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Sufficiency Economy as a Response to

The Problem of Poverty in Thailand

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Abstract

The Thai King's philosophy of 'Sufficiency Economy' as a means to alleviate poverty has recently been recognized by the United Nations in the presentation of the UNDP Human Development Lifetime Achievement Award. His Majesty King Bhumibol Adulyadej has, since 1974, stressed the importance of economic self-reliance which is based on the Buddhist belief in the middle path to conduct ways of life to overcome poverty. Thailand learned many lessons from a financial crisis that followed the devaluation of the Thai baht in July 1997. The King's philosophy of self-reliance has gained new credence, reflected in government development policies aimed at improving the country's economic well being. Education and technology are being promoted as vital tools in line with an understanding of 'Sufficiency Economy' which implies moderation of aspirations and a balance between success and fulfilment. Education is the key to developing the full potential of the individual and is regarded by policy makers as instrumental in combating poverty. Human development as a concept and as a policy objective must encompass the economic, social and cultural dimensions of human life. This paper examines the importance of the King's philosophy of 'Sufficiency Economy' to education reform as a poverty reduction strategy in Thailand in the context of rapid economic and technological changes.

Keywords: Sufficiency economy, Thailand, Poverty reduction, Education, Technology

1. Introduction

This paper introduces the King of Thailand's philosophy of 'Sufficiency Economy' which highlights the Buddhist concept of the middle path as a way to conduct the life of the individual, family, community and the nation. Poverty reduction and economic growth are among the most challenging issues facing developing nations and many developed nations. According to a recent World Bank report, more than 80% of the world's population lives in developing countries. Poverty has affected Thailand's economic potential for many decades by limiting educational opportunities for millions of people, encouraging environmental degradation and exposing the country to the risk and political instability. Thailand is traditionally known as an agricultural society and is of the World's principal rice exporters. Thailand was once referred to by the World Bank as the fastest growing economy in the world during the decade 1987-1996 (Anderson, 1998; Hewison, 1999; Phongpaichit and Baker, 1996; Reynolds, 2001; Slagter and Kerbo, 2000; Warr, 2005). Economic growth was stimulated by high levels of foreign and domestic investment and borrowing. During this decade, Thailand's poverty rate dropped from about 33 percent of the population to about 11 percent, more than one million people being lifted out of poverty each year (Asian Development Bank, 2006). Then came Thailand's severe economic crisis in the second half of 1997 through to 1998. This saw three million people falll below the poverty line. It was a severe economic disruption as the Thai government was forced to float the currency on 2 July 1997, the baht dropped to around 40 percent of its former value against the US dollar (Phongpaichit & Baker, 2004). The crisis was compounded by the closure of 56 of Thailand's top 58 financial institutions (Friedman, 2000). Large numbers of businesses collapsed leaving thousands of people without employment (Siltragul, 2003). While unemployed Thai workers were struggling to make ends meet, foreign investors took over many businesses in Thailand in banking and finance. Thailand received financial assistance and social policy advice from three international organisations, the International Monetary Fund (IMF), the World Bank and the Asian Development Bank (ADB) (ADB Special Evaluation, December, 1999, p.1). Responding to the perceived underlying causes of the crisis, policy makers identified significant knowledge deficits. In particular, technical and English language skills were identified as key national development priorities. The National Economic and Social Development Board and successive government believed 'human development'; in particular human capital development was essential if Thailand was to recover its international competitiveness.

Development orthodoxy promoted by the World Bank and Asian Development Bank emphasises a conceptual link between education and poverty alleviation. This orthodoxy has a significant extent shaped Thailand's education policies

over the years. Although education has traditionally been seen as an instrument of social order and an avenue for employment in the bureaucracy, education is now also regarded as means to prepare Thais for work in the new global knowledge economy. Higher education institutions are being encouraged to be more responsive to challenges of economics of globalisation. The National Education Act 1999 and the Constitution of the Kingdom 1997 (known as the People Participation version) called for education reform and made significant changes to all levels of the education system of the country. Education reforms have focused on increasing the quality of education and more recently have emphasised the King's philosophy of 'Sufficiency Economy'. This idea was first articulated in a 1974 royal speech. The King stated, '*If one focuses only on rapid economic expansion without making sure that such a plan is appropriate for our people and the condition of our country, it will inevitably result in various imbalances and eventually end up as failure or crisis as found in other countries*' (cited by He Changchui at International Workshop on Sufficiency Economy on 27 July 2006). The King's philosophy stresses the middle path of conducting a way of life for the development of the entire nation. He emphasizes the role of management, especially to ease the country's pains from the 1997/1998 economic crisis and to achieve sustainable development (National Economic Social Development Board, 2006). This philosophy is integrated to the current 10th National Economic and Social Development Plan (1 October 2006 – 30 September 2011), introduced by the interim government of Prime Minister General Surayud Chulanont.

2. Higher Education and Sufficiency Economy Philosophy

Since the time of Thailand's revered King Rama V, King Chulalongkorn (1868-1910), higher education has been seen as a vehicle to acquire knowledge gained from the outside; primarily from the West. The purpose of higher education was to ensure the political survival of the Kingdom by modernising government and the economy and more recently to improve Thailand's international economic competitiveness. As in other industrialised and industrialising countries, education system of Thailand is being redirected away from nation-building objectives towards 'human capital' creation; education is seen as a form of economic investment. The idea of 'human capital' has been developed by the Organisation for Economic Cooperation and Development (OECD) and the World Bank and it is defined as 'the knowledge that individuals acquire during their life and use to produce goods, services or ideas in market or non-market situations' (Spring, 1998, p.169). To some certain extent, there has been having a widely shared concern that higher education institutions provide their students with educational experiences in order to enable them to make a positive and effective contribution to the world beyond the university. The logic behind this shift is the belief that 'the knowledge and skills possessed by workers contribute to economic growth' and the quality knowledge workers can largely be built through formal education and on-the-job training (Slaughter & Leslie, 1997, p.10). Thailand's economic boom coincided with an embracing of the concept of globalisation. Since the crisis in July 1997, Thailand has been focusing on the development of its human potential and creativity and enhancing the capability of communities, societies and the nation as a whole. The economic downturn forced the Thai government to rethink the country's past development strategy, especially in terms of 'international competitiveness' (Fry, 2002). There is a belief that each country's social, political, and economic future in the world system is directly connected to their educational success at home. The Thai higher education system has undergone a reform over the past decade in order to keep up with the challenges of globalisation and internationalisation.

The current education reform integrates the Thai King Bhumibol Adulyadej's philosophy of Sufficiency Economy…

Sufficiency Economy is a philosophy that stresses the middle path as the overriding principle for appropriate conduct by the populace at all levels. This applies to conduct at the level of the individual, families, and communities, as well as to the choice of a balanced developmental strategy for the nation so as to be able to modernize in line with the forces of globalisation while shielding against inevitable shocks and excesses that arises. Sufficiency means moderation and due consideration in all modes of conduct, as well as the need for sufficient protection from internal and external shocks. To achieve this, the application of knowledge with prudence is essential…

(National Economic and Social Development Board, 2006)

The logic of this approach lies in the realisation that growth without adequate social and economic foundations cannot be sustained. Education is the key to developing the full potential of the individual as a pre-requisite to overcoming poverty. In this regard, the human development in terms of knowledge and morality is the foundation of any society. This Sufficiency Economy philosophy can be learned through practice both inside and outside the classroom. This self-reliance concept is flexible and depends on how each person applies through their decision so, there is no measurement/evaluation instrument to assess it. It is an individual development to deal with ongoing local and global changes which each person has to deal with it. Higher education institutions as the leaders in creating and utilizing the knowledge need to educate learners to practise moral values and teamwork skills to contribute within their own community and outside the community. Balancing existing resources and local knowledge and wisdom is the core practice and it is encouraged rather than relying on outside assistances. Key stakeholders in education such as governments, universities/institutions, faculties, students, industries, communities and general public should be integrated in the education policy to achieve their missions and to maintain social responsibilities. In addition,

international stakeholders such as Thailand's neighbouring countries, international partners and international agencies should also be included as well.

Though Thailand allocates a high proportion of its annual government budget to education, Thailand still 'lags behind internationally on many major indicators of educational quality and human resource development' (Rie Atagi, 2002 cited in Fry, 2002). A powerful message from Krugman (1994 cited in Fry, 2002) influenced Thai policy makers to realize Thailand cannot depend on the country's cheap labour any more in traditional industries such as textiles compared to that of neighbouring countries such as Bangladesh, Cambodia, Vietnam and China. Apart from raising the quality of educated and skilled workers, the government needs to develop a strategy oriented towards achieving global competitiveness. Currently, education is increasingly being used as an instrument of economic development rather than social order.

The Ministry of Education is currently trying to integrate the concept of Self-sufficiency Economy to education at all levels with special attention paid to disadvantaged students in the rural areas of the country. Universities in rural areas are working closely with villagers and farmers on various projects in order to educate and assist them in areas of investment, quality production, information management, educational welfare and marketing management. These projects are supported by private sectors, research institutions, NGOs and the government. Information Technology (IT) in relation to better self-learning methods for poverty reduction is being developed in line with the education reform. Accordingly, applications of Information and Communication Technologies (ICTs) for development have been promoted throughout the country in order to enhance access to information and the Internet such as SchoolNet Thailand. The government has also carried out a project in relation to 'Sufficiency Economy' to 75 provinces to solve social and poverty problems from the grass roots level of society. The focus in on empowerment and integration of the community by promoting mutual learning in order to improve production and marketing management including social development. Villagers are being taught how to manage budgets to achieve greater self-reliance. Some examples of suggestions for self-reliance practice by the Thai King Bhumibol in his 1997 birthday speech (cited in Phongpaichit, 2005, p.161) are as follows:

I used to say that this sufficiency doesn't mean that each household has to produce its own food, Weave its own cloth. That is too much. But within a village or district, there must be a certain amount of self-sufficiency. Any thing which can be produced beyond local needs can be sold, but may be not sold too far away. To minimize transport cost…

If we can change back to self-sufficiency economy, not completely, even not as much as half, perhaps just a quarter, we can survive…

H.M. King Bhumibol Adulyadej

4 December 1997

Professor Dr.Prawase Wasi, Thailand's most prominent social critic (according to Phongpaichit (2005)) has raised extensive social critiques about the country's past developments. Professor Wasi claims it has given emphasis to 'developing wealth rather than humanity' and 'business profits rather than society' (p.175). Competition has intensely become the main theme of these developments. Poverty in rural areas of Thailand due to wide ranges of disadvantages such as accessing to education, insufficient needed resources is critical especially in the Northeast which is having the highest incidence of poverty at 19 percent. The recent studies by the Asian Development Bank suggest that 92 percent of poverty in Thailand is rural. Consequently, it is significant to focus on the country's inward looking before improving country's outward looking and the focus should be on poverty reduction rather than building economic growth. Higher education development in line with global economic consequences increasingly raised the concern to policy makers on how to appropriately balance 'international context' and 'local context' in terms of needs and practices. Information Technology such as the Internet, Information and Communication Technologies (ICTs) can facilitate and connect learners to the hub of information and knowledge which they can learn and update themselves independently. It is a cooperative learning tool. Once learners have been educated, they will be able to extend their knowledge to the family members and later to the community for production improvement.

3. Conclusion

A severe economic crisis in 1997 forced Thailand's national policy makers to redirect higher education towards 'human development'. This shift in emphasis is evident in the country's economic and social development plans. Human development as a new policy approach gives emphasis to 'human capability'. Significantly, the concept of 'Sufficiency Economy' proposed by King Bhumibol has been integrated into education at all levels as the primary instrument for poverty reduction of the country by maximizing human capacities. Education and technology should not only produce knowledge for the global market place but also create local wisdom to serve local needs in this way. Higher education institutions have a critical role to help educate learners to discover their potential and to achieve necessary skills to balance between local and international factors and activities. Development is sustainable when local communities are able to draw upon their own knowledge resources rather than rely entirely or even substantially on outside assistance.

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Reform of Rural Compulsory Education under

The Perspective of Public Finance Equalization

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Abstract

In the public services provided by the government, education plays an important part. Providing equal educational service is the basic function of public finance. In terms of equalization of public service, this article remounts to the system changes of rural compulsory education, investigates the practice of the protecting investment in rural compulsory education reform, which now is in the stage of government-supported compulsory education, and objectively evaluates the complicated effect of the reform. Furthermore, some measures on the reform of rural compulsory education are presented.

Keywords: Public service, Equalization, Rural compulsory education, Reform

Education service play an important part in government to providing public service, providing an equal education service is the basic responsibility of public finance. As being urban and rural dualistic structure and having more village population, the importance of compulsory education in countries is obvious. "The compulsory education is a biggest public utilities in country", The meaning of equalization of providing public production in village compulsory education realm is reflected: only to guarantee the public production of education's equalization, can make sure that more farmer receive fair and justice in the aspects of existing and developing. The village compulsory education has stronger public production characteristic, in building China into a moderately prosperous society in an all-round and building a harmonious socialist society, it is fundamental, overall. The spread and strengthen of village compulsory education, is the assurance of carry out the strategy of invigorating the country through science, technology and education and the strategy of reinvigorating China through human resource development; is the action of carrying policy "the industry returns nurturing to parents the agriculture, the city supports the rural", push forward education equity and society equity, make sure the large people share the results of the development. It is also the public service which enhances a government's service to the village, extend the inevitable request of scope that the public finance overlays village. With the development of our country in economy, especially the central public finance income, public service is turned up on the agenda. As the important part of public service, village compulsory education will receive more attention and focus in public service. Since the end of 2005, the reform measure brings the village compulsory education into the public finance system and the central finance provide budget to village compulsory education, the compulsory education in our country was turn to the history that "the government do" from "the people do".

1. Practice advancement of the rural compulsory education reform

To promote the Public services even equalization, reduces the regional disparity of the compulsory education, the funds safeguard mechanism reform of rural compulsory education the spring term 2006, to divide the year, to divide the area to implement gradually. In order to balanced regional disparity, the central support focus on the central and western regions, some of the difficulties with an appropriate balance of the eastern region. Previous two years in carrying out, latter three years again in consolidated.

1.1 The gradual promotion of the step of the reform

pubic services' even equalization request collective services in the opportunity, the process and the result aspect should be roughly equal. But the rural compulsory education's regional disparity is most prominent between the east and west. Therefore the spring term starts from 2006, the new mechanism first in the western 12 provinces, the Xinjiang Construction Corps and middle enjoys the western treatment Tujia-Miao Autonomous Prefecture of Xiangxi of Hunan, Tujia-Miao Autonomous Prefecture of Enshi of Hubei, the Jilin Yanbian Korean National Minority autonomous prefecture to start to implement, in Hainan's 8 counties, Hunan 3 counties and Anhui 2 counties carries on the experiment site. The fall term starts in 2006, further expands the experiment site scope, in the middle Hebei Zunhua, the Jilin Dongfeng County, the Heilongjiang Yi'an County, the Shanxi Huairen County, the Henan Fugou County, the Hubei Shayang County and Jiangxi Ji'an County altogether 7 counties carries on the experiment site. And already 8 provinces

have exempted from the rural compulsory education students' tuition and incidental expenses of stage since spring or autumn of 2006 separately in the eastern area. At the beginning of the year in 2007, the rural compulsory education funds safeguard mechanism reform work make the deployment of 2007 in eastern area 15 provinces. And includes: Hainan Province, Fujian Province, Hebei Province, Hunan Province, Shandong Province, Anhui Province, Heilongjiang Province, Liaoning Province, Guangdong Province, Zhejiang Province, Jiangxi Province, Henan Province, Shanxi Province, Jilin Province, and Hubei Province.

1.2 The reform mentality is defined

First, the majority of places has formed the reform work leading group, drew up and has consummated the reform implementation plan generally, from the organization, the management strengthened safeguard to the reform work.

Second, defined the funds share the proportion. According to "funds provincial level overall plan" the request, Unified locally had actually determined in the province all levels of financial funds shared the proportion, and has implemented "the province took the big part" the principle well. Has carried out the reform funds which the place undertakes. According to digital statistics which the previous period reported, below the eastern area province determine the arrangement the safeguard mechanism reform funds 229,700,000,000 Yuan, including middle area 79,600,000,000 Yuan, eastern area 150,100,000,000 Yuan. The overall, the eastern area provincial level finance undertakes the proportion has surpassed half close, the middle area nearly 70%.

Third, unified the actual research to determine the policy implementation scope. Each region according to State Council's request, studied as circumstances permit had determined the policy implementation scope, quite part of provinces also suitably expanded the scope where have exempted the miscellaneous school fees. Provinces Jiangxi, Anhui, Hainan, Zhejiang and so on exempted the miscellaneous school fees completely to the city and rural compulsory education stage student, Jiangsu, Guangdong, Zhejiang also accept into the Voluntary school student the policy scope. Hunan Province fills in a form is "the city" the rural student the statistical caliber reason, as well as undertook the compulsory education school duty, the execution to handle fairly the education charging criterion in the Voluntary school rural students to accept into the scope.

Fourth, starts the school building service transformation persistent effect mechanism comprehensively. Statistics indicated that below the eastern area province all levels of finances altogether arrange the school building service transformation funds 49,400,000,000 Yuan, including provincial level 22,500,000,000 Yuan. Various provinces had determined according to the province sentiment the school building service transformation's specific pattern, and adjusts the rural Boarding school construction as well as the rural weak school building transformation with the elementary and middle schools layout unifies. Specially province Heilongjiang, Fujian, Guangdong and so on, centralism financial resource plan with one to two year eliminate the extant D level dangerous house completely.

Fifth, eastern area had the condition will implement the reform ahead of time in 2006.The reform's enthusiasm in eastern area is very high. in 2006, 8 provinces have exempted the rural compulsory education stage student's miscellaneous school fees in the entire province scope, altogether arranges the funds 107,700,000,000 Yuan, the profiting elementary and middle school students achieve 32,800,000 people. And, Guangdong, Fujian, Tianjin, Shanghai start from the spring term to carry out exempt the miscellaneous school fees policy.

Sixth, drawn up the necessary document and the policing method, a lot of areas have made the incidentals, public funds, school building of exempting and maintained the relevant management which transforms the funds. Hubei Province after-cropped specially has implemented the school wealth bureau tube's notice about the entire province rural elementary and middle schools funds, has been clear about the school wealth bureau tube's configuration of organization. Each region also in the elementary and middle schools budget drafting, the cleaning up standard rural elementary and middle schools charge, increased aspects and so on propaganda dynamics, strengthening control inspection, development training to do the much works, shoved open comprehensively for the reform builds the foundation.

1.3 Reforming funds provide and implement

The public service means to take public finance as foundation, needing a government to provide public finance support. So the new mechanism of village compulsory education can carry out smoothly was decided by education reform funds provide and implement. On January 7,2006, the public finance subordinate said in 2006 spring, the west region and central part to be made experiments for semester absolution village compulsory education stage in the region the student learn miscellaneous fee and exaltation Mr. to use the level funds of the budget guarantee budget to control count 36900,000,000 dollars. In 2007, the central public finance planned single row City and Xinjiang to produce construction large unit to prepare to stir toward 27 provinces (autonomous region, direct jurisdiction city), 3 cities in the whole country, the spring semester absolution learn miscellaneous fee and level funds 9,200,000,000 dollars in 2007, among them we know that a miscellaneous fee subsidy a funds that not needed is 7,500,000,000 dollars, use the level funds of the budget guarantee 1,700,000,000 dollars. In the meantime for insure in 2007 spring to school begins, medium the

village compulsory education stage of region in the west the poor family student can be free to get hold of national provision the textbook of the course, The central public finance prepared to stir 2007 spring free textbook in 2 beginning of the months item particularly funds 142,500,000,000 dollars, will be 22 provinces(autonomous region, direct jurisdiction city) and Xinjiang to produce construction large unit 34,000,000 stage poor family primary school of the village compulsory educations living free provide a textbook. In addition, national minority compulsory education with more than 100,000 population stage student will all bring into a free textbook to issue scope.

2. The reform preliminary result and the operation contradictory

2.1 The preliminary result

Since the implementation of the new mechanism in the western and the middle area, the start has been smooth, the opening has been fine , has got notable achievement Guarantee mechanism reforms western region in 2006 rural area compulsory education funds already obtained the preliminary result.

First, the fund gradually arrives, the farmers' burden is eased off further. Up to June, 2006, altogether carries out the western area rural compulsory education funds safeguard mechanism reform fund 46 .500 million Yuan, central fund 36.900 million Yuan, the place fund 9 .600 million Yuan, cover the rural compulsory education stage student 48.8 million people. The mechanism the school building is kept in repair reforming the long effect starts all round, the central finance has issued this year school building service transformation fund budget to the mid-west area to control several 28 .3.6 billion Yuan. Exempt school from this one incidental expenses , western region Spring term is ascertained dispense with the incidental expenses fund is close 4 billion yuan, favor and more than 48,800,000 rural area compulsory education stages students, every pupil alleviates burdens 140 yuan , the junior high school student alleviates burdens 180 yuan averagely; Now that but enjoying the textbook free of charge, enjoy the poor boarder that cost of living subsidizes, the pupil alleviates burdens 510 yuan averagely , the junior high school student alleviates burdens 620 yuan. (Note 1)

Next, public rural area middle and primary school funds guarantee population level have had rise, the phenomenon educating an arbitrary exaction of fees from enterprises has been got keep within limits. Funds gets rural compulsory education in 2006 in time appropriate, reform area school functioning normally. Rural area middle and primary school travel funds that the whole nation public county rural area middle and primary school funds having almost 1/3 seldom, is "zero allocation of funds" depending on collecting incidental expenses, budgetary allocations mainly before putting new mechanism into practice. All rural school has all got the public funds that the government appropriates in the western part after putting new mechanism into practice, has ensured the school regularity moving round, a little area that are impoverished rural school funds increases by several times. The strict norm charges everywhere since reformation, behavior, the arbitrary exaction of fees from enterprises falls off

obviously. Most school has wasted the outside except receive the textbook fee and boarder accommodation as an agent, aspect has all been "charge for zero " other, charge for education has

appeared many local "zero complaint ". 24 work at a selected spot county's the personnel charges by knowing school standard and checking 480 students , 490 family are in progress to work at a selected spot to interview and investigate by sampling to find that, put new machine-made working at a selected spot into practice not collecting besides school composes in reply originally a boarder accommodation fee except that "system-consuming" standard receive the textbook , school assignment as an agent according to one" to the student, other any cost.

Once more, impelled the government department function transformation, promoted the school administration standardization, and enhanced the government and the school administration level. The new mechanism strengthened the government from the system stratification plane to the compulsory education responsibility, brings into line with school all revenue and expenditures the government budget management, impelled the government department function transformation, promoted the school scientific management, the democracy to manage finances. The rural elementary and middle schools generally reflected that, at same time in 2006 the finance budgetary revenue has the increase compared to 2005, the majority of schools can maintain the normal work, the school each month financial subsidy income are basic and the disbursement quite.

Finally, the rural compulsory education funds safeguard mechanism reform safeguarded the rural child from the system to accept the compulsory education the opportunity, the problem that the rural area compulsory education stage goes to school difficultly, to go to school the expensive question basically is solved. According to the preliminary statistics, the western area approximately has the child which 200,000 discontinues studies to return to the campus. The elementary school graduate proportion of students entering schools of a higher grade by 2005 98 .4% rise to 2006 100%, this is still born in the year of in our country in history first. Nearly 200,000 rural discontinue studies the student to return to the school, for many years continuously has puzzled the rural compulsory education discontinuing studies rate high question to obtain alleviates, because the problem that out of school for poor basically is solved.

2.2 Operates contradictory

certainly, the rural compulsory education funds safeguard mechanism reform unfolds from 2007 from the partial experiment site to the national mid-west area, inevitably will have all sorts of oversights, this including the policy propaganda, the budget establishment, the funds will appropriate and so on .

First, propaganda that to safeguards the new mechanism to the rural compulsory education funds is insufficient. In the reform area, so far some rural elementary and middle schools did not know the standard of the country compensates, the constitution of the funds, and the expense understanding which the school may gather after the new mechanism implementation is unclear. Even appears the phenomenon that the education randomly to collect fees. Affect the practice effect that rural area compulsory education funds guarantee mechanism reforms gravely.

Next, budget works out a problem. Show mainly in the respect of three: 1) The part school budget student number does not agree with actual school student number when does budget, sometimes does not is that the budget student number is over higher than actual student number; 2) partial school is not ready for because of budget , existence is burning diverting some parts of the insufficient condition coming to make up another part of funds, stigmatism is short of an unification to entire school funds planning and preparing; 3) budgets in the establishment, the partial goals funds gap is serious. After putting new mechanism into practice, this cost is over insufficient although allocating 5% be used for teacher training of funds under regulation, there exists certain difficulty in teacher training and rise.

Three is the problem of the funds allocating. Because the process of allocating funds is more than the correct or required number when causing every middle and primary school to get funds already late such affects the regular teaching of rural area middle and primary school job gravely till 2 moon time. Four is the problem of teachers treatment improvement. Consolidated teaching and administrative staff's wages safeguard mechanism is the rural compulsory education funds safeguard mechanism reform important constituent. Teaching and administrative staff's wages cannot obtain the safeguard; the rural compulsory education funds cannot calculate completely carries out arrives. After the implementing of the new mechanism, the school only can charge the correlation fee according to the stipulation, the school does not have the fund to carry out the subsidy and the reward to the teacher, also does not have the fund to use for to balance because the work load difference and the teacher in charge and so on the special post carries on the subsidy, has dampened teacher's enthusiasm in the certain degree.

