermas’s (1974) critical social science which is based on the assumption that self-reflection will be almost inevitably distorted by the social context and personal history of the reflector. In other words, when engaging in critical reflection you should make explicit and challenge (as in review) your own basic assumptions and those of the community (society) in which you work. Reflection is a process of becoming aware of one’s context, influence of societal and ideological constraints on previously taken-for-granted practices, gaining control over the direction of their influence.

### **Reflection as Moral and Rational Process - Gauthier (1963), Polanyi (1967), Van Manen (1977), Schwab (1971)**

Reflection or deliberation is considered as a moral and rational process while teaching as consisting of practical problems, requiring deliberation and action for their solution. This also involves genuinely pertinent concerns and relevant considerations of teachers’ own values and genuine concern in solving problems effectively.

Van Manen (1977) refers to the initial level of reflective thinking as technical rationality. The second level of reflection (Collier, 1999; Grimmer et al., 1990; Lasley, 1992; Van Manen, 1977) involves reflections regarding clarification of and elaboration on underlying assumptions and predispositions of classroom practice as well as consequences of strategies used. This contextual mode deals with pedagogical matters as examined relative to a relationship between theory and practice. Van Manen’s (1977) third and highest level of reflectivity, critical reflectivity, deals with the questioning of moral and ethical issues related directly and indirectly to teaching practices.

Smyth (1992) referring to Paulo Freire’s work says that “teachers need to focus on those manifestations of their teaching that perplex, confuse or frustrate them”. He further adds that teachers “need to engage in four forms of action with respect to their teaching. These actions can be best characterized by a number of moments linked to a series of questions:

1. Describe – The teacher here reflects what she does? This enables the teacher to describe and define the nature of her work. This will entail describing her actions during teaching in the class and outside class.
2. Inform – Reflecting on her actions the question that the teacher needs to ask is what does ‘what I described mean’? She will then be able to reflect on her actions and assess them.
3. Confront – The teacher then after identifying her actions and reflecting on them is able to introspect on why certain actions were effective or some damaging if any. The teacher should



be able to assess and answer why she came to be like this? And why she behaved in a particular manner.

4. Reconstruct – Since the teacher has now been able to reflect and identify she can now answer how might she now do things differently?

### **Studies in the Area**

#### **1. Reflection**

That teacher educators should target these beliefs within teacher development programs to prepare pre-service teachers for successful use of Web 2.0 technologies in their future K-12 classrooms was recommended by Sadaf et al, 2012 as a result of the research undertaken by them to study pre-service teachers' behavioural, normative, and control beliefs regarding their intentions to use Web 2.0 technologies in their future classrooms.

Lovin et al, 2012 reported six mathematics teacher educators' beliefs that described a collaborative self-study that examined personal beliefs about mathematics teacher education. By considering their own beliefs and practices as well as those of others, the features that might have otherwise remained invisible, were seen. In the process of self-study, it was revealed that some of the fundamental beliefs were not as evident in practice as was expected. therefore conscious, productive moves that allowed the core beliefs to be more evident in practice, were made. A description of how these changes resulted from discussions with trusted colleagues and the examination of others' beliefs and practices as well as their own are presented. Self-study as one approach for tapping into mathematics teacher educators' practitioner knowledge to create a professional knowledge base for mathematics teacher educators is proposed.

That reflective teaching is a powerful component of effective teaching has been recognized as a major goal of teacher education today. Reflective teaching refers to the act of thinking such as analyzing or assessing educational meanings, intentions, beliefs, decisions, actions, or products yielded through those thinking processes. Reflective practitioners are those who contemplate and negotiate the complexities of teaching to enhance their decision-making power and autonomy in classrooms. However, despite the enormous proliferation of literature on reflection, little is known about the nature of reflection which will provide significant insights into teacher education that aims to prepare reflective practitioners. The study by Jung, 2012, investigates the nature of three exceptional physical education (PE) teachers' reflection in terms of its focus and roles. Studying the focus of reflection-in/on-action of exceptional PE teachers and the ways in which reflection influences teachers' practice. The findings showed that indicated that the teachers' reflection focused on four main topics: (a) the students, (b) instruction, (c) context, and (d) critical incidents. Reflection impacted the teachers' practice playing four key roles such as (a) making sense of unforeseen events, (b) developing knowledge-in-action, (c) making on-the-spot decisions, and (d) reconstructing teachers' belief systems.

Preservice teachers were interviewed in a study by Caudle and Moran, 2012 wherein completed written reflections as the preservice teachers moved from under the umbrella of an undergraduate early childhood teacher preparation program into classrooms as in-service teachers. Findings revealed the way in which preservice teachers' beliefs were initially unstable and nascent during Study One, how a transactional nature between beliefs and practice began to emerge during

Study Two, and how, during Study Three, this relational exchange contributed to an increase in deliberate action as in-service teachers. Implications for early childhood teacher preparation programs include ensuring opportunities for preservice teachers to use self-reflection and inquiry across a range of course and field experiences as they identify and make connections between beliefs and practice.

Harnet, 2012 in a study found that through examination of their own practice and participation in reflective professional development, the teachers were able to make incremental changes and improvements in their interactions with students. Information was collected using semi-structured interviews and classroom observations, and by their engagement in professional reading, reflection, and discussion. It was found that initially the group found discrepancies between the teachers' espoused theories and their theories-in-use and that implicit beliefs and routinised behaviours were found to have a detrimental influence on the nature of the teachers' interactions with students.

Akiba, 2011 in a study on Identifying Program Characteristics for Preparing Pre-Service Teachers for Diversity, recommended that creating a sense of community in classrooms, and modelling constructivist and culturally responsive teaching are likely to promote positive beliefs about diversity among pre-service teachers. Field experiences should promote pre-service teachers' interactions with people from diverse backgrounds, assign a mentor to support their learning experience and promote self reflection, and provide opportunities to understand the connection with diversity coursework

In a study by Sykes, 2011 that aims to develop and evaluate a tool using Metaphors which can be used to help learners autonomously reflect upon their implicitly held learner beliefs, with a view to promoting language learning practices appropriate to the individual and addressing any issues of learner beliefs which may be preventing effective learning, it was found that the metaphors produced by the participants were representative of their implicitly held beliefs and the process resulted in an increase in perspective consciousness in all of the participants. In the case of teacher training, metaphor was used to facilitate reflection, which resulted in the development of the beliefs of the subjects.

The purpose of Bechtel's 2011, hermeneutic phenomenological study was to identify and interpret themes in the experience of teacher-learners and the corresponding beliefs embedded in teachers' written reflections. . The study points to the value of written reflection as a learning tool and as a component of effective professional development.

The study by Driscoll, 2012, in a paper presents the findings of an investigation of student teachers' changing perceptions of educational practice following a teaching placement in France, Germany, Spain and Italy. The findings revealed that through reflection and analysis of the differences and commonalties in the diverse cultural contexts, students develop a greater understanding of their professional role and a deeper insight into their own values and beliefs about pedagogy. Their acceptance of taken-for-granted norms is challenged during the bilateral placement, as they encounter new approaches to differentiated learning, teaching and learning strategies and teacher/pupil relationships, thus enhancing their levels of critical engagement with educational practice.

Duijnhouwer et al, 2012 investigated the effects of feedback providing improvement strategies and a reflection assignment on students' writing motivation, process, and performance. Results of the study indicated that in the experimental feedback condition writing performance gained from the control reflection assignment, while in the control feedback condition it gained from the experimental reflection assignment. Improvement strategies negatively predicted self-efficacy beliefs, especially when initial self-efficacy beliefs were low, and positively predicted planning/revising. Reflections on feedback use and the revision positively predicted mastery goal when mastery goal initially was low or moderate.

Tennison 2010, in a study focused on the conceptions of three first-year secondary mathematics intern teachers and examined how these conceptions were manifested in their classroom practices. One of the findings suggest that when their conceptions were classroom tested and challenged during their methods course and mentorship, these teachers were able to make explicit the basis of their conceptions, expose them to critique and analysis, and reshape them or develop new conceptions.

The data collected in the study shows that the teachers held theories about knowledge, learning and learners but they rarely used this knowledge during teaching and learning in the classroom. Apparently the teachers are not aware of the existence of their implicit theories as they have never been made conscious of them during the teacher preparation programme or otherwise. The theoretical understanding about teachers' implicit theories and beliefs is not a part of the teacher education curriculum; as a result, they are not sensitized to their intuitive theories and epistemological beliefs. Teachers need to be accountable for their actions and decisions. it is important for them to engage in reflection using activities that can be of advantage to them as teachers at various stages in their professional career. Reflective practice entails intentional reflection by teachers on their thinking, intuitive theories and beliefs and its impacts on practice.

## **2. Metaphors and Reflection**

Hoa (2009) in her study on processes of knowledge construction in Vietnamese Children found that teachers believed their own roles to be of mother, boat rower and used such metaphors to describe their roles. The most commonly found metaphors were Mother, Boat Rower, Gardner, theatre performer and Commander. According to most teachers in her study, the 'giver – receiver' model of teaching-learning was considered important to support the process of construction of knowledge. The image of a boat rower metaphor, captain of a ship the noble functions of a teacher in taking the learners from unknown shores to known with his/her tireless efforts were highlighted.

Tobin and Tippins 1996 also pointed out that metaphors serve as a link between what is known and what is unknown and provide a connection between images and language. They further emphasized that these two qualities may allow the teacher to build new knowledge and construct better strategies for teaching (in Chen, 2003). Lim Chap Sam (1999) in her study used metaphor analysis to explore adults' images of mathematics. She discusses the possible use of metaphor analysis in exploring adults' images of mathematics. Based on reviews of past literature and the author's own experience of using this kind of analysis in one of the image study, the potential advantages and problems encountered during the study are discussed. Munby 1986 studied some

teachers' use of metaphors in their descriptions of their work, and he concludes that "given the powerful link between metaphor and construction of reality", the use of metaphors prove to be a promising alternative in exploring teachers' thinking.

Cortazzi and Jin (1991) explore teacher's and students' metaphors about teaching, learning and language and found that teacher's accounts of significant learning events are deeply and widely pervaded by metaphors. Chapman 1997 investigated the teaching of mathematical problem solving from a teacher's perspective. The study focused on three teachers and their way of making sense of teaching problem solving. The findings indicated that the participants unconsciously constructed personal metaphors that became the basis of their conceptualization of problems and making sense of their teaching. "Community", "adventure" and "game" were determined to be the key metaphors of the three participants, respectively. These metaphors embodied their personal experiences and personal practical beliefs that provided the unique meanings associated with their classroom processes. The outcome suggested that the study of such metaphors could be a promising avenue in enhancing mathematics teacher education and in problem solving research in the quest to make the teaching of problem solving more meaningful and effective in a classroom context. Inbar 1996 in Saban et al 2007 collected and categorized over 7000 metaphorical images of what a teacher, the learner, the principal and the schools are. According to this study, about 18 percent of the educators perceived students as "empty receptacles" (e.g., student as jar, bottle, container, or cup) while only 7 percent of students' own images came from this group. Again, about one-tenth of the educators' (10.1 percent) metaphors involved images of the student as "clay in the potter's hands" (e.g., student as clay, toothpaste, chewing-gum, or dough) while only about 3 percent of the students' metaphors reflected this conception. Perhaps a more disturbing and critical finding of the study was that about 33 percent of the students and 8 percent of the educators conceptualized the learner as the "captive student" (e.g., student as slave, servant, prisoner, or trapped bird). It appears from these data that most of the educators in the study tended to perceive themselves more in a caring role while the majority of the students tended to focus more on the evaluative and controlling aspects of teaching.

Schinck et al (2008) in their paper report on the beliefs that ninth and tenth grade students have about mathematics. These beliefs were revealed using contemporary metaphor theory. An analysis of the students' metaphors for mathematics indicated that students had well developed and complex views about mathematics including maths as: an Interconnected Structure, a Hierarchical Structure, a Journey of Discovery, an Uncertain Journey, and a Tool. The other common themes that were revealed were that perseverance is needed for success in mathematics and that some students view their role in learning math as active while others view their role as passive. Metaphors seem to provide a powerful cognitive tool in gaining insight into prospective teachers' professional thinking. Saban et al (2007). Saban (2010) investigated the metaphorical images that prospective teachers in Turkey formulated to describe learners.

Farrell (2006) finds that Preservice teachers come to any teacher education course with prior experiences, knowledge and beliefs about learning and teaching. Additionally, the belief systems of preservice teachers often serve as a lens through which they view the content of the teacher education program. Consequently, it is essential that teacher educators take these prior beliefs into account because any new material taught will have to compete with these existing beliefs and theories. However, these beliefs are usually held tacitly. One method of making this prior knowle-

dge explicit is to examine the metaphors preservice teachers use during their practice teaching. Farrells' paper outlines a case study of the metaphors three preservice English teachers used before, during and after a six-week practice teaching experience in Singapore. Results showed that metaphors used can be classified within the following three-part typology: social order, cultural transmission and learner-centered growth.

Saban et al (2007) in their study investigated the metaphors that prospective teachers in Turkey formulated to describe the concept of "teacher". Participants completed the prompt "A teacher is like... because..." by focusing on only one metaphor to indicate their conceptualization of teaching and learning. 10 main conceptual themes of metaphors were identified as follows.

- Teacher as knowledge provider (student as passive recipient of knowledge)
- Teacher as moulder/craftsperson (student as raw material)
- Teacher as curer/repairer (student as defective individual)
- Teacher as superior authoritative figure (student as absolute compliant)
- Teacher as change agent (student as object of change)
- Teacher as entertainer (student as conscious observant)
- Teacher as counsellor (student as significant other)
- Teacher as nurturer/cultivator (student as developing organism)
- Teacher as facilitator/scaffolder (student as constructor of knowledge)
- Teacher as cooperative/democratic leader (student as active participant in a community of practice)

Significant associations were detected between participants' gender and study program type and six of the conceptual themes. Metaphors seem to provide a powerful cognitive tool in gaining insight into prospective teachers' professional thinking.

Teachers' beliefs about teaching and learning influencing their practice are often expressed with metaphors Elbaz (1983); Handal & Lauvas (1987); Thornbury (1991), therefore, it is important to be surfaced and examined. Metaphors are commonly used as a powerful research tool in teacher education programs for eliciting the personal theory of teaching and learning Goldstein 2005; Saban (2004); Saban et al. (2007); Wright et al. 2003. In Kasoutas and Malamitsa (2009). The findings of the study were analyzed according to three theoretical perspectives: (1) the behaviourist perspective, which perceives learning as a passive process of knowledge acquisition, (2) the cognitive perspective, which views learning as an individual process of schemata construction, and (3) the socio-cultural perspective, which conceives learning as an authentic participation in the activities of a social community. The results indicated that the majority of both experienced teachers (57 percent) and prospective teachers (56 percent) shared traditional metaphors depicting teaching and learning as transmission of knowledge. About 38 percent of experienced teachers and 22 percent of prospective teachers expressed constructivist metaphors (e.g., "Learning is like a detective who looks for



things and into things”). While only 5 percent of the metaphors of experienced teachers conceived teaching and learning as a social process (e.g., “Teaching is like a tourist guide who negotiates a route with the tourists”), 22 percent of prospective teachers’ metaphors reflected this conceptual theme. (In Saban et al (2007)

Kasoutas and Malamitsa (2009) while exploring Greek teachers’ beliefs using Metaphors, write in their paper about ‘known difficulties in working with Metaphors’, “conceptual metaphors are not only created but also inherited from the community to which each one belongs. Also cultures embed a changing repertoire of favoured metaphors, which reflect particular aesthetics Fenwick (2000). As a result, persons belonging to the same community tend to prefer specific metaphors frequently oblivious to the meaning constructed and communicated through their use Robertson (2003).”

### **Reflective Teacher Education Programme**

Major characteristics of a Reflective Teacher Education Programme therefore for both Pre service and In-service Teacher Education Programmes must reflect and also importantly cutting across both content as well as pedagogy, comprise the following:

#### **1. Reflection**

It is suggested that teachers engage in active reflection as an ongoing process in their professional life. It was seen that the student teachers at the entry actually responded automatically, without reflecting, which may be attributed to what DiMaggio 1997; Lakin 2006 refer to as ‘Automatic Cognition’. **This is the routine, everyday cognition that relies heavily upon culturally available schemata or knowledge structures that represent objects or events and provide default assumptions about their characteristics, relationships, and entailments under conditions of incomplete information have been referred to as ‘Automatic Cognition’ by DiMaggio (1997). This, in the terms used by D’Andrade (1995) is «implicit, un verbalized, rapid, and automatic».** The student teachers as well as in-service teachers therefore need to be cognizant of their implicit theories in order to challenge the ones that are not in congruence with the stated goals of education and replace these with more compatible ones. For experiences to grow into implicit theories that can be expressed or verbalised it is imperative that teachers engage formally in the process of reflection. The importance of written reflection as a learning tool and as a component of effective professional development for in-service programmes too, cannot be denied.

#### **Models of reflection**

Platzer et al (1997) has identified that learning through reflection is more potent if there is an understanding of frameworks that encourage a structural process to guide the act of reflection. There are models to help one engage in the process of reflection. It is important to choose the model that one feels most comfortable and helps one in learning from their own experiences. The process of reflective writing enables one to gain knowledge and also challenge the concepts and theories by which one makes sense of given knowledge. When one reflects on a given situation he or she sees differently. The different way of viewing a situation is reflected in statements about a commitment to action. Action is the final stage of



reflection according to Atkins and Murphy (1994).

Though the Models vary in their levels of prescription, explanation, criticality and reflexivity, but most share a focus on reflection as being essentially retrospective (Schon's reflection-on-action). Quinn (1988, 2000) suggests that the different models all tend to involve three fundamental processes:

Retrospection: i.e. thinking back about a situation or experience;

Self-evaluation, i.e. critically analysing and evaluating the actions and feelings associated with the experience, using theoretical perspectives;

Reorientation, i.e. using the results of self-evaluation to influence future approaches to similar situations or experiences." (Quinn, 2000)

Van Manen (1977) identifies three levels of reflection. At the first level of technical rationality, is concern with the efficient application of the knowledge. The knowledge one has gain should be applicable without any social barriers, its purpose is to attain the end which are accepted as given. At the second level is concern with the clarifying the assumption and predisposition while assessing educational consequence towards which an action leads. Teacher analyzes the student behaviour to see if and how goals are met. Third level is critical reflection. Teacher is concern with worth of knowledge which leads towards the life which is meditated by concern for justice, equity and satisfies human purposes. Teacher will ask him/herself about the lesson that what part is important or changes to be made and how according to the need of the child.

## **2. Mentoring**

An effective Mentorship programme needs to be introduced at the pre-service and in-service levels to provide to them support in order to improve upon their knowledge and skills and also provide for opportunities for guided reflection. Regular teachers' engagement with the prospective teachers will enable them to dialogue with each other on a range of aspects of education and also share and reflect on their beliefs and practices. This will develop a partnership between the colleges of education and the practice teaching schools. Such opportunities may also be made available to the in-service teachers.

## **3. Personal and Professional Growth of Teachers**

The circumscription of the school too is so rigid that they are not able to reconcile the incongruence between the ideal and the real and therefore are not able to sustain. It is for this reason that there is a need for personal as well as professional growth of In-service teachers. Newly formed substructures during the teacher education programmes need to be reinforced by providing opportunities within the school and also in the form of In-service programmes for teachers at regular intervals.

## **4. Metaphors**

The Dictionary defines a metaphor as a literary figure of speech that uses an image, story or

any tangible thing to represent a less tangible thing or some intangible quality or idea. Metaphor is a Greek word, which means transfer (meta means trans, or “across”; phor means fer, or “ferry”) (Fenwick 2000, in Kasoutas and Malamitsa 2009). It is also described as a figure of speech in which an implied comparison is made between two unlike things that actually have something in common. A metaphor expresses the unfamiliar in terms of the familiar. A Metaphor is also observed to be used to express a phenomenon or a situation in familiar terminology. According to Senge (1990) in Farrell (2006) these are ‘what humans carry in their heads’, in the form of images, assumptions and stories, and not only determine how we make sense of the world, but how we take action’. According to Clandinin (1986) metaphors are indicators of the ways in which teachers think about teaching and also guide the way they act in the classroom.

Metaphors reflect the insight about teacher content knowledge and its enactment when teachers teach. Metaphors are acknowledged as elemental constituents of human cognitive processing that have a useful place in teacher thinking research today.

According to Lakoff and Johnson (1980), ‘a metaphor is one of the most important tools for trying to comprehend partially what cannot be comprehended totally: our feelings, aesthetic experiences, moral practices, and spiritual awareness. These endeavours of the imagination are not devoid of rationality; since they use metaphor, they employ an imaginative rationality. Metaphors also relate to reality as many of us share the same insight shown by using the same metaphors. The metaphor helps to highlight certain features of reality while forcing others into the background, and thus points to the most relevant and important features of the situation’ Tubin (2005).

‘Metaphors reflect beliefs and ‘beliefs focus people’s perceptions. They determine which features of a new situation will be selected. The mind then tries to find a match for those features in prior experience’ (Yero, 2002). The essence of a metaphor, according to Lakoff and Johnson (1980) is the understanding and experiencing of one kind of thing in terms of another (Farrell, 2006). “A teacher who believes students learn through active interaction with their environment will perceive the same levels of noise and motion, but with a more positive interpretation and a different “feeling”. The teacher may unconsciously find a match in situations where productive activity is taking place such as a beehive or a construction site. To this extent, a metaphor a person uses reflects that person’s beliefs” (Yero, 2002).

Metaphors have been found to be contextually and culturally rooted. The choice and use of metaphors is also influenced by the situation in which those metaphors are to be used; different situations may bring about different metaphors in the same teacher and different teachers in the same situation. Difficulties with the interpretation of metaphors include: (i) too many possible interpretations; (ii) some are too ambiguous and abstract to be interpreted; and (iii) they can be interpreted differently by different researchers (Lim, 1999; Glucksberg et al., 1992; in Kasoutas and Malamitsa, 2009).

Though it is true that a Metaphor analysis may not decipher and uncover teachers’ true beliefs as uncovering or unpacking beliefs or personal theories requires a detailed qualitative analysis, it however, certainly helps us to gain deeper insights into teacher’s thinking and expand our understanding of teacher’s beliefs and the routes that they take.

Metaphors in various researches have been used as a tool that can be used to help learners

autonomously to reflect upon their implicitly held beliefs. Metaphor is now extensively recognized as a cognitive phenomenon, thus, exploiting the use of metaphor as a tool to examine aspects of the subconscious as well as implicitly held beliefs especially in the area of teacher education may facilitate reflection leading to effective teaching.

## **5. Writing Case Studies**

- (a) Writing diaries and case studies will go a long way in helping prospective teachers develop problem solving skills and thereby helping them in understanding the various courses of action available to them.
- (b) Prospective teachers will be able to unearth their beliefs about various issues in education throughout the teacher education programme by writing case studies. These may also be introduced in the in-service teacher education programmes.
- (c) Teachers will be able to illuminate and change the understanding of their own actions which will result in a change in their personal theories and as a consequence their practice.
- (d) Teachers are able to focus on self investigation and the classroom discourse.
- (e) The narrative nature of the case studies will help in building and also in translating experiences that would bring about a change in beliefs and pedagogical decision making by teachers.
- (f) Metaphors help us ascertain how we perceive the world and also how and why we take action these must therefore be a focus of dialogue in teacher education programmes. When teachers reflect on their actions and write case studies, it has been seen that they also use Metaphors. The analysis of Metaphors that the teachers use helps them to reflect on and assess their own beliefs and personal theories. Teachers are then able to inspect their own behaviour and also are able to reflect upon how these impacts their own actions in the classroom. The metaphors thus can effectively be used as a tool for teachers to reflect upon their own actions.

## **6. Flexibility in the Existing Structure with Respect to more Time and a Formal Internship**

Possibility of Flexibility in the existing structure with respect to more time and a formal internship in the existing programmes to ensure more time and curricular space for reflection-in-action and reflection-on-action. This needs to be looked into and discussed at various platforms involving all the stake holders i.e. the policy makers, the schools, the teacher educators and the prospective teachers. Dissemination of studies and good practices is also very important.

## **7. Diary Writing**

Diary writing has been found to be an effective process for teachers to reflect on their actions. It enables a teacher to write down her reflections and read them through to reassess her actions. The diary writing by the prospective as well as the in-service teachers needs to reflect the major aspects of their teaching and it must be able to answer certain questions such as:

- 1. What are my beliefs about knowledge, learning and learners?
- 2. How can I explicate any beliefs that I hold and bring them to a cognizant level?

3. To what extent am I able to reflect to make my beliefs explicit?
4. Do my beliefs about knowledge, learning and learners hold true and do they match with reality about the 'what' of knowledge, the 'how' of learning and the nature of learners?
5. What are the variations that I come across and do I need to review my beliefs considering these variations? If my beliefs do not match with reality, then what are the discrepancies in my beliefs about various issues in education?
6. What are the strategies by which I can be mentally vigilant and be tenable, to the nature of Knowledge, learning and learners?
7. What is worth teaching? Did my learners learn what I intended to teach?
8. Is it possible that discussion with my peers, updating myself through a conscious effort, keeping abreast in my area be made more challenging and stimulating?
9. How did my students learn what I taught them? How do my students actually learn? If I see a discrepancy, how is it possible to bridge this gap?
10. Why did my students learn what they learnt? In what ways does their learning process match my beliefs about learning?
11. Do I see diversity in the way my students learn?
12. Is my teaching effective? Does my actual teaching in the classroom match with my belief about 'effective teaching'?
13. What changes can I make in my teaching so that I can make it more effective? How?
14. Are there any practices that do not match my beliefs and do I need to rethink about them?

These actions taken by the teacher will go a long way in making their beliefs and personal theories explicit which will then also become a focus of dialogue leading to the improvement of teaching and learning in schools. Teachers need to be persuaded to organise their thoughts, see the associations with theories and also make conscious efforts to posit and hypothesize. In a study by Chan (2003) on beliefs where results give support to researchers' assumptions in the literature that 'teachers' conceptions and class teaching are beliefs driven and if teacher education students are able to make their beliefs explicit, it would help their learning 'how to teach' through discussion and analysis of what they believe to work in their teaching.' Chan (2003) also adds that 'epistemological beliefs are expected to become more significant in the analysis of teacher education, not only in understanding meta-cognitive activities and processes of learning how to teach but also in understanding strategies for the selection of prospective teachers.'

Teacher preparation programmes need to endeavour at cultivating in students an inquiring attitude and the abilities to learn by analysing and reflecting on their actions. The teacher educators need to take prospective teachers' prior beliefs and personal theories while planning their teaching strategies and providing experiences that allow for reflection to bring about

changes in teacher education.

In order to structure effective learning environments that promote reflection, teacher educators and policy planners need to draw on research related to teachers' beliefs and personal theories and also use effective, culturally relevant tools and strategies to bring forth and challenge their beliefs.

### **Areas for further research**

Teacher Beliefs or Teacher Personal theories is still an area where there remains much to be uncovered, it is more so because there are no studies conducted before this study on any similar area in our Country. It therefore becomes imperative that we research this interesting as well as relevant area and conduct many more studies in this area in India.

1. Longitudinal studies can be conducted to investigate the course that the teacher personal theories take once the prospective teachers join as regular teachers and also see the change in beliefs over a period of time on the same sample.
2. Different roles played by age, gender and fields of study on the development of personal theories or beliefs would give us a deeper insight in the Teacher Beliefs research.
3. Studies in different contexts such as rural and urban areas, regional and religious studies can also be conducted to see the variations if any in their beliefs and the metaphors that they use.
4. Comparative studies of pre-service and in-service teacher education students from different teacher education programmes such as Bachelors in Education, Bachelors in Elementary Education, Junior Basic Training, and Nursery Teacher Training etc. may also be conducted to study the effect of their different entry and exit beliefs.
5. A study of teacher personal theories in different contexts i.e. different type of schools viz. Government, Government aided and Private schools especially in the Indian context may reveal the relationship, if, any between the teacher personal theories and the school culture.

### **Conclusion**

There is therefore a need to generate a collective think-pool which provides space for both these categories (Preservice and Inservice) of teachers to express themselves freely and undertake the responsibility of their own development. Self reflection is basic to such an endeavor. There seem to be no alternative to reflective practices. At the outset there is a need to demystify the specialized discourse and locate the issues in the real educational settings; reconcile opposing positions and negotiate for effective practices; develop a discourse in teacher education which directly addresses important issues as they are experienced in the real settings rather than addressing them with fixed, preconceived notions drawn from disparate theories. Teacher needs to be seen as an active thinker capable of self development and striving for self-actualization. (Baveja, 2007).

Both theorists and researchers have pointed towards the need to capitalize on the ability to think and reflect, with which humans are naturally endowed. Interpreting experience according to fixed notions derived from alien theories causes confusion and cynicism. The teaching needs to be conceptualized as an ongoing process of contemplation - a never ending search for truth –an evolutionary process of self-development. Needless to say that the debate on effective practices in teacher education and education in general has to be situated in the realm of 'Reflection' and this is the need of the hour.

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BEST PRACTICE AND BEST FIT APPROACHES:  
THE PANACEA FOR QUALITY PROMOTION  
AND ASSURANCE IN THE HIGHER INSTITUTIONS IN NIGERIA

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Abstract

This study is on 'Best practice and best fit approaches: A panacea for quality promotion and

assurance in the higher institutions in Nigeria.’ The study is a bilateral course cross examining two different approaches. In one hand, best practice approach emphasizes the set of Human Resource Management Practices that are best identified, having the ability to consistently show result superior to those with other means as well as used as reference points. The practices as discussed in this study include: Employment security, selective hiring, self- managed teams, high compensation contingent on performance, training to provide a skilled and motivated workforce, reduction of status differences, and sharing information. On the other hand, best fit approach emphasizes the use of a particular practice/approach from the set of best practices to solve a particular problem considering situations at hand. In view of the above, therefore, contingency approach is further used to reconcile the best practice and the best fit approaches in the study. Multiple choice questioning, observation and team management were adopted in the study. The study examined the models to promote and assure workers quality in the higher institutions in Nigeria and investigated the rationale that would make the Nigerian higher institutions be among the best 20 higher institutions in Nigeria. Fusion of power in decision making, lack of steady oversight functions in the higher institutions, lack of communication link and corruption are the major problems observed in this study. A work titled ‘Academic Motivation and self-esteem as correlation of academic achievement of students in secondary schools’ was adopted and examined in this research. The study in all, proffered solutions to the problems confronting quality promotion and assurance in the higher institutions in Nigeria for better days ahead.

## Introduction

Following the discovery of quality promotion and assurance as the means for positive change in the teaching and learning process in the higher institutions of the world, various categories of researchers, scholars and practitioners have been engaged on debates on achieving the long desired quality promotions and assurance. In view of the above, therefore, certain practices/ approaches have been widely proffered by categories of people, all calling for curriculum reform in the higher institutions of the states (countries). Among the approaches projected to be considered while preparing the education curricula of countries as it concerns higher institutions are: the Best Practice and the Best Fit Approaches.

The Best practice and the best fit approaches as enunciated by wright and Memahan (1992), are essential approaches needed to be adopted in the curricula of the higher institutions of different states (countries). According to the authors, the approaches are the way forward for quality promotion and assurance in any institution of higher learning. The both of them involve, first, vertically the linking of human resource (staff) management process of the organization. Second, horizontally emphasizes the coordination or congruence among the various Human Resource Management Practices. The former is the best practice approach while the latter is the best fit approach.

### Best Practice Approach

The term 'Best practice has been used to describe 'what works' in a particular situation or environment. According to a research in a wikipedia (2015), best practice is referred to as the method or technique that has consistently shown result superior to those achieved with other means, and that is used as a bench mark. In addition, a 'best' practice can evolve to become better as improvements are discovered. Best practice is considered by some as a business buzzword, used to describe the process of developing and following a standard way of doing things that multiple organizations can use.

For Lawes (2015), best practice is the best identified approach to a situation based upon observation from effective organizations in similar business circumstance. A best practice approach, therefore, means seeking out ideas and experience from those who have undertaken similar activities in the past, determining which of these practice are relevant to a situation, testing them to see if they work, before in cooperating the proven practice into your own documented processes.

Best practice is all about not re-inventing the wheel, but learning from others and implemen-



ting what has been shown to work. Best practice techniques can be applied in all works of life. However, this study focuses on academic (higher institutions) though in reality, these principles apply anywhere.

According to Armstrong (2008:33), This approach is based on the assumption that there is a set of best HRM practice that are universal in the sense that they are best in any situation, and that adopting them will lead to superior organizational performance.

In line with the importance of the strategic fit, Pfeffer (1993), has the following as the best practice list: Employment security, selective hiring, self-managed teams, high compensation on performance, training to provide a skilled and motivated work force, reduction of status differentials, and sharing information.

- v Employment Security- Pfeffer (1998), maintains that employment /security when reflected in the curricula of the higher institutions of the states, has a lot to do with improving teaching and learning process any where. Job security according to Maslow (1970) as is captured by Ezeani (2006:139), is the second need of a worker. It includes the need to be free from physical danger and the fear of loss of a job, property, food, clothing, shelter (Koontz et al, 1983:636). This means that for quality promotion and assurance to be obtained in the higher institutions, there must be employment security. For the western /modern industrial man, the security need must take form of job security before other security needs (Ezeani 2006:139).
- v Selective Hiring- Okpata and Nwali (2012), in emphasizing the components of human resources who are on contract of service and contract for service, state categorically that in hiring the workforce, true selection must be done. This is to make sure that the personnel have the best practices so as to give room for qualitative service in the institution. When tactical and fair selection are used in hiring of employees in higher institutions, a small number of qualitative staff will produce a bigger (qualitative and quantitative) output in both short and long terms.
- v Self-Managed Team- Elton Mayo's Human Relations Movement of 1939 brought co-operation and strengthened self-managed team system among staff. This system posits that when workers form team among themselves, their quality is bound to be promoted and assured. Team management system in higher institutions enables staff especially academics sharpen themselves. This is as a result of idea shared among the team members on the trends in teaching and learning. In the team, skills/ techniques are displayed and taught to members. It, therefore, gives the novice the ability to be knowledgeable

and makes the expert become versatile and more professional in what they do.

- v High Compensation Contingent on Performance- Ezeani (2006:15 2), advocates that money, whether in the form of wages, pay, bonuses, stock options, company –paid insurance, piece of work or any other incentives that may be given to employees for performance is a very important motivational technique. However, compensation for performance can also come in form of promotion, change of post and office, procurement of equipments, materials (mechanical and non mechanical), etc. For quality to be promoted and assured highly in the higher institutions there should be timely change in the compensation formulae.
- v Training to Provide a Skilled and Motivated Workforce- In his words, Armstrong (2009:675), explains training to be the use of systematic and planned instruction activities to promote learning. He further states that the approach could be summarized in the phase learner-based training. Training and retraining strategy is a practice that provides a skilled motivated workforce in the higher institutions. Since the teaching and learning practice is transitional in nature and a lot of trend come up and go seasonally and unseasonably, a teacher in the higher institution is to stand test of time. This is because what is in place at a particular time when a teacher is trained may be outdated the next time. In view of this, there must be training and retraining of teachers often and on. This can be sponsored by the individual teacher, some academic and donor agencies, and/ or the management of the higher institution etc. The training and the retraining system takes different forms. It can be done through wide reading and researching using hard copies and the internet. Others include attending conferences/ workshops and listening to lectures etc. These, in a high measure, promote and assure quality in the higher institutions.
- v Reduction of Status differentials- In the higher institutions, different academic, social, economic, political, religious strata exist. This is as result of experience, qualification, year in service and many other reasons. These in different ways are means of quality promotion and assurance in the higher institutions. However, if it is not managed appropriately, it will cause more harms than good. This means that despite the differences among the academia, people should not be discriminated against because of any form of low status of theirs. On that note, when team-based system is adopted, the team mates should be varied having workers with differences without discrimination of any kind.
- v Sharing Information- Adequate sharing of information among the workforce of the higher institution is a means of quality promotion and assurance. It helps workers co-

operate and gain knowledge on any trend as well as tap knowledge on the way forward for such a trend. Sharing information has channels and formulae.

Okpata (2006), elucidates, '... information management requires flexibility in the flow of information that is relevant and timely in order to formulate policies and implement decisions.' Further more, the author argued that information should flow in four patterns, downward, upward, lateral and diagonal encompassing mixed communication flow. The information flow in a large existence is a promotion and assurance to quality which in turn gives job security, lives and property in an institution.

In another dimension though in line with the best practice approach, Guest (1999), has the following as the list of best practices that are capable and assuring quality in the higher institutions of different states (countries):

- v Selection and the careful use of selection test to identify those with potential to make a contribution.
- v Employee share ownership programmes to increase employee's awareness of the implications of their actions on the financial performance of the firm.
- v Training and in particular, a recognition that training is an ongoing activity.
- v Communication to ensure that a two –way process keeps everyone fully informed.
- v Job design to ensure flexibility, commitment and motivation, including steps to ensure that employees have the responsibility autonomy fully to use their knowledge and skills.

#### Importance of Best practices approach

The importance of Best practices approach are as follow:

- v Provide assurance and reassurance as to the proven processes
- v Confidence to rely on teachers institution and enabling academic activities
- v Clearly defined process and contacts to handle problems that arise in teaching and learning
- v Clarification of costs and monitoring service levels-better informed management.
- v By adopting Best practice, academic institutions achieve a consistent and comprehensive approach to service management, ranging from employment, through service delivery, training

ning and consultancy. ([www.itsmf.org.au/best-practice/about...](http://www.itsmf.org.au/best-practice/about...))

Again, Pratt and Bennett (1979), stress on quality promotions and assurance using the Frederick Herzberg's Motivation-Hygiene Theory. In it, he enumerates four (4) points that would promote the quality and the effectiveness of workers as well as four (4) points that would demote the quality and the effectiveness of a worker.

#### Motivating (Quality promotion) Factors

The following factors greatly motivate workers, assure and promote their qualities:

- v Great achievement of the workers.
- v Recognition of the workers by the superior officers, work mates and /or the management of the institution.
- v A very satisfying nature of work itself.
- v Assigning of responsibilities to the workers to perform time to time.
- v Advancement, specialization and gathering of more experience in the services.

The above factors, when enshrined and well spelt in the curricula of the higher institutions of the world assure and promote quality greatly.

#### Best Fit Approach

The best fit approach as elaborated by Armstrong (2009:35), can be perceived in terms of vertical integration or alignment between the organization's business and HR strategies. It is an approach in line with contingency theory and it emphasizes that HR strategies should be congruent with the context and circumstances of the organization. The approach has models and strategies capable of assuring and promoting quality in any higher institution. The models are as follow: the life cycle, the competitive strategy, and the strategic configuration.

#### Lifecycle Best Fit Model

According to Baird and Meshoulam (1988) in Armstrong (2009: 35), lifecycle best fit model has the following basic premises:

Human resource management's effectiveness depends on its fit with the organization's stage of development. As the organization grows and develops, human

resource management practices and procedures must change to meet its needs. Consistent with growth and development models, it can be suggested that human resource management develops through a series of stages as the organization becomes more complex.

In line with the above, four (4) stages are deduced to take place in the lifecycle of any institution as follow: Start-up, growth, maturity and decline. However, the first three stages are positive to any institution. Therefore, for the higher institutions in the whole world including those in Nigeria to grow qualitatively, it must have human resource strategies in congruent with the recent context and circumstance of the institutions.

### Competitive Best Model

The competitive strategy stresses on any institution having quality advantage over the institutions of likes. Porter (1985), therefore postulates the following as the competitive measures (advantage) any (higher) institution can have and it will serve as quality promotion and assurance: innovation, quality and cost leadership.

- v Innovation- Innovation here implies that quality and effectiveness are promoted and assured when there is best (unique) production of goods and service in any institution. This emphasizes introduction of new method or patterns of doing things in higher institutions.
- v Quality- For there to be promotion and assurance of quality in the higher institution, there must be best quality of human resource in the institution. It helps in producing graduates qualitative enough to serve the society in various capacities.
- v Cost Leadership- The management of expenditure by the higher institutions is another strategy that gives quality promotion and assurance in the institutions. In his words, Ezeani (2006:152), ‘.... people in various positions, even though at a similar level, must be given salaries and bonuses that reflect their individual performance. Gettermann (1968), in Ezeani (2006:152), finally adds that money could motivate people and promote quality only when the prospective payment is large relative to a person’s income.
- v Strategic Configuration- According to Miles and Snow (1978), four (4) types of organizations exist. The organizations have peculiarities and uniqueness. The strategic configuration deals with matching the right (best) strategy to any of the ideal organization/institution. To do this correctly in any institution, the institution type must be understood and the strategies that fit it determined and applied. The strategies include: Job security, hiring of specialists, team-based management, good remuneration, training and retaining of staff, reduction of

discrimination, sharing of information, cost leadership, innovation etc.

Miles and snow (1978) in Armstrong (2006:36), carefully identify the four (4) organizations with the first three as ideal: the prospectors, Defender, analyzers and Reactors.

- v Prospectors- These operate in an environment characterized by rapid and unpredictable changes. Prospectors have low levels of formalization and specialization and high levels of decentralization. They have relatively few hierarchical levels
- v Defenders- These institutions operate in a more stable and predictable environment than prospectors. They engage on more long-term planning. They have more mechanistic or bureaucratic structures than prospectors and obtain coordination through formalization, centralization, specialization and vertical differentiation.
- v Analyzers- These institutions are the combination of the prospector and defender types. They operate in stable environments and market where new products are constantly required, like prospectors. They are usually not the initiators of change like prospectors but they follow the changes more rapidly than defenders.
- v Reactors- These institutions are unstable organizations existing in what is believe to be an unpredictable environment. They lack consistent well-articulated strategies and do not under-take long- range planning.

Relevance of the best Practice and the Best fit Approaches in Teaching and Learning in the Higher Institutions.

Due to the inability of any approach to close the gap in any institution of higher learning because of the incompleteness of the approach, there is the need to combine the best practice and the best fit approaches to enhance quality promotions and assurance in the higher institutions in Nigeria. In other words, the application of the best practice and the best fit approaches/ strategies in teaching and learning in the higher institutions has several implications.

Therefore, the following relevance have been exposed in this study through the best practice and best fit approaches:

- i. The exposition and the understanding that every employee in the higher institutions needs job security to perform.
- ii. The need to employ capable (qualified) staff in the higher institutions.



- iii. The understanding that team-based management is a strategy for quality promotion and assurance in the higher institutions.
- iv. Lifting up campaigns for training and retraining staff as the means for bringing quality promotion, assurance is the change needed in the higher institutions.
- v. The need to motive workers through incentives for effectiveness and efficiency.
- vi. The need to share information among the work force to shun ignorance on the trends in the institutions.
- vii. The needs to adopt human relations approach as a means of shunning status differentials in the higher institutions.

Other Implication of the approaches in the higher institutions include:

- v The exposition of the different lifecycle of any (higher) institution and the strategies needed in the institution.
- v The understanding of the importance of innovations, quality promotion and adoption of cost leadership in running the higher institutions.
- v Finally, the need to develop and adopt some configuration strategies capable of promoting and assuring quality in the higher institutions all over the world.

#### Implication of Best Practice and Best Fit Approaches

Best practice and best fit approaches are systematic and professional approaches to quality promotion and assurance in academic service provision. Such practices are based upon the combined experience of academic experts and they can provide teaching and learning services, skills or techniques with:

- v A proven, quality approach to service delivery.
- v Increased students/ scholar satisfaction.
- v Minimized risk.
- v Reduced costs.
- v Improved communication among the academic staff, the management and the students.

#### Research Focus Thesis Statement

## Research Objective

In broad terms, this study underscores best practice and best fit approaches as the panacea for quality promotion and assurance in the higher institutions in Nigeria.

In specific terms, this research does the following:

- v Ascertains the level of relationship existing among the management, the teachers and the students in the institutions of higher learning in Nigeria for quality promotion and assurance.
- v Examines the steps employed by the management of the higher institutions to meet up with the best practice and best fit principles for quality promotion and assurance in the higher institutions in Nigeria.
- v Determines the variables employed in making Nigerian higher institutions fall among the best 20 higher institutions in 2020.

## Research Hypotheses

The hypothesis method employed in this work is only null hypothesis.

H01. There is no significant difference between the mean ratings of the level of relationship existing among the management, the teachers and the students of higher learning in Nigeria.

H02. There is no significant difference between the mean ratings of the steps employed by the management of the higher institutions to meet up with the best practice and best fit principles for quality promotion and assurance in the higher institutions.

H03. There is no significant difference between the mean ratings of the variables employed in making Nigerian higher institutions fall among the best 20 higher institutions in 2020.

## Statement of Problem

In the words of Akpagu (2007:4), the major challenge facing public institutions in Nigeria is how to retain an executive and a legislature with strong authorities required to ensure disciplines while providing checks and balances that guarantee quality promotion and assurance through the use of best practice and best fit approaches. The situation boils down to the manner of recruitments of academic staff into the higher institution in Nigeria. Best practice and best fit approach entails that whenever there is recruitment exercise in the institutions, those who should be recruited must be those with proven capability and willingness to teach the students.

This however, shows that lack of checks and balances on the recruitment exercise of the higher institution is regarded to be responsible for the low quality promotion and assurance seen in the education system in Nigeria.

In the same vein, Ude and Okoro (2014), re-emphasize that public institutions in Nigeria face different problems due to lack of steady and accurate oversight function of the legislature on the recruitment bodies or committees in the institution. Some of those problems according to the authors include: Faulty recruitment, faulty and frequent posting of incompetent supervisors, undue advancement, false reporting and party and executive influence on the work force.

For Ezeani (2006:311), certain government officials (including those in the higher institutions) resist policy evaluation due to one thing or another. Nevertheless, through supervision, monitoring and evaluation by the legislative or executive committee, best practices and best fit approaches may be better upheld. It is however, the absence of good supervision and monitoring that posit great problems to quality promotion and assurance in institutions of higher learning.

Furthermore, Johari (1989:280), enunciates that when all the managerial powers are enshrined in one hand, there will be problem of maladministration in the case of staff placement and replacement. In other words, Johari is of the opinion that there should be governing body meant to always scrutinize the employment, placement and replacement of staff in the higher institutions. Such can be board of directors comprising the office holders in the institutions with or without outside directors or members.

It is in line with the above that John Locke in Johari (1989), states that it might be to a great temptation to human frailty, apt power for the same persons who have the power of making laws (institutional policies) to have also in their hands the power to execute them, where by they may exempt themselves from obedience to the laws they make –very badly, fusion of all role including the power to absorb and fire staff can said to play down on the quality of staff had in the higher institutions of any country.

Aguda (2012), seriously associates himself with those who believe that corruption has affected the practice of choosing the best people who fit the job of teaching and producing quality students with the ability to compete anywhere. He maintains that while bribery and corruption could dangerously undermine any system of government, they are not as fundamental in the damage they do to a unit of government as the breach of principles of rule of law, equity and justices in every higher institution.

Jaja (2012), in his contribution notes that the scourge of corruption in public sectors calls for serious concern. This is because many government institutions suffer corruption of different kinds. Corruption in the organizations gives room for the use of inefficient and ineffective staff in the higher institutions. Wrong staff (teachers) are employed and retained even when they do not deliver. Sanctions are not also administered to those who go contrary to the academic principle (ethics and values). The heads and managers of the institutions are supposed to stop the act of waste.

Okpata (2006:247), observes that management information system is a vital tool of any organization that wants to remain in touch with current trends. It helps knowing trade or business and at the same time meeting set objectives against inefficiency and ineffectiveness. Moreover, in any higher institution for that matter, information is required for all types of decision and at all levels of the management process especially in staffing. The author stresses that MIS also helps a university to monitor and measure the quality and standard of teaching, correlate lecturer student ratio, know the enrolment, identify decaying facilities, anticipate programme expansion in relation to societal dynamics and demands, monitor and evaluate trends in pattern of students choice of courses and respond to changes in the students' requests for changes of academic programmes and so on.

All these channels have been affected in one way or the other by the development of the computer as an essential component of the MIS. The present status of the formal and informal communication in organizations has been bestowed on us by the development of the computer. (Okpata, 2006:245).

The above implies that computer illiteracy or lack of knowledge on computer operation posits serious challenge to the management of tertiary institution. This is because when the policy makers and policy implementors lack computer operation knowledge, they find it very difficult to actually follow the trend. Some of the decisions made may not be quick and perfect. As such, recruitment process may be absurd.

### Methodology

According to Obasi (1999), and Berg (1995), there are two broad methods of generating data for education and social sciences research. The methods of data collection as used in this study are Observations and Self Report. Observation permits data generation through actions or event or actions as they occur or observe traces of records relating to the event or actions. Self report involves the use of question naira and or interview which is direct in nature to repot actions as they are.

Researchers employed Team Based Management System and Decision Method where the researchers had opportunities of brain storming and having direct contact with the respondents. The reason is to ensure accuracy of data collected to make the result reliable.

## Results

The following are the main findings of the study:

- v Work discipline provides checks and balance and they guarantee quality promotion and assurance.
- v Oversight functions of the legislature and executive help a lot in ensuring the maintenance of best practice and retaining best fit approaches respectively.
- v Official resistance of policy evaluation due to one thing or another posits a serious threat to quality promotion and assurance in higher institutions in Nigeria.
- v Bribery and corruption have been discovered to stand against the practice of best fit in the enrolment and training exercise in tertiary institutions.
- v Information and communication technology is highly needed for the up keep of standard in the institutions of lighter learning.

## Practice Focus Framework

### Previous Research

‘Academic motivation and self- esteem as correlations of academic achievement of students in secondary schools.’ This work was written by Rev. James A. Ekpe (2013). The research examines the relationship among academic motivation, self – esteem and academic achievements of students. This study came as of the persistent poor performance of students in schools as some authors have attributed academic failure to lack of best practice and best fit approaches application in the schools.

Descriptive survey design was employed in the study. This design involves a systematic collection and presentation of data given a clear picture of a particular action, correlation and certain variables in a study population at one point in time. It was implemented by expressing the variables in the study and analyzing them respectively. The setting was particularly in Abakaki Education Zone in 2010/2011 section. It was done with the class IV students.

## Outcomes

In the implementation, the researcher learnt that the academic performance of the students improve when the teachers are highly qualified to teach. Another thing is that there should be significant relationship between the learners and their self esteems with reference to the level of self esteem the teacher has and shows.

### Strength Identified

The strengths identified in the study are as follow:

- v The research was practically done and as such the real issues affecting students were x rayed.
- v The setting and the targeted group were appropriate. The group therefore, can represent the teeming students of middle school age.
- v The methodology employed (design, area of study, scope, population, sample size, technique etc) were all suitably applied in the study.

### Weaknesses in the Study

The following are the weaknesses noticed in the study:

- v The researcher has no theoretical framework
- v The hypotheses were small and it could not cover all the scope of the study

### Implication

The implication the study has for future practice is that any other researcher writing on a related topic needs to close the gaps created by adding the theoretical framework. A researcher or readers of the work also needs to correlate the objective of the study with the hypotheses.

### Theoretical Framework

The theoretical perspective being inserted in this work is the 'Contingency Theory' developed by Fiedler (1967). The contingency approach other wise called the Fiedler's contingency theory of leadership happens to be the first and perhaps the most popular situational theory (Ezeani, 2006: 178). In the words of Nwori and Omebe (2013: 44), the contingency theory is developed out of the need to integrate the view- points of other schools of thoughts. It advocates that one theory may apply favourably in a particular work environment, but may prove other wise in another work place or even differ among succeeding leaderships of the same organization. The idea here is that though there can be some sets of practices that can be workable in situations



but these sets of practices cannot be applied in all situations or always by every body. A leader of a group therefore, needs to choose among the best practice, the best fit approach to solve a problem at hand depending on the situation, trend or contingency of the moment.

Koontz et al (1983:667), in relating leadership activities with contingency, emphasize that a leader has the ability to exercise influence and it depends upon the group task situation and the degree to which the leader's style, personality, and approach fits the group.

## Relationship

### Relevance of the Study

Contingency approach emphasizes critical and current examination of an issue/ case alongside the most (best) fit approach that can tackle the issue considering the time, environment/resources (human, material, finance, technology, and time) available. Emphatically, this study is on best practices and best fit approach for quality promotion and assurance in higher institutions in Nigeria. In the light of the above, contingency approach therefore, has relationship with the study because the two advocate that not every best approach is appropriate in every situation. It means that in the higher institutions, to solve a particular problem, there must be thorough examination of the issue at hand before the adoption of any approach for it. In the class for instance, a teacher who incidentally is the master and the leader of the class needs not apply every of the principles in his disposals to solve a problem.

Practically, a teacher in year one (EBSCOE, IKWO) gave some assignments to his students. The assignments were done by some students while they were not done by some students. The teacher had some options as punishment measure. Some of them included not collecting the assignments, collecting and dumping the assignments, reducing some marks accruing to the students and or asking the students not to attend his class again. To tackle this problem therefore, only the most suitable (best fit) approach that could be used depended upon the issues surrounding the failure of the students doing the assignments and the other chances left for the students.

Again contingency theory is significantly in congruent with this study since there is an agreement that there is no group of people that can be said to be qualified to work in all fields of endeavour although there can be sets of people suitable to work in every field of endeavour. The emphasis is on certificate acquisition (specialization), exposition, work experience, age and even sex. Nevertheless, among the sets of qualified people, there must be most qualified/suitable works to be absorbed during employment.

In placement and replacement in higher institutions, there are also most suitable/ qualified tea-

chers for different courses. The emphasis here is again on best fit approach.

In another dimension, in every organization including the institutions of Higher learning, there are sets of motivational factors that trigger the effectiveness and efficiency of workforce. At a time a particular problem may arise leading to low productivity of the workers. To solve this problem, therefore, it is one of the best practices that would be demanded. At that time the practice adopted becomes the best fit approach. The method adopted in choosing the approach is called contingency approach. This shows that contingency approach has relationship with the application of best practice and best fit approaches.

### Contribution

Contingency approach advances knowledge in the higher institutions and in the entire society in the sense that it gives room for thorough examination of issue/case every time. That is to say that there is always current and critical examination of every problem before solution is proffered. Among alternatives, contingency approach gives room for the right or the most appropriate approach to be selected to solve a problem at a time. Contingency approach does not disqualify any approach or approves all approaches for every problem. It rather opens equal opportunities for approaches to be tested. It is the workability of any approach that makes it fit or not at any time. Contingency puts in congruent, change, environment, issues and other wise. So, it is a good approach for solving problems

### Summary/ Conclusion

Best practice and best fit approaches are necessary tools that bring about change capable of guaranteeing quality promotions and assurance in the higher institutions in Nigeria. The best practice has to do with any of the practices that can be adopted any where and in any condition to enhance effectiveness and efficiency in any institution. The practices include: Job security; selective hiring, self-managed team, compensation, training and retraining staff, reduction of status differentials, sharing information etc.

The best fit approach deals with contingency. It looks at circumstance and puts in congruent, the issues under review in selecting the very best strategies to solve the problem at hand. The factors considered include: the lifecycle best fit, the competitive best fit, and the configuration best fit approaches. These approaches, put together assure quality promotions in the higher institutions in Nigeria.

### Recommendation

In view of the above implication of adopting the best practice and the best fit strategies in the

teaching and learning process in higher institutions in Nigeria, the researchers have the following as what to do to promote and assure quality in the higher institutions in Nigeria:

- i. The government and the management of the institutions should always grant the workers job security; it enables work effectiveness and efficiency.
- ii. Individuals who want to work in the higher institutions should develop themselves academically so that they will be qualified to work in any institutions of their choice. They should also continue to develop themselves after employment for more opportunities.
- iii. Team-based system should be employed in the higher institutions to enable the workers put idea together for the management of the institutions. The team mates should also shun discrimination among themselves. They should rather embrace human relations approach for better co-existence.
- iv. The means of sharing information should be provided in the higher institutions. It can be both Local Area Network (LAN) and/or Wide Area Network (WAN).
- v. The management of the higher institutions should always create the avenue for examining and appraising the best strategy adopted any time.
- vi. Innovation, professionalism and cost leadership should be considered in constituting the management of the higher institutions.
- vii. Inter-institutional transfer should encourage in the higher institutions for quality promotion and assurance.

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## **Emotional Intelligence and Perfectionism as factors determining the rate of burn-out in primary and secondary school teachers.**

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### **Abstract**

Currently, several researchers engaged in examining the relationship between emotional intelligence and perfectionism. Salovey and Mayer defined emotional intelligence as the ability of people to monitor their own emotions and the emotions of others, distinguish between them and use this information to regulate their thinking and behaviour (Výrost, 2008). They created first model of skills of emotional intelligence. To measure emotional intelligence they used the performance methods (Schultz, Roberts, 2007). Mixed models of emotional intelligence (Bar-On, 2000) represent emotional intelligence as a set of skills and personality characteristics that can be measured by self-descriptive methods (Schultz, Roberts, 2007). Perfectionism is most often characterized as the pursuit of perfection (Flett, Hewitt, 2004 Stoeber, 2010), or the tendency to maintain extremely high standards (Winter, 2006). Experts have allocated three types of perfectionism: the own person-oriented, socially conditioned and focused on others. All three are part of personal and interpersonal components (Flett, 2008). In the field of research burn-out process and the perfection of the experts and oriented to detect a link between burn out and perfectionism (Greenglass, 1991, Hewitt et al. 2003, Hill, Hall und Appleton, 2010, Tashman, Tenenbaum und Eklund, 2008).

For our work were important two definitions of burnout. The first definition is according to the author of the term burn-out, Herbert Freudenberger, who characterized burnout as the last stage of the process by which people who are dealing with something deeply emotional, lose their initial enthusiasm and their motivation (Freudenberger in Křivohlavý, 1998, p. 49). Maslach and Jacksons (in Pisoňová 2012, p.50) says that burnout is a syndrome of emotional exhaustion, depersonalization, and reduced personal performance. It occurs where people work with people, where people address the needs of people. We can say, burnout arises on the basis of emotional exhaustion and alienation around under the influence of supersaturation of personal contact with other people.

**Key words:** Emotional Intelligence, Perfectionism, Burnout, Teacher.

### **Introduction**

Based on the research findings of experts in the field of emotional intelligence, burn-out and perfectionism, we focused our research on the detection of relations between variables in a sample of teachers of primary and secondary schools in Slovakia (Baranovská, Ručková, 2012, Doktorová, 2013, Schulze, Roberts, 2007, Bar-On, 1997, Bauer, 2009, Blaz, Bitton, Reyes, 2003, Cassidy, 1994, Davies, Stankov, Roberts, 1998, Davis, 1995, Elias, Hunter, Kress, 2001,



Fabíková, Miňová, 2008, Freudenthaler, Neubauer, 2007, Goleman, 2010, Matthews, Zeidner, Roberts, 2002, Petermann, Wiedebusch, 2003, Appleton, 2010, Henning, Keller, 1996, Jeklová, Reitmayerová, Kallwass, 2007, Fialová, Schneiderová, 1998, Kolibárová, 2012, Kebza, Šolcová, 2003, Saya, 2006). With a similar focus researches in the field of burn-out, perfectionism and emotional intelligence may be encountered in the foreign literature among authors as Baier, 2011, Greenglass, 1991, Hewitt a kol. 2003, Hill, Hall a Appleton, 2010, Tashman, Tenenbaum a Eklund, 2008.

Within the field of observation burnout syndrome we can find various definitions of burnout. For our research are relevant two basic definitions. The first definition is from the author of the term burnout - Herbert Freudenberger. He characterized burnout as the final stage of the process by which people who are emotionally deeply concerned with something, lose their initial enthusiasm and their motivation (in Křivohlavý Freudenberger, 1998). Maslach and Jacksons (in PISOŇOVÁ, 2012) speak of burnout as a syndrome of emotional exhaustion, depersonalization, and reduced personal performance. According to them, burnout arises where people work with other people – in the situations when people address the needs of other people. These definitions indicate that the burn-out is related to emotional exhaustion and the alienation to the surrounding environment on the basis of super saturation of personal contact with other people.

In the year 1990 was the term emotional intelligence used by P. Salovey and J. D. Mayer (1998, 2007), to designate ability to:

- monitor own emotions and the emotions of other people;
- differentiate between own emotions and the emotions of others;
- use this information to regulate their thinking and behavior (Výrost, 2008). The model, which is built by the two authors, is a model of competence in the field of emotional intelligence. To measure the level of emotional intelligence are used performance methods (Schulze, Roberts, 2007). In our research we use a mixed model of emotional intelligence. R. Bar-On (2000) defines emotional intelligence as a number of non-cognitive capabilities, competencies and skills that have an impact on readiness of an individual to successfully cope with environmental demands and pressures. In his view, the individual is able to predict success at work and in everyday life. Based on the theoretical approach of mixed model of emotional intelligence was developed by M. Saifulla, A. and A. Fuad Rahman (2010) questionnaire USMEQ\_i (USM Emotional Quotient Inventory), which contains and measures seven dimensions: emotional control, emotional maturity, emotional honesty, emotional awareness, emotional commitment, emotional strength and emotional expression.

Additional variable that we deal with in our research is perfectionism. Experts still failed to create a definition that would perfectionism named and defined. The first author who is involved in research of the dynamics of perfectionism was D. E. Hamachek. In 1978 he introduced two separate but related forms of perfectionism - positive - normal perfectionism and negative - neurotic perfectionism. G. Flett and P. Hewitt tried to define perfectionism in 1991 as an effort to be faultless (Stoerbel, Yang, 2010). People who are looking for excellence in every aspect of their lives, they consider to be extreme perfectionists. R. Winter (2006) elaborates this claim,

arguing that perfectionism is a tendency to establish oneself an extremely high standard. It also takes into consideration the fact that the use of the word tendency, implies a spectrum in which we see several levels of perfectionism. Today it is widely accepted that the concept of perfectionism involves personal and interpersonal components (Flett, Hewitt & Greene 2004). Part of the personal and interpersonal components of perfectionism according to Hewitt and Flett (1991) are three basic types of perfectionism: self-oriented perfectionism, other-oriented perfectionism, that is focused on others and socially prescribed perfectionism. Self-oriented perfectionism is an intrapersonal dimension characterized by a strong desire to be perfect. People are setting unrealistic personal standards that are trying to achieve and focus on errors. They are often governed by the principle of "all or nothing". The only result of their work is a great success or total failure. When self-oriented perfectionists fail, they generalize their failure and perceive it as a sign of their self (Flett, Hewitt, Blankstein & Pickering, 1998). Authors Hewitt and Flett (1991) argue that this kind of perfectionism is correlated with self-criticism and self-blame, but according to T. Short, G. Owens, Slade and Owens (1995) may also be associated with a positive survival. Miquelon, Vallerand, Grouzet and Cardinal (2005) suggest that the self-oriented perfectionism may not be negative, since it is based on personal beliefs of the individual, and those are under its own control and may be changed in a proactive way. In any case, individuals with type at each designated perfectionism can be characterized as conscientious and ambitious, with high self-efficiency (Mills & Blankstein, 2000), high self-esteem and internal locus of control (Seo, 2008). Other-oriented perfectionism is the interpersonal dimension, which includes similar behavior and expectations than self-oriented perfectionism, but it is directed at others. The individual with this type of perfectionism focuses on the imperfections of others. This type of perfectionism can result in complicated interpersonal relations because to other-perfection is linked to the lack of confidence and feelings of hostility towards others (Flett, Hewitt, Blankstein & Pickering, 1998). It is assumed that other-oriented perfectionism is not associated with depression, because perfectionism does not focus on failure of the self, but Hewitt and Flett (1991) showed correlation with antisocial and narcissistic personality disorder. Socially prescribed perfectionism is a dimension that contains the belief that other people have perfectionist expectations of the performance of the individual. Therefore, the failure is often linked to criticism from related person. Perfectionism is characterized by a general tendency to attribute performance results in the interpersonal sphere to the external cause. It is also possible that this kind of perfectionism associated with the concept of learned helplessness (Flett et al., 1998). The studies have shown correlations of prescribed social perfectionism with depression and self-criticism (Dunkley & Blankstein, 2000; Wyatt & Gilbert, according to Gilbert, Durrant & McEwan, 2006). The relationship between low emotional intelligence and maladaptive perfectionism was confirmed in several investigations (Jackson & Hickson, 2008, Schneider, 2004, Schuler, 2002, Schulze, 2005, Zahn-Waxler et al., 2002).

Based on the theoretical results of several authors and of studies relating to emotional intelligence, burnout and perfectionism we set the following objectives of our research:

- to find out the general level of emotional intelligence and the score of each subscale,
- to find out level of total perfectionism and its rate in each subscale,

- to find out the overall level of burn-out and score for each subscale across our sample,
- on the basis of correlation to determine the existence of relations between variables.