Finally, the problem of rural compulsory education debt repaying. The problem mainly is in "two bases" the time, rural area middle and primary school builds for school basis, by the fact that forms such as collecting money for, getting a loan is in debt. Moreover, at the time of transforming the dangerous house, the country and the province truthfully appropriate the fund, according to the facts, require that local rural area needs to give supporting fund, since local finance is difficult but at the same time, will have produced debt. These debt is put into effect in rural area compulsory education funds guarantee mechanism afterwards, because of dispense with the incidental expenses fund can not be used to repay a debt ,repays a debt therefore school will have no an ability, such definitely affects regular school travel. Therefore the current solution of rural elementary and middle schools' debt question becomes the major event.

3. The countermeasure and suggestion that push forward rural area compulsory education reforms

In the process of public service equaling ionization, what appeared and been confronted with problem is hit by rural area compulsory education funds guarantee mechanism in being put into effect , some are the history leaving over if the problem, being in debt; Again has some is, like the fund which creates as a result of the system flaw is detained and so on;; Still having a few is to reform the new problem appearing middle , must reinforce supervision inspection , waits for a problem if the fund diverts. Should be important being resolving these problems starting with several the following aspect.

First, strengthen ensuring new machine-made propagating to "Compulsory Education Law " and compulsory education funds by going a step further, messenger school knows rural area compulsory education funds guarantee mechanism budget preparation in being put into effect , funds formation waits for every aspect content. Enable the teacher regarding the teacher treatment, the student right to have a more profound understanding and the assurance, safeguards the new mechanism the smooth implementation. At the same time, for reduces the time delay which the funds appropriates the adverse effect which brings for the rural elementary and middle schools revolution, suggested strengthens the system construction, establishes each kind of compulsory education funds use the detailed rules and regulations as well as the auditing system. Further strengthens "the school wealth bureau tube", suggested the establishment county level education funds accounts settlement center, the disbursement uniting whole county educational appropriations accounting , cutting down a personnel, reinforces supervision and control of educational appropriations and is put into use.

The secondary, accurately surveys the school cost, make adequate arrangements for rural area middle and primary school funds budget. Needs to build rational science rural area compulsory education throwing into guarantee mechanism, the full amount must be arranged for educating funds budget, have accurately to establish the education

funds budget to have the science determination compulsory education stage to live raises the cost, had determined raises originally can counts based on the student calculates a county (city, area) the compulsory education funds demand, and is brought into public property on this account. Determine the basis growing the equal public funds standard and student incidental expenses standard training cost equally being also accurate at the same time working out the rational life of science , train cost equally only when having ascertained a life, "the educational appropriations ability is resolved needs a number , county level finance can give a number , province level finance can add supplemental a number (transfer payment) , is the problem collecting a number to the student's turn.

Once again, rural area middle and primary school debt problem already becomes the big

obstacles in restricting compulsory education being put into effect , is a big hidden trouble of the order affecting rural education and teaching. In the respect of resolving the rural area compulsory education liabilities problem, he country must act according to various provinces the situation to carry on the thorough check to the rural elementary and middle schools debt situation, finds out the rural compulsory education debt situation. Besides the various rural area compulsory education funds locking aggregate liability , allocating according to certain proportion from province city in responding to every year, make arrangements for repaying a debt separately special fund, pay off history debt due step by step. Reforming a fund at the same time in making a building in a state of disrepair known to lower levels, responds to the bearing capability according to the place , supporting fund lightening a place, completely eradicates rural area compulsory education debt thereby increasing by again.

Later, consummate the education law laws and regulations, establish the education investment surveillance mechanism.. firstly, must formulate "Education Investment Law" as soon as possible and its the implementation regulation, stipulates all levels of governments with the legal method to the education work responsibility and the funds investment responsibility; Second, higher authority National People's Congress, same level National People's Congress must legally carry on the powerful inspection surveillance to the subordinate government and the same level government's education responsibility and the education investment, found the problem needs to charge the correction; Third, the provincial government educates the direction department to have to formulate the rural compulsory education funds safeguard and the use benefit appraisal target system, takes below the examination province all levels of governments investment and the school finance work concrete laws and regulations basis.

Final, reinforce financial control, bring return on investment into play. The area educates the department responsible for the work to have truthfully to establish the compulsory education annual budget, with various rural area compulsory education stage school income and expenses all be brought into budget administration, ensure that the full amount uses rural area compulsory education funds for middle and primary school , does not have to temporarily stop diverts. The rural elementary and middle schools must consummate the rules and regulations, the standard budget management, the implementation finance are public, strengthen the democracy surveillance, enhances the investment benefit. The auditing department must establish the special auditing system, prevented "eating the education" and "the education eating the education" the phenomenon. To wastes, occupies the fund the behavior to have strictly to process, appeases in no way.

In brief, there are 70 percent of population in the rural in Chinese, the compulsory education of rural are main body of our country elementary education, also is key point and the difficulty of our country education. Rural area compulsory education equaling is spent, in the process building new rural area and harmonious society forging ahead toward modern society , all-round in current our country from binary society, position , effect and effect having the basis , guide and overall situation. Should further, reform and perfect rural area compulsory education system currently , ascertain rural area that the compulsory education giving priority to develops strategic position conscientiously, fairness , high-effect and sustainable development promoting rural area compulsory education. Let the compulsory education sunlight take the lead in illuminating all places to every motherland's corner!

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Notes

Note 1. The rural compulsory educational reform of west becomes effective 200,000 students return to the school.http://edu.people.com.cn/GB/5421682.html.2007,3,26.

An Empirical Analysis on the Influential Elements of the Development of Individual Donation

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Abstract

Individual charity is an important way for providing public products and is a significant complement for social guarantee system, which is proved by the snow disaster of China at the beginning of 2008. However, the development of individual charity in China is not promising. At present, there is little exploration on the influential elements of the development of individual donation in China. This paper, from theoretical aspect, analyzes the elements that influence the development of individual donation of China at present stage from the perspectives of supply and need. Further, this paper, based on the investigation data collected in the city of Chengdu, conducts an empirical analysis on the influential elements and comes to meaningful conclusion.

Keywords: Individual donation, Influential elements, Section data, Empirical analysis

1. Introduction

As a way for individuals to provide public products, charity has been included into the research field of public economics. Donators and charity organizations are usually the research objects of public economics. For one hand, donation is the main source of charity funds and is the base of the development of charity. Foreign economics filed has conducted empirical researches in donation and has established many theories. However, in China, researches on donation are just at their initial stage. For another hand, with the improvement of Chinese economic level, corporation donation gradually draws people's attention. Nevertheless, there is little empirical analysis on individual donation with the background and investigation materials of China as the base. Let us take the US as an example. According to statistics, in the US, above 75% of the charity funds come from individual donation. Plus inheritance donation, individual donation accounts for more than 80% in social donation. Seeing from the present situation of China, individual donation accounts for less than 20%. However, with the increase of average individual income and the enlargement of middle class, individual donation may develop towards the main source of charity funds. Therefore, it is necessary to conduct researches on the elements that influence the development of individual donation.

The arrangement of this paper is that part two is the literature review on individual donation and the definitions of issues that this paper focuses on; part three is the theoretical analysis on influential elements of individual donation; part four takes 292 individuals who have made donation as sample and on the basis of questionnaire analysis, examines the concrete influences of income level, tax preference, donation cost, donation return, government expenditure, charity awareness and media propaganda on individual donation expenditure; and part five is about policy connotations.

2. Literature review and the definitions of issues

As a behavior choice, to gain return is one of the basic aims of donators. The return includes inner return, fame return, and pure social return. Some scholars believe that the motive for donation mainly comes from the satisfactory feeling brought by the donated money amount, that is, inner return and fame return (Harbaug, 1998). Some do researches on the influence of "thumb a ride" on the donators' gaining of pure social return, that is, the donation of others "squeezes out" the donation willing of the behaviors (Cornes & Sardlert, 1984).

With regard to donation cost, we can discuss from the following aspects:

(1) The transparency degree of the charity operation. Bill Harbaugh (1995) thinks that to open the donation to the outside will be active for enhancing the will of individual donation and can enable to decrease the cost of supervision. Robert D. Cooter and Boalt Hall (2003) put forward to make public of donation and suggested to register donation.

(2) The sincerity of the helped in the process of donation. Alberto Alesina and Eliana La Ferrara (2002) found out that the lack of sincerity will bring about the decrease of donation level and the increase of cost.

(3) The diversification of donated objects. The donated objects include time, money, and non-capital objects. Tore Ellingsen and Magnus Johannesson (2007), Lorenzo Cappellari, Paolo Ghinetti and Gilberto Turati (2006) came up with that the effective collocation of donated objects can raise efficiency.

Income level has strong restraint feature (Meier, 2006) and restricts the donation capacity at fundamental level. Schwartz (1968) applied the sum of time series data and examined the income elasticity of donation. He opines that the income elasticity of donation is rather high and is in between 0.53 and 1.34. Nelson and Levy (1970), Shatto (1978), and Clotfelter (1985) came to similar conclusion in their researches. At present, the researches on the influences of tax on corporation donation are plentiful. Navarro (1988) applied section materials and found that with the increase of tax rate, the amount donated by corporations will decrease. The section research of Carroll and Joulfaian (2005) indicates that the price elasticity of donation is negative and remarkable. Boatsman and Gupta (1996) adopted panel date to conduct research and proved that the increase of tax rate will result in the decrease of donation.

Many foreign literatures show that the influence of government on individual donation is intangible. The conclusion of Warr (1982, 1983), "neutral outcome", says that if only the inner Nash equilibrium exists, the influence of government support on individual donation will be neutral. Before Warr, Becker (1974) also came to such conclusion. Subsequently, Barro (1974) proved Becker's conclusion. Kemp (1984) further developed the conclusion of Warr. Blume and Varian (1986), Cornes and Schweinberger (1996), Cornes and Itaya (2003), and Boardwar, Pestieau and Wildsasin (1989) put forward that even if the individual income tax and the subsidy of government to individual donation are distorted, such neutral outcome will still exist. Therefore, it is not sure that whether the influence of government expenditure on individual donation is "squeezing in" or "squeezing out".

Foreign literatures' discussion on charity awareness mainly focuses on religious field (Harbaug, 1998; Gruber and Hungerman, 2006) and is about the correlation between charity awareness and religious beliefs. Philip H. Brown and Jessica H. Minty (2006) prove that, based on the empirical data collected from the donation for the tsunami of 2004, to increase the propaganda frequency of media will powerfully advance internet donation.

3. Analysis on the influential elements

3.1 Influential elements of the supply of individual donation

Income level is an important element in influencing individual donation. According to the need-hierarchy theory of Maslow, the need-hierarchy of human beings improves with the increase of incomes. It is commonly agreed that the need of individual donation is spiritual need of high-hierarchy. According to such reference, for one hand, individual donation can be considered as spiritual consumption of individuals. The same as other consumption behaviors, donation is the increasing function of income and is restricted by incomes; for another hand, the spiritual consumption which is of high-hierarchy, is a luxury, is of rather high income need elasticity, and is under significant influence of income level.

Donation cost refers to the entire cost incurred by a donator in donation, such as search cost and supervision cost. To put it simple, the donation cost is the transaction cost of donation. This paper considers donation as a consumption of spiritual products of an individual or family. Although donation is different from other common spiritual products, it is still a consumption behavior. We can probe into the relationship between donation cost and donation behavior.

Tax influences donation by two means. One is to decrease donation cost through making out of targeted tax incentives, that is, replacement effect. For example, deduction before tax can decrease the tax cost of the donators; the set-up of property transfer tax and the set-up of inheritance tax can transfer cost though increasing capitals and thus decrease the donation cost comparatively. The two ways will stimulate individuals to increase donation. The other is income effect, which indirectly limits individual donation by way of controlling the disposable capital after tax through the fixing of tax rate. For example, the entire tax rate can be decreased; as a result, the disposable capital after tax is increased and the donation can be increased too. The first system has been commonly recognized and has become a policy system on donation of many states.

Donation return is also an important element in influencing individual donation. Donation return includes inner return, fame return and pure social return and is represented by way of donation behaviors. Due to the difference of individual preference, different return type weights differently in the decision-making systems of donators. Hence, their influence on donation behaviors and donation amount varies. The special groups with high incomes, such as millionaires and stars, mainly care about their fame returns; hence, the fame element weights greatly in their decision-making system on donation. The Hurun charity hit parade is an example. However, the starting point of some religious men or men with

"the sense of sin" may be that they pursue inner balance rather than social fame. Similarly, people who care about public interest and are of "citizen awareness" may care more about pure social returns.

Charity awareness plays positive influence on donation. Donation is an economic behavior and is more a social behavior. Donators are encouraged by economic benefits and are influenced by cultural awareness. The non-compulsory nature and voluntariness of charity requires that the development of charity must be in a social environment full of love and care. It requires donators to have willing-to-help morality, humanism-care value view and behavior modes, and strong charity awareness. Religious motives, social and culture motives and morality motives will all exert influence on the formation and cultivation of charity awareness.

3.2 Influential elements of the need of individual donation

Elements discussed above start from the perspective of individual donation scale influenced by suppliers. Besides, there are some elements that influence donation from the angle of donation need. The final scale of donation is determined by individual's willingness to "supply" donation and the need of society on donation. Generally speaking, the need of society on donation far exceeds the supply. Hence, the determinant elements usually come from the suppliers. However, for certain donators, the donation need will sometimes play important role.

Most of the donation ultimately goes to the field of environment, education and other public careers. Part of the reason is that those fields lay strong need for donation funds. For example, the proportion of population receiving education accounts for a relatively large part of the entire population. Therefore, education institutions need more capital resources. Under the circumstance when other elements are fixed, the pretty high proportion of population receiving education and population supported by the lowest guarantee will result in rather high donation needs.

The occurrence of some special events would rapidly raise the need on donation in short period, such as flood, tsunami and other natural disasters that can result in substantive losses. In 1998, many areas of China were flooded severely. The donation amount in 1998 far exceeds other neighboring years. In 2006, Chongqing was hit by severe draught. The capital donation received by Chongqing in 2006 is nearly twice that received by Chongqing in 1998 for the flooding disaster. Liming Pan (2005) analyzed the relationship between social donation amount of China and the direct economy loss incurred from natural disasters covering from 1996 to 2002 and found that the social donation of China is of evident need-pushing effect.

3.3 Government expenditure and media propaganda: both influence the need and supply of donation

The influence of government expenditure on individual donation is complicated. First of all, from the perspective of donation need, the increase of government expenditure on charity affairs will replace individual donation and squeeze out individual donation. Besides, some researches have proved that government, donators and charity organizations are of the same strategy mutual-active environment. Charity organizations have changed from inactive waiting to actively gathering funds.The donated amount is directly influenced by the endeavor of charity organizations. When government increases its capital support to certain charity career, the charity organization will cut down their endeavor. Hence, the government expenditure squeezes out "the endeavor for donation" rather than donation and results in the decrease of individual donation. However, if the government expenditure on charity organization requires individual donation to go with, the individual donation may be "squeezed in" and form the"complement" nature. Secondly, government expenditure will influence donation by way of supply, which may either "squeeze in" or "squeeze out" individual donation. For one hand, the support of government on charity organizations will cause the charity organizations to lose fork independence. The potential donators will doubt the pureness of the fork organizations and their willingness to donate are hence lowered. For another hand, government expenditure can be viewed as the signal of the "quality" of the charity organizations and hence, decrease the search and supervision cost of potential donators. At the same time, government expenditure can generate example effect for individual donation and is beneficial to raising the confidence of donators.

Media propaganda is mostly considered as an element that influences supply, that is, the charitable propaganda of Medias can be viewed as a method to improve supply level. However, from the perspective of the condition of China, it is known that the religious tradition is not remarkable and the development of charity organizations and funds lag behind; therefore, media propaganda can be seen as the element that influences both supply and need. For one aspect, to propaganda traditional morality and social climate can help to popularize charity awareness and get forward charitable donation. For another, to publish the information of the helped and areas received giving and to form overwhelming media calling will bring about direct need of individual donation.

4. Date description and empirical analysis

4.1 Date sources

The nine districts of Chengdu are the areas investigated of this paper. 980 questionnaires were given out and 947 were collected, of which 826 are valid. 352 individuals (or their family members) have made donation, accounting for 42.6%.

60 donators earn less than RMB1600 per month. Because the important element, tax preference, cannot be analyzed (in China, one who earns less than RMB1600 does not pay any tax), the 60 donators will not be included into the analysis. The investigation is retrospective and the data collected are about individual annual donation of 2006, of which the data on government budget and population proportion are from the year book 2007 of Chengdu. The data are section data.

4.2 Definitions of variables

(1) Donation expenditure: regressive dependant variable. The information of donators, including the donation of objects and labor, are collected through questionnaires. Capital is the final statistical method (labor is converted into capital by capital/labor). RMB is the unit.

(2) Income level: the income of individual is the budget restraint of individual donation. This paper adopts the result of questionnaire investigation and takes the pre-tax income of the investigated as the index and RMB as the unit.

(3) Donation cost: according to the types of costs, the donation cost can by divided into the cost for searching for donation information, the cost for analyzing the future of charity programs, the cost for selecting proper donation forms, the cost for donation behavior, and the cost for supervision. This paper describes donation cost by setting up virtual variables.

(4) Tax preference: for individuals, donation fields vary with each other in the algorithm of tax preference. For the convenience of statistics, this paper uniformly adopts 30% as the tax rate for the tax amount that enjoys donation preference. From the actual investigation results, it can be seen that the donation amount is basically within 30%. Therefore, the calculation formula for tax preference is:

Tax = (individual income – 1600) * progressive tax – (individual income – 1600 – donated amount) * progressive tax

(5) Donation awareness: this paper adopts the education background of donators as index and converts the education background into the education receiving years of the investigated. The data information comes form the questionnaires. Although it is not so comprehensive to use education receiving years as index for charity awareness, it still represents the charity awareness.

(6) Government expenditure: data are from the government budget of the districts of Chengdu, including expenditure on education and social guarantee funds. The government expenditure is measured by the individual average of the sum of the two items. RMB is the unit.

(7) Media propaganda: TV Medias of the main stream are the statistic focus. The time of the investigated spent in watching the news and consultation and information TV programs is taken as the measurement and minute is the unit.

(8) The proportion of students at campus and people receiving the lowest guarantee: the two indexes are used to express the donation need. The higher the proportion is, the greater the donation need is. This paper applies the number of students and population receiving the lowest guarantee of Chongqing in 2006.

4.3 Description of the statistics

The average donation amount of the sampled individual is RMB191.7637, of which the highest individual donation is RMB1, 500 and the lowest is RMB5. The donation expenditure is annual expenditure. The average before tax income of the sample group of year 2006 is RMB3,257.397. The average tax preference is RMB26.9392. The average donation cost is RMB1.7295, which is calculated by adding the virtual variables. The charity awareness is measured by the years receiving education covering from 0 to 18 and the average value is 15, which shows that the education degree of the sample group is rather high. Correspondingly, the media propaganda is measured by the time spent in watching news or consultation and information programs and covering from 0 to 180 and the average value is 80 minutes. In addition, the average government expenditure in the 9 districts is RMB561.6078. However, the difference is kind of huge. The standard deviation reaches 8.8949 and the difference between the highest and the lowest is RMB531. The proportion of students and the population receiving the lowest life guarantee of the 9 districts vary slightly, whose average value are respectively 0.1219 and 0.0162. Their fluctuation ranges are respectively between 0.09000 and 0.1489 and between 0.0075 and 0.0212

4.4 Regressive results and analysis

Based on the aforesaid analysis, this paper chooses the following regressive equation:

$$Giving_i = \beta_0 + \beta_1 income_i + \beta_2 \sum_{j=1}^{5} r_j givingprice_{ji} + \beta_3 tax_i + \beta_4 sense_i + \beta_5 budget_i + \beta_6 media_i + \beta_7 education_i + \beta_8 poor_i + u_i$$

The common matlab is adopted to conduct estimation. Because there may exist in the sample data multicollinearity and heteroskedasticity, three regressions are made (regression forward). Since the data are section data, in the regressions, covariance matrix that is consistent with heteroskedasticity autocorrelation is adopted to rectify the heteroskedasticity and autocorrelation whose form is unknown (the HAC estimation is obtained through newey-west). The following table

reports the regressive reports of the equation.

<div align="center">Regressive Results</div>

Dependant variables: giving 292 observed values						
Independent variables	Regression No. 1		Regression No.2		Regression No.3	
	Estimated coefficient value	T value	Estimated coefficient value	T value	Estimated coefficient value	T value
Income	0.0130	4.1308	0.0156	5.1500	0.0156	5.1619
Giving price	-11.1714	-6.1141	-11.8045	-6.4334	-11.7926	-6.4405
Tax	4.5211	45.8470	4.4552	45.9680	4.4549	46.0470
Sense	2.2850	0.1277				
Budget	-0.0054	-0.5256	-0.0044	-0.4278	-0.0042	-0.4128
Media	0.0063	0.0973	0.0763	1.2673	0.0766	1.2842*
Education	57.9038	0.4816	26.3399	0.2174		
Poor	411.6159	1.3108*	333.7253	1.1117	264.2986	1.3223*
R-squared	0.4964		0.4944		0.4944	
Adjusted R^2	0.4804		0.4780		0.4780	

Note: * means that the markedness level is remarkable below 20%; the default markedness level is 5%.

Regression No.1 includes all the explanation variables in the basic equation. Its results show that income level, donation cost, tax preference and charity awareness exert remarkable influence on individual donation expenditure, whilst government expenditure, media propaganda, and the proportions of students and the population receiving the lowest life guarantee just exert slight influence on individual donation. Because there is evident linear correlation between charity awareness and individual income level, regression No.2 excludes charity awareness. The results of regression No.2 show that the influence of government expenditure, media propaganda, and the proportions of students and the population receiving the lowest life guarantee on individual donation expenditure is still not remarkable. However, the influence of media propaganda is evidently increased. As the t value of the proportion of students fluctuates the most, in order to further examine the influence of media propaganda on individual donation expenditure, regression No.3 excludes the proportion of students (whose t value is too low) and focuses on the influence of income level, donation cost, tax preference, government expenditure, media propaganda and the proportion of the population receiving the lowest life guarantee on individual donation expenditure. The results of regression No.3 indicate that except government expenditure, the statistical influence of other variables on individual donation amount is remarkable. What is more, the goodness of fit is slightly changed compared with regression No.1 and No.2 and is rather fine.

The final regressive results of this paper are:

$$\hat{Giving} = 33.2842 + 0.0156\,income - 11.7926 \sum_{j=1}^{5} r_j\,givingprice_j + 4.4549\,tax$$

$$\quad (2.3896) \qquad (5.1619) \qquad\qquad (-6.4405) \qquad\qquad (46.0470)$$

$$-0.0042\,budget + 0.0766\,media + 264.2986\,poor$$

$$(-0.4128) \qquad (1.2842) \qquad (1.3223)$$

$$\text{Adjusted } R^2 = 0.4780, \text{ D.W.} = 2.116, \text{ F}=46.4478$$

Seeing from the final results, individual donation expenditure is of remarkable positive correlation with individual income, which means that the adding of 1unit of individual income brings about the increase of 0.0156 unit of donation. This result is similar to the research result of Stephan Meier (2006). However, the research of this paper is different from that of Stephan Meier in that the income restraint strength is lower than Stephan's result – the income elasticity is rather low, which might result from the random nature of individual donation in China.

Individual donation is of remarkable negative correlation with donation cost. The higher the donation cost is, the lower the individual donation is. What is more, the estimated coefficient value is rather high, which indicates that because of the problems existing in donation channels, charity operation system and sincerity awareness, the transaction cost in the process of donation is rather high which severely influences the development of individual donation. With the development of market economy, people gradually become aware of cost. So do people in making donation. They will

not spend too much time and energy to conduct charity donation.

Individual donation is of high positive correlation with tax preference. The regressive estimated value of coefficient is 4.4549 and is remarkable in statistical perspective. The common explanation for it is that tax preference positively bestirs individual donation. The policy to deduct before tax of the individual income tax directs obviously on donation, which is also similar to the previous researches. The difference is that the estimated regressive coefficient of this paper is very high, which shows that the signal function of tax preference policy (the encouragement and support on individual donation) is very evident. Because individual profits are directly involved, tax sensitivity of individual donation is far higher than that of cooperation donation.

The results of the three regressions cannot reflect the relationship between government expenditure and individual donation. The estimated values of coefficient are very small and are not remarkable in statistical perspective. Therefore, it can be drawn that government expenditure does not have obvious influence on individual donation. This paper, with the detailed data collected from China, proves the "neutral outcome" raised by Warr (1981, 1983). As stated in the above, it is not certain whether government expenditure "squeezes out" or "squeezes in" individual donation and it is determined by the mutual action degree of the two.

Empirical researches abroad (Philip H. Brown & Jessica H. Minty, 2006) show that media propaganda and individual donation amount is of rather obvious positive correlation. However, the results of regression No.1 indicate that such correlation is not remarkable. Be excluding variables, the results of regression No.1 and No.2 show that the correlation between media propaganda and individual donation is remarkable when the markedness level is below 20%. Generally speaking, China, as a whole, lacks religious tradition and the development of charity organizations and funds lag behind; hence, media propaganda should have wide influence on individual donation. However, the regressions indicate that the correlation is not obvious, which reflects the defect of this paper, that is, to take place of media propaganda with the time of the investigated spent on watching news and consultation and information programs. Experiences show that Medias propaganda charity mainly through news and consultation and information programs (some through commonweal advertisement). Hence, the time the investigated spent on watching those programs is of representative nature. However, seeing from the current situation of China, charity propaganda just accounts for a small portion in the broadcasting of news and consultation and information programs. What is more, the programs and channels that broadcast charity propaganda is not flexible, which, to great extent, weakens the influence of media propaganda on individual donation.

Individual donation amount is influenced by the proportion of people receiving the lowest life guarantee (the markedness level is remarkable below 20%; actually, the markedness level is close to 10%) and the estimated coefficient is pretty high, which shows that the population receiving the lowest life guarantee strongly pushes individual donation. The influence of the proportion of students on individual donation shown by both regression No.1 and No.2 is not remarkable, which to great extent results from the overflowing nature of donation. It can be found from the sample data that the average income is rather high in districts where the student proportion is low; where the student proportion is high, the average income is low. The districts where average income is high may not have many schools because of their high land values, which causes that their donation flow may generate overflowing effect and results in the unremarkable correlation between the two.

As a whole, the influential elements from supply aspect, such as income, tax preference and donation cost, exert much more remarkable influence that those from the need aspect, which is consistent with the actuality of individual donation in China at present, that is, the need of individual donation far exceeds its supply. Therefore, the elements of supply shall hold the dominant position in individual donation.

5. Policy connotations

In countries where charity is developed, charity organizations and fund associations are particularly engaged in charity and are in charge of the use of donated funds. Such concept is widely recognized in the entire society. Donators only need to send the donated objects to the charity organizations. However, in China, the recognizing of charity organizations is not so optimistic. Donators have not yet formed the concept of "donation-charity organizations'.

Although it is hard to gauge the donation returns, the use compensation of donation for donators cannot be denied. Therefore, it is necessary to set up a sustainable incentive system to strengthen the fame return of donation. The occurrence of Hurun charity hit parade brings about a group of new charitarians in China. However, Hurun charity hit parade just focuses on millionaires. What is more important is to encourage people with common income to actively participate in donation. We can set up "China charity dictionary" or register the donation information of donators through website publication and coordinate information collection organs to raise donators' credit class.

Tax preference is controllable. The increase of income will of course raise the charity donation capacity of people. Hence, to raise tax preference of donators will help to enlarge the scale of individual donation. Governments should raise tax preference through increasing the tax exemption rate and realize that the donation expenditure of donators

comes from the tax that should be paid so as to demonstrate positive policy guide. We can also improve the donation cost from various aspects that constitute of the cost. The donation forms shall be diversified and the non-capital donation forms, such as free labor and the donation of second hand objects, shall be encouraged. We can widen the donation channels by way of setting up community love supermarkets and initiating internet donation. For the supervision cost, we should emphasize on enforcing the legislative supervision on charity organizations and establishing transparent supervision system. We can also set up valuable charity projects, such as education of poor areas, helping the poor, social commonweal programs, health, entironment, Olympic projects, and emergency system guarantee for sudden public health incidents, to raise the recognizing degree of potential donators and attract charity funds.

To cultivate and heighten charity awareness is beneficial to advancing individual donation. However, the aforementioned donation behaviors established on the morality basis are not inner responsibility behaviors, which lack systematic and standard operation system and are not sustainable. At present, China is at the transformation period towards modern society. Individuals of China have not yet formed integrated right and obligation concept and are not aware of that donation is a responsibility that a citizen shall bear for the society. Seeing from long term, the long lasting development of donation behaviors shall depend on the popularization of citizen awareness, the establishment of obligation concept, and the enforcement of the construction of donation system.

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Remaking Public Participation: The Case of Singapore

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Abstract

This paper discusses public participation or active citizenship embodied in the Remaking of Singapore and Singapore 21 documents. It looks at the extent public participation has been incorporated in two of Singapore's latest policy initiatives; the Integrated Resort and the Increase in Ministerial pay. The paper highlights that participation in Singapore, is "pseudo" or "partial" in character. It is guided by existing authoritarian structures and prevailing societal norms; structures and norms that have been shaped by years of Peoples' Action Party (PAP) led involvement in the economic, political and social spheres. Under such circumstances, efforts at active citizenship and public participation would at best be gradual; an exercise that is highly contingent on the dynamic accommodation of state authority structures with that of the larger society.

Keywords: Public participation, Remaking, Policy initiatives, Authoritarian structures, Prevailing societal norms.

1. Introduction

Singapore's transformation from an economic backwater to a thriving nation needs little introduction. For the last forty odd years, it has raked in accolades and has continued to defy critics; critics that questioned the ability of a 647 sq km city state with no natural resources to survive let alone become one of world's success stories. There is no short of views in describing Singapore's development and leadership. Austin (2001) views strong governance with high doses of pragmatism on the part of its leadership as key determinants of Singapore transformation (Austin, 2001). The state was pragmatic in its choice of development policy, the bureaucracy was fully socialized into developmentalist values, and the public acquiesced for the sake of this national vision and project (Koh, 1998). Chan (1975) describes Singapore as an administrative state whose leadership's immediate preoccupation post independence was about employment and maintaining or improving, political, social conditions. Mauzy & Milne (2002) view the state and its leadership as authoritarian in nature arguing that although Singapore has most of the trappings of democracy – parliamentary system of government, elected president, universal suffrage and regular and free election, certain draconian laws, controls on political participation, and measures limiting civil and political rights and freedom of the press, mean that Singapore is, to some extent, an authoritarian state.

Since the late 80s and especially after the hand over of leadership from the old to the new guards, Singapore leadership has been attempting to take a "softer" approach - a more participatory approach - when it comes to decision making. Shifting societal expectations and changing political economy has prompted its leaders to regard participation as an important ingredient in the new Singapore. This paper however view that a more participatory Singapore, is still at a nascent stage. Taking cue from various conceptual frameworks, the paper will highlight that the participatory posture of the Singapore leadership needs constant retooling, one where existing authoritarian structures and norms of the ruling elite need to take into account shifting acceptance level of acceptance of authority of the larger society.

The paper is organized as follows. The second part of the paper will provide the theoretical framework on participation. The next section will highlight the rationale for Singapore in promoting a more participatory environment and the mechanism used to promote it. The fourth part paper of the paper will briefly describe two documents - Singapore 21 and the Remaking of Singapore - documents that attempt to create a greater level of participation as well as encouraging a more inclusive society. The fifth and sixth part of the paper will discuss how the terms embodied in the two documents are actuated with two recent policy issues; the ministerial pay hike and the Integrated Resort.   The final part will provide the analysis.

2. The Literature Review

Participation with regards to policy making process is getting renewed interest for obvious reasons; the presence of a perceived democratic deficit, to enhance the legitimacy of decision making, improve public delivery system and to allow citizens, especially the disadvantaged and marginalized to have their say in issues affecting them (Barnes, Marian, Newman J, Sullivan H., 2004).

Participation is a loaded term with social scientists preferring to make inferences by associating the term with efforts at ensuring good government, protecting private interest and improving decision making. Rousseau in his seminal work, The Social Contract makes the point that participation allows the development of man's "faculties" (Rousseau 1968) Rousseau. He articulates that participation encourages a moral condition when man relegates his own interests and inclinations to that of the common will.

The passage from the state of nature to the civil state produces a very remarkable change in man, by substituting justice for instincts in his conduct and giving his actions the morality they had formerly lacked. Then only, when the voice of duty takes the place of physical impulses and right of appetite, does man, who so far had considered only himself, find that he is forced to act on different principles, and to consult his reasons before listening to his inclinations (Rousseau, 1968).

John Stuart Mill advocates political pluralism on grounds that it provides an educative function and in turning citizens to become public oriented citizens (see Mill 1964). Mills believes that that the political machinery should be worked by men not through simple acquiescence but through active citizenship (Mill, J.S., 1964). Active citizenship promotes integration, one where the citizens feel that they are part of wider community. Active citizenship or participation also ensures good government, in which public decisions would provide for better implementation of policies. Despite advocating public participation, Mills however believes in unequal voting, where more votes should be given to the educated and wise and that active participation "must be adjusted to the capacities and qualities of such men as are available" (Mill, J.S., 1951).

It is in the area of management that the term participation is given more specificity. Mcgregor (1960) defines participation as one where opportunities are created for people to influence decisions affecting them.

... (participation) is a special case of delegation in which subordinates gain greater control, greater freedom of choice, with respect to his own responsibilities. The term participation is usually applied to the subordinate's greater influence over matters within the superior's responsibilities (Mcgregor, D., 1960).

When discussing participation one obvious question to ask is whether it leads to better government and better citizens. Mills (1964) for instance touches on the educative element of participation and how it leads to better government. Mansfield (1995) persuasively argues that it is obvious that participation makes better citizens, but somehow "you cannot prove it even when everyone believes in it".   She elaborates that even when early writers on democracy and participation did not explicitly point out that participation naturally leads to better citizens there are inferences to suggest that participation enhances citizens and societal interests. In reiterating this point Mansfield, lends her argument from the Aristotelian view that "man is by nature an animal intended to live in a polis and that the end, or goal, of the state is to "ensure a proper quality of character among the members (and) that it shall be free from injustice and form of vice", that implicitly suggests man's natural inclination for social relationship and to partake in state's decision making process in achieving a common good.

Another important issue when discussing participation is the debate on the best form of participation – that of direct participation versus representative government. Arguments on direct participation draw references from the classical theory of democracy that adopts a utilitarian approach and one that is based on individual rational choices. Rousseau (1968) adopts the utilitarian perspective pointing out that allowing participation would ensure that citizens are turned into public citizens – a condition that encourages them to look beyond self interest and seek for a common good. However, theories relating to representative government, argues that a government for the people would be a more feasible option than the classical theory's approach of government by the people. This view adopts limited public involvement in the political decision making, one that is mainly carried out through electoral voting.   Perhaps one of the important thoughts on this comes from Joseph Schumpheter' (1942) work on Capitalism, Socialism and Democracy. Here, Shumpeter reinterpretes democracy "as just type of institutional arrangement for arriving at political-legislative

and administrative – decisions and hence incapable of being an end in itself". Schumpeter argues that "democracy does not mean and cannot mean that the people actually rule in any obvious sense of the term 'people' and 'rule'. He argues that even if the common will might come up from a "jumble"of individual actions or volitions, the end results would be that the "Will" will no longer be congruent with any "good". In his words

Even if the opinions and desires of individual citizens were perfectly definite… and if everyone acted on them with ideal rationality and promptitude, it would not necessarily follow that the political decisions produced by that process...would represent anything that could in any convincing sense be called the will of the people…whenever individual wills are much divided , very likely that the political decisions produced will not conform to "what people really want"…Nor can it be replied that, if not exactly what they want, they will get a "fair compromise" (Schumpeter, 1942: 225).

Schumpeter believes that participation should be in the form of representation through democratically appointed leaders. He points out that leaders acquire power by means of a competitive struggle for people's vote, so it is natural that representation of opinion and hence participation will come from leaders who are competitively elected through the democratic process.

Later works on participation drew inspiration from Schumpeter's work. Eckstein (1966) for instance raises some provoking and rather interesting proposition on participation and authority. Eckstein ties the idea of democratic stability and participation with the authority structure present within a polity. He believes that "a government will tend to be stable if its authority pattern is congruent with the other authority patterns of the society of which it is part." Eckstein points out that men psychologically have a need for firm(authoritarian) leaders and this must be satisfied if the stability of the system is to be maintained (Pateman, 1970:13). He argues that effective decision making can only take place if the element of authoritarianism is present.

Eckstein added an interesting proposition to his arguments stating that his thesis is not about legitimizing boundless authoritarian imposition by leaders but an authoritative form in so far as citizens would find acceptable. And the "acceptable" authoritative form depends on the society socialization process viz schools, families, non governmental social relationship. In Eckstein words:

…if any aspect of social life can directly affect government it is the experiences with authority that men have in other spheres of life, especially those that mould their personalities and those to which they normally devote most of their lives (Eckstein, 1996).

Eckstein also makes the point that participation and authoritarianism must exist within a stable democracy, a condition where elections decide the outcome of competition for policies and power. Ironically, for stable democracy to exist Eckstein believes that governmental pattern must not be 'purely' democratic as it must contain a "balance of disparate elements" and there must be a "healthy element of authoritarianism" (Pateman, 1970:13). Eckstein work on democracy and participation with its heavy inferences on authority structures raises interesting considerations, especially when one discusses the case of Singapore and perhaps many other East Asian countries – states that are highly associated with authoritarian brand of leadership operated under democratic institutions.

Besides Eckstein there are other works that test the premise of the classical theory of democracy and participation. Berelson (1952: 6) also argues against the utilitarian posture of the classical theory, pointing out that the "classical"theory concentrates on the individual citizen and virtually ignores the political system, which is about limiting conflict, restraining the rate of change, maintaining economic and social stability, creating a pluralistic social organization and having basic consensus. In pointing out the significance of representative government, Berelson stresses the point that "the individual members may not meet all the standards, but the whole nevertheless survives and grows."

Along somewhat similar lines, Dahl's (1956) *Preface to Democratic Theory* promotes an elitist idea that democracy is polyarchist in nature - a rule of multiple minorities. Dahl takes on the premise that the majority of citizens tend to be disinterested and apathetic about politics and that only a small proportion of individuals in any form of social organization will take up decision making.

Dahl's mentions that for democratic rule by polyarchist to work, there need to be a consensus of what is acceptable, at least among the leaders. He goes on to explain that how successful the democratic arrangement will be really depends on the socialization process of its leaders - a process that is obtained through the family, schools, media etc. Presumably, "effective" social training would be training that develops individual attitudes that support the democratic norms. To further the idea on representative government, Dahl underlines the point that "political equality" must be not be misconstrued as "equality of political control or power" as the majority are politically inactive and have limited access to resource". In fact, Dahl cautions that allowing an increase in participation would undermine the stability of the democratic system, arguing on the grounds that lower socio economic groups consists of "inherent "authoritarian" personalities who would upset existing values of the democratic system.

Dahl believes that polyarchist rule by the minority will not undermine democracy, as the democratic process will provide the necessary checks on the ruling minorities. This is done through the electoral process where leaders need to compete to secure the votes of the people. Despite, Dahl's assuredness, it must also be added that the electoral process can be "secured" by the ruling minority through the application of various state's mechanism and structures, all in an attempt to ensure that the electoral mechanism would be highly favourable to the ruling minority.

2.1 Participation: Power, Influence and Its Different Genres

When discussing participation in the democratic process, the term cannot be divorced from the adjectives "power" and "influence". Barnes, Newman and Sullivan (2004) view participation as one that is guided by strong political and organizational norms and the resilience of "frameworks of power". In their study, on public participation on communities in two English cities, Barnes, Newman and Sullivan found out that citizens' engagement is subjected to the resilience of old institutional norms and rules and the importance of strong social networks. These factors influence ultimate policy and oftentimes resulted in the occasional "fobbing off" – a situation where public organization failed to respond to citizens' concerns. The work by Barnes, Newman and Sullivan has an important bearing on state's disposition to participation because as much as a state's leadership wants to espouse a higher degree of participation, such an exercise is highly contingent on preexisting institutional norms and rules. These norms and structures could potentially be insidious in character but have great influence in determining the texture of a policy outcome.

Taking discussion further, the ability to appreciate the interplay between power, influence and existing norms could help us better understand the various participatory situations that states exhibit. Pateman (1970: 69) for instance provides three different types of participation that typifies states' effort at active citizenship. To understand the three types of participation Pateman emphasizes the importance of making a distinction between power and influence where she describes that "to be in a position to influence a decision is not the same thing as to be in a position (to have the power to) to determine the outcome or to make that decision. Based on such distinction and lending her arguments heavily on Verba's (1961) work on participation, Pateman describes lucidly three levels of participation; pseudo participation, partial participation and full participation. This is discussed below.

2.1.1 Pseudo Participation

Pseudo participation refers to a situation where the concern is not about creating an environment where decisions are finally made, but rather to create a feeling of participation. Leaders have a particular goal in mind and thus adopt a particular approach to induce acceptance of the predetermined goal. (Note 1) It is a cover technique meant to increase efficiency and to persuade (employees) to accept decisions already made by the management (Pateman, 1970: 68).

2.1.2 Partial Participation

This involves "a process in which two or more parties influence each other in the making of decisions but the final power to decide rests with one party only" (Pateman, 1970: 70). It leverages on the distinction between power and influence where Pateman describes that workers are in a permanent subordinate position unable to exercise power but can only influence the final outcome.

2.1.3 Full Participation

This is an ideal situation among equals "where each individual member of a decision making-body has equal power to determine the outcome of decisions" (Pateman, 1970:70). Drawing the example of an industrial workplace, Pateman describes full participation as a condition where no "two" sides have unequal decision making power, and that group of individuals make their own decisions and how to allocate and implement work.

Pateman's description of the different types of participatory situations plus earlier discussions on authority, power and influence provide important references in   appraising Singapore's recent move towards a more participative and inclusive society and the attendant challenges; issues that the following sections attempt to discuss.

3. The Need for a More Consultative Style

Since the mid eighties there is a gradual shift by Singapore's ruling PAP led government to bring about a more inclusive and participatory style of leadership, a sharp contrast to the authoritarian posture seen during Singapore's early years after   independence. Growing sophistication of the Singaporean society has brought about differentiated social and political values. More than just wanting a well functioning economy, Singapore's middle class, especially the young and educated, increasingly demand greater political space and a more participatory environment. Election results since the 1980s, has indicated such changing societal expectations. During Singapore's last general election in 2006, the internet was filled with satirical pod cast, video clips of election rally and blogsites discussing political strategies used by the political parties in the run up to polling day. Local blogsites www.singaporegovt.blogspot.com received some 5 000 to 6 000 hits during the nine-day campaign, double what it normally gets. (Note 2) Perhaps public opinion on cyberspace during the run up to polling day could have been more, if not for the Singapore government's warning that individual websites and blogsites, that persistently promote the position of a political party must be registered, failing

which such blogsites would be barred from running election-related news or risk being fine. (Note 3) Though it may be difficult to ascertain voting patterns and the reasons for the drop in majority votes for the PAP during the last 2006 elections (Note 4), judging from the fervour during the run up to polling day and large turnouts at opposition party's rally, it may not be too presumptuous to make the supposition that one cannot discount that Singapore voters, perhaps especially younger voters, would like greater latitude and tolerance for political pluralism and participation. Changing expectation, especially amongst younger voters, was evident during the last general election in 2006 where during an open discussion with Singapore then Senior Minister Lee Kuan Yew, young Singaporeans indicated their desire for the ruling PAP government to soften its stance on the opposition and for Singaporeans to be more involved in the running of the state. (Note 5)

In fact, increasing appetite for a more participative and pluralistic political representation was felt as far back in 1981, when the PAP lost a parliamentary seat in a by-election, marking the first time since 1968 that the PAP failed to obtain a monopoly of parliamentary seats. The trend continued in the 1984 general election, where its share of the votes slipped from a high of 75 percent during the 1980 election to 62.9 percent. Since then the PAP has failed to take all parliamentary seats. The poll results suggest, among other things, the growing need for an alternative voice in parliament, one where voters "do not want controversial policies that affect them to be formulated and implemented without taking their views and sentiments into account (Quah, 2000)."

Ever since the PAP lost the Anson seat in the 1981 by-election and the subsequent presence of opposition members in parliament, the PAP has come up with a number of ways to address Singaporeans growing need for opposing views or an alternative voice in parliament. As far back as 1985, the government formed the Feedback unit, now called Reach. Later, the government initiated the National Agenda, later renamed Agenda for Action which was adopted in 1988. (Note 6) Though the formation of the feedback unit and the initiation of the National Agenda were clear manifestations of the PAP government's desire to obtain more accurate feedback from Singaporeans about what they wanted as well as its commitment towards a more consultative style (Note 7), they were also clear efforts at addressing Singapore voters increasing disposition for an alternative voice in parliament. There were other instruments employed to address shifting expectations. Sensing public need for an opposition voice in parliament, the PAP led government introduced the Non-Constituency MP (NCMP) to allow three opposition candidates who had lost during the election but had received the highest percentage of electoral votes amongst the candidates who lost. This would allow parliament to have at least three opposition members, even if the PAP had won all parliamentary seats. However, the NCMPs will not been able to vote in parliament on any motion relating to a Bill to amend the Constitution, a Supply Bill or Supplementary Supply Bill, a Money Bill or a vote of no confidence in the government. (Note 8) Adding to the NCMP initiative, the state introduced the Nominated Member of Parliament (NMPs) in 1989 where initially up to six nominated members can be elected by parliament. This has been increased to nine. These NMPs will have the same rights as the NCMPs. The state's aim at introducing the NMP bill is "to further strengthen (the) political system by offering Singaporean's more opportunity for political participation and to evolve a more consensual style of government where alternative views are heard and constructive dissent accommodated. (Note 9) Most NMPs are professionals, working in think tanks, representing trade unions, non governmental organizations and those active in grassroot activities. To some it is obvious that, besides the move to accommodate citizens' increased propensity to be active in the policy making process, the initiatives were also meant to retain a virtual one party state and moves at "political co-option meant to obviate the need for more elected opposition MPs, or an independent civil society" (Rodan, 2006). And there were other important initiatives. In 1991, a white paper on "Shared values" was tabled effectively elevating it as a national ideology. The white paper addresses the lack of "common unique culture" among Singaporeans and highlights the need to identify with values that have a distinct Singaporean character, one that can hold Singaporeans together during times of crisis. (Note 10) Though the white paper did not tackle the increasing need for participation head on, it obliquely address the need for Singaporeans to share a common mission and one that is congruent to Singapore's and the PAP's past development philosophy.

Increasingly, through years of virtual single party state, economic success and attendant depoliticisation, the state has also created apathetic young Singaporeans with seeming lack of "rootedness" and receding sense of ownership. Despite the good life, more Singaporeans expressed hope of leaving. A survey conducted by Singapore's Straits Times in July 2006 found that two thirds of Singaporeans interviewed would like to work abroad and 53 percent of those surveyed would consider emigration, figures that are much higher when compared to their peers in India and Malaysia. (Note 11) As much as it wants to attract a transient international workforce, there is also the concern that Singapore might lose a critical mass of its own indigenous talents, a core of its best that the government feels could provide a bulwark to its development objectives.

In fact, Singapore second and third generation of leaders post - Lee Kuan Yew have made it a point to address the issue of participation and active citizenship as a top priority. Goh Chok Tong, when he took up position as Singapore's second prime minister declared his intention to embrace a more open, consultative, and consensual leadership (Lee, 2005). Lee Hsien Loong during his inaugural speech as prime minister reiterated this point saying that "our people

should feel free to express diverse views, pursue unconventional ideas, or simply be different. We should have the confidence to engage in robust debate, so as to understand our problems, conceive fresh solutions, and open up new spaces. (Lee Hsien Loong, 2004).   For some the pace, direction and manner in which participation are carried out remain debatable with some arguing that such statements are gestural in nature, meant to appease public desire for greater participation (Lee, 2005).

Besides the immediate need to placate a more sophisticated electorate, Singapore's leadership increasingly understand that a more consultative and participatory environment would provide a welcome inducement to the state's renewal efforts.   Singapore leadership is bent on repositioning the city state, hoping to turn it into a must see global city and a magnet for the world's best and brightest.   Though precisely how a more "open and participatory" society could contribute positively to development remains a research problem, in the brave new world intangibles or what Singapore leaders called "heartware" would be a key differentiator – tacit qualities that are not easily replicable.   Tolerance for a more participative and pluralistic society will go some way in creating greater latitude for creativity and in encouraging an innovative society. It would be interesting how such acts of contrivance in promoting a more inclusive society as part of a greater strategic plot for economic renewal would unravel.

4. The Setting: The Singapore 21 and the Remaking of Singapore

Singapore 21 (S21) was mooted in 1997 with the document released in 1999. Three years after S21 was released the government introduced the Remaking of Singapore document. The two documents came during one of the most critical juncture of Singapore development. It came at a time when the Singapore economy was severely tested as a result of the Asian Financial Crisis, the dot com bubble burst in 2000 and the bombing of the WTO in New York.

4.1 Singapore 21

The Singapore 21 is a document that attempts to forge a new contract between the government and the governed and identify core values that will make Singaporeans feel rooted to Singapore and at the same time take in shocks that come with an increasingly uncertain world. The document was released in April 1999 and at the launch of S21, Singapore's then Prime Minister Goh Chok Tong described S21 as an attempt to strengthen the "heartware" of Singapore. That "heartware" refers to the intangibles of "social cohesion, political stability, and the collective will, values, and attitudes of a people." (Note 12)

The final document was the input of five committees made up 83 members of the public that included members of parliaments, unionists, teachers, welfare organizations etc. In all 6,000 members of the public were interviewed. Five themes or dilemmas were put forward for discussions. (Note 13) In the final report, five core themes are identified as values or vision that Singapore and Singaporeans should adopt: That Every Singaporeans Matters; Strong Families; Opportunities For All; The Singapore heartbeat and Active Citizenship.

Of special relevance is the S21 idea on Active Citizenship and the Singapore Heartbeat, two values concerned with harnessing public participation. The Singapore heartbeat describes the need to be emotionally bonded to Singapore and through active citizenship the document penned the need for Singaporeans to be involved and to take the lead in civic and community affairs.   It outlines the need for Singaporeans to become "participants not mere observers (and) to learn not only to express their views or suggest alternative solutions, but also to put suggestions into action." (Note 14)The document also highlights the need to overcome social and political apathy among Singaporeans citing the need to take ownership of issues of national concerns.

An interesting highlight of the document is the need to go beyond economic imperatives. The document challenges popular perception of Singapore's development; that of a single minded pursuit of a ruling elite inclined at economic survival. The document promotes the message that nationhood and resilience in weathering a crisis comes from paying important attention at values other than just economic tangibles.