Hypothesis in our research, we have formulated based on several researches (Greenglass, 1991, Hewit et al. 2003, Hill, Hall a Appleton, 2010, Tashman, Tenenbaum a Eklund, 2008, Doktorová, 2013, Jackson a Hickson, 2008, Schneider, 2004, Schuler, 2002, Schulze, 2005, Zahn-Waxler a kol., 2002).

Hypothesis 1: Score of subtests of the questionnaire USMEQ-i significantly correlated with total score of perfectionism measured by FMPS-D.

Hypothesis 2: There is a significant positive relationship between the total score of FMPS-D and score of BM (Burnout Measure).

Hypothesis 3: Perfectionism significantly positively correlates with IPSV (Inventory of burnout symptoms).

Hypothesis 4: There is a significant relationship between the total score of USMEQ-i and the total score BM and IPSV (Inventory of burnout symptoms).

## Methods

### Research group

The research group consisted of a 350 participants. All probands were teachers of primary and secondary schools in equal numbers. The age distribution of the sample was between 31-56 years. The sample included 330 women and 20 men with an average age of 38,3 years ( $SD = 3,07$ ). For the compilation of the research sample, we used the occasional selection. The research sample is unevenly distributed in terms of gender, but this is not relevant to our study, although it was shown that there are no significant gender variations in the level of social skills (Appleton, 2010, Baranovská, Ručková, 2012, Doktorová, 2013, Fialová, Schneiderová, 1998, Kolibárová, 2012, Kebza, Šolcová, 2003, Saya, 2006).

Table 1 Research group

Number of teachers	gender		Type of school	
	women	men	primary	secondary
350	330	20	175	175

Source: author

### Materials and methods

In our research, we are working with three basic concepts.

Burnout is defined according to V. Kebza and I Šolcová (2003) as a state of complete mental and physical exhaustion with symptoms of mental, emotional, social and physical fatigue. It is accompanied by a loss of interest in work, enthusiasm and self-improvement and also loss of

enthusiasm to cooperate with other people. Many different factors involved in the formation of burnout. Some factors relate to the nature or content of the work, other to coping with problems and others relate to the individual characteristics of individual. In carrying out our research we chose two questionnaires that measured the degree of burnout. The first questionnaire used to measure the degree of burnout questionnaire was BM (Burnout Measure) according to A. Pines and E. Aronson (Křivohlavý, 1998). This questionnaire is designed to measure the degree of psychological burnout. The questionnaire has high internal consistency (0,890) and shows high reliability. The questionnaire focuses on three different aspects of a single psychological phenomenon - total exhaustion:

1. Feelings of physical exhaustion - tiredness, weakness, feelings of loss forces.
2. Feelings of emotional exhaustion - feelings of distress (depression), despair, hopeless situation or feeling trapped in.
3. Feelings of mental exhaustion - feelings of worthlessness, loss of human values, loss of illusions (positive ideas about themselves and the world).

The second questionnaire used in our study, is the Inventory of burnout symptoms (IPSV) by Tošner and Tošnerová, which is also used in professional examinations of burnout. It contains 24 items, in which the respondent evaluates the degree to which the statements relate to him. Respondent evaluates evidence on the Likert scale. It is not an assessment test, only the orientation detection, in which levels there is something wrong. In this questionnaire, we find out burnout in different levels separately. The sum of the individual planes we get the total score of burnout.

**Emotional intelligence** is characterized by mixed model as a number of non-cognitive skills, competencies and capabilities affecting the readiness of an individual to successfully coping with environmental demands and pressures. For detecting the level emotional intelligence, we used the self-description method USMEQ-i.

Questionnaire of emotional intelligence USMEQ-i (USM Emotional Quotient Inventory) was constructed by M. Saifulla, A. Fouad and A. Rahman (2010) to measure EQ medical students on University of Malaya. The questionnaire was carefully translated, without changing the original meaning, which was confirmed by reverse translation and a bilingual verification.

The questionnaire contains seven subscales:

1. Emotional control - the ability of self-control during the course of disturbing emotions and impulsive feelings. It requires strong inner self.
2. Emotional maturity - the ability to help lead the emotional tendencies to achieving pre-set goals.
3. Emotional honesty - the ability to take responsibility and to maintain the integrity of in personal characteristics.
4. Emotional awareness - the ability to differentiate and understand their own inner condition

and condition of others, preferences, abilities and intuition.

5. Emotional commitments - the ability to connect and to cooperate with others in a group or organization to achieve common goals.

6. Emotional strength - the ability to negotiate and resolve disputes, and givenness to present convincing arguments.

7. Emotional expression - the ability to express and regulate emotions, thoughts and behaviors with respect to changing situations and conditions.

USMEQ-i is a non-standardized method, in which we investigated internal consistency, which are presented in Table 2.

Table 2 The Cronbach's alpha for each dimension of the questionnaire USMEQ-i

Emotional control	0.899
Emotional maturity	0,816
Emotional honesty	0,827
Emotional awareness	0,789
Emotional commitments	0,773
Emotional strength	0,756
Emotional expression	0,703
Total score	0,897

The results in Table 2 we can see that the test and its items are internally consistent, which means that it can be used for the detection of emotional intelligence of teachers.

**Perfectionism** is defined by R. O. Frost (1990 Stober in 2010) as an effort of perfection in various aspects of life. Multidimensional perfectionism scale by Frost, Marten, Lahar and Rosenblatt (1990), known as FMPS is based on the theory of perfectionism by Hamachek (1978). According to him, normal perfectionists experience the pleasure of resolving difficult task, while neurotic perfectionists always have doubts about their performance. Authors of the questionnaire worked with the fact that perfectionism has been described in connection with the core evaluation tendencies. These relate to the degree of interest in their own mistakes, not because of the meaningfulness of work, but just because of the uncertainty and hesitation over own power, and also the parents' expectations, the desire for organization, order and structure (Portešová, 2002).

FMPS-D, FMPS-D contains 35 items where respondents are scored peace agreement with the statement to Likert scale ranging from the 1 (strong disagreement) to 5 (strong agreement) and identify perfectionism full score as well as scores to a 6-subscale..

The scale measures 6 dimensions of perfectionism: Concern over Mistakes, Personal Standards, Parental Expectations Parental Criticism, Doubts over Action and Organization.

1. Concern over Mistakes - CM - dimension reflects a negative reaction to mistakes, tendency to perceive errors as a failure and a belief that failure will lead to a loss of respect from others.

2. Personal Standards - PS - shows how high standards of performance the individual has and tendency to evaluate on the basis of the performance. This dimension is related to self-esteem.
3. Parental Expectations - PE - reflects a perception of high parents' expectations, which have for their children.
4. Parental Criticism - PC - reflects the perceptions of parents as overly critical towards their children.
5. Doubts over Action - DA - reflect doubts about whether the work is done well.
6. Organization - O - reflects need of organization a desire for structure. This range we have not included in our study, since this factor does not associate with others and does not correlate with the resulting FMPS score. FMPS demonstrated validity and researchers are able to replicate the factor structure (Stoebrel, Yang, 2010).

Dimensions preference of order and organization and placing high personal standards are associated with positive self-concept, good work habits and achieving the objectives. With a variety of clinical symptoms are instead associated increased concerns of misconduct, the perception of parents as demanding in terms of objectives and overly critical and tendency to doubt whether the task can be fulfilled satisfactorily (Dixon et al., 2004).

Based on Cronbach's alpha we examined the internal consistency of the questionnaire.

Table 3 The Cronbach's alpha for each dimension of the questionnaire FMPS- D

Concern over Mistakes	0.901
Personal Standards	0,820
Parental Expectations	0,797
Parental Criticism	0,799
Doubts over Action	0,783
Organization	0,866
Total score	0,803

The results show that the test and its items are internally consistent. That means it can be used for the detection of perfectionism of teachers.

## Results

To measure the strength of relations selected variables, we used Spearman correlation. Spearman correlation, we used according to the results of tests of normality. Our research selection did not have a normal distribution. Spearman correlation coefficient determined different degrees of dependence, which we interpret according to this scheme:

Value to 0,3 ..... moderate dependence.

Value from 0,3 to 0,6 ..... medium – central - dependence.

Value over 0,6..... strong dependence.



**Hypothesis 1:** Score of subtests of the questionnaire USMEQ-i significantly correlated with total score of perfectionism measured by FMPS-D.

Table 4 The link between the total score of USMEQ-i and FMPS-D

	Emotional intelligence
Perfectionism (Spearman correlation)	-,302
Sig. (2-tailed)	,000

There is a considerably significant relationship ( $r = -0,302$ ,  $p < 0,05$ ) between the total score of USMEQ-i and the score of questionnaire FMPS-D.

The individual scores of subtests of questionnaire USMEQ-i significantly correlated with total score of perfectionism measured by FMPS-D.

Table 5 The link between the subscales of the questionnaire USMEQ-i and total score of the questionnaire FMPS-D

	Sub-scales	Perfectionism	Sig. (2-tailed)
Emotional intelligence (Spearman correlation)	Emotional control	-,468	0,01
	Emotional maturity	-,515	0,00
	Emotional honesty	-,704	0,00
	Emotional awareness	-,648	0,00
	Emotional commitments	-,480	0,00
	Emotional strength	-,586	0,00
	Emotional expression	-,468	0,01

We were able to verify the existence of a significantly important negative correlation between the scores of the individual subtests USMEQ-i and FMPS-D on the level of central dependence ( $r_1 = -0,468$ ,  $r_2 = -0,515$ ,  $r_5 = -0,480$ ,  $r_6 = -0,586$ ,  $r_7 = -0,468$ ) and strong dependence ( $r_3 = -0,704$ ,  $r_4 = -0,648$ ), because significance  $p$  was less than 0,05 ( $p < 0,05$ ).

We examined also if individual subtests scores of the questionnaire FMPS-D levels were significantly correlated with total score of emotional intelligence measured by questionnaire USMEQ-i.

Table 6 The link between the subscales of the questionnaire FMPS-D and total score of the questionnaire USMEQ-i

	Sub-scales	Emotional intelligence	Sig. (2-tailed)
perfectionism (Spearman correlation)	Concern over Mistakes	-,760	0,00
	Personal Standards	-,425	0,01
	Parental Expectations	-,804	0,00
	Parental Criticism	,358	0,02
	Doubts over Action	-,380	0,01

We were able to verify the existence of significantly important negative correlation between the scores of the individual subtests of FMPS-D and total score of USMEQ-i at the level of central dependence ( $r_2 = -0,425$ ,  $r_5 = -0,380$ ) and strong dependence ( $r_1 = -0,760$ ,  $r_3 = -0,804$ ). We also found a positive correlation between subtest Parental Criticism and total score of Emotional Intelligence at the level of central dependence ( $r_4 = 0,358$ ). Significance p was less than 0.05 ( $p < 0,05$ ).

Our hypothesis 1 was confirmed.

Hypothesis 2: There is a significant positive relationship between the total score of FMPS-D and score of BM (Burnout Measure).

Table 7 Correlation between BM and Perfectionism

	BM – Burnout measure
Perfectionism (Spearman correlation)	,702
Sig. (2-tailed)	,000

There is significantly strong relationship in a positive direction ( $r = 0,702$ ) between the total score of FMPS-D and questionnaire BM, because significance p is less than 0,05 ( $p < 0,05$ ). Our hypothesis 2 was confirmed.

Hypothesis 3: Perfectionism significantly positively correlates with IPSV (Inventory of burnout symptoms).

Between the total score of Perfectionism and Inventory of burnout symptoms we observed a statistically significant relationship at central addition. The correlation coefficient reached  $r = 0,564$  and significance p was less than 0,05 ( $p < 0,05$ ).

This means that hypothesis 3 was confirmed.

Table 8 The link between Inventory of burnout symptoms and Perfectionism

	IPSV
Perfectionism (Spearman correlation)	,564
Sig. (2-tailed)	,000

Between the total score of perfectionism and individual components of Inventory of burnout symptoms we recorded statistically significant relationships. Between the intellectual factor and perfectionism we recorded a statistically significant relationship with a negative trend ( $r = -0,560$ ) and significance  $p$  was less than 0,05 ( $p < 0,05$ ). Between the emotional component of IPSV and perfectionism, we recorded a statistically significant relationship - we recorded a central negative dependence  $r = -0,380$  and significance  $p$  was less than 0,05 ( $p < 0,05$ ). Between the physical and social components of IPSV and perfectionism, we recorded a medium dependence  $r = 0,486$  and  $r = 0,408$  and significance  $p$  was less than 0,05 ( $p < 0,05$ ).

Table 9 The link between components of IPSV (Inventory of burnout symptoms) and Perfectionism

	components	Perfectionism	Sig. (2-tailed)
IPVS (Spearman correlation)	Intellectual	-,560	0,01
	Emotional	-,380	0,00
	Physical	,486	0,02
	social	,408	0,03

Hypothesis 4: There is a significant relationship between the total score of USMEQ-i and the total score BM and IPSV (Inventory of burnout symptoms).

Table 10 The link between Inventory of burnout symptoms and BM and total score of Emotional Intelligence

	IPSV Inventory of burnout symptoms	BM – burnout measure
Emotional intelligence (Spearman correlation)	-,515	-,415
Sig. (2-tailed)	0,01	0,01

Between the total score of Emotional intelligence and IPSV - Inventory of burnout symptoms and Burnout measure – BM - we observed a statistically significant relationship with negative trends at central addiction (the correlation coefficient reached  $r_1 = -0,515$ ,  $r_2 = -0,415$ ). Significance  $p$  was less than 0,05 ( $p < 0,05$ ).

This means that hypothesis 4 was confirmed.

## Discussion

### Interpretation of results

Based on our findings, we were able to demonstrate a significant relationship between emotional intelligence, burnout and perfectionism. We found a moderate correlation between variables. Our findings are identical to the findings of experts who confirmed the existence of a connection between variables on the middle level (Schneider, 2004, Schulze, 2005). One reason for observed moderate relationship between perfectionism and emotional intelligence can be multidimensionality of perfectionism. The structure of perfectionism is very complicated and its development is affected by diverse factors (parental expectations, focusing on the errors, etc.). Emotional intelligence and perfectionism on the basis of our findings seem to be two mutually dependent constructs, because forms of social conditional perfectionism include components such as helplessness and hopelessness (Bauer, 2009).

Next, we investigated whether there is a considerably significant relationship between the dimensions of the questionnaire USMEQ-i and total score of perfectionism. We have seen moderate and strongly significant relationships between variables. In all cases were negative trends, which mean that with the rise of one of the items of emotional intelligence declining value reached in perfectionism. A similar trend was recorded in their research Stoeber and Yang (2010). The relationship between the total score of perfectionism and subtest of emotional honesty, which refers to the ability to take responsibility and to maintain the integrity of in personal characteristics, can be logically explained by the fact that perfectionists identify themselves with their care, and assume responsibility for it. This finding is consistent with the observation of Winter (2006).

We examined also the existence of a significant relationship between any of the dimensions of perfectionism and total score of USMEQ-i. We recorded moderate and strongly significant relationships between variables in a negative direction. Between the parental criticism and total score of emotional intelligence, we recorded a positive relationship. This phenomenon can be explained by the fact that correctly targeted criticism from parents has a positive impact to emotional intelligence of the individual. A person becomes emotionally stable, more aware of own emotions and can control them in an appropriate manner. In further research it would be interesting to see what would be the relationship between parental criticism and emotional intelligence among people who had a very strict upbringing. Our findings are in line with those of experts (Schulze, 2005, Salovey, 2007, Zahn-Waxler et al., 2002, Schuler, 2002, Schmitz, 2002, Rice, Lopez, Vergara, 2005).

Based on our findings, we were able to demonstrate a significant relationship between burnout syndrome and perfectionism, which means that perfectionism, can induce and encourage the emergence of burnout among teachers. Our findings are in line with those of experts (Baier, 2011, Greenglass, 1991, Hewitt et al. 2003, Hill, Hall and Appleton, 2010, Tashman, Tenenbaum and Eklund, 2008), who in their research confirmed that perfectionism affects in a negative way to mental competence.

BM has a high degree of correlation between the data obtained from the self-assessment and

evaluation other person knows him well. High degree of correlation between questionnaire BM can be found with questionnaires which measure for example job satisfaction and life satisfaction. The higher the value of BM was, thereby increasing a man's dissatisfaction with himself and with the world. Similarly, when people achieve a higher value in the questionnaire BM, the more often would like to change or leave the job or jobs left. Also, higher values in the questionnaire occurred in people with health problems, increased alcohol consumption, or feelings of hopelessness.

Between social and physical component and perfectionism, we recorded a statistical relationship. This means that perfectionists tend to deal with the increasingly relationships in their neighborhood, they appeal to their manners, which can lead to burnout. Similarly, within the physical component, people of higher rates perfectionism tend to focus on their appearance, to the point that they develop burnout. From our findings indicate that the burnout and perfection are interdependent variables. Within the emotional survival perfectionists are more emotionally labile. This will be reflected in negative way in their survival and behavior. The confrontation with their own deficiencies induces very negative emotions.

We are also interested in the relationship between emotional intelligence and burnout rate. We found a negative relationship between them. Thus, the degree of emotional intelligence may be in some way prevention of burnout.

### Limits of the research

The basic limit of the research was a bad selection of a questionnaire to measure perfectionism, due to its failure to differentiate between adaptive and maladaptive perfectionism. In further research, we had to find a questionnaire that would distinguish between the two forms of perfectionism.

Another limit of the research was that we did not eliminate temporary factors of participants. We also to our research included only primary and secondary schools teachers. We can assume that the level of emotional intelligence in comparison with the rest of the population will be different.

Other limits of our research were: in use of self-described methods, occasional selection of participants and no standardization of the questionnaire FMPS-D to our population.

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# **INCORPORATING TWO LEARNING APPROACHES IN TEACHING TECHNICAL REPORT WRITING TO ESL STUDENTS: COOPERATIVE GROUP LEARNING (CGL) AND PROBLEM-BASED LEARNING (PBL).**

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This study explores the potential of incorporating two teaching approaches in Outcome-Based Education. CGL (Cooperative Group Learning) and PBL (Problem-based learning) are adopted in teaching technical report writing to polytechnic students. Both approaches have been recognized as among the pedagogical strategies that enhance students' generic qualities and at the same time, making sure the learning objectives achieved. However, previous researches show that PBL is more popular in teaching technical subjects. This study investigates the possibilities of integrating both approaches in ESL classrooms. This is a quantitative study that involved 34 participants from commerce department. A set of questionnaire was distributed to gain the participants' experience in using both approaches. The students undergo a 6-week duration of learning using both approaches. The findings discover the challenges and advantages based on the participants' perceptions. The result could be used as input in designing a new innovation particularly in ESL teaching and learning in higher learning institutions. These approaches could enhance the students' competency to write technical reports and instill generic skills that would be advantages for their future at the workplace.

**Key words:** PBL, Cooperative learning, teaching approach, polytechnics

## **1.0 Introduction**

The English Language Teaching and Learning has undergone series of transformation movement with the intention to produce graduates who meet the needs and demands of today's globalised workplace. English Language Teaching in Malaysian polytechnics has undergone revising to meet the needs and demand of the society and the institutions. In a leading TVET institution, English is acknowledged as a supportive subject. However, the English lecturers have continuously developing new teaching techniques and strategies that could enhance the quality of graduates to become a better and competent English user.

The Department of Polytechnic Education (DPE) is leading the Technical and Vocational Education (TVET) in Malaysia and producing graduates who are skilful and highly competent. The Department of Polytechnic Education (DPE) is determined to produce graduates who are highly employable and enterprising. Transformation polytechnics are mainly focused on new efforts to develop potential human capabilities in order to meet demands of the new economic model based on innovation and creativity (Sahul et.al, 2010, p. 573).

Therefore, this institution encourages the teaching staff as the key players to innovate new teaching approaches and methods that match the demands of the DPE and Ministry of Education thus respond to the needs of the country. Aligning to the visions and missions of the DPE, the teaching staff is encouraged to come out with new techniques or approaches that could enhance the quality of the system.

Cooperative Group Learning and Problem-Based Learning are two student-centred approaches that usually applied in isolation and not integrated. Both approaches allow the students to explore their ability in exploring learning, becoming active learners and encourage deep thinking. The roles of both approaches in OBE especially in developing the students' knowledge and skills then applying these skills in a real world situation encourage me to conduct this study. For this study, both approaches are incorporated in teaching writing.

This study is conducted to find out the effectiveness of integrating two teaching approaches in teaching report writing to the students of polytechnics in English as a Second Language (ESL) class. The two approaches are Cooperative Group Learning and Problem-Based Learning.

The research questions:

- 1) What is the students' perspective using Cooperative Group Learning and Problem-Based Learning in report writing?
- 2) How effective is the integrating of Cooperative Group Learning and Problem-Based Learning in teaching report writing?

## 2.0 Literature Review

Cooperative Group Learning (CGL) and Problem-Based Learning (PBL) are among the student-centred learning approaches conducted under Outcome-Based Education (OBE). Outcome-Based Education (OBE) was introduced to the polytechnic education system on 2010 as a method of curriculum design and teaching that focuses on what students can actually do after they are taught. This approach promotes a "holistic approach" in education and it emphasizes the learning outcomes rather than the teaching input. OBE in polytechnics is implemented to ensure that the academic programmes, delivery system, assessment methods and the graduates are of high quality. The success of OBE includes the Curriculum, Instruction of Teaching and Assessment. According to Khodori (2010) if all the four principles in OBE are applied consistently, systematically, creatively and simultaneously, the graduates would be equipped with the knowledge, competency and qualities necessary for successful fulfilment of their various life roles.

In achieving the missions, the DPE is aggressive in venturing into new teaching approaches and methodologies that could benefit the students and develop them to become the future community as proposed by the Ministry. One of the efforts is to adopt Outcome-Based Education (OBE). OBE in polytechnics Malaysia is considerably a new approach that could ensure the education system delivers products or graduates who are with the qualities wanted by the na-

tion. To ensure the success of OBE, there are elements to consider and this includes the teaching approaches applied by the lecturers.

In this study, the two student-centred approaches; the Cooperative Group Learning and Problem-Based Learning are integrated in teaching report writing to Advanced Diploma students of Ungku Omar Polytechnic. Cooperative Group Learning (CGL) and Problem-Based Learning (PBL) are among the teaching approaches under OBE. CGL and PBL are well acknowledged in promoting students-centred learning. Both approaches encourage group work and develop the students' accountability.

CGL and PBL highlight the advantages of working in groups where the student will be able to write different types of reports but develop positive interdependency among team mates. The four elements adapted from both CGL and PBL and used in this study are; i) achievement; ii) social interdependency; iii) problem-solving and iv) active learning. These elements are among the generic skills desired by the stakeholders.

### 2.1 Cooperative Group Learning (CGL)

Cooperative Group Learning involves students working together towards achieving a common goal in a teaching-learning situation. CGL encourages teamwork and inculcates professionalism among the students. The three basic forms of cooperative learning are tutoring (peer or cross-age); pairs or in groups. The students learn to be responsible not only for their own learning but for their friends. This encourages the students to appreciate their team mates in ensuring their individual and group's success. Previous researches discovered that cooperative learning promotes social support than competitive instruction and the social support is shared from their peers (Ching-Ying & Hui-Yi, 2013, Johnson & Johnson 1997).

### 2.2 Problem-Based Learning (PBL)

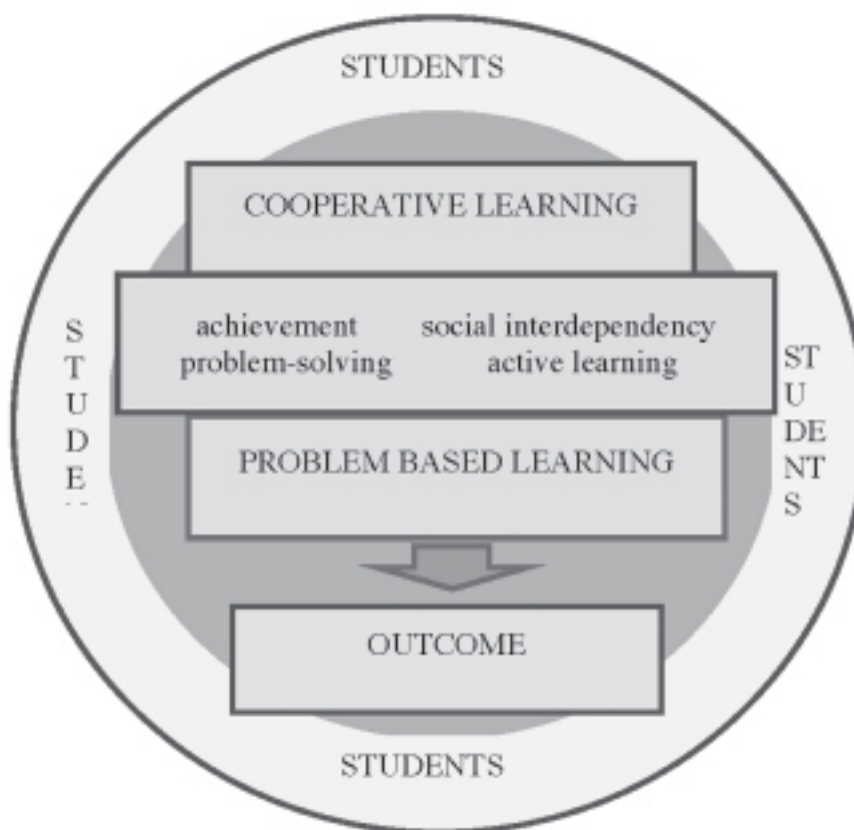
Problem-Based Learning situates learning in a meaningful context (Hmelo-Silver, 2004). Students apply their experience in analysing and solving problems. PBL encourages experiential learning among the students. This approach enhances the students' existing knowledge and develops self-directed lifelong learning skills that could increase their motivation in learning (Zhang, 2002). Educators are interested in PBL because it emphasizes on active, transferable learning and its potential of motivating students (Hmelo-Silver, 2004, p.236). This approach is commonly used in science and engineering classes. It is based on four insights into learning: constructive, self-directed, collaborative and contextual (Dolmans, Grave, Wolfhagen & Vlueten, 2005).

### 2.3 Conceptual Framework

In this study, I have aligned the elements from cooperative group learning and problem-based learning and used them in teaching report writing to two classes of Advanced Diploma students of Ungku Omar Polytechnic. This is the conceptual framework used in this study.



Figure 1: Conceptual framework incorporating cooperative group learning and problem-based learning



This framework highlights the students' output and students as the main stakeholder. The elements of both CL and PBL are integrated and acknowledged in this study. However, the teacher in this study is the inner circle acts as a facilitator, a moderator and a supporter in assisting the students to achieve the learning outcome.

### 3.0 Methodology

A set of questionnaire was distributed to the participants to find out their perception in learning writing technical reports by using CGL and PBL. The questionnaire was developed based on the principles of both teaching methods.

This study involved two classes of Advanced Diploma students of Ungku Omar Polytechnic (PUO). The participants have experienced learning in polytechnics during their diploma level and at Advanced Diploma, they have to take AUE7012, English at the Workplace as a compulsory subject. This syllabus aims to prepare the students to use English where they work and ability to write reports is listed as one of the Course Learning Outcome (CLO). The students should be able to write three types of reports: Progress Report, Equipment Evaluation Report and Problem Analysis Report.

The duration of this study is 6 weeks and involved all students from both classes. CGL and PBL are employed concurrently. (Please refer to Appendix 1).

### 3.1 Lecturer's role

In employing cooperative learning and problem-based learning in teaching ESL class, the lecturer has to fit into many roles (depending on the stage). Initially, to achieve a good outcome, the lecturer needs to plan her lesson well. As illustrated in the framework, the lecturer is the key player of the approaches.

As a lecturer and a researcher, I need to ensure that my planning for 6 weeks is executed successfully. I became the planner, the facilitator, the motivator, the supporter and finally, the assessor. Since the syllabus is controlled by the Department of Polytechnic Education, I used the same syllabus with the integration of CGL and PBL. It is pertinent to emphasize that even in a student-centred classroom, the lecturer need to be available for the students for guidance. Finally, after the students submitted their reports, a set of questionnaire was distributed in order to gain their feedback.

In a student-centred classroom, teacher should minimize in giving input and maximise students' contribution in class. There should be active learning and students are responsible of their own learning and assist their friends to be able to do the tasks too. As aimed by the DPE, in OBE classroom, the curriculum places importance on the student learning rather than teaching. Thus, this should prepare them to achieve a higher standard of skills and securing better careers in the future.

### 3.2 Student's role

The students, as participants in this study, are more independent and have to take responsible of their own learning. The learning outcome is to be able to write technical reports. In cooperative group learning and problem-based learning, the students have to do active learning, being independent and at the same time, inculcate positive social interdependent.

The participants went through two phases in learning how to write reports. In Phase 1, the Course Learning Outcome was informed to them as they need to know what to produce at the end of the duration. They were given input on general overview of a technical report by the lecturer. Then, they were assigned into smaller groups (four per group) and the lecturer gave them a type of report. In groups, they did their own readings on the report they were assigned to. They were aware that they needed to master the report and later shared their knowledge with the other groups.

In Phase 2, the participants were given a second input on Problem-Based Learning. The lecturer explained what PBL was and gave them a problem for them to find solution. In PBL, all groups shared one problem and the problem was prepared similar to their discipline and familiar to them. They were asked to produce one type of reports at the end of the 6 weeks session and this report was assessed.

## 4.0 Findings

#### 4.1 Students' perceptions in using Cooperative Group Learning and Problem-Based Learning in report writing.

The questionnaire was developed based on the elements found in Cooperative Learning and Problem-Based Learning and adapted to fit the class situation. The students as the participants' responses are important to gain their perception in this integration. The rating scale for the questionnaire was a five-point Likert scale. It measured the students' perceptions about their experience learning to write reports through the two approaches.

To determine the reliability, the Alpha Cronbach for Cooperative Group Learning is 0.89 and Problem-Based Learning is 0.97. The reliability index that was ranged from 0.8 to 0.9 indicated the test was highly reliable (Johnson & Christensen, 2008).

The questionnaire was analysed by using SPSS and I employed descriptive statistics to gather the participants' perceptions.

Table 1 Students' perceptions on cooperative learning and problem-based learning

Teaching approaches	N	Mean
Cooperative Group Learning	34	4.01
Problem-Based Learning	34	4.04

The participants gave positive feedback on both types of approaches in learning to write report writing. This is the general overview of their perceptions. Therefore, to know more about the students' views based on the four elements aligned and illustrated in the conceptual framework, I have analysed based on descriptive statistics.

Table 2 Students' perceptions based on the elements in cooperative learning and problem-based learning

Elements in CL and PBL	N	Mean
Achievement	34	3.73
Social interdependency	34	4.01
Problem solving	34	3.97
Active learning	34	3.34

Achievement, social interdependency, problem solving and active learning are elements mapped from cooperative group learning and problem-based learning as mentioned earlier in this paper. The participants had chosen high means for all four elements. The respondents agreed that they managed to perform or produce tasks given, successfully. Besides being able to achieve knowledge, the participants also claimed they were able to help the other group mates to learn. The students were able to perform not only in producing reports (achievement) but at the same time, they adapted social interdependency, ability to solve problems and practised active learning.

Social interdependency was shown in Cooperative Group Learning; within the group and with other groups. Social interdependency exists when positive or negative outcomes of the indi-

viduals are affected by each other's action and it is based on the same objectives (Johnson and Johnson, 2005). The participants worked in groups to know about one type of report and shared their notes with the other groups. They had to take responsibilities to do their own learning and also their peers from the other groups because they are trusted to share their knowledge on a type of report. Social interdependency encourages learner autonomy and cooperation. Based on the students' perception in Table 2, they agreed that the incorporation of both approaches contributed to them in producing the outcome.

In active learning, the students engage in activities, discussion or problem solving in class. It involves the learning process where the students do meaningful learning activities and think about what they are doing (Prince, 2004). In CGL and PBL, students gathered input from each other and recommend solutions to the problem. This encouraged active and meaningful learning. The students did not only manage to write reports but to apply their knowledge in order to find solutions to the problem assigned.

This study discovers that the incorporation between CGL and PBL resulted the in teaching the students to write three types of reports and engaged them with the four elements. The four elements are not taught but practised through the process of CGL and PBL.

#### 4.2 The effectiveness of Cooperative Group Learning and Problem-Based Learning in report writing.

The effectiveness of cooperative learning and problem-based learning was illustrated through the students' performance in producing the reports. Since polytechnics adopted OBE as the curriculum approach, at the end of the semester, the students' outcomes are measured. For report writing in AUE7012 English at the Workplace, all students should be able to achieve at least 50% of the allocated marks. Report writing is CLO4 and 100% of the students from both classes managed to score more than 50%. The integration of these two approaches in teaching report writing produces students who participate actively and have autonomy in their learning. The students achieved the cognitive outcome that is to write three types of reports but they too explored their affective domain such as social interdependency, problem solving and active learning.

It is undeniable that the students' previous knowledge and own competency contribute to their ability to achieve the outcomes but the incorporation of these two teaching approaches enhances their abilities to apply the skills they already own in producing reports. There might be no clear evidence to show how PBL enhances academic achievement by there is evidence to suggest that PBL "works" for achieving other important learning outcomes (Prince, 2004). Previous studies show that PBL provides a natural environment for developing problem-solving and life-long learning skills. This study showed the students were able to write three types of reports after six weeks, confidently and using appropriate mechanics. This result contradicts to the findings by Zhang (2002) that claimed the students did not know how to work in groups and to them, the lecturers were not teaching in CGL and PBL class. The different results gathered might be influenced to the demographic factor that include the culture of the participants.

## 5.0 Discussion

Cooperative Group Learning and Problem-Based learning are two of the student-centred teaching approaches in Outcome-Based Education. In OBE, the product or the student becomes the major concern. After 6 weeks of integrating CGL and PBL in teaching report writing, the participants were able to master all types of reports and this includes the mechanics, the content and responding to the problem opposed in a real situation. Besides that, the two approaches developed the participants' responsibility and interpersonal skills.

The outcome or product for CLO4 is writing three types of reports. OBE was introduced when the students of polytechnics were claimed for not being able to secure jobs because they are not work ready. OBE highlights the holistic approach in education. The graduates from polytechnics should be knowledgeable and with generic qualities. Cooperative learning and problem-based learning emphasize on the students' ability to produce good outcomes and at the same time, develop their generic skills.

The findings from the questionnaire show positive feedback from the students who had experienced learning to write three types of reports through the integration of two approaches. I believe there is a need to relate the teaching of writing reports to the students because I feel it would motivate the students more if they know they can apply their knowledge.

The problem scenario used in the PBL was given based on the students and their core disciplines. They have experienced learning at polytechnics before and I strongly feel, the students are able to pursue their own learning, independently and interdependently, with their group mates. CGL and PBL are two approaches under the OBE realm and integrating them add the variety of approaches especially in teaching report writing.

This study is my attempt to integrate two different approaches by aligning the similarities and finding the effectiveness of both approaches in teaching report writing. Cooperative learning is common in ESL classroom but PBL is usually applied in medical or technical classes. The collaboration between these two approaches There are a few recommendations that might be useful for future researchers.

### 1) Teacher's role

In CGL and PBL, teacher allows students to be responsible of their own learning and encourage active learning. Future studies could be made to discover the different roles of teachers to ensure the success of CGL and PBL in their ESL classroom. It is important for the teacher in CGL and PBL class to be certain the flow of the lesson.

### 2) Students' competency

CGL and PBL promote social interdependency, problem solving and active learning. This would increase students' motivation in learning English. Future studies could be done to find out the students' potential and their competency when learning ESL subjects through CGL and

PBL. This study was done looking at the potential of incorporating CGL and PBL but the elements that could encourage the students' performance in doing the outcome are not thoroughly explored. Findings on how these elements could encourage learning would be pertinent to help improve teaching and learning.

### 3) Deeper investigation on the four elements

In this study, the students showed positive feedback on the achievement, social interdependency, problem-solving and active learning. For future researches, I believe these elements could be explored through qualitative study. A deeper understanding would be a great value-added to the research. Qualitative data that is gained by conducting classroom observation and interviews would enrich the study and give a more comprehensive finding.

## 6.0 Conclusion

The learners' role becomes the central focus of this approach. It is believed that by knowing and understanding learners' different needs and interests, they may be more motivated to learn thus contributing to the effectiveness of their learning (Hutchinson & Waters, 2008). Motivation is a vital variable when examining successful second language acquisition (Dörnyei, 2003; Norris-Holt, 2001). The cooperative learning and problem based learning allow the students to deliver good outcome and these approaches encourage the students to work independently and interdependently. The expectation of future graduates has increased as excellent results do not determine success to secure good jobs because employers, nowadays look for future employees who are holistic and with generic skills. Teaching report writing by using the incorporation of these two approaches could provide the students with knowledge in writing but encourage them to be an active learner.

The Department of Polytechnic Education adopted Outcome-Based Education (OBE) to produce active and knowledgeable learners who are able to secure good jobs when they graduate. The cooperative learning and problem-based learning are among the two approaches in OBE and this initial study is done to find out the potential of integrating two approaches in teaching ESL report writing. The results show positive feedback from the participants and the participants have displayed good outcomes, as proven in their semester result. Cooperative learning and problem-based learning are some of the approaches or methods that can be employed by English teachers in making their OBE classrooms more effective and meaningful.

Since the lecturers are the key player to ensure the success of teaching and learning in a class, they should be encouraged to design new teaching techniques and approaches that could develop the students' language skills. This study shows the possibility of incorporating two teaching approaches. The effort to adapt problem-based approach that is commonly used in teaching medical and science and incorporate it with another teaching approach received encouraging feedback from the students.

Graduates of polytechnics are visioned to gain English competency and fit to the societal and educational needs. Khurma (1980) as cited in Astika (1999), explained that societal needs refer



to needs of the community as a whole and the use of English for international communication; educational needs is the need of an individual to use English in the community. The DPE has high aims for the graduates and with competency in English, the graduates have better chances to secure good jobs. Realizing this, English lecturers in polytechnics should start experimenting or replicating teaching techniques and approaches that can be useful in English Language Teaching and Learning at polytechnics.

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### Appen

Week	Activities	
1	<ul style="list-style-type: none"> <li>i) Introduction to Report Writing.</li> <li>ii) Teacher gives general points on points of a good report.</li> <li>iii) Distribute the students into 4 groups.</li> <li>iv) Assign each group to a type of report.</li> </ul>	Teacher's Input
2	<ul style="list-style-type: none"> <li>i) In groups, the students read and discuss about the report assigned to them.</li> <li>ii) They are allowed to do their own research on the report for better understanding.</li> <li>iii) They need to teach the students from other groups about the report. To do this, they are asked to illustrate their report in a chart.</li> <li>iv) All charts are put up in the room.</li> <li>v) The other group will move from one chart to another and post questions if there's any queries.</li> <li>vi) At the end of the process, each group with present their report (after considering the questions/ input from the other group members)</li> </ul>	Students
3	<ul style="list-style-type: none"> <li>i) The groups are introduced of PBL and KWHL chart.</li> <li>ii) They are informed the elements in PBL and the outcome that they need to produce.</li> <li>iii) In groups, they need to submit 3 types of reports (each student needs to write one type of report)</li> <li>iv) They are given a situation (a problem scenario) to investigate and do conduct research.</li> <li>v) They read and understand the problem scenario and analyse it based on the KWHL chart.</li> </ul>	Teacher's input Students
4	<ul style="list-style-type: none"> <li>i) Students work in groups and gather information that relevant to the problem scenario.</li> <li>ii) They brainstorm ideas and find solutions to solve the problem.</li> </ul>	Students
5	<ul style="list-style-type: none"> <li>i) In groups, they decide on who will write what type of reports. At the end, they need to submit all three types of reports.</li> <li>ii) They write in class and show the drafts to the lecturers</li> </ul>	Students
6	<ul style="list-style-type: none"> <li>i) Each student brings to class a well-written report.</li> <li>ii) They swap the reports with their group mates and proof read their friends' work.</li> <li>iii) The lecturer guides the students on how to proof read and what to look for.</li> <li>iv) They receive an edited report and attend to the mistakes marked by their group mates.</li> <li>v) Finally, the students submit their reports to the lecturer</li> </ul>	Students Teacher's input

Integrating Visualization into Higher Education  
Reflective Practices in Adult Education  
Basmah Habtar  
Mariam Aleide

## **Integrating Visualization into Higher Education classes**

### **Introduction**

There are various different contemplative practice forms such as, mindful Zen meditation, creative mediation, and visualization. Although the process of each are different, each improves an individual's awareness to the present experiences (Lazar, Kerr, Wasserman, Gray, Greve., et al, 2005). Education uses ethics to shape human behaviors and aid learners reach full comprehension. Contemplative practices help learners to understand the inner world and space as well as the outer world.

Through imagination and observation, which are developed by practicing contemplation, learners can acclimate to the outside world and make a connection between the inner and outer space. This connection aids students in transforming their inner thoughts to practical application and provides a chance to understand the connection between curriculum and real life (Zajonc, 2013). Visualization is a significant form of contemplative practice, it helps students to visualize thinking to simplify learning and apply it with a real situation.

### **Statement of study**

College students have different tasks in their life that cause stress. They have important decisions that draw their life path. Consequently, using contemplative practices in their learning process enhances students' attentions and increases ability to understand. Previous studies show various types of contemplative practices, this paper will focus on visualization as one of these practices.

### **Purpose of the study**

The intent of this paper is to discuss the concept of contemplative practices and the significance of integrating different forms of contemplative practice in education. The study illustrates one of the most significant contemplative practices of visualization. The authors analyzed previous studies that indicate the benefit of using visualization and how it should be applied in learning process to be effective.

### **Limitations**

There is limited research on integrating visualization in classes of higher education and how it helps in understanding disciplines.

### **Literature review**

In the 21st century, the educational goal is centered around fully integrating mental skills, social and emotional behaviors, and attitudes. This integration may occur by using systematic contemplative practices (Davidson, Dunne, Eccles, Engle, Greenberg, Jennings, ... & Vago, 2012). Zajonc (2013) states that education is engaged in a revolutionary enterprise

that is based on the growth and transformation of a whole person. Therefore, contemplative pedagogy has to be a crucial feature in integrative higher education. Zajonc (2013) believes that the improvements in higher education should be focused on the evolution of spirituality more than materials because students in this period of their life make crucial decisions, develop intellectually, and form their attitudes and values.

The spiritual evolution of adults who practice contemplation promotes, closeness, contribution, transformation, the construction of new capacities, and the practice of vision. This type of contemplation plays a significance role in achieving contemplative as well as critical intellectual learning (Zajonc, 2013). In addition, contemplative practices that focus on the evolution of the spirit for adults draws a clear path for adult learners to develop learning functions, which are based on cognitive, emotional, and behavioral aspects (Davidson et al., 2012).

### Meaning of Contemplation

Contemplation is a practice that allows for sensations, thought, emotions of the moment to dislodge all matters relating to future and past such as campaigns, worries, and decisions and the ability to stay mindfully in the moment to reduce the stress of the body and mind (Barbezat and Bush, 2014; Rogers, 2013). It is important to mention that contemplation is not only related to religious and cultural beliefs but also tied to educational and health fields (Lazar, Kerr, Wasserman, Gray, & Greve, 2005).

### Contemplative practices in Education

Contemplation in education offers alternative ways to understanding curriculum. Jenning (2008) states that contemplation is a missing step in the learning process that aids students to understand the meaning of the exploration of life. Roeser and Peck (in press) describe contemplative education, as a set of activities that drive adults to explore personal and transformational aspects via development of awareness. Contemplative practices illustrate a new advent of creativity, and provide a deeper understanding of personal relationships with education (Brady, 2007).

Based on Sanders (2013) who defines supporting contemplative practices in education as an assimilation of internal and external experience. Students make a connection between inner feelings that came from prior experiences with performance in art classes. Wolcott (2013) considers self-reflection in mathematic experiences and how the learners could set up a particular world. A world in which their thinking and the use of tools such as pen and paper or a computer to reach a high level of imagination, to find connection between the imaginary world and practical application.

## **The Relationship between Adult Learners and Contemplative Practices**

Adult learners gradually start to contemplative practices as a means of developing health and well-being. Adults' interests in different forms of contemplative practices bring awareness into daily living activities to reach healthy lifestyles and enhance the ability to face daily life challenges. Contemplative practice is designed to promote the executive functions and self-regulatory capabilities (Jennings, 2008). Lupien, McEwen, Gunnar and Heim (2009) mentioned that continuous experiences formulate the functions and structures of the human brain. As a result, adults can consider the contemplative experience affecting the brain function and help to develop healthy and personal behaviors.

Adult learners exhibit characteristics that show their personalities. As a result, it is valued and important for the whole person to reach a high level of the development. Sophisticated education styles are focusing on the improvement of the learners' personalities to prepare them for their futures and practical life experiences. Currently, education styles tend to promote students' communication skills with others and emotional balance. Developing students' insight aids them to understand themselves. They can determine their personal strengths and weaknesses, and accommodate others' behaviors (Lazar et al., 2005). The importance of contemplative and related disciplines in higher education shows how these disciplines have been formulated as significant tools for imagination, inner peace, happiness, and compassion. Sarath (2003) states that learners' well-being, comfort, inner peace, and imagination increase when they use some forms of contemplative practices, which could be considered as a source of personal growth and learning.

Various creative educators have attempted to bring different forms of contemplative practices in class. However, applying the contemplative skills to the universities requires more innovative insight to be suitable for the changing demographic of students. College students pass developmental phases that include various sides of their personalities. They face difficulties in decision making because of the change and development in this phase of their life. Contemplative practices are helpful and supportive for adults at this period of education (Rogers, 2013). Contemplative practices for adults supports significant development in areas such as emotional regulation of attention, motivation, and social cognition that play a positive role in changing behaviors and brain function which form the learning process (Lupien et al., 2009).

### **Benefits of Contemplative Education**

College students are constantly immersed in a lot of information, they need to develop the ability to focus on being successful learners (Lazar et al., 2005). Helber, Zook, and Immergut (2012) mentioned the benefits of contemplation in higher education and how it plays significant roles in improving students' cognitive abilities. Utilizing contemplative practices strengthens cognitive skills and formulates new tools to develop cognitive learning (Lazar et al., 2005).



Lazar et al. (2005) illustrated that contemplative practices would help to increase capacity to maintain preparedness and focus. Focus is important to the learning process because students tend to do multiple tasks to accommodate their new student life style. Division of focus negatively affects students' task outcomes. As a result, students need to develop and boost focus by using various forms of contemplative practices that play significant roles in promoting development of these abilities. Teachers could help students focus on specific objects such as lesson materials by using visualization practices to reach a high level of focus and to release thinking of other impending tasks that may control their thinking. Lazar et al (2005) illustrated the significant benefit of contemplative practice on enhancing learning.

Wolcott's study (2013) focused on using contemplative exercises in math class. His study identified that the contemplation aided to develop reflective skills that made mathematical experiences deeper and more enjoyable. Wolcott (2013) believes that the more contemplation increases the capacity for understanding math, the more you will reflect and accomplish mathematical skills.

Wolcott (2013) showed how integrating contemplative practice in the classroom is advantageous. He explained the results of practicing contemplative exercises before the class by starting with showing the positive desire and how the relationship with the students was friendly. They were having fun that reflected significant results of increasing the ability to understand mathematics equations. Wolcott (2013) brought the contemplative exercises into the class and started to practice the different contemplative exercises with about 45 students to introduce a new lesson, which was a class of differential equations. Wolcott (2013) changed the exercises each week but they built new exercises based on previous week exercises and attempted to increase the length gradually to help students to accept the new concept in a science class.

### **Scientific Explanation of Contemplative Effects on the Brain**

The brain function is formed by environmental effects, and experiences play a role in changing the brain's response (Davidson et al., 2012). Humans mostly have tension and nervous feelings that they may not know how to deal with, therefore, using contemplative practices may aid to accept these feelings. Contemplative practice can help to start create an interior space that plays a role in making acceptable choices and focuses on the experience, thus improving the feeling of readiness in a new experience (Brady, 2007).

Various scientific researchers attempt to associate contemplative practices with education programs to promote the cognitive, emotional, social, and ethical development (Davidson et al., 2012). The complex brain's functions such as memory, attention, and perceptual awareness are affected by cerebral cortex. The thicknesses of the cortical are related to the level of intelligence. According to Lazar's et al. (2005) study, some regions in the brain that are related to attention, interception, and sensory processing are thicker in contemplative practitioners. As a result, the amount of contemplative practice is associated with thickening of selected brain

regions, which are the prefrontal cortex and right anterior insula.

Lupien et al., (2009) mentioned that animal behaviors showed how stressful events harm the brain functions. Stressors cause remarkable levels of immuno suppression, dysfunction, and reduce the creation of nerve tissue. Circadian rhythmicity is one of the interesting factors that affect human health. Disruption to circadian rhythmicity happens because of some environmental events such as sleep deprivation, shift work, eating disorders and daily depression. All these disorders could be controlled by practicing some contemplative exercises which focus on mindfulness and reducing the stressors. Physical or psychosocial stress may cause psychopathological diseases such as, cognitive dysfunctions, sleep disorder, schizophrenia, anxiety disorders, and depression (Lupien et al., 2009).

### **Visualization**

Visualization has a powerful impact on not only in education but also in personal development as a whole. In educational context, the importance of visualization lies in one's ability to visualize the input or the objectives. Subsequently, it promotes learners' awareness of the learning process, which facilitate learning. It engages student in lifelong learning and assists in developing critical thinking skills once that style of learning is embraced. Through visualization, students may develop the ability to visualize and evaluate goals and input before arriving to a conclusion.

Lewis (1990) describes creative visualization as a technique applied to boost an individual's potentials. Basically it works under the principle that the body has the potential to obtain what the mind is convinced. Another definition stated by Gawain is that creative visualization is a practice by which utilizing one's ingenuity to formulate the desired self (Lewis, 1990). Wang, Peng, Cheng, Zhou, and Liu (2011), defined knowledge visualization as "an explicit representation of conceptual knowledge structure is constructed by capturing key knowledge concepts and their relationships in a visual format" (p. 28).

The reviewed literature revealed a huge amount of research that relates visualization to psychology and the law of attraction. There are various techniques of visualization. Some of these techniques, for example anchoring, are used to extract positive mental images and emotional status from memory by which achieving a level of stability and calmness. This technique is applied to help individuals to cope with settings that pose threats to them (James & Brookfield, 2014). Visualization could be used to generate mental images of the outcome they are seeking. In this sense it could be applied to settings that require balance and athletics skills. Visualization has been widely used in education that requires learning certain types of movement such as athletics and dancers by creating a connection between mind and body. It also has an application in the field of health and healing (James & Brookfield, 2014; Lewis, 1990). However, for the purpose of this research, visualization is limited to practices applied in classrooms to facilitate learning.

Visualization strategy is practiced in education to motivate students and enhance creativity. In the Adopt-a-Dino project Clary and Wandersee (2011) investigated the role of visualiza-

tion in science classrooms to stimulate and engage students. Since dinosaurs can be a powerful imagination gateway for students in a biology class, the project addresses various content of the presented materials in the class via an in depth investigation of one dinosaur. Students select one dinosaur, which gives them the power of managing their own learning. Basically, the purpose of the specific choice of dinosaur is to examine scientific content in evolution, natural selection, type of food and interaction with the environment. A basic aspect of the project is to have students visualise the complete picture of the Mesozoic era rather than an isolated creature via searching the ecology of their dinosaurs' selections. Students were required to create a "three-phase representative scene" to represent their findings (Clary & Wandersee, 2011). Findings revealed that the "three-phase representative scene" promoted new techniques of visualization and indication of creative problem solving and innovative thinking. Further, students reported favorable feedback of experiencing new learning styles (Clary & Wandersee, 2011).

Kozhevnikov, Kozhevnikov, Yu, and Blazhenkova (2013) explored the interrelationship between two scopes of creativity which are "artistic and scientific" and "object and spatial" visualization aspects of competency. The study also examined how these dimensions of visualization promote empirical and aesthetic creativity levels within students. Results indicated a correlation between object visualization and aesthetic creativity, whereas spatial visualization is associated with scientific creativeness.

In another study, Brown (2013) applied a cooperative technique to establish a learning setting to investigate and clarify the misconception regarding range and scope within astronomy. A walkthrough Orion system, that contains the location of the solar system, was investigated in relation to regular tabletop activities. Findings revealed that students experienced the parallax and were fully engaged by walking through the three-dimensional distribution of stars.

Busby, Ernst, and Clark (2013) proposed a rationale for the incorporation of visual skills training along with engineering design graphics course. The spatial visualization ability impact on students' performance was investigated in relation to students' accomplishment, who lacked that skill (Busby, Ernst & Clark, 2013). Findings indicated higher achievement in engineering design graphics course for students with an advanced level of spatial visualization among their peers. Other research revealed similar findings in support for implementing visualization in applied educational contexts (Twissell, 2014).

In more recent study, Ya-Huei and Hung-chang (2014) explored the impact of the implementation of concept-mapping techniques for English as second language learners' communication skills, critical thinking and perception of abilities. All and Havens argued that concept mapping is an efficient instructional technique applied to enhance learning as it generates an overall picture of learners' thoughts (as cited in Ya-Huei and Hung-chang, 2014). Concept mapping can be utilized as a brainstorming technique to boost creativity. The study revealed a positive role of concept mapping on students oral communication skills and raised their awareness

of cognitive progress (Ya-Huei and Hung-chang, 2014).

Moreover, visualization can be applied to promote reading comprehension skills. It enables readers to create mental representations of the events presented on the text. Johnson-Glenberg debated that the deficiency of majority of reading comprehension techniques lies in the fact that most of these techniques were based on the text to generate meaning, for example asking questions and summarizing the text (as cited in Koning & Schoot, 2013). A study conducted to investigate the effect of visualization on constructing meaning identified two types of visualization internal and external (Koning & Schoot, 2013). According to Koning and Schoot, internal visualization refers to the mental images that cannot be observed. While external visualization is the physical representation that exemplifies the text meaning. Examples of external visualization are depictions or diagrams, which could be generated by the reader or the teacher. Results supported the hypotheses that visualization techniques enhance reading comprehensions. Incorporating verbal instructions and modeling of how to create mental images assist in reading comprehension (Koning & Schoot, 2013).

## **Discussion**

This paper discusses the concept of contemplative practice and the significance of integrating different forms of contemplative practice in education. Three factors that interfere with the implementation of contemplative practices in educational contexts such as classroom environment, educators, and learners were addressed. The paper illustrates one of the most significant contemplative practices, which is visualization.

The review of literature revealed increase in an interest in the field of visualization impact on the learning process. Findings supported the implementation of visualizing techniques into classrooms. Although this application is highly recommended in applied context like engineering and physics, visualization-training assist in constructing meaning of abstract concepts or practices like reading. Visualization has a positive influence in promoting students overall learning by assisting in creating meaningful learning.

Visualization is a powerful strategy. The review of literature indicated a direct link between creativity and visualization. When utilizing visualization as a contemplative practice, students moves from being receptive of knowledge to a level where they take an active role in learning and constructing meaning. Based on the findings from the literature, a visualization model is proposed (Figure 1). The model will be explained with reference to Kolb's experiential learning cycle.

Raising students' awareness of visualization's impact on their learning is crucial to better utilize this technique. Educators might consider what Knowles referred to as the need to know premise (Merriam & Bierema, 2014). Adult learners are more likely to be willing to learn if they know why they need to learn. A practical method to introduce students to this practice is through the practice of mindfulness. Since visualization is one type of contemplative practice, it implies and requires a level of attentiveness. Mindfulness refers to being present in the moment and refrain from any distractive thoughts (Barbezat & Bush, 2014).

To fully utilize the visualization technique, learners should be able to engage in each of the stages of Kolb's experiential learning. Concrete experience refers to learners' ability to engage themselves into new learning (Merriam & Bierema, 2014). This will help students to reduce tensions and assumptions, which eventually enables them to concentrate on their senses and enhance creativity to process the input. The second concept of Kolb's experiential learning is reflective observation. It indicates learners' willingness to reflect on experience from different points of views (Merriam & Bierema, 2014). In regards to visualization, students will move from being receptive to knowledge as abstract facts to be able to consider their thoughts by transferring these thoughts into visual representation. It is a stage where they will take an active part of learning. While abstract conceptualization, is the students' ability to relate their observation to theoretical frameworks (Merriam & Bierema, 2014). The students reflect on their visualization and process the output to connect it to theories or the abstract fact. This will help students to experience meaningful learning. The last one is active experimentation where one applies the learning to practice in order to overcome a problem or make a decision (Merriam & Bierema, 2014). Students will apply the visualization or the mental images to arrive at conclusions and meanings.

Another important aspect of the proposed model is considering learners' prior knowledge. Logically, learners cannot visualize an input or output when they lack an adequate knowledge about it. Modeling visualization is essential to the proposed model. Students may benefit from observing a physical representation of visualization to better comprehend the practice.

The review of literature revealed a gap in terms of how visualization differs across disciplines. Similarly, developing certain techniques to model visualization could vary according to the subject content. Further, despite the effective impact of visualization in educational contexts, there is a gap in regard to barriers to visualization. Moreover, further research in regard to the correlation between prior knowledge and visualization is induced.

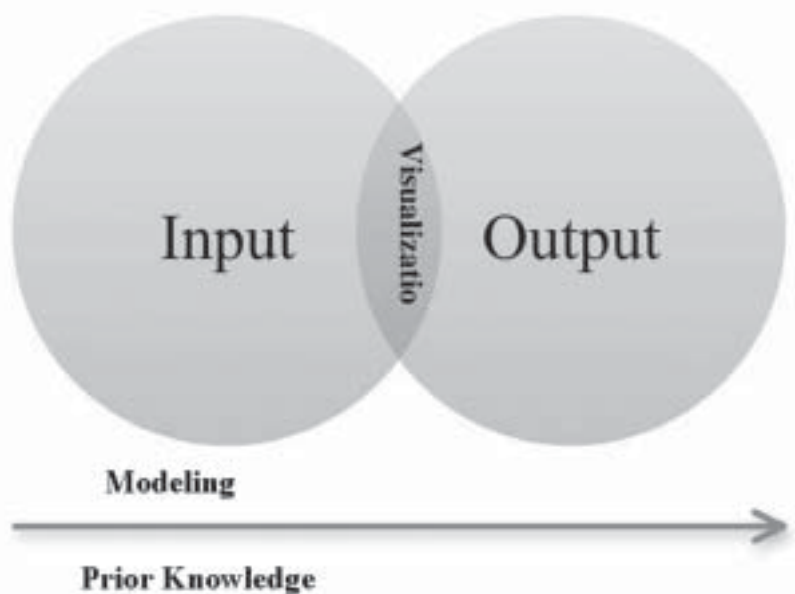


Figure 1

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## MANAGERIAL SKILLS AND SUCCESS OF SMALL-SCALE ENTREPRENEURS IN KAMPALA UGANDA

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### Abstract

A multi-sector coverage of small-scale enterprises was explored to address these objectives: (1) extent to which managerial skills were possessed; (2) extent to which small-scale entrepreneurs (SSEs) were successful; (3) relationship between managerial skills and success. Employed as strategies to elicit data were descriptive correlation and ex-post facto designs; administration of validated and tested for reliability researcher devised questionnaires; frequencies, means, Pearson's Correlation Coefficient and regression analysis. The findings showed moderate extent of managerial skills (conceptual, human and technical); Kampala SSEs were less successful internally and more successful externally; managerial skills possessed positively and significantly correlated with internal and external success; conceptual and technical skills significantly predicted small-scale entrepreneurs' success. Technical and conceptual skills need to be more promoted through entrepreneurial and business skills in universities; education of among SSEs on formation of joint ventures and ongoing training programs for skills development.

Keywords: managerial skills, small scale entrepreneurs, success

### 1. Introduction

Small-scale enterprises all over the world, contribute enormously to the development of their nations. In Africa it has been generally believed that small-scale enterprises play an important role in poverty alleviation (Jeya, 2009). The development and creation of wealth of a nation depends on the competitiveness of its firms. The competitiveness of small-scale firms mainly depends on capabilities of entrepreneurs/ managers (Alvaro, et al, 2007). Important to note is that the competitiveness of a firm does not depend on capabilities of entrepreneurs alone, but also on efficiency and competency of managers. This entrepreneur (in small enterprises) on many occasions performs key managerial functions (Alvaro, et al, 2007), the very reason why for him to succeed, needs to practice basic business management principles, a major attention of this study.

As Soni (2005) indicates, small businesses dominate in both developed and developing nations; contributing over 60% of all companies in Malaysia, Philippines, Brazil and India; 90% to job creation in U.S, 80% Japan and 50% in Germany; in developed countries, over 85% and in Africa, 50% to GDP and less than 50% in Uganda (Ruffing, 2003).

While their role has been remarkably recognized globally, in Africa SSEs' contribution is still small which may be a reason why they are still poor. Several challenges have lowered their contributions towards national development, but this study's specific interest was in management skills as the key inadequacy hindering their success in Kampala Uganda, examining three objectives; 1) extent to which managerial skills were possessed by SSEs; 2) extent of success among SSEs; and 3) relationship between managerial skills and success of SSEs.

## 2. Review of Related Literature

### 2.1 Managerial Skills

Managerial skills according to George & Jones (2001) refer to the ability of a manager (of a small-scale enterprise) to perform managerial tasks and/or roles effectively and efficiently. Boden & Nucci (2000) defined managerial skills as the ability of an entrepreneur to execute managerial roles, which include marketing, financial management, book keeping and supervision.

According to Katz (1974, in Arul, 2009); Mullins (2002), managerial skills (required for entrepreneurial success) are simply acquired than innate; such skills enable them direct activities of others and undertake responsibility to achieve objectives; they rest on three developable skills namely conceptual, human and technical.

#### 2.1.1 Conceptual Skills

Conceptual skills involve ability of a manager/entrepreneur to comprehend the enterprise as a whole and ability to analyse and diagnose situations, to distinguish between cause and effect (George & Johns, 2001). Conceptual skills (like planning and organising) assumed to affect success include goal setting, resource allocation and resource mobilisation (planning skills) while organising skills include task identification, grouping of workers, team building, departmentalisation and delegation (Mullins, 2002).

Conceptual skills also include recognizing how various organisational units depend on one another and how changes in one unit affect others. They extend to visualizing relationship of individual business to the industry, community and the national political, social and economic forces as a whole. They involve thinking in terms of the following: relative emphasis and priorities among conflicting objectives and criteria; relative tendencies and probabilities (rather than certainties); rough correlations and patterns among elements (Kunene, 2008).

#### 2.1.2 Human Skills

Human skills pertain the ability to understand, work with, lead, motivate and control behaviour of others. The ability of entrepreneurs to influence actions and behaviour of others partly explains their success and failure (George & Johns, 2001). Human skills according to Katz are divided into (a) leadership ability and (b) intergroup relationships. Intergroup skills are

essential in lower and middle management roles while leadership skills are important in higher levels of management. They can be acquired through self-development from personal point of view towards human activity, so one will (a) recognize the feelings and sentiments brought to a situation; b) have an attitude about own experience, enabling them to re-evaluate and learn from them; c) develop ability in understanding others' actions and words; and d) develop ability to successfully communicate own ideas and attitudes to others.

### 2.1.3 Technical Skills

Technical skills refer to one's ability to understand and the proficiency in a specific kind of activity, particularly one involving methods, processes, procedures, or techniques; it involves specialized knowledge, analytical ability within that specialty, and ability in use of tools and techniques of a specific discipline (Katz, in Arul, 2009). Vocational and on-job training programmes largely do a good job in developing this skill. According to George & Jones (2001) technical skills refer to job specific knowledge and techniques required to perform a role.

Technical skills according to Kunene (2008) are also called vocational skills and refer to those specific skills needed to work within a specific occupation, and include expertise, industry knowledge, standards and practices, ability to use tools, procedures and techniques of a specified field, understanding how specific things work, product/ service specific knowledge that enables one to know what a particular product could do and what it can be used for, process knowledge or how to manufacture products and all steps that need to be taken to develop and produce products or perform tasks necessary to render service (Tustin, 2003). Examples of technical skills include marketing skills, bookkeeping skills, budgeting skills, time management skills and legal skills (Zuzana & Matej, 2007).

## 2.2 Entrepreneurial Success

This is defined as the level and extent to which the entrepreneur's venture meets owner's objectives and society expectations (Cohen, 1993). Success is thus defined according to individual goals set for a given career. According to Hisrich (2000) and Emeric (1998) the entrepreneurial success construct has two dimensions; economic success and entrepreneur's satisfaction. Regarding the latter, some SSEs take themselves as successful because their ventures support a certain life style, even though they earn a smaller income than when they were employees (Nieman et al, 2003). Nieman et al (2003) defined successful women entrepreneurs as having a business for longer than two years, having more than five workers but less than 30, making a profit and expansion.