Another interesting point of the document is the use of "civic" as opposed to "civil" participation. The "Civic" Society as one understands it emphasises the "civic" responsibilities of citizens. "Civil" Society in contrast refers to the "right" of citizens. Some observers see this as more than just an exercise in semantics, a carefully chosen attempt to remove links with the potentially destabilising "politicking" practices of a civil society (Lee, 2001). "Civic" participation gave the impression of an exercise that is geared towards enhancing existing societal and institutional arrangements shaped by the ruling elite.

4.2 Remaking of Singapore

The Remaking of Singapore document was a supplement to the set of recommendations put forward by the Singapore Economic Review Committee; a committee tasked in December 2001, to chart Singapore's future development blueprint. Remaking of Singapore was seen as necessary, at a time when the Singapore economy was facing slow growth brought on by the dotcom bubble burst and uncertainties in the global economy as a result of the September 11 bombing of the World Trade Organisation. There was also the serious concern to engineer novel ways of sprucing

Singapore's relevance in the marketplace given intensifying regional and global competition. The Remaking of Singapore committee was tasked to look beyond Singapore's tried and tested methods come up with new ways at making social, political and economic changes. It is fitting that the committees tasked to bring these new initiatives took inspiration from Singapore's or Singaporeans celebrated acronym the 5 "C"s but with a twist. The committees are named Beyond Condominiums, Beyond Credit Card, Beyond Cars, Beyond Country Clubs and Beyond Cash. In all, 70 recommendations were put up by the committees. More than 80 percent of the recommendations were adopted with about 11 recommendations not accepted completely or partially.

As far as participation and active citizenship is concerned, The Remaking of Singapore document is not far off from the spirit of participation espoused in the Singapore 21 document. Both documents underline the need to provide participatory space and encouraging diversity of views. In its report, the Remaking of Singapore Committee emphasized the need for Singapore "to change, to adapt and to renew" and the committee foresee that the new Singapore *"will be anchored on common spaces and shared values...a society that will be able to embrace a variety of views and preferences...Singaporeans who are proactive in deciding what they want to achieve, how they want to live their lives and how they want to contribute to the community."* (Note 15The Singapore 21 document also expressed the need for Singaporeans to partake in alternative solutions and to become engaged and involved in issues. The document reiterates the point that active involvement enhances ownership, passion and commitment. (Note 16)

As far as participation is concerned, both documents reflect an inspiring sea change as far as active citizenship and public participation are concerned; a message about accommodating differing viewpoints. Goh Chok Tong described the Remaking of Singapore as one *"about embracing diversity...about a home where we accept each other even if we disagree from time to time...Singapore's political and social climate needs to give space for more ventilation and variation...enriching our diversity quotient... There comes a point where you must take the risk and let go, in order for your child to grow and learn..."* (Goh Chok Tong, 2003).

Promising though the statements are, in the same speech, Goh puts up a cautionary note, stressing that the "new openness will be within the parameter that the government decides". Giving the anology that the government will make the golf course friendlier he says

"we will widen the fairway for discussion...But as all golfers know, every golf course has roughs, sand bunkers, water, trees and other hazards, even courses which are friendly and have no OB markers. The golfers know where the hazards are and avoid them...Singapore golf course is not new....and getting into one of these hazards does not mean getting into trouble...Many a golfer has gotten out of roughs and sand bunkers without losing a stroke (Goh Chok Tong, 2003.).

Goh also underlines the PAP government oft said policy stance that when it comes to decision that goes against public opinion the government must persuade the people that on " matters of grave national importance, where it has to lead, or act without the benefit of consulting, it must explain its position (Ibid.).

Also, on closer examination of the set of recommendations that were put forward by the Remaking of Singapore's various committees, most recommendations that were accepted were those of social importance, less demanding and test little of the PAP government's new appetite for more pluralistic viewpoints. Some of these issues include recommending that the Ministry of Education play an active role in special education, encouraging philantrophy, removing female quota for medical faculty at public universities, implementing a 5 day work week and making Singapore a hub for international events. In contrast, when it comes to weighty issues that have political ramifications, the decision was less easy. For instance, on the issue of defining "political" out of bound markers, the recommendation was not accepted, with a note stating that the reason was explained by Lee Hsien Loong in his speech at the Harvard Club Dinner. On that occasion, Lee mentioned that defining the out of bound markers would be difficult and undesirable. *"Had we predefined all the parameters for discussion, civil society would have lost the spark and autonomy that allows fresh areas to be explored, limits to be redefined, and both the government and civic groups to develop a certain responsiveness to each other and move society forward by engaging each other"* (Lee Hsien Loong, 2004).

Even though critics have side swiped the significance of the two documents as propaganda to regain voters confidence, one can also view the two documents as a strategic initiative that reflects the PAP government urgency to look beyond the tried and tested; an attempt by the PAP government to attenuate past policies to accommodate new societal expectations. Still, as the examples involving the Integrated Resort and Ministerial Pay would suggest, the efforts are incremental at best.

5. The Ministerial Pay

Back in 1994 when the Singapore leadership raised the issue of paying top dollars for its ministers, it was greeted with much rancour from the public. No surprise that when the Singapore government announced an increase ministerial pay and top civil servants in April 2007 there were no less dissenting voices.

Pegging the ministerial pay to the private sector wage was introduced in 1994. The rationale put forward then was that the government was losing its best and capable leaders to the private sector. There is also the firm belief that paying administrators well would ensure the incorruptibility of the civil service and the continued credibility and effectiveness of the public service delivery system. Under the initiative, salaries of ministers and top civil servants are benchmarked to 2/3 of the median of Singapore's top earners from six professions. Using this criterion, the median pay in 2007 should be around $2.2 million Singapore dollars and the concern is that Singapore's ministers pay, on average, lagged this median by 55 percent. With the new revision, ministers would get an average of $1.9 million Singapore dollars or about US$1.26 million by the year 2008. With the increase, Singapore's Prime Minister Lee Hsien Loong earns S$3.1 million Singapore dollars, almost 5 times what the US president George W. Bush earns and almost 8 times what former Japanese Prime Minister, Shinzo Abe gets annually.

Given the comparison, it is no surprise that public opinion against the pay hike came from many quarters. On an online petition some 2,000 signed against the pay increase. Others questioned the timing of the increase, coming at a time when the government recently announced a hike in Goods and Services Tax plus increasing concern on Singapore's growing income gap. Others questioned the methodology used in coming up with the benchmark. Even though the Singaporean public agree that ministers should be paid accordingly, the methodology adopted by the government was debatable, one in which the public wanted further deliberations. (Note 17) Others argue on the basis of moral authority and the need to keep ministers pay in perspective, with some suggesting that it has created a perception that serving the country is another financial transaction and devoid of altruistic and patriotic fervour. (Note 18) PAP Member of Parliament Denise Phua noted the danger of money and power nexus creeping into the system. Singapore's Law Society President, Phillip Jeyaratnam remarked that Singapore has long since moved away from a system based on valuing the contribution made and honouring the office for itself" by "shifting from an attempt to reward contribution to government and country to an attempt to estimate what he or she would otherwise have earned in the private sector". (Note 19)   There was more activist move. The Singapore Democratic Party (SDP) tried to organize a public forum addressing the pay hike issue by inviting some foreign delegates - the Alliance of Liberals and Democrats for Europe and the Council of Asian Liberals and Democrats.   The application was turned down. The foreign speakers were denied professional visit pass and to speak at the forum with the government highlighting the point that Singapore politics are reserved for Singaporeans. (Note 20)

Despite strong public arguments, in the end it was persuasion on the part of the government that tilted the argument towards accepting the government proposal. As in past policy justification, persuasion took the form of the importance of survival. Economic imperative was put across as the raison d'etre for going ahead with the proposal. In his speech, Lee Hsien Loong rebutted arguments raised during the two day parliamentary debates, arguing that not going ahead with the proposals would impact Singapore's long term survival, giving examples of other states attempt at development and the consequences for not paying top dollars for leaders. Lee Kuan Yew called the debates an absurdity and urged for a sense of proportion. Given that the   annual wage bill for ministers and all office holders is $46 million - or just 0.022 per cent of Singapore's total economic output, he said it was absurd that 'We are quarrelling about whether we should pay them $46 million or $36 million, or better still, $26 million. So you save $20 million and jeopardise an economy of $210 billion". (Note 21)

The issue also provided an insight into the Singapore government's policy decision making process. The idea of a possible pay hike for was first floated by Goh Chok Tong in November 2006 during a visit to Europe, though he remarked that the pay quantum and timing would be left to the Prime Minister. Given the meticulousness of the Singapore government's decision machinery, it would not be far fetched to postulate that such statement was meant to lay initial government expectations and to put out feelers to sense whether the ground was sweet for such a move. It was only on the 22nd of March 2007 and just after the announcement of the state budget, did Prime Minister Lee Hsien Loong announce the proposal. Public discussions were then allowed for just two weeks, with government leaders intermittently making the case for the pay hike that helped in goading public opinion on how the government would eventually decide. From the debates and public opinion, the main discussion was drawn. Ultimately, issues of strategic concern, survival – especially economic survival – was usually given as a *raison d'etre* for such policy decisions. The line of reasoning is somewhat similar, when one discusses the issue of the Integrated Resort to be described below.

6. Singapore Integrated Resort

If there is any major recent issue that could gauge Singapore's commitment to active citizenship and greater level of public participation, the proposal to build an integrated resort or casino could be it.

Having a casino in the city state was first floated nearly forty years ago, when Singapore Tourism Board suggested the idea of having a gaming facility in one of the outlying islands. Then Prime Minister, Lee Kuan Yew rejected the idea citing the undesirable social consequences that comes from having a casino. But the idea resurfaced in March 2004 when Singapore's Minister of Trade and Industry George Yeo reintroduced the possibility of having a casino.

The proposal to have a casino came out from the set of recommendations put forth by the Singapore Economic Review, tasked to look at new ways at diversifying Singapore's economic base. One of the key sectors identified by the committee is tourism. (Note 22) Even though one may claim that the drop in tourism receipts could be attributed to the spate of economic turmoil enveloping East and Southeast Asia, Singapore's share of Asia Pacific tourism market shrank from 8 percent in 1998 to 6 percent in 2002. The Singapore government feels that having a casino would provide a more sustainable tourism industry. It will also give the economy a leg up at a time when regional countries were also tinkering on establishing and expanding existing gaming facilities given the demands from Asia's new rich, especially China's nouveau riche. On government estimates, the casino project would add some $5 billion in investment create 35,000 jobs and add 1 to 2 percent to GDP or about $1.5 billion annually. With the completion of the two planned casinos, Singapore also expects receipts from tourism to be in the range of $30 billion by 2015.

Naturally, the proposal drew multitude of responses. For those against the idea, the arguments centered on social and religious grounds; that having a casino will be socially regressive with possible long term social consequences. Leaders of the Catholic Church, The National Council of Christian Churches and Muslim Groups were against the idea of gambling on religious and social grounds. A spokesman for Families against the Casino Threat in Singapore remarked that "We say one thing and do another. We tell our children that gambling is bad, but how are we to answer them when they ask why a casino is allowed in Singapore? (Note 23) There are those who questioned whether the Integrated Resort (IR) would bring economic rewards to those that need it most. Critics feel that the proposal could possibly be a knee jerk reaction to an economy that is seeing some tough times and believe that there are more creative ways at remaking Singapore and its economy. The PAP members of parliament were also evidently split on the issue. A PAP member of Parliament, Loh Meng See criticized the way society was being asked to pay in human suffering for economic gains. (Note 24) Another PAP member of parliament Tan Soo Khoon hoped that the government had picked out "the right card from the deck" saying that there are social costs that comes with economic benefits. (Note 25)

In the end, again it was persuasion PAP style that tipped public discussion and acceptance into having a gaming facility. In shifting the grounds towards adopting the proposal, persuasion took on the argument of economic survival. PM Lee Hsien Loong mentioned that it was hard to change policies that are still working, but "it is the government's responsibility to look ahead, anticipate problems and persuade people to support a necessary change. (Note 26) Lee also mentioned the spill over effects from the two Integrated Resorts and the long term effects those developments might have in the Remaking of Singapore and turning it into a vibrant city. Lim Boon Heng, Singapore's Labour chief and Minister of State also reiterated the survival message, saying that 'If not for the unemployment problem we face, I would have maintained 'no' to the casino." (Note 27) Lee Kuan Yew in his defense for the proposed project remarked that "I have not changed my values but I have had to change my attitude to a casino." (Note 28) Lee also added to the persuasion that the 'old model' he adopted in creating a first world state in a third world region is valuable but not sufficient in turning Singapore into a first rate world city that professionals seek. (Note 29) He further remarked that "*if I were the prime minister and was challenged ..and I was younger man with lots of energy...I will convince Singapore that this is right – that the price is high, but the price of not doing it is even higher*" (Note 30)

7. Participation: Substance and Form

For a start, participation on policy issues are more pronounced and tolerated. There is a greater level of public participation judging from public comments in the conventional media and the increase use of blogsites and websites. The two policies also highlighted more varied views from members of parliament within the PAP ranks. Tan Soo Khoon, a vocal commentator of policy from within the PAP rank, remarked that one potential winner from the Intergrated Resort debate is a greater level of participation. But he quickly added that it could be sustained only if the government continues allowing openness of discussion on other issues. (Note 31)

The case of the Ministerial pay hike however suggests that public debate and participation remains highly selective. The public debate on the integrated resort that lasted almost year is more of an anomaly. Perhaps in the case of the Integrated Resort, more protracted discussions were allowed given the sensitivity of the issue and the Singapore leadership long standing aversion for a casino, especially Lee Kuan Yew after   his initial rejection of the idea nearly forty years ago. To the government's credit, initiatives proposed by the public were incorporated in the final adoption of the policy; enacting the Casino Control Bill and establishing the National Council on Problem Gambling. In contrast, discussions on the Ministerial Pay were less protracted. Even though Singapore Senior Minister Goh Chok Tong hinted on the impending pay revision in November 2006, the proposal was formally announced only in March the 22nd. Unlike the Integrated Resort issue, public debate was kept to only two weeks. Public discussions, especially issues on benchmarking methodology, made little or no impact on the final decision other than portray to the public that a fair amount of discussion was allowed. The ban on foreign delegates to discuss on the issue also underlined PAP's assertion of where the political out of bounds markers should be.

Although it would be administratively paralyzing to allow every policy issue to be debated for a year as in the case of the Integrated Resort, the case of the ministerial pay suggests that permitting public participation depends on the

severity such issues can impinge on the ruler –ruled nexus. Prolonged debate on the ministerial issue could potentially be socially divisive especially at a time, when there was growing concern of rich poor divide. Decision had to be swiftly executed, public discussions kept to a minimum and decisions executed persuasively. In fact, in his defence of the Integrated Resort, Lee Hsien Loong hinted at the PAP government's usual decision making operandi. Lee remarked that the public discussion on the Integrated Resort was an exception, a first, as the PAP led government usually avoids agonizing over policies in public and that its usual approach would be to settle the main lines of policy, then explain it to the public to reduce confusion." (Note 32)

The policy execution on the IR and the ministerial pay also suggest that participation, Singapore style, is one of pseudo or partial in character.   There is a sense of inevitability - at least among the public – that no matter how intense public debate would be, the government would go ahead with its initial proposal. Juxtaposing Pateman's (1970) description, public participation is just a technique to persuade the public to accept the decisions that have already been made.   In fact, PAP Member of Parliament, Tan Soo Khoon, went as far as suggesting that the decision to go ahead with the Integrated Resort is one of "Singapore's worst kept secret", suggesting in effect the inevitability of the outcome regardless of the weight of debates against the idea. (Note 33) It impresses the point that public discussion was held just to create a sense of participation and that ultimate power to decide rests on the elite few in government through persuasion.   In this case, persuasion, Singapore style, takes on the arguments of the need to maintain Singapore's competitive edge, highlighting Singapore's inherent vulnerabilities and the high cost of policy inaction to Singapore's survival etc.

The case of Singapore also highlighted the importance of authority, structure and norms in state's provision of public participation. The arguments by Eckstein (1966), Dahl (1956) and Berelson (1952) prove that participation and decision making is not totally devoid of the political, social and economic complexities of the society. Society is socialized into accepting an indigenous form of authority and the examples of the Integrated Resort and the Ministerial Pay suggest that Singapore's leadership understand that its application of authority to go ahead with the two proposals was congruent to the "authority level acceptable" by the larger society.   Forty eight years of uninterrupted PAP rule has socialized the Singaporean society into accepting a form of authority that inadvertently affects the tenor of public debates.   Public discussions on the Ministerial pay for instance, brought home the point that the Singapore society largely "accepts" the leadership's argument (authority). Even though the point of contention was on the best form of remuneration, the main thrust of the government's argument that ministers should be "appropriately" paid was largely agreed on. To a large majority of the citizenry, ministers should be paid accordingly in order to sustain and improve current delivery system. The sense of inevitability of outcome is also evident on the issue of the Integrated Resort. The year- long debate on the casino portrayed an inevitable outcome with statements by ministers and debates by the media creating the momentum and forming public opinion into accepting the proposal. In fact, leading up to the final announcement on the Integrated Resort, public opinion was not about whether there will be a casino but rather the number of casinos that would be allowed.

But society's "acceptable" level of authority is a dynamic process and very much a function of social and economic change. So far the PAP led state has been successful in devising ways in managing changing societal expectations, in large measures through creating new institutions in accommodating Singapore society's changing appetite on the "accepted" level of authority. For Singapore, state designed institutions - rather than that arising from civil society - are used to accommodate the growing need for more public involvement.   In fact, there were occasions when civil society groups or NGO's are brought into state designed institutions. Singapore's Nominated Member of Parliament (NMPs) for instance at times comprised of members of Women Group (AWARE) or independent think tank (the Roundtable Group), an incisive move at bringing alternative voice into state designed institutions.

However present boundaries of public participation will continually be tested and the state must keep up with creative ways at managing these changing expectations. So far there is little distinction between the Remaking of Singapore document from earlier documents like the Singapore 21 and the White Paper on Shared Values, as far as addressing the need for active citizenship, inclusiveness and participation are concerned. These values are embodied in various degrees in the three documents.   The state must design new ways other that coming up with new documents with similar underpinnings. These documents could temporarily assuage society's greater appetite for participation, but it may not eliminate the form-substance deficit.

That task to come up with creative ways of managing expectations would be increasingly challenging for the PAP leadership. Changing demographics, growing income gap, an increasingly mobile and well informed younger population plus an increasing number of naturalized citizens socialized with a different attitude to forms of authority, would require a new approach and a break from past policy remedies. Expanding the PAP state institutions and making further inroads into Singapore's political space would be increasingly tenuous given society's complexity. Issues of political out of bound markers, increasing use of cyberspace as a form of participation and the impact of new citizens to its political, economic and social structures will increasing test the PAP leadership as far as creating more participatory

space. In short, the PAP current strategy of expanding state institutions and stymieing the growth of civil society must constantly be held up against the Singapore's society changing acceptance level of authority brought on by a greater need for policy ownership.

Failure to manage changing expectations and to continue employing the archetype policy justification could possible generate what one prominent Singapore writer, Catherine Lim describes as the "great affective divide" – an estrangement between the government and the governed. Lim (2007) wrote that employing the tried and tested policy execution would do "away altogether with the compact of trust and respect". She went on to reiterate that it would create a "new affective" divide or reinforce existing one that will reduce the relationship between the government and the people to a purely business contract. Lim believes that the debates and the final position of the Singapore government on the issue of the ministerial pay could entrench political apathy, creating a possible disconnect between the ruler and the ruled.

"(It) will breed weary resignation in Singaporeans: What's the use of giving one's view at all? And, at worst, give rise to toxic cynicism: What's the use of teaching our young such values as caring and selflessness and sacrifice if each carries a price tag." (Lim, 2007).

8. Conclusion

The examples on the Integrated Resort and the Ministerial Pay demonstrate that state's role in encouraging public participation is bounded by a preset of institutional structures carved out from the PAP idiosyncratic leadership qualities and Singapore's unique political economy. As much as the PAP led government wants to encourage active citizenship and greater participation, the example of the Integrated Resort and Ministerial Pay suggest that it will be incremental in nature. The PAP 48 years of uninterrupted leadership will make it difficult for the party to abandon its preset of authority structures and norms; structures and norms that the party sees as instrumental to Singapore's phenomenal growth. This is demonstrated when public need for participation is accommodated in so far as through generating the "feeling" that the state is willing to allow participation, much akin to Pateman's (1970) description of partial or pseudo participation. The two documents (S21 and Remaking of Singapore) may demonstrate the government's willingness to allow public participation on issues of national concerns but the Ministerial Pay and the Integrated Resort issues demonstrated little radical departure in the PAP decision making modus operandi.

The experience of Singapore underlines the point that participation cannot be divorced from society's inherent authority structures. Level of participation and acceptance to authority are societal idiosyncrasies and it will be interesting how the PAP regime will continue to match its own authority structures and norms to that of the larger society. Going forward, it might prove inevitable that the PAP led government would have to look at more sophisticated ways in accommodating society's greater appetite for participation; more than just having another new document. It involves the regime to question the assumptions of its existing authority structure and whether those assumptions remain valid.

Public participation is an important element in strengthening the social fabric. Although in the Singapore case, one may argue that enlarging state institutions into the larger political space has worked in assuaging the need for participation, Singapore's social fabric could be seriously tested during moments of economic adversity. Such events will demand societal resilience – a quality that could be tapped from having greater level of participation, stronger sense of ownership and a healthy civil society.

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Notes

Note 1. In Pateman's (1970) describes that "the concern was not to set up a situation where participation (in decision making) took place, but to create a feeling of participation through the adoption by the leader (supervisor) of a certain approach or style; 'participation' was thus 'limited to member endorsements of decision made by the leader who....is neither selected by the group for his actions...the group leader, has a particular goal in mind and uses the group discussion as a means of inducing acceptance of the goal." p. 69.

Note 2. Net was Abuzz with Politics during Poll Period. The Straits imes. May 9, 2006.

Note 3. Ibid.

Note 4. The election result in 2006 saw the ruling PAP share of votes dropped to 66.6 percent from a high of 75 percent from the previous election in 2001.

Note 5. Why inequality is centre stage in Singapore's election, Financial Times, May 4, 2006.

Note 6. In the Agenda for Action, the government formed six advisory councils in the area of culture and the arts, sports and recreation, family and community life, youth, the handicapped, and the aged, each headed by a cabinet minister in Quah, 1989:2 in Jon ST Quah political consequences of Rapid Economic Development in Singapore p43.

Note 7. Ibid.

Note 8. Straits Times, July 25, 1984 from Jon S.T. Quah, Political Consequence of Rapid Economic Development in Singapore).

Note 9. Straits Times, November 30, 1989.

Note 10. The five values outlined by the white paper on Share Values include; Nation before community and society before self; family as the basic unit of society; community support and respect for the individual; consensus not conflict and racial and religious harmony.

Note 11. Regrouping the Singapore Diaspora, The Straits Times September 30th, 2006.

Note 12. Singapore 21 Report p2.

Note 13. The five dilemmas include: between less stressful life vs retaining the drive; needs of senior citizens vs aspiration of the young; Attracting talent vs looking after Singaporeans; internationalization/regionalization vs Singapore as how; consultation and consensus vs decisiveness and quick action.

Note 14. The Singapore 21, Together We Make a Difference. Since its introduction the Singapore 21 document has been adopted by the civil service and public organisation. The Civil Service for instance has adopted the Public Service 21 document, charting new values needed by the civil service. Also there is the Retail 21 which is a 10 year strategic plan for growth in the retail sector and the Manpower 21 that sets out a blueprint to address issues of manpower development, manpower planning. Life long learning and there are others.

Note 15. Remaking of Singapore document pp 5-6

Note 16. Singapore 21 document p14

Note 17. Others questioned the benchmarking measurement put up by the government, suggesting that the government takes instead a moving average or perhaps benchmarking againsts leaders of the G8.

Note 18. March 27, NZ govt took heed of public views in setting pay, the Straits Times.

Note 19. Top Lawyer Weighs in on Salary Debate, Straits Times, June 2, 2007.

Note 20. Government Says No to SDP Public Forum, Bars Foreign Speakers. Straits Times. April 13, 2007

Note 21. Straits Times, Put ministers' pay in perspective: MM, April 5, 2007.

Note 22. MTI Budget speech 2004, quoted in Business Times, All Eyes on Government's Casino Decision, April 18, 2005 Monday.

Note 23. One wrote to Singapore's Straits Time Forum page, saying that having a casino will not help those who are most in need. The additional employment he says will be in the form of low paying jobs and that his take on cities with casino were pretty dismal "littered with broken homes, pawnshops and the homeless. In the Straits Times , What will Singapore be like Post 2009? Straits Times Forum, April 22

Note 24. Straits Times, April 22, 2005, PM Lee rallies Singaporeans; Move on, close ranks and make integrated resorts with casinos work, he says. Lydia Lim , Senior Political Correspondent

Note 25. Straits Times Unconvinced MPs worry about social ills; Fallout from addiction, effects on work ethic among concerns, April 20, 2005.

Note 26. quoted in the Straits Times, PM Confident most Singaporeans back idea, April 22, 2005

Note 27. Straits Times. Labour Chief: I could not say no to 35,000 jobs, April 20, 2005

Note 28. Straits Times, The old virtues are valuable but no longer sufficient. April 20, 2005

Note 29. MM Lee backs decision on resorts with casinos**;** The old virtues are valuable but no longer sufficient, Straits Times, April 20, 2005).

Note 30. Ibid.

Note 31. Straits Times, Unconvinced MPs worry about social ills", Straits Times April 20, 2005, Wednesday.

Note 32. Lee Hsien Loong: Excerpts of Parliamentary Speech.   April 22, Straits Times.

Note 33. Straits Times, Unconvinced MPs worry about social ills", Straits Times April 20, 2005, Wednesday.

The Present Situation of Fairness in

Elementary Education

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Abstract

With the development of the society, there is a widespread public concern about the problem of "fairness of education", which possesses the prominent characteristics of the times in different educational stage. This paper views from the angle of "elementary education", then carry out analysis of the problem of fairness in starting point, educational process and the result, and gradually spread out the reason for this phenomenon. At the end of this paper, it puts forward some proposals about how to strengthen the fairness of education.

Keywords: Elementary education, Fairness

1. Introduction

In this modern world, education is not only an essential prerequisite of the individual's survival and improvement, but a forceful tool to pull the society goes forward. The fairness of education is a part of the fairness of society, also the reflection of it in the educational area. Therefore, the fairness of education is limited by many factors, such as the social political policy, economic policy, culture development, social classes and population development. The unfairness of the society leads to the phenomenon of unfairness of education; meanwhile, their interaction will only aggravate the both sides even further. As it is known that the disparity in all works of the social development, there prop up various problems of the unfairness of education. Thus, how to equalize the education becomes the hot topic in people's discussion.

1.1 Fairness of Education in China

With the promulgation and execution of the law, called "Nine-year of compulsory education", people can see the progress our elementary education has made evidently. According to some data, by the end of 1977, six provinces had achieved the goal of the law. About 65% of the population had received the compulsory education, the ratio of children entering the elementary school was 98%, the junior high school students aged 12~14 was 87%. Generally speaking, the country had popularized the basic education, but in fact, the gap was great. Take the data from the report about the ratio of compulsory education's popularization for example: the western part was 96.47%, the middle part was 81.87%, and the eastern part was 42.26%. When the developed area along the coastal had nearly popularized the education of the junior high school, 2/3 of the western part hadn't met the standard, and the poor minority there hadn't popularized the elementary education. Therefore, the disparity of education in different area was obviously great. We can analyze it from the starting point, process and result.

1.1.1 Fairness in starting point

It indicts that everyone can enjoy the opportunity of receiving education. According to the law of the compulsory education, all the children that are of the right age own the right of being educated, and their parents have the obligation to guarantee them to complete the compulsory education, but influenced by the inherent quality, facility, environment, economy situation, the education's scale and standard, so many unfair cases happened frequently. This phenomenon could be displayed by the difference of the ratio of entering school and drop school between different areas, the way of recruiting students, and more boys than girls in school, all these facts can reflect the unfairness of education.

The compulsory education has been regarded as a special gift the country gives to all the children. Nevertheless, there are a great number of children have no approach to this gift. Data from1983 to1990 displayed that the number of illiteracy in China was 11 million; average number was 137.5 per year. The ratio and scale was reduced from the 1970s, but it was still a large group. Recently, the essential reason for the phenomenon of illiteracy has been the weakness of the elementary education's procedures. One explanation is that many right age children can't enter school; another is that some of school children can't continue to afford their studies; they quit school in the middle of the term, because of various of reasons.

Although the ratio of entering school increase than before and the education in the country has improved greatly, the unfairness in education still is a serious concern, and takes place often. Take the ratio of entering school between city and

country as an example in1995: the enrolment rate of the nine-year compulsory education in rural area took up 89% in all the right age children. In the whole country, ratio of the students being in school was far less than 80%, for example, the rate of elementary school was 70.5%, and the junior high school was 57.1%. Let's look at the present situation of the secondary school in 1998 between the rural area and city area; students from the countryside took up 50% in the junior middle school, while only a quarter in the senior middle school. The disparity between the city and rural rose by four-percentage points from 1995 to 1998.

View it from the point of the school dropout, the situation was also serious. According to an official source, during 39 years from 1950 to 1988, the overall number of the dropout in elementary school is 307.834 million, averaged 789.33 persons decreased per year. The dropout rate was 7.7%, which means one student quitted school out of 2.5. Meanwhile, dropout rate in junior high school rose continually. The problem of the little girls' right in compulsory education was a great concern. It has been reported that the dropout rate was cause by the little girls on general. Little girls have less opportunity to continue their studies than boys. The female illiteracy took up 49% of the total number. In 1997, some related research showed that in the compulsory education stage, if the family was faced dropout, most parents would show favor to the boys, in this circumstance, the scale of sexual distinction would incline to boys, who were favored. Compared with them, it was nearly impossible for the little girl to enjoy this fortune, while they easily became the sacrifice of dropout. In the great majority of cases, they were deprived of their political rights for education.

For a long time, the society placed undue emphasis on the proportion of students admitted to school of a higher level. Thus, the society only paid great attention to the key school, while ignoring the ordinary schools. As a result of this phenomenon, there started a school-collecting craze. Of course, the existence of the key school is above suspicious, and it's not corresponded to reality to let the parents show no concerns to them.

In order to avoid the phenomenon that the key schools are crowed with students, while the ordinary schools only recruit few numbers of students, most of the provinces adopt the way that children at the right age are supposed to attend school in the neighborhood. However, numerous problems cropped up, because the quality of the faculty, the conditions for setting up a school could not meet the parents' standards, they would spare no effort to solicit help through social connections for the sake of entering the key school. Actually, the situations of heavily over-students in key school haven't taken a favorable turn.

The state education department has proclaimed a policy, named "strengthen the weak links in schools construction". The official document put emphasis on plan to help every school in the city, and narrow down the gap between them. Another issue rose in front of us, how to improve the ill-equipped school. The society must increase the funding for education, at the same time, the amount of funding for education per year is limited. Thus, as long as we did so, the consequences were favored one side and discriminate against the other. It would take much energy, money to help an ordinary school become excellent. People would rather invest the money to key school for the bright future. Therefore, the present difficult plight was a discouragement to the action of strengthening the weak link in schools' construction, and the issue of school electing is still unsolved.

1.1.2 Fairness in procedures

It means to assure everyone receive good education, which is displayed by he disparities on some aspects, such as education funds, resources, contents, student-teacher relationship, impartial evaluations.

First of all, there exist the disparities in the educational resources distribution and the mode are not rational. This gap, in fact is determined by the economy development, and is the reflection in the area of education. Put it in concrete terms, the developed area has more financial strength to invest the education; on the other hand, it's difficult for the developing area to do so. Worse still, they are sometimes short of funds to meet the basic demand. In the family's respect, which refers to the expenses the families spend on education, people in developed area have a good income; few families' earn a low income, which stands for a small potation. Thus, the phenomenon of students' quitting school happens more frequently in under-developed countries than in economically advanced area. Meanwhile, the distributions of professional competence of the faculty are also irrational between areas. In the economically advanced, the education funds are well established, so the teachers' pay and benefits are attractive.

A large number of the teachers working at inland area are drawn to the coastal areas. Out of our expectation, in the poverty-stricken area, the phenomenon of losing of faculty is more aggravated, for the reason of the delayed wages of the teachers, Secondly, about the issue of teacher-student relationship. It is supposed to be democratic, equal, harmonious, jointed by the main line of affection. In reality, our teacher-student relationship isn't as the description above, the teachers stand for the supreme authority, while students should be obedient to them. Teachers' task is to repeat what the textbook says, with a stern expression everyday, as far as the students concerned, they do the same thing day after day, sitting in the line straightly, accepting the words as imperial edict totally and uncritically. If things go on like this, how could we deny the saying that out children are more and more servility? The problem lied in that when the teachers educate the students, they use the one-way means, instead of regarding them as persons of marked individuality, independence and potential capacities. The relationship between students and teachers is equal. Whether the teachers treat their students in cognitive approach, or respect their students' emotional experience, all these can adequately embody the concept of fairness in relationship between

teachers and students.

Similarly, as to the problem of top students and the slow students, teaches' impaction is important. Education functions as the machine tool of working, it should be served for all the students, treat everyone the same. Presently, many schools and teachers are longing to be the good judge of talent, favoring to the students of great talent. Why the slow students have less chance to enjoy the benevolent action. The teachers are not the private tutor of the good student. They are in the face of a group that the good and the bad are intermingled.

A famous educator once proposed such a saying. He said, "the positive features of the slow students, to some degree, are not possessed by the top students, the reasons are as following: they can't digest what the teacher said, but they attend classes everyday; they encounter criticism everyday, but they meet with a smell everyday; they fail to past most of the exams, but they enter for the examination every time. This strong will power, which support than to rebound from a setback, is what the top students' lack, and many events have proved this to us, too many complimentary remark confused the top students who haven't taste the sense of frustration or depression. We have to admit that it's a drawback in our education ignoring the activation of EQ when we develop intellectual resources.

1.1.3 Fairness in result

It doesn't mean that the students will get to the same level after being educated, so does the achievement in studies, and the full development in each field. It mainly displayed the disparities in education among the different areas, also the backgrounds and opportunity of the students.

According to the related the research paper, when it comes to the social classes and family background, there still exists the difference of entering the key school and institution of higher learning. The disadvantage group lack choice, the sense of unfairness is increased by the gap of quality of education resources and requirements for admission. The children of the labor workers, who composed 90% of the population, are in a disadvantage position in front of the policy named everyone is equal before marks. On the other hand, children with the cadres and intellectuals background form a large proportion in the famous university and the popular specialties. Even being recruited by the college, and unpopular majors, such as the military academy, mainly admit the students from the poor area teacher-training school and agricultural colleges. It is in the key middle schools of the cities that the same phenomenon happens. Students from the cadres' and intellectuals' family take up a large part, far more than other social classes. Presently, the social are now focusing on the issue of "fairness in result". Essentially, it's the problem of the unfairness happened in college entrance examination. We adopt the national matriculation examination policy, thus we've already acquire the feature of fairness formally —everyone is equal before marks, meanwhile, we admitted students by means of quota system in separate provinces. But the policy gives priority to the city, instead of on the basis of the total students. Therefore, a strange phenomenon come up, the same paper, but the enrolment cut off point is greatly different, this situation widens the education gap between city and country.

More and more applicants to colleges and parents are not contented with the gap of the cut-off point was even lower than other provinces about hundred prints. This is a rigorously limitation to the students from other province to further continue studies in Beijing or Tianjin, where the universities crowd together. The so-called fair college entrance examination is unfair to examinee from the other parts of the country.

2. Analyze the Issue

2.1 Theory of "Equality of education"

Fairness of education has different definition in different times and social backgrounds. It's a conception with the features of dynamic, historical, regional, and this fairness can never be seen as static, historical and absolutely. Fairness of education has many meanings, but the theory "Equality of teaching", written by Thomason, a Sweden educationalist is adopted by most of the textbook and theoretical research. What is the Fairness in Wilson's theory? He believed that as far as the individual concerned, the fairness contains three meanings: first, fairness can refer to the starting point of an individual, everyone could begin his studying career without any limitation; second, fairness should also take place in the educational course, that is to say, the same treatment goes through the whole course, regardless of the human race nationality and social classes; third, it could also refers to the final goal, helping the students get the equality of opportunity to success in their studying .

On the basis of the theory, the educational practice goes closer with the guideline. Gradually, people form a common understanding on the definition of fairness of education.

On the whole, people divide the contents into three parts: First, fairness in starting point, which means that individual has the same opportunity to enter school, an everyone has the right to receive education, meanwhile, the country an the society should provide the basic condition to every child with the right age attending school. Second, fairness in process refers to the opportunity of receiving education should be equal; everyone owns the same chance to enter different educational department and get the same treatment in the process. Third, fairness in result refers to the opportunity of being success in their studying. This is on the strength of the fairness in starting point and process, in order to help the student's meet the latest standard.

Fairness of education owns different features in different educational stages. Generally people consider it from the

elementary education and advanced education. On the aspect of advanced education, many countries still can't research it, only few countries begin to popularize it. As a result of this kind of education, so this paper is going to discuss the fairness of education from the point of elementary education.

The unfairness happened in the education is mainly determined by the economic development. The slow economic development leads to the inadequate education resources; and the unbalanced development in economy and cultural causes the urban –rural disparity, regional variations and poor-rich disparities; the concept of value sons and belittle daughter deprived the girls' education right more. The objective reality is formed with the history, therefore, the problem can be solved by the economic development and social advancement, and the reasons are as follow:

2.2 The origin of the problem

Trace the problem to its origin, all the unfairness stems from the unfairne in the economy. The country has made remarkable progress since 1980s. But on The general, it is unbalanced development, and this situation is more marked in the country, which is displayed by the low-level of the economy and development. When the coastal region in the eastern part developed commodity economy and township industry, their economy has developed rapidly, so has been the cultural and educational undertakings, while the central part and western part of China, the situation is the opposite. The agricultural operations in many areas are still in the state of infant farming. Their Economic power wouldn't permit them to invest more on education.

2.3 The source of educational expenditure

The source of educational expenditure in underdevelopment area is single. After 1985, our elementary education adopts the system of local government responsibility, level-to-level administration. Local governments at various Levels are directly accountable to the educational funds. Some township governments in poor area are unable to pool resource to support education, which aggravated the gap between areas. Generally speaking, the rich areas have more access to attract investment, such as the school-run factory, rises Funds to run schools, or donate money to build schools. On the contrary, the rural areas have no approach to these funds.

2.4 The backward cultural value and ideology

The backward thoughts are also the barrier for the development of education. It not only comes from the low productive forces, but also from the concept "a good scholar will make an official" formed in the feudal dynasty. At the same time, the locality in the countryside often perceived the educations as an individual behavior, illiteracy would not harm others. So it is unnecessary to enforce the nine-year compulsory education. In addition, the main reason for the girl dropout is the concept "value boys and belittle girls".

2.5 The unbalanced distribution of education resources

The unfairness lies in the unbalanced distribution of education resources. Now in the country, the distribution of the education resources tends to be unequal. The better schools they are, the more preference they got. Instead, the Worse the schools are, the more difficulties they meet. Therefore, the education distribution should consider two guidelines; one is that the rule should narrow down the gap; the other is that give more help to the backwardness. Besides, the key factor to the unfair distribution is the different attitude of the national education department to the higher education and elementary education. The society pool more educational funds to the higher education than any other country in the world. People think much of the higher education, and this embodies the concentration of efficiency. Things continue this way for a long time; the elementary education was placed at a disadvantage position. These realities go against with the educational fairness, and lower the quality of the population. Generally speaking, it's not a good omen for the economic development.

2.6 The incorrectness in the educational policy

The original will of the educational policies was good, but some had the Side effect of the unfairness. Take the college entrance examination for example, the gap in the cut-off point denies many students' opportunity to continue their studies. In addition, there are many other factors for the unfairness in the elementary education, such as the disparities existed in the quality of faculty, students' intelligence, the arrangement of the curriculum and the social backgrounds of the families.

3. Suggestions about how to cope with the unfairness in education.

As the above discussed, the fundamental education right the Chinese citizen enjoyed is "an unfair right" in substance. Therefore, it's the basic goal of the educational reform and development to accelerate the process of equalizing the education right.

In view of the existing situation, we can begin to solve the unfairness in the elementary education from the following aspects.

3.1 Balance the educational resources

As regards to the educational resources, there are three points. First of all, to make sure the financial power can support the educational funds. Give more expenditure to the poverty areas, in order to help them catch up with the standard, and reduce the gap between them. Secondly, establish the educational funds, and attract the education investment. The society should readjust the educational policy, and explore all possible sources of revenue, and further standardize the input in education,

especially in the poverty-stricken areas. Meanwhile, the society should assist and encourage equalizing the distribution of the education resources. The new concept of the distribution is "Narrow down the gap during the development, increase the fairness"

3.2 Improve the quality of the faculty

As far as the human resources concerned, the society should strengthen the teachers' training, improve the quality of the faculty, and establish the democratic teacher-student relationship. The teachers are supposed to show care to all the children, give them the impartial treatments.

On the other hand, it's urgent to introduce the mechanism of discovering the people with talent. The schools can resort to some kinds of methods to reverse the strange situation, which the poor area lack teachers, while the college graduates are out-of-job. It's a better way to set up some incentive system by the state, in order to enhance the level of wages and benefits in the under-developed area.

Besides, the directional recruitment of students is also a practical scheme.

3.3 Revamp the irrational system

The educational policies are also concerned. First of all, revamp the irrational system. For example, overhaul the college entrance examination; cancel the different cut-off point in different areas. Local authorities should develop there education in line with their condition, and set up the clear stream of thought to infuse the locality concept, so as to be free of the hard and fast rule. Our aim is to reduce the disparities between the rural and the city by means of the educational system of educating young people in accordance with their special characteristics and the existing situation. Secondly, put priority on the development of the weak links in school construction, and change the situation of laying undue emphasis only on the key school. It is beneficial for us to learn from Japan and Korea educational reform, so as to push our education equalize. We can first realize the fairness in elementary school during the limited time as the first step, then step into the higher education gradually.

Once again, make sure the preference policy be established, and give assistance to the middle and western parts, so do the weak groups. The main point of third operation should popularize the nine-year compulsory education among the outlying villages and the minority nationality, narrow down the disparities in junior education between western and eastern, and increase the rate of universal junior high education in ethnic minority. We should attach importance to the education for the children of the floating population and low-income classes, and more important is to reach a practical solution of the education opportunity and fairness.

Conclusion

This paper is spread out from the point of the fairness of education in elementary education. As my paper described above, we still have a long way to go to realize the real fair education right to everyone. It will benefit not only the individual, but the whole society. Thus to cultivate the sense of fairness of education is the main task of the education reform now. May this paper will do some help to the existing situation.

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A Brief Analysis of the Tort of

Network Transmission Right and Its Verification

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Abstract

The traditional tort is limited in the framework of real life. However, the tort of network transmission right, existing on the particular medium of internet, has distinct characteristics. Its particularity has caused many complex and difficult cases, such as Baidu infringement case. This paper aims at analyzing the network transmission tort from two aspects. First, it tries to explore the special nature comparing with the traditional tort. Second, it gives some proposals concerning the identification of the network transmission tort for reference.

Keywords: Network transmission tort, The particularity of the tort, Identify the tort

1. The issues are proposed

The infringing acts of network transmission right itself result in the difficult verification of infringement liability because of global Internet, invisible network data, and rapid transmission. Thus the legitimate rights and interests of others are often violated by the infringing party. In recent years, such infringement cases have occurred frequently. The more typical are Wang Meng case, Zheng Chengsi case, Baidu case, and China MP3 case, etc. All the issues brought by these hard cases have resulted from the particularity of infringing acts of network transmission right. Before Regulations of Protecting Network Transmission Right was enacted, this type of infringement cases, for lack of legal grounds, had caused a lot of controversies just because the complex network tort itself is extremely difficult to verify. It is after the issuing of the Regulations that Baidu infringement case has a relevant legal ground. Baidu lost and the case was over. But a series of problems still remain. These problems are: what is the difference between the infringing acts of network transmission right and the traditional ones? What are the constitutive requirements? What is the standard by which the network transmission right can be verified?

2. The constitutive requirements of the infringing acts of network transmission right.

Traditional tort has four constitutive requirements. The infringing party has subjective faults; the infringing acts do exist; there is the fact of injuries; and the infringing acts and fact of injuries have the cause-effect relationship. However, if the infringing acts happen in the net context, there will be another situation. The tort of network transmission right has its own particularity. The four traditional constitutive requirements of infringing acts, if put in net context, may become selective rather than indispensable. It requires a choice in a certain specific case in the judicial practice.

First, one of the traditional infringing acts is that the infringing party must have subjective faults. But in digital environment, there exists deep link acts so the infringing party can make measureless reproduction at any time by ISP or OSP. And it is difficult to verify who the real infringing party is. Direct or indirect infringement is also difficult to identify. In this case, Professor Zheng Chengsi claims that infringement liability principle of intellectual property rights, generally speaking, should belong to principle of liability without faults. No-fault liability principle is applied to the acts of first utilizing acts of works (such as unauthorized copy, or the first step of direct transmission such as performance, etc.), and acts of using patented inventions and creations without permission. As for the other acts or indirect infringement of intellectual property right, infringement liability principle will be considered. (Chengsi, Zheng. 2001.06. Section 1 of Chapter 5). Professor Zheng Chengsi here adopts an approach of differential treatment, and provides a reference for other similar infringement such as Baidu case. In judicial practice, such case as the acts of Baidu deep-rooted link is classified into indirect tort. Wang Qian names it as "assistant tort". (Qian, Wang. 2007.). The judiciary authority did not relieve the search engine server's tort liability. It is the first application by our judiciary authority since the Regulations was issued.

Secondly, another of the four traditional constitutive requirements of infringing acts is that the fact of injuries does exist. Of course, most of the infringing acts have done harm to the interests of copyright owners. A few of indirect infringing acts may have no temporary facts of injuries but in the long run they are sure to bring harm. Take Baidu infringement

case as an example, its skin-deep link acts do not cause any harm to other people's music copyright. It seems only provide search services as an agency does. So Baidu won the first trial. However, Baidu's acts have potential hazards. Wang Qian in his article, Re-discussing the Verification of Indirect Infringement of Information Locating Service Provider, points out that Baidu has provided such materials as Top100 of new songs, the list of hundreds of singers, and so on, which is actually an infringing act. On the top list, it is easy to find the name of a song linked and its singer, but it is common knowledge that a record company will not authorize any website of its pop songs and the singers with free of charge. Even if managers of the website glance at the singers and the songs on the Top List, they can not be unconscious that the songs linked have been uploaded to the third-party website without any permission. (Qian, Wang. 2007.). Meanwhile, it is applied to the second half of article 23 of the Regulations that those have known or should know that linked writings, performances, audio and video products involved in tort, should bear the responsibility of joint tort. Baidu won the first trial but failed in the second one. The results are totally different. Chinese judiciaries can adopt timely the latest academic research achievements and the relevant new laws promulgated, which reflects the improvement of trial techniques in dealing with the hard net case.

Thirdly, the principle of cause-effect relationship can not be generally used as a touchstone in the net world again. Traditional tort theory believed that where there is cause, there is effect. So there exists a cause-effect relationship between the tort of the infringing party and the fact of injuries. Net is reviewing whether the principle meets the need of development and in the net context whether it has exceeded the principle of cause-effect relationship. The answer is yes. As mentioned above, in Baidu tort case, is Baidu the indirect infringing party? Or does it with a third party constitute the joint tort as Article 130 in General Principles of Civil Law says? In practice, the indirect tort is extremely difficult to verify. Deep link has resulted in unrestricted acts of duplication and there is also no standard to verify which tort is direct or indirect. An infringed object in traditional tort is a real, natural person. And the traditional tort is closely related to real life. So it is easier to verify the standard of compensation and collect data comparing with the tort in the network transmission. But digital environment is beyond the real life. So the traditional cause-effect theory is not suitable for all the situations. Therefore, in dealing with the net tort, if the existing network legal provisions are strictly adhered to, many obstacles will appear. As mentioned above, due to the acts of hyperlinks by a third party the infringement objects are not specific. An infringing party's duplication and re-duplication will result in another infringing party or perhaps numerous more.

A real example is that there are three terminal services. Duplications are made from the first one to the last in a subsequent order. Furthermore, each duplicating must be based on what the former terminal service has done. If No1 terminal service is direct tort, No. 2 will be indirect tort. Likewise, No. 2 terminal service will be direct tort relative to No.3. Therefore, No.2 terminal service is both direct and indirect infringement. It has the double natures of infringement. It is obvious that numerous terminal services like No.2 exist. The traditional cause-effect theory is no more applicable. The following table can give a further explanation.

No. 1 terminal service	No.2 terminal service	No.3 terminal service
Direct tort	Indirect tort relative to No.1	Indirect tort
	Direct tort relative to No.3	

Due to the continuity of time and space of acts of reproduction on the net, the standard by which direct and indirect infringements are classified becomes increasingly obscure. Such terminal services as No. 2, which belongs to both the direct and indirect torts, have the largest proportion of network infringing acts. It is also difficult to apply a single legal standard to define them, resulting in the hard enforcement in practice. It seems we need to find other criteria. I propose that in confirming a network tort, direct or indirect infringement has its significance only in a very limited space. Two key points must be taken into consideration as to whether it is a fair use or whether it is for commercial purpose. Or from another perspective, due to the extremely complicated network environment, it is difficult to verify who is direct infringing party or indirect party. Therefore, on most occasions, the no-fault liability principle should be applied. And on a few occasions, the principle of fault liability is applied (that is, the four infringing parties, ISP, ICP, IAP, and network terminal customers). For example, some scholars advocate that the principle of fault liability should be applied to "compensation for losses in tort. That is, liability for damage should be determined by whether the infringing party has subjective faults, its nature and to what degrees the fault is. Especially, the amount of compensation should also include the reasonable expense which a creditor pays to stop the infringing acts, as is added by TRIPS Agreement. It has broken through the provisions of the principle of compensation confirmed in China's General Principles of Civil Law and reflected the special nature of copyright protection." (Wei, Duan. P.29.). In most cases, principle of no-fault liability adopted has embodied the complicated network context and can give an effective protection of the interests of copyright network. The examples mentioned above have already exceeded the limits of the traditional tort. Therefore, we need a new angle to view such infringing acts. A judge should be allowed free space to make a judgment when he orders a specific case. Although the introduction of the Regulations has provided more reliable legal grounds for the

similar hard cases, any of the laws will inevitably have their shortcomings, which requires that Chinese judicial organs should suitably adopt some practice of international pact to give legal regulations when judging the similar hard cases.