Cohen (1993) showed that success dimensions of an entrepreneur are grouped into personal and environmental factors. Personal factors include challenges one experiences, self-concepts and adaptability, and previous exposure. Environmental factors include relationships with others (customers, staff, suppliers and family), one's training and education and other environmental hardships. Thus success can be internal and external. Internal success involves personal benefits like increased profits, sales, personal satisfaction, expansion, etc. External

success involves increased jobs opportunities, output, quality, relations, assets and long-term survival.

Various indicators of venture success are; venture growth (Covin & Slevin, 1997); increased sales, income, employment and satisfaction (Hisrich, 2000; Bygrave, 2004); increased productivity, competitiveness, market share, profit and opening branches (Newton, 2001); Bosma et al (2000) take increased trained people (human capital), satisfaction and long term survival; while Emeric (1998) considered sales growth, employment, income and satisfaction. To Emeric (1998) success can be measured subjectively using perceptions of entrepreneurs and objectively using economic performance such as efficiency, growth, profit, size, liquidity, market share and leverage.

### 3. Theoretical Perspectives

#### The Five Stages Model

The Five Stages Model (FSM) explains the rise, growth and failure of small businesses and has the widest citation. Previous theories focused on innovation and risk taking as key success factors of entrepreneurs, but FSM goes beyond. This study examined the first three stages, where entrepreneurs or owner managers perform most managerial functions.

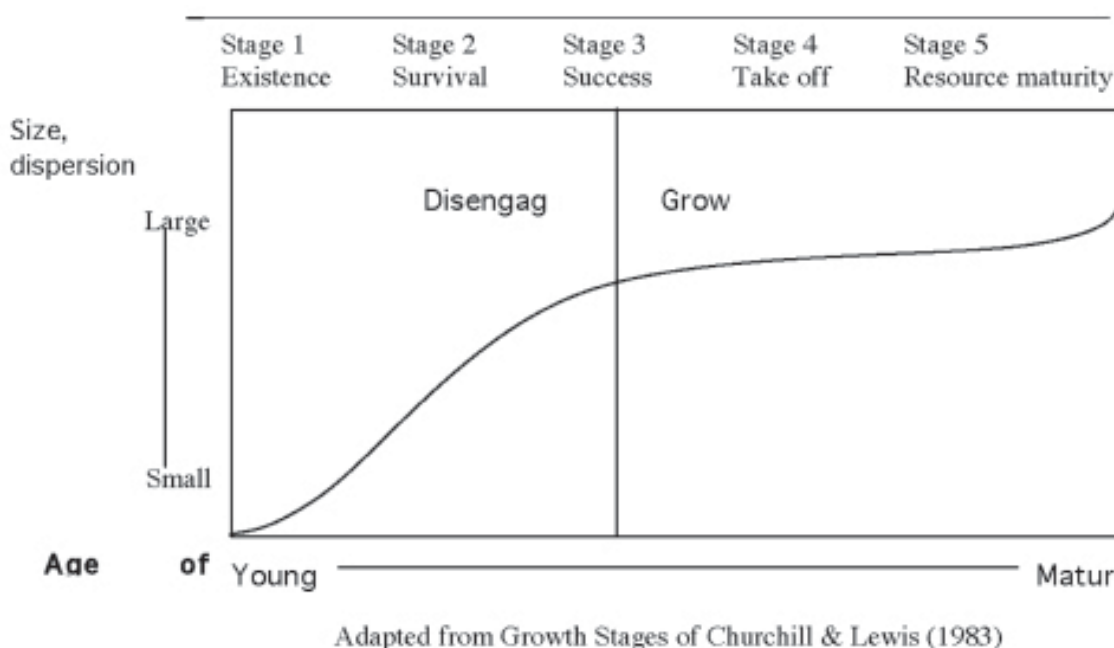


Fig. 2: The Five Stages Model (FSM) of Small Business Growth

In existence stage, the major concerns are production, obtaining customers, marketing and resources. The owner performs almost all works and directly supervises all business activities and the owner-manager must have an average level of competence to perform these tasks.

In survival stage, the relationship between revenue and expenditure, customer satisfaction, expansion and profitability are explored. The business still has a few employees. The owner-manager is still the key in all daily operations and requires competences in customer

satisfaction, expansion and profitability to move to another level.

In the third stage, business size, expansion, profitability, opening up branches and owner's satisfaction are the main focus. The owner-manager is still the key in all daily operations and requires managerial competences to select suitable functional managers to take over certain duties and to delegate efficiently. Other basic skills required here are financial, marketing, production, planning, monitoring, adaptation to environmental changes and relationships.

The FSM implies that managerial roles and requirements of a business change grow from one stage to another. Most managerial roles of a small business rest on the founder in first, second and third stages. As the business succeeds, the founder's direct management is disengaged, major challenges are overcome and the business can employ professionals/experts and put in place proper structures and systems.

#### 4. Empirical Literature Review

##### 4.1 Conceptual Skills and SSEs Success

Martinez et al (2007), Rwigema and Ventur (2004) and Ucbasaran et al (2004) found positive significant correlations between conceptual skills and success of small scale businesses in South Africa and USA respectively. Their studies, which concentrated on management skills of small businesses, revealed that most owners of such businesses committed serious mistakes in fields of business planning, resource allocation, product design and leadership dominance. Such mistakes are a sign of lack of management skills for example in organizing a business venture, especially during its formative stages.

Van Vuureen (2002) showed that conceptual skills enable initiation and development of entrepreneurial activities, which result in success. Simpson et al (2003) added that ability to make a proper business plan positively influences success of SSEs in South Africa. Conceptual skills such as resource mobilization and allocation are a prerequisite for venture success (Rwigema & Venter 2004).

Botha (2006) found that planning skills are positively and significantly correlated with business success. He identified these skills as being important in entrepreneurial success; goal setting skills, careful planning of time, resource utilization and business plan development skills.

##### 4.2 Human Skills and SSEs Success

A successful entrepreneur requires a set of human skills which include social skills, leading skills, motivation skills, conflict resolution skills and communication skills (George & Jones, 2001). Baron (1998) revealed that human skills involve socialization skills, which have a positive relationship with venture success. Human socialization skills enable entrepreneurs to raise capital, acquire good employees, delegate effectively, establish trust and legitimacy, develop networks, monitor, evaluate and retain workers (Levander & Raccula, 2001). In the re-



searcher's literature investigation, no empirical studies in Uganda were found on human skills' impact to success of SSEs. Batjargal (2006) found that entrepreneurs who carefully identify and developed strong networks were more successful than those who did not. Good networking skills help entrepreneurs to expand their markets, increase their sales and profits, ensure survival and reduce costs, which are important dimensions of success.

Human skills also involve leading skills like listening, giving feedback, honesty, approachability, integrity, flexibility, result orientation, empowerment, collaboration, motivation, uniting and valuing others (Bolden, 2004). There are contradicting evidences about the effect of human skill on business success. This has even been extended to cultures that dominate in a given community. Some cultures are described as friendly, social and welcoming while others are taken to be opposite. The debate on whether human skills are key determinants has been addressed mainly in marketing and social psychology. But depending on the dominant culture, different people perceive it differently and it is no wonder that different results have risen.

#### 4.3 Technical Skills and SSEs Success

Entrepreneurs who are professionals in their business fields have higher chances of success than those who are not (Zuzana & Matej, 2007). Bekele & Worku (2008) found that shortage of professional skills was responsible for about 49% failure of small-scale firms in Ethiopia. Technical skills can also affect a business in the way a manager handles technicalities like marketing, record keeping and business legal aspects. Mayanja (2001) found that entrepreneurs who properly managed their marketing were more successful than those who did not, showing that only 29% of self-employed technicians in Kampala had sound marketing arrangements and out of these, 58% were more successful.

Mezher et al. (2008) showed that poor product quality is among the most important failure factors in Lebanon. In other studies, success of a business relies much on its records management (Australian Government, 2009). Proper records management helps the manager monitor business health, make vital decisions, manage cash flows and show business financial position to lenders, which can act as a tool to qualify for financial support. Bekele and Worku (2008) found that failure to demonstrate standard bookkeeping, auditing and record keeping accounted for 54% failure in micro, small and medium enterprises in Ethiopia. Raduan et al. (2006) presented contradicting findings, showing that record management does not significantly predict business success among larger businesses.

#### 5. Methods and Techniques

The study employed a descriptive correlational and cross-sectional survey design, to describe and correlate levels of managerial skills and success of a big sample of SSEs. Ex-post facto design was used since the researcher had no control over variables and sought to report data as it existed (Cooper & Schindler, 2008).

The study targeted 1,1003 SSEs from Kampala (Uganda business register, 2008), from two business fields (services firms; schools, health and nonprofessional firms; retail and whole sale shop). As Table 1 shows, purposive and stratified sampling were used to select 386 venture owners, using the following selection criteria; a) from each division, 77 were selected; b) out of these 77, a proportionate sample size for professional and nonprofessional firm owners was selected as indicated in Table1; c) for professional owners, the enterprise had to be a primary, secondary school or a health services business; d) for nonprofessional firms, the entrepreneur selected had to own a retail or a whole sale shop or a restaurant.

Table 1: Sample Size Distribution

Category	Population	Sample
Professional	5280	197
Non Professional	5723	189
Total	11003	386

Source: Uganda Business Register, 2008

The researcher made questionnaire used, consisted of profile data questions, five points Likert scaled questions on managerial skills and success. Construct validity for success questions had a total variance of 60% while for managerial skills it was 62.563, all above 50% hence valid. The Cranach's alpha reliability coefficient was 0.914 (excellent).

Frequency counts/percentages for profile data and means were computed to measure managerial skills possessed and success of SSEs. Item analysis reflected strengths and weaknesses, based on these interpretation scales:

Mean Range	Description/ Response	Interpretation
4.21-5.00	Very high	Very successful/high skills
3.41-4.20	high	Successful/high skills
2.61-3.40	Moderate	Fairly successful/moderate skills
1.81-2.60	Low	Unsuccessful/low skills
1.00-1.80	Very low/nothing at all	Very unsuccessful/low skills

At inferential level, Pearson's Linear Correlation Coefficient (PLCC) Multiple Linear Regression analyses were used to correlate managerial skills and SSEs success.

## 6. Findings and Interpretations

### 6.1 Profile of Respondents

The profile or individual characteristics of SSEs in Kampala were of special interest to the researchers because they have been theorized to impact on their success. The findings revealed that; more than 56% of SSEs in Kampala were men, most of them were graduates (31%), majority were below 30 years (47%), 63% were sole proprietors, 50% employed less than 5 people and 67% of them had been in the business for less than five years.

## 6.2 Extent to which Managerial Skills were possessed by SSEs

Managerial skills were conceptualized in terms of conceptual, human and technical skills. Kampala SSEs rated the extent to which they possessed managerial skills, on a five point scale, where 1=very low or no ability at all; and 5=very high ability.

Table 4: Extent to which Managerial Skills were Possessed

Type of Skill	Mean	Interpretation
1. Conceptual Skill	3.23	Moderate
2. Human Skills	3.32	Moderate
3. Technical Skills	3.29	Moderate

All the three skills were moderately possessed. Kampala SSEs were good at socializing with and leading people they worked with like customers and employees. This however had an effect on the number of customers and other benefits arising from networks.

A high level of business conceptual skills implied that entrepreneurs developed good business plans. For Balunywa (2000), a good business plan is essential for developing a business opportunity to success, mentioning resource allocation skills as being critical at the beginning of a venture. Botha (2006) found that human skills (networking, mentoring and counseling, problem solving and recruiting employees) was high among more successful women entrepreneurs in South Africa.

Tushabomwe-Kazooba (2006) found inadequate management skills as a big internal problem of small scale business in western Uganda, mentioning troubles among partners as a big hindrance. Kampala SSEs exhibited a relatively higher level of human skills, a difference attributable to more educated entrepreneurs, unlike Western Uganda. Basil (2005) found low levels of technical skills like records management, financial/ budgeting, marketing and legal skills in Nigeria.

## 6.3 Extent of Success among SSEs

Table 5: Extent of Success among SSEs in Kampala

Type of Success	Mean	Interpretation
1. Internal Success	3.06	Fairly successful
2. External Success	3.27	Fairly successful
Overall success	3.17	Fairly successful

Kampala SSEs were less successful internally and more successful externally and on the overall fairly successful. This implied that whereas SSEs can earn relatively high profits, they might not put them on improving their life conditions (buying good food and other home utilities) rather, usually focus on expanding ventures (buying business assets and opening up new branches).

#### 6.4 Relationship between Managerial Skills and SSEs' Success

The null hypothesis of no significant relationship between managerial skills and SSE success was tested using Pearson's Linear Correlation Coefficient (PLCC), as indicated in Table 6.

Table 6: Pearson's Linear Correlations on Managerial Skills  
and SSEs' Success

Variables Correlated	r-value	Sig.
Managerial Skills vs. Internal Success	0.674	.000
Managerial Skills vs. External Success	0.715	.000
Managerial Skills vs. overall Success	0.740	.000

Managerial skills possessed significantly correlated with all aspects of success (all sigs.< 0.01) and that managerial skills all together were significantly correlated with success in general ( $r = 0.740$ ,  $\text{sig.} = 0.000$ ). While managerial skills were important for entrepreneurial success they were likely to influence external success more than internal success. Conceptual skills enable initiation and development of entrepreneurial activities, which result into success (Van Vuuren, 2002). Simpson et al (2003) contended that the ability to make a proper business plan positively influenced success of SSEs in South Africa.

In view of the findings of Harris and Wheeler (2005), human skills are enablers of entrepreneurs in defining and creating links with persons, objects and events needed to obtain resources and support for venture growth. Networking enables entrepreneurs to obtain information related to business opportunities, new business innovations, business linkages and partners, hence venture success. Since the entrepreneur cannot work in isolation, careful identification and developing beneficial networks enhances success than otherwise (Batjargal, 2006). Different dimensions of technical skills impact on business success differently; time management skills are crucial for identifying market opportunities timely; untimely planning may adversely affect sales; marketing skills enable entrepreneurs to identify and satisfy customer needs, leading to increased sales and profits (Price & Ferrell, 2005).

#### 6.5 Regression Analysis for Managerial Skills and SSEs' Success

To rank the influence of the three types of managerial skills on success, the following equations were used;

Functional equation

From equation 1, the mathematical equation was formed as;

.....2

Where;

= the constant; refer to conceptual, human and technical skills respectively. are regressions parameters, measuring predictive strength respective explanatory variables (conceptual, human, technical) have on success. Is the error term.

Table 7: Regression Analysis for Managerial Skills and SSEs' Success

Variables Regressed	Adjusted r <sup>2</sup>	F-value	Sig.
Managerial Skills vs. Success	0.558	104.746	.000
Coefficients	Beta	t	
(Constant)	0.773	4.904	.000
Conceptual	0.252	2.991	.003
Human	0.102	1.220	.223
Technical	0.445	6.060	.000

Considering equation 2, the estimated model became;

.....3

The results suggested that the three types of managerial skills taken together can positively and significantly predict SSEs success, accounting for 55.8% towards its variations (adjusted R<sup>2</sup>=0.558). Managerial skills were responsible for more than half variations in chances of success among Kampala SSEs. Such results may not be accidental as many researchers have indicated elsewhere. Since the managerial function of any business whether small or large touches all other enterprise factors, it is no wonder that they took a lion's share in influencing business success as a whole. While other factors like capital had been mentioned, they are of lesser influence than managerial skills because only a small amount of capital raised is enough to start a small business and if management is efficient, that capital can expand even without injecting in more and the business may experience success.

The two types of skills most critical in predicting success were conceptual and technical. Technical skills were more influential compared to conceptual. A one unit increase in one's technical skills is likely to increase success by 0.445 compared to what a one unit increase in conceptual skills is likely to bring (0.252).

## 7. Conclusions

A positive change/increase in an entrepreneur's conceptual, human and technical skills is likely to bring a positive change/increase in chances of success and vice versa.

Success of a SSE can be more predicted by technical and conceptual skills as compared to human skills. A one unit increase in one's technical skills brings more chances of success as compared to a one unit increase in either human or conceptual skills. Therefore whereas both technical and conceptual are important in fostering entrepreneurial success, technical skills are more important than conceptual skills.

## 8. Recommendations

The central/local governments, NGOs, bodies like private sector foundation, Uganda Small-scale Enterprises Associations, Ministry of finance and business managers/owners have responsibility and ability to comprehend problems and weak points identified in this study. They should address weak factors by promoting women entrepreneurs to start and own businesses, in order to promote gender equality in business and economic growth. Specific interventions are in key skills areas in this study and previous ones were found to be a major factor hindering success of SSEs, not only in Uganda but also Africa in general. One way to enhance skills development is to include a range of skills into the curricula within the education system. Uganda needs to identify the key skills relevant for proper initiation and management of business ventures.

The creation of support systems alone to help existing businesses may not help much, since few business support centers can be created in a poor country like Uganda. If graduates of a country enter the business world well equipped with competitive management skills, they may be more competitive compared to competitiveness created by the business support centers. The Ministry of Education and Sports and National Council for Higher Education should ensure that entrepreneurial skills in education institutions are priorities of Uganda.

Among priorities to create in Uganda is educating entrepreneurs and scholars on formation of joint ventures as well as limited liability companies, which are less risky in terms of liabilities and are easily recognized by funding institutions. Other skills are budgeting, resource allocation, cost management, resource mobilization, capital investment, assets management, risk management, capital management, marketing, business planning, time management, social networking, customer relationship management, goal setting, task identification, delegation, conflict resolution and communication skills.

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# Strategic Analysis of Hospitality Marketing Driven by Culture in Historical City: Comparable Case Studies in Tainan City

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#### Abstract

Recently, it's obvious that many hotels not only provide customized service, but offer local culture to give customers different experiences. Luxury decoration and fancy equipments are not enough anymore. Customers expect that hotels not just as an accommodation, but connecting to their trips. Therefore, culture becomes significant when developing marketing strategy for hotels. Tainan, located in south of Taiwan, is the city full of culture that some hospitality industries promote their hotels exactly base on culture.

Historic TAINAN (台南; táinán), is a city of ancient monuments, delicious food and, above all, temples: there are more gods worshipped and more festivals and rituals observed in Tainan than in any other place in Taiwan. The oldest and most absorbing parts of Tainan are historic Anping, on the west side of town by the sea, and the cultural zones in the heart of the old city; the latter were created specifically to make things easier for visitors, with city information, signs and maps tailored to each zone and well marked in English. The Chihkan, Dong-an Fang, Five Canals and Confucius Temple cultural zones contain the richest concentration of sights – reckon on spending at least two days to do them justice.

As a result, the study aims to analyze the significance of culture on marketing strategies and C and H two hotels in Tainan city as case studies conducting the comparison of cultural marketing and experience marketing to provide a framework for hotels to develop their marketing strategies.

Key words: cultural marketing, hospitality, historical city

#### 1. Introduction

Nowadays, the government is making effort on promoting Taiwan's tourism. The tourism includes lots of related industries, and accommodation is one of the related industries while developing tourism. Therefore, every hotel all wants to share this market to get profits. However, how to be special and unique among lots of competitors has become a big issue for each hotel industry.

Tainan is a city full of culture and local specialties which is very suitable for designing a trip for deep culture. Therefore, hotel industry could design a trip that connects with local festivals, such as Yanshui Beehive Fireworks or Matsu International Festival. They all represent Tainan

culture. In addition, Tainan is also famous for its snacks. Hotel industry could use this feature to develop a delicacy trip and provide a map for customers. However, in order to make the difference with other hotel. The culture or delicacy trip should be designed by hotel itself and let hotel's staff to experience it again so that they can discover customer's needs and difficulties. Eventually, recently, there is one kind of group emerging among young generation. Usually, they like to experience culture, especially something old but meaningful. Tainan is popular place for them to visit. With this trend, hotel industry could add more culture elements on their interior design. For example, holding a photography display to describe Tainan's development process could attract them to come and then stay.

Unlike the tourism in an urban city follows with boutique stores and fancy restaurants, people travel to a rural city more like to explore the local history and culture. In terms of this point, hospitality industry is supposed to take history and culture into consideration when developing marketing strategies. Therefore, Tainan as a historical city full of culture and heritages, local hospitality industries have strong advantages on cultural marketing. Apparently, most of tourists travel is because of the destination. In general, hotel is just a place to take rest. However, this study aims to take hotel as a base using culture strategies to attract tourist to visit Tainan.

As mentioned above, tourism destination is a key factor for travelling. In order to appeal tourists to take hotel as a base to explore Tainan, the marketing could begin with the features in Tainan. Many people come to Tainan absolutely for visiting the heritages and historical culture. If hotel industry could provide an access to know Tainan before traveling, hotel will be a key factor for this trip. Furthermore, cultural tourism gradually is popular around the whole world. Tainan is famous as an historical city. Many cultural tourists will be attracted by its history and culture.

In this way, each hotel industry could develop their uniqueness and use this position to attract their customers. For example, hotels that are positioned as culture creativity hotels. The interior design of hotels could connect with local culture and even designed by native artists. Besides, planning some theme tours related to local culture and establishing some art exhibitions would appeal customers from different fields and even from different countries. Those features provide more culture values for hotel industry that many of their customers would love to take their hotels as the base to start their trips.

## 2. Literature review

### 2.1 Marketing

In general, marketing always was seen as a domain belongs to business. However, the American Marketing Association gives marketing a wider and more modern definition. "Marketing is the process of planning and executing the conception, pricing, promotion, and distribution of ideas, goods, and services to create exchanges that satisfy individual and organizational goals." (AMA 2012.2).



Furthermore, Laura Koivula states a more comprehensive perspective while taking the term marketing as a whole is that holistic marketing consists of four main factors: relationship marketing, integrated marketing and socially responsible marketing. Besides, marketing is composed of organizational culture which means that the beliefs and values are based on the customer's needs to maintain profits. (Kotler, 2012, 27)

When it comes to marketing, selling is always being concerned. On the other hand, according to Kotler, marketing is "identifying and meeting human and social needs." (Kotler and Keller 2012, 27). In terms of marketing, realizing customer's needs is vital when planning marketing strategy. As a result, there is a concept from Lehman and Winer that marketing plans owns more concreted objectives and strategies based on business such market share and aiming the small business segment. Moreover, strategies are covered in marketing plan which is closer to achieve short-term output. (Lehman and Winer 2002, 4.)

### 2.1.1 Experiential Marketing

Traditional marketing was focused on functional features and the benefits they comprehended for the consumer, product categories were narrowly defined as well as competition was; rationality was the base of customers for the decision-making process; and methods were verbal, quantitative and analytical (Nuno da Silva Vilaça de Freitas 2009).

Elsa SNAKERS and Elise ZAJDMAN also claim that "Does experiential marketing affect the behavior of luxury goods'consumers?" the experience marketing is that customer's sometimes are rational or emotional. A delightful experience is important for them. Customer satisfaction always is followed by a great experience. Company could gain higher competitive advantage from customer's wonderful experience. There are five difference kinds of experience to influence customers, followed by sense, feeling, thinking, acting and relating (Schmitt, 1999).

The atmospheric elements have a significant impact on customer perceptions of the supermarket shopping experience Al Bor, Essam (2011). The important element of customers in convenience (including parking, opening hours and location) was "shopping experience." The enjoyment in the supermarket was significantly related to internal atmospheric elements. On the other hand, a precise prediction of the enjoyment level with respect to shopping experience was not found. Open-ended questions have provided extensive valuable information about pleasant and unpleasant customers' experience along with a huge amount of recommendations. Environment in this thesis is quite important for a memorable experience.

However, each element is supposed to connect with other one or two in order to achieve efficient result on influencing customer's decision making. When the trend of service-based marketing offerings is increasing, a successful experiences for customers is important in order to obtain competitive advantage and customer satisfaction. A successful experience is that they have unforgettable memories that they would like to experience it again and share this wonderful experience with others a (Pine and Gilmore, 1998) from Natalia Vila-López, MaCarmen Rodríguez-Molina, (2013). In addition, customers not always purchase by rational choice,

sometimes as just as impulsively driven by emotion. Therefore, Schmitt indicates that there are several methods to analyze experience for obtaining customer's insights from Experience Marketing: Concepts, Frameworks and Consumer Insights By Bernd Schmitt

Moreover, experiential marketing is to help consumer to experience a brand or a service. Consumers can experience more comprehensively human senses by experiential marketing more than advertising on poster or radio from Chris Pentz Charlene Gerber "The influence of selected senses on consumer experience: A brandy case." In addition, with the experimental marketing, customers tend to build brand loyalty and further affect their decision making. The main purpose is to connect customer with emotion from Mahara "Experiential Marketing – A case study of Starbucks."

### 2.1.2 Cultural Marketing

Elise MEYER and Ingrid BERNIER proposed that culture is consisted of three components. Belief is one part of culture that affects our perspective and judgment on one particular object or phenomenon. Another component of culture is value. Individuals take value as a indicator to differentiate right or wrong action. In general, this value is considerably accepted by a certain area. Custom also belongs to culture. A custom represents particular behaviors in certain occasions. Usually, some main events or festivals are the evidence of culture. Culture is evolved from a region that people are influence by each other and finally affect one's decision.

Cultural and heritage tourism becomes more and more popular among the tourism industry. Nowadays, people tend to choose the trip with adventure, culture and history. In addition, tourists would like to discover local life and have experience with the native said by Jin Huh from "Tourist Satisfaction with Cultural/Heritage Sites: The Virginia Historic Triangle"

While promoting culture on tourism, the target customers also should be taken in account. Rami Isaac's thesis "Understanding the Behaviour of Cultural Tourists" proposed that a group of tourist called cultural tourists tend to spend more time on travel. Besides, they also travel more often than other tourists and would love to join activities. For those cultural tourists, they all have engaged in some historic events from their previous travelling experience.

As cultural tourism becomes a trend, the book "Event Tourism and Cultural Tourism

Issues and Debates" edited by Larry Dwyer and Eugenia Wickens suggest cultural tourism theme includes issues such as socio-cultural and environmental impacts of tourism development; tourist experiences, motivations and behavior; development of cultural tourism; hosts and guests; Community participation; living heritage; and destination image and branding. Roseline Dalton also advocate by saying that cultural tourism takes about one thirds of all tourism business which leads to the attractiveness and competitiveness of tourist destination. Roseline Dalton divides the cultural tourism into four fields. There are traditional culture, living culture, natural heritage, and built heritage. He also lists some elements for each field below.

Cultural tourism sector	
Traditional Culture	I Traditional music, song and dance
	I Language
Living Culture	I Performing arts such as modern dance, theater, classical and modern music
Natural Heritage	I Geological and ecological systems
	I Local distinctive landscapes
Built Heritage	I Historic houses
	I Heritage center
	I Historic towns

Table1 Cultural tourism sector

### 2.1.3 Cultural Event Marketing

Ahmed Ghazal (2011) states that the definition of event an event is defined as,

“anything which happens; result; any incidence or occurrence specially a memorable one; contingency or possibility of occurrence; an item in a program (of sports, etc); a type of horse-riding competition, often held over three days (three-day event), consisting of three sections, like dressage, cross-country riding and show jumping; fortune or fate (obs); an organized activity at a particular venue, like for sales promotion, fundraising.”

On the other hand, for the definition or description of cultural festival, there is one statement from Dr Allan Jepson. According to Dr Allan Jepson, cultural festivals have developed into a prominent area of tourism research as a result of the great depth and diversity they possess whether from a local community context which is examined here, or to that of an international festival context which could be regarded as a tourism attraction in its own right. Developing cultural opportunities or enhancing existing ones by maintaining a motivational or consumption is focusing on demonstrating how and why festivals attract visitors and become successful. The festival literature base though does not reveal much with regard to how festivals are constructed or produced, nor does it distinguish how cultural events or festivals can best represent the local community

Festivals belongs to a component of events and contributes it comprises of art, culture, drama and, many other fields, which adds a lot to the events and tourism industry. Festival creates the culture and promotes tourism as well. Festivals are the symbol of recognition for any country and attract visitors to the place from “Imapcts of cultural events on tourism in Finland” by Ia-tazaz Hussain.

In the thesis “A thesis submitted for the M. A. degree in cultural economics and cultural entrepreneurship, Erasmus University, Rotterdam”by Ying Wang states that cultural festivals and events cultivate multi-cultural and intercultural communication that can promote understanding between the host and the guest. It is also believed that a city or a region can make a name for

itself by establishing its competitive position among countries through tourism (Smith,2004)

### 3. Methodology

This chapter is to illustrate the methods conducted in this study and describe the usefulness of those methods when doing a research. Moreover, the contents of this chapter include the reasons to use those research methods and how the results could be applied on this study.

According to Elin Grimsholm and Leon PobleteQualitative (2010), in general, there are two main research methods for data collection. Most researchers use qualitative and quantitative methods for conducting research. While quantitative is the method more related to the analysis of number, qualitative method usually is an approach about case studies. Sometimes, the data is obtained by studying some objects. Besides, researcher's insight and interpretation are quite important for qualitative method. In addition, Gunnarson (2002) argues that qualitative method provides more comprehensive point of views rather than quantitative. Youkam Germaine Chuba (2012), states that qualitative research includes variety of methods by personally interviews, self observation to collect relevant information. Observing or participating in marketing activities of certain hotels in a region is useful for data collection. Collecting secondary data is also included in qualitative method. Bryman and Bell (2007) claim that secondary data generally received from some literature, journals or articles which some researchers have collected.

There are many ways for conducting research by qualitative method. In order to deduct the theory that culture element is supposed to be applied on hospitality marketing in a historical city, the method of this study taking C and H hotels which are successfully embraced in Tainan city as case studies to collect data and propose the interpretation and conclusion from the results. Therefore, the data collection will perceived from self observation, interview, and secondary data. Moreover, for more holistic data collection, the internet resources are used as the references in this study.

### 4. Case Study

#### 4.1 H Hotel



Figure 1 H hotel (Source: <http://morrisyu.com/archives/2326>)

#### 4.1.1 Case Background

An old house located in a local market in Tainan city, after the restoration, the first hostel of H hotel chain is established. In 2007, H1 hotel started to provide accommodation for tourists. The birth of H1 hotel was the beginning by a group of members consisting of 2 owners and 5 old decorators. Now, H hotel chain owns 4 hostels in Tainan. Every hostel is all renovated from an old house. H1 hostel is the first house of owner's father, and the rest of hostels also belong to the owner's relatives. In some way, it represents the spirit of inheritance which is also a part of Tainan culture. In addition, the interior design preserves the traditional lifestyle of Tainan. Without replacing modern furniture, the decoration in each hostel conveys a kind of atmosphere which is Tainan lifestyle, relaxing and slow-path. In fact, there are many old houses in Tainan which most of them are decorated as bookstores or coffee shops. However, the owner of H hotel chain is the pioneer to renovate old houses as accommodation. So far, according to the online magazine "Business Next, 2012", H hotel chain already received for more than 3000 tourists from 26 countries, while half of the tourists are foreigners. The specialties of H hotel chain not only bring lots of domestic tourists but also foreign tourists when there's no advertisement. The power of mouth-to-mouth is quite strong and then leads H hotel to a successful result. When visiting Tainan, H hotel is always the first choice for tourist to stay that they can experience the real local life.

#### 4.1.2 Marketing Portfolio

##### 4.1.2.1 Cultural Marketing

While stepping into the hotel, the music accompanying let tourists know they arrive to Tainan. This is the first image of H hotel. According to the visitors of H hotel, the reason why they want to stay in hotel is because of the thick atmosphere of Tainan lifestyle. Apart from the furniture and decoration full of nostalgic, the quilt and mosquito net are also made by Tainan local manufacturers. Before starting to explore Tainan, tourists already could know the local culture by those details.

The culture elements in H hotel are not like cultural heritages with hundreds of years of history. The house is the combination of culture and life. H hotel provides not just the place to take rest, but tells tourists the life in Tainan. In addition, the owners enthusiastically receive tourist also represents the spirit of hospitality of Tainanese.

H hotel helps tourists to discovering Tainan begins by Tainan lifestyle. These features all reflect a part of Tainan culture.



Figure 2 The interior design of H hotel



Figure 3 The interior design of H hotel

(Source: <http://yopalit.pixnet.net/blog>)

## 4.2 C Hotel



Figure 4 C hotel (Source: <http://lohas.pixnet.net/blog/post/30767302>)

### 4.2.1 Case Background

C hotel was established in 1970s. However, after 40 years, due to some reasons, this hotels lead to the auction. One of local architects bought the hotel and made the resolution to renovate it as a different hotel. After the restoration, C hotel becomes a culture hotel, which preserves the traditional culture but infuses a new design. The owner keeps some original decoration to tell tourist the history of this hotel. At the same time, each room is redesigned by contemporary designers. According to the visitors of C hotel, she said the mix of new and old is the reason why she wanted to stay here. According to “Common Wealth, 2012”, more than 30 percent of tourists come back again to live in C hotel while most of hotel just have 20 percent.

### 4.2.2 Marketing Portfolio

#### 4.2.2.1 Cultural Marketing

Not only just providing accommodation, the staff of C hotel also plans trips for tourists. C hotel



takes itself as a neighbor to introduce the local trips for people who travel to Tainan. Unlike other travel plans, this kind of local trip includes the restaurants, destinations, stores where the native is used to going. While many tourism books introduce those famous restaurant or tourist spots, the main purpose of the local trip is to let tourist as a Tainanese to experience the daily life in Tainan. C hotel hopes tourist could discover the unique culture belongs to Tainan by experiencing local life.



Figure 5 Local community

(Source: jj-shotel.com.tw)



Figure 6 The interior design of C hotel

(Source: lohas.pixnet.net/blog/post)

#### 4.2.2.2 Culture Event Marketing

In addition, C hotel periodically launch different event connecting with culture to attract tourists. For example, one of traditions in Tainan is that when people get married, the bride will wear a traditional cloth which is customized. Therefore, on Valentine's Day, if the customer come to the hotel and order the honeymoon suit, the hotel will provide the traditional bride dress for them to experience traditional custom. Tainan still is the city more unsophisticated than others in Taiwan, so many traditional customs are preserved until now. Hence, C hotel wisely launches those marketing events connecting with local culture so that tourists who want to experience Tainan custom will be appealing to come to C hotel.

Another marketing strategies connecting with culture and event used in C hotel is "exhibition." As owner makes the resolution to position C hotel as a culture hotel, something must be distinctive from other hotels. In terms of culture, the art definitely can't be excluded from this field. Tainan is an historical city, used to be the capital of Taiwan. The historical development and culture evolution are considerably rich. The local artists use different materials and present in different forms to describe the development of Tainan. There is a meaningful story behind each work of art. Although some of artists are not prestigious for everyone, these art pieces all tell

the local stories in Tainan. Local artists have stronger connection with Tainan. In this way, what they tell or what they create would more describe the authentic history and culture to tourists. C hotel makes hotel not just a hotel. The hotel could be an art center, a base for culture interaction, or even a history museum. C hotel successfully integrate culture and event in marketing strategies which creates distinctiveness from other hospitality industries.

## 5. Discussion

### 5.1 Understanding Different Forms of Culture

According to Stanford Encyclopedia of Philosophy (2011), culture is, “culture is that complex whole which includes knowledge, belief, art, law, morals, custom, and any other capabilities and habits acquired by man as a member of society.” Culture exists with different forms in our life. It could be an organized system of learned behavior and also could be the value or thought patterns.

From the date of research and case studies, they describe culture with different forms. For example, the culture for H hotel is the description of local life. The house is the combination of culture and lives. Without words or pictures, H hotel hope tourists to realize the culture of Tainan by living in an old house which perceives the traditional furniture and decoration. Experiencing life to know the culture belonging to Tainan is the business philosophy of H hotel. On the other hand, although the traditional decoration also involved in C hotel, for them, the culture is more related to the connection of local community which is taking hotel as center to know the living area. Furthermore, custom also represents the local culture. C hotel makes traditional custom reappeared to introduce Tainan culture.

Culture is not just a term, but covers a lot of issues and fields. Simultaneously, there are a variety of forms or ways to present culture. Once having the awareness of broadness of culture, the culture could be applied on more fields.

### 5.2 Significance of Cultural Marketing

As the thesis mentioned above, culture could be presented or realized by several forms. The marketing strategies integrating with culture are also different from two cases. As a result, the significance of culture all can be told by these successful hotels.

Starting with H hotel, in fact, there are no obvious marketing programs to promote their hotel from this case. However, the effects of experience marketing and culture heritage lead them to a great success. First of all, the most important advantage is that their old house which are well conserved. The building conservation naturally brings some customers to them, which is also a type of marketing. This feature of traditional culture conserved successfully attracts those who want to experience local life to come. Secondly, apart from the existing advantage, delightful experience is one of factors to attract tourists. Experience marketing includes sense, feeling, thinking, acting and relating. In this way, when tourists walk into the hotel, what they see, feel, and hear, they will be happy about immersing in an environment full of Tainan lifestyle. Moreo-

ver, the owner's enthusiasm of H hotel is also very important. The history introduction of old house and passionate reception all represent the spirit of hospitality of Tainanese. Although, in the case of H hotel, they don't have a very clear marketing program, however, during the time of staying in hotel, what they experience is actually full of culture. Consumers can experience more comprehensively human senses by experiential marketing. A good experience will build brand loyalty in customer's mind and that's why the repeat rate of H hotel is thirty percent higher ten percent than other hotels.

On the other hand, there are more apparent examples on integrating the culture with marketing strategies in the case of C hotel. Taking itself as a culture hotel, certainly the culture should be involved. However, apart from the existed culture elements such as traditional furniture and decoration, C hotel also takes advantages of culture to design different marketing strategies. One of the marketing strategies is that they periodically launch different events which are origin from traditional custom. For instance, a custom in Tainan is that bride needs to wear a traditional cloth which is seldom being seen in Taiwan. Especially, this kind of cloth usually is made by customized. The marketing strategy of this culture event is inviting customers to accommodate in C hotel and then a traditional cloth will be given to them. The strategy of giving gifts to appeal customer is not rare. However, once the gift is connecting to culture or related to some history, this will be more attractive for customers. Another example of marketing connecting to culture is exhibition. C hotel holds the exhibition by collecting some art pieces which are telling the development of Tainan or having the history background. This marketing makes C hotel distinctive from others. The exhibition may appeal different groups such as cultural tourist or people who appreciate art, and so on. Those marketing strategies all connecting with culture and brings more customers to C hotel.

### 5.3 Comparable Findings

From the case studies, each hotel has its own features based on "experience marketing, cultural marketing, and culture event marketing." As we can see that H hotel owns more advantages on experience (old house, Tainan lifestyle, and mouth-to-mouth). On the other part, there are more cultural marketing (local trip, culture hotel, a mix Tainan lifestyle) and culture event marketing (traditional custom, exhibition) in the case of C hotel. In order to make a clear comparison between two cases, a comparable finding table is below.

	H hotel	C hotel
Experience marketing	<ul style="list-style-type: none"> <li>I Old house (hearing, feeling, seeing)</li> <li>I Tainan lifestyle</li> <li>I Mouth-to-mouth</li> </ul>	<ul style="list-style-type: none"> <li>I A combination of culture, art and life</li> </ul>
Cultural marketing	<ul style="list-style-type: none"> <li>I The enthusiasm represents the hospitality of Tainan</li> </ul>	<ul style="list-style-type: none"> <li>I Planning local trip</li> <li>I Culture hotel</li> <li>I A mix of old and new Tainan lifestyle</li> </ul>
Cultural event marketing	--	<ul style="list-style-type: none"> <li>I Cultural event (marriage custom)</li> <li>I Exhibition</li> </ul>

Table 2 comparable finding

## 6. Suggestion

According to the data of research and two cases and findings, culture would be a crucial element on marketing strategies for hospitality industries in a historical city. The culture in a historical city is more vivid than visiting business cities. The culture includes not only history but the life of local people. The development of a city can be understood from the change of lifestyle. In addition, experience marketing is a key point to make those hotels popular. The success of H hotel is that they have great buildings which are conserved very well and completely represent Tainan lifestyle. Hotel's owner enthusiastically receiving tourists also represents Tainanese's spirit of hospitality. Owner's passionate reception and history telling create a good experience for tourists. C hotel not only uses advantage of old building, but connects more culture elements on marketing strategies. Examples of planning local trip or holding exhibition are also the strategies of culture integration. The tourists of both hotels all can sense plenty of local culture surrounding with them. While increasing more luxury facilities or high-class suites, tourist who travel to a historical city more concern the experience related to culture. According to the owners from tow hotel cases, the tourists all like the hotel provides the changes of experiencing new life and gaining more knowledge.

Therefore, combining the advantages from two case studies, tourists love to experience local culture when choosing the accommodation. The travelers not only are attracted by the visual objects such as old building and nostalgic furniture, but like to experience lifestyle through particular activities and events. As a result, from the analysis and findings the hospitality industry in historical city could wisely use old buildings in local area. Perceiving existed culture and infusing new meaning while renovating old accommodation is an increasing trend for hotel's promotion. On the other hand, culture research would be a direction for hotels to conduct. Every city all has its own culture and history. Properly applying those elements on marketing strategy would make hospitality more distinctive and competitive.

To make a conclusion, Tainan is a city full of history story, culture, and its own lifestyle. These local characteristics are only can be experienced in Tainan. Hotel industries are recommended to combine those elements with marketing strategy. In addition, the culture marketing belongs to one of storytelling promotion strategies. Once hotel packaged Tainan city as an attractive city, this promotion strategy would lead more tourist to travel in Tainan. Hence, the tourists would tend to live in a hotel which can enable them to experience more local culture, successfully appeal more customers for industries.

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## PEACE AND SOCIAL CONFLICTS IN NIGERIA; TOWARD BETTER MANAGEMENT AND RESOLUTION

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### ABSTRACT

Conflict has remained a part of human existence. It is really endemic in human society as virtually all parts of the world have witnessed it at different times. Since conflict has become part of human existence, most states have developed mechanisms for managing it when it arises. Nigeria has not been an exception to the pervasiveness of conflict, as it has witnessed so many violent conflicts in the past. This study tries to explain the fundamental reasons behind violent social conflicts in Nigeria premised on the human needs theory. The identified factors include the heterogeneous nature of Nigeria, the British policy of divide and rule, ethnicity, religious differences and intolerance, poor judicial and policing system, injustice and marginalization, fight over scarce resources, poverty and criminal inequality. In the light of the above, the study believes that the problem of violent conflicts in Nigeria can be addressed through the process of nation building, enthronement of good governance and democracy, police and judicial reform, tackling religious intolerance and poverty alleviation.

Key words: Conflict, Peace, Good Governance and Democracy.

### Introduction

The world we live in is indeed a world of conflicts. Conflicts are widespread in virtually all parts of the world, but more predominant in developing regions of the world. It is this pervasive nature of conflicts that has given the phenomena a visible position in social discourse, news media and world affairs. Conflicts are now seen as part of human existence as no group can be said to have permanently eliminated conflicts from its interactions. These conflicts are caused by different factors and also take on different colourations. Thus there is no universal causes of conflicts, neither is there any universal pattern, hence each conflict is somewhat different and unique. Due to the pervasive nature of conflicts in human societies, most societies have fashioned out means and mechanisms for managing them whenever and wherever they arise.

Conflict is endemic in human society. It is a reality, which all societies from the prehistoric times till the present have witnessed. Conflict according to Coser «is a struggle over values and claims to scarce status, power and resources in which the aims of the opponents are to neutralize, injure or eliminate their rivals»<sup>1</sup>. It is seen by Otite “as arising from the pursuit of divergent interests, goals and aspirations by individuals and, or groups in defined social and physical environments”<sup>2</sup> However despite the pervasiveness of conflict in human life, man has not been able to either adequately explain its causes or find lasting solutions to it. Thus Mark

and Snyder (in Faleti ) opine that:

Given the pervasiveness of conflict phenomena and the diversity of approaches of enquiry, it is legitimate to ask whether the apparent intellectual disorder reflects an inherently incoherent focus of social analysis-a focus artificially created by a label or whether the disparateness of data interpretations is due in part to interdisciplinary compartmentalism, to academic individualism, or rapid growth, with its consequent inattention to direction.<sup>3</sup>

Perhaps, the complex and changing nature of conflicts may have contributed to this seeming 'anarchy' of approaches, while the environmental context may also have contributed to this. However, we must emphasize here that the perception by some people of conflicts as being purely negative or dysfunctional, is incorrect, because in some cases something good does come out of conflicts. The Hegelian dialectics of Thesis-Antithesis-Synthesis emphasizes that contradiction leads to tension and conflict, while its resolution brings about social change that takes society to a higher level of development. It is on this view of dialectics that, Karl Marx was able to build his theory of society. Thus, mans concern with conflict should not really be on how to eradicate it (in any case this is not possible) but on how to manage it so that it does not become destructive through violence but constructive through leading to positive changes.

This work is essentially tailored towards this direction. It tries to look at the causes of violent conflicts in Nigeria and the responses towards its management. In doing this, this work is divided into five sections including the introduction. The second is the conceptual clarifications. The third is the theoretical framework while the fourth treats the causes of violent conflicts in Nigeria, Section five presents the Conclusions from the study.

### Conflict Resolution, Management and Transformation

Conflict Resolution entails series of measures initiated in a conflict situation in order to finally terminate the conflict. According to Best, conflict resolution connotes a sense of finality where the parties to a conflict are mutually satisfied with the outcome of a settlement and the conflict is resolved in a true sense<sup>4</sup>. He also cites Mitchel and Banks (1996) who see conflict resolution as referring to; (i) an outcome in which the issues in an existing conflict are satisfactorily dealt with through a solution that is mutually acceptable to the parties, self-sustaining in the long run and productive of a new positive relationship between parties that were previously hostile adversaries; and (ii) any process or procedure by which such an outcome is achieved.

From the above, it becomes clear that conflict resolution works towards a final settlement of disputes. In this instance the parties to a dispute are fully satisfied with the terms of settlement and the conflict is finally resolved. It must be noted that most conflicts can hardly be resolved, hence, the resort to conflict management and transformation.

**Conflict Management:** is seen as a process of reducing the negative and destructive capacity of conflict through a number of measures and by working with and through the parties involved in that conflict<sup>5</sup>. He sees it as covering the entire area of handling conflicts positively at different stages, including conflict limitation, containment and litigation. To Otite<sup>6</sup> it is more of a long-term arrangement involving institutionalized provisions and regulative procedures for dealing with conflicts whenever they occur. Conflict management, is a product of the realization that conflict is endemic and inevitable in human life and that since conflicts can hardly be resolved, the best thing to do is create institutions and initiate measures aimed at the limitation or containment, that is management of conflicts whenever they arise.

**Conflict Transformation:** is a summary term for a complex web of inter dependent factors-the parties concerned, social relationships, the changing positions and roles of interveners, and the moderation of planned and unintended consequences<sup>7</sup>. Conflict transformation stems from the idea that conflict brings about changes in perceptions and relationships of the parties involved, hence an attempt to transform this changes into more positive ones. Thus Lederach argues that «conflict transformation represents a comprehensive set of lenses for describing how conflict emerges from, evolves within, and brings about changes in the personal, relational, structural, and cultural dimensions, and for developing creative responses that promote peaceful change within those dimensions through non-violent mechanisms<sup>8</sup>. More comprehensively, Best, sees conflict transformation as stemming from the recognition of the dialectical element of conflict about the inevitability of change. Secondly, it recognizes the neutrality of conflicts as such, and that conflict can be either negative or positive, but parties can transform it into positive to maximize opportunities. Finally, there is the continuity element, meaning that parties and interveners continue to work on problem areas to achieve continuous change<sup>9</sup>.

#### Theoretical Perspective:

As already stated above, there are many theories of social conflict competing for attention in the great task of identifying the causes of and solutions to conflicts. Thus we have the structural Conflict Theory, the Biological Theories, the Realist Theories, the Human Needs Theory, the frustration-Aggression Theory and the Relative Deprivation Theory among others. A review of these theories shows clearly in actual fact that no single one of them can adequately be used to explain conflicts everywhere and every time. However on a more general note, we identify the Human Needs theory as being of a practical help in trying to explain the causes of violent conflicts in Nigeria. The reasons for this have to do with the fact, that despite the orientations of the other theories, they invariably acknowledge the place of human needs in conflicts. These needs may be labeled interests or values. Secondly the needs theory is helpful in explaining conflicts in a society of acute scarcity and poverty like Nigeria. We now turn to the theory.

The Human Needs Theory is premised on the assumption that all human beings have some basic needs which they hope to meet and that if these needs are not met due to the activities of other groups or individuals, the frustrations they feel might lead to conflict. The basic assumptions of this theory are clearly similar to those of both the frustration-Aggression and Relative

Deprivation theories.

Though the needs identified by the theorists of this school differ, they can all be situated within the needs categories of Abraham Maslow. These are physiological needs, safety needs, belongingness needs, esteem needs and self-actualization needs<sup>10</sup>. Some authors who have written on this theory include Burton (1972), Rosati et al (1990) Azar(1994), Gurr (1970) and Neef (1991) among others.

There is a clear relationship between frustration and aggression in the sense that the man or group that feels frustrated because of his/ their inability to get something he/they consider very important for existence, and can also link this inability to the actions/inactions of somebody or group will definitely not be happy with the person or group. Now the reaction of that person or group or the expression of that anger could result in aggressive behaviour if that is seen as being helpful towards the accomplishment of the desired end. In Gurr's relative deprivation thesis which is clearly a needs theory he posits that:

The greater the discrepancy, however marginal, between, what is sought and what seem attainable; the greater will be the chances that anger and violence will result<sup>11</sup>.

In formulating their frustration-aggression, Dollard et al, states that the motivational strength towards aggression is a function of three factors. First, the reinforcement value of the frustrated goal response, second, the degree of frustration of the goal-response and thirdly the number of frustrated response sequences<sup>12</sup>. Van der Dennen (nd) argues that the first of these two propositions are straight forward because;

Aggression-potentiating annoyance is seen to increase with

the incentive that could be obtained or the aversion that could be terminated by the blocked goal reaction. furthermore, frustration can be incomplete and thus a goal reaction can be partially completed. The third proposition is less direct, however. It is meaningful only if it is assumed that frustration-induced annoyance is innovative. It is apparently held that "aggressive drive resulting from frustrations is somehow maintained within the organism and adds up to a level at which an otherwise tolerable frustration evokes aggression. Dollard et al were, in fact very explicit about the assumed addictively of aggressive forces. They posited that the strength of a hostile or aggressive reaction depends in part on the "amount of residual instigation from previous or simultaneous frustrations" "minor frustrations" they suggested add together to produce an aggressive response of greater strength than would normally be expected from the frustrating situation that appears to be the immediate antecedent of the aggression<sup>13</sup>

Despite attempts by many other scholars like Berkowitz 1952, Pastore 1952 among others to modify or revise this theory, its main argument that inability to achieve a goal may lead to frustrations and that these frustrations could lead to aggression has remained valid.

According to Faleti, Burton identified a link between frustrations which forces humans into acts of aggression and the need on the part of such individuals to satisfy their basic needs. Individuals cannot be taught to accept practices that destroy their identity and other goals that are attached to their needs and because of this, they are forced to react against the factors, groups and institutions that they see as being responsible for threatening such needs. We can actually locate the causes of most communal conflicts in Nigeria within the ambit of the above reasoning.

### Causes of social conflicts in Nigeria

The factors which we have identified has been responsible for social conflicts in Nigeria can be grouped into two. They are political and economic factors.

#### Political factors:

- a. The Heterogeneous nature of Nigeria:
- b. British policy of divide and rule and ethnicity.
- c. Religions differences and intolerance
- d. The Judiciary and Nigerian Police
- e. Injustice And Marginalization

(a) The Heterogeneous nature of Nigeria: Nigeria is a heterogonous state with numerous ethnic groups. As at today there is no agreement on the exact number of ethnic groups in Nigeria. Thus, Ayantayo believes that “it is assumed that they number between 200 and 400..... these are chiefly identified on the basis of the languages they speak”<sup>14</sup>. On the other hand Obikeze and Obi , argue that there are about three hundred and eighty nine (389) ethnic groups in the country<sup>15</sup>. The co-existence of these large number of ethnic groups in Nigeria has been very problematic. It must however be emphasized at this stage that the presence of many ethnic groups in a state is not a sufficient reason for social conflicts, however as Nnoli has argued that “under conditions of the politicization of ethnicity and the use of government powers for inter ethnic socio economic competition, ethnic hostility is inevitable”<sup>16</sup>.

British policy of divide and rule and ethnicity. Nigeria is a creation of the British, as there was no Nigeria nor Nigerians before the coming of the British. Incidentally when the British decided to wield the disparate kingdoms, Chiefdoms, nations, ethnic groups and people into a state known as Nigeria they did not make any conscious effort to forge a semblance of unity among them, instead all policies and opportunities were used to emphasize the separate identities of people. The British made the people recognize that they were “separated from one another by great distance, by differences of history and traditions and by ethological, racial, tribal,

political, social and religious barriers”<sup>17</sup>. This explains why Sir Hugh Clifford in his criticism of the National Council of British West Africa’s trip to London in 1920 did say among other that if:

this collection of self-contained and mutually independent Native States, separated from one another, as many of them are, by great distances, by differences of history and traditions, and by ethnological, racial, tribal, political, social and religious barriers, were indeed capable being welded into a single homogeneous nation- a deadly blow would thereby be struck at the very root of national self-government in Nigeria, which secures to each separate people the right to maintain its identity, its individuality and its nationality, its own chosen form of government; and the peculiar political and social institutions which have been evolved for it by the wisdom and by the accumulated experience of generations of its forebearers<sup>18</sup>.

In analyzing the above statement, Coleman emphasized that it revealed the British governments basic attitude towards the concepts of self government, patriotism, nationality and nation reflecting in:

- (1) The idea of Nigeria nation was inconceivable, and the government was determined to oppose its development;
- (2) National self-government was a concept applicable only to “self-contained and mutually independent Native States”.
- (3) True patriotism and nationalism were sentiments that must be directed to those “natural” units;
- (4) The question of ultimate control of the super-structure binding these separate states together in modern political unit was then outside the realm of permissible discussion<sup>19</sup>.

No doubt, the colonial authorities were quite aware of the biblical saying that a house divided against itself cannot stand and therefore used every opportunity available to them to keep the people divided. This situation was well captured by Um Nyobe leader and founder of the Cameron Workers Party (UPC) when he said that;

they (the colonizers) set one tribe against another in  
making the one believe that they are richer and would  
dominate the country. They simply wish to draw out  
of the peoples hatred more profit and the Prolongation  
of everybody’s misery<sup>20</sup>.

In the same vein, Obikeze and Obi have argued that though colonization did not create the differences among Nigerians, not much (if anything at all) was done to reduce the impact of these differences in the political and socio-economic life of the country<sup>21</sup>. The most unfortunate aspect of this, was that immediately Nigerians imbibed these ideas of their differences, they



went a step ahead and started making intemperate utterances that sowed the permanent seeds of discord in the nations body politic. Alhaji Tafawa Balewa who was to be the nations first Prime Minister had in a speech at the Nigerian Legislative Council on March 24 1947 said “I should like to make it clear to you that if the British quitted Nigeria now at this stage the northern people would continue their interrupted congest to the sea” <sup>22</sup>. In the same year, the same Balewa did say that:

Since the amalgamation of southern and northern provinces in 1914, Nigeria has existed as one country only on paper.....it is still far from being united. Nigerian unity is only a British intention for the country <sup>23</sup>.

Chief Obafemi Awolowo, one of Nigerian’s foremost politicians in the struggle for independence had argued than that;

Nigeria is not a nation; it is a mere geographical expression. There are no “Nigerians” in the same sense as there are “English” or “Irish” or “French”, the word Nigeria is merely a distinctive appellation to distinguish those who live within the boundaries of Nigerian from those who do not<sup>24</sup>.

This British believe in the differences among Nigerians was also illustrated by Sir Arthur Richards statement that;

It is only the accident of British suzerainty which has made Nigeria one country. It is still far from being one country or One nation socially or even economically,...socially and politically. These are deep differences between the major tribal groups. They do not speak the same language and they have highly divergent customs and ways of life and they represent different stages of culture<sup>25</sup>.

It was with this mindset of exaggerated differences among Nigerians that generated hatred, jealousy and mistrust that eventually set the stage for ethnic violence. Since the people are different and can never be the same, all struggles were waged as of antagonistic groups. In these struggles the various ethnic groups developed an ‘in’ group and ‘out’ groups are usually perceived as threats to the survival of the ‘in’ groups and must therefore be decimated and annihilated. This is the basis for the inter-ethnic violence clashes we have witnessed in Nigeria prior to and after the attainment of political independence.

Religions differences and intolerance: Islam and Christianity are the two dominant religions in Nigeria, while Islam preponderates in the north, Christianity preponderates in the south, though southwest and north central zones can be said to have a balanced number of both religions.

Section 10 of the 1999 Constitution provides that “the government of the federation or of a state should not adopt any religion as state religion<sup>26</sup>” Section 38 (1) provides for right to freedom of thought conscience and religion. Despite these elaborate provisions, the federal government and the various state governments have found it politically expedient to meddle into purely religions affairs and even spending billions of naira, religious on matters which ought to be purely personal to the individuals involved. Some northern states have even adopted state religions against the dictates of the Constitution. Though many reasons have been adduced for high rate of religious violence in Nigeria, these can be compressed into poverty, corruption, non-implementation of previous probe panel reports, impunity of past perpetrators of the violence, proliferation of preachers and worship centres, provocative and inciting utterances, sensational journalism, political manipulation of religious differences. We may add the twin factors of illiteracy and ignorance. Kukah believes that “the political elites across the country have thus added the religious card in the game of politics as a means of establishing more sustainable cleavages”<sup>27</sup>. This explains why most religious disturbances and riots in the northern part of Nigeria mainly have political undertones. As Kukah further posits “the apparent silence of the traditional and political classes among the Muslims rather fuelled the feelings that they were the sponsors of these riots”<sup>28</sup>.

**Bad judicial system:** The judiciary is supposed to be seen as the last hope of the common man due to its position as the institution which an aggrieved party can seek redress. However, in present day Nigeria where corruption has permeated the judiciary, justice is mainly for the highest bidder. This coupled with the high cost of litigations and its lengthy nature has conspired to reduce the confidence of Nigerians in the judiciary as an institution for redress. As people have little confidence in the judiciary, they increasingly resort to self help whenever they feel aggrieved. In some instances, when people go to the courts to resolve disputes, miscarriages of justice arising from a compromised judiciary have at times led to violence from the aggrieved parties.

**The Nigerian Police:** Nigeria is one of the most corrupt countries in the world today. In 2012, Nigeria was rated the 35th most corrupt country in the world out of 176 countries surveyed by the transparency international (<http://cpi.transparency.org/cpi2012resnets>)

In 2013 the country was rated out 177 countries surveyed (<http://cpitransparency.org/cpi2013>). The Nigerian police is considered the most corrupt public institution in Nigeria. Though many reasons account for the sorry state of the Nigerian police, the 2008 Presidential Committee on the reform of the Nigeria police force observed that despite the enormous growth in the size of the force which more than doubled the number under the past Obasanjo administration, very little if any, attempt was made to upgrade the police training institutions and as a result Nigeria is now saddled with a very large member of unqualified, under-trained and ill-equipped officers and men many of whose sustainability to wear the respected uniform of the force is in doubt (<http://www.nigerpolicewatch.com>) .

The resultant effect of the above is that policing in Nigeria is terribly poor. The members of the force collect bribes with impunity, miscarry justice, work for the rich and oppress the poor the-

reby making most of them to resort to self help. They are incapable of detecting latent conflicts in order to nip them in the bud. There is no doubt that a more pro-active police force would have been in a better position to take preemptive actions to avert violent clashes at the planning stages before they explode, but have instead helped to instigate violence clashes through actions and inactions.

**Injustice And Marginalization:** - The effect of this factor in fueling crisis in Nigeria can be better understood within the framework of the frustration-Aggression thesis. This was proposed by Dollard, Drob, Miller, Mower and Sears in 1939. According to them, frustration is the state that emerges when circumstances interfere with a goal response (<http://www.appstate.edu/>). They further posit “that the occurrence of aggressive behaviour always presupposes the existence of frustration always leads to some form of aggression”<sup>29</sup>. Kendall sees the summation of the theory as simply stating that people who are frustrated in their efforts to achieve a highly desired goal will respond with a pattern of aggression towards others<sup>30</sup>.

Based on the finding that the theories claim that aggression is always based on frustration and that frustration always leads to aggression were far too general, Miller had to modify the theory to state that “frustration produces instigations to a number of different types of response, one of which is an instigation to some form of aggression”<sup>31</sup>. Thus the modified theory states that (a) frustration instigates behaviour that may or may not be hostile or aggressive (b) any hostile or aggressive behaviour that occurs is caused by frustration. This means frustration is not a sufficient, but a necessary contribution for hostility and aggression<sup>32</sup>.

Within the Nigerian state, many conflicts were consequences of frustration which led to aggression, but the most poignant remains the Niger Delta crisis. This is the area that produces the oil which oils the Nigerian economy and politics. Thus Obi has argued that the importance of oil in Nigerian politics is such that it is possible to discern a close intimacy between the fortunes of oil and the push and pull of forces within the Nigerian federation. He argues further that:

The nature of oil as a commodity of immense economic and strategic importance feeds into a combustible type of politics, clearly linked to zero sum struggles where vast providential wealth it bestows on those who control it. This often leads to the monopolization of powers over oil by the few who seek to defend their control of oil by any means and attempts to destroy any opposition or challenge to their monopoly of oil power. In a country of ethnic heterogeneity and elite fractionalization as in the Nigerian case, the struggles over oil merge with the struggles for power to fuel intense intra-ethnic competition in the Nigerian

federation<sup>33</sup>.

Thus the highest, inequalities and deprivations suffered by the Niger Delta resulted in new reawakening and inserted struggle for a better deal in the context of Nigeria’s federal policies

especially as it relates to the sharing of oil revenue (sharing the national cake in Nigeria's political lexicon) PEFS has identified other factors which influenced the struggle. They are first; the communities in the Niger Delta had no visible benefit from the exploitation and exploration of oil wealth from their land and the ad hoc intervention of the state through the establishment of special agencies did not seem to have addressed the issues of marginalization and neglect. Second, the communities were not adequately compensated by the oil companies for damages and environmental pollution. Third, the attempts to seek redress through legal action were prolonged and expensive and in most cases, court judgments were defiantly ignored<sup>34</sup>. The above resulted in the high rate of militancy, sabotage of oil pipelines, incessant kidnappings and crises that shook the economic base of the Nigerian nation. Though the amnesty programme of the federal government has partly restored peace to the region, but the cry against injustice has not totally died down just like the rise of Niger Delta militants. Some other groups like the Movement of the Actualization of the Sovereign State of Biafra (MASSOB) are products of perceived marginalization. This is in line with Nnoli's assertion that the political demands of many ethnic movements concern liberty and justice. They express fears about the oppression of their members by other group and about the nuptial distribution of public service jobs and social amenities and the imposition of the culture of the dominant ethnic groups on the others<sup>35</sup>.

#### Economic Factors

The factors that are grouped in this section are; fight over scarce resources, poverty and high rate of unemployment. However we must state here that since these factors are all economic in nature, there is a tendency for them to overlap, though we will try to make each to stand on its own.

##### (A) Fight over scarce resource

The human needs theory, which we have already explained, is premised on the notion that all human beings have some basic needs that they struggle to meet, and that whenever these are not met due to the perceived activities of other groups or individuals, the resultant frustrations may result in conflict. Though every valuable resource can be said to be scarce because they are limited in supply, Nnoli has explained that as a result of certain mechanisms of production and distribution in a particular society, one and the same resource may be abundant for some members of society, scarce for others and inaccessible for the rest<sup>36</sup>. He therefore posits that "therefore, scarcity refers to resources that are limited both objectively and subjectively"<sup>37</sup>. He further argues that;

The inequitable allocation of resources in society gives rise to intense competition. It is reinforced by an attitude to social relations which accepts such inequality as inevitable. The resultant struggle of individuals and groups not to be consigned to the bottom of the ladder of inequality has anti-social effects. Competition rather than cooperation predominates in human interaction and hostility is the dominant feature of such competi-

tion<sup>38</sup>.

This hostility that developed in the colonial urban setting arising from the resource competition between and among ethnic groups has remained with us till date. Thus, many conflicts in Nigeria center around struggle for land, streams or rivers siting of social amenities, location of local government headquarters, markets, motor parks, control of particular articles of trade etc, may be situated within the fight over scarce resources.