In short, the tort of network transmission right has two types of constitute requirements, direct tort and indirect tort. First, the constitute requirements of a direct infringement are: a. The infringing acts exist (which is essential to any network tort); b. The fact of injuries exists. Direct infringement has no deep link. The infringing party has committed direct offence against the exclusive rights of the others. Thus, the fact of injuries is very obvious. C. the cause-effect relationship exists. Because it is direct infringement, no-fault liability standard is adopted to confirm it. Thus the cause-effect relationship is obvious between the infringing party and the fact of injuries. d. No-fault liability is applied to the direct tort so it is needless to consider whether the infringing party has subjective faults or not. The constitute requirements of indirect infringement are: a. The tort exists; b. The fact of injuries is often put off. That is, no actual loss is produced at that time but in the near future the injuries are to be brought in. The Internet Access Providers (IAP) such as Baidu, are typical examples. Baidu provides Top 200 singers in the music search pages. The indirect tort will result in a potential infringement. c. Subjective faults exist. At present, Chinese judicial organs adopt fault liability principle to the four types of infringing parties of network tort (ISP, ICP, IAP, network terminal customers) in the legal practice. It is a progress for the judicial organs in trial since the performance of the Regulations. d. The indirect tort has transcended the traditional one-way mode of an infringing party to infringed network works. Meanwhile it exceeds the restrictions of traditional cause-effect relationship. And all these require we should analyze different situations differently.

3. The standard that confirms the tort against the network transmission right

3.1 Is the tort in the range of infringing the exclusive rights?

The network transmission right is not only a property right but an exclusive right. Copyright Law endows people with the proprietary right. Many works says at the rear that the copyright belongs to the original author; without the author's consent reproduction is not allowed. Then the reproduction without the consent of the author of course belongs to the infringing acts against the copyright for it has invaded the scope of the author's exclusive right. The word of exclusive right is closely related to direct infringement. A concrete manifestation of direct infringement is that direct reproduction and link are made without authorization or permission thus causing the offence to others' rights.

As for the concrete performance of network copyright infringement, Cong Lixian has cited the following ten network copyright infringement manifestations: (Lixian, Cong. 2006. pp.29-31.) a. make bold to publish an author's writings without his or her authorization and permission; b. publish the co-writings with one name without the authorization from the other co-writer; c. sign the name on the book of others without participating in the creation to seek personal fame and fortune; d. distort and tamper with other people's writings; e. plagiarize other people's writings; f. spread the writings on the internet without authorization by means of reproducing, exhibiting, distributing, and showing, adapting, translating, making notes, compiling, making films and the alike, etc.; g. spread other people's works on internet without pay according to the relative regulations; h. infringe neighboring right of copyright. From the above we can see that a. b. c. d. e. f. and g. are typical infringing acts against the exclusive rights of copyright. It is usually believed that what Copyright Law has provided on the ordinary infringing acts is applicable to those in the digital environment. The above ten situations are actually the concrete performance that Article 46 in Copyright Law has in the digital environment.

Standard of exclusive rights is applicable to distinguish direct and indirect infringing acts. Professor Zheng Chengsi believes that the infringement liability principle of intellectual property right is generally speaking the principle of no-fault liability. "As for the first step of infringing acts as (unauthorized copying, or as the first step in direct communication such as performance, etc.) using the works, as for the acts of using patented inventions and creations without any authorization, the principle of no-fault liability is applied. As for the other acts and all the acts of indirect infringement against intellectual property right, fault liability principle is applied." (Chengsi, Zheng. 2001. section 1 of chapter 5.). Here professor Zheng Chengsi differentiates the direct tort from the indirect tort and gives the applicable no-fault liability principle and fault liability principle respectively. In addition, Wang Qian in his text, On Defining the Network Transmission Acts and Verifying the Infringing Acts (part 1), also points out that "an act, if it is not in the scope controlled by some exclusive rights, that performed by others is not likely to be direct tort". (Qian, Wang. 2006.). Tort of network transmission right is one of the network infringing acts. Thus standard of exclusive rights can be used to define it. But its main role is to distinguish between direct and indirect infringing acts. So it is not enough to have a single standard. In real practice of trial, fair use should be taken into consideration.

3.2 Is it "fair use"?

Fair use or fair dealing is used in the Anglo-American common law. China's Copyright Law names it as right limitation. That is, in a certain range works can be used with no pay and without the consent from the copyright owners. Fair use is different from the statutory license or compulsory licensing. It can be said that the fair use has cut off the economic ties

with the copyright owners. With no pay or no permission, only some obligations should be fulfilled. The functions of fair use lie in that "conflicts among writers, disseminators, and other users of the works can be reasonably eliminated to realize the equilibrium of interests among three parties on the basis of safeguarding the rights and interests of the authors, thus promoting the prosperity and progress of the whole community." (see note 1).

When an infringing act is verified, it is a linchpin to take fair use into account. Fair use is a legal system and plays an important role in theory and in practice. In practice, it works as a comparatively good equilibrium in individual rights and public interests. Furthermore, the fair use system as an exoneration principle of the network transmission infringing acts has been recognized within the academic arena thought there is controversies in some theoretical circles. Posner, an American economic jurist, provides a word of "efficiency" when studying the relationship of law and economy. That is, all the laws and all the legal systems should aim at making full and effective use of natural resources and maximizing the social wealth. (Aiguo, Xu. P394.). In my eyes, Posner's efficiency is the existing purpose of fair use. It can be said that if there is no system of fair use, there will be no need for Copyright Law to exist. As stated above, fair use system has played a role of a comparatively good equilibrium of individual rights and public interests. Then, what is the purpose of this equilibrium? The purpose is to maximize the use of resources, and optimize the allocation of resources. Which means good steel should be used in the blade. Posner's efficiency is a reference scale and a standard. To be thinking economically involves many social aspects and provides a mechanism for reference for the existing problems of society. The theory relative to the economic efficiency is that "to seek the most happiness for overwhelming majorities of people", advocated by British jurist Bentham. Bentham's opinion has something with public interests. He proposed his theory from the perspective of economic analysis. Of course it bears some features of utilitarian. In real life, the conflicts between individual rights and the public interest are not absolute, but assuasive. So we should take into account the interests of all parties and make right choices in the actual operation.

Internet as "the fourth media" certainly belongs to the traditional media scope. I believe that "and other media" in the third and fourth items of Article 22 in the Copyright Law should be understood to include network medium. Likewise, fair use in Article 22 of Copyright Law can be explained in a broader sense. Fair use in paper can be further extended to the Internet. "Except for the purpose of fair use, to download others' works of copyright belong to copyright infringement ". (Juqian, Li& Fan, Yang. P.87.). Fair use includes that others' works can be used for the purpose of individual study or teaching or researching. Hence, Article 22 of Copyright Law gives specific provisions of twelve cases for fair use. In addition, Article 6 in Regulations of Protecting Network Transmission Right also provides eight cases for fair use with no pay or no permission from the copyright owners, etc. To summarize what Regulations and Copyright Law has provided about network fair use, I think that network fair use can include: a. to utilize others' works for learning, researching, and teaching; b. to repost the words on a BBS (electronic message board) to another one, that is, from one forum to another one. The sources and the relative information about the authors should be indicated when reposted. In addition, what should not be reposted, according to the author, can not be reprinted or reproduced. c. to use others' works in distance education. However, distance education may not be used for commercial purpose. To use others' works is only for teaching purposes. d. others' works is used in digital library. But digital library should promptly destroy the copies in case of the tort. e. Current news is not in the scope that Copyright Law protects. Therefore, when news is reported, it is impossible to avoid the use or reproduction of the works of others. It is a fair use and it is no necessary to pay and get any permission from the copyright owners. f. The technical measure, provided in Article 26 of the Regulations, refers to the effective techniques, devices or components that prevent and control those without permission from the copyright owners from enjoying, performing, recording and making videos or offering these services by means of internet. The United States Congress in 1998 promulgated Digital Millennium Copyright Act of USA, which gives a bit more restrict provisions concerning undermining the technical measures. It stipulates that any damage to the digital book cover for protecting online intellectual property rights or the encryption is illegal. And it is illegal to manufacture and market products used for destroying the devices used to protect network copyright. I believe that it seems a bit inappropriate that the case is prescribed to be illegal since there is no corresponding rational use. For example, the police destroying the technical measures in order to detect cases, I think, belongs to fair use.

When fair use is prescribed in the law, based on the equilibrium of interests of all parties, it has some necessary restrictions. That is, the fair users should have duties while adopting fair use. Fair use itself has a greater flexibility. Should fair use system be subject to the necessary restrictions? The answer is yes. From a legal perspective, any right, if used, will certainly be subject to the constraints.

The reason to do so is to seek an equilibrium between the individual right and public interests. The new Copyright Law has shrunk the scope of fair use. One reason is to integrate with international conventions. The other reason is to further protect the creditors' rights and the works and take precautious against any further infringing acts. But I think fair use of copyright should be expanded in the context of Internet. As we all know that network, as a fourth media, bears some characteristics of its own. It spreads rapidly and broadly. With the rapid development of internet, new forms of works, as well as digital works, will appear in large numbers. More and more people will surf the net. People surfing the net and the net information are sharing interactively the resources at any moment. The original intention of the network is

to facilitate the free flow of information and communication. If the fair use is blindly restricted to some scope, the vigor and vitality of network will be suffocated. However, when fair use is adopted, the following factors should be taken into consideration. a. When fair use is adopted, the right of authorship of others should be respected and names of others and their works should be written on timely. b. Commercial purposes become the watershed of fair use. Adopting fair use should make a timely judgment whether the act has something with the potential market value. c. The fair use is in the limit of not affecting the use of original works. First half of Article 19 in Copyright Law has prescribed that when others' works are used, the authors and the name of the works should be specifically marked. To respect others' rights of authorship is to respect their personality and affirm their works. Intellectual Property Law itself has come forth as a law of equilibrium. It aims at balancing the interests of the authors, the interests of the opus-users and the overall interests of the public. Intellectual Property Law at the same time encourages people to make intellectual creations.

4. Epilogue

The tort of the network transmission right is extremely complicated in a digital environment. Although academia and the theoretical circle have made some achievements, they still have to give an active exploration because net environment itself is of complexity and there exist many defects and shortcomings.

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Behavioural Intention for

Fraudulent Reporting Behaviour

Using Cognitive Theory

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Abstract

Fraudulent financial reporting is a serious social problem that has spread worldwide. The consequences of it can be detrimental to many stakeholders. Thus, fraudulent financial reporting has to be prevented and combated. Fraudulent financial reporting involves human deviant behaviour. Thus, to prevent it from occurring, the root causes that relate to deviant human behaviour have to be identified. This paper tries to explain how the social behavioural theory, in particular the theory of reasoned action can be used to explain for fraudulent financial reporting behaviour.

Keywords: Theory of Reasoned Action, Fraudulent Financial Reporting

1. Introduction

Financial fraud is increasing world wide (Albrecht & Albrecht, 2002) and has also spread to Malaysia. Several Malaysian corporations were charged and alleged of fraudulent financial reporting by the Malaysian Securities Commission. For example recently, Transmile Group Berhad was under probe for cooking the book. The consequences of fraud can be disastrous if fail to detect and deal with adequately (Barsky *et al*., 2003; Hemraj, 2004). Some of the consequences are bankrupt to businesses (Spathis *et al*. 2002), such as in the case of Enron; costly litigation or prosecution process (Holtfreter, 2005); increasing the concern on the roles of auditors in general, regulators, and analysts in financial reporting (Geriesh, 2003); has resulted in the demise of a reputable big five audit firm, Arthur

Andersen; and perpetrators may face criminal prosecution. Fraud may take in three broad forms: asset misappropriation; corruption; and fraudulent financial reporting (Lavery *et. al.*, 2000). Thus, fraud in this article is referred to as financial reporting fraud (FRF) or fraudulent financial reporting (FFR). FFR is also known as management fraud since it involves senior management's intentional misrepresentation of financial statements (Silverstone & Sheetz, 2004). AI 240 International Standards on Auditing (ISA) on "Fraud and Error" defines fraud in relation to financial statements as "an intentional act by one or more individuals among management, employees, or third parties, which results in a misrepresentation of financial statements". Fraud may comprise manipulation, falsification or alteration of records or documents; misappropriation of assets, suppression or omission of the effects of transactions from records or documents; recording of transactions without substance; and misapplication of accounting policies (MIA, 2001).

FRF must be combated (Root, 1998) since it is increasing each year (Albrecht & Albrecht, 2002). Thus, there should be a study carried out to probe at root level the incidence of FRF. The theory of reasoned action (TRA), which draws from a social psychology theory, serves as a useful theoretical framework for researchers who wish to explore the factors that influence the behavioural intention for FFR (Buchan, 2005).

Therefore this article focuses on how the behavioural factors: attitude toward the behaviour and subjective norm drawn from the theory of reasoned action can be used to explain the financial reporting fraud behaviour.

2. Theory of Reasoned Action

The theory of reasoned action (TRA) is fundamentally based on cognitive belief system (Fishbein & Ajzen, 1975). The theory is useful in examining behaviours since it is able to examine the cognitive self-regulation, which is one aspect of behavioural dispositions (Ajzen, 1991). Moreover, it is able to explain, understand, predict as well as influence virtually any human behaviour in applied settings and is not restricted to specific behaviour domain (Ajzen & Fishbein, 1980). The theory is able to probe at root level, to identify the potential factors that might influence the individual's behavioural intention to report fraudulent financial statements. The TRA, as shown in Figure 1, is developed by Fishbein and Ajzen (1975). With regard to FFR, the theory postulates that FFR behaviour can be determined by individual's behavioural intention to report fraudulently, which in turn can be determined by attitude toward behaviour to report fraudulently and subjective norm. The attitude toward behaviour and subjective norm are the main constructs in the TRA.

The attitude toward behaviour to report fraudulent financial statements is a function of salient behavioural beliefs, while the subjective norm is a function of salient normative beliefs. These beliefs are the basic foundation level of the TRA and they determine the behavioural intention (Ajzen & Fishbein, 1980). These beliefs reflect the underlying cognitive structure (Armitage & Conner, 2001) of an individual. Thus, studying these beliefs will enable us to understand in depth the FFR behaviour and be able to identify the most influential beliefs that determine behavioural intention to report fraudulent financial statements.

As mentioned above, the main constructs of the theory are the attitude toward behaviour and the subjective norm. These are now explained in the ensuing sections.

2.1 Attitude toward behaviour

The attitude toward behaviour is one of the determinants of the behavioural intention. In the TRA, attitude refers to the attitude toward behaviour which is the positive or negative evaluation of performing or not performing the behaviour of interest (Ajzen, 2002; 2005). The individual's evaluation about the outcome of performing the behaviour of interest depends on his or her beliefs known as behavioural beliefs. These are salient or accessible beliefs that are acquired through learning, experience, and socialisation with others.

In relation to FFR, based on the theory (Ajzen, 1988), when the individual believes that reporting fraudulent financial statements will lead to positive outcomes, he or she will evaluate it positively and will have favourable attitudes toward reporting fraudulent financial statements. Thus, the individual is most likely to intend report fraudulent financial statements. On the other hand, when the individual believes that the evaluation will lead to negative outcomes, he or she will evaluate it negatively and will have unfavourable attitudes toward reporting fraudulent financial statements. However, there are instances where or possibilities that, the acquired beliefs might not be complete. This might caused the individual into believing that reporting fraudulent financial statements would lead to positive outcomes and hence favour the performance of FFR. Thus, fraud perpetrators must have evaluated the outcomes of reporting fraudulent financial statements positively before engaging in fraudulent reporting behaviour.

Further, according to the theory, the positive or negative evaluation of the possible outcomes of performing the behaviour of interest can change very quickly when certain events occur or when new information becomes available, which render changes to the individual's beliefs. Thus, to change the individual's behavioural beliefs is by providing him or her with new, pertinent and persuasive information. For instance the individual has to be taught and always be reminded about the consequences of the wrong doing and that the effect will not only be on the other stakeholders but it could also affect him severely.

2.2 Subjective norm

The next important construct in the TRA is the subjective norm, that is an individual's perception of social influence or pressure to perform or not to perform the behaviour of interest (Ajzen, 1988; Beck & Ajzen, 1991), the likelihood that the important referent others approve or not approve the performance of the behaviour of interest (Ajzen & Madden, 1986; King & Dennis, 2003). In relation to fraudulent reporting behaviour, an individual who perceived that the important referents approve the fraudulent reporting behaviour, will hold a positive normative belief, and will most likely perform that behaviour. On the other hand, if he or she perceived that the important others disapprove, he or she will hold a negative normative belief, and thus, will most unlikely perform the behaviour. Normative beliefs underlie the subjective norm. Important referent others include parents, spouse, close friends, co-workers, tax accountant and physicians (Ajzen, 1988). Changes in normative beliefs may cause changes to the individual's perception on social influence or pressure. Thus, to change individual's perception on social influence or pressure is to change his or her normative beliefs. Similar to above, this is perhaps can be done by giving courses about the serious consequences of the fraudulent financial reporting to the   important referents and inform them that the repercussion of it will not only affect the company or other stakeholders but might also cause loss of jobs to them and to the individual whom he has high influence.

3. Behavioural intention

As shown in Figure 1, behavioural intention to report fraudulent financial statements can be determined from the attitude toward behaviour and subjective norm, and it can also predict behaviour for FFR. Behavioural intention refers to individual's subjective probability that he or she will perform a given behaviour (Fishbein & Ajzen, 1975). Behavioural intention motivates the performance of behaviour (Beck & Ajzen, 1991) since it is the effort an individual planning to exert, the persistence, and the willingness to try to perform the behaviour (Beck & Ajzen, 1991). It is a behavioural disposition (Ajzen, 1988) that will be transformed into reporting fraudulent financial statements when an individual put effort, persist and willing to perform the behaviour at appropriate time and opportunity (Ajzen, 1988).

4. Limitations of TRA

Although the TRA is useful in examining the behavioural intention, however it has some limitations. The TRA is applicable only to behaviour which is voluntary, where an individual may decide to perform or not the behaviour at will (Ajzen & Fishbein, 1980; Ajzen & Madden, 1986). The theory did not take into account situations where an individual has no complete or volitional control (Ajzen, 1991). However, most behaviours are not voluntary (Ajzen, 1988) even everyday activities are not under volitional control of an individual (Ajzen & Madden, 1986). Thus, the TRA model was found insufficient in explaining behaviours that are not volitional. To overcome this, Ajzen (1991) has introduced the perceived behavioural control into the model to account for behaviours that are not under complete control. Further, besides including the perceived behavioural control, the model is opened for inclusion of other predictors if they are able to improve the prediction of or be able to explain a significant variance in the behavioural intention and behaviour after the main predictors are controlled (Ajzen, 1991).

Besides this, there are other fundamental problems with the TRA. It relates to determining behaviour from behavioural intention. Since this article only relates to using TRA in determining behavioural intention, the problems that relate to predicting behaviour from behavioural intention will only be briefly mentioned. For accurate prediction, certain conditions have to be met (Ajzen, 1991). According to Ajzen, generally, there must be correspondence among the factors included in the model. They must agree on action, target, context and time in order to predict a specific behaviour of interest. Ajzen strongly insist that the behavioural intention measures must be consistent with, and assessed in relation to the behaviour of interest, the behavioural intention measure must be in specific context and similar to the specific context in which the actual behaviour is to occur. In other words, the measures of the behavioural intention have to be specific to the behaviour that is to be performed or not to be performed. The second condition is the stability of the behavioural intention at the time it is assessed and the performance of the behaviour of interest as intervening events might render the original measures of behavioural intention to change and that they were no longer accurately predict actual behaviour of interest. This means that the time gap between the intention to the perform the behaviour and the actual performance of the behaviour is not long enough to render changes in intention. If this happens, then intention will not be able to predict behaviour of interest.

5. Conclusion

The TRA, which is derived from cognitive theory, provides a promising theoretical framework to researchers who wish to understand more how deviant behaviour occurs especially in relation to fraudulent financial reporting. At the basic foundation level, the theory is based on behavioural beliefs and normative beliefs. Thus, by examining these beliefs, which are entrenched in cognitive of the individual, one can understand how these beliefs influence the behavioural intention to report fraudulent financial statements and hence influence the behaviour of fraudulent financial reporting. Once the beliefs that have caused the individuals to have behavioural intention to engage in fraudulent financial

reporting have been identified and the relative weights or importance of the behavioural beliefs and normative beliefs have been determined, strategies can be developed to change these beliefs into negative attitude toward fraudulent financial reporting or negative normative beliefs. Changing these beliefs about the behaviour will lead to subsequent changes in the behaviour (Heath & Gifford, 2002) of reporting fraudulently. In developing the strategy, the beliefs that influence the greatest will have to be given more attention. For instance certain individual is highly being influence by his attitude toward behaviour than by the subjective norm in engaging in fraudulent financial reporting behaviour. Thus, to change the behaviour, more focus should be addressed to change from his positive attitude toward behaviour of fraudulent reporting thinking. Once he has developed negative belief about the behaviour then most probably he will not engage in fraudulent financial reporting behaviour. Likewise, if an individual is more influence by his subjective norm rather than by his attitude toward behaviour, then to address the matter, more focus should be given to his important referent. It is important that the important referent who is the role model to the individual should view the bad effect of fraudulent financial reporting behaviour. Thus, the individual too would view the bad effect of engaging in such behaviour.

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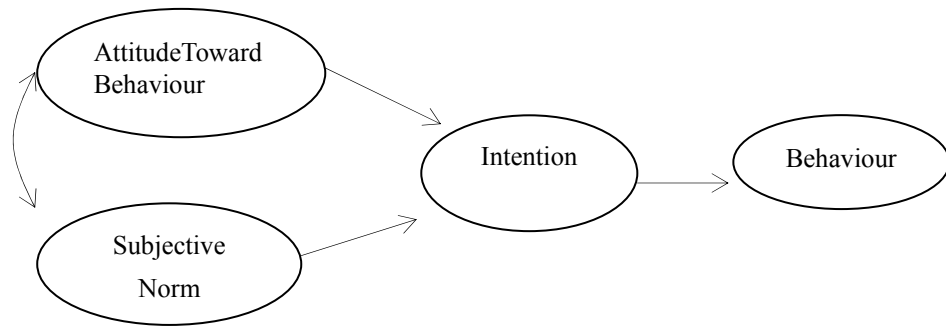
Figure 1. The Theory of Reasoned Action (Ajzen, 1988)

Comparing Lean Production and Six Sigma Management

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Abstract

This paper introduces the emergence and the core thought of lean production and six sigma management, comparative and analysis lean production and six sigma management from culture, basic theory, model of operation management, starting point of solving the problems, method of solving the problems, implementation steps, process improvement method, attention object, staff training, cognition of financial effect, etc.

Keywords: Lean production, Six Sigma Management, Total Quality Management

Lean production and Six Sigma management have broad impact, this two methods gave the enterprise that implement successfully huge benefits, both of them exist differences, but also many similarities. In this paper, we will conduct a comparative analysis of the two for the staff to reference and learn from.

1. Lean production and Six Sigma management introduction

1.1 Lean Production

Lean Production originated from the Japanese Toyota Motor Corporation, it developed from the management of the Ford Motor Company that Toyota Motor Corporation is studying. Its core idea is to remove all links of enterprises of non-value-added activities, with less manpower, less equipment, in shorter time and smaller site to create as much as possible the value. to meet customers requirements of the product and service. It emphasis on reducing wastage, so that the reduced value chain of production process are reduced, thereby reducing costs. Lean Production follows the mass production (mass production, MP) mode, this production mode have a greater impact to human society , is a symbol of the new age of industrialization.

1.2 Six Sigma Management

Six Sigma management comes from Motorola in the mid-1980s, it summarized out throve practice and on the basis of total quality management and statistics theory, such as the pressure Motorola against Japan enterprise development, in order to improve the quality standard. Its core idea is that it makes all professional work as a process, based on data and facts, use quantitative methods to analysis the factors affecting quality of the flow, identify key factors to improve, and continue to reduce volatility, so that their operation ability comes to be best and achieve customer's satisfaction. It follows the process by streamlining processes, control flow variations, to eliminate the quality variability of products in the process, thereby saving costs. Former General Motors Corporation's president Jack. Welch once pursued six Sigma management which was regarded as a strategy of this company to classify as one of the four great strategies of the company, make the proud achievement, six Sigma management is famous for in the whole world there from. World-class outstanding enterprises competitively adopted hereafter, following Motorola, General Electric (GE), top transnational enterprises of world such as DELL, TOSHIBA, HP, SONY, Citibank (CitiBank), Diness, Hilton Hotel, etc. strengthen management by six Sigma management one after another, improve the management level, lower costs, improve customer's loyalty, increase sales achievements and strengthen the key competitiveness.

2. Lean production and Six Sigma management contrast

2.1 Culture

The two contain that pursues perfect culture: The lean production regards " perfect " characters as the goal; Six Sigma standards put forward in six Sigma management are a kind of almost perfect quality goal too. But cultural origin difference of the two, thus the two operate level have many in different.

The lean production originated from the cultural environment of Japan, and six Sigma originated from the culture atmosphere of U.S.A.. Occidentals' thought pays attention to logic and analyzes, quality control is managed the influence of the thought by Taylor, emphasize specialization, quality control is finished by the managerial and technical staff of quality, that is to say the professional and technical personnel makes the technical standard, operates the standard, the attendant, according to standard procedure, emphasize specialization, divide the work in

American-European culture, its responsibility, mutual noninterference of emphasizing every department, managerial relative rigidity. Eastern culture emphasizes the collective, seek cooperation, pay attention to seeking the approval of collective, the society. Japan does not have strong specialization, even technical staff rotates to work in every department such as designing, making, quality control in an enterprise, they emphasize people first, fully arouse the enthusiasm of people, managerial relative flexibility. (Zhou, He & Gao, 2006, pp. 1-4)

2.2 Theoretical foundations

Six Sigma which is based on TQM and statistics play an importance to the facts and data, by quantifiable indicators and analysis to the index to avoid the use their experience, intuitive, or take it for granted which are used to solve the problems. In practice, it combines many traditional statistical methods and tools such as QFD (Quality Function Deployment), FMEA (Failure Mode and Effects Analysis), SPC (statistical process control), MSA (Measurement System Analysis), ANOVE (analysis of variance), DOE (design of experiments), regression analysis, hypothesis testing, and so on.

Lean which is on the basis of Industrial Engineering solves the problem more dependently on the experience and intuition of experts to solve the problem, it is commonly used tools: single-piece flow, pulling System (billboards), Just In Time (JIT), Value Chain Management , TPM (Total Production Maintenance), SMED (Quick Die Change), the balanced production lines, prevent errors, workplace Organization (Workplace organization), 5S, customer value flow analysis, motion analysis and time to determine technical layout of the factory facilities, Jidoka (automation) and the prevention of errors, more training to T, SS / TPM, and so many other technologies.

2.3 Operational management pattern

Their implementation is similar to PDCA cycle which is brought up by DAI Ming, is process-based management. Lean production is based on the model which improve their management on the scene, which distributes resources effectively by emphasizing the importance of the scene, uses systems perspective, is based on the value added processes to consider the entire production chain management, and is based on the whole production system. Six Sigma is a project-based management model, it DMAIC process-the implementation of the systematic completion of the project objectives, it uses in top-down management style, advocates, Black Belts, Green belt, staff, organic combination of grade level (Zhou, He & Gao, 2006, pp. 1-4).

2.4 Starting point of solving problems

Lean production puts reducing wastes (mainly seven kinds: to correct mistakes, excessive production, material transfer, handling, inventory, waiting, mobile) as the starting point, through the value stream analysis, it find the breakthrough point, and suit the remedy to the cases.

Six Sigma management puts the need to satisfy customers as the starting point, starts from the policy objectives through top-down, and selects the most influential issues from all issues which needs to be resolved as Six Sigma implementation issues.

2.5 Analysis of the methods

Lean production puts visual management into effect, adopts direct approach which can quickly resolve the problems. Six Sigma focuses on quantitative analysis, which can be found deep-seated complex issues .Through quantification and analysis of indicators to avoid using their experience to solve the problem.

2.6 Implementation of the steps

Implementation of Lean production has no fixed steps. A lot of enterprises start from 5S, because 5S implementation success can pave the good way for other Management implementation of Lean Production. Some enterprises directly analyze from the Value Stream Mapping (Value Stream Mapping), some enterprises implement some small-scale QCC activities. It consists of enterprises under their own management level used to determine what steps to implement lean production, as long as the focus on "value stream" to facilitate implementation on it. After the system Lean product training, we can then implement various places in the enterprise from high-level managers to the basic workers, can be at the same time.

The implementation of Six Sigma have relatively fixed steps, the basic steps of the implementation of Six Sigma management are as follows: (1) Identify core processes and key customers; (2) Define customer demand, (3) assess the current performance; (4) identify priorities, analyze and implement improvement. Six Sigma stressed accordance with the steps.

2.7 Process Improvement modalities

Both are continuous improvement, stressed that process improvement is not the only time to complete, organizations must constantly diagnose and improve on the business process. But both improved in different ways.

Lean Production adopts gradual improvement (Kaizen) strategy, which does not require large investments by

emphasizing the established technology along the path, through continuous improvement to provide better quality of products or services. Six Sigma management strategy make each item having a breakthrough success by using breakthrough improvements, organizations can bring great financial benefits, their input also is larger (He, Zhou & Gao, 2006, pp. 13-17).

2.8 Concern area

Lean Production concern is the elimination of waste, which eliminate waste through its focus on shortening the production cycle, reducing inventory, improving the efficiency of processes, realizing the level of products and lowering consumption of resources. Six Sigma concern is variability, which seeks to reduce and eliminate volatility. The elimination of all waste and reduction are based on the variation in value. Variability is a way to generate waste, reducing variability can reduce waste.

Lean product and Six Sigma management have two different groups of concern, but both are based on the value. Variability is a way to generate waste, reducing variability can reduce waste.

2.9 Training

Both "Lean" and "Six Sigma" stress the importance of improving the process, it has paid great attention to staff training and management, but the two different emphases.

Lean Production attaches great importance to the on-site training for the average staff, training is mainly through "learning", each concentrated training has a relatively short time, usually one to two hours, immediate site improvements after the training can enhance the employees at the scene skills, which make employees gain more and rotational training ability through a variety of skills.

The Six Sigma management focus on systematic manageable personnel training, to resolve it through their own professional training of experts, such as Six Sigma Black Belt training for a period of about 20 days, after four to five months, to complete training for tools and methods related to all phases of DMAIC. Six Sigma emphasizes the role of black belt and green belt, asking them to have more statistical knowledge and skills dealing with problems.

2.10 Financial results awareness

Through the reduction or elimination of waste, lean production, subjectively, has a contribution in the financial management of enterprises. But without a corresponding analysis and planning requirement, lean production is not concerned about how much it can contribution in the end.

Six Sigma management is a marked characteristic of the financial outcome-oriented. It uses Pareto law or other tools to select right implementation of the subject to maximize benefit, while subjects, which don't product or have fewer benefit are not preference.

3. Conclusion

Through comparison and analysis above, we can conclude that, Lean production and Six Sigma management, in the culture pursuit, ultimate objective, continuous improvement, understanding of human, strategic requirements, etc, are consistent (Zhou, He & Gao, 2006, pp. 1-4). The two have a main distinction in the operating layer, such as the model of operation and management, the starting points and methods to solve the problem, implementation steps, focusing of specific implement and training, cognitive of financial effect, process improvement strategies, and concerns and so on. But through contrast, we can see that, these differences are not antagonistic but complementary. If integrating and applying the two, organization business process will achieve better conditions; organization ability of adapting to market and competitive will be improved gradually, which better meet the needs of customers.

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A Study of the Major English and Chinese

Bible Versions throughout the History of Bible Translation

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Abstract

This article starts with a concise introduction to the two kinds of translation in the world history of Bible translation and then focuses on a concise introduction to four representative English versions and four Chinese versions.

Keywords: Bible, Translation, Version

"There is a sense in which the work of translation is never wholly finished. This applies to all great literature and uniquely so to the Bible."(Preface to NIV,1978). The history of Bible translation is divided into four great ages by 'the vernaculars that were involved' and 'the role played by organized religion' (Orilinsky&Bratcher, 1991:10).

In the last half of the twentieth century, largely connected to the influence of Eugene Nida, Bible translation has experienced a noticeable shift. Whereas the previous versions had sought for a balance between strict literalism and free paraphrase, Nida established his position as a middle ground between what he called formal equivalence, a position that is not the same as literal translation, and free imitation. This new pattern is commonly known as functional equivalence. Traditional translations, in this context, are those that follow the model established by *The King James Version* (KJV). Until the 1950s, formal equivalence was the dominant approach to Bible translation in the English-speaking world. Modern translations break from the type of translation in KJV and follow what is commonly called functional or dynamic equivalence. Nida has set the stage for much of the more idiomatic translation, which has been done in these past several decades.

The following is a brief introduction to the major Bible versions: four traditional translations and four modern translations.

1. Traditional model of English translation

The traditional model of English translation has been dominating Bible translation till the 1960's. Of the many Bible versions, we select KJV and NASB for illustration due to their far-reaching influence.

1.1 The King James Version (KJV)

The *King James Version* (KJV) which is also called *the Authorized Version(AV)* , has been perhaps more influential than any other single translation in English. The translators held fast to pure, old English speech. With its simple, beautiful, dignified and powerful language, it has been termed, "the noblest monument of English prose" according to the Preface to RSV(*The Revised Standard Version*, 2002). The KJV owes its merit, not to the 17th century English, but to its faithful translation of the original. Also, "As a literary achievement the KJV is unlikely to be superseded by any other as long as the English language is spoken or read, a claim which can hardly be made for any other translation in the literature of the world" (Savory, 1957:107).

1.2 The New American Standard Bible (NASB)

As its name implies, *the New American Standard Bible* is a revision of the *American Standard Version*(ASV)(1901). It preserves the highly literal character that has made t*he American Standard Version* so useful as a translation for close study. The NASB was widely accepted by conservative churches in the years following its publication, but it was often criticized for its awkward and unnatural English. This was a consequence of the version's strict adherence to the idioms of the original languages, whether or not they were natural in English. Still, the NASB is probably the best literal translation (word-for-word translation) available today, and the publisher continues to advertise it as such.

2. Modern model of English translation

As functional equivalence superseded formal equivalence as the dominant approach to Bible translation in the second half of the 20th century, the golden age of modern model of translation has accordingly arrived. *Today's English Version* (TEV) and *The New International Version* (NIV) are two influential versions guided by functional equivalence.

2.1 Today's English Version (TEV) or The Good News Bible (GNB)

Today's English Version of the American Bible Society may be taken as the best example of dynamic equivalence. This is the first major American Bible translation to abandon the Tyndale tradition, and it is popular mainly because it is so easy to read and understand. The aim of this Bible is to give today's readers maximum understanding of the content of the original texts. The Bible Societies trust that people everywhere will not only find increased understanding through the reading and study of this translation, but will also find a saving hope through faith in God, who makes possible this message of Good News for all people.

2.2 The New International Version (NIV)

The New International Version was published in 1978, which was more a phrase-for-phrase translation than a word-for-word translation. It is the most popular present day English version translated under the principle of dynamic equivalence. NIV is smooth and easy to read while keeping the integrity and meanings of the original words. NIV has been extremely popular in America, outselling any other translation of the Bible. However, its major flaw is in its simplicity of language. The editors wanted to make sure it was easy to read and they often sacrificed accuracy. The text of NIV has gone through several revisions since it was produced, resulting finally in the 1983 revision.

3. Traditional model of Chinese translation

In China, the traditional model of Bible translation has remained to be the primary one until now. The representative versions are *The Union Version* (UV) and *The* Lü *Zhenzhong's Version* (LV).

3.1 The Union Version (UV)

It is regarded as the most elegant Chinese Bible from a literary perspective. The Bible translators adopt everyday spoken language instead of classical or vernacular Chinese. They strive to be faithful to the original Hebrew, yet they still take Chinese elegance into consideration. Generally speaking, the translating principle of UV is literally and formally orientated, which can be confirmed by the analysis of the verbal consistency, voice consistency, word class consistency and sentence length.

Ever since the UV was approved as the official version by Christian Protestant churches in the beginning of last century, it has been the most widely distributed and utilized Chinese translation of the Bible.

3.2 The Lü Zhenzhong's Version (LV)

The Lü *Zhenzhong's Version* is a typical literal translation. Lü Zhenzhong uses the so-called "direct translation" method, with exact one-to-one correspondences to the original Hebrew, reflecting the original meaning and content of each word and even keeping to the original grammar and structures. Obviously, he puts much more focus on the literal and structural faithfulness than the idiomatic renderings. He translates all the measurement units according to their pronunciation and keeps most of the figurative expressions. However, the Greek grammatical structures left in the Chinese text result in non-Chinese grammatical renderings and less linguistic elegance.

4. Modern model of Chinese translation

The modern model of Bible translations plays a minor role in Chinese Bible translation compared with the traditional one. The examples are *The Today's Chinese Version* (TCV) and *The Modern Chinese Version* (MCV).

4.1 The Today's Chinese Version (TCV)

The Today's Chinese Version (TCV) was prompted by "the new theory of translating with its focus on communicating the message of the original" (Strandenaes, 1987:139). It took the *Today's English Version* as its blueprint and was accordingly named *The Today's Chinese Version*. The translators used the principle of so-called "dynamic equivalence" during the translation aiming to convey to the Chinese readers what the Hebrew author originally intended to express to the original Hebrew readers or listeners. The translators had in mind average people who had junior middle school education as the majority of the readers and avoided using any theological jargon, which made it more natural and easier-to-follow. Translators intended to prepare a version for seekers and new believers under two main principles—"corresponding meaning and equal effect" and "faithful to the original and faithful to the reader(s)" (Ibid).

4.2 The Modern Chinese Version (MCV)

The Modern Chinese Version is the representative of free translation. In its preface (*The Modern Chinese Version*, 1979), it says, "Faithful translation means more than the word matching. The text is supposed to express the same meanings and take the same effect among the target language readers today as the original text among the source language readers thousands of years ago." Here "faithfulness" is defined as the loyalty to the writers' ideas rather than the concordance of styles. The translators intended to give a version intelligible for both believers and nonbelievers with purposely avoidance of theological and Biblical terms and vocabularies.

5. Summary

Roughly speaking, the Bible versions fall into traditional and modern models. In the West, the modern model is now in the upper hand, while in China, the traditional model is still the dominant one. It's hoped that this article could draw more people's attention to Bible translation and facilitate more profound study in this domain.

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An Empirical Investigation of the Impact of

Supervisory Power Bases on Subordinates

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Abstract

The study seeks to explore the relationships between superior's bases of power and subordinates' satisfaction with supervision in Malaysian corporations. The non-coercive bases of social power (i.e. expert, referent, reward and legitimate) showed positive relationships with satisfaction with supervision. In terms of rank ordering, referent power scored the highest among other power exercises. This was followed by expert power and reward power. The ranking of intercorrelation was somewhat similar to the study of Rahim and Buntzman in 1989 which they concluded that referent and expert power as the most favorable and legitimate power the lowest among the non-coercive power bases in eliciting subordinates' acceptance.

Keywords: Managerial Supervision Power, Satisfaction, Organizational Behavior

1. Introduction

This research examines the social power relationships upon subordinates' satisfaction with supervision. Power is said to be a "part of the larger study of the determinant of human behavior" (Cartwright, 1965, p.3). We are likely to consider the reality of power at some point in the analysis of organizational phenomena. Role differentiation in the organization involves power differences. Organizational change and control may be viewed from a power perspective. The main concern is then the interpersonal relationships that occur across organizational level characterized by the phrase "superior-subordinate relationships". Differences in the perceptions of power possess implications in its own right because superiors' use of power may be reinforced by subordinates' response or the superiors may anticipate subordinates' reaction to the use of power. It would be helpful for the superiors to be aware of the existence of various sources of power in work situations and how they affect employees' satisfaction since dissatisfied subordinates could lead to organizational dysfunction (Churchill, Ford & Walker, 1976; Rahim & Buntzman, 1989).

There are two main sources of power in the organization (Bass, 1990). The first is related to one's position (positional power) to influence others who are lower in status. The other source is associated with the extent to which the wielder of power can grant affection, consideration, sympathy, recognition and secure relationships to others (personal power) which are normally acquired through personal attributes such as expertise, abilities, charisma or contacts a person might have.

The relevance of supervisory satisfaction in an organizational study needs no further elaboration. Job satisfaction is a collection of feelings or affective responses of the organizational members which are associated with the job situation within the organization. Clearly, from human relations perspectives, supervisory satisfaction is related to the personality traits of the superior which as his/her temperament, openness, industriousness, pleasantness etc. The positive side of all of these traits can enhance satisfaction. Related to the personal resourcefulness, supervisory satisfaction is also dependent on the superior's distinguishing qualities and abilities such as intelligence and knowledge.

1.1 Objectives of this Study

This study focused on the effect of superior's power bases on subordinates' satisfaction with supervision in Malaysian work environment. Hopefully, this will provide an opportunity for comparing the consequences of social power relationship in this region with those reported in the West.

The applicability of this research is limited to only superior-subordinate dyadic relationships in Malaysian manufacturing companies. This industry is selected for the reason that it represents the fastest growing industry. It also typifies an industry of high economic activities where productivity, job innovation and effectiveness are of central concern. Knowledge gained in this area may be useful toward a more effectual industrial management.

1.2 Scope of the Study

The framework of this study is to analyze the interaction among major variables as depicted in Figure 1 (Note 1). The primary data used in this study is secured through survey questionnaire. Cross-sectional data of respondents from Malaysian corporations is subjected to quantitative analysis to test the supervisory power bases model.

2. Literature Review

Many power theoreticians (Dahl 1957; Emerson, 1962; Kornberg & Perry, 1966; Nagel, 1968; Wrong, 1968) stressed that power should be conceptualized as a relationship between or among persons and not an attribute or possession of a person or group. Within organizational context, theorists largely agree that individual power in organization is the ability to control others, to exercise discretion, to get one's own way.

Differences among definitions given by many researchers (Kanter, 1977; Scott, 1981; House, 1984) appear to be a function of differences on three basic issues about power. First of all, definitions given by researchers often reflect individual orientation and arena of interest (e.g. sociological, political, organizational, etc.). Secondly, theorists tend to focus their definitions on different systemic levels which include the individualistic, the dyadic and systemic. A third divisive element among power theorists has to do with which variables are most central to a conception of power. Despite the irregularities in the conception of power, certain cumulative character appeared from this large body of research in terms of the description of power relations.

From this description of power relation, it is obvious that the notion of influence is particularly important to the concept of power. In short, leadership and influence are a function of power. Power is the potential to influence. It is the probable rate and amount of influence of a person or the occupant of a position. In order to analyze the power dependence relations adequately, we need to separate the holding of power because its dependence on one's person, one's office, the willingness to exercise it, and the tendency to do so can change the nature of influence.

2.1 The Bases of Power

A number of classifications have been used in differentiating bases of social power in organizations (Peabody, 1961; Etzioni, 1964; Patchen, 1974; Twomey, 1978; Kipnis, Schmidt & Wilkinson, 1980; Shukla, 1982; Rahim, 1989). Bases of power typology suggested by French and Raven (1959) are among the most popularly applied in research (Cobb, 1980; Frost & Stahelski, 1988; Rahim, 1989; Rahim, Antonioni, Krumov & Illieva, 2000). French and Raven defined bases of power as below:

2.1.1 Coercive Power

Coercive power involves the concept of influence based upon "the expectation of punishment for failure to conform to an influence attempt". The strength of coercive power depends on the magnitude of the "negative valence of the threatened punishment multiplied by the perceived probability that a power recipient can avoid the punishment by conformity". One of the key elements is that people subject to coercive power are either indifferent to, or opposed to the wielder of authority. As a consequence, the wielder of authority must have some way of observing the actions of the people being "coerced". At a minimum, coercive power depends on the likelihood of intervention and direct surveillance of behavior to be effective.

2.1.2 Expert Power

This power usually manifests in information, knowledge and wisdom, in good decision, in sound judgment and in accurate perception of reality. Expert power is restricted to particular areas as the "expert" tends to be specialized. The extent of expert power is not clearly a function of the face-to-face interaction or the personal quality of that interaction between role partners. It may be a function of the knowledge possessed by the power wielder, not of his presence. Because of the climate of "trust" implicit in the role of expert, his influence (in French and Raven's (1959) term) is not "dependent" – i.e., it may become internalized by the power recipient. This is characteristic of supervisory personnel interacting with less experienced or newly arrived organization members in such settings as social work, medicine, teaching and other professions.

2.1.3 Reward Power

Reward power is derived from the ability to facilitate the attainment of desired outcomes by others. In a sense, this form of social power is closely related to coercive power. If one conforms to gain acceptance, reward power is a work. However, if conformity takes place to forestall rejection, coercive power has to be exercised. In accordance to French and Raven, reward power depends on the power wielder (individual or group) administering "positive valences and reducing or removing negative valences". If reward power is to have its maximum impact, the user must be able to demonstrate the desirability of the benefit as well as a high probability that the reward will be dispensed upon determination that the assignment is complete. To the extent that one of these conditions is absent, reward power is less potent.

2.1.4 Referent Power

This involves the concept of "identification", which French and Raven (1959) define as "a feeling of oneness or a desire for such an identity". If referring to a group, then an individual seeks membership in such group or has a desire to remain in an association already established. Referent power reflects the idea of "attractiveness" for a social setting or the individuals within it. Identification is express by the behavior, beliefs and perceptions of the power recipient and the power wielder. This base of power usually has a tremendous impact on interpersonal relationships.

2.1.5 Legitimate Power

Closely tied to the Weberian concept of "legitimate authority", legitimate power is induced by norms or values of a group that individuals accept by virtue of their socialization in the group. By the French-Raven, definition, this power "stems from internalized values which dictate that there is a legitimate right to influence and an obligation to accept this influence". They emphasize that legitimacy is dependent upon relationships between social positions, not on the personal qualities of role incumbents. Legitimate power does, however, involve the perceived rights of the person to hold office and usually there is little or no question about whether its use is considered proper.

2.2 Satisfaction with Supervision

Smith, Kendal and Hulin (1969), in their well documented measure, the Cornell JDI (Cornell Job Descriptive Index) described five areas of satisfaction: the work itself, the supervision, the co-workers, the pay, and the opportunities for promotion on the job. Since the present study is on the superior-subordinate relationships, the job-facet satisfaction is most relevant to satisfaction with supervision.

The "style" which superiors in an organization follow in supervising their subordinates can have a broad impact on the subordinates' attitude toward work, how structured their activities are, and the kind of relationships they have with the superiors. One aspect of supervising style is simply the amount of supervision and direction given to the subordinates; how closely their job activities are structured, monitored, and directed. Many studies recorded that supervision to the extent that the superior is "breathing down one's neck" is found to have a negative impact the worker's satisfaction (Fleishman & Harris, 1962; Kahn, Wolfe, Quinn, Snoeck, & Rosenthal, 1964; Likert, 1967).

The other aspect of supervising style is the quality and frequency of communication between the superiors and their subordinates. This includes the superior's ability to communicate effectively his/her demands and expectations, company's policies and procedures especially those concerning evaluation and compensation, informing of the subordinate's performance as well as verbal and non-verbal rewards.

3. Hypotheses to be tested

The following hypotheses were formulated for the study.

H1a: Superiors' non-coercive bases of social power (expert, referent, reward and legitimate) are positively associated with the subordinates' satisfaction with supervision.

H1b: Superiors' coercive base of social power is negatively associated with the subordinates' satisfaction with supervision.

4. Research Methodology

4.1 Sampling Design

The sample for this study comprises of the technical and non-technical staff in the manufacturing companies who were assuming middle to upper supervisory role. This sample was selected for two reasons. First, measurement of perceptions on construct such as power bases and work autonomy requires some abstract and deliberate thinking which is certainly helped by having a higher level of education. Second, this represents the group of more educated people who were more conscious of the kind of power relation with superiors and normally hinge more on the non-traditional organizational-based kind of relationship to sustain their interest in the organizations. In addition to the above, limitation was imposed on the size of the organization (as reflected by the number of the staff employed) from which sample was drawn. Stratified random sampling technique was used to select companies with a number of employees more than 25. This number was arbitrarily chosen but the intention here was to include only establishments where a more formal organizational structure and system of supervision more likely to exist and function.

The factories that met the above criteria were selected from the registry of members of the Federation of Malaysian Manufacturers. Data from subjects were secured through survey questionnaires. A cover letter explaining the purpose of the study and a self-addressed and stamped envelope accompanied each questionnaire. It was also requested in the cover letter that the questionnaires were to be distributed to the technical staff of the company. It was emphasized that questionnaire responses were confidential, anonymity of respondents was guaranteed, and participation was voluntary. A follow up letter was sent after two weeks to all of the companies. In order to reduce the pitfalls of inexact sampling, no

more than two questionnaires were administered to the same factory and no two questionnaires were administered to a same level of organizational hierarchy or unit.

Finally, it must be clarified that the purpose of the research based upon this sample is not to determine or describe norms of organizational members. Rather, the primary intent is to discover relationships among variables; such relationships are likely to appear even if the set of subjects departs somewhat from an accurate probability sample drawn from the universe of industries' member.

4.2 Research Instrument

All data used in the study consist of responses to questionnaire items. Measures of relevant constructs were discussed here.

4.2.1 Bases of Supervisory Power

The five French-Raven bases of supervisory power were measured by using the Rahim Leader Power Inventory (RLPI) (Rahim, 1988). This multi-item instrument uses a 5-point Likert scale to measure perceptions of subordinates regarding their superiors' bases of power. The instrument comprises of 29 items. The order of items was randomized in the questionnaire to avoid response bias. Also some items were phrased positively and others negatively to overcome the problems of acquiescence, i.e., "yea" or "nay" saying tendencies. The scores for negatively phrased items were reversed before analysis. The indices of the five power bases were constructed by averaging the subject's responses to the selected items belonging to each power base. This resulted in the creation of five continuous subscales. There was substantial evidence of the criterion-related validity of the inventory when tested against the measure of compliance with superior directives and wishes (Rahim, 1988). The test-retest and internal consistency reliabilities of the subscales ranged from .77 to .91 and .70 to .86 respectively.

4.2.2 Satisfaction with Supervision

The instrument used to measure satisfaction with supervision is the updated version of the original Job Descriptive Index (JDI; Smith at el., 1969) which was later revised by Roznowski (1989). The revised scale was shown to be more internally consistent than the original scale with the alpha coefficient of .912. The unweighted sum of the individual item score was used as a measure of satisfaction with supervision. The instrument is made up of 18 items.

4.3 Data Analysis Techniques

Reliability and factor analysis was used to check the consistency and dimensionality of the scale items. Multiple regression analysis is performed to check the criterion-related validity of the scale items. Pearson Intercorrelation was used to measure the associations among the social power bases and satisfaction with supervision.