#### Poverty and alarming rate of inequality

Poverty, according to the United Nations is a denial of choices and opportunities, a violation of human dignity. It means a lack of basic capacity to participate effectively in society. It means not having enough to feed and cloth a family, not having a school or clinic to go, not having the land on which to grow ones food or a job to earn one's living, not having access to credit. It means insecurity, powerlessness and exclusion of individuals, households and communities. It means susceptibility to violence and it often implies living on marginal or fragile environments, without access to clean water or sanitation.

The World Bank says "poverty is an income level below some minimum level necessary to meet basic needs. Poverty is hunger, poverty is lack of shelter. Poverty is being sick and not being able to see a doctor. Poverty is not having access to school and not knowing how to read. Poverty is not having a job, is fear for the future, living one day at a time. Poverty is losing a child to illness brought about by unclean water. Poverty is powerlessness, lack of representation and freedom<sup>39</sup>.

We have gone this far in presenting the definitions of poverty in order to put the concept into proper perspective so as to understand why most international agencies insist that a very high percentage of Nigerians are poor. according to the world bank country director for Nigeria, Ms Marie-Melly 100 million Nigerians are having in extreme poverty. According to her "one billion two hundred thousand people live in destitution out of which 100 million are Nigerians"<sup>40</sup>.

To compound the issue poverty is the rate of inequality which has been increasing. Though the economy is growing at a very fast rate averaging over 7 percent per annum, the number of people who live below the poverty line is also increasing. The implication of this is that benefits of growth are not equitably shared. Income inequality conserved from 0.43 to 0.49 between 2004 and 2009 with a differential access to infrastructure and amenities, which in particular there are more rural poor than urban poor(<http://en.wikipedia.org/wiki/poverty> in Nigeria). It is from this mass of unemployed and hungry Nigerians that thugs, militants and other miscreants who are used to foment trouble and violence are hired. Since an idle mind is the devil's workshop, these idle minds and hands scattered all over the country are the ones that are employed to wreak havoc on fellow citizens at the slightest provocation.

The conveyance of this mass poverty, criminal inequality and high unemployment is that there is a large number (millions) of poor, angry, disgruntled and disenchanted Nigerians who are ready to take up arms at the slightest provocation.

According to the report released by the National Planning Commission in October 2013 indicates that unemployment rate in Nigeria has risen to 23.9% from 21.1 percent in 2010. According to the report “figures from the National Bureau of Statistics clearly illustrated the deep challenges in Nigeria’s labour market, where the nation’s rapid economic growth has not translated into effective job creation. The NBS estimates that Nigeria’s population grew by 3.2 percent in 2011 from 159.3 million people in 2010 to 164.4 million in 2011, reflecting rapid population growth. In 2011, Nigeria’s unemployment rose to 23.9 percent compared to 21.1 percent in 2010”<sup>41</sup>. (<http://www.punching.com/business>). The report indicates that 16.74205 Nigerians are unemployed. It further added that “unemployment was higher in the rural areas, at 25.6 percent, than in the urban areas, where it was 17 percent on average. In the light of the country’s fast-growing population efforts to create a conducive environment for job creation must be redoubled if the trend of rising unemployment is to be reversed.

## CONCLUSION

Social interactions are prone to conflicts and since it is impossible to completely eradicate conflicts in any society, measures, policies and programmes ought to be put in place to manage and reduce the incidence of conflicts. In this study we have identified some of the major causes of conflicts in Nigeria, minimizing social conflicts in Nigeria can be achieved by addressing these factors which we have outlined

The first has to do with the process of nation building. Nation building according to Friedrich is a matter of building group cohesion and group loyalty for purposes of international relations and domestic planning, whatever might be the building stones of the past<sup>42</sup>. To Almond & Powell it is “a process whereby people transfer their commitment and loyalty from smaller tribes, villages or petty principalities to the larger political system”<sup>43</sup>. Inherent in the above, Obasi states that the central element in nation building is the desire and effort to achieve unity among the multi ethnic groups that make up a state, put differently, national integration constitutes the core of nation building<sup>44</sup>. Thus, the core problem facing Nigeria today is how to make Nigerians transfer their commitment and loyalty from smaller tribes, villages or petty principalities to the larger Nigerian state. This is a major problem because as Ake has argued most of us are prone to giving loyalty to the community, the ethnic or national group. We tend to define ourselves in terms of these identities and it is in our oneness with them that we become intelligible to ourselves, enjoy freedom, pursue our interests and actualize our potentialities<sup>45</sup>. In a seeming collaboration of Ake’s views, Nnoli says that in Africa:

individuals do not have any claims which may  
over ride those of the collectivity. Harmony and co-operation  
rather than divergence of interest, competition and conflict cha-



racterize social life. People are more inclined to think of their obligation to other members of the group than their rights. In addition, feelings of kinship pervade social relations. However hospitality towards peaceful foreigners is strongly valued even in the urban areas a feeling of belonging to a community is an important

part of individual existence<sup>46</sup>.

The above feeling persist because the Nigerian state has not performed its obligations to the citizens in such a way as to make ethnic groups redundant, instead government has continued to promote policies that emphasize our separateness, discriminatory policies that incite ethnic groups against each other, thereby giving them prominence in our national life. There is therefore need for government to fashion out more policies and programmes that unite rather than divide Nigerians and run schemes that would make Nigerians feel more proud of and inclined to Nigeria; than their ethnic groups. Presently Nigeria runs a federal system, it is important that the system should be run in a way to be attractive to the component units, to the extent that :

the advantages to the minority groups of staying integrated

in the whole must on balance be greater than the gain to be

reaped from separation. A national image must be created

that will have such an appeal as to make an image of separate groups unattractive.....in short the whole of the citizenry must be made to feel that it is only within the framework of the federal state that their language, culture, institutions, sacred traditions and standard of living can be protected from external attack and internal strife<sup>47</sup>.

The crux of the ethnic problem in Nigeria today is that most Nigerians are not yet sure that the advantages of staying in Nigeria outweigh the disadvantages. There is an urgent need to change this feeling.

Tackling the scourge of ethnicity through enthroning good governance will surely be in the interest of Nigerians. The most unfortunate thing about ethnicity in Nigeria, is that most attempts by the government in the past to tackle the scourge has ended up exacerbating it. Thus, policies like state creation exercises, federal character principle among others have not helped matters. This has made Obi to argue that

You cannot fight, eradicate or manage ethnicity by giving it prominence. by giving salience to ethnic groups and making them prominent in our national life, you are strengthening ethnic tensions. if political appointments and public offices are shared out

on the basis of ethnic groups, it invariably means that a struggle for public offices instead of being a struggle by individuals is made one among ethnic groups. it is quite clear that the federal character principle has exacerbated the main problem it was meant to solve<sup>48</sup>.

Ethnicity thrives because the environment of bad governance is quite conducive for it. People take refuge in parochial and ethnic groups because in the absence of responsible governments they serve the interests of their members and may even be the only safety net they have. This made Ake to argue that:

Ethnic identities displace national identities for good reason.

the state in africa is tendentially uncaring and most ordinary

people experience it as a hostile force. the ethnic group cares

and delivers<sup>49</sup>.

It therefore follows that one of the best ways of taking the scourge of ethnicity is to institute and run welfarist governments. These are governments that are interested in the welfare of people, governments that see human beings as the goal of development. When governments are interested in people having jobs, houses, health care and are free from hunger, deprivation and psychological insecurity, then people will have little reason for falling back on ethnic associations, except for cultural or purely social reasons. This type of government is one that only true democracy can enthrone. Therefore one cannot discount the role of democracy in managing ethnicity and aiding nation building. Ake, clearly shows the nexus between democracy and managing ethnicity when he argues that

Democratization is a solution to some of the problems which the manipulation of ethnicity has caused, especially the antipathies between ethnic groups, the violent intensity of political competition caused by fear of ethnic domination the dissolution of political society into ethnicities and the failure to crystallize a national identity arising from the tendency to be loyal to the ethnic group rather than the state.....a democratized state would be responsive to social needs and thus reduce, if not eliminate the needs to seek safety and support in the ethnic group. In a truly democratized society, state power would not be privatized and used to terrorize, exploit as is the case in most of Africa. Ethnic groups would not be so desperate about avoiding domination and the premium on power would not be so high when there is rule of law, equality of opportunity

and equitable sharing of the burdens and rewards of citizenship<sup>50</sup>.

In summation, the enthronement of good governance at all levels, in Nigeria would serve as a better and faster way to handle the ethnic problem which has been fuelling violent conflicts in Nigeria.

The judiciary is supposed to be the last hope of the common man, while the police is charged with the duty of maintaining peace and protecting lives and property. Hence, the role of these two institutions in conflict management is very important. In Nigeria today, the duration and cost of litigation is very high, beyond this, the level of corruption in the judiciary is also worrisome, to the extent that it is now generally believed that justice is for the highest bidder. Hence, those who cannot afford the cost or the patience resort to self help, thus escalating violent conflicts. The Police have for a very long time remained the most corrupt establishment in Nigeria. This is aside their inability to be proactive in averting violent conflicts. Therefore any serious attempt at reducing violent conflicts in Nigeria must start with a wholesale reform of the judiciary and police in order to engender confidence in the people. When people believe they can get justice through the courts and the police do their job impartially and proactively violent conflicts will definitely reduce in the country.

We have already pointed out the role of injustice and marginalization in breeding social conflicts in Nigeria. It is our believe that when and where good governance is enthroned, equity and justice would be in place, thus as already stated above, real democratization is what is needed in order to eradicate injustice and marginalization thereby also minimizing the incidence of violent conflicts that results from a feeling of injustice in all parts of the country, for injustice anywhere is a threat to justice everywhere.

Any serious attempts at reducing violent social conflicts in Nigeria, must be aimed at reducing poverty, inequality and unemployment. With over 100 million Nigerians living below the poverty line, and above 16 million unemployed, the level of despondency in the land is dangerously too high. The number of people who feel excluded from the benefits of Nigerias fast economic growth is too high for anybody to think about peace. The number of hungry and angry Nigerians is so high that peace will remain elusive, until something is done to calm them down, serious efforts should be made to alleviate poverty, create jobs and reduce the criminal inequality. Nigerians should be put back to work, so that efforts at maintaining peace would work.

Though Nigeria is supposed to be a secular state, governments at all levels are deeply involved in different religious activities, using state funds, they spend a lot of money sponsoring pilgrimages every year all in the name of seeking the face of God. In doing this nobody gives thought to the fact that some Nigerians are atheist that don't even believe in the existence of God, while some are traditionalists whose gods are neither in Mecca, Jerusalem nor Rome but there in Nigeria, yet public funds belonging to all are spent on those who go annually to seek the face of God outside Nigeria.

This state involvement in religion would have been tolerable if the country's leaders are truly godly. However, the rate at which they loot the country's treasury with ferocious alacrity clearly shows that their claims to religiosity is simply cosmetic since no religion encourages stealing. The endless pilgrimages have not helped the country as the poor are getting poorer, insecurity is worsening and stealing of public funds, even that of pensions is becoming more brazen. It is therefore very clear that state involvement in religion has nothing to do with God but simply politics, hence it should be stopped. Religion should remain the private affair of the citizenry that should not be sponsored with state funds.

Also, there should be laws against intemperate and inciting utterances by religious leaders who inflame religious passions; that lead to religious riots. It is also a known fact that religious fanaticism feeds fat on poverty and ignorance, hence a concerted effort to eradicate these would definitely help in reducing religious violence in Nigeria.

Though the above recommendations may not be said to be full proof, it is our believe that their implementation will go a long way in curtailing the incidence of violent social Conflicts in Nigeria.

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## DEMOCRATIC CULTURE IN AFRICA: The Challenges of True Democracy In Nigeria

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### Abstract:

Africa has continued to be marred by absence of democratic culture in the continent. Extra-democratic regimes have continued to characterize political leadership in the African continent, making the people and her leaders the laughing stock among other continents. Countries in Africa such as Nigeria that are richly endowed with human and natural resources find it difficult steering the ship of the state to harness the abundant resources (material and human) towards socio-economic, political and cultural development of the society. The continent that is widely acclaimed to be very rich continues to wallow in underdevelopment with a very high level of poverty and avoidable disease pandemic. This worrisome situation necessitated this study which seeks to investigate the place of democratic culture in retarded socio-political cum economic and cultural development in Africa, using Nigeria as a focal point. The researcher used secondary data for the study. The study revealed among other things that: poverty and poor value system are major obstacles to evolving a true democratic culture in Nigeria. The study holds that evolving a true democratic culture is germane to sustainable peace and progress in the society. The study recommends that all well meaning Nigerians should work hard to entrench democratic culture in the country or risk continued political instability that result to uprising of her citizens.

Key Words: Democratic Culture, Development, Poverty, Uprising and Value system.

### Introduction:

Ideally, politics should be a healthy struggle by social groups over whose preferences should form public policy, ie, enacted into law. In Africa, this is a 'do or die' affair. So acrimonious that it often results to civil strife. Political party stalwarts fight; and among individual politicians there is always inter-personal struggle for supremacy. At the height of all this, the military steps in to mediate – to avoid a degeneration to internecine war (Ezeugwu, 2006).

Nigeria commenced the present democratic experiment since 1999, having tried severally in the past, without remarkable progress. Successive civilian administrations in Nigeria had failed to entrench democratic values, thereby creating room for military interventions. Foremost among

the factors that had led to the failure of the past civilian administrations had revolved around highhandedness on the part of government, injustice occasioned by the inherited structural imbalance in the state, faulty/manipulative electoral process, oppressive tendencies of government, and subversive value system.

The Nigerian state is a product of coercion. The state emerged through the coercive activities of the colonial power. The lengthy spell of the military also has not helped matters in this direction. A state that started as a unitary state during the colonial era, disaggregated into three and later four regions in response to the centrifugal pulls of the heterogeneous society. The military, in the bid to contain the ethnic based hegemony and cohesion, further divided the country into twelve (12) states. Sustained agitations from the minority groups so created saw the proliferation of the states in the country to thirty-six (36) by successive military regimes (See table 1 below). These state creations were done without the slightest recourse to democratic process. In other words, the Nigerian people were never allowed a say on how they desired to be governed. Just as the skewed quasi-federal structure was foisted on the people, 'leadership' rather rulership and policies have also continued to be foisted on the people regardless of how the people feel about their supposed leaders (ruler) and their policies. The system does not permit any decisive action against the supposed 'leaders' as the democratic institutions are replete with obstructive ligaments deliberately designed to weaken such institutions and ultimately ensure that power remains with the people in government and not the generality (majority) of Nigerians.

This has proven to be the albatross of modern states. The aberration wherein power resides with a few who found themselves in government positions as against power ultimately residing with the generality of the people eventually produces such contradictions that would likely consume the existing social formation. This is because; such power will definitely be put to wrong uses and would naturally attract "strange bed fellows" in government. Also, the struggle for power will assuredly become so fierce that dubious means would be deployed to ascend to power. This raises the quest for power into zero-sum game. Crises naturally results and both resources and time that would have been spent to better the lots of the people are spent managing the crises. This is the case of Nigeria and many African countries today.

#### Statement of Problem:

Nigeria returned to civil rule since 1999 via the election of Chief Olusegun Obasanjo. Upon the expiration of Obasanjo's second term as the civilian president, the late president Umaru Musa Yar'Adua emerged as the president through a process that he himself acknowledged to be faulty. Consequently, late president Yar'Adua initiated a reform of the electoral process in Nigeria. Yar'Adua died in 2010 and was succeeded by Dr. Goodluck Ebele Jonathan. The crises generated by his election in 2011 have continued to hunt his administration and worsen even as another election year approaches. This started with large scale post election violence especially in the Northern part of the country, and degenerated to insurgency targeting institutions of the state and those of the international community, security institutions and operatives and even defenseless citizens. Just recently, the international community was dazed by the insurgent group

with the abduction of over two hundred school girls in government secondary school Chibok, Borno State. Though, the grievances of the insurgent group appear to be anything but want of democratic election, non-democratic tendencies of Nigeria's political space has continued to resonate and characterize political leadership in the country.

Before this fourth republic, the first (1960/3 – 1966); the second (1979 -1983); and the third (1991- 1993) were each truncated by the military largely on accounts of undemocratic tendencies of those administrations. Abuse or subversion of democratic principles and the processes has always generated avoidable tension in the polity. This rubs off on the people as energies and resources that should be invested in improving the lots of the people are expended managing avoidable crises. This is not peculiar to Nigeria as many African states pass through similar experiences. The present administration in Nigeria has practically spent more time, energy and resources trying to contain crises arising from issues bordering on political interests, inclinations and political grandstanding of some key players in the polity.

This necessitates this work. The research therefore would seek to find answers to the following questions:

- Are democratic principles incongruent with African Political culture?
- Can true democratic culture ever be imbibed by African state?

These questions are based on the premise that true democratic culture in Nigeria would drastically minimize the avoidable strains and heat in the polity.

#### The Import of Democratic Governance:

Democracy refers to a political system that allows active participation from the people not only in matters of election (choosing their leaders) but also in shaping the activities of government on a continuous basis. Democracy reposes ultimate sovereignty on the leaders, who must be accountable and responsible to the people as the peoples' representatives. The word democracy derived from two Greek words, 'demos' (the people) and 'cratia' (power), which means power of the people. Lincoln (quoted in Chaturvedi, 2006), therefore defined democracy as "the government of the people, by the people, for the people". This definition captured the political system practiced in ancient Athens where sovereignty rests in the people's assembly ('ekklesia').

Essentially, democratic government denotes a set of ideas, institutions and processes of governance that allows the people to choose their leaders and that guarantees them a broad range of civic rights (Enemuoh; 1999). In line with this, Ezeani (2010) noted that democracy requires the existence of certain basic elements or conditions in order to thrive. Among the elements are political equality (one man one vote), sovereignty of the people (power belongs to the people), respect for fundamental human rights (right to life, right to religion, freedom of association, freedom of speech, freedom of movement etc), rule of law, periodic election etc. Nnoli (2003) noted that democracy usually involve freedom of the individual in various aspects of political life, equality among citizens, justice in the relations between the people and the government and

the participation of the people in choosing those in government.

#### Historical Democratic Experiment in Nigeria:

Following the introduction of elective principle in 1922 by the Clifford colonial administration in Nigeria about eight years after the amalgamation of the Southern and Northern protectorates, the stage was set for the formation of political parties. Herbert Macaulay's Nigeria National Democratic Party (NNDP) was the first to hit national consciousness. This was followed by the Lagos Youth Movement (LYM) which later transformed into Nigerian Youths Movement (NYM). These parties contested the elections of 1923 – 1941 (Nnadozie, 2005). The NNDP dominated the political space and won all the three (3) seats allocated to Lagos in the 1923, 1928 and 1933 legislative councils. Subsequently, the constitutional developments in Nigeria in the 1946, 1951, 1954 and so on led to a corresponding political development and increase in the number of political parties in Nigeria. Thus, with the introduction of subsequent constitutions, elections were held in 1947, 1952, 1954, 1956, 1959, 1964/65, while the number of political parties increased from two to nine (Anglin, 1965). The democratic journey suffered a hitch barely six years after independence with the military coup d'état of Jan. 15<sup>th</sup> 1966. The military coup, having been preceded by devastating desperate political maneuvers that led to the declaration of "State of Emergency" in the Western region and the arrest, prosecution and imprisonment of Chief Awolowo- the foremost political leader in the Western region and the leader of the opposition party in the first republic (Action Group); the census crises of 1962/3; the nation-wide general strike of 1964; the general election crises of 1964/5, which was marked with wanton destruction of lives, prevalence of thuggery and intimidation of opponents, widespread manipulations and rigging; falsification of results in favour of the ruling party; the eventual total breakdown of law and order in the Western region following the crises-ridden Western region election of 1965; and in-fact the obvious drift of the nation to anarchy made the coup initially a welcome development to Nigerians, safe that it later generated sectional sentiments. The military promptly and characteristically suspended all democratic structures and reeled out a number of decrees to forcibly control the people. A sequence of military regimes followed until 1979 when 'Olusegun Obasanjo' handed over to another civilian government.

A sigh of relief was heaved in Nigeria in 1979 following the successful transition from the military, who had held the country by the jugular for about 13 years then, to a civilian regime, following the election of Alhaji Shehu Shagari. The joy of the people was short-lived however, following the attendant political ineptitude of the second republic political leaders. At the expiration of the four years and soon after the 1983 elections, the military, again, struck on January 1, 1984. The coupists noted with dismay, the inability of the political class to abide by true democratic principles and the degeneration of the country's politics into zero-sum game. "The premium on political power became so exceedingly high that political contestants regarded victory at the elections as a matter of life and death struggles and were determined to capture or retain power by all means" (Ikoku, 1985). The coupists emphasized that the 1983 general elections could be anything but free and fair. They argued in their first radio and television broadcast that the only political parties that could complain of election rigging are those parties that

lacked the resources to rig. They pointed out that there was ample evidence that the proportion of rigging and thuggery were relative to the resources available to the political parties.

#### Nigeria's General Elections of The Second Republic (1979 & 1983) And The Attendant Political Crises:

The year 1979 marked the introduction of Presidential system of Government in Nigeria. All the five registered political parties contested the elections. These include: the Unity Party of Nigeria (UPN); Nigerian People's Party (NPP); Great Nigerian People's Party (GNPP); National Party of Nigeria (NPN); and People's Redemption Party (PRP). The chairman of 'NPN' was Chief A.M.A. Akinloye while Alhaji Shehu Shagari was its presidential candidate. In the case of 'UPN', Chief Obafemi Awolowo was the national leader and the presidential candidate. For 'NPP' Chief Adeniran Ogunsanya was the Chairman while Dr. Nnamdi Azikiwe was the presidential candidate. Alhaji Ibrahim Waziri was the leader and presidential candidate for 'GNPP' while Mallam Aminu Kano was the leader and presidential candidate for 'PRP'.

Between July 7 and August 18, 1979, five different elections took place. The order of the elections was as follows: July 7, 1979 was for Senatorial elections. This was quickly followed by the election of the members of the House of Representatives of the July 14 1979. The state Assemblies' elections were held on July 21, 1979, while July 28, 1979 was the election of Governors across the federation. The last was the presidential election of 1979 which turned out to be controversial. The 1979 constitution of Nigeria stipulated that a presidential candidate must win twenty-five percent (25%) votes cast in the two – third of the states of the Federation. Alhaji Shehu Shagari who was eventually declared the winner by Federal Electoral Commission (FEDECO) won twenty-five percent (25%) of the votes cast in twelve of the nineteen states of the Federation. Chief Obafemi Awolowo who came second in that election challenged the position of the electoral body (FEDECO) in the presidential electoral tribunal and the Supreme Court. Chief Awolowo argued that twelve consisted of two-third of eighteen whereas Nigeria then was a Federation of nineteen states. He maintained that there is need for the first and second candidates to go for a run-off election since the Alhaji Shagari did not secure twenty-five percent (25%) votes cast in as many as thirteen states.

The Presidential Election Tribunal headed by Justice B.O. Kazeem ruled in favour of Alhaji Shehu Shagari, maintaining that having secured twenty-five percent (25%) votes cast in twelve of the nineteen states of the federation is enough to declare him winner in the presidential race. This matter was taken to the Supreme Court presided over by the then Chief Justice of the Federation, Justice Atanda Williams. The Supreme Court also upheld that Alhaji Shagari was duly elected.

By 1983, one more political party had been registered. The Nigerian Advance Party (NAP). This party was formed by a Lagos Lawyer Mr. Tunji Braithwaite. This brought the number of political parties for the 1983 elections to six (6). All the five presidential candidates that featured in the 1979 elections also contested the 1983 presidential elections except the 'PRP' who replaced their late presidential candidate with Alhaji Hassan Yusuf. The 'NPN' controlled fede-



ral government, probably as a strategy to win more states and more seats in the federal and state assemblies, altered the 1979 order of elections. The Presidential election came first in 1983, followed by the gubernatorial elections, then the Senatorial, House of Representatives and State Assemblies'. Also, votes were counted at the various polling booths in 1983 elections as against the 1979 method of counting at the collating centers. The elections started on August 6, 1983 with the presidential. The gubernatorial election took place on August 11, 1983, followed by the Senatorial elections, then House of Representatives and the state assemblies.

The NPN presidential candidate, Alhaji Shehu Shagari was declared as the winner of the presidential election in the face of allegations of massive rigging. "The large scale rigging that characterized the elections sparked off violent rioting, arson, hooliganism, looting etc especially in Ondo and Oyo states" (Anyaele; 1994).

This gave rise to the military intervention of 1984.

Democratic Tenets and Emergent States in Africa (Nigeria in view):

Democracy, of all forms of government, has come to be widely accepted as the best form of government. The reasons for this broad acceptance are not far-fetched. Of all forms of government, democracy holds the advantage of apparently offering the people a 'say' and a sense of belonging in the activities of government. Democracy allows for maximum appreciation and observation of the dignity of man, and equality of all men before the law. Its doctrines ensure maximum involvement of the people in the choice of leadership personalities and the processes of governance. Democracy appreciates the place of the people in making decisions that affect their lives. Democracy goes beyond periodic free and fair elections to accommodate on continuous bases, contributions of the people to the processes of governance.

Under a truly democratic rule, political powers ultimately lie with the people. The political leaders must take seriously, the inclination of public opinion in formulating policies that affect the lives of the people. The leaders are in the actual fact, the representatives of the people and remain accountable to the people. This presupposes that the political leaders emerge from preferred choices made by the generality or majority of the people. Acclaimed democratic processes like voting (free & fair elections); opinion polls; referendum or plebiscites etc are employed to arrive at this. Thus, choices are made freely by the people as to the qualities desired of persons in leadership positions without lets, and the kinds of policies and laws desirable in the society. Democracy is anchored on the people's free will.

The reverse is the case in Nigeria, nay Africa. "Specifically, the political environment in Nigeria is a theatre of violence, conflict and war for primitive accumulation through the power process, amongst dominant forces with the inevitable consequence of political crises ..." (Olaopa, Akinola & Salaam; 2009). The above assertion eminently explains political processes in African states. The common historical antecedents of colonialism of most African states led to the emergence of dictatorial states in Africa. Nigeria, like most African states, emerged out of the fancies, preferences and conveniences of the British imperial power, which had no interest of

the peoples of Nigeria in mind nor requested their willful contributions as regards to how they wish to be governed. The amalgamation of the very divergent peoples of Nigeria was done by the colonial administration purely to advance colonial interests having conquered the peoples of Nigeria. No consideration was given to the feelings of the people. The peoples of Nigeria never really endorsed the union, nor had a genuine deliberation on the basis of this union prior to the amalgamation. This is clearly manifest in utterances credited to re-known leaders of the major ethnic nationalities in the country, even in the wake of the country's independence. Advocating federalism for Nigeria, a foremost nationalist (Obafemi Awolowo) had noted that "Nigeria is not a nation. It is a mere geographical expression. There are no 'Nigerians' in the same sense as there are 'English', 'Welsh' or 'French'. The word 'Nigerian' is merely a distinctive appellation to distinguish those who live within the boundaries of Nigeria from those who do not" (See Ifesinachi; 2006). Other Nigerian nationalists are not oblivious of this fact. In 1947, another foremost Nigerian nationalist from the northern extraction, (Tafawa Balewa) had declared that since the amalgamation of Southern and Northern protectorates in 1914, Nigeria has existed as one country only on paper. The man who became Nigeria's Prime Minister in the first republic maintained that the country was still far from being united. Further buttressing this fact are issues that led to the civil war in the country and the entrenchment of the 'Federal Character Principles' in the Nigerian constitution. Leaders in the Eastern part had to take a more concrete step to secede from the country by going to war between 1967 and 1970. In the words of Ifesinachi (2006), "The Nigerian state is a historical phenomenon". This is to buttress the fact that different socio-political entities which had existed independently prior to the British invasion were at a time in history lumped together by the colonialist, whose motives were everything but political cum economic cohesion of the colony. There is no point restating that these different entities had a more people oriented political systems prior to the Western (European) invasion.

The emergent social classes upon independence therefore, were products of colonial configuration. The colonial masters in wanton disregard to democratic culture, subjugated the peoples of Nigeria, nay Africa, and imposed political hegemony on the people. The colonial powers established a system of government that would facilitate the actualization of their business interests. "The entity called Nigeria, born in 1914, after the amalgamation of the Northern and Southern Protectorates, is a by-product of a 'fraudulent' social contract and not of a 'negotiated will' of the welded parts. The expediency of savage commercial interests and economic imperialism was the sole rationale" (Olaopa, Akinola & Salaam; 2009).

This affected the emergent social formation to the extent that evolving a state that commands the loyalty of all component parts of the Nigerian state becomes very problematic. Cries of ethnic marginalization have consequently characterized virtually all political administrations in Nigeria since independence.

#### Democratic Structures and the Emergent Nigerian State.

Nature has lavished on Nigeria both human and material resources; the type that you rarely find in other lands. What is the problem? Is the problem in our

culture, or in our inability to respond appropriately to the changing character of the global world system? (Nnonyelu; in Ojiakor and Unachukwu; 1998).

The above, were rhetorical questions arising from the dysfunctional, if not comatose state of the Nigerian state. Indeed the conflict-infested social structures that evolved with the amalgamation of the very divergent peoples of Nigeria cannot be over looked in any sincere discussion of the Nigerian state. Sequel to the amalgamation of the Southern and Northern protectorates in 1914 by the British colonists, the very egalitarian people of the East (Igbo speaking part) were brought into a unitary government with the people of the North (Hausa/Fulani) who had practiced a highly centralized emirate system since 1804 when they were conquered by Uthman Dan Fodio and Islamized. While the social structures in the East (Igbo) promotes equality and joint decision making, the social structures in the North (Hausa/Fulani) emphasized highly centralization of political cum religious powers. While the social structures in the East (Igbo) believes in consultations, the social structures in the North as at the time of amalgamation thrive on super-imposition of decisions. The socio-political structures in the East (Igbo speaking) allows one to aspire and ascend to any socio-political height through hard-work whereas attainment of certain socio-political strata is exclusively predetermined by paternity/parentage in the Northern and Western parts of the country. These imbued incompatibilities have continued to deepen and manifest in the struggle for power in the country over the years. "These coerced groupings of diverse peoples, with varied backgrounds and culture, created both horizontal polarization and primordial loyalties which invariably make national integration difficult" (Ajetumobi; 1991). Also arguing in this direction, Rafiu et al (2009) maintained that the colonial state also imposed a patrimonial system of administration (in the ideological guise of indirect rule) on the country. This was targeted at enlisting the dominant groups in the service of colonial rule and to contain the political consequences of changes in class structure. In this case, the political relations that existed were vertical in nature. It was one of domination, control and dependence, with subordinate clients jostling for the favour of their patrons. "The nature and character of the colonial state of Nigeria was therefore carried over to the post colonial era. The most important characteristic of the colonial state that was carried over to the post colonial period is the relatively low level of autonomy of the state" (Okolie; 2005). The position and function of the state in these struggles and antagonism becomes central and decisive instead of being neutral and regulatory the scholar explained. Ake (1981) observed that what the African formation had of independence was a state which was particularly developed and immersed in class struggles instead of a state that has risen above class struggle. In fact, the Nigerian state from every indication proves to have been dragged into politics and politicized.

"The colonial state was extremely repressive in order to secure the subjugation and proper exploitation of the resources of the colonies. The state was therefore equipped with very powerful and coercive instruments" (Okolie; 2005). The scholar argued that its bureaucracy, military and governmental institutions were consciously, steadily and shamelessly developed to counter the resistance of the colonized to the several oppressive policies of the colonizer. This has continued to characterize the political environment of Nigeria even in the post colonial era.

The degree of social change and modernization among the various groups and areas of Nigeria are uneven. The internal boundaries of Nigeria are very artificial and bring out sharply, the cultural differences among the peoples of Nigeria. The indirect rule introduced by the colonial masters could not fare well in some parts of the country owing to age long divergences in the socio-political systems in the different parts of the country. For instance, the system of indirect rule introduced by Lord Lugard easily adapted to the 'Emirate' system entrenched in the North (Hausa/Fulani). In the South West (Yoruba), indirect rule recorded partial success owing to the fact that the south west (Yoruba) already had a semi-centralized political system. Conversely, the introduction of indirect rule in the South Eastern part (Igbo- speaking) was marred with all forms of resistance. The primary reason was that the political power in this part of the country was highly decentralized. The imposition of Warrant Chiefs was a distortion of the seamless cohesion of the entrenched egalitarian political system in this part of the country. This led to a wave of violent protests across the then Eastern part of the country. Between 1929 and 1930 women in the southern province 'Aba' rioted and the government retaliated with bloody reprisals (Ojiakor & Unachukwu; 1997). According to the scholars, Tivland experienced waves of riot and disturbances in 1929, 1939, 1945 etc.

Essentially, the point being made here is the fact that Nigeria, being a colonial creation, never had the privilege of evolving true democratic structures. The colonial masters imposed their authority on the peoples of Nigeria against the will of the peoples through the barrels of the guns. The colonial masters never bothered to build democratic structures in the colony because it will obviously not help their course in the colony. The post-colonial state retained the repressive institutions established by the colonial state to continue the subjugation of the peoples of Nigeria. Also, because the state is deeply immersed in the class struggles instead of rising above the struggles, the Nigerian state has not been able to play the desired role of an unbiased umpire in the ensuing socio-political struggles. This is evident in all the political crises witnessed in Nigeria from the first republic till date.

#### Political Parties and Democratic Tenets in Nigeria.

The vehicle through which modern states attain democratic governance is through political parties. "Political parties are strategic tools for bringing about the change from a one party regime or military or apartheid regime to a competitive political order" (Eme & Anyadike; 2012). In Nigeria for instance, candidates can only vie for elective positions under the auspices of a registered political party. This demonstrates the relevance of political parties in the democratic process in Nigeria. By virtue of the place of political parties in our democratic process, it becomes imperative for political parties to imbibe democratic culture both in evolving the parties' leadership structures at different levels within the polity and presenting candidates for elective positions (public offices) in the country. The practices in Nigeria over the years do not reflect this axiom. The emphasis here however, would be from Nigeria's fourth republic. "Since 1999 when the Fourth Republic was inaugurated, political parties have faced the problem of nondemocratic practices" (Mbah, 2011). This has negatively affected democratic governance in Nigeria. Candidates presented by the political parties to the electorate generally lack popularity.

The processes through which these candidates emerge as the choices of these political parties are, to say the least, suspect. Alfa et al, (2012), observed that “events in the Peoples Democratic Party since its emergence manifest the dearth of this essential institutional requirement of successful democracies known as internal democracy.” Thus, democracy is actually sacrificed for oligarchy. Alluding to this, Mbah (2011) also observed that, “lack of internal democracy in Nigerian political parties has become a persistent threat to the country’s nascent democracy. Party primaries throughout the country clearly show that Nigerian political parties are not operating within norms of democratic principles”. The scholar further pointed out that various political parties have failed to adopt the provisions of the party’s constitutions to all party members who are eligible and want to run for office in their party primaries. Major stake holders in the party practically impose candidates on others at all levels of the party. An evaluation of the party congresses, conventions and primaries held between INEC stipulated time of November 26, 2010 and January 15, 2011 shows that Nigeria’s political class have refused to learn any positive lesson from the past (Ojo; 2011). Ojo noted that the candidates’ nomination processes in many of the parties were at variance with the letters and spirit of Nigeria’s legal framework for elections, be it the 1999 Constitution as amended, the 2010 Electoral Act as amended, Constitution of the various political parties themselves, and INEC as well as respective political parties’ electoral guidelines. Chief Bisi Akande in a press interview had this to say on why Action Congress of Nigeria (ACN) opted for consensus arrangement instead of conducting party primaries in the build up to 2011 general elections in Nigeria: “If election within our party is what you are trying to describe as internal democracy, then we reject such idea” (Ojo; 2011). The result is the dramatic diversions of loyalty to the major stake holders of the parties against the majority of members. As it happened in the lead up to 2007 elections in Nigeria, there were hullabalos about some candidates who won the party primaries being substituted in the final list of nominees submitted to the Independent National Electoral Commission (INEC). A lot resorted to court while some others took to lobbying members of the parties’ National Working Committee (NWC).

The non-democratic tendency of the Nigerian political parties which reached a crescendo in the fourth republic is engendered by pervasive poverty and Nigerians’ poor value system. According to CIA factbook, an estimated (70%) seventy percent of the Nigerian population were living below the poverty line as at 2010. The World Bank President, Jim Yong Kim restated at the IMF/World Bank Spring Meetings that Nigeria is one of the top five countries that have the largest number of poor people. According to him, Nigeria ranked third in the world while India ranked number one with (33%) thirty-three percent of the world poor population. (See Vanguard News, April 11, 2014).

Evidently, poverty has eaten deep into the psyche of the teeming population in Nigeria. An average Nigerian is hence preoccupied with how to meet the very basic necessities of life. The issue of rights as regards to politics and governance are out of the questions. Uppermost in their minds are food, clothing, shelter and other very essentials of life. Participation in decision making (politics) is seen as either a luxury or even a distraction. The very few wealthy



individuals in the polity therefore find it easy to manipulate the political process with their economic power by simply giving out pittance to delegates to ensure the emergence of their preferred candidates against the actual wishes of the people. For cash, delegates/electorate trade their votes. The Daily Champion of January 14, 2011 made the following reports in respect of the PDP primary that produced Goodluck Ebele Jonathan as the party's flag bearer in the 2011 election. "Accusations and allegations of bribery among delegates were part of the low points of the National convention of the Peoples Democratic Party (PDP) which was held yesterday to pick the presidential candidate of the party." The BBC of January 14, 2011 also described the circumstances as a "Settled" primary as it was alleged that though Atiku's Camp shared money, Goodluck outwitted him using colossal amount of money, ten thousand dollar to five thousand dollar ratio (See Alfa, Achema & Otaida; 2012). This malaise is not peculiar to the Peoples Democratic Party in Nigeria. Worse scenarios play out in the other political parties where two or more people determine who gets what in the party without employing any iota of democratic procedure. This is partly the reason for wide spread apathy during elections in the country. Election days are seen by many as unnecessary distraction from the daily struggles to ekk a living.

Nigeria's value system is also an issue in questions here. Nigerians applaud the affluent without pausing to ponder on such person's source(s) of legitimate income. The quest for wealth therefore overrides quest for integrity and credibility. Owing to the prebendal nature of the Nigerian political system, political offices attract misfits. People whose actual goals lie outside the mission and visions of public institutions find themselves occupying public offices by hook or crook. Their loyalty therefore goes to the individuals that facilitated their emergence (or appointment) and not to the society at large. This undermines democracy both at the party levels and the polity at large. The Nigerian political system therefore has continued to produce 'strong men' instead of strengthening democratic institutions. This much was alluded to by President Barack Obama of the United States when he addressed the Ghanaian parliamentarians on his maiden visit to sub-saharan Africa in 2009. According to him, "... history offers a clear verdict: Governments that respect the will of their own people, that govern by consent and not coercion, are more prosperous, they are more stable, and more successful than governments that do not" (Obama, 2009). The American president noted that it is not about just holding elections but also about what happens between elections. He argued that no country is going to create wealth if its leaders exploit the economy to enrich themselves. These assertions are very instructive for entrenching democratic culture in Nigeria's political system. The time to change the tide is now.

#### Conclusions:

Development depends on good governance. That is the ingredient which has been missing in far too many places, for far too long. That's the change that can unlock Africa's potentials. And that is a responsibility that can only be met by Africans (Obama, 2009).

While addressing the Ghanaian parliament during his visit, President Barack Obama of the United States of America stressed that in the 21<sup>st</sup> century, capable, reliable and transparent ins-



stitutions are the key to success. Strong parliaments, honest police forces, independent judges, an independent press, a vibrant private sector and civil society are those things that give life to democracy. Among the findings of this study include the fact that Nigeria (nay most African states) had a historical experience of colonialism which led to the emergence of a coercive state; that Nigeria, like most African states, emerged out of the fancies, preferences and conveniences of the British imperial power, which had no interest of the peoples of Nigeria in mind nor requested their willful contributions as regards how they wish to be governed; that because the colonial state was repressive in nature, the emergent post-colonial state retained the institutions of coercion established by the colonial state. In essence, these have undermined the evolution of democratic culture in Nigeria and African states alike.

Nonetheless, colonialism expired in Nigeria and Africa in the twentieth (20) century, over four decades ago. The fringes ought to have been disposed of in our national life in this twenty-first (21) century if our political leaders had given true democratic culture the desired opportunity to develop. Continued accusations of the colonial experience as excuse for retarded development in our political and socio-economic and cultural life is only but lame. It actually presents us all as unserious. The persistence of these non-democratic practices in the country/continent can mainly be blamed on greed and wrong value system and attitudes on the part of our people. America was colonized by Britain but the United States has grown to become the envy of the whole world. Nigeria (Africa) can get over the plague of poor political leadership if serious steps are taken to promote the right values and internalize democratic culture in all spheres of our national life. This begins with total reorganization of our political parties to conform with the essential principles of democracy, change of our value system in accordance with the global best practices where the society at large frowns at corrupt enrichment of oneself using public offices, imposition of candidates for public offices and strong policy measures aimed at bringing the number of people living below poverty lines to the barest minimum.

In summary, the African people and culture are not averse to true democratic governance. True democratic culture can be attained in Nigeria (and Africa) and is in fact, the much needed recipe for political stability. In other words, democracy in Nigeria should either be allowed to evolve to the fullest, even if it entails altering the structure of the Nigerian state, even to the extent of self-determination/disaggregation, or Nigeria risks continued political instability and possible uprising.

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## EFFECTS OF INFORMATION AND COMMUNICATION TECHNOLOGY ON THE TEACHING AND LEARNING PROCESS IN SELECTED SECONDARY

### SCHOOLS IN LUWERO DISTRICT, UGANDA

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#### Abstract

The study assessed the effects of information and communication technology on the teaching and learning process in selected secondary schools in Luwero District, Uganda. A sample of 308 respondents was randomly selected which comprised of form threes and fours from schools. The study was descriptive and correlational in nature and a questionnaire was used in data collection after it had been validated and its reliability verified. The findings revealed that most schools lacked enough computers, teachers rarely used power points and projectors when teaching, fewer schools were connected with internet and there was no significant relationship between information and communications technologies, teaching and learning process, computers, internet and broadcasting technologies had r-values of 0.331, 0.462 and 0.188 respectively whereas their p-values were 0.212, 0.149 and 0.081 in the same order. This showed that information and communication technologies have an effect on teaching and learning process, but at lower level with computer and broadcasting technologies, while internet showed a moderate effect on teaching and learning process. It was recommended that there should be reinforcement in the used technologies to maximize the learning process.

Keywords: ICT, teaching –learning process

#### Introduction

Information and communication technologies (ICTs) are a “diverse set of tools and resources used to communicate, create, disseminate, store, and manage information” (Webb & Jordan, 2010). These technologies include computers, the Internet, broadcasting technologies (radio and television), and telephony. There is increasing interest in how computers and the internet can improve education at all levels, in both formal and non-formal settings (May & Aikman, 2003). Older ICT technologies, such as radio and television, have for over forty years been used for open and distance learning, although print remains the cheapest, most accessible and therefore most dominant delivery mechanism in both developed and developing countries (Harriman, 2005). Similarly, the Indira Gandhi National Open University in India combines the use of print, recorded audio and video, broadcast radio and television, and audio conferencing technologies (Harriman, 2005). Lack of information on what is happening in the ICT in education sector has made it difficult to use lessons learnt from such projects in planning and strategy formulation (Farrell & Shafika, 2007). This study then intended to determine the effects of ICT

on the teaching –learning process through evidence based information from selected secondary schools in Uganda. Specifically, these aspects were further explored: choice of ICT preferred and ICT used in schools.

### Review of Related Literature

ICT infrastructural development in Ghana is progressing at a rate (0.4% from 1995 to 2.9% in 2000) comparable to other low-income countries globally and above the 1.1% average for Sub Saharan Africa (World Bank, 2001). The use of ICT in education has the potential to enhance the quality of teaching and learning, the research productivity of the faculty and students, and the management and effectiveness of institutions (Kashorda et al., 2007). However opportunities for realizing the benefits of using ICT in education face a number of challenges in the developing countries.

Access to ICT facilities is a major challenge facing most African countries, with a ratio of one computer to 150 students against the ratio of 1:15 students in the developed countries. In Uganda, the ratio for universities and colleges is 1:45 while access at the primary school level is much more limited at 1:250 (Ministry of Education, Uganda, 2006). The Education Management Information System (EMIS) survey of 2003/2004 indicated that over 70 per cent of the secondary schools in Uganda required functional telephones. Furthermore 90 per cent of such schools needed to establish Local Area Networks (LANs) in order to improve sharing of learning resources. As of 2008, there were 6,566 secondary schools in Uganda, of which 4,261 were publicly funded and the rest 2,305 privately funded with a total student enrolment of 1,382,211 and total teaching staff of 43,016 (Uganda National Bureau of Statistics , 2009).

In Luwero District, the ratio for universities and colleges is 1:45 while access at the primary school level is much more limited at 1:250 (Ministry of Education, Uganda, 2006). The Education Management Information System (EMIS) survey of 2003/2004 indicated that over 70 per cent of the secondary schools in Luwero District required functional telephones. Furthermore 90 per cent of such schools needed to establish Local Area Networks (LANs) in order to improve sharing of learning resources. As of 2008, there were 6,566 secondary schools in Luwero District, of which 4,261 were publicly funded and the rest 2,305 privately funded with a total student enrolment of 1,382,211 and total teaching staff of 43,016 (Uganda National Bureau of Statistics , 2009).

Reports from a study conducted at Bugema University by Becta (2002), found that even though there is an increase in literacy in Luwero District, there is no consistent relationship between the average amount of ICT use reported for any subject at a given key stage and its apparent effectiveness in raising standards. This has raised an alarm for researchers to question why the government of Uganda through the ministry of Education promotes ICT use in classroom Uganda generally and Luwero District in particular.

## Methods and Techniques

The study population was 86 secondary schools of which 12 were private and 74 were public schools. The study employed the descriptive research design. The target population were students of forms three and four from two public secondary schools and two private secondary schools. The schools were selected because they offer ICT to the students. Three hundred eight respondents were selected randomly. A self administered questionnaire was used. Descriptive statistics (frequency and percentage) were used for the profile of the respondents in terms of choice of ICT preferred and ICT used in schools and correlation statistics to determine the effects of ICT on the teaching-learning process.

## Findings and Interpretations

### Choice of information and Computing Technologies Preferred

The report showed that most respondents with a total number of 176 out of 308 and which had a percentage of 57%, preferred internet as the best option for the Information and Computing Technologies. This goes in accordance to the Statistics (The World Bank, 2004) that indicate that internet use depends on the financial situations of countries. Twenty seven percent (84 respondents) indicated that they would prefer the use of computers as their best means of information and computing technologies. The final group of respondents who were represented by 16% (48 respondents) preferred the use of radios and television as their best means of information and computing technologies. Mitra and Stettensmeir (2000) argued that internet could foster positive attitudes towards the use of computers in teaching. The above tabulated information can as well be illustrated in the graph.

Figure 1: Showing the information computing technologies preferred

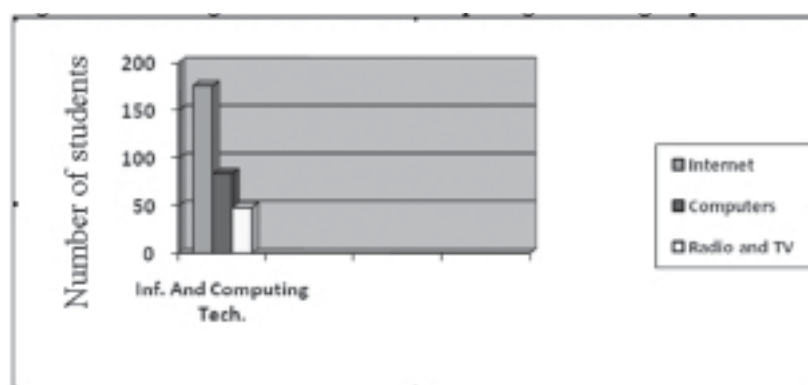




Table 1: Availability of Information and Communication Technologies  
N=38

VARIABLES	SA	A	DA	SD
There are enough computers in my school	15(4.87%)	62(20.13%)	108(35.06%)	123(39.94%)
Teachers in my school use power point and projector when teaching	00(00%)	62(20.13%)	154(50%)	92(29.87%)
Computers enhance my perception of real world	123(39.94%)	108(35.06%)	46(14.94%)	31(10.06%)

Table 1 indicated that most secondary schools in Luwero District, Uganda did not have enough computers to enhance teaching and learning process. The table further indicated that teachers in Luwero District, Uganda were not making good use of power point and projector when teaching. Becker, Ravitz and Wong (1999) study indicated that despite a sufficient installed base of computers in schools few teachers facilitated substantial use of computers in teaching. It can further be concluded that computers enhance students' perception of the real world.

It was clear that schools and teachers were not fully empowered towards the use of ICT. Most of the teachers used more of the internet to access some of the materials. Thus, the internet was highly ranked as compared to computers, radio and TV. This implied that few teachers preferred the use of radio/TV, as much as computers were moderately used. A computer nowadays, is becoming one of the major needs in society, schools have not fully empowered their teachers to use them. Similarly, most schools lack the necessary facilities that can facilitate the use of ICT during the teaching-learning process. This can be attributed to the fact that literacy levels play a fundamental role towards ICT resources utilization at different levels. Thus, teachers preference is always the need for communication. High levels of ICT literacy is supposed to enhance ICT resource utilization such as teaching using powerpoint during the teaching-learning process; use of laptops, projectors, word processors and presentation packages in teaching.

#### Information and Communication Technologies Used in Schools

The study assessed the ICT used in schools, so as to have a basis towards ascertaining their effects on teaching-learning process.

Table 2: Usage of ICT in Schools  
n=38

VARIABLES	SA	A	DA	SD
Computers in my school are connected to the internet to ease learning	31(10.06%)	46(14.94%)	77(25%)	154(50%)
My Teachers ask me to refer notes from internet	06(1.95%)	92(29.87%)	148(48.05%)	62(20.13%)
I know how to search for more academic work from internet	15(4.87%)	61(19.81%)	154(50%)	78(25.32%)

The report showed that the schools were not connected to the internet to ease the learning process. According to the World Bank report of 2004, it indicated that the internet use depends on the financial situation of a country. Most respondents confirmed that their teachers did not ask them to refer notes from internet. The report also showed that only 15 out of 308 (4.87%) students strongly agreed that they can perfectly search for more academic work from internet. Whereas a majority of 154 students which was represented by 50% of the total number of respondents disagreed on their ability to search for more academic work from internet. Mitra and Stettensmeir (2000) argued that one barrier to the efficient utilization of ICT in developing countries was the relatively low level of information literacy. Without the ability to manipulate and use information effectively, investments in ICT-for-development projects may be unsuccessful.

#### Effects of ICT on the Teaching and Learning Process

In ascertaining the effects of ICT on teaching learning process, the study assessed how ICT was being utilized in teaching-learning process among the selected secondary schools.

Table 3: Effects of ICT  
n=38

VARIABLES	SA	A	DA	SD
There are broadcasting technologies in my school to ease learning	31(10.06%)	31(10.06%)	185(60.06%)	61(19.81%)
There are Radio and TV lessons in my school	15(4.87%)	31(10.06%)	77(25%)	185(60.06%)
Broadcasting technologies improve my learning process in school	247(80.19%)	31(10.06%)	09(2.92%)	21(6.82%)

One hundred eighty five (60%) respondents out of 308 total number of respondents disagreed that their schools had broadcasting technologies to ease learning; 185/ 60% of the total number of respondents strongly disagreed that there were radio and TV lessons in their

school. 247 (80%) of the total number of respondents also disagreed that broadcasting technologies improved their learning process in school. This did not confirm Tripp and Roby's (1996) findings that the radio had a greater value for weak students who benefited from them as a supplementary learning tool. They further argued that ICT was supposed to speed up information delivery, facilitate teaching, learning and research. In spite of the above observations, about the potentials, and benefits of using ICT, the level of awareness and use in Luwero secondary schools appeared to be very minimal. This could be attributed to school related factors, human resources related factors and other factors. In addition, as Mitra and Stettensmeir (2000) noted, availability of human resources that were ICT literate and can utilize ICT systems and facilities, made it possible to efficiently and effectively (the time spent on a given task and quality of task accomplished and outcomes/work results and task accomplishment) offer services to clientele. Surviving in the information age depends on the level of literacy at national and global information networks.

#### Relationship between ICT and Teaching and Learning Process

Table 4: Correlation between ICT and Teaching and Learning Process

Information and communication Technologies	r-value	p-value
1. Computers	0.331	0.212
2. Internet	0.462	0.149
3. Broadcasting Technologies	0.188	0.081

From Table 4, it was revealed that the relationship between computers and teaching and learning process showed r-value of 0.331 implying no significant relationship. The relationship between internet and teaching and learning process showed r-value of 0.462 also indicating no significant relationship. The findings contradicted with Muehleisen's results (1997) that internet has positive effects on motivation of students. Lastly, the relationship between broadcasting technologies (TV and Radios) and teaching and learning process showed r-value of 0.188 implying no significant relationship. This meant that there was no significant relationship between information and communication technology and teaching and learning in selected secondary schools in Luwero District, Uganda. The p-values for computers, internet and broadcasting technologies were 0.212, 0.149 and 0.081 respectively indicating that there was no significant relationship between ICT and teaching and learning process. This is contrary with May & Aikman (2003) who argued that Information and Communication Technologies can improve education at all levels. This showed that information and communication technologies had an effect on teaching and learning process, but at a lower level with computer and broadcasting technologies, while internet showed a moderate effect to teaching and learning process.

## Conclusion

There was no significant relationship between information and communication technologies and teaching and learning process in secondary schools in Luwero District, Uganda. ICT literacy is necessary to enhance utilization of ICT resources. It should however be brought to a concern that several factors are hindering and threatening secondary students in Luwero District, Uganda in their teaching and learning process and needs to be attended to.

## Recommendations

The school management should be able to buy more information and communications technologies equipment which can accommodate the total number of available students. The schools should purchase reliable internet services and other equipment to be put under supervision such as radios and television, computers and projectors as this will ensure their proper maintenance.

This investigation has brought forward the activities which the scholars should undertake future in-depth studies in the following recommended fields: an investigation on the roles of information and communication technologies on teaching and learning process in secondary schools in Luwero District, Uganda; an investigation on the role of government to increase in initiating the learning process on information and computing technologies in schools.

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“Lexicalization patterns of English verbs and  
the problem of their translation into Armenian.”

The aim of the present article is the study of lexicalization patterns of English verbs of motion, speech acts and sense perception and the ways of their translation into Armenian.

Languages may be compared according to the information they convey, but they are different if we take the quantity and typology of the information expressed by word units. It is known that the more the notion or the concept is essential for the society the more there is a tendency to lexicalize it, i.e. more word units are created to show it. So we may mark out meaning components which are lexicalized in one language and in other languages they are not. The best known approach concerning linguistic typology based on lexicalization patterns is Talmy's typology, according to which satellite-framed languages and verb-framed languages are distinguished. In the so-called satellite-framed languages like English, German and Russian motion verbs tend to incorporate “manner” to their core meaning and “path” is expressed by a variety of other devices (satellites) such as particles, prepositions, verb affixes, etc, whereas in verb-framed languages like Armenian, Modern Greek, Turkish and Japanese, verbs tend to incorporate “path”, expressing “manner” with an additional component. Languages of this type have a whole series of verbs that express motion along various paths.

It is obvious that the typological differences of English and Armenian can pose difficulties for translators. Our problem is to find out what translation methods are used to keep lexicalization patterns and meaning components of verbs. The study was carried out based on the sentences conveying verbs of motion, speech acts and sense perception marked out from the works “Tender is the Night” by F.S. Fitzgerald and “The Catcher in the Rye” by J.D. Salinger and from their Armenian translations.

In order to keep the lexicalization pattern “Action+Manner” the preferable method of translation is equivalent translation if Armenian provides this opportunity. The verbs of speech acts in Armenian are fewer in their number than those in English as in Armenian the communication aim or manner is not conveyed in the meanings of verbs.

Despite this fact the majority of the verbs of speech acts in the investigated examples are translated with their Armenian equivalents.

1. “My dear,” he burst forth, leaning toward her with his whole body as he touched her on the upper leg (“Tender is the Night”, 79 ).  
- Ինչպե՞ս, - ասացաւ ինչ քան ինչպէս ասանք ինչպէս:  
Ինչ ասանք ինչ ասանք ինչպէս ասանք ինչպէս (250):



2. 'I can't stand it,' he squeaked, almost voiceless ("Tender is the Night", 28).

-□□ □□□ □□□□□ □□□□□□□, - □□□□□□ □□□□□ □□□□□□

□□(198):

In case there are no equivalents the descriptive method of translation is used for expressing the differentiating components of meanings of English verbs in Armenian as well as for keeping lexicalization pattern "action+manner". In this case identifiers peculiar to the given word group are mainly used and the manner of the action is expressed by another verb or adverb functioning as an adverbial modifier.

3. □Rosemary suddenly hysterical with laughter kept kicking at him with her espadrille ("Tender is the Night", 55).

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□□□□□ □□□□□ □□□□□□□□ □□□□ (230):

The word kick has the following meaning: "to strike out with the foot or feet". As we see the verb has the meaning "to strike with foot" while in Armenian there is no equivalent for the given verb. In order to express the adverbial modifier of means we must use descriptive method adding the word "by foot". In English the direction of the strike is expressed by the preposition at while in Armenian no particle is used to show the direction.

While translating the verbs of sense perception the descriptive method of translation was mainly used as many of English verbs do not have their Armenian equivalents. The translators used descriptive translation in order to express the differentiating meaning components of English verbs in Armenian as well as to keep the pattern "action+manner". For example, in English the lexico-semantic group of visual verbs is rather wide while in Armenian some visual verbs do not exist and the meaning of manner is not expressed in the verb so the translator uses descriptive method.

4. Mr. McKisco had been staring at the sea-now after a swift glance at his wife he turned to Rosemary ("Tender is the Night", 75).

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□□□□ □□□□□□□□(260):

The visual verb used in this example is translated via the descriptive method. The verb stare which means "to look at someone or something for a long time often with your eyes wide open" in Armenian transfers that meaning by the expression «□□□□□□ □□□□□»: As we see the verb □□□□□ (to sit) is not used in the English sentence but the translator adding the verb □□□□□ (to sit) turned the verb of sense perception into an adverbial modifier. As for the word

glance in English it is a noun while in Armenian it is translated through the phrase «նայում».

In case of contextual translation English «action+ manner» pattern is kept, as well as the verb acquires an additional meaning, which does not exist in its meaning structure. But the translator knowing the situation and psychological state of the heroes uses contextual method.

5. I slid way the hell down in my chair and watched old Ackley making himself at home (“The Catcher in the Rye”, 45).

Ես նայում էի իմ նստիչի վրա, երբ ես սահում էի դեպի ներքև, և ես նայում էի ծեր Աքլեյին, երբ նա նստում էր իր նստիչի վրա (30):

In this sentence the translation of verb through contextual method is justified because Armenian նայում, though not equivalent to slide, completely expresses English motion+ manner pattern, it also includes the direction, which is expressed in English through the preposition down. Besides, it helps to keep the conversational style of the book-slang.

1. Ackley kept saying, the whole goddam game, that Coyle had a perfect build for basketball (“The Catcher in the Rye”, 51).

Աքլեյը ասում էր, ամբողջ ծղձռիկ խաղը, որ Կոյլը ունի իդեալական կառուցվածքը բասկետբոլի համար, ամբողջ ծղձռիկ խաղը (37):

The verb say which is used with the verb to keep, has lost its general meaning and acquired additional meaning. “նայում էի իմ նստիչի վրա” which would be an equivalent translation, “kept saying” is translated through the idiom “նայում էի իմ նստիչի վրա (talk my head off)” which has a negative meaning component, it shows that the listener is tired of the speaker's talk. This can be considered not only concretization but also contextual translation, because due to it the conversational style of the book is kept.

In case of word-for-word translation, lexicalization pattern is kept, but the translation is not successful. This method of translation is rarely used in the examined sentences.

7. Merchantmen crawled westward on the horizon (“The Catcher in the Rye”, 37).

Երեսները սահում էին արևմուտքի կողմը, երբ նրանք անցնում էին հորիզոնի վրա (30):

The English verb to crawl has many meanings: 1. to move slowly on the knees or by dragging the body along the ground, which has its equivalent in Armenian-«նայում»:>: But the latter doesn't have the second meaning of the verb to crawl – 2. to advance slowly, feebly, laboriously or with frequent stops, which is realized in the given example. So, in Armenian version we see word-for-word translation. In such a case it's better to use descriptive method: <«նայում էի իմ նստիչի վրա»>

□□□□□□□□>>: (merchantmen were slowly westward on the horizon).

Generalization method does not keep «action+manner» lexicalization pattern, a meaning component is lost and the word is translated through the identifier of that word group. So, if there is no equivalent, it is better to use descriptive method than generalization.

While translating verbs of motion, mostly generalization is used, which does not keep lexicalization pattern. The use of this method is explained by the fact that English verbs of motion exceed the number of Armenian verbs of motion. But in this case it is better to use descriptive method to keep «motion+ manner» lexicalization pattern.

2. Glazing his eyes to indicate that he had only spoken in order warn her, he minced off two steps and poured himself another drink (“Tender is the Night”, 17).

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(209):

Here generalization is used and in Armenian «action+manner» pattern is not kept though English verb mince completely conveys it: mince- to walk with very short steps or with exaggerated primness.

Many English verbs show different ways of walking and these verbs do not have their equivalents in Armenian. While translating these verbs, descriptive method should be used.

Mince is among those verbs , i.e. Armenian does not have the equivalent to mince, so instead of generalization, descriptive method is used: □□□□□□□□□□ □□□□□ □□□□ □□ □□□□  
□□□ □□□□□ □□□□ □□□□ □□ □□□□:

In case of concretization method, the reverse process occurs: new meaning components are added to verbs, so lexicalization pattern «action + manner» may be added to the translated version.

1. The same British voice said: ‘Rilly, this must stup immejetely ‘(“Tender is the Night”, 87).

□□□□□ □□□□□ □□□□□□.

-□□□□ □□□□ □□□ □□□□□□□□□□□□□□□ (262):

As we know say is one of the four identifiers of verbs of speech acts, which does not convey additional meaning. While translating the given sentence, taking into account the fact that the verb to say in the sentence expresses an order, the translator shows it through the verb □□□□□□, which conveys not only the speech, but also additional meaning expressing its manner which concretizes the verb to say, so the translator uses concretization.

Investigating the examples taken from the literary works, we have found out that the investigated verbs cannot not always be translated though their equivalents, because very often Armenian does not provide such an opportunity. Thus the translators use descriptive method to keep all meaning components of the English verbs also in Armenian. In this case mostly identifiers of the word group are used and manner is expressed through a verb or an adverb functioning as an adverbial modifier. This method is usually used while translating verbs of sense perception. The use of generalization is not rare especially while translating verbs of motion. In this case meaning components may be lost because the verb is translated though the identifier of the word group. As for verbs of speech acts Armenian mostly provides their equivalents, which are used during translation especially in the cases when they express direct speech.

Our investigation approves the fact that Armenian is among verb-framed languages and English is among satellite-framed languages.

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## **TRADITIONAL RULERS AND MANAGEMENT OF ELECTORAL DISPUTE IN NIGERIA: A STUDY OF OYO AND EKITI STATES (1999 – 2011)**

### **ABSTRACT:**

Traditional rulers have occupied positions of prominence in conflict management. They are regarded as father of all and expected to be politically neutral to justify the institution. This study investigated traditional ruler's involvement in electoral violence. Descriptive survey design was adopted to examine the relevance of traditional rulers in managing intra-party violence. The population consists of politicians and traditional rulers in Oyo and Ekiti states. Purposive sampling techniques were adopted to select 14 traditional rulers, while quota sampling techniques was used to select 600 politicians from the three major political parties in Nigeria. Data was collected using self-structured questionnaire and interview. Findings revealed that involvement of traditional rulers in politics has led to successful resolution of electoral violence. However, there were crises of confidence between traditional rulers and some politicians in those states. Study however recommends that traditional rulers should protect the dignity accorded to the exalted position.

### **INTRODUCTION**

Africa in recent times has experienced wars and violence due to disputes that have turned into wanton wave of bloody violence resulting in loss of millions of innocent lives, and valuable materials, while millions of people are displaced and turned into refugees. Scholars have opined that disputes in Africa and other parts of the world have disastrous consequences on social stability, peaceful development and harmonious human existence. It should be noted that one of the challenges plaguing Nigeria is the handling of political disputes.

It has been affirmed that political processes in Nigeria have always been a major problem of her democratic consolidation. IDEA (2000:216) stated that “in the history of Nigeria politics, the

vital connection between the elected and the electorates necessary for a liberal democracy is missing. Rather than being a political asset since independence, politics in Nigeria has been a political liability, a source of instability and decay.” Nigeria's various experiences with competitive political process have brought in political thugery and brigandage, unmediated and unrestrained disputes. Affirming this assertion, Adekanye (1989:27-35) counsels that “elections period in Nigeria should be declared as state of emergency and the military should be charged with the conduct and administration of elections.”

Meanwhile, the strategic placement of Nigeria and the roles played on the continent of Africa are enormous, which cannot be overemphasized thereby, making politics in Nigeria a general interest to the continent of Africa and the world at large. However, it has been established that



Nigerians' attitude to the democratization process is characterized by conflict before, during and after elections, impunity and poor accountability. Hence, the abuse of campaign rules has become source of major political disputes during Nigeria's elections. While conflict, disputes, arson and assassinations are rooted in the politics of Nigeria since 1960's, Nweke (2012:202) argues that this was not so in the olden days, "before colonial masters in Nigeria and the introduction of modern conflict management system, traditional institutions have played very significant roles in managing conflicts within African continent and indeed in Nigeria. But the edging out of traditional methods of social control and conflict management from official

policies in the contemporary political structure, has left room for escalation of conflicts and violence." Peters (2004:14) also supported this assertion, he submits that: "the effect of colonialism and manipulation of the educated Nigerian made her forget or refuse to see the beauty and wisdom behind these age-long traditional methods in resolving disputes, the methods which predated the arrival of the British to the present day Nigerian state." Furthermore, the British model of adjudication which is litigation is not only rancorous in nature; but costly both in terms of money and time expended.

While all these electoral violence seem unabated, Nwoli in Albert (2011:154) emphasized that before the coming of the colonial master to Africa, Africans had their peculiar methods of monitoring, preventing, managing, and resolving conflicts; all these mechanism make traditional methods credible and accepted in the society. Bamikole (2009) summarizes the intentions of the traditional leaders with the belief that "a person who watches while tension mounts between children, adults, groups and any warring parties is not seen as socially responsible."

The problem under examination is, with the failing state of modern mechanisms of conflict settlement and the high spate of electoral violence in Oyo and Ekiti States since Nigeria returned to democracy in 1999, the way out is imperative; this is because both States under review occupy a pride of place in the scheme of Western Nigerian politics. Ibadan, the capital of Oyo State on one hand, being the headquarters of the old Western Nigerian region is arguably the political

headquarters of South-west zone; Ekiti, on the other hand, though created in 1991, is reputed for high level of literacy. The evident literacy and political awareness level notwithstanding, political disputes in Oyo and Ekiti States are assuming such curiously alarming proportions that one must begin to interrogate old ways of managing them, as well as coming up with new ways of mitigating the disputes because if such electoral dispute is left unattended to, may have negative implications on the growth and development of both states, as well as escalate into national proportion, such as the situation that led to the declaration of first state of emergency ever experienced in Nigeria within the region. Meanwhile, the research questions which guided the study include what factors lead to intra-party electoral violence in Oyo and Ekiti states? Will introduction of traditional methods of conflict management reduce intra-party electoral violence in both states?

## **Methodology:**

A descriptive survey research design method was used in this study; the population of this study included all politician and traditional rulers in Oyo and Ekiti states. The study adopted both purposive and quota sampling techniques. The traditional rulers were purposively selected due to their ranking and territorial coverage which fell within the Oyo and Ekiti South, East and Central Senatorial constituencies needed for the study; seven (7) kings each out of 52 and 127 from Oyo and Ekiti states respectively were involved. Another sample size was drawn from three political

parties in the two states (APC, PDP, and Labour party). A quota sampling technique was adopted for the political parties and the politicians.

The methodology entails the collection of data through primary and secondary source; the instruments used for this study were questionnaire, focus group discussion (FGD) and unstructured interview guide. The method of data collection for this study included both the qualitative and quantitative research techniques. A pilot test method was conducted to test the reliability of the research instrument, the reliability of the instrument was determined using the Cronbach alpha reliability method, the research instrument was administered to 50 respondents (politician) from Ogun state (a neighboring state). An alpha reliability coefficient of .76 was obtained. In the same vein, unstructured interview guide was used to generate responses from the traditional rulers involved; while six hundred (600) questionnaires were used to capture the views of the politician; this forms the primary source of data collection. The questionnaires were shared by 100 each to the three political parties, making 300 copies each for the two states.

## **Theoretical framework:**

### **2.8.1 Group Theory**

This study adopted group theory as a guide; intellectual roots of the group theory lies in the doctrine of pluralism as developed by early twentieth scholars like Bentley (1908) et al as acknowledged by Varma (2004). It stated that a genuine group was different from a co-incidental collection; it says that in theory, democracy is viewed as a marketplace with more or less perfect

competition. Various perspectives are represented by individuals, political parties, and interest groups who compete for influence over policy domains. These theoretical perceptions formed a system in which everyone is free to organize for political purposes, and in which the policy-making process is not monopolized by powerful political forces. The predominant argument is that in reality political access and power are unevenly distributed in the democratic system, resulting to political disputes arguments, intra and interparty disputes and sometimes electoral violence.

Proponents of this group theorists, like other behaviouralists, are interested in the fact that the society keeps going and, in order to explain how it can keep going in spite of the perpetual conflict among groups in which each is frantically pursuing its own narrow self-interest. The study

believed that some Nigerian political elites and their godfathers seek for political powers as a means of securing protection, social and community recognition for themselves and their accolades which a times lead to political dispute, because political players always intend to achieve their different political aims and ambitions. However, when such targets are not met, it sometimes translates into political upheavals which are being experienced within Nigerian political space which leads to intra-party electoral disputes.

## **Literatures:**

### **Electoral Disputes in Nigeria**

With unprecedented political thugery and uncontrolled electoral disputes, characterized by wanton destruction of lives and property, politics and elections period in Nigeria since 1950's Nigeria politics is best described as warfare, (Abass, 2008:6) cited in Ake, (2001), Adekanye (1989) also, Nnoli, (1984, 1987). Incidence of intra-party and inter-party conflicts as well as electoral violence have led to endemic abductions and assassinations of opponents and innocent victims, flagrant and official rigging of election results. Further violations of established processes have invariably transformed election periods in Nigeria to "a-matter-of-do-or-die or a-matter-of-life-and-death" (Obasanjo, 2007) or that of "by hook or by crook" (Jega, 2012). Thus politics has of course signaled serious dangers for democratic and partisan politics in Nigeria. The arguments of above scholars and the realities on ground are non-contestable. Usman (2008:9) further argued that "Political disputes during elections have been the phenomenon occurrence in Nigeria's democratic environment. Electoral violence in the forties and fifties actually transformed to political tension, crises and consequently wrecked all attempts by Nigerians to build and sustain democratic governance. Violence associated with elections has continued on the rise perilously with new forms and dimensions introduced and old ones modified. Scholars have opined that failure of sustainable democratic governance in Nigeria may not be unconnected with the nature, form, character and direction of the Nigerian state and its

system of economy, e.g. "explosion rocks Rivers APC office; Police station burnt, soldiers arrest 13 in Jos The Punch Jan. 12 2015." also, "Attack on campaign Buses, Jonathan, Buhari in war of words; The Vanguard Jan. 12, 2015." These however indicate the pattern of the struggle for political power or democracy without its appropriate sustenance which invariably produce the problem of democratic politics and practice in Nigeria.

In addition, ethno-political cleavages have continued to remain one of the silent determinants of political disputes in Nigerian election matters, as political contest is thus characterized by competition, the Nigerian factor of continuous harassment, threat and intimidation of the opposition parties or 'political enemies' within the ruling party, perhaps gives everybody an open ended license to display physical and brute force to either protect or safeguard his/her political environment. It is the norms that the ruling party often devises strategies to weaken opposition in order to exert absolute monopoly over electoral outcomes. Formal and informal practices

may be used like bribing the leadership of the opposition, or generate split within the opposition until

members defect to ruling party or even through the deceptive strategy of the government of national unity where opposition members take ministerial slots and other lucrative appointments.

Though violence is usually destructive in nature, yet, management of disputes or violence of any kind have deep root in the African traditional cultures and believes contrary to the absolute paradigm shift to western system of conflict resolution. Lauer (2007:289) argued that “every

African community has capacities of promoting mutual understanding and peaceful coexistence.” Akinwale (2012:127) collaborated that “adoption of western approaches to conflict management has adversely affected the stability and development of many African societies including Nigeria.” Thus, this research proposed a synergy of both modern and traditional conflict mechanisms in handling social and electoral disputes in Africa.

### **Traditional Rulers and its Mechanism of Dispute settlement**

African traditional institution are symbols of indigenous peoples’ right, privileges, laws, customs and tradition which include but not limited to paramount rulers and their councils. Nweke (2012:20) postulates that, “selection of person into the offices of traditional institutions is hereditary, or by selection, or election by the instrument of relevant traditional methods. The institution in the Nigerian context is inclusive of the chiefs-in-council, elders-in-council, title holders who may be appointed based on their contributions to the growth and development of their communities. Ascending to African traditional throne in an African setting involves different mechanisms, critically looking at the institution. Also Gboyega (2004) posits that “traditional institutions are the custodian of customs; they make laws, execute, interpret and apply the fundamentals laws, customs and traditions on the people for the smooth running of the societies”. Looking at the mechanism it entails. Albert (2011:154) succinctly submitted that, “Africans had their peculiar methods of monitoring, preventing, managing, and resolving

conflict. They also had their peculiar ways and manners of effecting peacemaking, peace-building, and confidence building.” Boege (2006:6) argues that “traditional methods of conflict resolution varies, there are as many different traditional approaches to conflict transformation as there are different societies and communities with a specific history, specific culture and custom in the African context.”

Critically examining African culture and the role played by the Agba (elders) in disputes resolution, Bamikole (2009) believes that the early intervention of the Agba (elders) in reconciling disputed factions usually save conflicts from escalating into violent situations. Whenever there is dispute between individuals and parties, primacy is given to restoring the relationships, soothe hurt feelings and to reach a compromise on how to improving future relationships. Best (2005:100) enumerated that; African alternative disputes resolution is conducted in the open as a means of ensuring that subsequent generations in the community learn the process and action.

Lending credence to this assertion, Onadeko (2008:5) submitted that, “there was no need to prescribe formal laws as deterrents against a social behavior, because everybody accepted implicitly that any departure from the behavior approved by the deities (*Imale*) and the ancestors (*Osi*) was punishable”. He agreed with Offiong, (1991:18) that, “when laws were promulgated by the king and his council chiefs, the laws were invariably given a divine sanction. In practice, for the law to be effective, it is not only the responsibility of the king or his chief in council but the responsibility of the chiefs of various wards, villages and towns.”

In line with this, Oyeshola (2005:148) concurred that “like the modern courts in Nigeria, starting from customary to the supreme court with the rights to appeal, so also was the resolution of conflict in the olden days; which commenced from the family court or the court of the council of elders in the compound court of the various societies and the court of the Oba-in-Council as the supreme court”. The traditional rulers enjoys supreme powers, as traditions in most African cultures believes that reigning monarchs have to go on self-exile or commit suicide if found to have contravened the law of the land and cultures. In order to avoid the abuse of powers and knowing that power tends to corrupt and absolute power corrupts absolutely, the traditional social institutions, Akinwale (2012:137).

Table below reveals the reaction of respondents to the questions under review as found in the questionnaire:

**Table 1: What factors lead to Electoral violence in the two States?**

S/No	Statement for Consideration	State	SA %	A %	UD %	D %	SD %	Total %
	The following are the major causes of political disputes in the states.							
1.	I believe the flow of money plays a major role in politics of my State.	Oyo	134 50	112 41.8	10 3.7	4 1.5	8 3	268 (100)
		Ekiti	190 73.4	16 6.2	8 3.1	39 15.1	6 2.3	259 100
		Combined	324 61.4	128 24.2	18 3.4	43 8.1	14 2.7	527 100
2.	Power of incumbency has an implication on electoral violence in my State.	Oyo	110 41.0	106 39.6	21 7.8	29 10.8	2 0.8	268 (100)
		Ekiti	166 64.1	16 6.2	8 3.1	31 12	38 14.7	259 100
		Combined	276 52.3	122 23.1	29 5.5	60 11.4	40 7.6	527 100
3.	Zoning formula is a major cause of electoral violence in my state.	Oyo	93 34.7	80 29.9	64 23.9	14 5.2	17 6.3	268 (100)
		Ekiti	190 70.9	16 6.2	16 6.2	18 6.9	19 7.3	259 100
		Combined	283 53.7	96 18.2	80 15.1	35 6.6	36 6.8	527 100
4.	Political godfathers are the major causes of electoral violence in my state?	Oyo	142 52.9	103 38.4	3 1.1	7 2.6	13 4.8	268 (100)
		Ekiti	71 27.4	167 64.4	6 2.3	9 3.5	06 2.3	259 100
		Combined	213 40.4	270 51.2	9 1.7	16 3	19 3.6	527 100
5.	Personal interest and imposition of personal agenda causes electoral violence in my state.	Oyo	150 56	104 38.8	8 3	2 0.8	4 1.4	268 (100)
		Ekiti	182 70.2	45 17.3	8 3.1	18 6.9	6 2.3	259 100
		Combined	332 63	149 28.3	16 3.0	20 3.8	10 1.9	527 100

**TABLE 2: Traditional Rulers and Management of Intra-Party Political disputes:**

	Statement for Consideration	State	SA	A	UD	D	SD	Total
1.	Traditional Rulers still have powers to call the politicians to order in my state.	Oyo	126 47	129 34.7	6 2.2	7 2.6	0 0.0	268 (100)
		Ekiti	16 6.2	206 79.5	11 4.2	23 8.9	3 1.2	259 100
		Combined	142 26.9	335 63.6	17 3.2	30 5.7	3 0.6	527 100
2.	I believe traditional methods which include: mediation, arbitration, oath taken, use of jokes and diplomacy etc, are good enough to reduce electoral violence in my state.	Oyo	68 25.4	136 50.7	48 17.9	7 2.6	9 3.4	268 (100)
		Ekiti	167 64.5	8 3.1	25 9.7	43 16.6	16 6.2	259 100
		Combined	235 44.6	144 27.3	73 13.9	50 9.5	25 4.7	527 100
3.	I know that traditional methods could be rely upon in settling any disputes in my state.	Oyo	125 46.6	119 44.4	3 1.1	12 4.5	9 3.5	268 (100)
		Ekiti	34 13.1	188 72.6	21 8.1	11 4.2	5 1.9	259 100
		Combined	159 30.2	307 58.2	24 4.6	23 4.4	14 2.7	527 100
4.	My knowledge is that adopting traditional methods negate modern method of conflict settlement in my state.	Oyo	9 3.4	21 7.8	16 6	120 44.8	102 38.1	268 (100)
		Ekiti	16 6.2	2 0.8	22 8.5	43 16.6	176 68	259 100
		Combined	25 9.6	23 4.4	38 7.2	163 31	278 52.8	527 100
5.	Introducing traditional method to settle electoral violence will be useful in managing political violence in my State.	Oyo	110 41	120 44.8	10 3.7	16 6	12 4.5	268 (100)
		Ekiti	28 10.8	199 76.8	22 8.5	3 1.2	7 2.7	259 100
		Combined	138 26.2	319 60.5	32 6.1	19 3.6	19 3.6	527 100

### Interpretation of Tables:

**Table 1:**

Findings revealed that major causes of electoral violence in the two states includes rate at which money flows in politics, the incumbency factor, zoning formula, role of godfathers and imposition/personal interest are the major factors causing electoral violence. Respondents' were able to indicate the rate at which money flows in politics, which posed a great danger in politics. This agrees with focus group respondents held in the two states among the politicians. 324 (34%)



strongly agree, while 128 (24.2%) agreed, making a total of 452 (85.6%) of the respondents opined that the rate money flow in Nigeria politics is alarming as against 43 (8.1%) and 14 (2.7%) opposing the factor. In their opinion, this is a major factor that leads to politics as a “do or die affair”. Thus, affirming Obasanjo’s ideas of gaining power at all costs syndrome.

Also, intra-party and inter-party electoral disputes have led to endemic abductions and assassinations of political opponents as well as innocent victims, flagrant and official rigging of election results. More so, further violations of established processes have invariably transformed election periods in Nigeria to “a-matter-of-do-or-die or a-matter-of-life-and-death”, (Obasanjo, 2007) or by ‘hook or by crook’ (Jega, 2008:9). Thus, politics has signaled serious dangers for democratic and partisan politics in Nigeria. Also, Human Right Watch Report (2004:1) on Nigeria’s 2003 election recorded that “the election witnessed unprecedented level of electoral violence, and electoral fraud ranges from ballot stuffing, intimidation, killing and assassination”.

Findings also revealed godfatherism as one of the factors leading to electoral violence the sum of

213 (40.4%) and 270 (51.2%) respondents respectively making a total sum of 483 (91.6%) of the respondents believed that godfatherism is a major factor leading to electoral violence in the two states. The opinion of the respondent was that, godfathers dictates the tune and give directions on issues affecting parties which eventually reflect on the outcome of elections, making opinions of other members of the party less count.

Respondents are of the view that godfathers has the resources (money and power), hence, they dictate what happens in the party even at the instance of the party members. Respondents believed that godfather’s do instigates the unemployed youth to steal ballot boxes, rigging of elections in their favour and making use of their personalities to pervert justice when such culprit is caught. This fact is in line with Aluko (2010: 229) that “elections in the third world countries, especially Africa have from time past suffered from alterations and distortions, which have made such contests incapable of producing acceptable and credible leadership; These are possible because of incumbency factors he posits.”

Findings also revealed incumbency factor as a major factor leading to electoral violence, 276 (52.3%) strongly agreed, while 122 (23.1%) respondents opined that incumbency factor is one of the causes of electoral violence, though 60 (11.4%) and 40 (7.6%) opposed the assertion. Notwithstanding, 398 (75.4%) respondents believed that incumbency factor is a major cause of electoral violence in the two states. The opinion of majority of the respondents supported the

European Union (EU.) electoral observation report on the 2007 elections quotes in, (The Punch newspaper August 8, 2011) that «incumbent political parties possessed an unfair advantage over other parties by using state resources attached to their offices in support of their campaigns, particularly, the state media, vehicles, civil servants, public funds, aid programs and buildings.” It was further identified that, the use of ‘inflammatory speeches or indigenous refer-

ences like ‘son of the soil’, ‘home boys’, do aggravates and leads to tense political atmosphere causing violence during electoral processes.”

Focus-group discussion also revealed that the role of hooliganism in Nigeria’s politics is also a major cause of electoral violence. Table shows the “impact of hooligans and political thugs” 161 (30.6%) strongly agreed while 268 (50.9%) agreed, making a total sum of 429 (81.5%) respondents supporting the notion that the hooligans within the society are used as political thugs by some politicians and the political godfathers. On the contrary, 64 (12.1%) and 20 (7.5%) strongly opposed the assertion. Responses majorly shows that these set of people are been induced by receiving tokens (in form of cash) to purchase drinks and machetes to foment troubles during elections. In addition, data shows that, personal agenda or imposition of candidate as one of the factors causing intra-party electoral violence in the two states; table revealed that, 332 (63%) strongly agreed, while 149 (28.3%) agreed making a total number of 481 (91.3%). However, 20 (3.8%) strongly disagreed, while 10 (1.9%) disagreed which is insignificant. It was revealed that majority of the respondents believed that personal agenda is a

major factor causing intra-party violence in their states. This is line with Usman (2008) argument that: “In recent times, elections related disputes may not be similar to the pre 1999 era, because times have changed, and the extent and dimensions has also fundamentally changed. For example, in terms of the instruments and strategies of various assassinations and other electoral frauds, those involved in the act have devised a very high degree of perfection. A new dimension to electoral disputes has come to feature prominently as a product of aggravating provocations, extension of deep-seated and age long conflicts between individuals, groups, families and communities”. Putting these facts together, it is very evident that the political class in one way or the other impacted on factors leading to electoral violence in the states studied.”

Table 2:

Findings revealed the respondents on traditional institutions and management of electoral violence. Item 1, shows that 142 (26.9%) strongly agreed, 335 (63.6%) of the respondents totaling 477 (90.5%), are of the view that traditional institution have what it take to call politicians to order. On the contrary, 30 (5.7%) and 3 (0.6%) among the respondents disagreed and strongly disagreed respectively that traditional rulers could not call the politicians to order. Data revealed that, majority of the respondents opined that members of the communities are subjects of the traditional rulers, as the rulers are custodian of people’s culture and customs. Also, it was revealed that traditional rulers are best regarded as representatives of the gods; hence, the political classes are subjects to the traditional rulers.

For instance; worried at the pace of electoral violence in Ekiti state, Nigerian Tribune, May 9, 2014 pg45 captioned, “Traditional Rulers compel 18 candidates to pledge against violence” the 18 candidates contesting in the June 21 governorship election in Ekiti State publicly before traditional rulers in the state to henceforth campaign peacefully for votes in the build up to the election, the communiqué holds, as the custodians of their communities, traditional rulers should device a means to sanction against any contestant found to have breached the peace.”

Findings shows that 235 (44.6%) strongly agreed, as 144 (27.3%) respondent agrees, making a total number of 379 (71.9%) believing that introducing traditional methods of conflict resolution which include jokes, arbitration, oath-taken, all these could be introduced towards reducing intra-party political disputes. Column 3 considers the reliability of traditional methods in settling electoral violence. Respondents revealed that 159 (30.2%) of the respondents strongly agreed, and 307 (58.2%) also agreed, it shows that a sum of 466 (88.4%) respondents believed that traditional institution's mechanism of conflict settlement could be relied upon in settling electoral violence. On the contrary, 23 (4.4%) and 14 (2.7%) disagreed and strongly disagreed respectively with this, majority of the respondents believe that African have their ways and approaches to different matters, making traditional rulers to be seen as embodiments of norms, values and customs. Respondents are of the opinion that the norms and customs should be implemented whenever there is need for it.

Item 4 on the table shows adopting traditional methods of conflict settlement negates the modern method of conflict management; findings revealed that 163 (31%) strongly disagreed, 278 (52.8%) disagree. This shows a total sum of 441 (83.8%) respondents disagreed on the assertion that that adopting traditional methods into settlement of electoral violence negates modern method of conflict management. Table also revealed that majority of the respondents believed that traditional mechanism should be introduced into the constitution, whereby some responsibilities would be given to the traditional rulers. Also, majority of the focus group discussion holds that the modern system as well as traditional methods could be integrated into the system; this will close the gap, where one fails, the other will be implemented.

Last column revealed introducing traditional rulers will make a positive difference in managing intra-party electoral violence in both states; findings shows that 138 (26.2%) strongly agreed, and 319 (60.5%) agreed, making a total sum of 457 (86.7%) respondents are in support that introducing traditional method will help in reducing electoral violence. Majority of the respondents believed that in as much as traditional office holders abide by the rules accorded them avoid playing partisan politics, nor lobby for political office and contracts, introducing traditional rulers into settle political disputes will make a positive difference towards managing electoral violence in the two states.

### **Conclusion:**

This research considered factors that lead to electoral violence in Oyo and Ekiti state. The following conclusions were observed; the rate of circulation of money in Nigeria's politics is alarming, leading to incidences of intra-party, inter-party conflicts which eventually turn to endemic abductions and assassinations of opponents and innocent victims, rigging of election results, electoral fraud ranges from ballot stuffing and intimidation of electorate and electoral agency. It also revealed that the flow of money in politics leads many youths into politics as a quick means of gaining access to the state treasury, and always leads to a "do or die syndrome",

or “winning by hook or crook”; which means gaining power at all cost.

Conclusively, civilization might have come in the way of the traditional institution but respondents believed in traditions and customs. It was confirmed that whenever any member of the community has conflict with his or her neighbour, some do take the case to the palace because they know the other party will be invited and solution will be proffered amicably within a short time. Indeed, they further argued that people confide in the traditional ruler rather than taking their cases to the police or modern courts of law, due to its time consuming and the cost implications. Study affirmed that twice or three times in every week is set aside for adjudication of justice in different palaces under the supervision of the traditional ruler. Study is however concluded that though it is believed that civilization has eroded the powers of the traditional rulers, yet the institution still serves an advisory role to the government of the day, pointing to the institutions’ relevancy as far as 1950s till this current dispensation.

### **Recommendations:**

This research recommends that politicians and their political gladiators should see politics as a game and not ‘a do or die affair’. Also, it was observed that circulation of money in politics and money expended on political office holders is very high in Nigeria. Hence, money should be reduced to discourage the idea of winning at all cost; whereby such money could be diverted to provide social amenities to Nigerian citizens. Study revealed that those involved in electoral violence are mostly the youths within the ages of 26 and 40years, which may not be unconnected with the high rate of unemployment in Nigeria. Hence, this study strongly recommended that government should create a peaceful society that will encourage the foreigners and private investors to create jobs for the unemployed youths; this will reduce youth participation in politics. Also, due to the fact that majority of those that perpetuate electoral violence are from the local areas, while this group understand better the implications of traditions and norms, the traditional rulers should be made chief security officers of their localities, this will reduce political and community disputes as well as justify the 5% monthly allocation received by the traditional rulers from the local government account.

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## **A PSYCHOLOGICAL PERSPECTIVE ON EMOTIONAL COMPETENCE AMONG STUDENTS**

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### **ABSTRACT**

Emotion is an important aspect for higher learning institutions' students to prepare for the real world after graduated. This paper addresses the issue of emotional competence as part of student's emotional intelligence construct. The definition of emotional intelligence versus emotional competence is elaborated. Skills of emotional competence require students to possess personal leadership, interpersonal development and healthy relationship, intrapersonal development and self-management. There are certain consequences of emotional competence such as management of emotions, subjective well-being and resilience. A student emotional competence development model is suggested that comprised of the key emotional competencies, assessment of emotional skills and consequences of emotional competence.

Keywords: emotional competence, student, skills

### **INTRODUCTION**

In recent years, accountability standards and low test scores have been the focus of education reform and criticism directed to public and private education at all levels. The broader mission of education becomes clouded when competency and effectiveness is defined solely or primarily on the basis of performance on standardized assessment models. It is a narrow emphasis of learning rather than the broader mission of higher education. Candidates or students for higher education are largely selected on their academic performance and their ability to do well in examinations. Academic performance normally reflects student's IQs, which inhibits age-related measure of intelligence level (Muchhal, 2014; Reber, 1985). IQ, in another word, constitutes general mental ability. The high intelligence (IQ) type of students are said to be adept in the realm of the mind but may be inept in the personal world. Higher learning institutions focusing on academic, career, and leadership development requires an emphasis on affective or emotional learning and competencies as much as academic learning. The presence of emotional intelligence could prove a useful indication for success in students (Ahmad Marzuki et al. 2012).



Demands of a global economy necessitate additional restructuring and reform efforts. This is due to the changes in the nature of work and productivity demands. Graduates are required to be competent not only in terms of academic standings (general intelligence) but also emotional skills. As universities and higher learning institutions prepare students for careers and productive employment, education will continue to modify its programs and instructions strategies. An increased interest and recognition of the importance of the contributions of the emotional mind is imperative since universities are preparing students for positions of responsibility and leadership.

Considering the importance of emotional aspects in preparing students for the real world after they graduated, this paper will address the issue of emotional competence as part of student's emotional intelligence construct.

### **EMOTIONAL INTELLIGENCE VERSUS EMOTIONAL COMPETENCE**

The components of subjective experience, verbal description, accompanying physiological responses, motivational influences, behavioural expression, and consequences need to be considered when discussing the nature of emotions (Stanley & Burrows, 2001; Subramanyam, 2012). Depending on their orientation, some researchers view emotions as primarily biological and physiological while others view them as primarily psychological (Lazarus, 1991). In this paper, emotions are viewed as psychological phenomenon.

Research in psychology as well as interdisciplinary research clearly relates emotional intelligence and emotional skills to achievement, leadership, career success, personal health and well-being. In addition, a number of researchers have concluded that emotional intelligence is as predictive of success as normal IQ tests and other standardized measures of scholastic ability and achievement (Goleman, 1995, 1998; Mayer, Salovey & Caruso, 2008; Salovey, Bedell, Detweiler & Mayer, 2000; Sternberg, 1985; Townsend & Gelhardt). This line of research carries a crystal clear message for universities who strive to develop their students to the fullest.

Salovey and Mayer (1997) discuss the intelligent use of emotions to guide behaviour and thinking, thereby enhancing effectiveness and outcomes in a given situation. Emotional intelligence encompasses the human skills of empathy, motivation, self-awareness, self-control and adeptness in relationship. It involves the ability to perceive accurately, appraise and express emotion, the ability to access and/or generate feelings when they facilitate thought, the ability to understand emotion and emotional knowledge, and the ability to regulate emotions to promote emotional and intellectual growth.

Emotional intelligence determines one's capacity to develop the skills or competencies related to the elements listed above. These competencies can be divided into two main categories, personal and social. Personal categories include self-awareness (emotional awareness, the ability to self-assess with accuracy, high self-esteem), self-regulation (the ability to control emotion and impulse, flexibility in handling change, the ability to innovate), and motivation (the need

to achieve, need to initiate and optimism). In the social categories, the competencies include empathy (understanding and developing others, a willingness to meet other's needs and the ability to 'tune in' to the individual's/group's emotional state), and social skills (persuasiveness, conflict management and leadership skills). According to Goleman (1995), people who acquire these skills may excel in human relationship, show marked leadership abilities and perform well.

As part of emotional intelligence construct, more weight is given to learning and development in emotional competence. This includes the opportunities and exposure to affordant environments for learning about emotion-related processes (Saarni, 1999). Therefore, emotional competence may best use to describe a transaction and not necessarily to describe a characteristic of a person (Saarni, 2000). The context that surrounds emotional competence is the interaction of the person and the situation which may involve other person as well.

The working definition of emotional competence is '*the demonstration of self-efficacy in emotion-eliciting social transaction*'. Self-efficacy here refers to individual belief that he or she has the capacity and skills to achieve a desired outcome. This is to describe how individual may respond emotionally, yet simultaneously and strategically apply their knowledge about emotions and their emotional expressiveness to relationship with others, such that they can negotiate their way through interpersonal exchange and regulate their emotional experiences toward desired outcomes or goals.

Given the emphasis on '*skills*' rather than '*abilities*', the concept of emotional competence is stressed towards skills that can be learned and developed rather than abilities (intelligence) that may be inherited. In university context, students are geared toward learning new skills every day to develop personal intellectual self-construct and this is the basis of emotional competence that need to be looked upon.

## **SKILLS OF EMOTIONAL COMPETENCE**

Enhancing students' emotional competence is not an easy task. Its development is an intentional, active and engaging learning process directly or indirectly. These skills are normally learned and developed in social context. The social context, in this case refers to students' environment in higher learning institutions or universities. In general, emotional competency skills can be listed as follow:

- a) Skill in understanding other's emotions, based on situational and expressive cues that have some degree of cultural consensus as to their emotional meaning.
- b) Skill in using the vocabulary of emotion and expression terms commonly available on one's subculture and, at more mature levels, skill that link emotion with social roles.
- c) Capacity of empathic or sympathetic involvement on others' emotional experiences.
- d) Awareness of one's emotional state including the possibility that one is experiencing

multiple emotions, and the awareness that one might not be fully consciously aware of his/her emotional state.

- e) Skill in understanding that one's emotional expressive behaviour may impact on another person and to take this into account in one's self presentation strategies.
- f) Capacity for emotional self-efficacy. The individual views himself or herself as feeling, overall, the way he or she wants to feel, accepting one's emotional experience and has emotional balance.

Acquiring the above skills for students can be developed through proper activities handled by higher learning institution or university authorities. Many students' activities can be geared towards achieving the needs for emotional competency skills through different kind of processes. One such process suggested here is called the '*emotional skills assessment process*' (Nelson & Low, 2003). This process evolves around four key competencies which can be translated into several specific emotional skills. These specific emotional skills can then be measured as assessment process to determine whether students have acquired the level needed to be emotionally competent in the key area. Table 1 specifies the four main key emotional competencies together with the specific emotional skills for assessment.

**Table 1: Emotional Skills Assessment Process**

<i>Key Emotional Competencies</i>	<i>Assessment for Emotional Skills</i>
A) Personal Leadership	<ul style="list-style-type: none"> <li>- Social Awareness</li> <li>- Empathy</li> <li>- Decision Making</li> <li>- Positive Influence</li> </ul>
B) Interpersonal Development And Healthy Relationship	<ul style="list-style-type: none"> <li>- Anger Management</li> <li>- Anxiety Management</li> </ul>
C) Intrapersonal Development	<ul style="list-style-type: none"> <li>- Self Esteem</li> <li>- Stress Management</li> </ul>
D) Self Management	<ul style="list-style-type: none"> <li>- Time Management</li> <li>- Positive Change</li> <li>- Drive Strength (self-emotional motivation)</li> </ul>

Assessing the emotional skills in acquiring the four key emotional competencies can be done in various ways. It is up to the institutions or universities to formulate what kind of training, activities, and workshops suitable to their students. However, a general guide in doing this is to make sure that assessment of emotional skills for each key emotional competency follows the emotional learning system or the '*5-self*' which is:

- 1 – *Self-Assessment*: To Explore (requires the student to develop an intentional self assessment habit of inquiring, discovering and questioning).
- 2 – *Self-Awareness*: To Identify (involves the process of identifying an experience as either a thought or feeling and leading to reflection).
- 3 – *Self-Knowledge*: To Understand (involves an understanding that allows the student to make choices about how to behave in a positive way).
- 4 – *Self-Development*: To Learn (involves learning various ways to improve behaviour).
- 5 – *Self-Improvement*: To Apply (requires the application and modeling of emotional competence behaviour to achieve academic excellence and career goals).

Success in acquiring emotional competency skills lies on how specific programs are embedded together so that it achieves the ‘5-self’ emotional learning system. Therefore, understanding students’ unique behaviour (as students come from different background, culture, community, and race) is imperative and must not be taken lightly.

## **CONSEQUENCES OF EMOTIONAL COMPETENCE**

As students acquire the above emotional skills in a variety of contexts while they are in university, they demonstrate in their behaviour the consequences of emotional competence. There are three such consequences namely management of emotions (coping strategies and management of emotional expressive behavior), subjective well-being and resilience (Crick & Dodge, 1994; Denham, 1999; Saarni, 1999).

### ***Management of Emotions***

Coping strategies are critical to the management of emotion. Individual learn emotion scripts for socially desirable coping strategies at a relatively young age and with increasing maturity becomes more capable of providing contextualized justifications for strategic coping in everyday life (Saarni, 1997). Students may take into account dyadic status differences, degree of affiliation and intensity of felt emotion when considering stressful encounters and how they would manage their emotional expressive behaviour. Similarly, managing emotional expressive behaviour depends on students’ control of their inner feeling and how they have been trained to develop specific emotional competency skills. The nature of their everyday environment is also a factor which may influence their coping strategy towards emotion related situation, for example, dealing with stressful situation such as academic, personal, financial or interpersonal problems.

### ***Subjective Well-Being***

Psychologists have long examined the elements of subjective well-being. They have also examined the contributors of subjective well-being (Lazarus, 1991; Diener, Suh, Lucas & Smith, 1999). It has been concluded that one would be more likely to be happy if one is

also young, educated and has a healthy social relationship with peers. Individual will be more likely to feel better if they have positive temperament, embrace optimism and minimize the negative feelings while enjoying mutually supportive relationship. Emotional competence, which includes the capacity of self-efficacy, facilitates subjective well-being since it entails accepting one's emotional experience as justified and worthy.

Students who are capable of self-control are also those who appear to have learned some of the critical and basic skills of emotional competence, awareness of one's emotions, coping with negative circumstances and emotions and are able to emotionally balance their emotions (Gottman, Katz & Hooven, 1997).

### ***Resilience***

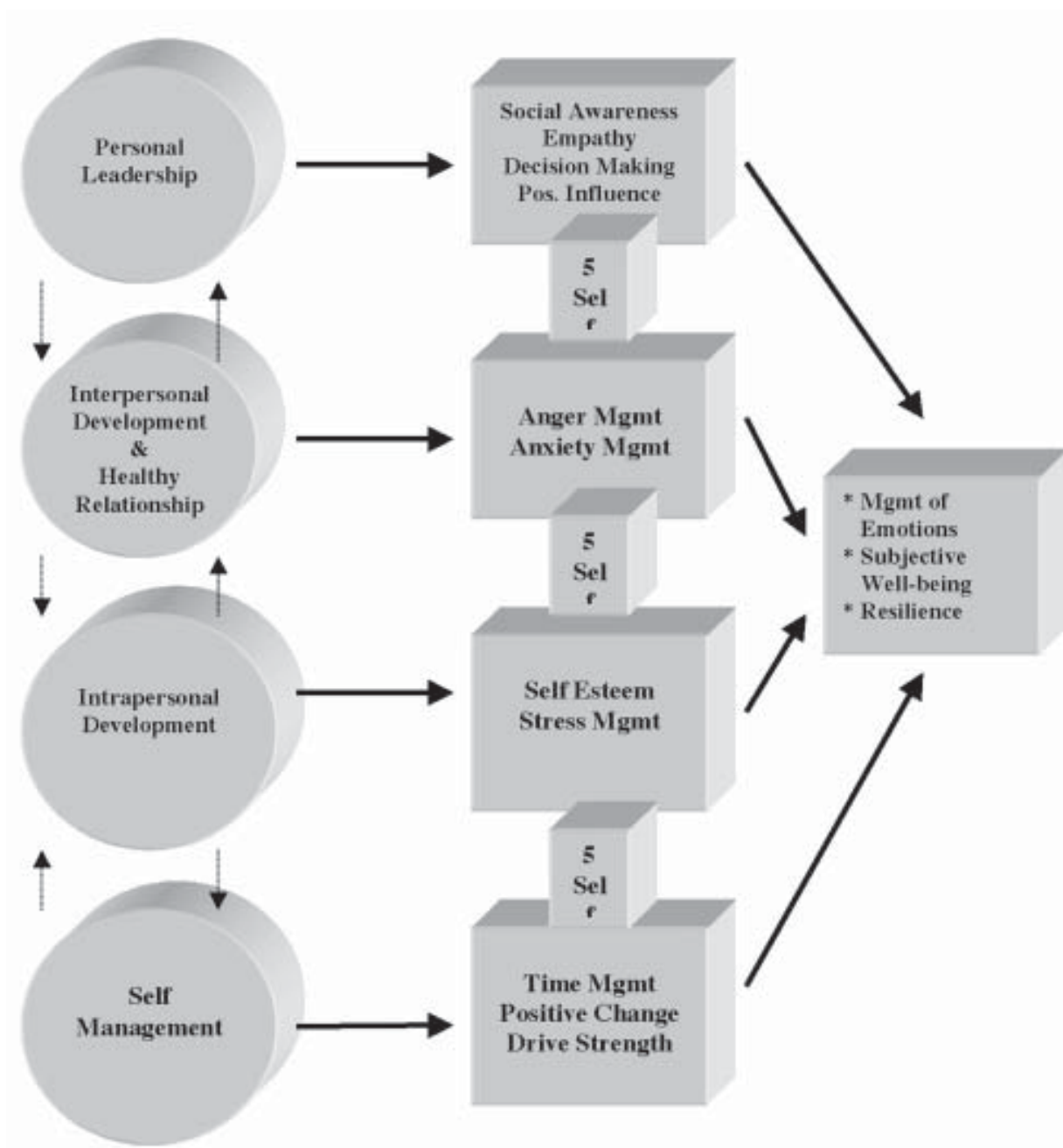
The ability to recover rapidly after experiencing unwanted experience is referred to as resilience. It would make sense if students behave with emotional competence across many stressful experiences, since this demonstrated resilience. However, one should bear in mind that resilience is not somehow a permanent ability. Research indicates that repeated unwanted experiences may wear out protective influences and erodes some competent emotional functioning (Luthar, Doernberger & Zigler, 1993). Students who were exposed to stressors that were within their coping capacity and were pushed to meet the emotional challenge will, nevertheless, demonstrate improved coping skills when face with future stressors as long as social support are present (from peers, groups, etc.). However, students who are exposed to stressors with little or inconsistent social support will show their emotional vulnerability. Therefore, resilience is a consequence of emotional competence, but it cannot be separated from the social relationship that students have as resources to draw on.

### **WHERE DOES EMOTIONAL COMPETENCE LEADS US?**

In reviewing the above discussion, a student development overall model should be developed blending the positive contributions of affective and cognitive learning to stimulate emotional awareness in students. The elements below must be taken into account in student development programs to ensure the balance of cognitive and affective learning.

- a) Cross disciplinary, interconnected, integrated and holistic programs.
- b) Cognitive and affective learning given great breath, depth and width throughout the curriculum.
- c) Partnership between those responsible for 'in-class' and 'out of class' learning.
- d) Team building and human relationship development are inherent aspects of the learning environment.
- e) An emphasis on the understanding of meaning rather than an accumulation of knowledge facts.

A general student development model incorporating emotional competence is suggested as follows:



**Figure 1: Student Emotional Competence Development Model**

## CONCLUSION

The main goal of this paper is to provide an understanding of a coherent and practical approach of emotional competence among students from a psychological viewpoint. In order for them to stay physically and emotionally healthy, increase goal achievement and improve productivity, emotional competency skills must be mastered. Highly successful students must be able to demonstrate that they are actively involved in continuous learning and are goal-oriented



achievers. There must be an acceptance and commitment to develop emotionally intelligent and competent individuals in all career fields.

Even though the primary attention of higher learning institutions or universities is academic performance, they should not neglect the development of emotional intelligence skills and other personal and social factors. Building healthy and productive students requires the active and intentional development of emotional competency skills as a normal and integral part of the process of education.

The discussion also evolved around the skills of emotional competence which includes key emotional competencies skills and assessment of emotional skills. Finally, consequences of emotional competence have been highlighted which include management of emotions, subjective well-being and resilience. In relation to this, a student development program model is suggested.

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**The Narrative Programme in “The Thing” by Umberto Eco**

**Abstract:** This study aims to analyse Umberto Eco’s “The Thing” in the light of semiotics to find the main narrative structure and deeper level of meaning. In order to analyse any narrative in the light of semiotics it first should be divided into sections. To section means to divide a narrative or a text into junctions of meaning, in other words, into units of reading. In “The Thing” five sections related to the level of action are determined: in the introductory section two actants, Subject1 (the Professor) and S2 (the General), give the preliminary information about the past and present; in the second section S1 and S2 talk about the thing invented by S1, in the third section S1 and S2 disagree about the usage of the thing, in the fourth section one of the actants is killed by the other, and in the last section the future of the thing is determined by the murderous actant. The actant scheme is given in all sections and the oppositions are shown. The main transformation (life and death) between the beginning of the narrative and the end is explained in the semiotic square. Two viewpoints are determined in the narrative. Spatiotemporal aspects are evaluated. At the end the final remarks about the actant scheme and deeper meaning are given.

**Keywords:** deeper meaning, narrative structures, semiotics, The Thing, Umberto Eco.

Umberto Eco once suggested that “A text is a lazy machinery which forces its possible readers to do a part of its textual work, but the modalities of the interpretive operations –albeit multiple, and possibly infinite– are by no means indefinite and must be recognized as imposed by the semiotic strategies displayed by the text” (1981, 36). Accordingly this study aims to analyse Umberto Eco’s “The Thing” (1993, 62-68, hereafter the references to the story is given in the study with page numbers in paranthesis) in the light of semiotics to find the main narrative structure and deeper level of meaning. In order to analyse any narrative in the light of semiotics it first should be divided into sections. To section means to divide a narrative or a text into junctions of meaning, in other words, into units of reading (see Rifat, 1986). In “The Thing” five sections related to the level of action are determined: in the introductory section two actants (for actant scheme see Bal, 1985, 35), Subject1 (Professor Ka) and S2 (the General), give the preliminary information about the past and present; in the second section S1 and S2 talk about the Thing invented by S1, in the third section S1 and S2 disagree about the usage of the thing, in the fourth section one of the actants is killed by the other, and in the last section the future of the Thing is determined by the murderous actant. The last part of the narrative, which is written in italics is not taken into consideration as it is the epilogue, and it can be considered as enframing narrative (for embedded text see Bal, 1985, 56-58).

**1<sup>st</sup> section:** Introduction: In the introductory section two actants, Subject1 (Ka, the professor) and S2 (General), give the preliminary information about the past and present. It begins with the opening sentence and ends with Subject1's speech. "Something enormous. And, by the Sun, people must know about it!" In this section it is understood that S1 is a scientist who has made researches in his cave/laboratory for five years. S2 forces him to share what he has invented during this period with him. Although S1 complains about the precipitancy of S2 there is no way out for him except sharing his invention with him. We may formulate the relationship between S1 and S2 as:

<u>Sender</u>	<u>Subject</u>	<u>Object</u>	<u>Receiver</u>
The military authority society	Professor	invention (The Thing)	The military authority society

It is understood that the society and its military authority represented by the General, who has very threatening air ("That was a threatening edge in the General's voice" (62), here want the Professor to invent something and Professor seems to be submissive to the authority: "His voice sank almost to a whisper" (62). Science in the society is in the service of (military) authority.

S2 (the General)	the powerful, the controlling
S1 (Ka, the Professor)	the weak, the controlled

**2<sup>nd</sup> section:** The Thing invented by S1 is introduced to the audience by the conversation between S1 and S2. It begins with their entering into the cave with S1's gesture as "He waved, as if to usher the General in to the cave" (62) and ends with S1's speech: "I've done it, General" (65). Both subjects praise the Thing which is made by S1 who insistently remarks "I made it.... it didn't exist before" (65). The Thing "was an almond-shaped object, nearly flat, its surface many-faceted, like a huge diamond, only opaque, with almost metallic glints" (63). S1 explains the aspects of the Thing as "This stone contains all the power that man has ever dreamed of, the secret of Energy, a million manpower" (64). At first the general cannot understand the nature of the Thing but he is very astonished when he sees what the Professor does with the Thing and just murmurs "Phenomenal!...gulping" (63). This Thing is a great power, one can do anything he wants with it. "By the Sun, Ka! This is a wonderful thing. With this Thing of yours, man has multiplied his strength a hundred times. He will be able to face any dinosaur on equal terms. He's become master of rock and trees, has gained an extra arm ... no, a hundred extra arms, an army of arms!" (64-65).

<u>Sender</u>	<u>Subject</u>	<u>Object</u>	<u>Receiver</u>
science	S1	The Thing (O1)	humanity and military authority

And again as the narrator tells us what S1 does with it: "Cupping the palm of his hand, he crooked his fingers and placed them on the stone until he was clasping it, then raised his hand and, with it, the stone. The stone stuck to the hand, its thickest part stuck to the palm and the fingers, while the tip protruded and pointed at the ground or upward, or at the General, depending on how the Professor moved his wrist. The Professor swung his arm violently, and the tip

of the stone drew a trajectory in space. The Professor brought his arm up and down, and the tip of the stone met the friable rock of the ledge. Then the wonder occurred: the tip struck the rock, penetrated it, scratched it, chipped it. As the Professor repeated this movement over and over, the tip bit the rock and made a furrow in it, then a hole, finally a crater; it wounded, it broke, it pulverized.” (63). This can be done only by the dinosaurs, and they “can eat the coconut’s meat and drink its milk” (64). So as seen from the description the Thing is invented by science and man substitutes dinosaurs as seen in the Professor’s reply to the General: “Well, now you can, too.” By using the Thing he shatters the coconut and offers its meat and liquid to the General who enjoys. We can summarize the balance of power in this world as:

<u>nature</u>	X	<u>culture</u>
animals	X	human beings

But here there is a radical change in this balance as culture and human beings become superior to nature and animals the strongest of which are bears and dinosaurs as depicted in the story. It should be noted that the General wants invincible force and here in this section he learns how to use the tool which will fulfil his wish. So the modes “to want” and “to know” are fulfilled in this section, so he is competent to perform anything with the Thing. Before the invention of the Thing nature represented by dinosaurs is superior to the culture (human beings). But after it by implication nature will become inferior. Thus nature is in conflict with culture throughout the text.

**3<sup>rd</sup> section:** S1 and S2 disagree about the usage of the Thing as on the one hand the Professor wants it to be used for the welfare of humanity, and on the other the General wants to use it for his military power. It begins with the General’s plan for the Thing: “The General was sweating copiously. “Why, we must tell everyone, Ka! The Whole Horde must know about this. Our men will become invincible. You understand? We can take on a bear, now. A bear has claws, but we have this Thing. We can tear him to pieces before he tears us to pieces. We can stun him, kill him. We can kill a snake, crush a tortoise, kill even Great Sun!...kill...another man!”(65) and ends with his remark “for the glory of our Horde, for the sake of civilization and prosperity, and for Peace” the General yelled.” (67) He wants to use it against both nature and the other tribes such as Koammm Horde. On the other hand The Professor knows the consequences of such an action as “The Koammm Horde would quickly learn to make it, and in the next war there would be no victors” (66.) The General tries to persuade him at once by a teacher’s or an ideolog’s voice but in vain, he humiliates him (66) and blames him of being “a Koammmite sympathizer, like all intellectuals, like that bard” (67). Then he begins to threaten him but as the Professor does not accept the Thing he invented as a weapon against other human beings even if they are enemies as Koammm Horde.

<u>Sender</u>	<u>Subject</u>	<u>Object</u>	<u>Receiver</u>
science	S1 (the Professor)	O1	welfare of humanity
science	S2 (the General)	O1	destruction of humanity

Here The Professor represents peace, healthiness, happiness while the General does destruction, blood shedding and greediness.

<u>S2</u>	X	<u>S1</u>
warrior	X	intellectuals and artists
guilty	X	innocent
unhappiness	X	happiness
war	X	peace
regression	X	progress
greedy	X	generous
selfish	X	unselfish
hypocrite	X	honest
threatening	X	submissive

**4<sup>th</sup> section:** Professor Ka is killed by the General “cruelly” and “mercilessly”. It begins with “With his right hand he grasped the Thing, as he had seen Ka do, and brought it down, hard, with anger, with hatred, on the head of the Professor” (67) and ends with “Without a moan, he slumped to the ground, reddening the rock around him” (67). As the General is so ambitious to get that most destructive weapon on earth, he does not hesitate to kill a member of his own Horde. He can do whatever he wants to get his aim.

<u>Sender</u>	<u>Subject</u>	<u>Object</u>	<u>Receiver</u>
S2	S2	O1	S2

He kills the Professor to get the Thing. He wants to be the most powerful man in the world with this Thing. He is affected by his action, killing the inventor, as he gets his aim. On the other hand the Professor becomes the first victim of the Thing he invented at the hands of the General. In fact he wants to destroy his magnificent invention for the sake of humanity but is destroyed by the General using the Thing as a weapon. He has learned how to use the Thing as a weapon in the second section:

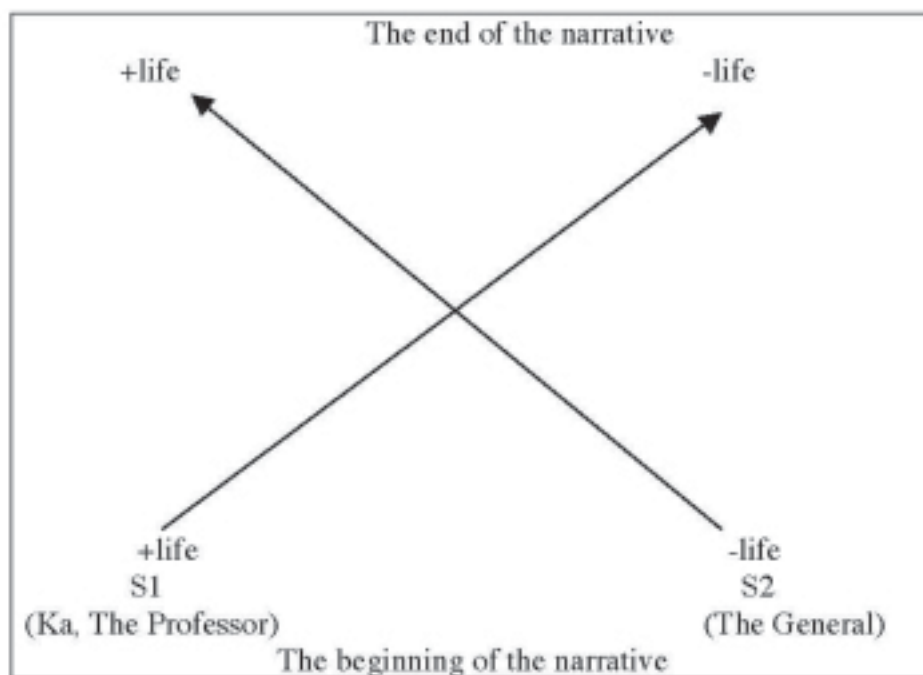
<u>Sender</u>	<u>Subject</u>	<u>Object</u>	<u>Receiver</u>
S2	S2	O2 (Death)	S1/S2/society (S3)

**5<sup>th</sup> section:** The future of the Thing is determined by murderous actant, S2. It is as: “The General, awed, stared at the device he held in his hand. Then he smiled, and it was a smile of triumph, cruel, merciless. ‘Who’s next?’ he said” (67). From the last remark it is understood that the Thing will be used as a slaughter machine contrary to its inventor’s goal. The power is now at the hands of the General who can never hesitate to use it for his own sake. It will be directed against human beings and nature as well. His competence turns to be performance while killing the Professor. And the Professor is not the last victim of the General who will continue to kill animals and human beings that are against him or whom he supposes they are enemies.



<u>Sender</u>	<u>Subject</u>	<u>Object</u>	<u>Receiver</u>
S2	S2	O1/O2	S2/S3/S4 (nature)

The main transformation between the beginning of the narrative and the end can be explained as in the semiotic square below:



At the beginning of the narrative S1 is powerful, alive and is not eager to share his invention with others. S2 seems to be powerful but he is in danger because of the Kommomite threat. So he has to do something to survive. Throughout the narrative we see S2 as transformative subject as his action changes the initial situation. At the end S1 is killed by S2 and S2 with the Thing is the most powerful man and he is in an advantageous position against humanity including his enemies and nature, he can kill, for example, a bear or dinosaur easily and quickly.

<u>subject</u>	<u>defining quality</u>	<u>status</u>
The Professor	intellectual power	death
The General	military power	life

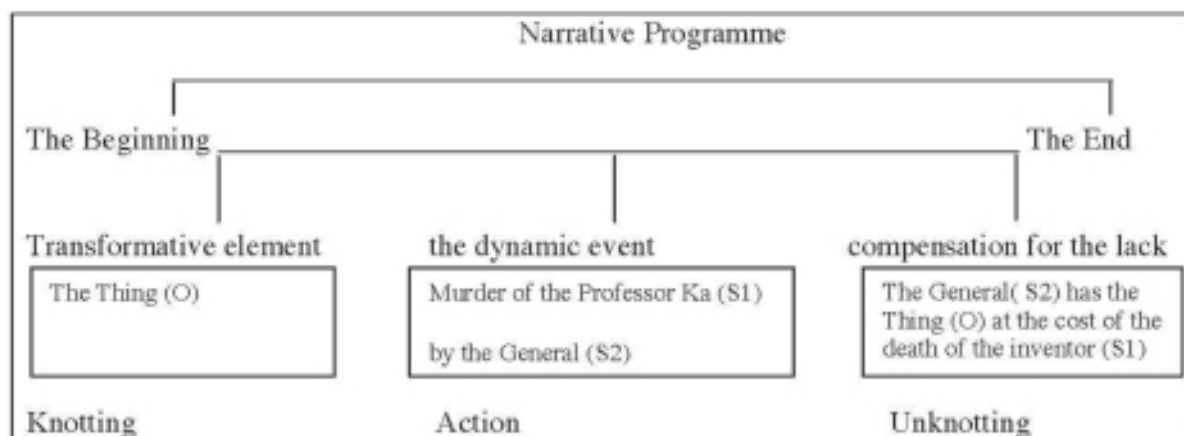
At the beginning of the narrative S1 has the object:  $S1 \cap O1$  (for the relation between subject and object see Kiran and Kiran, 2000, 156-160).

S2 does not have the object:  $S2 \cup O1$

At the end of the narrative S1 does not have the object:  $S1 \cup O1$

S2 has the object:  $S2 \cap O1$

We should present here the narrative programme in “the Thing” according to A. J. Greimas (Kiran and Kiran, 2000, 173) as:



At the beginning the Thing is with the Professor. Professor shows it to the General. He wants to get it for his own sake. He kills the Professor who rejects to use it for the military force. He is murdered by the General, the cruel and merciless man.

### The Viewpoints of the Narrative:

While examining the main structure, the deeper layer of the narrative is presented through the semiotic square (the opposition of life/death). In the sections the relationships between the subjects are analysed. There are two different viewpoints in the narrative: The viewpoint of the Professor (and the narrator) and that of the General. We prefer to analyse the Professor's viewpoint with the narrator's as they seem identical.

1. The viewpoint of the Professor (and the narrator): The Professor is hesitant to share his invention with the General as he knows it will be abused by him. He wants his invention to be used for the welfare of humanity. The narrator also seems to be subjective in the story as its description is supportive to the Professor, and antagonistic to the General.
2. The viewpoint of the General: He is eager to grasp the Thing as he knows that with it he becomes invincible. He can do whatever should be done to get the power.

### The values of the actants in the semantic dimension:

In fact the most functional part in the narrative is performed by the Thing itself. As its name suggests, this invention can be used for any aim, destructive or constructive. It can easily turn man to monster and every man wants to possess such thing. The Professor as an inventor and intellectual in the narrative is described through mostly positive words while the General through negative ones. The Professor is the representative of scientists (intellectuals and artists) and the General of the military men. The Professor thinks of the human welfare, the General thinks of his power against enemies. The Professor is attractive to the reader while the General unattractive.

### Space:

**Space 1:** In front of the cave: In this space the two actants give about the background information. It is open space, unsound for the General due to the Koammm Horde, sound for the Profes-

sor as he has lived there for five years.

**Space 2:** Inside the cave: The closed space is an unsound place for the Professor as he is killed by the General, but a sound one for the General as he gains his invincible power.

### **Time:**

In the sections we see a linear structure except the two analepses taking place in two speeches by the General, one in the first section “You’ve been working down here for five years, and nobody disturbed you. We’ve demonstrated our faith in you” (62) and the other in the fourth section “You’re a Koammite sympathizer, like all intellectuals, like that bard the other day who was preaching about a union of humans” (67). The writer used the past tenses in the narrative. He used the techniques of summary (some events are given without details), mimesis (where dialogues are used), ellipsis (some hypothetical events are only implied). With these techniques the text acquires a kind of temporal rhythm. It is understood that the time in which this event happened is in fact in the pre-historic time due to the abundance of such words as cave, cavern, dinosaur, the spirit of the air, the Sun, the envoy of the Sun, Great Sun, Fifth Rule of the Sun. The Sun in the narrative plays the role of the Deity. The men cannot fight against bears or dinosaurs. So it is understood that the time of the narrative belongs to the prehistoric age as the references to dinosaur, and their religion is paganist one. They talk about Hordes, so again they are tribal communities. But the interesting point is that at that time they have a laboratory and scientists. So Eco produces a kind of juxtaposition and defamiliarizes well known things by putting them in an irrelevant context.

### **Conclusion:**

In “The Thing” Umberto Eco used successfully the structural techniques with the thematic programme. By using binary opposition between science and military force he reaches the narrative unity and takes the reader back in the past and breaks off the connection between the actual time and the time of the narrative. The time in the narrative is far off and obscure; the reader is taken to the prehistoric period. The theme of the narrative is scientific progress which has destructive effect on humanity in the wrong hands: How an invention is used for the destruction of humanity and nature and how superior military force is to intellectuals, scientists, or artists. The world order will be broken by the General, and the change that he will cause in the universe is negative and irreversible. To express the injustices by the military force, he uses a fantastic universe verifiable to the reader. The reader is accustomed to experiencing such tragic event as that of the text, and the actants in the text defamiliarize human experiences as to give an opportunity to the reader to question his own world. In the narrative the main receiver is mankind. The main theme of the narrative is that the scientific progress should serve mankind, should be actualised for the benefits of mankind not for the sake of military force or authority. As scientific progress continues as long as humanity exists the story is an incomplete text.

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## THE LINANGKIT DESIGNS IN EMBROIDERY OF LOTUD COMMUNITY IN TUARAN, SABAH

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### ABSTRACT

Traditional costumes of various ethnic groups in Sabah possess unique designs and motifs which exhibit the value of beauty that is very interesting to be researched. In this study, linangkit embroidery in the traditional costume of Suang Lotud community in Tuaran will be the main subject. The Suang Lotud community is famous for the three types of traditional costumes, which is tantagas costume (ritual), costumes for sumayau dancers and also the wedding costume. The motif designs of the linangkit is the main element as a decorative art on the gonob (sarong) and the kuluwu (scarf) in women wedding costumes. Linangkit is the term used for describing geometric motifs based on embroidery. The researcher has conducted fieldworks by collecting and categorizing as many linangkit designs as possible and analyzed the motifs based on aesthetic theories submitted by Monroe Beardsley and Vitruvius. The data obtained through the fieldworks will be analyzed through direct observation, interviews and audio visual recordings. This findings of this research shows that the aesthetical elements in traditional wedding costumes of the Lotud community can be categorized based on balance, harmony and various forms of organic and geometrical shapes. The linangkit motifs are referred to the aesthetical elements based on flora, fauna, the environment and the cosmos. The designs and motifs of traditional costumes also translate the philosophy of the Lotud community.

Keywords: Linangkit, designs and motifs, aesthetic elements, Lotud community.

### Introduction

Sabah is rich with its culture which is very interesting to be researched. The unique culture is displayed with fashion and a variety of characteristics from the outfits. Traditional costume of various ethnic groups in Sabah is a reflection of the unique identity of its culture because the fashion revealed in costumes is in accordance with the ancestral relics which have been inherited from one generation to another. Traditional costumes of Suang Lotud community in the District of Tuaran, Sabah will be the subject of this research. This research focuses on the design and motifs of the linangkit which are dominated in the gonob (sarong) decoration and kuluwu (scarf) within the Lotud's women costumes. Linangkit (embroidery) is a term for the

geometric motifs produced based on the embroidery techniques.

### Lotud's Background

The Dusun Lotud community in Sabah originated from the District of Tuaran. They used the Dusun Lotuds in Sabah is believed to be originated from the District of Tuaran. This tribe uses the term Suang Lotud, which means a tribe or race. Suang Lotud is believed as one of the sub-races of the Kadazandusuns in Sabah. The origins of the Lotud and Kadazandusuns is believed to be from the same group as they have similarities in terms of terminology and languages used. A majority of Lotud's younger generations have embraced the religion of Christianity and Islam. In general, this tribe still holds their beliefs and old customs. In terms of culture and the way of living, Lotud's community has many similarities with the Kadazandusun based on practices, beliefs, rituals and customs.

Figure 1: Placement of Lotud Tuaran Community



Source: Edited from: <https://www.google.com.my/search?q=peta+tuaran&newwindow>

Figure 1 shows the placement of the Lotud community in Sabah. The yellow area is the main settlement of this community. The area consists of the Tuaran District, Tenghilan, Tamburuli and Kiulu. The total population in the District of Tuaran at this point is 102,411 and its growth rate is 2.78% per annum. This area is situated across the main road which is connected the districts of Ranau and Kota Belud.

### The Document Of Women's Traditional Costumes

The traditional costume design of the Lotud's community features designs and ornaments which are very unique and distinctive. Women's costume consists of a pair of clothes, namely the sukob (shirt) and the gonob (sarong) painted in black and decorated with a colorful embroidery thread. The costumes are divided into two types of fashion, which is a fashion for sukob kopio (long sleeve) and a fashion for sukob (short sleeve). The fashion of gonob (sarong) in this community is worn at the same level with the knees. The gonob fabric consists of two types



which are the gonob sinugitan (a woven sarong) and the gonob (a black sarong with linangkit motifs). However, the design of gonob (cloth) is similar but differ in material and method of production, which is using the technique of weaving and embroidery. Gonob sinugitan are made from woven fabric whereas the gonob are made based on velvet or black colored cotton embroidered with linangkit<sup>1</sup> motif.

The explanation shown below is referring to the complete pattern of costumes and women's jewelry in Lotud's traditional custom.

a. Costume

1. Sukob Kopio – Long-sleeved black cotton tailored blouse, with red tinobungi stitchwork at the seams.
2. Sukob – Short-sleeved black cotton tailored blouse, specially designed to pair with gonob linangkit.
3. Gonob sinugitan – a kind of special sarong paired with sukob kopio. Knee-length black cotton tube skirt. The gonob is held up by a strip of white cloth (haboi).
4. Gonob - Knee-length black cotton tube skirt. The gonob is held up by a strip of white cloth (haboi). A batik sarong with (linangkit) motifs is worn over the short go avoid exposure of the legs.
5. Sandai – A type of long scarf with the measurement of 3 meters long, the fabric used is wrapped around the body or placed on the shoulders as a shawl.
6. Kuluwu – A kind of scarf sewn in sequence. The fabric is worn in a cross on the right shoulder. It is also used as a head covering or placed on top of the right hand as a garnish. Kuluwu are usually worn by brides who are matched with sukob and gonob.
7. Haboi - White cloth serves as a belt.

b. Decoration

1. Linangkit – A geometrical motif that decorates gonob and kuluwu.
2. Siwot – is a headpiece ornament which act as female hair bun. It consists of four bunches of red cloth and black cock feathers.
3. Sigar – is a circular-shaped headpiece (crown) decorated with gold stripes and surrounded with red rattan borders. The narrow band is decorated with rectangular or square plates of embossed goldleaf or modern substitute. The hairbun hangs over the sigar.
4. Karoh – A necklace made of mostly long barrel beads of glass, shell and con-shaped wood peices. The cone-shaped ornaments are arranged symmetrically with the point

<sup>1</sup> Linangkit is a call to the motif embroidered on gonob.

downwards.

5. Mandapun – a type of (necklace or bracelet) made of red cloth and decorated with motif patterns of gold pieces. Shiff ornamental collar of red cotton with embossed gold or silver plate shaped as leaver, made by the Brunei.
6. Lilimbo – a type of belt made of rattan. Wide girdle of interconnected loop of split rattan, worn around the hips. The colour of the rattan signifies, the status of the wearer. Example red for childless women, red and black for mother.
7. Botungkat – a type of belt made of silver coins.
8. Simpai – a type of arm bracelet made of silver. Simpai is usually worn on the elbow. Upper arm bracelet of hallow embossed silver.
9. Lasung – a type of leg bracelet made of silver. Hollow embossed silver anklets. In the old days, the lasung were of solid brass made by Rungus.

Figure 2: The Traditional Costumes of Lotud's women



Figure 2 (i-v) are costumes of the Lotud's women. Figure 6 (i, ii, iv) are types of sukob kopio and the Figure 6 (iii and v) are the types of sukob costumes. Traditional costumes in Lotud's women are black which completed with decorative motifs and brightly colored thread embroidery patterns such as red and yellow. This traditional costumes are also decorated with motifs which are called ukob and tinobugi. Ukob motif which can be found in sukob kopio are made of bead materials and golden threads.

## Linangkit Embroidery Motifs

The linangkit motifs are usually produced with methods of embroidery which dominates the decoration in gonob<sup>2</sup> and kuluwu<sup>3</sup>. Linangkit motifs (Figure 3 (i-vi)) have a number of decoration variants that are applied from the geometrical shapes<sup>4</sup>. The application of colors on the linangkit's motif have added beauty and uniqueness in this motif.

According to the informants<sup>5</sup>, linangkit is an original handwork inherited hereditary from the ancestors. According to the story, linangkit embroidery was also performed among the Iranun's in Kota Belud, Rungus in Kudat and Lotud in Tuaran. Normally, black cloths were the backgrounds on linangkit embroidery motifs. Linangkits are produced with the thread embroidery techniques and form patterns arranged in a longitudinal, scattered and crossed manner which become the clothes' pattern design (Figure 3: (i-vi)).

Figure 3: Linangkit Pattern

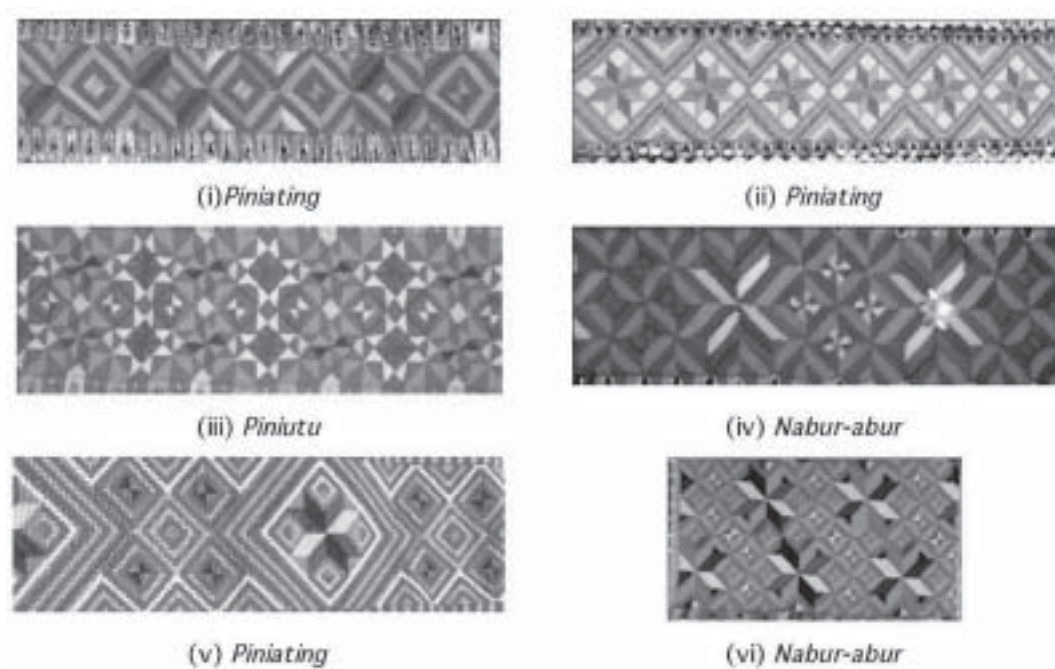


Figure 3 (i - vi) shows the linangkit's pattern. There are several terms for linangkit's usual patterns embroidered by the Lotud people, they are the Piniutu (attached), the linodi (continued), the nabur-abur (distributed or scattered), the olinsong sadur (watermelon seed), the kinuyung-kuyung (wavy), the subor (extra decoration) and the piniating (repeating). These motifs refer to the nature and activity of life. In addition, there are motifs derived from nature such as stars, flowers and fruits. Nowadays the use of linangkit's motifs have been changed because of the addition of jewellery which are dominated by beads material and sequin.

The Lotud' community in the olden days used traditional thread as a base for manufac-

2 Gonob is a call to the skirt below the knee of traditional costume of Lotud community.

3 Kuluwu is a call to the short scarf that attached at the end of cloth sewn.

4 Known as rinangkit by the Rungus community in Kudat.

5 Tooi Intingan, 56 years, Kampung Panjut Tuaran. Keeper of traditional costume of Ethnic Lotud, 30 Mei 2014.

turing linangkit. This material is produced from natural plant such as pineapple wool or leaves. For an example, pineapple leaf fibre is spun into yarn and coloured with turmeric to produce the colour yellow. On the other hand, the colour black are produced with tursih<sup>6</sup> materials. Meanwhile the colour red are produced from natural colours such as mangrove bark or sandalwood. However, the uses of these materials are becoming more extinct after the introduction of modern dyes which can be easily found in the market and as well as easily to use.

Figure 4: The Linangkit Image on Gonob Linangkit and Kuluwu.

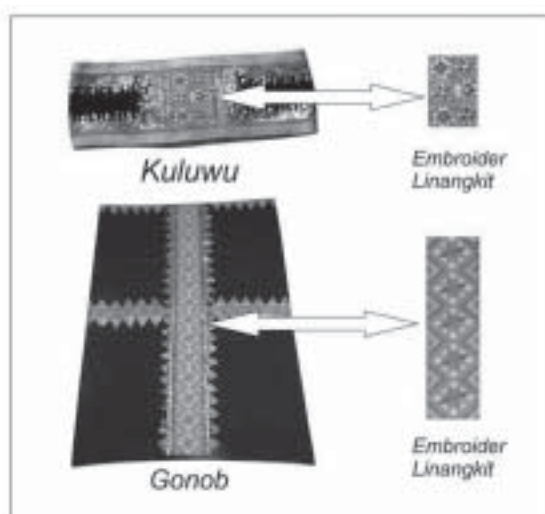
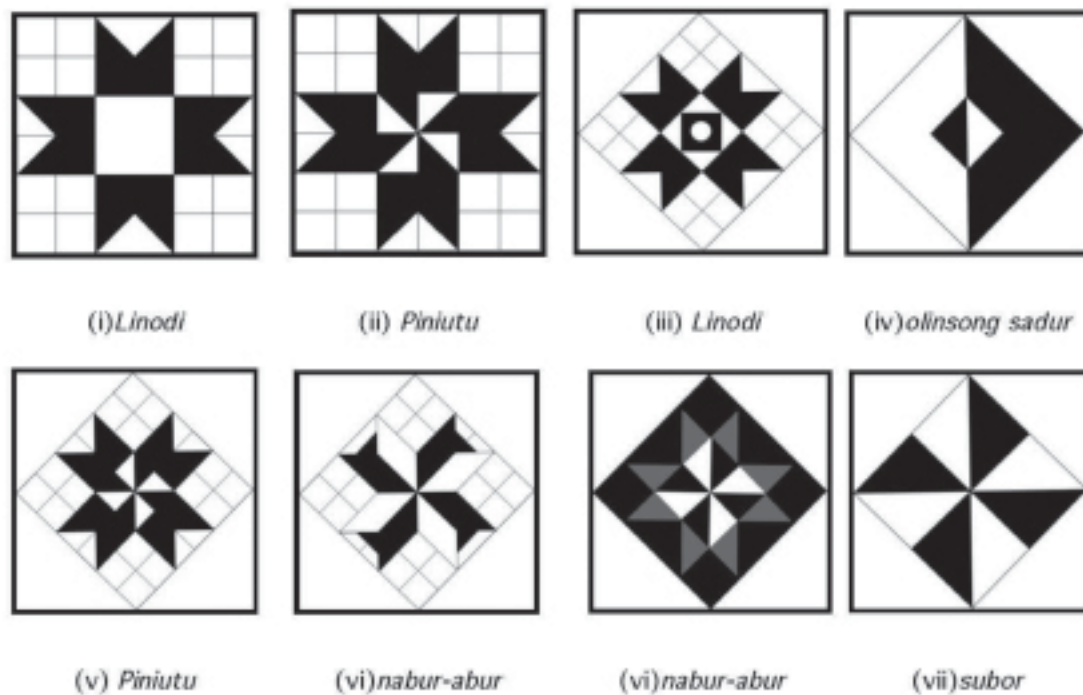


Figure 4 is linangkit. The middle of gonob and kuluwu. Linangkit motifs are dominated in the gonob and kuluwu decoration. Linangkit has various patterns based of geometrical shapes such as triangles and squares.

#### The Designs, Motifs, And Patterns Of Linangkit

The linangkit patterns (Figure 5) are characterized by the appearance of geometrical shapes dominated by the shape of triangles and rectangles. The uses of bright colours such as red, yellow, black, green and white geometrical patterns, creates the forms of a pattern for various kinds of shapes. Patterns that are embroiled repeatedly contain sizes of various scales. Patterns that are repeatedly woven produces a design that evokes the aesthetic elements such as harmony, balance, unity and also contains meanings.

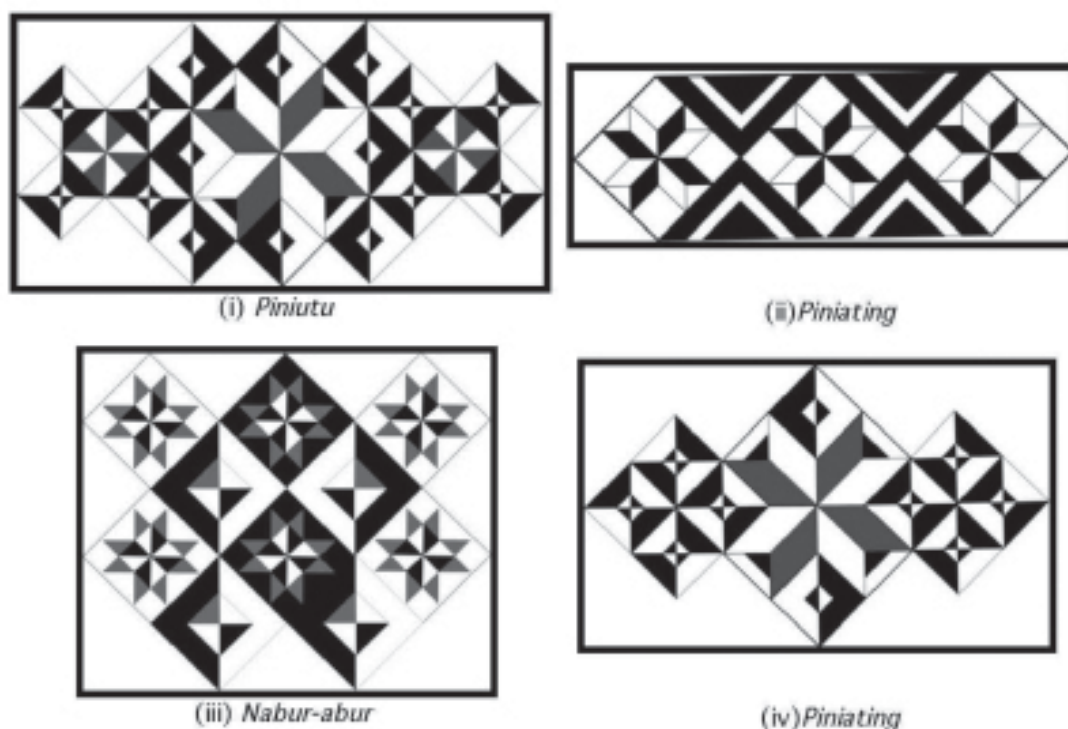
Figure 5: Basic of Linangkit Motifs



ns of patterns in [Figure 5 (i-vii)] have produced some linangkit variation patterns. Linangkit variation patterns formed from the result of motif repetition can be classified as an image translation, reflection, rotation, repetition of image composition, and the use of positive and negative images. The domination of Linangkit patterns in [Figure 5 (i-vii)] and [Figure 6 (i-iv)] were inspired by the rectangular and triangular-shaped, embroidered based on orientation of lines with geometrical elements.

Figure 6: Variation of Linangkit<sup>7</sup> Pattern





pattern to produce another interesting pattern. Basic Linangkit patterns have been transformed by repeating patterns and consolidation face on pattern. The combination of this basic pattern has resulted unique variation of linangkit and aesthetics.

Figure 6 (i-iv) shows the variation of basic linangkit patterns that are arranged in a repeating to produce an interesting pattern. Basic linangkit patterns are transformed in repetition of patterns and combination of shapes in the patterns. The combination of these basic patterns have produced variation of unique and aesthetical linangkit.

### Aesthetical Elements of the Linangkit

Aesthetic has a wide meaning and researchers have contributed a lot of opinions towards the understanding of the definition of aesthetic. According to Plato in Hamida Abdul Hamid (1995), aesthetic is referred to beauty or something beautiful. According to Jim Supangkat and Rizki A Zaelani (2006: 6), aesthetic derives from the ancient Greek language meaning, aesthesis which refers to the notion of the beautiful, comfortable and attractive. Mohd Johari AB. Hamid (2011: 89) stated that the comprehension or understanding aesthetic is something we have to enjoy directly through the appreciation of art, which is by researching the beauty in the objects or shapes found in the artworks. Monroe Beardsley also presents aesthetic as point of beauty. He stated three characteristic beauty of unity (unity), complexity (complexity) and determination (intensity). Aesthetic theory according to Vitruvius also stressed on the value of coherence which is found in an artwork by following the three main characteristics or principles, that is structure, balance and economy.



Based on the presented aesthetic theory, researchers have applied the theory of Monroe Beardsley and theory of Vitruvius, which coincides with the concept of visualization elements emphasized by Siti Zainon Ismail (1989: 7) in a design. Elements of visualization or artistic elements like line art, shape, form, color and space are the concept that raises formalistic elements such as harmony, contrast, balance, unity. The formalistic elements contains in designs, motifs and patterns of Lotud's clothing. Therefore, researchers have chosen Monroe Beardsley's theory and Vitruvius' theory for the analysis of the aesthetic elements in Lotud clothing. There are four elements of aesthetics in design, motif and patterns in clothing, which are harmony, balance, unity and meanings.

Figure 7: Aesthetical Elements Indicator

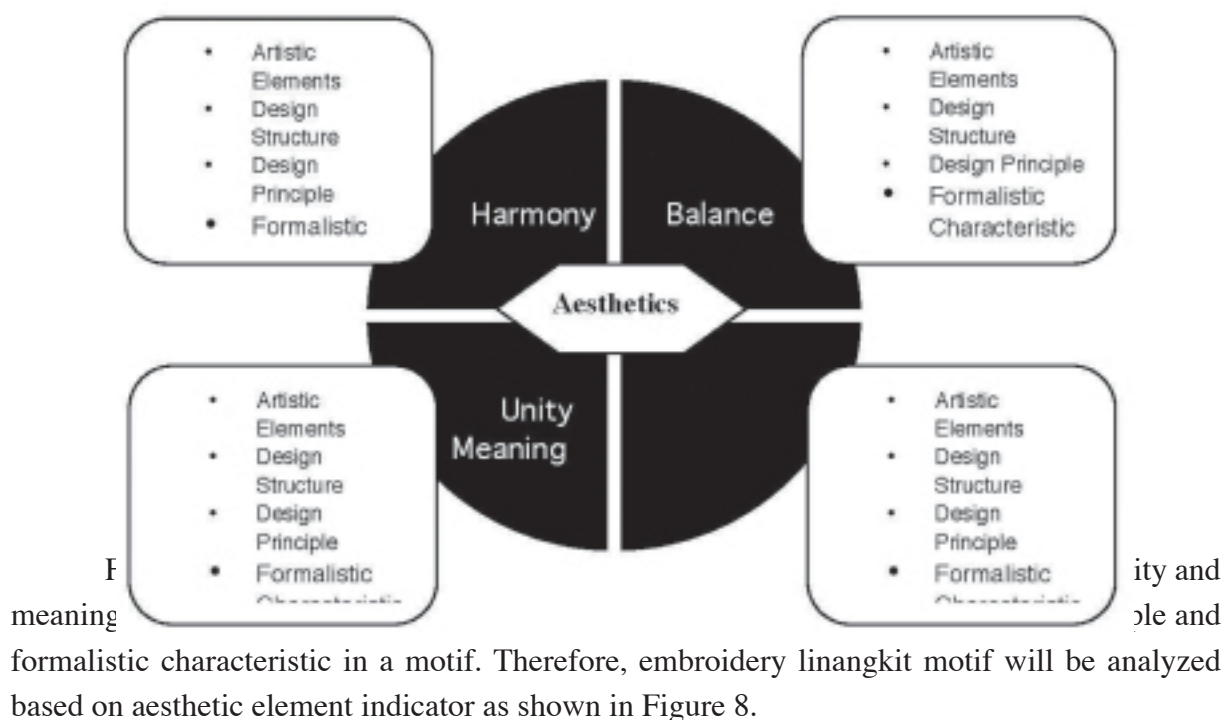

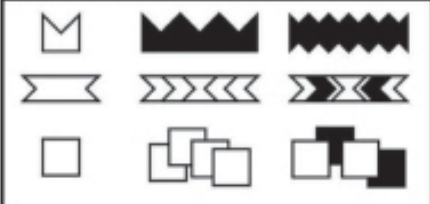
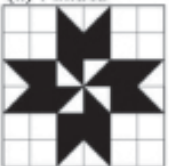
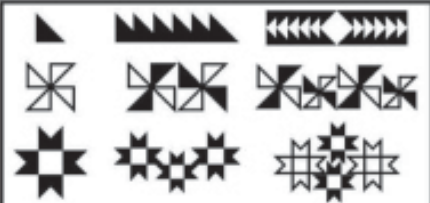

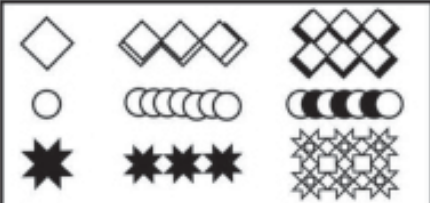

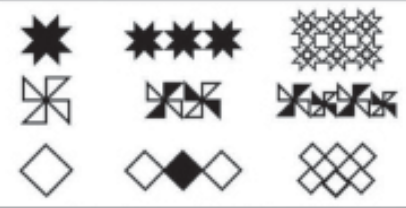

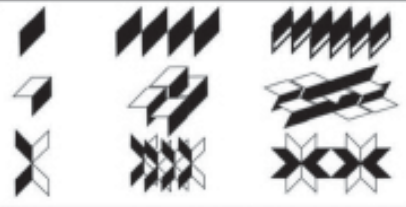

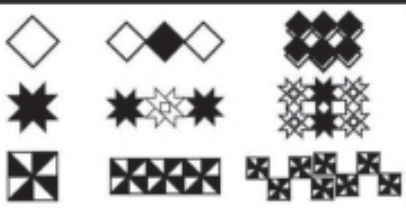


Figure 8: Aesthetical Elements Analysis of Linangkit Motifs

Motif	Formalistic Design and Element	Aesthetics
<p>(i) <i>Linodi</i></p> 	 <ul style="list-style-type: none"> <li>Design of <i>linodi's</i> motif shows line</li> </ul>	<p><b>Unity:</b> Resulting from the combination of elements in the triangle and rectangle motifs which are arranged in a balanced and orderly manner.</p> <p><b>Meaning:</b> Resulting from the jagged triangular shape taken from the tip of the saw blade</p>
	<p>elements such as: <i>zigzag</i>, parallel and jagged-edge.</p> <ul style="list-style-type: none"> <li>Design element: triangle and quadrangle is constructed in reflection to produce the zigzag line.</li> </ul>	<p>and woven roofs of thatched leaves.</p> <p><b>Balance:</b> Resulting from a reflection of mirror-image from the design motif either on the left and right or top and bottom of the motif.</p> <p><b>Harmony:</b> Resulting from the artistic element of repeating continuously of the same image.</p>
<p>(ii) <i>Piniutu</i></p> 	 <ul style="list-style-type: none"> <li>The design motif of <i>piniutu</i> display line element such as: <i>zigzag</i> and sharp triangles arranged to form a reflection.</li> <li>Face element: positive and negative which forms a zigzag line.</li> </ul>	<p><b>Harmony:</b> Resulting from the artistic element of repeating continuously of the same image.</p> <p><b>Unity:</b> Resulting from the combination of elements in the triangle and rectangle motifs which are arranged in a balanced and orderly manner.</p> <p><b>Meaning:</b> Resulting from the shape of a star that is taken from the natural elements.</p> <p><b>Balance:</b> Resulting from a reflection of mirror-image from the design motif either on the left and right or top and bottom of the motif.</p>
<p>(iii) <i>Linodi</i></p> 	 <ul style="list-style-type: none"> <li>The design of <i>linodi's</i> motif display line elements such as: parallel, intermittent, zigzag, straight, thick and jagged-edge.</li> <li>Element shape: circular shapes and the stars are arranged in a positive and negative manner.</li> </ul>	<p><b>Harmony:</b> Resulting from the artistic element of repeating continuously of the same image.</p> <p><b>Unity:</b> Resulting from the combination of elements in the triangle, rectangle, circular and star motifs which are arranged in a balanced and orderly manner.</p> <p><b>Meaning:</b> Resulting from the stars and circular shape which derives from the natural elements of the stars and moon.</p> <p><b>Balance:</b> Resulting from a reflection of mirror-image</p>

<p>(iv) <i>Piniutu</i></p> 	 <ul style="list-style-type: none"> <li>The design of <i>linodi's</i> motif display line of: rotating, parallel, irregular, zig zag and sharp.</li> <li>Element shape: triangles and flowers arranged in a way that the concept of positive and negative rotation.</li> </ul>	<p>from the design motif either on the left and right or top and bottom of the motif.</p> <p><b>Meaning:</b> Resulting from the shape of a star that is taken from the natural elements.</p> <p><b>Harmony:</b> Resulting from the artistic elements of repeating continuously of the same image.</p> <p><b>Unity:</b> Resulting from the combination of elements in the triangle and rectangle motifs which are arranged in a balanced and orderly manner.</p> <p><b>Balance:</b> Resulting from a reflection of mirror-image from the design motif either on the left and right or top and bottom of the motif.</p>
<p>(v) <i>Nabur-abur</i></p> 	 <ul style="list-style-type: none"> <li>The design of <i>nabur-abur</i> motif display line elements such as: rotating, parallel, irregular, zigzag and jagged-edge.</li> <li>Element shape: triangles and flowers arranged in a way which reveals the concept of positive and negative rotation.</li> </ul>	<p><b>Harmony:</b> Resulting from the artistic elements of repeating continuously of the same image.</p> <p><b>Unity:</b> Resulting from the combination and overlapping of elements in the form of motifs such as triangles, rectangular and the antiskid wind.</p> <p><b>Meaning:</b> Resulting from the shape of antiskid wind used in rice fields as a bird repellent which has been applied into the motif.</p> <p><b>Balance:</b> Resulting from a reflection of mirror-image from the design motif either on the left and right or top and bottom of the motif.</p>
<p>(vi) <i>Nabur-abur</i></p> 	 <ul style="list-style-type: none"> <li>The design of <i>nabur-abur</i> motif display line elements such as: rotating, parallel, irregular, zigzag and jagged-edge.</li> <li>Element shape: triangles, squares and stars are arranged in a positive and a negative manner.</li> </ul>	<p><b>Harmony:</b> Resulting from the artistic elements of repeating continuously of the same image.</p> <p><b>Unity:</b> Resulting from the combination of elements in the triangle, rectangle, circular and star motifs which are arranged in a balanced and orderly manner.</p> <p><b>Meaning:</b> Resulting from the shape of triangles and antiskid wind which is applied from the natural elements.</p> <p><b>Balance:</b> Resulting from a reflection of mirror-image from the design motif either on the left and right or top and bottom of the motif.</p>

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Figure 8 (i-vi), principles of harmony resulting from the regular arrangement of visual elements and design motif. Appearance of different arrangements of motifs in the linangkit can create the principle of harmony. Motif and pattern which contains elements of harmony can increase the highlight of aesthetical values of the costumes.

Principle of balance also derives from the arrangements of objects in the mandapun motif. Figure 8 (i-vi), balance was created from the motifs situated either on the left and right or top and bottom of the motif. Thus creating balance in terms of weight perception, attraction and focus.

Motifs in the linangkit have common designs and motifs either from the left, right or above and below to create balance. The geometry shape of the triangle and rectangle are arranged evenly on the right and the left, top and bottom to create various types of linangkit motifs.

Principle of unity in linangkit motifs are created from harmonious arrangements through combinations of all elements in a composition. Figure 8 (i-vi) refers to the principle of unity resulting from the combination of shapes and motifs such as triangles, squares, and stars; arranged in a balanced and orderly manner.

Union in motifs which are designed from a central point can create a peace and comfortable condition. Union in star motif in the linangkit embroidery can generate a peaceful and comfortable condition.

Principle of meaning in linangkit motifs derives from the applications of images that contains meanings from the community lifestyles. Figure 8 (i) is formed from a jagged-edge triangular shape which is a result from the saw blade and end of woven roofs of the thatched leaves.

Figure 8 (ii) which is elements that resulting from the antiskid wind form which is applied in the motif. Antiskid wind is used in paddy fields as a bird repellent. Star shape, saw blades, and antiskid wind that can be found in the linangkit motifs are taken as references from the natural elements.

### The Role Of Linangkit In The Lotud's Community

Linangkit is one of the embroidered motifs which is dominating the traditional costumes of the Lotud community. Linangkit in Lotud community has its own uniqueness and beauty which serves to introduce their identity. Thus, Lotud society has enestablished an association to bring together their culture especially in cultural costumes. These association carry out cultural activities in a place known as the Linangkit house or Linangkit Cultural Village.

This cultural center can be found in Kampung Selupoh, Tuaran. In addition to these organizations, there are other cultural associations which were established such as Lotud Cultural Heritage association in Kg. Tagas, Tuaran. The establishment of these associations prove that linangkits have a big role in the Lotud community. Linangkit as a whole reflects its role in the

preservation of the Lotud culture, to avoid it being forgotten as time passes. Lotud community also benefit from this cultural association in order to practice and maintain their customs so it will not be forgotten by the younger generations. In addition, classes in sewing and weaving continue to develop as well as producing the Lotud's traditional costumes and accessories in Tuaran.

### Conclusion

Traditional costumes are the inheritance which symbolizes the pride and heritage of Lotud's community. The complete traditional costumes of the Lotud are as easy as it seems in term of preparation, money and obtaining a complete collection of its materials. A pair of complete costume worth (at-least) between two to three thousand Ringgit Malaysia. Lotud traditional costumes are invaluable because it is difficult to be produce. The Linangkit motifs create geometrical motifs which explain the way of thinking of the Lotud weavers. Motifs and designs are the results of the weaver's inspiration from nature and their environment.

Those who are skilled and talented are the only ones who can sew the costumes as well as mastering it. However, most of the costumes were modified especially in terms of designs and variation of ornaments. Yet, these costumes are compulsory to be worn at festive occasions such as weddings and festival of kaamatan.

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## CRIME AND CPTED IN NEW HAVEN (USA) AND KAUNAS (LITHUANIA)

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### ABSTRACT

During the research of New Haven and Kaunas cities the main strategies of CPTED (Crime Prevention Through Environmental Design) with combination of space syntax method and GIS were taken into account. The factors of urban environment that might influence human behavior and accordingly crime were analyzed: density of windows and doors, lighting, small architecture objects, greenery, graffiti, constitutedness of urban spaces and their accessibility from buildings, topological depth from private space to a public space, inter-visibility of windows and doors, land use. For the analysis according to the above mentioned factors particular areas with the highest crime rates and the most heterogeneous crimes were selected from the both cities. The research results reveal that some types of crime are influenced by the particular factors of urban environment and are related to CPTED strategies. Recommendations were proposed on how to not become a target for the criminal in a particular space, and how to reduce some types of crime based on the urban planning and environmental design solutions. Also the results of the both cities were compared.

**Keywords:** crime, CPTED, GIS, space syntax

### INTRODUCTION

The outcomes and the origins of crime can be seen in many areas, such as economic decrease (Detotto and Vannini 2010; Wu and Wu 2012; Lavezzi 2008), poor urban environment (Friendrich *et al.* 2009; van Nes and Lopez 2013; Hillier and Sahbaz 2009; Tarkhanyan 2013; FEMA 2007; Crowe 2013), low life quality and weak relations inside neighborhoods. The implementation of urban planning tasks such as planning of land use can reduce crime. For instance, the inclusion of specialized areas and greenery into dense residential areas would contribute to crime prevention on the streets, public lands should be combined with residential dwellings and greenery (Stankevici *et al.* 2013). High streets with mixed land use (primarily commercial) can lead to a bigger amount of pickpockets there. O. Newman (Newman 1972) argues that crime can be expected to be less in low density, single use environments with restricted access to strangers. Contrarily, J. Jacobs (Jacobs 1961) alleges precisely the opposite – in open and pervious mixed use environments, strangers passing through spaces, as well as inhabitants occupying them, form a natural guardianship mechanism which inhibits crime. However, various researchers have revealed that different types of anti-social behavior are correlated with different urban spaces (Hillier and Sahbaz 2009; Monteiro 2012). According to B. Hillier and O. Sahbaz such factors as movement, land use and high and low activity patterns are all thought to be linked in some way to crime (Hillier and Sahbaz 2009). In the terms of

urban design well maintained urban spaces contribute to less crime, abandoned areas don't attract people and make the territory more vulnerable to crime. Urban design is related to CPTED (Crime Prevention Through Environmental Design) strategies that also have been applied for this research (such as inter-visibility, constitutedness etc.). CPTED supports and develops great ideas on crime prevention through urban design (Jeffery 1971, Crowe 2013, Cozens *et al.* 2005, Saville and Cleveland 2008, Sutton *et al.* 2014, Atlas R.I. 2013, Armitage R. 2013). If we compare several built environments, they may look similar at a first sight: for instance, middle class residents, similar types and age of buildings, quite maintained open public spaces. Though, from another side, they might differ in terms of safety passing through it, living or parking the car there. Why some spaces are safer than others? And should we avoid a space or activity in order to stay safe? Trying to answer these questions, space syntax theory is combined with CPTED for the research presented in this paper.

The process of designing security into architecture is known as crime prevention through environmental design (CPTED), and it is based on the proposition that the appropriate design and application of the built and surrounding environment can improve the quality of life by deterring crime and reducing the fear of crime (Atlas 2013). CPTED differs from traditional security tools in urban planning and architecture. Traditional security tools mean building of fences, walls, installing of alarms etc., *id est.* mechanical security tools, as well as police officers and guards on the streets as organizational security tools. Whereas, CPTED focuses more on natural security strategies, such as natural surveillance, access control, and territorial reinforcement. With the theory of 'broken windows' property maintenance was added to these three security strategies (Kelling and Wilson 1982) as a 'must do' to keep the built environment secure. Natural methods for CPTED implementation include site planning, architectural design, crowd queuing, landscaping and planting, signage etc. As the marked property boundary is a step towards prevention of strangers in the living area, it might be considered as prevention of crime. Gated community is a widely established example of property boundary marking. On the other hand, if the natural surveillance into the gated spaces is blocked from the street by big block or brick fences or other not inter-visible walls or fences, it will attract even more crime there. According to R. Atlas (2013), "a low hedge or fence establishes a boundary psychologically and physically says which is public and which is private property. A picket fence establishes an edge without obscuring the view or limiting surveillance. Bare walls invite graffiti. Walls supplemented by landscaping can provide protection and a more effective barrier".

CPTED was formulated and presented by American criminologist C. Ray Jeffery in 1971 (Hushen 2014). From the USA CPTED ideas arrived to the UK at the end of the 1970-ies, in 1980-ies to the Netherlands and Denmark, in 1990-ies to Austria, Belgium, France, Germany, Norway, Sweden and Switzerland, in 2000-ies to Italy, Spain, Portugal and Greece, recently to Estonia and Lithuania (Grolund *et al* 2014). CPTED is based on four strategies: natural surveillance, natural access control, territorial reinforcement and maintenance.

*Natural surveillance*, that is very important strategy of CPTED, is often associated with

‘eyes on the street’. The strategy says that the more a space is observed by residents, passengers, police (through windows, entering and exiting the building, walking or standing in open public spaces) the more secure it is. Street art demonstrating people watching you is very effective in this case and is widely used in the USA. Urban planner J. Jacobs (1961) was the first who developed the theory of the ‘eyes on the street’. She stated that the ability of residents to watch the streets and their presence on the street change criminals’ behavior, and that the lack of natural surveillance promotes crime. She also points out that the clear differentiation of private and public spaces, diversity of use and highly used streets by pedestrians will make the city safer. Jacob’s theory found a big support a decade later in O. Newman’s works (1972).

*Natural access control* is the second strategy of CPTED. It says that it is very important to make paths, doors, entrances, exits safe, visible, and easy accessible. Proper planning of fences, lighting, signs, paths etc. is important here. The goal of this planning is to deter the criminals from committing a crime.

*Territorial reinforcement* is the third strategy of CPTED. It is very important to divide a public space from private. This definition can be done by different materials for pedestrian paths or parking lots, greenery, various signs and other elements of surrounding environment and urban design.

*Maintenance* is the later added strategy of CPTED. Unmaintained territories attract criminals, as in the case of the “broken window theory” (Kelling and Wilson 1982) one broken and unrepaired window causes more broken windows, and as a result the territory becomes unmaintained and abandoned.

## **MATERIALS**

Thefts from motor vehicles and residential burglaries (from single family, two and three family houses) are analyzed in New Haven, CT, USA. Thefts of (or from) motor vehicles, robberies, crimes against human health and small-scale hooliganism are analyzed in Kaunas, Lithuania. Only some neighborhoods and areas in New Haven and Kaunas are chosen for this analysis, as it requires a very detailed observation of territory on site, collecting and registering the data.

New Haven is the second largest town in Connecticut state, USA, with the population about 130,741 (according to Census Bureau data of July 1, 2012) and the area of 52.1 km<sup>2</sup>. A large part of the city is built up with Yale University buildings, laboratories, offices and dormitories. Besides Yale University, there are also some other well-known universities and colleges in New Haven. The Green is a park that is the heart of the city located in the Downtown. The Green is surrounded by university campus territories, offices and banks, cafes, shops, multi-storey apartment buildings. The main bus routes and bus stops are located here. An interesting fact is that in 2011 New Haven was ranked as fourth most dangerous city in the United States.

The research was conducted in Dixwell district only, due to the very big amount of data that had to be collected on site.

Kaunas is the second largest town in Lithuania, with a population of 330,742 inhabitants on a territory of 157 km<sup>2</sup>. It still remains the third unsafe Lithuanian city. Kaunas (as other bigger cities also) has a higher level of robbery which was registered during 2004-2010, though in 2010 there were more than twice less robberies in comparison with 2005. In Kaunas blocks with the highest crime rates and with the most heterogeneous crimes were selected for the analysis. Thus, three blocks were analyzed: 1) 5-9-storey residential buildings with flats where mostly families with juveniles and young families with small kids live (Baltijos street), 2) commercial-industrial buildings with a small part of one and two family old residential houses (Raudondvario street), 3) mostly old 5-storey residential buildings with flats built in Soviet times where a lot of old people live, with commercial objects located in the first row from the street (Varniu street).

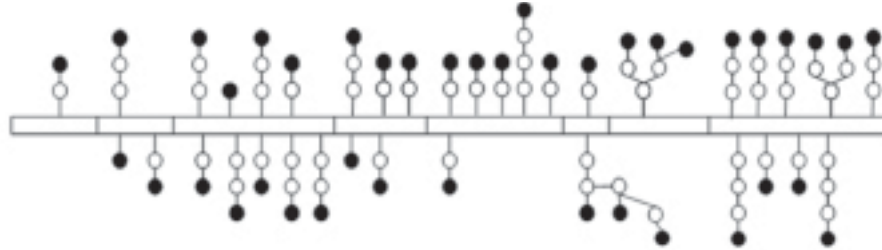
## METHODS

Space syntax method is applied for the drawing of segmental maps for both New Haven and Kaunas cities. Street segment mostly is considered when a street line changes its direction (at the place of direction change the new segment begins), or when a street line lies between two intersecting streets. Segment maps let us do a more detailed analysis than axial maps, as we deal with smaller and more accurate parts of streets, i.e. segments. According to B. Hillier (Hillier and Iida 2005) analysis of segments give us better correlation with pedestrian or transport movement. Segment is the shortest path which uses the least number of streets (actually the least number of street sections between the crossings) to get to your destination. In the angular analysis the main idea is to find the shortest path which is the one that minimizes the angle between you and your destination (Turner 2008). The DepthMap software (Varoudis 2012) is used for the drawing of segment maps. After drawing the segment maps, they were associated with crime maps. Then, urban planning and design factors of surrounding environment for each segment were taken into account.

Based on the four strategies of CPTED (natural surveillance, natural access control, territorial reinforcement, maintenance) twelve factors of urban planning and design of surrounding environment were formulated. They were observed on site in New Haven and Kaunas, then registered and analyzed. Though, for both cities five factors were registered, and for only Kaunas additional seven factors were registered. These factors are as follows:

*Topological depth from private space to a public space.* If there is a direct entrance from a building into the street the topological depth=0. If there is another space (for instance semi-private space like a mini garden or area with grass) the topological depth=1. If there are two spaces separating the main space (street segment) from the building entrance then the topological depth=2. Two separating spaces can also form in the case when the spaces are separated by

almost or absolutely not transparent fence or hedge or another element. Space is perceived in the research only in the case when a human standing at any inside corner of the space can see all other corners of this space. The space can be rectangular or multangular. Also the schemes of topological depth for every street were drawn (Fig. 1).



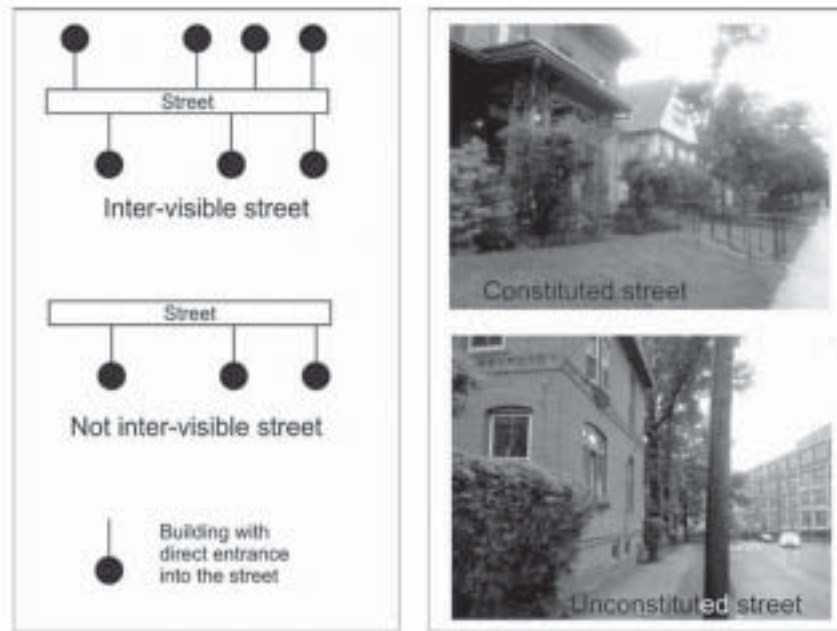
**Fig. 1. Scheme of topological depth from private space to a public space for Varniu street, Kaunas, Lithuania.** Street segment is presented as a white rectangular, space separating a building and a street segment is presented as a white circle, and a private space with a building is presented as a black dot. Segments, spaces and buildings are linked by lines when there is a direct accessibility between them.

*Density of building entrances and windows* was calculated as the number of entrances per unit of metric distance along the street segment (only entrances with direct access to the street were taken into account, and windows that face the street).

*Inter-visibility of doors and windows.* Street segment can be inter-visible or not inter-visible according to the number of building entrances and windows that are visible from another side of the street. If there are entrance/-s into the buildings on both sides of the street segment, and if a person standing at the building entrance on one side of the street can see building entrance/-s on another side of the street then the segment is considered to be inter-visible. The same is with the windows. Inter-visibility is registered for doors and windows separately (Fig. 2).

*Street segment's constitutedness/adjacency.* When a building is directly accessible from a street, then it is constituted to the street segment. When a building is adjacent to a street but its entrance (or entrances) is not directly accessible, then the street is unconstituted (Fig. 2).





**Fig. 2. Inter-visibility of doors (left). Constitutedness of street segments (right)**

*Blind building walls.* The absence or presence of blind walls (walls with no windows and doors) is registered.

For Kaunas the following additional urban planning and design factors of surrounding environment were observed on site, registered and analyzed:

*Land use* – for every street segment all applicable land uses were registered according to the city’s master plan. The following land uses were registered: one and two family house areas, block of flats areas, public use areas, industrial and storage areas, commercial areas, engineering infrastructure areas, common use areas, recreational areas.

*Segment’s accessibility from buildings* – a segment can be directly or indirectly accessible. If a street segment is directly accessible from at least one building then the segment is considered to be accessible from the building.

*Dense and abandoned greenery, heavy plantings.* The absence or presence of dense and abandoned greenery on a particular segment is registered.

*Tree alleys on one or both sides of the street.* The absence or presence of the alleys is registered. According to some researches, residential areas with trees are seen as more attractive, more safe and more likely to be used than similar spaces with no trees (Atlas 2013).

*Lighting.* The lighting is considered as good lighting everywhere on the segment, as not everywhere, and as bad or no lighting at all.

*Objects of small architecture.* The absence or presence of the objects of small architecture is registered.

*Graffiti.* The absence or presence of graffiti is registered.

Geographical Information Systems (GIS) are applied for the research in New Haven and Kaunas. GIS is a comfortable tool for the data analysis, especially having in mind that we were provided with the geocoded data about crime in New Haven. The geocoded data about center



lines of streets, parcels and buildings was provided by the city of New Haven, IT Department (City ... 2014), and the geocoded data about all crime types committed in New Haven during the last five years (2009-2013) was provided by the Police Department of New Haven (New ... 2013). Reports about crime in Kaunas (committed in 2010-2011) were provided by the Police Department of Kaunas. This data was geocoded later in the process of research. The ArcMap software was applied for the analysis of crime.

## FINDINGS

For the identification of factors of surrounding environment that influence various types of crime multiple linear regression analysis is applied. The assumptions were checked for each regression model: the compiled predictions are accurate, there is no autocorrelation and multicollinearity problems, the data has no outliers.

In Kaunas the presence of blind walls result in a higher number of thefts of (or from) motor vehicles ( $p=0.000<\alpha=0.05$ ). According to CPTED human eyes on the street form a natural surveillance. In case of blind walls, the space is hidden from natural surveillance. Though, blind walls explain only 47.9% of thefts of (or from) motor vehicles ( $R^2=0.479$ ). With reference to the equation and the table of coefficients, it can be forecasted with a 95% guarantee that if there is any blind wall facing the analyzed space (1=presence of at least one blind wall, 0=absence of blind walls) the thefts of (or from) motor vehicles will be equal to 8.6. The provided regression equation accounts for 45.9% of the total dispersion, while the other factors determining thefts of (or from) motor vehicles remain trackless.

In Kaunas the number of robberies will increase if the analyzed street segment is adjacent to the common use area, and with increase of windows in commercial and residential buildings the number of robberies will decrease ( $p=0.000<\alpha=0.05$ ). That looks like true because more people gather and spend their leisure time in common use areas (parks, forests etc.), therefore, the places of their gatherings become good targets for robbers. Lack of windows create better possibilities for potential criminals to commit a crime, as the space is less observed. Though, these factors explain 75.1% of robberies ( $R^2=0.751$ ). With reference to the equation and the table of coefficients, it can be forecasted with a 95% guarantee that if there is any common use are adjacent to the analyzed space (1=presence of common use area, 0=absence of common use area) the robberies will be equal to 8.3. If the density of windows in commercial buildings increases by 1 conditional unit the robberies will decrease by 0.026-0.065 conditional units, and if the density of windows in residential buildings increases by 1 conditional unit the robberies will decrease by 0.002-0.013 conditional units. The provided regression equation accounts for 72% of the total dispersion, while the other factors determining robberies remain trackless.

In Kaunas crimes against human health will increase in the spaces that are adjacent to blind walls, and the smaller density of windows in public buildings will cause increase of crimes against human health ( $p=0.001<\alpha=0.05$ ). Both blind walls and less windows on the

street contribute to less natural surveillance according to CPTED. Though, blind walls and windows in public buildings explain only 40.6% of crimes against human health ( $R^2=0.406$ ). With reference to the equation and the table of coefficients, it can be forecasted with a 95% guarantee that if there is any blind wall adjacent to the analyzed space (1=presence of at least one blind wall, 0=absence of blind walls) crimes against human health will be equal to 1.6. If the density of windows in public buildings increases by 1 conditional unit the crimes against human health will decrease by 0.047-0.202 conditional units. The provided regression equation accounts for 35.8% of the total dispersion, while the other factors determining crimes against human health remain trackless.

In Kaunas small-scale hooliganism will be more often in public use areas, also in the areas that have higher number of spaces with topological depth 4, though, higher density of windows in industrial objects should reduce small-scale hooliganism ( $p=0.000<\alpha=0.05$ ). Though, public use areas, spaces with topological depth 4 and windows in industrial buildings explain only 58.4% of cases of small-scale hooliganism ( $R^2=0.584$ ). Public areas are used very often by pedestrians for movement. That is the reason for them being so attractive for committing a small-scale hooliganism. Higher density of windows contributes to more “eyes on the street”, and accordingly to more natural surveillance. In terms of the topological depth 4, it means that in deeper spaces more small-scale hooliganism would happen. In this case buildings have no direct entrances into the main street, four spaces are between the main street and the entrances. Therefore, there is no direct access and surveillance, and accordingly less natural surveillance leads to more freedom for criminals. The factor of natural surveillance plays a great role in CPTED. With reference to the equation and the table of coefficients, it can be forecasted with a 95% guarantee that if there is a public use area adjacent to the analyzed space (1=presence of at least one public use area, 0=absence of public use area) small-scale hooliganism will be equal to 2.1. If the density of windows in industrial buildings increases by 1 conditional unit the cases of small-scale hooliganism will decrease by 0.003-0.026 conditional units. If the number spaces with topological depth 4 increases by 1 conditional unit the cases of small-scale hooliganism will increase by 0.355-1.850 conditional units. The provided regression equation accounts for 53.2% of the total dispersion, while the other factors determining small-scale hooliganism remain trackless.

In New Haven the presence of blind walls result in a higher number of thefts from motor vehicles ( $p=0.000<\alpha=0.05$ ). Though, blind walls explain only 54.1% of thefts from motor vehicles ( $R^2=0.541$ ). According to CPTED, blind walls don't support natural surveillance. That's why they attract crime. With reference to the equation and the table of coefficients, it can be forecasted with a 95% guarantee that if there is any blind wall facing the analyzed space (1=presence of at least one blind wall, 0=absence of blind walls) the thefts from motor vehicles will be equal to 5. The provided regression equation accounts for 63.4% of the total dispersion, while the other factors determining thefts from motor vehicles remain trackless.

In New Haven the inter-visibility from windows and constitutedness of street segments

contribute to the decrease of residential burglaries ( $p=0.000<\alpha=0.05$ ). Though, inter-visibility from windows and constitutedness explain 70.3% of residential burglaries ( $R^2=0.703$ ). With reference to the equation and the table of coefficients, it can be forecasted with a 95% guarantee that if inter-visibility from windows is equal to 1 the residential burglary will be close to 0, and if the constitutedness is equal to 1 the residential burglary will be close to 1. The provided regression equation accounts for 47.5% of the total dispersion, while the other factors determining residential burglaries remain trackless.

**Table 1. Factors of urban environment that influence various types of crime (according to regression models, with unstandardized coefficients)**

	<b>Kaunas, Lithuania</b>				<b>New Haven, USA</b>	
	Thefts of (or from) motor vehicles	Robberies	Crimes against human health	Small- scale hoo- liganism	Thefts from motor vehicles	Residential burglary
Constant	2.783	0.458	0.636	0.526	1.283	2.051
Common use areas		6.192				
Public use ar- eas				1.387		
Density of win- dows in com- mercial build- ings		-0.045				
Density of win- dows in resi- dential build- ings		-0.007				
Density of win- dows in public buildings			-0.124			
Density of win- dows in indus- trial objects				-0.014		
Blind walls	5.817		0.964		3.846	
Spaces with topological depth 4				1.103		
Inter-visibility from windows						-2.312
Constitutedness						-0.809

## CONCLUSIONS AND RECOMMENDATIONS

The research demonstrates that the analyzed crime types depend on some urban planning and design factors (based on CPTED strategies). In both Kaunas and New Haven thefts of (or from) motor vehicles are determined by the presence of blind building walls that face the space where motor vehicles are parked. Though, the high constant in the regression equation probably hide other factors that influence thefts from motor vehicles, they still remain undiscovered by this research. Robberies in Kaunas are caused by the presence of common use areas and less density of windows in commercial and residential buildings. Crimes against human health in Kaunas will happen more often in spaces with blind walls and with smaller density of windows in public buildings. Small-scale hooliganism in Kaunas is attracted more to public use areas, to the spaces that are far from the main street (spaces with topological depth 4), and where the density of windows in industrial buildings is less. Residential burglaries in New Haven would be committed more often in spaces that are unconstituted and not inter-visible. Though, a high constant mean that the case of burglaries in New Haven requires more detailed research in order to discover other factors influencing burglaries.

In case on both cities we see that natural surveillance (expressed through inter-visibility, constitutedness, higher density of windows, and absence or hiding of blind walls) plays a huge role in reducing all the analyzed types of crime. Natural access control (expressed through the smaller topological depth of spaces and constitutedness) would reduce small-scale hooliganism and residential burglaries. Maintenance is important for all the urban spaces, especially for the spaces having blind walls, as often they are abandoned and attract more crime. According to CPTED public art should be used for blind walls in order to reduce or prevent crime (Fig. 3). Public art makes areas more pleasant, lively and provides kind of ‘eyes on the street’, especially art demonstrating people observing surroundings.



*Fig. 3. Public art in Lodz, Poland (left), and Kaunas, Lithuania (right)*

Therefore, for each crime type that is influenced by the factors of surrounding environment, recommendations for crime prevention are developed.

***Thefts of (or from) motor vehicles.*** To reduce or avoid thefts of (or from) motor vehicles cars should not be parked close to blind walls. According to CPTED public art should be used for blind walls in order to reduce or prevent crime and to beautify the urban space.

***Robbery.*** Every day big part of city dwellers and guests occupy common use areas (parks, forests etc.) and make them a good target for robbers. Pedestrians should be more careful in these areas, and in areas with commercial and residential buildings having less windows on the urban space. To avoid or decrease robberies in common use areas more mechanical, natural and organizational security should be provided. Mechanical security might be used as CCTV and alarms. Talking more about mechanical security, low and appropriate lighting should be used, as well as recoding, monitoring, LED and induction lamps would be a better choice for lighting the parking lots. Emergency phones and blue lights should be placed in right locations, having in mind frequency and their maintenance.

***Crime against human health.*** If a person wants to avoid crime against his or her health he or she should not walk on street segments where public buildings have less windows, and should be more careful in spaces with blind building walls. People cannot avoid using these areas, just they have to be more careful while walking there, especially during the darkness.

***Small-scale hooliganism.*** According to the research results public use areas are vulnerable to small-scale hooliganism, as well as areas with industrial buildings having less windows facing the urban space, and deep spaces (spaces that are distant from the main street at a topological depth 4). More mechanical and natural security should be provided here, especially in deep spaces, as they usually become as dark pockets for potential criminals. In industrial buildings more windows should be designed. That would bring more natural surveillance into the streets, and accordingly more natural security.

***Residential burglary.*** To reduce residential burglary building entrances should be directly connected to the street and windows in buildings have to be inter-visible to each other. Streets should be at least constituted, if not possible to make them inter-visible.

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## Which factors determine representatives' voting behavior?

-Focusing on trade policy in Korea-

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In this paper, we are trying to figure out the main factors that determine house of representative's voting behavior by analyzing their voting results especially in terms of trade policy. We have choose each representative's socio-economic characteristics, political party characteristics, and some information that related to representative's constituency as three main independent variables. The house of representative's voting behavior, whether they throw veto or not is the dependent variable we use for logit analysis. We are trying to derive which independent variable affects most to dependent variable. Not only figure out determining factors but we also verify two competitive theories that divide academic world for a long time. According to our research result, variables about political characteristics and constituency characteristics are turned out to be significant variables that affect dependent variable. House members with conservative political ideology are likely to consent to the Free Trade Policy. And if house member's party have negative perspective on FTA, that house member also shows negative point of view to the bill. In terms of constituency characteristic variables, we can verify that what Stolper-Samuelson's argued can explain the result from logit analysis. If house member's constituency have high level of capital or GRDP, they are likely to throw 'yay' to the bill because according to Stolper-Samuelson, FTA policy can bring their people more benefits. Similarly, house member with high level of total amount of agricultural population seems to have negative perspective towards FTA policy.

### I. Introduction

Understanding how congressmen arrived at their decisions on floor votes is at the heart of representative democracy. Especially, verifying the degree which members of congress are influenced in their vote choices by exogenous and endogenous factors on trade policy offers the possibility of understanding the decision-making processes of representatives in high-conflict environment (Wink et al., 1996). For this reason, political and economic scientists have long been concerned with the determinants of congressional trade policy voting.

The analysis of congressmen's behavior has been addressed in two types of dimensions regarding trade policy bill. First, the vote regarding free trade agreement with redistributed policy character has been the core study subject of political economists whom are trying to reveal what political coalition is being formed regarding trade policy domestically. Representative

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two models (Stolper-Samuelson model and Ricardo-Viner model) have been demonstrated and exemplified in many studies. However, scientific dispute is still being continued as researchers each provides different evidence. Second, several scholars have been tried to explain congressmen's preference regarding trade policy in institutional based perspective. According to this perspective, congressmen's preference is not about political coalition function followed by constituency economic profit, it is decided by the political party.

Especially studies which analyzed United States as an example have attribute of connoting ideological matter in free trade Agreement, as political polarization is being intensified due to comment distinction between parties, contend congressmen's decision making can be altered due to socio-economic characteristics of constituency attribute, and party political affiliation. Of course congressmen, dominant debate forms political coalition followed by constituency's advantages and disadvantages and decision making is being made by voting, and dispute regarding these union is based on class(Land, Labor, Capital) or industry(Export, Import) is being continued.

On the other hand, Korea with similar political system to the US is mainly combined with institutional base perspective in explaining congressmen's behavior. Most of studies, even in FTA bill vote where interest is sharply divided according to region's industry economic, core influence factor is being explained as party and ideology not election precinct's profit. Consist in policy decision, conflict between major party and the main opposition party have been sharply repeated, congressmen's decision regarding Free Trade Agreement has also been reflected as subordinate action bound to strong party discipline. As democratization settled in recent days, the influence party concerning election is being weaken, thee contention congressmen is making independent voting concerning constituency's profit is being arising, the study which verifies this is only few.

As this study analyze congressmen voting regarding main free trade agreement ratification discussed in Korean national assembly from 2008 till 2012, it tries to illustrate how congressmen preference regarding trade policy can alter according to influence of variables. By analyzing congressmen vote regarding clear trade policy of constituency's advantages and disadvantages, which factors actual Korean national assembly congressmen's voting action is influencing, and degree of influence can be verified. Furthermore, it is expected to provide empirical evidence in two competitive theories (whether class-based or industry based coalitions are politically salient in trade politics) of long dispute

## **II. Theoretical Argument**

### **1. Constituency-based framework and competing theories**

Two primary approaches have been concerned to explain legislative voting on trade policy. According to legislative theory, representatives are assumed to behave in a manner designed to maximize opportunity of reelection. In doing so, they are influenced by what they perceive

to be the impact of the legislation on their constituent (Mayhew, 1974; Hurwitz, 1988; Baldwin and Magee, 2000). If members of congress are influenced by constituents' economic interest, we should understand preference formation of voters to predict representatives' voting decision. **That's why scholars studying in this vein focus on international trade theory based on international economics that relate changes in economic policy to distributional effects on different sectors of the economy and therefore to votes in those sectors.**(Grossman and Helpman, 1994; Hiscox, 2002; Schonhardt-Bailey, 2003). The foundation of these constituent-based trade theories is factor mobility (Weller, 2009). The mobility of factors (labor and capital) is determined by the ease with which the factors of production can move among sectors of the economy. As factor mobility varies, so do the expected constituent coalitions for and against important trade policies such as Free Trade Agreement (Ladewig, 2006). The mechanism of this was modeled by two well-established theories: the Stolper-Samuelson model and the Ricardo-Viner model (Rogowski, 1989; Hiscox, 2002a; Alt and Gilligan, 1994).

Both models presume constituent interests will be advantaged or disadvantaged when exposed to international economy and political coalitions would be formed by the returns generated to factor costs and benefits of factor producer. However, due to difference of presumption about the degree of factor mobility, the models predict different constituent interests and political coalitions. The former insists social cleavage is based on class (labor and capital) response to trade liberalization. The latter one, on the other hand, argues opposition between exporting industries and import-competing industries is more salient in trade politics (Jeong, 2009; Helen and Tingley, 2011).

In the Stolper-Samuelson model, coalition is based on relative abundance or scarcity of the factor and the factor mobility is high. The producers of the relatively abundant factors of an economy suppose international trade liberalization because they can expect comparative advantages in international trade. Conversely, the owners of the scarce factor would get negative income conditions because they are at a comparative disadvantage (Ladewig, 2006a; 2006b). For example, in the United States, while land and capital is relatively abundant in comparison to labor. Landowners and capital-intensive firms are predicted to prefer free trade, whereas labor is expected to oppose trade liberalization bills like free trade agreement (Rogowski, 1989; Scheve and Slaughter, 2001). On the contrary, In the Republic of Korea, there is abundant skilled labor but capital and land are scarce relatively. It is expected that formation of coalition will be different from the US cases. Each will either be similarly

The Ricardo-Viner model assumes that the mobility of factors is low so it can't be reallocated easily. Furthermore, this model doesn't presume that workers in one industry will have the same interests as workers in other industries if movement from one industry to another is costly. Based on the assumption, class such as labor and capital doesn't have to be competing against each other. Rather capital and labor in the same industry share the same fate (Alt and Gilligan, 1994; Ladewig, 2006b). Each will either be similarly advantaged or similarly disadvantaged depending on the sector's competitiveness. The implication is that voter's preference for

trade policy depends on the industry in which they are employed rather than on their factor status(Conley, 1999). That means the cleavages will develop not along factorial but sectoral lines (export versus import-competing industries). Export-competitive industries will experience income gains from free trade and so prefer trade liberalization but import-competing industries will not (Baldwin, 1985; Conley, 1999; Destler, 1995; Grossman and Heplamn, 1994).

While the approach taken by Hiscox has resolved the contradiction between the two economic models, there are still unresolved issues. In particular, the debate is focused on the major cleavage in current trade politics (Jeong, 2009). Even though many empirical analysis were implemented, they reported contradictory empirical findings (Bailey and Brady, 1998; Baldwin and Magee, 2001; Kaempfer and Marks, 1993; Gartzke and Wrighton, 1998; Midford, 1993; Rogowski, 1987 and 1989; Ladewig, 2006).

## **2. Institutional framework**

The second approach to understand decision making process of representatives has been focused on the institution such as party affiliation or rules of chamber. Especially scholars in this academic area includes scholars who focus on the role of political parties(Bond and Flesisher, 1999; Cox and McCubbins, 2001; Rohde, 1991; Aldrich, 1995; Sinclair, 1995; 2002). A few empirical Studies of trade policy included free trade agreement have reported evidence that political parties took distinct positions on trade policy and used the resources at their disposal to influence decision making of congressmen (Epstein and O’Halloran, 1996; McGillvary, 1997; Milner and Judkins, 2004; Jeong, 2009; Sundquist, 1983).

According to Milner and Judkins(2004), party’s position on a unidimensional left-right ideological scale will have an significant impact on its trade policy position. In the developed countries studied, class should be a central cleavage dividing parties. That is, left parties should take positions more favorable to protection, and right ones should be more support trade liberalization. They point out most analysis related representatives’ voting behavior on free trade bills focused on only factor mobility and ignored competition among parties on the issue and its influence despite of the significance.

Meanwhile, party affiliation is considered as dominant factor determine voting behavior in Republic of Korea (Joe and Lee, 2013).. Even though a multiparty system was adopted, it is shown that parties have been made two camps and are confrontation with each other over almost policy issues. Traditionally, political party has strong discipline and leading members of party has power and resource can impact on individual congressman in Korea. Thus, most representatives make their decision for voting following party’s position.

In this study, we have set a research design to determine whether partisan forces have exert and independent effect on trade policy voting to understand how partisan and constituent forces affect trade policy better. The results may help us to refine theories of interests and institutions

especially in FTA trade policy.

### **III. Research Design**

In order to understand the basis for roll-call behavior on FTA bills, we consider a range of factors found by scholars to affect roll-call voting behavior in the U.S. House and Senate. In general terms, we suggest that roll-call voting can be depicted as a function of two broad sets of independent variables. We refer to the first set

The political economy framework described above suggests that a legislator's voting behavior is influenced by various constituency characteristics. Chappell(1982) and Stratmann(1991) point out, voting behavior should not be estimated using only a single equation because contributions are endogenous. In addition, legislators who take a policy stance on one of the trade bills are likely to vote similarly on the other bills. Thus, the residuals in the voting equations for K-EUFTA, K-U.S.FTA and K-PeruFTA maybe correlated. Cosnequently, we analyze the bot- ing on all three legislative initiatives. The system of equation s we estimate for the Assembly of Representatives is:

#### **1. Data**

##### **1) Data measurement**

For doing empirical analysis, we collect data about voting results from national assembly library and homepage. Korean national assembly provide open data source about voting results through internet homepage. As showed from table 1 below, we use these results as dependent variable for study. If the house member throw 'yay' to the bill, we coded that as 1, and if he or she throw 'nay' to the bill, we coded that as 0.

We categorized independent variables by three dimensions. Personal characteristics category mainly contains socio-economic characteristics of each representatives, such as age, number of elected, and political ideology. Information about representative's age and number of elected is open to the public through national assembly homepage. Ideology variable was collected from Joongang daily, which is one of the most powerful daily newspapers in Republic of Korea. In 2012, Joongang daily published house member's political ideology score in cooperation with scholars from Seoul National University political science department. This score span from 1 to 10. The higher the political ideology score is, the more conservative house member's ideology is. Second category of independent variable is about party characteristics. Party characteristics represent in which party each house member is in and what majority opinion each member's party shows. If house member's party consent to FTA policy, we coded it as 1 and if house member's party's majority opinion is close to dissent, we coded it as 2. And if the house member does not involved in any specific party, we coded it as 3. Last independent variable category is about constituency's characteristics like Grdp, agricultural population ratio, manufacturing population ratio, total amount of capital, total amount of export and import, and in which prov-



ince does the constituency located. Data about Grdp, Gross Regional Domestic Product was collected from national statistics office internet homepage. We calculate agricultural population and manufacturing population ratio by using simple formula. We demanded government to open data about agricultural population, manufacturing population ratio, total amount of export/import/capital through open government homepage. Korean government has obligation to provide publicly asked data to the people by open government law. Province variable means in which province of South Korea does house member's constituency located. If house member's constituency is located in Seoul or Gyeonggi province, we coded it as 1. If house member's constituency is located in one of Gyeongbuk, Gyeongnam, Gangwon, Busan, Ulsan and Daegu, that observation was coded as 2. Constituencies located in one of Daejeon, Chungbuk, and Chungnam was coded as 3, and constituencies located in one of Gwangju, Jeonbuk, Jeonnam and Jeju was coded as 4.

**[Table 1] Variable Measurement**

Variables		Definition	Measurement
Dependent Variable		Result of Roll-call voting	Consent= 1, Dissent= 0 (Included abstention )
Independent Variable	Personal Characteristics	Age	Age when the congressman elected
		Num_elected	Total Number of Election
		Ideology	ADA Score ( 0: liberal ↔ 3 : Conservative)
	Party Characteristics	Party will	Party will consent = 1 Party will dissent = 2, Non-partisan representative = 3
	Constituency Characteristics	Grdp	Gross regional domestic product
		Agri_pop	Agriculture Population/ Total Population
		Manu_pop	Manufacturing Population/ Total Population
		Capital	Total tangible assets/Total employee
		Export	Total amount of export of constituency
		Import	Total amount of import of constituency
		Province	Seoul, Gyeonggi = 1, Gyeongbuk, Gyeongnam, Gangwon, Busan, Ulsan, Daegu = 2, Daejeon, Chungbuk, Chungnam = 3, Gwangju, Jeonbuk, Jeonnam, Jeju = 4

## 2) Descriptive Statistics

In this chapter, we analyze descriptive statistics of variable before doing logit analysis. [Table 2] below shows number of observation, mean, standard error, min and max value of string variables that we use for this analysis. In case of age, the mean value was 53.371 and the oldest house member was 76 years old. Mean value of number of elected was 2.082. As for political ideology, mean value was 2.539. This result represents 18<sup>th</sup> house's political ideology was more close to conservative, not liberal. This seems very natural because in 18<sup>th</sup> house, the majority party was Hannara party, one of the most symbolic and historical conservative parties in Korea. Gross Regional Domestic Product showed 8170287 as mean value and its standard error was 6381372, which means financial gap between wealth and relatively poor constituencies is rather wide. Similar fact can be drew from capital variable, import and export variable. As for capital variable, the maximum value is 976.524 but surprisingly the minimum value is 10.528. In case of export variable and import variable, the minimum value of both variables are 0, but maximum values were much greater than that. Mean value of agricultural population ratio was 0.084 and it had 0 and 0.812 as minimum and maximum values. Maximum value of agricultural population ratio means that there are some constituencies where most of the residents are engaged in agriculture. Manufacturing population ratio showed 0.052 as mean value and 0.001 and 0.284 as minimum and maximum values.

Discriptive statistics of categorical variables are showed in [Table 3] below. We use 2 categorical variable for this analysis. The first categorical variable we use represents in what majority opinion does the house member's party has in terms of FTA trade policy. 463 house member's parties out of 781 had positive perspective toward trade policy. Contrary to these parties, about 31.34% of house member's parties dissented to trade policy. 10.86% of house member were not involved in any side of the political parties. We regarded these independent members had 'neutral' political perspective. Second categorical variable represents province of constituencies. 31.84% of the constituencies were located in Gyungbuk, Gyungnam, Gangwon, Busan, Ulsan, Daegu province. These provinces are traditionally called 'Youngnam' province in Korea. Constituencies located in so called 'Honam' province such as Gwangju, Junbook, Junnam, Jeju province comprised 14.23%. Frequency of provinces other except Youngnam and Honam provinces were 81 out of 450.

**[Table 2] Discriptive statistics of string variables**

Variable	Obs	Mean	Std. Dev.	Min	Max
Age	801	53.371	7.654	35	76
Num_elected	801	2.082	1.149	1	6
Ideology	672	2.539	0.413	1.2	3.25
GRDP	801	8170287	6381372	1300000	4000000
Agri_pop	792	0.084	0.113	0.000	0.812
Manu_pop	792	0.052	0.062	0.001	0.284
Capital	801	139.232	148.591	10.528	976.524
Export	800	2050591	4914317	0	30000000
Import	801	1861889	499160	0	34000000

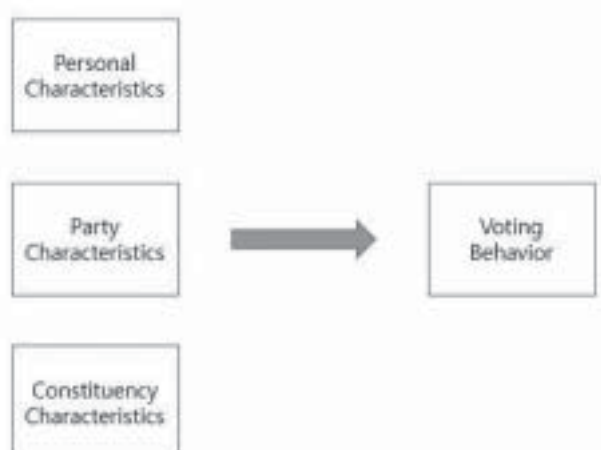
**[Table 3] Discriptive statistics of categorical variables**

Variable		Frequency	Percent
Partywill	Consent	463	57.80
	Dissent	231	31.34
	Independent	87	10.86
Province	Seoul, Gyongi	351	43.82
	Gyungbuk, Gyungnam, Gangwon, Busan, Ulsan, Daegu	255	31.84
	Daejeon, Chungbuk, Chungnam	81	10.11
	Gwangju, Junbook, Junnam, Jeju	114	14.23

## 2. Analytical Framework

As we described above, we use logit analysis for this study. [Figure 1] below shows analytical framework of our analysis. As we can see from the [Figure 1], we choose three categories of independent variable, personal characteristics, political party characteristics, and constituency characteristics. Personal characteristics include each member's age, number of elected, and political ideology. Party characteristics represent in which party does the member involved and what political perspective does the party have in terms of FTA policy issue. Lastly, constituency characteristics variables are composed of seven particular variable, GRDP (Gross Regional Domestic Products), agricultural population ratio, manufacturing population ratio, total amount of capital/import/export of the constituency, and the province that the constituency is located.

**[Figure 1] Analytical Framework**



Dependent variable of this study is voting behavior of house member. Especially we have mainly focused on whether the house member throw the yai to the bill or not. If house member participated the house meeting and threw yai to pass the FTA bill, we coded it as 1. If house member participated the house meeting and threw nay to stop passing the bill, we coded it as 0. One of the most controversial parts of voting behavior study would be how to deal with the house member's absence because there is possibility that house member did not showed at house meeting as an expression of veto. To solve this problem, we first collected newspaper articles about absence of house members on house meeting day, and then did our best to reflect what happened on meeting day on our study.

#### **IV. Findings and Discussion**

[Table 4] below shows our research findings from logit analysis. As we explain above, house member's voting behavior is our dependent variable for this study. If house member consent to the bill, we coded it as 1, and if house member throw 'nay' to the bill, we coded it as 0. We have set each member's personal socio economic status characteristics, party characteristics, and constituency characteristics as independent variables.

As we can find from [Table 4] below, political ideology, Partywill, GRDP, Agricultural population, and Capital variables are turned out to be significant variables that affect dependent variable. First of all, each house member's political ideology is a very strong significant variable in this model. This is coincide with former studies because what this means is that house member whose political ideology is close to conservative is relatively consent to the FTA trade policy. This result seems natural because when FTA policies with Chile, USA, and EU was voted, the majority power in house of representatives was Hannara party, one of the most closest to conservative political ideology. Also, during 18<sup>th</sup> house, president of Korea was Myong-bak Lee who himself was an ardent member of Hannara party. Besides, when FTA with USA was voted, most of the opposition party declared that they would not participate to voting as a sign of op-

position to FTA. So only Hannara party and Chinbakyeondae party, a second ruling party were entered to the assembly. Second, house member whose party had opposite perspective towards FTA policy were likely to say 'nay' to the bill.

**[Table 4] Results of logit analysis**

Variable	Coef.	Standard Error
Age	-0.021	0.023
Num_elected	0.043	0.160
Ideology	2.092***	0.533
Partywill_2	-2.553***	0.443
Partywill_3	-0.840	0.471
GRDP	8.75e-08**	0.000
Agri_pop	-3.844***	1.432
Manu_pop	1.117	3.471
Capital	0.003*	0.001
Export	0.000	0.000
Import	0.000	0.000
Province_2	0.400	0.407
Province_3	-2.021	0.597
Province_4	-0.065	0.507
_cons	-2.913	1.594

Number of Obs = 834

Prob > Chi2 = 0.0000

Psuedo R2 = 0.4981

\*p<0.1, \*\*p<0.05, \*\*\*p<0.001

Among the variables about constituency characteristics, GRDP, total amount of agriculture, and total amount of capital were the significant factors that affect dependent variable. What Stolper-Samuelson argue can explain why this results were draw. Stolper-Samuelson suggests model about how determines house member's voting behavior. Stolper and Samuelson argue that if the nation with plenty of capital or labor sign the Free Trade Association, the people who own plenty of labor or capital will make fortune thanks to FTA policy. In other words, if house member's constituency owns plenty of labor or capital, house member is willing to say 'yay' to Free Trade Association. In this sense, what we draw from this analysis substantially fitted

to Stolper-Samuelson's theory. In [Table 4], total amount of GRDP and capital have positive impact on dependent variable. That means house member with high level of GRDP and capital in constituency are likely to consent to the FTA policy because according to Stolper-Samuelson, his/her voters can receive benefits from FTA. Also, it is natural to think that house member with low level of labor and capital would like to throw veto to the FTA bill. Total amount of agriculture shows negative impact on house member's voting behavior. In Korea, usually regions with high level of total amount of agriculture are likely to have low level of capital or labor. So, this result also can be another evidence that can backup Stolper-Samuelson's argument.

## V. Conclusions

Analyzing house member's voting behavior can help to understand how social actors transmit their needs to house members (Clausen and Cheney, 1970) and how house members represent their voters. But due to the difficulty of collecting and trimming the data about house member's voting behavior, it is hardly find empirical studies about house member's voting behavior. Also, historically two competitive theories about what determines house member's voting behavior are still competing with each other. In these sense, we are trying to empirically figure out which factors affect house member's voting behavior especially based on what Stolper and Samuelson argued.

To verify factors that influences house member's voting behavior, we set three kinds of independent variables. The first category is about house member's personal characteristics like socio-economic status. Age, number of elected and political ideology are belong to this category. Second independent variable category represents political characteristics. Specifically this variable represents what political party does the house member is in. We are trying to figure out how house member react to party's will. Third independent variable category is about constituency's characteristics. Total amount of GRDP (Gross Regional Domestic Product), agricultural population, manufacturing population, capital, export, import are on this category. Last variable represents in which province does the constituency located. Dependent variable is house member's voting behavior. If house member consent to the FTA bill, we coded it as 1. And if the house member throw veto to the bill or did not participate to the Assembly plenary session as a sign of dissent, we coded it as 0. We choose logit analysis as a methodological strategy for this study.

According to analytical result, we can draw variables that significantly affect dependent variable. First of all, among personal characteristics variables, political ideology is turned out to be significant variable. This means that the more conservative political ideology each house member has, the more they consent to the FTA bill. This seems so natural because at then, the Hannara party, one of the most symbolic conservative political parties in South Korea was the leading party in passing FTA bill issue. The majority will of Hannara party was positive to FTA bill because Hannara party was not only the majority party but also a ruling party that the president



of South Korea was in. What perspective house member's political party had toward FTA policy have another significant impact on house member's voting behavior. If house member's political party dissent to the bill, each house member is likely to follow the party's will. This shows house member cannot run away from political party's influence because still political party have enormous impact on whether they can be re-elected or not in the next election. Among the variables about constituency characteristics, total amount of GRDP, agricultural population, manufacturing population and capital are the significant variables. This results strongly support what Stolper-Samuelson argued. They said that if house member's constituency has plenty of capital and labor resources, each house member wants FTA bills to be passed because through this his/her voters can gain more benefits. Variables about total amount of GRDP and capital shows positive sign contrary to total amount of agricultural population variable.

This study provide some policy implications. First of all, we draw determinant variables of house member's voting behavior. Through logit analysis, we can show political party's impact still influences on house member's voting behavior. This result coincide with traditional voting behavior theory. But simultaneously, variable's about constituency, especially represents in what socio-economic status does the constituency belongs to was turned out to significantly influence whether house member throw veto the FTA bill or not. This means unlikely to traditional theories about house member's voting behavior, house members are likely to represent their constituency's socio-economic status. This implication means a lot to modern representative democracy because disputes between house member's voting behaviors still exist. House members and representative democracy are sometimes blamed for its lack of representativeness. Some scholars argue that house member more care about what their political party think about the bill rather than care about how people who reside in their constituency think about the bill. But what we draw from this study can be a relevant evidence that can support the effectiveness of representative democracy.

---Keywords: trade policy, FTA, policy coalition, factor mobility, party discipline, voting behavior

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## PROVINCIAL RECONSTRUCTION TEAMS (PRTS): OPPORTUNITIES AND CHALLENGES

### ABSTRACT

In 2001, after the overthrow of Taliban government, an insurgency led by Taliban emerged and created instability in Afghanistan. Some states and international organizations, particularly UN, US, England and Germany, has conducted several operations and projects to establish safe and secure environment and to reconstruct Afghanistan. One of them is Provincial Reconstruction Teams (PRTs). The article addresses different concepts, implications and challenges of PRTs. Although, PRTs are innovative instruments for peace support operations and humanitarian aids, they have limited success and need to be developed.

Key Words: Provincial Reconstruction Teams, Afghanistan.

### 1. INTRODUCTION

Shortly after the September 11 attacks, USA conducted the Operation Enduring Freedom-Afghanistan (OEF-A) to destroy terrorist groups safe havens and to capture al-Qaida leader Osama bin Laden. The end state of operations was to provide safe and secure environment by denying terrorist activities in Afghanistan. Operations have been successful within a few months, and Taliban government was overturned. However, this initial success hasn't achieved the end state. After the overthrow of Taliban government, an insurgency led by Taliban emerged and created instability in Afghanistan by including al-Qaida activities. There was more work that needed to be done. First, security must have been ensured across the country by giving the fight against insurgency and al-Qaida and then Afghanistan's reconstruction could be possible. Many countries and international organizations in the framework of the reconstruction of Afghanistan, especially the United Nations, US, Germany, and UK perform a variety of projects and activities. One of the most important of these projects is undoubtedly the Provincial Reconstruction Teams (PRTs). PRTs in the effort to win the hearts and minds of the Afghan people usually take place in the front line.

The article addresses different concepts, implications and challenges of PRTs. First; history, mission, command and control of PRT will be examined. Second, various PRT concepts including Turkey, US, England and Germany will be discussed. Although, PRTs are innovative instruments for peace support operations and humanitarian aids, they have limited success and need to be developed.

## 2. BACKGROUND

A PRT is a joint military-civilian unit that led and supported by ISAF member states. PRT's missions are to provide safe and secure environment, to extend Afghan central government's authority, and to enable reconstruction efforts.<sup>1</sup>

The Bonn Agreement that signed in December 2001, enabled deployment of the International Security Assistance Force (ISAF) in Afghanistan. Since Afghanistan did not have enough military and police capability to ensure security, it was crucial for ISAF to fulfill the security gap at the rural areas. In this context, U.S. Special Operations Forces Civil Affairs Battalion soldiers establish PRTs in 2002 in Afghanistan. Missions of PRTs are to determine humanitarian aid needs, to establish liaison with UN and NGOs and to implement reconstruction projects. In 2008 PRTs were established in Iraq for same purposes. Although their concepts and objectives are similar, their structure and equipment are different. This article's topic is just PRTs, operated in Afghanistan.

PRTs have developed in time and expanded across Afghanistan with the participation of other ISAF member countries. After Turkey's participation in 2006, total number of PRTs has reached 27.



Figure.1. Afghanistan ISAF RC and PRTs Locations.<sup>2</sup>

PRTs have been under the command and control of ISAF since 2006. They are the sub-

1 NATO, ISAF Provincial Reconstruction Team (PRT) Handbook, Edition 4, 2010, p. 2.

2 NATO, Provincial Reconstruction Teams (PRTs), [http://www.nato.int/isaf/docu/epub/maps/graphics/afghanistan\\_prt\\_rc.jpg/](http://www.nato.int/isaf/docu/epub/maps/graphics/afghanistan_prt_rc.jpg/), accessed on 27.11.2013.



ordinates of the Regional Commands. The chain of commands for PRTs is shown in Figure.2. Each leading nation decides the structure and size of PRTs that causes differences among them. While some of them have military chain of command the others have civilian directors.

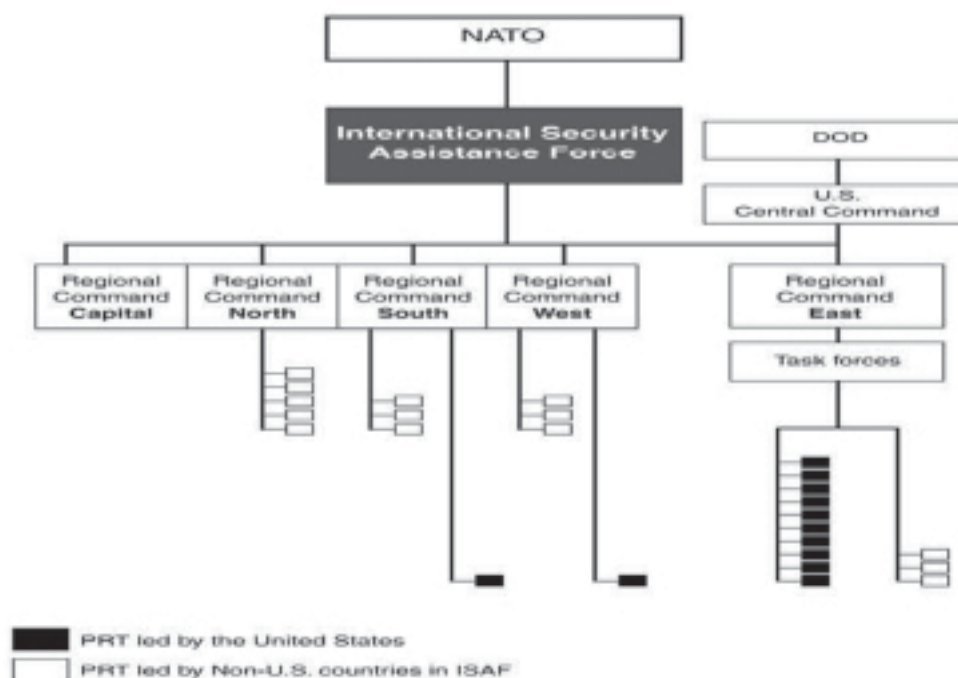


Figure 2. The Chain of Command for PRTs in Afghanistan<sup>3</sup>

PRTs are neither absolutely combatant as military units, nor an organization that focus on humanitarian aid and reconstruction as NGOs. They conduct several activities to provide stability, but none of these facilities are the main objective. The success of PRT does not depend on the total number of completed reconstruction projects or conducted activities. In contrast, their success can be measured with their contribution to the establishment of stability, which is the ultimate objective and setting up a legitimate government. Once this objective is achieved, PRTs can be terminated. In order to achieve the end state, PRT's missions are to provide safe and secure environment, to enhance Afghan Central Government authority, and to perform reconstruction and humanitarian facilities.<sup>4</sup>

a. Various PRT Concepts of ISAF Member Nations:

(1) Turkey:

Turkey leads 2 of the 27 PRTs, which is represented by 39 countries and operates in 34 provincials of Afghanistan. One of them is Wardak, 40 km west of Kabul, and the other is Javizcan Turkish PRTs' main effort is to enhance reconstructing and stabilizing Afghanistan. Although Javizcan is not in the Kabul Regional Command's (KRC) area of responsibility (AOR), it is a subordinate of KRC. Since Tajik population is dense in Javizcan, Turkey leads this PRT.

Civilian and military personnel work together in the Turkish PRTs. Their missions are to

<sup>3</sup> United States Government Accountability Office, Provincial Reconstruction Teams in Afghanistan and Iraq, Washington D.C, 2008, p.7.

<sup>4</sup> NATO, ISAF PRT Handbook, p.8.



improve administrative and judicial system, to train Afghan police department and to develop life conditions of Afghans particularly on infrastructure and social support areas.<sup>5</sup> A civilian official assigned by Ministry of Foreign Affairs (MFA) is the chief of PRTs. Civilian elements of PRTs are supported by Turkish Cooperation and Development Agency (TIKA). In addition, experts and civilian mentors from different ministries, such as health, education, agriculture and domestic affairs, take place within the PRT.<sup>6</sup> Military is responsible for securing members and area of PRT. The military wing is also responsible for communication and coordination with mainly Kabul and Northern Regional Command and ISAF.<sup>7</sup> Moreover, the other missions of military are training Afghan Security Forces and conducting civil military cooperation (CIMIC).

Due to the civilian administration, Wardak PRT is the first application within the ISAF/NATO members. Unlike other nations, Turkish PRTs doesn't take narcotics and operational tasks.<sup>8</sup>

## (2) US, British and German Concepts

There are major differences among American, British, German and Turkish PRT concepts. In the U.S. PRTs, military has the main responsibility of administration. Civil units take place under the military command and has less authority compared to German, British and Turkish PRTs. PRT projects are provided by Department of Defense (DoD) budget. PRT's main focus consists of reconstructing and winning hearts and minds of people. Only the American soldiers cope with the reconstruction efforts.<sup>9</sup> In addition, military objectives take place forefront, and demands of UN and NGOs are less satisfied compared to German, British and Turkish PRTs. Since the American concept highlights the force protection and security of their troops, PRTs operate fully equipped. They wear baseball helmet instead of military helmet to distinguish themselves from other troops. The British concept is characterized by joint civil-military leadership with more civilian authority than the US model. The military interference to civilians who have their objectives and programs is minimal.<sup>10</sup> The military role is totally on security and reconstruction facilities that need direct involvement of soldiers. The U.K approach in force protection can be considered quite mild. Mobil Observation Teams (MOT) can conduct operations far from headquarter of PRT with light weapons and equipment.

The German model is based on the traditional civil-military separation. The civil and military personnel have their leaders, objectives, and offices. The military role is limited to security, liaison, and coordination with actors, local leaders, and NGOs.<sup>11</sup> German PRTs carryout

5 Turkish Ministry of Foreign Affairs, Türk İl İmar Ekibi: Vardak, <http://vardakprt.org/tur/index.php>, (Erişim Tarihi: 26.11.2013).

6 Turkish Ministry of Foreign Affairs,, Türk İl İmar Ekibi: Cevizcan, <http://www.cevizcanprt.org/tur/icerik.php?no=7>, (Erişim tarihi: 26.11.2013).

7 Ibid.

8 Türk İl İmar Ekibi: Vardak, <http://vardakprt.org/tur/index.php>.

9 Peter Viggo Jakobsen, PRTs In Afghanistan: Successful But Not Sufficient, DIIS Report 2005:6, p.27.

10 Ibid., p.27.

11 Ibid., p.27.

more CIMIC facilities and meet the demands of humanitarian organizations than other PRTs, since civilians have more authority and less military participation. However, German NGOs and Ministries complain about military logic while operating with PRTs.<sup>12</sup>

Although regional conditions create differences among the PRT concepts, the main reason of various implications is due to the disagreement in peace support operations and force protection issues. Existing applications of countries have many similarities with their previous operations. Similarly, CIMIC activities are more of a reflection of their state structure rather than local needs of Afghans.

	American	British	Turkish	German
Military Focus	Simple construction and winning hearts and minds.	Security	Security	Security and liaison
Role of Military	High	Limited	Limited	Limited
Level of CIMIC	Joint, civilians are under the command of military.	Joint leadership, decentralized execution.	Civilian leadership, working together.	Separate leadership, coordination meetings in every week.
Relationship with UN and NGOs	Limited	High	High	High

Table 1. Comparing American, British, Turkish and German PRT Concepts.

b. Challenges and Opportunities:

PRTs have seen many difficulties since they were founded. They were not expected to accomplish the job that was done by ISAF. It was emerged that the practices of PRTs were different in course of the time. There are several reasons of this occurrence.

First of all PRTs organization, equipment and doctrine are affected by the specifications of the area, security needs and the public reconstruction. Although there are some gains to build a strong central government, an insurgency led by Taliban takes place and creates instability particularly in the south and east provinces.<sup>13</sup> For example the New Zealand PRTs' experience in Bamyan have been different than the experience of Canadian PRTs in Kandahar. Bamyan is a geographically isolated, ethnically homogenous and a place that has a well government; the governor is the only female governor of the whole Afghanistan and has a wide support from public.<sup>14</sup> The PRT does not have a trouble maintaining security and it does not have to intervene the decision-making process of the Afghan authorities because the threat levels are relatively low in this province.

<sup>12</sup> Ibid., p.27.

<sup>13</sup> Center for Army Lessons Learned (CALL), Afghanistan Provincial Reconstruction Team Handbook, February, 2011, p.53.

<sup>14</sup> William Maley, Afganistan'da İl İmar Timleri- Nasıl Oluştular ve Nereye Gidiyorlar, NATO Review, 2007 <http://www.nato.int/docu/review/2007/issue3/turkish/art2.html>

On the contrary, Taliban forces are superior in Kandahar. Taliban militants are attacking the ISAF forces and public. Taliban's existence is weakening the local government. Moreover the power struggle between local tribes created some hardships for PRTs and because of this, it has been more difficult to deploy PRTs in Kandahar than in Bamyan.<sup>15</sup> Naturally the organization of the PRT in Kandahar has been configured to maintain security more than anything.

The second challenge is that communications systems and media may be little impact on the people living in the region. So relations with the local authorities should be established and messages should be sent to the people via these authorities.<sup>16</sup>

Third, there are individual differences depending on the different military cultures and methods. Every country is contributing in different levels has some drawbacks and limitations depending on each of the country's policies. These limitations always have negative effects on the utilization and construction of PRTs. In addition, while some countries use hard power, some others prefer to use soft and smart power.<sup>17</sup> For example, some countries believe that there should be a military power to deter Taliban and other terrorist groups. On the other hand others see it as avoiding diplomacy and negotiation, which is the most effective way of accomplishing solid and persistent targets. Even the change in command of a single country in its PRT may affect the works of that PRT. The PRT commanders' level of knowledge on Afghanistan conditions and their ideas on what PRT mission should be can be different. Some of them take care of this duty and persevere to accomplish, whereas some others just try to finish their time and leave the country as soon as possible. So that there was inadequate and ineffective local consultation by most PRTs prior to their establishment and PRTs do not get closely enough involved with the local population and government officials.<sup>18</sup>

Fourth, the most important topic in peace support operations and the insurgency suppression is to gain the public support and work with local governments in harmony. Not all PRTs can accomplish this at a desired level. PRTs that gained public support and the ones, which could synchronize with the local governments has always been successful. The PRTs that could not achieve this did not have a persistent reconstruction record, even though they develop good projects once in a while. Moreover, cultural consciousness, strategic communications and foreign language skills of personnel should be high to gain the support of public.

It is another problem area that Afghan central government and executive authorities have different priorities and corruption in local governments. ISAF specifies the priorities with Afghan central government. PRTs work with the local governments in accordance with these priorities. However, when the priorities of locals are different the central government some problems arise. In addition to this problem there is a corruption in local authorities. According to this circumstance, PRT personnel should act properly to decrease the overall problem and to enhance transparency.<sup>19</sup> Another frequent error is to see the reconstruction as just to develop

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15 Ibid.

16 CALL, PRT Handbook, p.189.

17 William Maley, Afghanistan'da İl İmar Timleri, <http://www.nato.int/docu/review/2007/issue3/turkish/art2.html>

18 Save the Children, Provincial Reconstruction Teams and Humanitarian-Military Relations in Afghanistan, London, 2004, p.30.

19 CALL, PRT Handbook, p.184.

projects. PRTs should have knowledge about the dynamics of the public along with knowledge on the cultural consciousness to start the publicly needed projects.

Finally, the continuity of military operations while PRTs are serving in the public is causing some problems. Firstly the public has a trouble differentiate the operational military units and military PRTs because they both have uniforms. Also, civilian losses after the military operations create a reaction against PRTs.

There can be tensions between the military wing and civilian part of PRTs. These tensions can either have creative and positive consequences or be harmful and destructive depending on how they are handled.

### 3. CONCLUSION

The change in the organization of PRTs and the reduction of their military existence and finally their termination are still going to be sought after by the foreign countries' military and civilian authorities in parallel with the statement of Afghanistan President Karzai about the transition process in March 22nd 2011 to terminate PRTs until the end of 2014. The last achievement on this is the conversion of the military structure of Norwegian PRT to unmilitary structure. We can say that PRT is successful as a new practice. In the future, its use in the places that lack stability will be helpful.

In 2010, NATO published the PRT handbook to fix different practices and remove the problem areas. However, this standardization may not be the best approach when the conditions of Afghanistan are considered. These groups should have a flexible structure in compliance with the needs of public and the local governments. Currently, they cannot provide the desired benefits because their inner dynamics has shaped concepts of the leading countries.

Behaviors of people have been shaped more by the inter-personal bonds than the bonds with official organizations in the rural areas of Afghanistan. Thus, PRTs that can make their personal stay in the same field become more successful because of these bonds between their personnel and public. Current service times differ between 6 months and one year. These time frames are not enough for PRTs to form the desired bond with public.

As stated above; there are many different kinds of organizations and practices of PRTs in Afghanistan. Although the standardization of PRT's organization is not the right approach, we can still summarize some important points. First of all pooling of military and civilian personnel under a single roof will increase the coordination and unity. The leader of this structure should be a civilian official from the relevant institution of the country. The main target of the military wing should be to secure the PRT and its location. Civil units should be responsible for public works, reconstitution and to improve the authority of local governments.

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## **IMPACT OF WORKING CAPITAL MANAGEMENT ON THE PROFITABILITY OF LISTED CEMENT COMPANIES IN TANZANIA**

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### **Abstract**

This study analyses the impact of working capital management efficiency on profitability of cement companies listed in Dar Es Salaam Stock Exchange (DSE) of Tanzania on the basis of 8 years (from 2006 to 2013) data of all the two DSE listed companies viz; Tanga Cement Company Ltd(TCCL) and Portland Cement Company Ltd(PLCCL) by applying descriptive statistics, correlation and OLS regression. Average Collection Period (ACP), Inventory Turnover In Days (ITD), Average Payment Period (APP) and, Cash Conversion Cycle (CCC) and Cash Conversion Efficiency (CCE) taken as independent variables. Current Ratio (CR), size of the firm (measured in terms of natural logarithm of sales, CSLn) has been used as control variables. Log Gross operating income is taken as dependent variable (GOPLn). As per the descriptive analysis, the performance of PLCCL is comparatively better in the case of ACP, APP, CCC, CR and CCE when compared to industry and also TCCL. The performance of TCCL is comparatively better in the case of ITD. The correlation analysis showed mixed results. Though most of the relationships between independent variables and dependent variable are as expected but not significant. Industry correlations between APP, ITD, CSLn and GOP are significant and are in required direction. The regression analysis results showed that there is a strong negative relationship between ACP and GOP and positive relationship between size of the company (company sales) and GOP. Since, except in the case of 2 measures, the impact of most of the efficiency measures on GOP are not significant, it can be concluded that there is ample scope for both the companies to invest efforts for improving working capital efficiency measures.

**Keywords:** Average Collection Period, Average Payment Period, Cash Conversion Cycle, Inventory Turnover In Days, Gross operating Profit

### **1 Introduction**

The investment in any business especially corporate sector broadly can be classified as investment for creating capacities in the form of noncurrent assets/fixed capital and investment for making use of such created capacities efficiently in the form of current assets/working capital. Both aim at maximizing profitability. In this endeavor working capital plays a pivotal role in making use of the created capacities for getting output and channelizing the same for consumers to generate profitability. Business viability, profitability, growth and prosperity are closely associated with efficiency in managing the working capital. The objective of Working Capital Management (WCM) is to maintain the optimum balance of each of components of working capital viz; receivables, inventory and payables and using the cash efficiently for day-to-day operations. Optimization of working capital balance means minimizing the investment in



working capital and realizing maximum possible revenues. Efficient WCM increases firms' free cash flow, which in turn increases the firms' growth opportunities and return to shareholders.

Working capital is the difference between resources in cash or readily convertible into cash and organizational commitments for which cash will soon be required. It includes all current assets like inventories, receivables, short securities and current liabilities like trade payables and short term commitments. Considerable managerial time and efficiency is required in managing components of working capital because of the very nature of convertibility of Current assets into different forms continuously over a period of operating cycle. They need to be converted from cash to all inputs like material, work in process, finished goods, and receivables and finally cash. Similarly current liabilities are to be honored on time for which efforts are required to maintain sufficient liquidity. This necessitates continuous involvement of management not only for making decisions but also for their effective execution. Taking the conversion efficiencies of all the working capital components and managerial philosophy and industry nature into consideration, the management has to plan the amount of investment in WC. Over investment in working capital create idle capital without any benefit and under investment may keep the firms credit worthiness at stake.

The relationship between ability of efficient WCM and profitability varies across different industries due to their nature, economic and business environments of countries and approaches followed by the managements in WCM. Firms in an industry that has less competition would focus on minimizing the receivable to increase the cash flow and for firms where there are large numbers of suppliers of materials, the focus would be on maximizing the payable consequently it will have a different impact on the profitability as compared to competitive and restricted input supply economic environments.

The most important components of working capital are the Account receivables, Inventory and Accounts payable. Efficient management of receivables is closely associated with credit terms, average collection period of receivables and total amount employed in receivables and their turnover. It facilitates to increase the size of the activity by increasing total sales consequently increased recycling of funds and generating higher profitability. As against this, if management fails in efficient management of accounts receivables, it results into higher average collection period, reduced recycling of funds, blocking of funds with debtors without any additional benefits and ultimately effecting profitability and liquidity of the enterprises. A large number of business failures have been attributed to inability of financial managers to plan and control properly the account receivables of their respective firms. The relationship between ACP and profits of Cement Companies indicate the efficiency of management in managing accounts receivable.

Similarly efficient management of Inventory is closely associated with terms of purchase, purchase quantity decisions taking into account the nature of inputs and terms of purchase, ability of converting inventory into finally sales and cash and deciding optimum investment in inventories. Over investment may lead to out dated inventory and cause losses and under inventory may lead to shortage and breakdowns in continuous activity. The relationship between ITID and profits indicate the efficiency of management in managing inventories. Repayment of Accounts payable on time to maintain credit worthiness at the same time

make use of them as an aid to working capital to minimize investment is another area where efficiency of management is required. Hence the relationship between APP and profits indicate the efficiency of management in managing payables. Adequate liquidity is also essential not only to meet required cash purchases, payment to various factors of production on time but also for meeting short term obligations. Hence the relationship between CCE with profits indicates the managerial efficiency in managing liquidity.

A popular measure of Working Capital Management is the CCC, i.e. the time lag between the expenditure for the purchases of raw materials and the collection of sales of finished goods. The longer this time lag, the larger the investment in working capital (Deloof 2003). A longer CCC might increase profitability because it leads to higher sales. However, corporate profitability might also decrease with the CCC, if the costs of higher investment in working capital rise faster than the benefits of holding more inventories and/or granting more trade credit to customers.

## **2. An over view of Tanzania and cement industry:**

### **2.1. An Overview of Tanzania:**

Tanzania is located in eastern Africa bordering the Indian Ocean, between Kenya and Mozambique. Other neighboring countries include: Burundi, Democratic Republic of the Congo,

Malawi, Rwanda, Uganda and Zambia. The country encloses an area of 947,300 square kilometers with a coastline of 1424 kilometers and is a home of some of the world's greatest landmarks The Kilimanjaro – which is the highest mountain in Africa standing at 5895 meters above sea level, Lake Victoria – the world's second largest freshwater lake and Lake Tanganyika

– The world's second deepest lake. Tanzania is also known for a variety of wildlife with over fifteen national parks and game reserves around the country. In addition to all this, the country has abundant supplies of natural resources which include gold, diamonds, coal, natural gas and a

wide variety of gemstones. Population wise Tanzania is home to around 41.05 million among which 21.23 million (2009 estimated) are considered to be labor force. All this makes Tanzania one of the world's wealthiest nations from a biological point of view. ( CIA World fact book).

Despite all this wealth, Tanzania is ranked as one of the world's poorest countries as its population below poverty line was at a record high of 36% (2002 est.), the estimated GDP per capita in 2009 was USD 1400, which is absolutely trivial compared to that of the other member country South Africa which was USD 10,100 in the same year. ( CIA Fact book).

### **2.2. Cement industry in Tanzania**

Tanzanian, as a developing country, committed for undertaking planned activities for its economic development relying on the philosophy of Liberalization Privatization and Globalization. As a part of this program it has included in priority for infrastructure development such as roads, bridges, factories, projects, housing, universities etc. which necessities basic inputs

like iron and steel, cement. Cement makers operating in the country include Tanzania Portland Cement Company Ltd(TPCCL), which is 69.3 per cent owned by a subsidiary of Germany's Heidelberg Cement AG ; Tang Cement Company Ltd( TCC), 62.5 per cent owned by Afrisam Mauritius Investment Holdings Limited; and Mbeya Cement, 62.76 per cent owned by France's Lafarge SA. Lake Cement and Lee Cement Factory are two newest entrants in Tanzania's cement manufacturing and marketing sector with their core products under brand names of Nyati cement and Kilwa cement respectively. Nigeria's billionaire and Africa's richest man, Alhaj Aliko Dangote, is constructing a 3-million tons capacity cement plant in Mtwara Region. Tanzania expects to double its cement output over the next few years according to a report by the Daily News. The news agency reported that Tanzanian Deputy Minister for Industry and Trade, Janet Mbene expects the country's annual cement production to rise to 6 million tons with the future opening of seven new factories. According to the article cement consumption is viewed as a barometer for construction activity, which is one of the main drivers of economic growth in the country. Tanzania's cement output rose 18.9% last year, to slightly above 3 million tons on the back of higher demand. Mbene said the rise in output would mean Tanzania would produce a surplus to be exported (Infrastructure News, internet source)

Out of all the companies existing today only two companies are public companies registered in Dar Es Salaam stock exchange and remaining are private companies. Further, from those private companies two companies started their activity in the last year. Hence, this study is confined to two listed companies only.

### **3. Purpose of this study:**

The discussion of the importance of working capital management, its different components and its effects on profitability, an overview of Tanzania Cement Industry outlined above motivated a study on the managerial efficiency in working capital and its impact on profitability of under researched cement industry in Tanzania. The objectives of the study include:

- i. To find the effects of different components of working capital management on profitability
- ii. To find the relationship between profitability and size of Cement companies in Tanzania.

The subsequent aspects deal with, review of the empirical literature, methodology in terms of sample size, data source, variables used measurement of variables and estimation techniques. It also presents analysis and results of the study, conclusion and suggestion for improvement.

### **4. Review of Literature:**

The reviewed literature along with findings on the relationship between measures of working capital efficiency and profitability is presented below:

- Deloof ( 2003), in his paper, "Does Working Capital Management Affects Profitability of Belgian Firms?" using correlation and regression tests found a significant negative relationship between gross operating income and the number of days accounts

receivable, inventories and accounts payable. On the basis of these results he suggested that managers could create value for their shareholders by reducing the number of days' accounts receivable and inventories to a reasonable minimum. The negative relationship between accounts payable and profitability is consistent with the view that less profitable firms wait longer to pay their bills.

- Ioannis Lazaridis, and Dimitrios Tryfonidis, (2006) in their research work "Relationship Between Working Capital Management and Profitability of Listed Companies in the Athens stock Exchange" investigate the relationship of corporate profitability and working capital management using a sample of 131 companies listed in the Athens Stock Exchange (ASE) for the period of 2001-2004 to establish a relationship that is statistically significant between profitability, the cash conversion cycle and its components. The results of the research showed that there is statistical significance between profitability, measured through gross operating profit, and the cash conversion cycle. Moreover managers can create profits for their companies by handling correctly the cash conversion cycle and keeping each different component (accounts receivables, accounts payables, inventory) to an optimum level.
- Kesseven Padachi in his paper (2006) "Trends in Working Capital Management and its Impact on Firms' Performance: An Analysis of Mauritian Small Manufacturing Firms" examined the trends in working capital management and its impact on firms' performance. The trend in working capital needs and profitability of firms are examined to identify the causes for any significant differences between the industries. The dependent variable, return on total assets is used as a measure of profitability and the relation between working capital management and corporate profitability is investigated for a sample of 58 small manufacturing firms, using panel data analysis for the period 1998 –2003. The regression results show that high investment in inventories and receivables is associated with lower profitability. The key variables used in the analysis are inventories days, accounts receivables days, accounts payable days and cash conversion cycle. A strong significant relationship between working capital management and profitability has been found in previous empirical work. An analysis of the liquidity, profitability and operational efficiency of the five industries shows significant changes and how best practices in the paper industry have contributed to performance. The findings also reveal an increasing trend in the short-term component of working capital financing.
- Abdul Raheman and Mohamed Nasr (2007) in their paper "Working Capital Management And Profitability – Case Of Pakistani Firms" studied the effect of different variables of working capital management including the Average collection period, Inventory turnover in days, Average payment period, Cash conversion cycle and Current ratio on the Net operating profitability of 94 Pakistani firms listed on Karachi Stock Exchange for a period of 6 years from 1999 – 2004. Debt ratio, size of the firm (measured in terms of natural logarithm of sales) and financial assets to total assets ratio have been used as control variables. Pearson's correlation, and regression analysis (Pooled least square and general least square with cross section weight models) are used for analysis. The results show that there is a strong negative relationship between variables of the working capital

management and profitability of the firm. It means that as the cash conversion cycle increases it will lead to decreasing profitability of the firm, and managers can create a positive value for the shareholders by reducing the cash conversion cycle to a possible minimum level. They find that there is a significant negative relationship between liquidity and profitability. They also find that there is a positive relationship between size of the firm and its profitability. There is also a significant negative relationship between debt used by the firm and its profitability.

- Venkata Ramana.N; Ramakrishnaiah.K; Chengalrayulu.P (2013) in their study “Impact of Receivables Management on Working Capital and Profitability: A Study of Select Cement Companies in India” collected information from 4 cement companies for the period from 2001 -2010 calculated efficiency of receivables ratios like management Receivables to Current Assets Ratio, Receivables to Total Assets Ratio, Receivables to Sales Ratio, Receivables Turnover Ratio, Average Collection Period, Working Capital Ratio and Profitability Ratio, applied ANOVA to know the impact on working capital and profitability. Working capital and profitability were considered as dependent variables. The investigation reveals that the receivable management across cement industry is efficient and showing significant impact on working capital and profitability.
- Vedavinayagam Ganesan,(2007) in his study “An Analysis of Working Capital Management Efficiency in Telecommunication Equipment Industry” analyzed the relationship between working capital management efficiency and profitability using correlation and regression analyses. ANOVA analysis is done to study the impact of working capital management on profitability. Using a sample of 443 annual financial statements of 349 telecommunication equipment companies covering the period 2001-2007, this study found evidence that even though “days working capital” is negatively related to the profitability, it is not significantly impacting the profitability of firms in telecommunication equipment industry
- Ghosh and Maji,(2003) in their paper made an attempt to examine the efficiency of working capital management of the Indian cement companies during 1992 – 1993 to 2001 – 2002. For measuring the efficiency of working capital management, performance, utilization, and overall efficiency indices were calculated instead of using some common working capital management ratios. Setting industry norms as target-efficiency levels of the individual firms, this paper also tested the speed of achieving that target level of efficiency by an individual firm during the period of study. Findings of the study indicated that the Indian Cement Industry as a whole did not perform remarkably well during this period.
- Smith and Begemann(1997) emphasized that those who promoted working capital theory shared that profitability and liquidity comprised the salient goals of working capital management. The problem arose because the maximization of the firm’s returns could seriously threaten its liquidity, and the pursuit of liquidity had a tendency to dilute returns. This article evaluated the association between traditional and alternative working capital measures and return on investment (ROI), specifically in industrial firms listed on the Johannesburg Stock Exchange (JSE). The problem under investigation was to establish whether the more recently developed alternative working capital concepts



showed improved association with return on investment to that of traditional working capital ratios or not. Results indicated that there were no significant differences amongst the years with respect to the independent variables. The results of their stepwise regression corroborated that total current liabilities divided by funds flow accounted for most of the variability in Return on Investment (ROI). The statistical test results showed that a traditional working capital leverage ratio, current liabilities divided by funds flow, displayed the greatest associations with return on investment. Well-known liquidity concepts such as the current and quick ratios registered insignificant associations whilst only one of the newer working capital concepts, the comprehensive liquidity index, indicated significant associations with return on investment.

- Sushma Vishnani and Bhupesh Kr. Shah(2007) made a pragmatic analysis of Indian Consumer Electronics Industry to determine the impact of working capital policies & practices on profitability for the period 1994–95 to 2004–05. They found a negative relationship between the determinants of WCM and profitability for most of the companies in their sample. The same results were also confirmed in their industry-wide analyses.
- Pedro Juan García-Teruel and Pedro Martínez-Solano(2007) were probably the first to make an experimental analysis about the effects of WCM on the Profitability of Small and Medium Enterprises. In their article, “Effects of Working Capital Management on SME Profitability”, they took a sample of 8,872 small and medium-sized Spanish firms for the period 1996-2002 for the purpose of constructing an empirical relationship between WCM and profitability. Their correlation analyses displayed a very significant negative relationship between the Return on Assets and the number of days accounts receivable, number of days inventory and the number of days accounts payable. Also, the correlation between the cash conversion cycle and the profitability variable was negative as well as statistically significant. The authors, thus, held that shortening the (CCC) would lead to an increase in profitability.
- Azhagaiah Ramachandran and Muralidharan Janakiraman(2009) attempted to devise a significant relationship between the Working Capital Management Efficiency and EBIT. The results of their Regression analysis showed a significant negative relationship of EBIT with Cash Conversion Cycle.
- Malaysian authors Zariyawati (et al) also endeavored to investigate the relationship between corporate profitability and working capital management of firms in six different Economic Sectors of the Malaysian Industry. The justification they had to conduct the study was that most of the previous studies, in their opinion, focused on large and/or developed markets. Thus reinvestigating the issue in the emerging markets of Malaysia could provide further insight on the impact of working capital management on profitability. Their results also were indicative of a strong and significant negative association between the two variables of study.
- An attempt to explore the relationship between the variables of Working Capital Management and Profitability was made by Haitham Nobanee and Maryam AlHajja(2009)r. Their analysis was based on a sample containing 2123 Japanese non-



financial firms listed in the Tokyo Stock Exchange for the period from 1990 to 2004. The authors, after analyzing the results, suggested that Japanese firms should focus on shortening their Receivable Collection Period, Inventory Conversion Period and Cash Conversion Cycle to enhance profitability. Lengthening the Payable Deferral Period could also add to profitability, they argued. However, they deemed the over lengthening of the Payable Deferral Period to be equally risky as it could harm the firm's credibility and credit reputation in the long run.

- D. Govind Rao and P. M. Rao (1999) researched the relationship of WCM and profitability in Indian cement industry and found a mix of positive and negative connections between the working capital related variables and that of profitability.
- J. P. Singh and Shishir Pandey Jr. (2008), in their article "Impact of Working Capital Management in the Profitability of Hindalco Industries Limited" observed a significant effect of the management of working capital on the profitability of Hindalco Industries.
- The impact of working capital management on profitability was also observed by Cote and Latham (1999) who discovered that management of inventory, receivables and payables had a direct influence on a company's Cash Flows which could ultimately affect its profitability.

The foregoing review reveals that Deloof (2003), Ioannis Lazaridis et.al (2006), Kessavan Padach (2006), Abdul Rahaman & Mohamed nasr (2007), Veda Vinayagam Ganeshan (1997), Shushuma Vishani et.al (2007), Garacia P.J et.al (2007), Azahagaiah Ramchander et.al (2009), Zariyavati et.al (2009), Hatham Nobanee et.al (2009), Govindarao and P.M. Rao (1999), Cote and Latham (1999) found the relationship between working capital efficiency ratios and profitability and came out with mixed results. In all these studies ACP, INTID, CCC, APP are taken as measures of working capital efficiency. With regard to dependent variable (profitability) different proxies like ROA, ROE, EBIT, GOP are used. Some studies used control or intervening variables like CR, Debt ratio, company sales. Taking these review as the base the independent variables are taken as ACP, INTID, APP, CCC and CCE. Additional variable CCE is included because it also affects the profitability as it is calculated based on operating cash flows and sales. Log GOP is taken as dependent variable because the efficiency of Working capital reflects primarily in gross operating profit and it excludes the effects of overhead costs.

## 5.0 Methodology

The research primarily aims at identifying the relation between efficiency in working capital management of cement companies registered in DSE of Tanzania and Gross operating profit. For the purpose, in this section, the data set and sample, variables used and their measurement, expected relationship of independent variables with dependent variable, hypotheses, model specification and data analysis tools are discussed.

### 5.1 Data Set & Sample

The data used in this study was acquired from annual reports of two cement companies listed in DSE of Tanzania browsing the websites of the concerned companies. The period covered by the study extends to most recent 8 years from 1996 to 2013. The confinement to this period is due to limitation of availability of annual reports and other related information. Out of five

cement companies existing in Tanzania only two companies are listed in DSE and remaining are in private sector. Among three companies in private sector two companies started their operation in the last year only. Availability of data of private companies is another limitation which necessitated confining to listed companies. Finally, from annual reports, collected the data relating to required variables of this study and computed the relevant ratios.

## 5.2 Variables

The choice of variables used in this study is influenced by the previous studies on working capital management and its effect on profitability. Five independent variables, two control variables and one dependent variable are used in this study. In this study, Log of Gross operating profit is taken as dependent variable because it will not have the effect of overheads and also the impact of managerial efficiency in working capital will be on gross profit and subsequently on other aspects.

**Average Collection Period (ACP):** ACP is used as proxy for the efficiency of management in utilizing amount invested on collectables and it is used as an independent variable. ACP is calculated dividing account receivable by sales and multiplying the result by 365 (number of days in a year).

**Inventory Turnover In Days (ITID):** ITID is used as proxy for the efficiency of the management in utilizing amount invested on inventories and it is considered as an independent variable. It is calculated dividing inventory by cost of goods sold and multiplying with 365 days.

**Average Payment Period (APP):** APP is used as proxy for the efficiency of the management in trade creditor's repayment policy and it is considered as an independent variable. It is calculated dividing average inventory by purchases and multiplying with 365 days.

**The Cash Conversion Cycle (CCC):** CCC used as a comprehensive measure of working capital management is another independent variable, and is measured by adding Average Collection Period with Inventory Turnover in Days and deducting Average Payment Period.

**Cash Conversion Efficiency (CCE):** CCE is used as proxy for liquidity of the company which is calculated dividing operating cash flows with sales. It is the ratio which indicates the ability of supplying cash needed for meeting operating obligations.

**Current Ratio (CR):** CR which is a traditional measure of liquidity is calculated by dividing current assets by current liabilities. It is used as control variable because the GOP is affected by this proportion.

**Natural logarithm of company Sales (CSLn):** CSLn is used as proxy for size of the company. It is taken as control variable because the profitability of the company is also affected by this variable apart from the efficiency of working capital management. Many studies have also applied Debt ratio as control variable. Since the companies used in the study have meager long term debt that too not continuously this ratio is not taken into account.

## 3.3. Key variables and their expected impact on GOP

The variables used in this study along with their expected impact on gross operating profit are presented in the following table:

**Table 1: Summary of key variables and the expected impact on gross operating profit**

Variable	Variable type	Expected coefficient sign	Rationale
Average Collection Period (ACP)	Independent variable	Negative	ACP↑    GOP↓
Average Payment Period (APP)	Independent variable	Positive	APP↑    GOP↑
Inventory Turnover In Days (ITID)	Independent variable	negative	ITID↑    GOP↓
Cash Conversion Cycle (CCC)	Independent variable	Negative	CCC↑    GOP↓
Cash Conversion Efficiency(CCE)	Independent variable	positive	CCE↑    GOP↑
Company Size (CS)	Control variable	Positive	CS↑    GOP↑
Current Ratio(CR)	Control variable	Positive	CR↑    GOP↑

Source: prepared on the basis of review of literature

#### 5.4 Hypotheses Testing

Since the objective of this study is to examine the relationship between profitability and working capital management, the study makes a set of testable hypothesis {the Null Hypotheses H0 versus the Alternative ones H1 }.

##### Hypothesis 1

H01 : There is no relationship between efficiency in working capital management and profitability of Listed Cement Companies in DSE of Tanzania.

H11: There is a possible positive relationship between efficiency in working capital management and profitability of listed cement companies of Tanzania. Firms more efficient in managing their working capital is expected to pose high level of profitability and vice versa.

##### Hypothesis 2

H02: There is no relationship between size of listed cement companies of Tanzania and profitability.

H12: There is a positive relationship between the firm size and its profitability. This may be due to the ability of large firms to reduce liquidity levels and cash gaps.

#### 3.5 Model Specifications:

The following OLS multiple regression model is applied in this study to test the relationship between ACP,APP, ITID,CCC,CCE and GOPLn.

$$\text{GOPLn it} = \beta_0 + \beta_1 (\text{ACP it}) + 2 \beta (\text{ITID it}) + 3 \beta (\text{APP it}) + 4 \beta (\text{CCC it}) + 5 \beta (\text{CR it}) + 6 \beta (\text{CCE it}) + 7 \beta (\text{COSLn it}) + \varepsilon$$

Where:

GOPLn : Log of Gross Operating Profit

ACP :Average Collection Period

ITID : Inventory Turnover in Days'  
APP : Average Payment Period  
CCC : Cash Conversion Cycle  
CR : Current Ratio  
CCE : Cash Conversion Efficiency  
COSLn : Natural logarithm of company Sales  
*E* : The error term.

## 5.6 Analysis Used in Study

Two types of data analysis viz; descriptive and quantitative is applied in this study.

### 5.6.1 Descriptive Analysis

Range, minimum and maximum, average and standard deviations of all the variables applied in this study are calculated using SPSS and analyzed as first step to understand the nature of the variables.

### 5.6.2 Quantitative Analysis

In this analysis applied Pearson correlation to measure the degree of association between different Variables under consideration followed by Regression analysis to estimate the causal relationships between profitability variable and other chosen variables.

## 6. Data analysis and findings

The following sections deal with analysis of data based on descriptive statistics, correlations and OLS regression.

### 6.1 Descriptive analysis

The range, minimum, maximum, mean and standard deviation of the variables used in this study for TCCL, PLCCCL and industry are calculated and presented in table 2.

Table 2: Descriptive Statistics of DSE Registered Cement Companies Selected Variables (2006-2013)

VARIABLE	COMPANY	N	RANGE	MINIMUM	MAXIMUM	MEAN	STD.DEVIATION
GOPLn	TCCL	8	0.7297	24.1788	24.9085	24.6686	.23870
	PLCCCL	8	1.0459	24.4847	25.5306	25.0927	.34650
	INDUSTRY	16	1.3518	24.1788	25.5306	24.8806	.35874
ACP(days)	TCCL	8	9.3886	11.7606	21.1492	15.6801	3.2599
	PLCCCL	8	13.6570	6.1394	19.7965	10.3481	4.3973
	INDUSTRY	16	15.0098	6.1394	21.1492	13.0142	4.6437
APP(days)	TCCL	8	53.5260	22.8375	76.3634	53.2322	16.1390
	PLCCCL	8	40.5404	57.7315	98.2719	76.5784	13.3807
	INDUSTRY	16	75.4344	22.8375	98.2719	64.9053	18.7203

ITID(days)	TCCL PLCCL INDUSTRY	8	35.8696	73.6849	109.5545	90.7197	12.6681
		8	41.8828	93.2558	135.1386	114.2499	17.9146
		16	61.4537	73.6849	135.1386	102.4843	19.2945
CCC(days)	TCCL PLCCL INDUSTRY	8	36.9665	37.0199	73.9864	53.1676	11.9133
		8	60.4448	12.2367	72.6815	48.0186	25.5096
		16	61.7497	12.2367	73.9864	50.5931	19.4161
CCE	TCCL PLCCL INDUSTRY	8	.2026	0.1366	.3392	.2324	.0636
		8	.3498	0.0782	.4280	.2681	.1055
		16	.3498	0.0782	.4280	.2502	.8613
CR	TCCL PLCCL INDUSTRY	8	2.5969	1.4049	4.0018	2.6351	.87561
		8	4.9527	0.9052	5.8579	2.9976	1.4816
		16	4.9527	0.9052	5.8579	2.8163	1.1905
COSLn	TCCL PLCCL INDUSTRY	8	.9200	25.0800	26.0000	25.6050	.3229
		8	1.1300	25.1100	26.2400	25.8387	.3744
		16	1.1600	25.0800	26.2400	25.7219	.3587

Source: compiled on the basis of annual reports of the companies from 2006 to 2013

The following observations can be made from the table:

- The ACP of TCCL and PLCCL ranges between 11.76 - 21.15 and 6.14 -19.796 with mean of 15.68 and 10.35 and standard deviation of 3.26 and 4.397 respectively. The mean and standard deviation of PLCCL is less than the industry. As against this the mean ACP in days of TCCL is comparatively higher than industry(13.01) where as its standard deviation is lower than industry and also PLCCL. It can be inferred that TCCL comparatively taking more collection days with more certainty as its standard deviation is the lowest. Further the ACP in days of PLCCL is comparatively lower than industry and TCCL with comparatively higher variability.
- The APP of TCCL ranges between 22.84 and 76.36 days with average of 53.26 and standard deviation of 16.14 days. As against, the APP of PLCCL ranges between 57.73 and 98.27 days with average of 76.58 days and standard deviation of 13.38 days. Comparatively PLCCL is utilizing payables effectively as its minimum and maximum range of APP is more than TCCL as well as industry(22-98). TCCL minimum and maximum APP days, average are lower than PLCCL and industry but its standard deviation is higher than PLCCL. It shows comparatively their performance in utilization of payables is lower with more certainty.
- The ITID of TCCL ranges between 73.68 and 109.55 days with average of 90.72 days and standard deviation of 12.66 days. As against this the ITID of PLCCL ranges between 93.26 and 135.14 days with average of 114.25 days and standard deviation of 17.91 days. Comparatively TCCL is utilizing inventory effectively as its minimum and maximum

range, average and standard deviation are less than PLCCL as well as industry.

- The CCC of TCCL ranges between 37.02 and 73.99 days with average of 53.17 days and standard deviation of 11.91 days. As against this, the CCC days of PLCCL ranges between 12.24 and 72.68 days with average of 48.02 days and standard deviation of 25.51 days. Comparatively PLCCL average CCC days are lower than TCCL and industry. However its standard deviation is the highest among all.
- The average CR of PLCCL is 2.997 which is comparatively higher than TCCL(2.64) and industry (2.816)average. Its standard deviation is lowest compared to TCCL and industry.
- The average CCE of PLCCL (.268) which is higher than TCCL (.232) and also industry(.250). The standard deviations of TCCL and PLCCL are comparatively lower than industry. It shows comparatively the CCE of PLCCL is better than TCCL..

On the basis of above analysis it can be concluded that PLCCL performance is comparatively effective in the case of ACP, APP, CCC CR and CCE. TCCL performance is comparatively better in the case of ITID.

## 6.2. Correlation analysis

Pearson's Correlation analysis is applied for data to identify the relationship between variables of working capital management and profitability. In efficient working capital management, the relationship between ACP, INTID, CCC and GOP is expected to be negative. This is so because as there is decrease in the time lag between expenditure for purchases of raw material and the collection of sales of finished goods working capital is considered as used more effectively to generate more sales consequently increasing profitability. Unlike this the relationship between APP and GOP is expected to be positive because the higher time lag in purchase on credit basis and cash repayment enables the firm to have more working capital without any additional cost increases the activity and consequently increases the profitability. Similarly the expected relation between GOP and CCE is also positive as higher the efficiency in liquidity higher the activity and higher the profitability. The correlations between variables are presented in Table.3.

Table 3: Correlation of the Study Variables

RATIO	COMPANY		CSLN	GPLN	ACP	APP	ITID	CCC	CR	CCE
CSLN	TCCL	COR SIG	1	.910 .002	-.045 .915	.222 .597	-.130 .759	-.452 .261	.581 .131	.130 .759
	PLCCL	COR SIG	1	.896 .003	.368 .370	.526 .181	.415 .307	.079 .853	-.378 .356	.251 .550
	INDUSTRY	COR SIG	1	.893 .000	-.043 .874	.480 .060	.364 .166	-.112 .679	.004 .990	.262 .327
GOPLn	TCCL	COR SIG	.910 .002	1	-.409 .315	.528 .179	.140 .742	-.678 .065	.450 .264	.373 .362
	PLCCL	COR SIG	.937 .001	.937 .001	.117 .783	.455 .258	.293 .481	-.013 .976	-.301 .468	.232 .580
	INDUSTRY	COR SIG	.893 .000	.893 .000	-.402 .123	.678 .004	.533 .033	-.220 .412	.032 .905	.342 .194



ACP	TCCL	COR SIG	-.045 .915	-.409 .315	1	-.752 .032	-.780 .022	.463 .248	.494 .214	-.389 .341
	PLCCL	COR SIG	.368 .370	.117 .783	1	.043 .919	.758 .029	.682 .062	.337 .415	-.378 .355
	INDUSTRY	COR SIG	-.043 .874	-.402 .123	1	.580 .018	-.230 .391	.570 .021	.211 .433	-.426 .100
APP	TCCL	COR SIG	.222 .597	.528 .179	-.752 .032	1	.744 .034	-.769 .026	-.059 .889	.329 .426
	PLCCL	COR SIG	.526 .181	.455 .258	.043 .919	1	-.036 .933	-.542 .165	-.676 .066	.211 .616
	INDUSTRY	COR SIG	.480 .060	.678 .004	-.580 .018	1	.591 .016	-.516 .041	-.197 .464	.312 .224
ITID	TCCL	COR SIG	-.130 .759	.140 .742	-.780 .022	.744 .034	1	-.158 .708	-.553 .155	.285 .494
	PLCCL	COR SIG	.415 .307	.293 .481	.758 .029	-.036 .933	1	.852 .007	.406 .318	.347 .399
	INDUSTRY	COR SIG	.364 .166	.533 .033	-.230 .391	.591 .016	1	.369 .160	.193 .473	.015 .956
CCC	TCCL	COR SIG	-.452 .261	-.678 .065	.463 .248	-.769 .026	-.158 .708	1	-.373 .363	-.249 .552
	PLCCL	COR SIG	.079 .853	-.013 .976	.682 .062	-.542 .165	.852 .007	1	.698 .054	-.420 .301
	INDUSTRY	COR SIG	-.112 .679	-.220 .412	.570 .021	-.516 .041	.369 .160	1	.433 .094	-.397 .128
CR	TCCL	COR SIG	.581 .131	.450 .264	.494 .214	-.059 .889	-.553 .155	-.373 .363	1	.169 .690
	PLCCL	COR SIG	-.378 .356	-.301 .468	.337 .415	-.676 .066	.406 .318	.698 .054	1	-.774 .024
	INDUSTRY	COR SIG	.004 .990	.032 .905	.211 .433	-.197 .464	.193 .473	.433 .094	1	-.474 .064
	INDUSTRY	COR SIG	-.232 .388	-.427 .099	.293 .271	-.653 .006	-.906 .000	-.201 .455	-.150 .579	.070 .796
CCE	TCCL	COR SIG	.130 .759	.373 .362	-.389 .341	.329 .426	.285 .494	.249 .552	.169 .690	1
	PLCCL	COR SIG	.251 .550	.232 .580	-.378 .355	.211 .616	-.347 .399	-.420 .301	-.774 .024	1
	INDUSTRY	COR SIG	.262 .327	.342 .194	-.426 .100	.322 .224	.015 .956	-.397 .128	-.474 .064	1

Source: compiled on the basis of data from annual reports of the concerned companies.

The following observations can be made from the analysis of the information contained in the table.

- The correlation between ACP and GOP of TCCL is negative as expected (-.409) but not significant at  $\alpha = 1\%$  (*p value*.315), where as in the case of PLCCL it is positive (.117) and not significant at  $\alpha = 1\%$  (*p value*.783). The relationship of both the companies put together (being named as industry hereafter) is negative as expected (-.402) but not

significant at  $\alpha = 1\%$  ( $p$  value .123). With these relations it can be concluded that Tang cement receivables are in the direction of proper management in tune with the industry contributing to profitability though not significant where as PLCCL yet to manage them effectively building appropriate relationship between these variables.

- The correlation between APP and GOP of TCCL, PLCCL and Industry are showing positive coefficients as expected (.528; .455 and .677 respectively). Both companies relationships are though positive as expected but not significant at  $\alpha = 1\%$  ( $p$  value .179 and .258). However this relationship of the industry is significant  $\alpha = 1\%$  (.004). With these results it can be concluded that though both companies are in the direction of using APP in required direction similar to that of industry but yet both of them have to invest efforts to reach significant level.
- The correlation between ITID and GOP of TCCL, PLCCL and Industry are showing positive coefficients as against expectation (.140; .293 and .533 respectively), but not significant at  $\alpha = 1\%$  ( $p$  value .742 and .481). However the correlation of the industry in this regard is significant at  $\alpha = 1\%$  (.033). These results indicate that the relationship of both companies and the industry is not as expected.
- The correlation between CCC and GOP of TCCL, PLCCL and Industry are showing negative coefficients as expected (-.678; -.013 and -.220 respectively), however not significant at  $\alpha = 1\%$  ( $p$  value .065; .976 and .412).
- similarly the correlation between CCE and GOP of TCCL Ltd. PLCCL Ltd and industry are also positive as expected showing .373, .232 and .342 respectively. However, the relationship is not significant in all cases at  $\alpha = 1\%$  (.362; .580 and .194).
- The correlation between CR and GOP of TCCL and Industry are showing positive coefficients as expected (.450; .032 respectively) but not significant (.264; .905). The correlation of PLCCL is negative showing against expectation (.468)
- The correlation between CS and GOP is positive in both companies and also industry (.910; .937 and .893) the relationships are significant in all the three at  $\alpha = 1\%$  (.002; .001 and .000)

The above analysis showed mixed results. Though most of the relationships are as expected but not significant. Industry correlations between APP, CS and GOP are significant and are in required direction. The relationship between ITID and GOP is positive against expectation for both companies and industry which is unwarranted.

### 6.3 Regression analysis:

OLS multiple regression analysis was done for GOPLn with CR, CSLn, ACP, APP, ITID, CCE and CCE to investigate further, the association between the working capital efficiency measures and the profitability measures. In this model GOPLn is taken as dependent variable and ACP, APP, ITID, CCC, and CCE are taken as independent variables and CSLn, CR are taken as intervening variables. All the variables are accepted by the model except CCC whose VIF is above accepted level. The adjusted  $R^2$ , also called the coefficient of multiple determinations, which is the percent of the variance in the dependent variable explained uniquely or jointly by the independent variables, is 92.8%. The F statistic is used to test the significance of R. Overall

the model is significant as F-statistics is 33.072(Critical values of F for the 0.05 significance level 3.37 with df1 6 and df2 9.) and the significance of F change is .000. Further the Durbin Watson test is 1.505 which is within the limits (0.502-2.388). The Durbin-Watson statistic ranges in value from 0 to 4. A value near 2 indicates non-autocorrelation; a value toward 0 indicates positive autocorrelation; a value toward 4 indicates negative autocorrelation. The VIF of all other variables are below 10. Hence this model is considered as significant. The following tables give the results of the regression analysis that shows model summary, ANOVA, excluded variables, regression coefficients and the corresponding P-values.

**Model Summary<sup>a</sup>**

Model	R	R Square	Adjusted R Square	Std. Error of the Estimate	Change Statistics					Durbin-Watson
					R Square Change	F Change	df1	df2	Sig. F Change	
1	.978 <sup>a</sup>	.957	.928	.0964708	.957	33.072	6	9	.000	1.505

a. Predictors: (Constant), CASH CONV.EFFI., INV.TUR.IN.DAYS, COMPANY SALESLN, AVE.COLL.PERIOD, CUR.RATIO, AVE.PAY.PERIOD

b. Dependent Variable: GROSS OP.PROFIT LN

**ANOVA<sup>a</sup>**

Model		Sum of Squares	df	Mean Square	F	Sig.
1	Regression	1.847	6	.308	33.072	.000 <sup>b</sup>
	Residual	.084	9	.009		
	Total	1.931	15			

a. Dependent Variable: GROSS OP.PROFIT LN

b. Predictors: (Constant), CASH CONV.EFFI., INV.TUR.IN.DAYS, COMPANY SALESLN, AVE.COLL.PERIOD, CUR.RATIO, AVE.PAY.PERIOD

**Excluded Variables<sup>a</sup>**

Model		Beta In	t	Sig.	Partial Correlation	Collinearity Statistics		
						Tolerance	VIF	Minimum Tolerance
1	CASH CONV.CYCLE	3471.688 <sup>a</sup>	.668	.523	.230	1.903E-010	5254399826	1.903E-010

a. Dependent Variable: GROSS OP.PROFIT LN

b. Predictors in the Model: (Constant), CASH CONV.EFFI., INV.TUR.IN.DAYS, COMPANY SALESLN, AVE.COLL.PERIOD, CUR.RATIO, AVE.PAY.PERIOD

**Coefficients<sup>a</sup>**

Model		Unstandardized Coefficients		Standardized Coefficients	t	Sig.	Collinearity Statistics	
		B	Std. Error	Beta			Tolerance	VIF
1	(Constant)	3.986	2.140		1.862	.095		
	COMPANY SALESLN	.810	.089	.810	9.104	.000	.609	1.643
	CUR.RATIO	.028	.026	.092	1.076	.310	.660	1.515
	AVE.PAY.PERIOD	.001	.002	.038	.309	.764	.315	3.174
	AVE.COLL.PERIOD	-.025	.008	-.327	-3.325	.009	.497	2.012
	INV.TUR.IN.DAYS	.002	.002	.123	1.298	.227	.539	1.856
	CASH CONV.EFFI.	.084	.376	.020	.224	.828	.591	1.693

a. Dependent Variable: GROSS OP.PROFIT LN

The C is the constant, where the regression line intercepts the Y axis, representing the amount the dependent Y will be when all the independent variables are 0. Here C is 3.986. The following observations can be made from the analysis of regression coefficient table:

- The coefficient of ACP is Negative as expected (-.025) and is highly significant at  $\alpha = 0.05\%(0.009)$ . It implies that the increase in accounts receivable will result into significant decrease in GOP and vice versa.

- The coefficient of APP is positive with the  $GOP(.001)$  indicating increase in APP increases GOP but not significant at  $\alpha = 0.05\%(.764)$ .
- The coefficient of ITID is positive  $(.002)$  which is against the expectation indicating that increase in this ratio also increases GOP and vice versa. However it is not significant at  $\alpha = 0.05\%(.227)$ .
- The coefficient of current ratio is positive  $(.028)$  with GOP indicating increase in this ratio increases GOP and vice versa. It is as expected but not significant at  $\alpha = 0.05\%(.310)$ .
- The coefficient of CCE is positive with  $GOP(.084)$  indicating increase in ratio of CCE increases GOP but not significantly at  $\alpha = 0.05\%(.828)$
- The company sales coefficient positively vary with  $GOP(.810)$  indicating increase in sales increases GOP. The relationship is significant at  $\alpha = 0.05\%(.000)$

## 7. Conclusions and suggestions

As per the descriptive analysis, the performance of TPCCL is comparatively better in the case of ACP, APP, CCC, CR and CCE when compared to industry and also TCCL. The performance of TCCL is comparatively better in the case of ITRID. The correlation analysis showed mixed results. Though most of the relationships between independent variables and dependent variable are as expected but not significant. Industry correlations between APP, ITRID, CSLn and GOP are significant and are in required direction.

The regression analysis results showed that all the efficiency measures except ITID have expected relationships with gross operating profit, however, except, two variables, all others are not significant. There is a strong negative relationship between ACP and GOP and positive relationship between size of the company (company sales) and GOP. CCC was removed by the model as it has VIF more than required further it is the product of ACP, ITID and APP.

On the basis of above results it can be concluded that the performance of TPCCL in working capital management is better comparatively to TCCL and industry in all most all the efficiency measures used except inventory management whereas the TCCL is better in the case of inventory management. The combined result relating to ITID is not in desired direction; hence it needs attention of the companies. It is also the area for further probe.

The first alternative hypothesis that there is a possible positive relationship between efficiency in working capital management and profitability of listed cement companies of Tanzania though proved in all independent variables except ITID but significant in only ACP. This is so because there is negative significant relationship between ACP and GOP. This result endorses that firms more efficient in managing their working capital is expected to pose high level of profitability and vice versa.

With regard to second hypothesis, the study results endorsed that there existed a positive relationship between the firm size and its profitability as the increase in sales resulted significant increase in GOP. This may be due to the ability of firms to reduce liquidity levels and cash gaps. Since, except in the case of ACP, the impact of most of the efficiency measures on GOP are not significant as per regression analysis, it can be suggested that there is ample scope for both the companies to invest efforts for improving working capital efficiency measures viz; APP, ITID, CCC and CCE so as to have effective impact on GOP.

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## **FLIP CLASSROOM: AN INNOVATIVE WAY OF TEACHING TO EXCEL LEARNING**

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**Abstract:** Experimental teaching and learning method have been consistently demonstrated to achieve better outcomes than traditional lecture based technique. Unfortunately, in the universities in Bangladesh especially private university sector, it seems falling and running behind on effective and efficient teaching methods for students. Nowadays flipping the classroom has transformed teaching practices. With the rise of technology use in classrooms, many professors are open to structuring their classrooms in innovative ways. The flip classroom (or inverted classroom) is one such innovative classroom structure that moves the lecture outside the classroom via technology and moves homework and practice with concepts inside the classroom via learning activities. In traditional classroom teaching, only the best students raise their hands first and participate. At the same time, rest of the classroom passively participates. But flipped classrooms ensure the role of faculties and students. Faculties move around the classroom who struggle most. Again, in the current social, political situations which obstruct traditional classrooms, flip classroom might aid in the excellence on higher education especially on the subjects of science and technology. This research describes the findings of the comparison between flip class and traditional class delivery method in a course taught in a private university in Bangladesh; a discussion of the activities engaged by students, an explanation that how flip classroom helps them to improve their tasks for that course, a description of data collection and finally the impacts to excel learning through flip class rather than their traditional class.

**Keywords:** Flipped classroom, education, teaching, learning, digital technology.

### **Introduction**

Educators have been working to break this lecture-centered instructional model by shifting focus from the curriculum pacing guide to student learning needs as the driver of instruction. They are, increasingly, turning to an alternative model of instruction called Flipped Learning in which digital technologies are used to shift direct instruction outside of the group learning space to the individual learning space, usually via videos. Offloading direct instruction in this way allows teachers to reconsider how to maximize individual face to face time with the students.

Time becomes available for students to collaborate with peers on projects, engage more deeply with content, practice skills, and receive feedback on their progress. Teachers can devote more time to coaching their students, helping them develop procedural fluency if needed, and inspiring and assisting them with challenging projects that give them greater control over their own learning.

Regarded as the pioneers of Flipped Learning, in 2007, two rural Colorado chemistry teachers, who were concerned that students frequently missed end-of-day classes to travel to other schools for competitions, games or other events, began to use live video recordings and screen casting software to record lectures, demonstrations, and slide presentations with annotations. Those materials were posted on the then-nascent YouTube for students to download and access whenever and wherever it was convenient. But the mode of delivery turned out to be less important than what it made possible. In a book on their work called *Flip Your Classroom: Reach Every Student in Every Class Every Day* (2012), the two teachers, Jonathan Bergmann and Aaron Sams [1], reported that, after they flipped their classroom, students began interacting more in class.

Moreover, because time could be used more flexibly, students who were behind received more individual attention while advanced students continued to progress.

In this paper, it was our aim, to investigate the impact of flipped classroom on students' motivation, implemented to teach students programming C, especially by conducted an experimental design and asking students a survey questionnaire adopted by Keller's ARCS motivational Model. Ideally, this evaluation will be of some benefit for both students and teachers in the context of Bangladesh as no such experiment has been conducted before.

## **Literature Review**

### **Flipped Learning Model in Education**

Researcher reported that several higher education institutions that have successfully implement Flipped Learning models. The short cases that follow were included in Walsh's implementation report [2]. Papadopoulos and Roman [3], saw that students progressed through material faster, that students understood topics in greater depth, and additional content could be covered without sacrificing the quality of the course as a whole. Additionally, they found that 75% of students frequently or always helped other students in the class. In terms of student performance, test scores exceeded those in the traditional learning environment. Flipping the classroom seemed to be effective in helping students understand course material and develop design skills [4]. Their findings were reinforced by satisfaction surveys and focus groups in which over 70% of students said the class learning environment was more interactive. In one study, students in a flipped college introductory statistics course reported being less than satisfied with the way they were prepared for the tasks they were given [5]. They were more satisfied with the peer collaboration stimulated by this learning [6] [7]. There were no significant differences in students' knowledge and anxiety levels between the two versions of the course [6]. In looking at the effect of the flipped classroom model on a computer applications course, Johnson and Renner [8] found no significant differences between mean test scores of those who experienced the flipped classroom components and those students who did not. They also found no benefit to using the flipped method of classroom instruction in a secondary computer applications class. These results might be explained by the fact that the instructor of this course was asked to implement the Flipped Learning instruction method absent any perceived need.

## ARCS in Education

Numerous researchers argued that motivation is highly important feature in teaching and learning [9][10] [11]. Motivation can influence what, when, and how we learn [10]. High self-efficacy and high level of engagement in learning can be achieved by students who are motivated [12] [13].

The ARCS model is the most widely-used motivational model applied to the design and development of computer-assisted instruction programs [14] [15] and online learning environments [16] [17].

Applying the ARCS model has also been reported to reduce attrition rate in distance learning programs [18] [19] and improve learners' self-directed learning [20].

Since it was introduced, the ARCS model has been supported by numerous studies, including those in e-learning settings. Most of these studies, however, are experience-based case studies. More experimental research studies are needed to further validate the ARCS motivational design model, especially in the relatively new field of online learning.

## Research Design:

### Research Question

The main question for this research is "Is classroom flipped motivate students?"

To answer the research question, we formulated several hypotheses

H1: Students of flipped class room has more attention than students of traditional class room

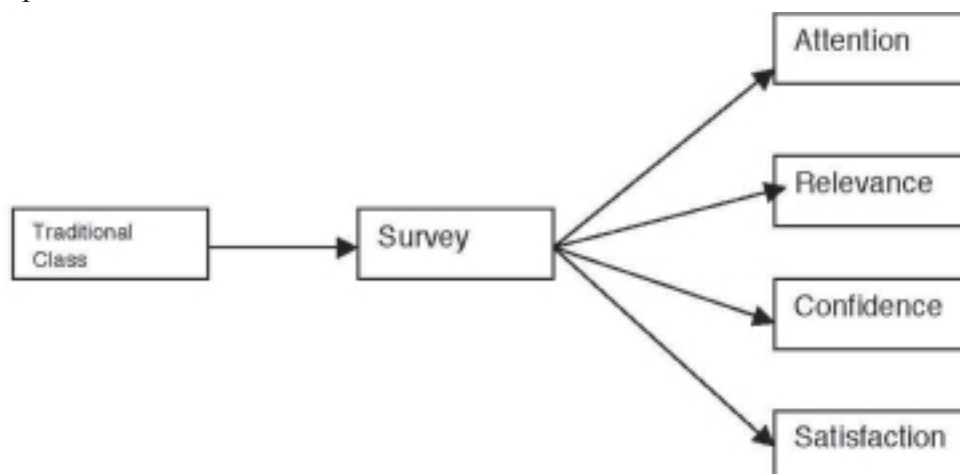
H2: Higher degree of relevance has explored by students of flipped classroom than traditional classroom

H3: Students' confidence boosted in flipped classroom rather than traditional class

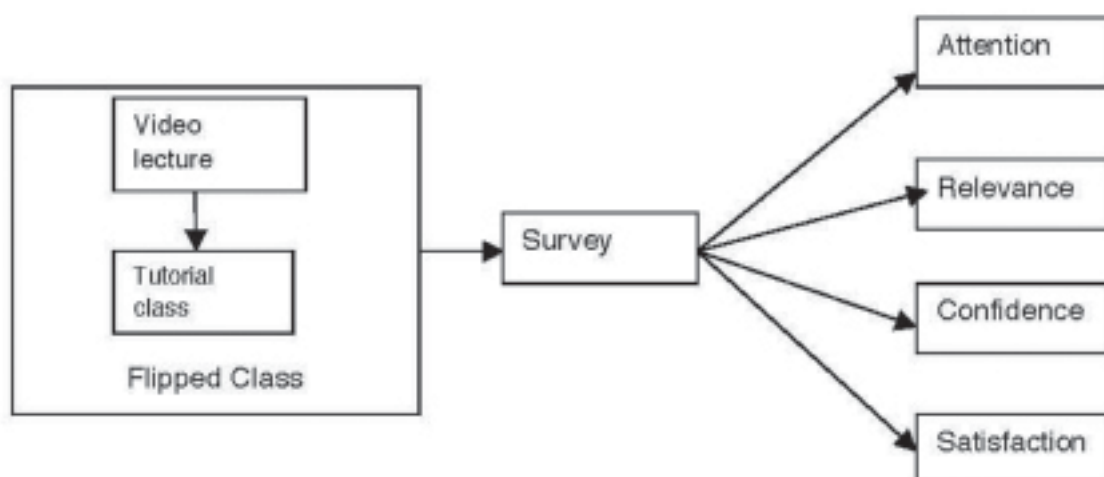
H4: Flipped classroom environment provides more satisfaction to the students than traditional class

### Research Framework

Control Group



## Experimental Group



## Participation and Sample Size

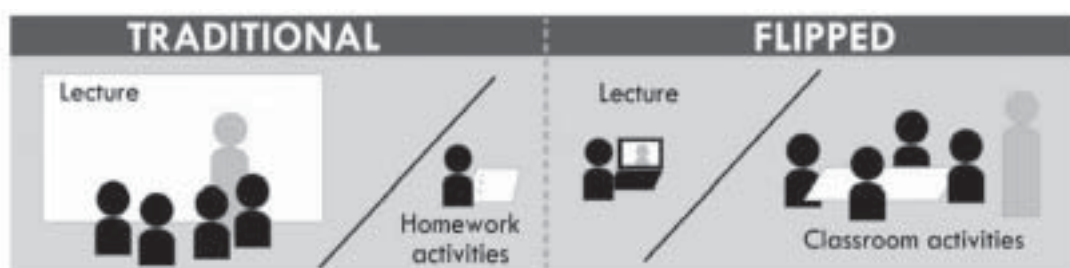
For our research purpose, we took advantage of C programming course in a well-known private university of Bangladesh. We distributed 30 students in control group (traditional class) and 30 students in experimental group (Flipped class).

The demographic information of the students are given below

		gender		Total
		Male	Female	
group	Experimental	8	22	30
	Control	18	12	30
Total		26	34	60

## Procedure

In the experiments, a video was provided on C programming array. This video was provided online and students watched that on their online learning feedback system. In the next class, teacher divided the class into groups and students were provided to do some tutorial. No lecture slides or notes were provided on that class. At the end of the class, students fill up the motivational questionnaire.



In the traditional class, lecture was simple like other traditional classes. Teacher came to the class and provided notes and lecture slides. At the end of the class, teacher provided homework to the students. Same questionnaire of ARCS applied to the students to answer.

After the experiment, results of both traditional and experimental class were collected and independent sample t test applied to test the hypotheses and the significance. Effect size was also calculated to measure the difference of motivation.

### Motivation Measurement Formula

The IMMS of Keller's ARCS questionnaire has 36 items. The Relevance and Confidence subscales both have 9 items, the Satisfaction subscale has 6, and the Attention subscale has 12. IMMS survey can be scored for each of the four subscales or the total scale score. The response scale ranges from 1 to 5. This means that the minimum score on the 36item survey is 36, and the maximum is 180 with a midpoint of 108. To answer our hypotheses, we added value of each four subscales for both control and experimental group.

Attention	Relevance	Confidence	Satisfaction
2	6	1	5
8	9	3 (reverse)	14
11	10	4	21
12 (reverse)	16	7 (reverse)	27
15 (reverse)	18	13	32
17	23	19 (reverse)	36
20	26 (reverse)	25	
22 (reverse)	30	34 (reverse)	
24	33	35	
28			
29 (reverse)			
31 (reverse)			

Result of effect size was calculated by

$$\text{Cohen's } d = M_1 - M_2 / s_{\text{pooled}}$$

$$\text{where } s_{\text{pooled}} = \sqrt{[(s_1^2 + s_2^2) / 2]}$$

M1= Mean value of result of experimental group

M2= Mean value of result of control group

S1= Standard deviation of result of experimental group

S2= Standard deviation of result of control group

## Result and Discussion

### Reliability Testing

Constructs	Crombach's Alpha
Attention	0.86
Relevance	0.73
Confidence	0.72
Satisfaction	0.85

Crombach's alpha for all the constructs are more than 0.70 which are in acceptable range.

Comparisons of different motivational features between two groups

### Hypothesis testing result

	t value	Significance	Remarks
H1	12.1	$p < 0.001$	Supported
H2	2.9	$p < 0.05$	Supported
H3	5.0	$p < 0.001$	Supported
H4	4.5	$p < 0.001$	Supported

p value less than 0.05 means, null hypothesis is rejected and strong evidence that result is statistically significant.

Calculation of Effect size for implementing flipped class

Constructs	Effect size, d
Attention	3.14
Relevance	0.75
Confidence	1.34
Satisfaction	1.18

Massive effects were observed on experimental group in case of motivation.

## Conclusion

In interactive education system, flipped classroom helps to improve students' motivation, satisfaction and skill and accomplish to reconsider how to maximize individual face to face time with the students. From our findings we observe that students of flipped classroom are more attentive, relevant, confident and satisfied rather than traditional classroom students. Reliability testing result focuses on the findings as an acceptance range. In flipped classroom teacher and students have more scope to interconnect each other and sharing their own opinion also improves their thinking power. In addition to that, digital technologies help student to do their task easily and help teachers to share course resources outside the classroom as well.



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## Minding the Gap between Associate Teachers, Student Teachers and Faculty Advisors in the Practicum

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### Abstract:

Recent research investigates the role of associate teachers and faculty advisors in dealing with student teachers in the practicum. According to the literature; there is a need for their roles to be re-identified. The expectations that associate teachers put on faculty advisors and vice versa put pressure on both of them that obviously affect student teachers in the practicum. In educational settings, there are many differences from one country to another regarding beliefs, teaching methodologies and content. This paper includes a small portion of my personal narratives from my teaching experiences and my relation with my both associate teachers in both practicums I had. Moreover, it presents the role of associate teachers and faculty advisors in Saudi Arabia. Then the paper highlights some of the worldview possibilities and challenges regarding the role of associate teachers and faculty advisors. The paper specifically highlights the role of faculty advisors and associate teachers in Saudi Arabia. It provides some recommendations for improvement that can help student teachers in the practicum. The paper concludes with a call for clarifying the role of associate teachers and faculty advisors to help the student teachers overcome obstacles they face in the practicum.

Keywords: Associate Teachers, Faculty Advisors, Practicum, Student Teachers

### Introduction:

#### Personal Experience with Associate Teachers in the Practicum:

Teaching is a very demanding job that needs intensive and professional training for student teachers to be ready to work in the field. Practicum is an essential part of the teacher education program in most universities. The aim of the practicum period is to make teachers experience the reality of teaching and to try to apply into practice what they learnt theoretically. Student teachers walk into classrooms with several questions and concerns. Apparently, they need help and support from the experienced teachers in schools who are usually called associate teachers.

Going back to my experience as a student teacher in Saudi Arabia, I remembered that in my first practicum I observed my associate teacher for three days before starting teaching. I thought that I would have strong support and guidance. Unfortunately, this wasn't the case as after those three days, she asked me to meet her and in that first meeting, she gave me the schedule and the classes I should teach, a copy from the units I should cover, and the name sheet for my students. Soon I was in the classroom teaching without any help or support.

I asked myself, what was the role of my associate teacher and my answer was that this teacher gets to relax and take rest from teaching while I do her job for one month. The reason

behind this is the fact that the teaching policy for student teachers in Saudi Arabia is to throw

them in classrooms to sink or swim. I can't say this was a negative experience because it helped me in forming my identity as a teacher; however, it was a stressful experience that caused me fatigue and took all my time in preparing, marking and writing exams questions. I remember that I didn't have a social life during my practicum and I also became isolated from my family.

Although I was teaching in the practicum without help, there were many rules that I was to follow as a student teacher. Those rules were introduced by my associate teachers and were not negotiable. One of these rules was that you have the students' names sheet but you are not allowed to evaluate them or give them marks. I was shocked because I expect that as a student teacher I would experience every single aspect in teaching, including assessment. I asked her about the reason behind this and she responded they are my students and I know them, you are here as a guest for one month only which is not enough for you to know their abilities and assess them. Moreover, my associate teacher did not give me any materials or resources; it was all about starting from the scratch and finding my way in teaching English as a foreign language, which is a very overwhelming task for a student teacher.

In my second practicum, the situation was better than the first one because it was my second experience and I had a better associate teacher. My associate teacher tried her best to break the ice from the first moment. She said you are here to learn and I am here to help you to achieve this goal. Furthermore, she supplied me with different materials that facilitated teaching. The relationship between her and I was not as formal as we shared some stories and it happened that she had graduated from the same college I was in at that time. Consequently, we started to talk about the faculty and we realized that we knew several of the same people.

Although my second associate teacher was supportive, there were still many things that I needed and couldn't find. Both associate teachers never provided me with adequate feedback as they only attended one of my classes. The most important thing for them was to cover my lessons regardless of how I was doing this and how my students were learning. There are many questions to be considered regarding the role of associate teachers: what are the pros and cons of accepting the role of associate teacher? What do student teachers need from their associate teachers? How do associate teachers affect student teachers in their practicums? And what should the relationship between associate teachers and student teachers be like?

#### Personal Experience with Faculty Advisors in the Practicum:

Moving from my personal experience with associate teachers to the faculty advisors, there are many things to highlight regarding their attitudes during my practicums. Although the university assigned a faculty advisor for each school in order for them not to feel overwhelmed, as student teachers we met them only twice at the beginning and the end of the practicum. In both practicums, the faculty advisors were general in our conversations. Their main concern was the stability of everything.

Some of the questions my faculty advisors asked was: Are there any problems? If there is any,

call me. How was your lesson? How it is going with your associate teacher? Are you attending classes with other student teachers? What grade are you teaching? Do you walk into your classes fully prepared? And so on. Moreover, the faculty advisors never set a schedule to visit us in the classrooms. Both believed that their visit times should not be announced and they

can come anytime knocking at the door and walk into the class. Their reason was that if we knew they were coming; we may act or teach in a different way in order to satisfy them. As a result, they wanted to see how we really teach without changing our ways.

My sister had a very effective experience with her faculty advisor in one of her practicums. She told me that the faculty advisor who was assigned to her was teaching the university courses second language teaching methodologies and curriculum. She said that her faculty advisor was so knowledgeable that she provided her with teaching tricks. As my sister was a language teacher, she was stressed regarding how to teach, not what to teach as we have the units from our associate teachers but not the strategies. However, the faculty advisor made her experience extremely successful and she learnt much. Her faculty advisor was revising with her the lesson objectives and activities to guide her and she attended different skills lessons to give her feedback in teaching the four different skills of language.

When my sister reflected on her personal experience, I asked myself, Does the subject the faculty advisor teaches in university affect the support that she provides the student teacher with? The reason I asked this question was the fact that both faculty advisors I had in my two practicums were teaching poetry in university yet we never teach poetry in schools in English. Personally, I think my sister's experience was successful because the faculty advisor's area of expertise was teaching methodology.

What I noticed in both my practicums was that the relationship between associate teachers and faculty advisors was very formal and that they only say hi if they meet coincidentally. Sometimes, my associate teachers asked me Did your faculty advisor visit you this week? They didn't know if they were even in the school. On the other hand, the faculty advisors asked me questions like, Does your associate teacher help you? Do you see her often in your classes? I believe that there is a gap between associate teachers and faculty advisors that should not be neglected.

My questions are: How can we re-identify the role of associate teachers, faculty advisors and student teachers? How can we mind the gap between those three important figures in the practicum? How can we make that coordination between associate teachers and faculty advisors in order to support student teachers? What facilities universities, schools and government can provide support to the three figures in order to develop the student teacher experience?

When I was reviewing literature on the practicum in pre-service teacher education in Saudi Arabia, it was obvious that research that deals with practicums and the role of associate teachers, faculty advisors and student teachers in Saudi Arabia are meager. There is a true lack of literature in this field of research. From this point, I realized how it is important to conduct a

research about this issue in Saudi Arabia and this will elevate the value of my research.

#### Literature Review of Worldview Possibilities and Challenges:

Several articles have been published that question the role of associate teachers in the practicum and how they affect the student teachers. One of the studies was conducted by Beck and Kosnik (2002a) interviewed student teachers to ask them about the components of good practicum placements. The study resulted in identifying seven components that student teachers

think are important to their practicums. All the identified components were related to the associate teachers, as student teachers believe that their role is critical and affects them either positively or negatively.

The first component of a good practicum mentioned by student teachers was the need of emotional support from their associate teachers. Several articles have been published relating the stress that teachers experience when they teach. Brown & Nagel (2004) state that «teachers report a level of stress as a result of the conflict between the reality of their role as teachers and the expectations that others place upon them in that role». As a result, these teachers need emotional support to overcome the stress they experience in their practicum.

A potentially damaging factor to a teacher is to have no one with whom to talk about their feelings and experiences. Several studies argue that stress could be related to schools, administrations, mentors and parents. The expectations that those groups have from teachers may cause stress to student teachers. According to Brown & Nagel (2004), «new studies should be designed to better estimate the relationship between stress, efficacy, satisfaction and teacher attrition.»

The other identified components in this study include: peer relationship with the associate teacher, collaboration with the associate teacher, flexibility in teaching content and method, feedback from the associate teacher, sound approach to teaching and learning on the part of the associate teacher, and heavy but not excessive workload during the practicum for student teachers.

[Several] studies examined associate teachers' roles in pre-service teacher education from a general perspective, that is, in relation to the practicum experiences as a whole. While this general perspective has been useful for understanding the relationships between associate teacher as mentor and pre-service teacher as learner or novice, the findings do not provide insights into the impact of changing knowledge expectations on associate teacher roles (Jaipal, 2009).

In identifying the role of associate teachers, the study conducted by Sanders, Dowson, & Sinclair (2005) shows the multiple roles of associate teachers based on observations and interviews. The percentage of the observed interactions shows that 40% of the associate teacher's role goes into planning. This includes discussing decisions about what to teach daily without including any justification although the understanding of AT role in the literature regarding planning means sharing unit and lesson outlines and providing student teachers with rationale for the



inclusion and exclusion of content. Moreover, 26% of the AT role involves modeling as described in the article as demonstrating effective teaching techniques, evaluation procedures and classroom management strategies and this lack sharing successful teaching ideas (Sanders, Dowson & Sinclair, 2005).

What is surprising in this article is that 13% only of the AT role includes evaluation, such as providing student teachers with feedback that highlights their weaknesses and strengths related to their teaching practices. Feedback is very important for student teachers and should have more attention from associate teachers. On the other hand, little percentage demonstrates the emotional barriers comparable to the professional roles. As the study shows, 11% of the observed interactions of AT involves being friendly by showing a relation on a personal level, and 2% goes

into counseling that involves checking the emotional well-being of the student teachers. Furthermore, 6% of the AT role goes in providing student teachers with professional peer support that makes AT deal with student teachers as colleagues. Only 1% was given to the role of conferencing that means that the AT should explain and discuss the rationale and philosophies underlying particular teaching decisions and practices (Sanders, Dowson & Sinclair, 2005).

In a study conducted by Roland (2010) that investigates associate teacher's perspectives of the triumvirate relationship in teacher education, which involves associate teachers, faculty advisors and student teachers, reflective practice was presented in terms of its significance to the triumvirate relationship. The findings of the study identify the role of faculty advisors as counsel for both student teachers and associate teachers. Moreover, associate teachers identified the faculty advisor as a liaison or intermediary in the triumvirate relation. Also, associate teachers see the faculty advisor as an assessor who tracks the progress of student teachers (Roland, 2010).

Although associate teachers see the role of faculty advisors as critical and involving their presence in schools to support student teachers, there still is limited faculty supervision. Beck and Kosnik (2002b) in one of the studies, highlight this issue and clarifies some of the reasons why there is limitation regarding faculty supervision. The most apparent reason is that it is time consuming, as faculty advisors have other commitments and duties including graduate teaching, research, publishing, thesis supervision, and much more. Moreover, faculty advisors give less priority to the pre-service work because it is not as well regarded as the other commitments they have to do. According to researchers, one of the reasons for this limitation is that the belief of many faculty advisors that they can make a greater contribution through research and theorizing (Beck & Kosnik, 2002b).

In one of the studies conducted by Beck & Kosnik to clarify and enhance the role of associate teachers, they mentioned that the majority of associate teachers highlight the issue of the extra time they need for the workload they have when there is a student teacher in their classes and the teacher-class relationship. The study presents some recommendations that will help improve the practicum through highlighting what student teachers really need.

By contrast with many of the associate teachers, we believe student teachers should have considerable time to observe and reflect and a degree of freedom to innovate and press the limits of what is possible in contemporary schools. Despite the crush of current curriculum, testing and reporting systems, students need the opportunity to develop a holistic approach to teaching, and acquire it firmly enough to sustain it through the difficult first years of teaching when the effects of teacher preparation can so easily be washed out. Furthermore, we believe student teachers should feel supported and comfortable to a fairly high degree, since they do indeed learn better that way; and besides, this is in line with the approach to teaching, personal and caring, they should be developing. Only by experiencing such an approach themselves, on campus and in the practicum, will they really understand it and learn how to do it. (Beck & Kosnik, 2000)

#### Discussion:

From the previous summary of some of the recent research that investigates the role of associate teachers and faculty advisors in the practicum, it is apparent that their roles need to be re-identified. The expectations that associate teachers put on faculty advisors and vice versa puts pressure on both of them, which obviously affects student teachers. There should be a call for clarifying the role of associate teachers and faculty advisors to help the student teachers in their difficult task.

Student teachers come full of energy and want to try what they have learnt in university; however, they became shocked when they realize the reality of teaching and how it is difficult for them to meet all the expectations from different parties like administrations, parents, mentors and students. It is also the pressure from the fact that student teachers know they will be evaluated in the practicum and the assessment will affect their future in getting a job.

Associate teachers should not easily forget their own experiences when they were student teachers and how they struggled. Also, they should not apply what their associate teachers did negatively when they were student teachers. They should feel how it is hard for student teachers, who we still call students as they are still learning, to realize how to teach. The problem with some associate teachers is that they give the student teachers the content and they are left without any clue about how to use the best pedagogical practices in delivering the content.

One of the things that student teachers think is important is using co-planning and co-teaching model to support their learning. This will be really helpful as student teachers will not feel overwhelmed and stressed, and at the same time associate teachers and student teachers learn from each other. It is usually that we think student teachers learn from their associate teachers and we don't think that in many cases that associate teachers also learn from student teachers. Student teachers come with new updated strategies that they learn from their courses at university and associate teachers sometimes have been teaching for years and they are not up-to-date with these new strategies or methods. As a result, student teachers and associate teachers teach each other what they know and blend theory and practice.

Reflection and feedback help student teachers see their strengths and weaknesses and develop their teaching practices. However, not all the reflections and feedback seems helpful from some of the student teachers' perspectives. Associate teachers should be careful in providing feedback as it should be precise, concise and to the point. Some associate teachers spend hours reflecting on student teachers' practices, which puts stress on student teachers and takes hours from their time that is needed to do other teaching duties. On the other hands, some don't bother providing adequate feedback as it is so little that student teachers don't benefit from it. However, the main purpose of feedback and reflections is to reform and develop student teachers' practices.

#### Possible Ways to Enhance Associate Teachers Role:

- Reduce the amount of work that associate teachers have in order to let them have enough time to support student teachers and co-plan, as well as co-teach
- Pay for those who volunteer to accept the position of associate teachers, so their work will be accountable
- Assign associate teachers to their matching student teachers in terms of style, so they can work together without pressure in order to deliver successful lessons
- Establish the rapport between associate teachers and faculty advisors, as well as divide the responsibilities between them in order to help student teachers

#### Entering the Landscape of Saudi Arabia:

In Saudi Arabia, the case is totally different as associate teachers are not responsible for student teachers and the mentor title is used for faculty advisors. Therefore, faculty advisors are responsible for student teachers and for each school the university assigned faculty advisors from different departments. The faculty advisors don't visit the student teacher except twice in the practicum at the beginning and at the end. So, if associate teachers have no responsibilities towards student teachers and faculty advisors don't show up except twice, How can they help these student teachers?

Associate teachers are responsible for the first three days only, as student teachers have to attend the associate teachers' classes to observe and then take the units they are supposed to teach. Also, they are responsible for taking any complaints from students into consideration and to try to solve any problem. They don't attend classes, co-plan or co-teach, or give feedback. The most important thing to them is that student teachers cover the units no matter how they teach. Associate teachers go every day to school to show their attendance, not necessarily their work.

Faculty advisors just give feedback twice, at the beginning and at the end. This may be shocking but they don't go to university during the practicum as they are supposed to go to school; however, they do not show up except twice. As a result, there is a huge demand to conduct research that helps developing the practicum experience for student teachers in Saudi Arabia.

The essence of my target has a threefold aim:

- Highlight and provide an overview of the critical issues in practicums worldwide in and specifically in Saudi Arabia. Such issues include the role of associate teachers and faculty advisors in the practicum, the importance of feedback and reflections, current trends and thinking, current published research and findings in the field, global issues in practicum, and the demand of re-identifying, clarifying and enhancing the roles of both associate teachers and faculty advisors.
- Provide student teachers with an effective practicum components that fills the current cracks between theory and practice; a program that assists student teachers in mastering the art of teaching and gaining useful teaching skills and experiences within a school setting by doing in-site teaching practices before the practicum. The suggested improvements will hopefully allow student teachers to use their knowledge to teach competently, to establish smart lesson objectives and plans, to manage their future classes and maintain professional development. By the end of the practicum, each student teacher will shadow herself/himself as an experienced professional teacher who is able to use her/his skills of teaching to participate in the global communication process, respond to the rapid external innovations in the field, and to be easily engaged in a learning and reflection processes.
- Provide opportunities for academics, associate teachers, faculty advisors and student teachers to read formal in-depth discussions in the field of practicum in many countries and institutions. The research presents an integrated educational package in the field of the practicum as a critical part in the teacher education program. The research aims at providing collections of authentic activities, materials, teaching reflections, instructional models and insights.

Conclusion:

Under the influence of reconstruction and reforming of the practicum experience, more attention is now given to the importance of grounding theory into practice. The gap must be bridged and more research must be conducted. In the framework of this article, a number of aims have been discussed and several beneficial suggestions have been initiated. This article will open up opportunities for researchers to rethink the role of associate teachers and faculty advisors in preparing competent student teachers who are able to self-construct knowledge in the field.

There is no conclusion to really conclude this article because there is not enough literature that examine the triumvirate relationship between associate teachers, faculty advisors and student teachers. Personally, I think there are many places in the world where practicum looks promising for student teachers; unfortunately, Saudi Arabia is not one of them. In Saudi Arabia, we need to reconstruct the practicum experience as the Ministry of Education needs to initiate a job description that list all the responsibilities that associate teachers and faculty advisors should have towards student teachers in order to help them in their practicums.

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## Towards Practical Guidelines and recommendations For Using Robotics Pets with Dementia Patients

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**Abstract.** This paper describes a path to practical guidelines for professional caregivers and family members who want to use pet robots in the care for persons with dementia. It reports how a literature study, which included the use of related techniques, was combined with interviews with professional caregivers and field studies. The result of this triangle approach is an outline of directives and recommendations, represented in a practical set of guidelines.

**Keywords:** robot assisted activity, social robots, multidisciplinary research, triangulation, dementia care

### 1. Introduction

The general goal of using pet robots in the care of people with dementia is to increase their feeling of health and wellbeing, and to decrease anxiety. They stimulate them to be more communicative and enable caregivers and family members to make contact with them –they calm down or indeed revitalize, are less anxious and/or confused, feel less lonely and/or depressed, are happier and laugh more, remember earlier times (reminisce)and communicate more and better with their surroundings (Bemelmans et al. 2012, Broekens et al. 2009)

But how are these effects reached? How to use the robot? For which clients are pet robots suitable or and for which ones not? What do you have to watch out for? How to work with groups of people or an individual client? When and how do you involve relatives ? These are a few of the many questions care professionals, volunteer caregivers and family members who (want to) work with pet robots have (Heerink, 2012). There is a need for information and practical guidelines when using pet robots in the care of people with dementia (Heerink et al. 2013a).

To meet this need the project 'New friends, old emotions' was initiated at the end of 2012. In this project Windesheim University and Zuyd University together with professionals from 6 participating care centers for the elderly and with the Spanish knowledge partners LaSalle Ramon Llull University and the CIEN Alzheimer Foundation of the Carlos III Institute for Health, carried out practice oriented research into the use of various robotic animals(1) in individual patients and in groups, (2) in various stages of dementia (3) in cooperation with



professional caregivers, relatives and volunteers and give as many evidence based answers as possible to the questions listed above. The findings were to be translated into a set of guidelines and recommendations for the use of pet robots in dementia, to be disseminated in a practical handbook, a series of workshops for care professionals and academic publications,

Our main research question was: How can professionals in the care of older people with dementia work effectively with robotic animals?

By «effectively» we mean that there is a positive effect on the quality of life. In addition, we engage both the perceived quality as the objective effects observed. With this in mind, we aimed to answer the following questions:

1. What care-related requirements and preconditions for working with robotic animals emerge from literature and experiences of care professionals?
2. To what extent can different types available robotic animals be applied?
3. What factors support the therapeutic use of a robotic animal in this context?
4. What practical evidence-based guidelines for working with robotic animals in the care of older people with dementia, can be derived from literature, new knowledge from field research and the experiences of professionals?

In the following sections we will describe how we developed these guidelines and recommendations based on a triangulation research setup and give an impression of the developed guidelines.

## 2. Method

An obvious approach to gather knowledge is literature search. However, as we will discuss in section 3, much research has been done to describe the effects of robot assisted therapy, but there are very little detailed descriptions of therapeutic approaches. We therefore expanded our search to related techniques. Furthermore, we collected data from field experiments (trials) and gathered experiences of professionals who had worked with robotic pets.

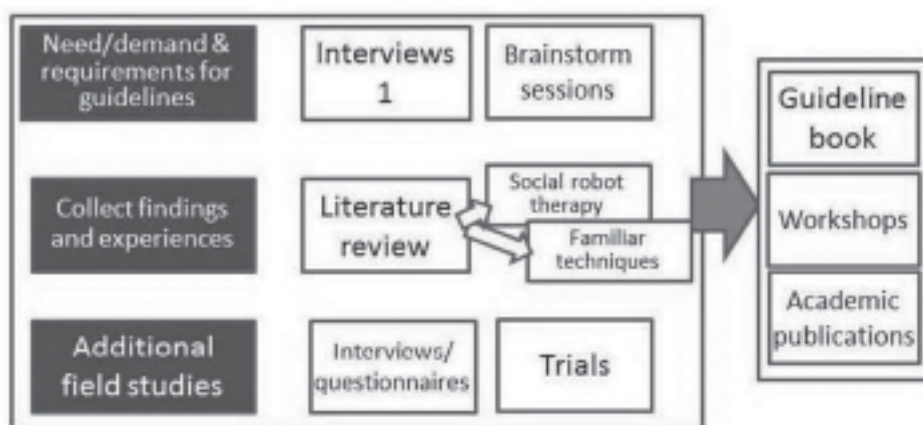


FIGURE 1. Research strategy

The developed guidelines were primarily published in a book (originally in Dutch, but currently translated into English and Spanish). Besides this, we developed practical workshops in which caregivers are able to experience and exercise working with robotic pets.

### **3. Related research literature**

For over a decade pet robots have been used in the care of older adults with a wide variety of problems. Various studies have shown that pet robots have a positive effect on the health and well-being of people suffering from dementia, by stimulating the senses, decreasing anxiety and stimulating interaction (Bemelmans et al. 2012, Broekens et al. 2009). A large number of these studies concerns the use of Paro, a seal robot, which was carried out in Japan. This especially takes into consideration the experiments which took place in a care home or a daily activity center for the elderly (Shibata, 2004–2005; Wada, 2005–2008; Wada & Shibata, 2007). There was only a limited translation into practice made during and after these studies on the effect of robot therapy and no indications on how these effects can best be realized or optimized by caregivers. As a result of this shortage, research was performed into the existing literature in the following areas: 1) the experience of users of pet robots (care professionals, persons with dementia and volunteers working with them) 2) existing manuals and guidelines for similar interventions such as sensory sessions, therapies with dolls/cuddly toys and therapies with (domestic) animals.

The first literature study (February – March 2013) derived information based on experiences of the professional caregivers, patients and volunteers when using pet robots. The search regarded international literature of therapies and activities with pet robots in the care for persons with dementia, the care for handicapped persons and mental healthcare. Databases that were used were Cinahl, Pubmed Cochrane Library, PsycINFO, Picarta and Google Scholar, on robots, robotic(s), robot assisted, in combination with socially assistive, therapy, activity, intervention, animal, pet, social, companion, therapy, activity, elderly, older adults, dementia and in the second stage with scent, aroma, sound, music, tone, practice, guidelines, recommendations, snoezelen, multi-sensory, toy and dolls.

The initial result of 661 references was filtered on double appearances and relevance as indicated in titles and abstracts, which resulted in a selection of 110. After these were analyzed for indications for guidelines and recommendations, a final list of 23 articles was created. A total of eighteen articles concerned robot therapy with Paro. Five described the use of robot cats NeCoRo and Cleo (Libin & Libin 2003, 2005), robot dog AIBO (Banks et al. 2008) and the Nabaztag (Klamer & Ben Allouch 2010), a communication robot in the shape of a rabbit.

#### **3.1. Type of robot**

Most studies concerned robot therapies with Paro, the حش seal robot. All cases focused on activities with older adults. Other articles described activities with robot cats NeCoRo and Cleo (Libin & Libin 2003, 2005), robot dog AIBO (Banks et al. 2008) and the Nabaztag (Klamer & Ben Allouch 2010), a communications robot in the shape of a rabbit.

### **3.2. Reported experiences of care professionals**

When the opinion and experiences of professional caregivers is mentioned we refer to staff working in a residence for older people and people with dementia. Their experiences were in general of a positive nature, observing positive changes in behavior during and after interaction with the robot. They especially noticed positive effects on the communication and interaction between themselves and the people they care for and also between the elderly people (Banks et al. 2008, Calo et al. 2001, Pedersen 2011, Robinson et al. 2013).

The robot offers opportunities for the caregivers and clients to talk with each other about the appearance, movements and reactions of robot, its appearance and its movements and reactions. It was also observed that the residents became more active and happier through contact with the robot. The general picture of the experiences of the care professionals shows that robot therapy improves the general wellbeing of the client and creates a better atmosphere. In the more discerning experiences of the care professionals it is noted that pet robots are not suitable for every dementia patient. Some elderly people are afraid of the robot or due to some other reason do not want to take part in the activities with the robot, e.g. because they do not like animals or because they become agitated by the sound of the robot.

Also some caregivers question whether the elderly people are stigmatized when allowed to play with a robot. They have the idea that the elderly people would be made to look like fools because they find it difficult to differentiate between a robot and a living animal when approaching it. Also mentioned is the need for guidelines and methodology for using pet robots by caregivers.

The professionals do not often know how to handle the robot exactly or how to use it to an advantage for the care of their clients.

Experiences of informal caregivers: it has been highlighted in the literature that the children of parents with dementia find they are able to communicate more easily with their parents thanks to the robot. They see that it helps their parent(s) in expressing their emotions and feelings. They see that their parents laugh more and have fewer problems with loneliness. Just like the care professionals the informal caregivers think that the robot is less suitable for people who do not like animals or cuddling. Furthermore they also experience the need for guidelines when offering the pet robot (Shibata et al, 2005; Wada et al, 2002, Weingartz, 2011).

### **3.3. Reported clients experiences**

In general the experiences of clients with pet robots are positive, finding it is nice to make contact with the robot. They become contented and feel less lonely when the robot is close, encouraging them to talk. The robot causes clients and visitors to sit closer together and to talk to each other (Calo et al 2001, Kidd et al. 2006, Klammer & Ben Alouch 2011, Libin & Libin 2003, 2005, Robinson et al. 2013, Roger et al. 2013)

The elderly in a care home or a nursing home notice that the atmosphere in the group is better

when the robot (Paro) is present. In some cases the clients rename the robot or sing songs for him. Women in particular treat the robot as if it is a (small) child/baby. Men are often more interested in the technical side of things, and want to know how the robot works. There are also clients who don't want to do anything with the robot because it is not a real animal or they are afraid of. Others, especially male clients, think it is childish or effeminate to play with such a cuddly toy or they find it boring because the robot cannot talk.

### **3.4. Reported experiences with related interventions**

Therapy or activities with pet robots share some characteristics with more familiar interventions, such as sensory therapy and therapy with real (domestic) animals, or with dolls and cuddly toys. The most important similarity is that all these interventions, just like robot therapy are aimed at stimulating the senses and decreasing anxiety (Powell 2012, Klages 2011, Verkaik et al. 2005). Because these interventions exist and have been implemented over a longer period of time, manuals and a professional methodology may have already been developed. This is the reason why the existing literature was looked into for guidelines for these interventions.

The following related interventions resulted from the literature analyses.

¥ Snoezelen, or sensory therapy is an activity designed to stimulate the senses, and that is why it is sometimes called sensory activation. Sensory therapy is designed to positively stimulate the senses. We define Sensory therapy as a method directed at the active stimulation of the senses, hearing, touch, sight and smell, in a client friendly and trusted environment. (Verkaik et al. 2005).

¥ Therapy with dolls and cuddly toys, in this case non mechanical dolls and cuddly toys are used in the care of people with dementia.

¥ Therapy with animals, also known as animal assisted therapy, has been applied in the treatment and guidance of a range of target groups for several decades. This term is applies to all types of animal therapy. The use of (domestic) animals, such as cats dogs rabbits horses and dolphins frequently occurs (Powell 2012).

When researching into the (international) literature on these related interventions many articles and studies were found regarding the effects and application of sensory therapy. No useful literature was found on the use of therapy with dolls. There was also little found on therapy with domestic animals. The results of the related interventions which are described here come mainly from the studies which were directed at sensory therapy as a therapy or activity for elderly people with dementia.

It appears from the literature that sensory therapy has similar positive effects to those which are achieved when using pet robots: it is able to produce improved wellbeing and behavior in people with dementia. This means that people with dementia during and/or after participation in a sensory therapy activity show more happiness are more active and have more interaction and communication with their surroundings. Furthermore sensory therapy can result in less apathy and agitation in people.

The possible effects of animal assisted therapy are similar to those of sensory therapy and robot therapy. This allows people with dementia who have had animal assisted therapy to possibly become less apathetic and agitated in their behavior. In addition it could calm the people with dementia down resulting in them showing an improvement in social behavior, demonstrated by more laughing and talking and more interaction with their surroundings. In short, just like robot therapy related interventions such as sensory therapy and animal assisted therapy can be effective especially in the communication and interaction between clients.

Looking for guidelines and recommendations in literature on snoezelen, we first of all found that snoezelen, sensory therapy and multisensory stimulation are one and the same which is usually offered in a defined method. The activity takes place in most cases in a separate space which is specially designed for the purpose of sensory activities. This means that the space is designed with amongst other things various colored lamps, mirrors, music and perfumed oils (Pinkney, 1997). A sensory therapy session is generally of an individual nature (one to one guidance) and takes on average half an hour.

A sensory therapy session is usually guided by a member of staff who is specially trained in the application of the sensory therapy method.

In literature on animal assisted therapy we found very little practical directives, since it has a less predefined way of applying the therapy compared to sensory therapy. Most of the time it takes the form of visiting dogs or cats which for a certain time are allowed into the living quarters or communal areas of the participants. This could take place on an individual basis or in a group session. The animals are usually accompanied by their owners or trainers. This could be a care professional from the institution, but is more often someone from outside the institution who is not specifically trained to work with the animal and the inhabitants of the institution.

Guidelines for sensory therapy were most commonly found in the literature, sometimes in the form of a manual. This overview was laid alongside the above description of the experiences with pet robots.

## **2.7. Results from additional studies**

Within the project field studies in the form of trials were undertaken with people with dementia and supplemented by interviews with care professionals in Spain and the Netherlands (Heerink 2013 a en b, Heerink 2014, Valenti-Soler 2015). In these studies we wanted to (a) establish the preference for and reactions to different types of animals by caregivers and dementia patients, (b) collect additional experiences of care professionals with robotic pet.

To enable us to answer the first two questions we observed the reactions of people with dementia in field studies, in April 2013 and June and July 2014, using seven different robotic animals: a dog, a cat, a teddy bear, a seal, a monkey, a penguin and a koala bear. The animals were all of a similar size, approximately 30 centimeters long, and all were able to move their arms and heads when touched. When doing this, they also made a soft squeaking sound adapted to the natural sound of that type of animal. The reactions to the pet robot by people with dementia were observed in two conditions: when the pet robot did not move or make a sound (switched off) and when they did move and make sounds.

The interest in the seal did not seem to be greater than that in the dog or cat. The interest in the monkey and koala was marginally less. The penguin hardly scored at all and the teddy bear was just the same as that in the seal, cat, and dog.

Our conclusion that the seal was not always the most suitable form was confirmed by the professional care givers. Many of them seemed to have experience with cheap robots from the toyshop. Sometimes this was due to a limited budget: seal Paro cost around 6,000 £, compared to the cost of a robotic animal from the toy shop at around 50 £. They noticed that for many of the

activities these cheap animals were effective enough, sometimes even more so due to the fact that they were much less heavy than Paro.

Furthermore we noticed strong personal preferences; people who hardly reacted to the seal often reacted much more positively to a cat or a dog. Others reacted even more strongly to a monkey or a koala bear. A therapist in Madrid called us when she realized she actually needed a whole box full of animals to be able to work with all the people in her group.

### **3. Examples of Derived Practical Guidelines and Recommendations**

In this section we will give a few directions for the application of the robotic animals which are on sale at the moment. It goes without saying that both manufacturers of care aids and toy manufacturers will be working on new animals.

#### **3.1. Usable robotic animals**

There are robots which have been especially developed for people with dementia such as Paro, which costs around 6,000 £ and JustoCat, which costs around 1.450 £. Both robots are quite heavy (almost 3 kilos). Paro is without a doubt the most sophisticated, with five sensor types including advanced touch recognition, recognition of light and dark and even daily routine, identifying sound direction, recognizing its name, adjusting to remembered interaction and accurate emotion expression.

JustoCat is a little more simple: he feels when he is being stroked and petted, and therefore purrs, is warm, you can feel him shudder when he purrs. One advantage is that the fur coat is removable to enable washing. Unfortunately that is not possible by Paro.



In addition to these, toy animals are often used, like the Wowwee Alive series, in which a seal can be found, and the Furreal Friends manufactured by Hasbro. Especially the cat *ش Lulu* is often used. Most of these toys will cost between 40 غ,- and 60 غ,-.

The toy animals are easy to use especially in group activities, when several robotic animals are used simultaneously. They will not have the same impact as Paro and JustoCat, due to the fact that they are so light and make more mechanical sounds. The Feeling of a toy *س* that springs to mind by the user is strengthened by the fact that there is an on/off switch under the cat *ص* fur which can be pulled or zipped open. The correct switch is not always easy to find there.

Unfortunately toy animals usually are only available for just a few years in the toy trade. However, there is a plentiful supply via Internet trading sites such as EBay.

Pet robots do not always have the desired effect on everybody. It is difficult to point out which person is or is not suitable for the introduction of a robot. Pet robots are in principle suitable for everybody, as long as it matches the needs and wishes of the individual. In practice this calls for insight into the person and situation from the professional caregiver.

Based on practical experiences it seems that pet robots have most effect on people: ¥ In the later stages of dementia (phase 3); ¥ Who have or have had (domestic) animals themselves; ¥ Who have difficulty with making contact

The robot can be used in moments of unrest, sadness, aggression: to calm down the clients, in moments of inactivity: if wished to stimulate the clients. The robots can also be used as an aid to make contact with the clients should they have become introvert. When family or visitors come round they may use the robot to stimulate the client, reduce tension, to improve the atmosphere, to provide a stable situation and/or as a means of contact.

### **3.2. Directives and recommendations for activities**

A few possible methods of working with the pet robots will now be given. After drawing attention to several points for attention we will give an example of the method of working by a group activity and an activity with an individual client in two different situations: the stimulation of a client and the prevention of unrest by a certain care procedure.

#### **Establishing suitability for the client**

Pet robots do not always have the desired effect on everybody. It is difficult to point out which person is or is not suitable for the introduction of a robot. Pet robots are in principle suitable for everybody, as long as it matches the needs and wishes of the client. In practice this calls for insight into the person and situation from the care professional.

Based on practical experiences it seems that pet robots have the most effect on people: ¥ In the later stages of dementia (phase 3); ¥ Who have or have had (domestic) animals themselves; ¥ Who have difficulty with human contact.

It is important not to leave the client alone with the robot. This is to prevent any escalation of or negative effects. The client's feelings and emotions may run high during the activity with the pet robot. It is therefore important that there is always someone close by to guide and support the client when using the pet robot.

#### Knowledge, skills and policy

It is important for the care professional to know how the robot works and how it could/ should be applied in practice. This is to ensure the safety and most effective way of using the robot during the activity. Furthermore, as mentioned earlier, the knowledge and experience with the target group, of the care professional is indispensable when working with the pet robots. When and how to use the robot depends greatly on the insight of the care professional.

It is recommended that a protocol be set up for the use of the pet robot within the care institution, so that professionals all use the same method.

#### Preparation of activities

It is recommended to offer the robot to the client in a safe and trusted environment. In most cases this will be their own room or a communal living room which is the most suitable.

It is recommended to keep the pet robot in the same place all the time. It will depend on the client(s) and/or residents of the care home which option is the best. The robot can:

¥ Remain In view of the client(s), e.g. in a cage or a basket. It is possible to choose free access (clients are allowed to pick up the robot whenever they wish) or access at specific times or when the client(s) request it.

¥ Remain out of view of the client(s), e.g. in a cupboard or in the staffroom.

¥ In moments of unrest, sadness, aggression: to calm down the clients.

¥ In moments of inactivity: if wished to stimulate the clients.

¥ As an aid to make contact with the clients should they have become introvert.

¥ When family or visitors come round : to stimulate the client, reduce tension, to improve the atmosphere, to provide a stable situation and/or as a means of contact.

In general it is recommended to let the activity last no longer than 20 minutes. Of course the duration depends on the person and the situation. It is important to be aware of overstimulation of the client due to the sometimes unexpected emotions and behavior caused by contact with the robot.

There are many ways in which the pet robots can be applied. Here once again the most suitable way depends on the person and the situation. The advice would be to experiment with this. See what works for which client and in which situation and keep a report of this. A few examples

of more specific methods of working will be given In the next paragraph .

### Points of attention

Attention should be paid to the following points before during and/or after the activity: ¥ Take care that the robot is fully charged. Clients may become confused or emotional if the robot breaks down during an activity. ¥ Remain with the client during contact with the robot in order to guide and counsel the

client should feelings and emotions arise. ¥ Remain in contact ( talk with and/or touch) the client and robot during the activity. ¥ Robot or living being? Allow the client to decide whether or not the robot is treated as a

robot, cuddly toy or a real animal. If the client asks what is it, reply for example with

زWhat do you think it is?س. This will enable the perception of the client of their

surroundings to be adhered to as closely as possible. ¥ Evaluate the activity( possibly with the client) and report about it so that this can be taken into account during the following contact moment with the pet robot. ¥ Give the robot ( possibly together with the client) a name or use the type of animal (e.g. seal, cat or dog).

### Groups and individuals

Both working in a group and individually are possible. The advantage of working with an individual client is that the care professional can more easily adjust the activity to the needs of that client or situation. While working with groups it has been noticed that some clients have

difficulty in زsharingس the robot, therefore that they do not want to give him to another person.

Experience teaches us that offering the robot in a group has a positive effect especially on the communication and interaction within the group and thus improving the atmosphere in it.

A few recommendations for group activities:

¥ Introduce the pet robot to the group by saying for example: زLook what Iصve got hereس ¥ Lay the robot in the middle of the group and then watch and wait to see what the

reactions are. ¥ Describe the robot : say what he likes, what he looks like and what he does. ¥ Talk to the robot yourself and stroke the animal. ¥ Ask the participants if they would like to stroke or hold the robot. ¥ Possibly introduce the robot again when you lay him in the lap of a client. ¥ Ask the participants what they think of the robot. ¥ Say good bye to the robot together by saying for example : زThe seal is going back in his

basket now to sleepس or زSee you again next time sealس.

¥ Allow each participant to say good bye in his/her own manner.

### Stimulation of an individual client

¥ Introduce the robot by saying for example لوك Mr/Mrs ة, This is a seal, he is coming to sit with you for a while. You can pick him up or you can leave him on the tableس

¥ Lay the pet robot down during the activity so that the client is able to touch him whenever

he/she wishes. ¥ Keep reminding the client that the pet robot is there. ¥ Describe the robot: what he does, what he looks like and what he likes. ¥ Talk to the robot yourself and stroke the animal in order to encourage the client to do the

same. ¥ Ask the client what he/she thinks of the robot. ¥ At the end of the activity, say good bye to the pet robot together by saying for example

لوك see you next time. Would you like to say something to the seal Mr/Mrs ة؟

### Prevention of agitation during the care activity

¥ Introduce the pet robot before the care activity takes place. For example by saying : Look Mr/Mrs .. , this is a seal, today he is going to ..(go to the toilet) with youس.

¥ Make sure that the client is able to touch the pet robot during the care activity, by for example sitting him on a stool next to the client.

¥ Do not just talk to the client but also talk to the robot as well. Remind the client that the robot is there. Talk about the robot and involve him in the activity in order to distract the client, if necessary.

¥ Say goodbye to the robot together at the end of the activity.

## 4. Conclusion and further research

In this paper we demonstrated how practical guidelines can be developed using an iterative, stepwise approach: literature, interviews and questionnaires, and field studies. However, we have to note that his quest for guidelines and the subsequent approach was motivated by the urgent need for guidelines as expressed by care professionals and subsequently the study was in many aspects explorative and limited in numbers and scale. Moreover, the results can only be called evidence based if we accept a broad definition of this term. This means many findings can be found acceptable for practice, but there is still a lack of clinical studies, involving different types of robotic pets, used in dementia care. Nevertheless, it is the first study to focus on the translation of research into practical guidelines for the use of pet robots in the care of persons with dementia which uses this approach.

Moreover, this project shows the value of experiences of professional caregivers that go far beyond the directives and indications that can be derived from present research literature. We

found that this concerns not only experiences and developed practices with pet robots, but also with related practices, like working with animals and applying sensory therapy.

Thus, if thoroughly explored and developed into sound hypotheses, the findings in the project *New Friends, Old Emotions* can be the bases of future theoretical and empirical research.

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