5. Research Results and Discussions

5.1 Sample Characteristics

Data from 230 respondents were received out of total 1432 questionnaires sent. Only 210 data were usable. The highest number of respondents is from Chinese ethnic group. A mere 7% female respondent reflects the male domination in the industrial sector. More than 60% of the respondents were from factories located in the Klang Valley. The highest proportion of respondents fell into the 31-40 years age group. On the whole, the education level of the respondents was high. Nearly 61% of the respondents had education up to university in technical field while 15% received university education in non-technical field. Only 24% of the respondents had no tertiary education. The high educational level was reflected in the position or the type of occupation held by the majority of the respondents i.e. 5 Assistant General Managers, 54 Divisional Manager and Assistants, 74 Engineers and Assistants, 11 Chemists, 32 Supervisors, 12 Plant Operators and the rest comprised of System Analysts, Draughtsmen, Quality Control Inspectors etc. The average salary of the respondents was higher than the population's average. On average, the respondents had worked in the present company for 7 years.

The survey also revealed the information about the respondent's superiors. Almost all of the superiors reported in the survey were males. A majority of them were holding medium to high management positions. On average, the superiors had worked in the organization for 11 years – far longer than the subordinates' average. Most of the superiors were holding high positions in the company with 36% of them in the first hierarchical level. Their educational level was also strikingly high, with 70% of them having had tertiary education in technical fields.

5.2 Validating the Scales

The data on the 29 power items from the sample of 210 respondents were factor-analyzed. This was done to test the earlier postulation that the underlying set of data contains 5 distinct dimensions or factors (Steward, 1981). The initial factors were derived through the maximum likelihood analysis and the terminal solution was reached through Varimax Rotation using the SPSS. The analysis extracted seven factors. The selection of a factor and an item was guided by the criteria: Eigenvalue > 1.0 and Scree Plot and factor loading > 0.4, respectively (Ford, MacCallum & Tait, 1986).

Based on these criteria, the first five factors were selected.   The results are presented in Table 1 (Note 2).   The order of items was altered to show the clustering of items more clearly.   The factor loading of > .4 is underlined to indicate the items finally selected to represent the five subscales.

Three of the factor extracted which represented expert, legitimate and coercive power bases contained all items as earlier included in the scale.   Factor which represented referent power base contained 5 items as against 6 items earlier included in the scale.   Item "I like to develop a good interpersonal relationship with my superior" was found to be poorly correlated with the rest of the referent power items.   It also loaded more on the reward power base.   A closer examination of the responses to this item indicated that respondents tend to overstate their intention (mean score of 4.0) to have a good superior-subordinate relationship.   The reason for this could be that most individuals especially the subordinates wished for harmony at work and would make an effort to maintain a good working relationship with their superiors despite differences between them. Item that mirrors inner intention of individual rather than the objective behavior response may not be suitable for inclusion here.   Item "Superior cannot get me a pay raise even if I did my job well" of the reward power item failed to meet the selection criteria and was thus dropped from the scale.

Considering that the result as a whole supported the a priori grouping of items, it can be concluded that the power scale developed by Rahim (1988) was suitable for application to the present data although some purification was necessary to improve its accuracy.   The indices of the five power bases were computed by averaging the samples responses to the items in each factor.   This resulted in the creation of five continuous subscales.

The standardized Cronbach Alpha for each subscale is provided in Table 2 (Note 3).   The internal consistency reliability coefficients for all the scales were satisfactory (Nunnally, 1978).   All the scales had coefficient Cronbach Alpha greater than .70.

A multiple regression analysis was run to test the relationship between the five bases of leader power and the subordinates' satisfaction with supervision.   The results are presented in Table 3 (Note 4).   The results showed that the referent, expert, and reward power bases positively influenced satisfaction with supervision.   The five power bases together explained about 45% of the variance in satisfaction.   The relations between the five power bases and the "theoretically-related" dependent variable supported the criterion related validity of the power scale. Testing of Hypotheses

H1a & H1b: Power Bases and Supervisory Satisfaction

The correlational results in Table 4 (Note 5) provided good support for H1a.   The non-coercive bases of social power (expert, referent, reward and legitimate) showed positive relationships with satisfaction with supervision.   Referent power ranked highest among other power exercises (coefficient .64).   This was followed by expert power and reward power which both had coefficients of correlation of 0.47.   The ranking of intercorrelation was somewhat similar to the study of Rahim and Buntzman (1989) conducted on respondents with post graduate working experiences.   It was expected that referent and expert power represent a high level of internalization or inner acceptance.   In the exercise of referent power, internalization derived from the identification of power recipient with the wielder of referent power – a personalized commitment to the group or its representative.   As Raven (1974) found out, the exercise of referent power tends to encourage a more satisfied, cooperative and prolonged relationships between superiors and subordinates.

Expert power benefits from an umbrella of authority which may go beyond superiors' specialized skills.   Among technical staff, expertise emerges as a very important cue for acceptance and recognition of the superiors' direction as reflected in the present result.   It most likely gains their compliance and least likely to provoke their resistance (Podsakoff & Schriesheim, 1985).   Similarly, greater satisfaction with supervision among subordinates may lead to greater cooperation and heightened dependence.

Both referent and expert power were labeled by Yukl (1981) as "personal" form of power.   The present results supported the general view that "personal" power has a positive effect on the leader-subordinate relationship.   The high degree of intercorrelations among the referent, expert and reward power bases served to temper the previous discussions and tended to suggest that while referent power emerged as the dominant explanatory power base, its effective utilization might be tied, to some extend, to the superiors' exercise of a combination of other power bases i.e. in this case, expert and reward power bases.

Although earlier findings (Warren, 1968) acknowledged that reward power shows less inner acceptance, the present correlational results indicated a high level of satisfaction with supervision.   This power derives from control over positive or rewarding outcomes for subordinates is expected to be an effective means of influence to increase productivity in the organization.   Schopler and Layton (1974) held that the use of reward power is likely to increase the attraction between the manager and subordinate while coercive power is likely to decrease it.   Too much emphasis of this power base, however, should be guarded against, since the withdrawal of positive sanctions is apt to result in the subordinates' reversion to their previous behavior.   Further, the effect of the inducement, even if continued, is subject to diminishing utility.

The legitimate power showed relatively lower correlation with the satisfaction with supervision.   In the exercise of legitimate power, subordinates' responses tended to be dependent on the normative acceptance of the position and prerogatives of the organization at large including its leadership. The present result concurred with the conclusion made by Yukl (1981) that "position" power such as legitimate and coercive are less effective means of influence attempt.

The result for coercive power was not exactly consistent with hypotheses H1b.   The study indicated that the amount of coercive power perceived to be held by a superior was not associated with supervisory satisfaction when it was earlier hypothesized to have negative association.   However, the result failed to reach statistical significance.   Past researchers also had mixed results with regard to this correlation. For example, Rahim and Buntzman (1988) – weak positive; Busch (1980), Hinkin and Schriesheim (1989) – negative.   The coercive power which is derived from control over negative or punishing outcomes for other does not appear to be a suitable power base for dealing with subordinates. The traditionalists believed that punishment is ineffective and can lead to discontinuation of social interaction.   The present results however, neither confirmed nor disproved the effectiveness of punitive treatments to get things done but it was obvious that this power exercise should not lead to subordinates' satisfaction.   Moreover, people could not be coerced into a deep-seated acceptance of organizational requirements.

6. Conclusion

In general, the results of this study in relation to the administration of industrial people were quite consistent with our hypotheses based upon other organizational studies involving qualified and professional people.   The instruments used in the study were tested and found to be applicable to our work environment.   The results provided some tentative, but hopefully useful guidance for industrial administrators.

Intercorrelations among the five power bases showed that French and Raven (1959) power bases are not mutually exclusive.   Reward and referent power bases were the most closely related followed by expert and referent power bases.   The results revealed that referent power, expert power and to some degree reward power and legitimate power are found to be in association with each form of power.   On the other hand, coercive power was the least correlated with all other power bases and most often stands alone.   Among all of the power bases, coercive power was most related to reward power. It indicates that reward and coercive power tend to be used interchangeably. Though not considered as a serious disadvantage, notable intercorrelations among the five power bases denote the difficulty of finding power typology which is both exhaustive and conceptually distinct.

In assessing the effectiveness of the various influence attempts, the results suggested that referent, expert and reward power should be emphasized to ensure subordinate acceptance.   Coercive power should be minimized in any influence attempt except in situation that call for such approach (e.g. time of crisis, low performance etc).   The position of legitimate power was the lowest among the non-coercive power bases in influencing subordinates' behavior for the case of management of technical and professional staff.   Comparative studies revealed an interesting difference in the rank ordering of bases of the superiors' influence attempts.   The present study and Rahim and Buntzman (1989) study ranked referent and expert power as the most favorable and legitimate power the lowest among the non-coercive power bases in eliciting subordinates' acceptance.

Most of the predictive relationships found in this research are in agreement with previous research findings conducted in the western work setting and support their external validity.   Considering that the only differences noted are in terms of degree of sophistication (and not the pattern of relationships) it is not tenable to regard the power relationships as cultural-bound.   Moreover, the present study was not designed for direct cross cultural comparison.

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Notes

Note 1. Supervisory Power Bases and Satisfaction with Supervision

Note 2. Factor Structure Matrix for Varimax Rotated Factor Solution

Note 3. Reliability of Scales: Power Bases and Satisfaction with Supervision

Note 4.   Multiple Regression Analysis: Power Bases and Satisfaction with Supervision

Note 5.   Pearson Intercorrelations of Main Variables of Interest

Table 1. Factor Structure Matrix for Varimax Rotated Factor Solution

Item No	Power Bases/Items	Factors					
		EX I	RE II	RF III	CO IV	LE V	h
	I. Expert Power (EX)						
3.	I approach my superior for advice on work-related problems because he/she is usually right.	.46	.10	.12	-.08	.15	.28
5.	When a tough job comes up my superior has the technical "know how" to get it done.	.73	.09	.14	.00	.08	.57
7.	My superior has specialized training in his/her field.	.65	.26	.13	.13	.11	.54
10.	My superior does not have the expert knowledge I need to perform my job.	.62	.07	.11	.05	.10	.50
17.	I prefer to do what my superior suggests because he/she has high professional expertise.	.65	.10	.16	-.01	.14	.56
18	My superior has considerable professional experience to draw from in helping me to do my work.	.78	.19	.19	-.02	.07	.70
	II. Reward Power (RE)						
4.	My superior can recommend me for merit recognition if my performance is especially good.	.19	.53	.17	.11	.22	.42
11.	My superior can provide opportunities for my advancement if my work is outstanding.	.20	.64	.19	.10	.08	.56
15.	My superior cannot get me a pay raise even if I do my job well.	-.05	.39	.24	.18	.00	.39
22.	If I put forth extra effort, my superior can take it into consideration to determine my pay raise	.24	.68	.20	.13	.06	.60
24.	I want to develop a good interpersonal relationship with my superior.	.16	.20	.16	.18	.17	.20
27.	My superior can get me a bonus for earning a good performance rating.	.07	.74	.23	-.02	.01	.63
28.	My superior can recommended a promotion for me if my performance is consistently above average.	.18	.82	.15	.10	.06	.74
	III Referent Power (RF)						
1.	My superior has a pleasing personality.	.15	.17	.68	.06	-.06	.54
12.	I don't want to identify myself with my superior.	.12	.19	.67	.04	.16	.54

Table 1 (Continued)

Item	Power Bases/Items	EX	RE	Factors RF	CO	LE	
No		I	II	III	IV	V	h
19.	I admire my superior because he/she treats every person fairly.	.33	.32	.70	.02	.07	.71
21.	I like the personal qualities of my superior.	.24	.20	.66	.11	.05	.56
25.	My superior is not the type of person I enjoy working with.	.26	.26	.52	.02	.11	.63
	VI. Coercive Power (CO)						
2.	My superior can take disciplinary action against me for insubordination/ disobedience.	.03	.08	.07	.48	.21	.30
9.	My superior can fire me if my performance is consistently below standards.	-.03	.00	.00	.78	.10	.62
14.	My superior can suspend me if I am habitually late in coming to work.	.05	.13	.07	.44	.08	.34
16.	My superior can see to it that I get no pay raise if my work is unsatisfactory.	-.08	.17	.00	.65	.00	.47
20.	My superior can fire me if I neglect my duties.	.06	.00	.09	.77	.00	.60
	V. Legitimate Power (LE)						
6.	It is reasonable for my superior to decide what he/she wants me to do.	.26	.04	.05	.00	.48	.43
8.	My superior is justified in expecting cooperation from me in work related matters.	.04	.11	.18	.20	.54	.42
13.	My superior's position entitles him/her to expect support of his/her policies from me.	.12	.10	.14	.12	.68	.57
23.	My superior's position does not give him/her the authority to change the procedures of my work.	.13	.11	-.13	.12	.45	.35
26.	I should do what my superior wants because he/she is my superior.	.16	-.13	-.05	-.15	.54	.47
29.	My superior has the right to expect me to carry out his/her instructions.	.07	.10	.04	.09	.60	.39
	Eigenvalues	6.7	2.4	2.0	1.2	1.2	
	Percentage of variance explained	23.1	8.1	6.8	4.3	4.1	

Note: Scores for items numbering 10, 12, 15, 16, 2, and 25 were reversed before computing for factor analysis

Trace = 29

Table 2. Reliability of Scales: Power Bases and Satisfaction with Supervision

Scales	Cronbach Alpha
Expert	.84
Reward	.85
Referent	.84
Coercive	.76
Legitimate	.73
Satisfaction with Supervision	.86
SDS	-

Table 3. Multiple Regression Analysis: Power Bases and Satisfaction with Supervision
Dependent variable: Satisfaction with supervision

Predicted Variables	b	Standard Error	Beta	T Value
Legitimate	- .348	.451	- .043	- .772
Coercive	- .049	.323	- .008	- .152
Referent	2.689	.359	.486	7.486*
Expert	1.055	.350	.188	3.020**
Reward	.818	.364	.142	2.248**

$F = 34.749$ Significance $F < 0.0001$

R (adjusted) = .447

Intercept: a = - 1.738

* $p < .0001$

** $p < .05$

Table 4.   Pearson Intercorrelations of Main Variables of Interest

	Variables	1	2	3	4	5	6
1	Expert Power	1.000	.41	.48	.07	.33	.47
2	Reward Power		1.000	.53	.21	.21	.47
3	Referent Power			1.000	.14	.20	.64
4	Coercive Power				1.000	.16	.09
5	Legitimate Power					1.000	.15
6	Satisfaction with supervision						1.000

Note: r's > .11 is significant at $p < .05$

   r's > .21 is significant at $p < .001$

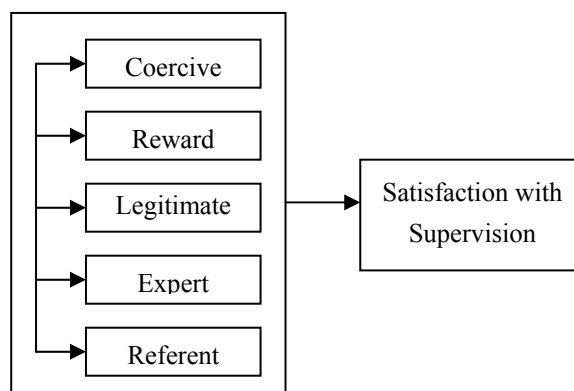Bases of Supervisory Power

Figure 1.   Supervisory Power Bases and
Satisfaction with Supervision

Research to the Community Resources Integration

Under Grid City Management

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Abstract

In modern society, the grid city management carries on certain integration to the urban community resources, and there is unique resources integration operational mechanism in the discovery level, management level and execution level. But there are also many problems such as the addition level to cause the management resources waste, the supervisor nature not to be clear in resources integration operational mechanism. In this paper, through analysis of its operational mechanism existed, I propose some new viewpoints on its investment level, the management level and the city management system.

Keywords: Grid city management, Community resources, Integration

The new pattern grid city management is an important innovation of modern city management. Since October 22, 2004, this set of management system was originated in Dongcheng District Beijing China has already aroused the domestic and foreign widespread interests. Internationally, at the congress of Microsoft world migration application development partner which conducted in Las Vegas America, Bill Gates internationally publicly highly praised that the new pattern city management in Dongcheng District was 'the world-class case', In the home, from July, 2005, at the national digitization city supervisory meeting in Beijing, the ministry of construction determined that Chengdu, Shenzhen, Hangzhou and so on 10 cities as the national first batch 10 cities to carrying out digitization city management for experiment, based on this and carried out the grid urban management pattern. At present, in Beijing, Shanghai and other cities, the grid urban management pattern has made the remarkable progress.

The so-called grid city management, is that utilizing the technical thought of grid chart in the urban management, takes 10,000 square meters as the Fundamental unit, and divides the city into certain grid units, which monitored on the entire time by the city management supervisor. The core spirit of grid city management pattern is that through the digitization city management, establishing the discovery, direction, processing and feedback mechanism of urban management questions to promote interconnection between government regulating mechanism and social coordinating mechanism, the interaction of government executive functions and social autonomous functions are the supplementary for government collective services and social public autonomy, invest the entire society's effective resources into the urban management, initially form the strengthening social management and improving collective services persistent effect mechanism. But we also find many questions hidden in the present successful grid city management, how to conform these resources effectively for our urban community construction, has become a new topic which we must face. In this thesis, through the analysis to these questions, I attempt to carry on the theory ponder to the present grid city management resources conformity condition, achieve the goal of conformity city community resources better.

1. The operational mechanism of community resources conformity under the grid city management

The community resources are the living and developing foundation of community. The content of community resources is very broad, generally speaking, in the community, there are different resources, such as physical resources, the energetic resources, the human resources, as well as the comprehensive resources and so on. But influenced and fettered by the traditional system, there are many resources deployments in the community which are limited to the specific community, not opened to the society, thus not obtaining the comprehensive utilization. The grid city management pattern mainly utilizes 'ten thousand meter unit grids', 'the urban part management' and so on new modes of administration, depending on the present information technology to conform the resources of city management. This

resources conformity obtained many affirmations. Below I will explain how this new city management mode carries on the resources conformity as well as conforming what resources.

1.1 The discovery level

Here the leading roles are the urban supervisors and the residential hot line. From the grid city management model in China, the urban supervisors are generally recruited from the society through the form of recruiting publicly by the city management committee which established by the municipal government. They subordinate in the city management committee, are responsible for the city management committee. The urban supervisor's work is to discover the questions in the urban management and report these questions to the city management and surveillance center. Therefore, the urban supervisors need to have certain knowledge quality to deal with questions in the urban management better. In discovery level, the residential hot line and other resources are also conformed to enable the beforehand resources to obtain a full use in the certain extent.

1.2 The management level

It is mainly commanded by the city management committee or called the urban management and control center. In the actual utilization, the urban management synthesis committee is not the reset organization, but on the foundation of the original system, it transforms the urban municipal administration management committee to the urban management synthesis committee, which is responsible for the information which needs to deal with to transmit to each department of urban. This kind of transformation theoretically conforms to the resources conformity principle, it fully uses the original resources. Moreover, the city management and surveillance center is founded under the city management committee, which is responsible for the coordinating and processing of daily administration, using the information platform to put the kinds of urban daily administration on records, as well as carries on the information issuing.

1.3 The execution level

It is coordinated and duties transmit by the city management committee to each department which deals with the urban questions, directs them to solve each event which appears in the city. After the event is solved, it processes the result to the public and press as feedback through city management surveillance center. That is, on the execution level, it is still carried on by the government's each urban management administrative department.

We can get the three development level with the following graphic.
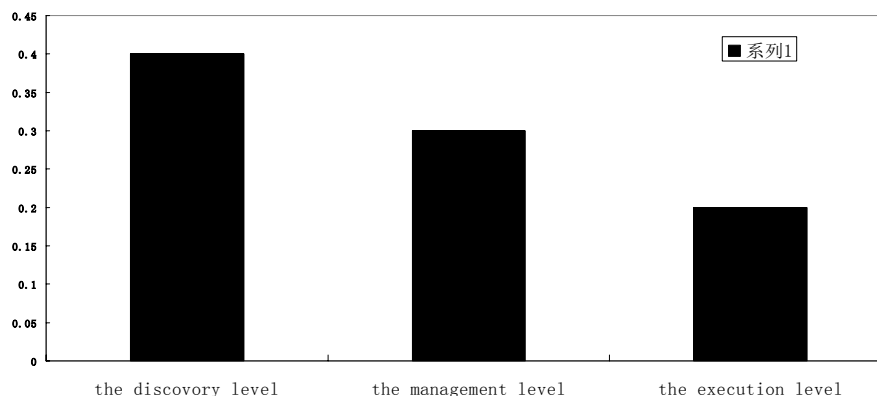
Figure 1. The level of the three features

2. The questions exist in the resources conformity under present grid city management

2.1 The addition level, the waste of management resources

From the above analysis we can see that in municipal and district level, establish the urban management synthesis committee and city management and surveillance center. This resources conformity is not the resources conformity in the true sense, but merely changes the external appearance of this organization. The traditional city management system has not obtained the full conformity, but has created a set of new city management system. The new and old system's friction will create the resources waste in certain degree. Although according to implementation data of Beijing and Shanghai grid city management, there is a big reduction on the urban management cost and time, the author thought that this kind of method of computation cost did not contain the cost of original city management system, needed to carry on the detailed computation on the execution level. In the long run, if these resources conformity is not successful, it will cause the contradiction between traditional city management system and the new city management system, and cause the matter even more complicate and more difficultly solved. Moreover, along with this kind of new pattern utilization and development, with the organization's own increasing strengthening, there will be possibly the same situation as appearance of district in our country administration level in history, the control center will become a new empty level

between municipal and district level, and it will course more enormous waste of management resources.

2.2 The city Management committee is the operation surveillance agency in this system

But we can see that the city management committee subordinate to the municipal or the district government, and there is the possibility for surveillance agency to face the independent position. What legal status is the city management committee, can not give a very good answer. From the actual operational mechanism, in fact, this control center is higher than the city management department, the municipal administration and other departments, the city management department and municipal administration including every department accepts the city management committee's direction, presents the phenomena of dual leadership. Therefore the city management committee will face the question of multiple documents and the multi-thread functional department. This will also affect the surveillance function of the city management committee.

2.3 The supervisor nature is not explicit, the waste of human resources exists.

The supervisors are directly responsible for the city management committee, as the city management committee's legal status is not explicit, therefore, these supervisor's status cannot be determined, they are subordinate in Government department's official nature, or belong to the employment relations, we can not get the affirmative answer. Under the traditional system, there are already many personnel. Our country's official population already seriously inflated; in this case, it will increase the administrative cost to a certain extent if hiring these supervisors. Moreover, the urban question is also the question which needs the governing of entire society; it already could not meet the reality need if the government does everything. The community human resources conformity has not been applied actual truly.

2.4 The populace media participation is few, the waste of community energetic resources.

From the above analysis, we may find that in the entire grid city management, the public and press are only on the surveillance function. Although we have opened some hot lines, but supervisor's existence possibly causes the populace to have the dependent mentality, it will rely on the supervisor, and do not telephone personally. If some matters have not been processed, the responsibility possibly will belong to the supervisor and so on. The urban community management itself needs joint effort of the government and community. Only by the bidirectional interaction; we can achieve the best effect. In community administration, as relating to benefit of the populace, it appears that many volunteers can participate in the community administration on their own initiative, but this set of systems have not provided such persons to the platform which can display the strength, the energetic resources of community and the human resources have not been used fully.

Table 1. the development data

Development level	The discovery level	The management level	The execution level	Total
0				
0.2		**	**	0.5
0.4	**	**		0.7
0.6				
0.8				

Notes: only the data that has in the annual are set here.

3. The resources conformity innovation under the grid city management

According to the above analysis, we should improve the present condition of this kind of community resources conformity, Therefore, the author thought that should redesign one kind of new grid city management system to improve the condition of insufficient resources conformity.

In the investment level of "0.2", changing the government remedy investment to the government and business society investment.Attracting investment of enterprise to the construction of the information platform grid city management. The investment of grid city management information platform is very huge. According to the material and the preliminary reckoning, to construct the new pattern, Dongcheng District Beijing invested fund of more than 1680 ten thousand Yuan. The grid city management is the technological means choice that urban government enhances the city supervisory service, but non-achievement management target selection. As for the whole city supervisory service, the grid city management is supplement to the parent city management system and investment, the grid city management hardware and software investment, the operating cost, as well as its movement cost to the parent city management system's dependence, should be included in the overall cost of city supervisory service. Therefore, the grid city management needs the great funding investment. The grid city management information platform's construction belongs to the technology project; we not only need enterprise's technological resource, but also need enterprise's physical

resources investment. In the realistic situation, the technical investment of this platform construction, the government generally relies on enterprise's technological resource; however, the material resource investment completely comes from government's funding investment. This increases a giant urban management expense to the government, but the merit of the grid city management system can not be neglected, therefore, we must reduce government's cost burden as far as possible under the existing system. In order to improve this condition, the writer thought that we can use the form of BOT definitely, attracting enterprise to join the grid city management investment. for example, if the enterprise carries on certain funding investment, we can give the enterprise advertisement power of some streets. Moreover, the government can also give the preferential some policy benefit, like the tax preference, providing the low-interest loan or other preferential measure to attract enterprises positively to participate in the information platform construction of grid city management.

Using the human resources of community autonomous organization fully. The movement of grid city management system may use 'ten thousand meter unit grids', 'the urban part management' and some new modes of administration. Therefore, we may consider that in the division method which rests on the existing resident community to carry on the division. Like this we can use committee's role fully in the resident community residents, set up the community management committee by the residents' committee, and distribute the personnel to carry on daily inspection in the community, play the existing city management visitation's function. They play the consistent roles, but the government department does not use the urban supervisor's payroll cost. Based on the material, Dongcheng District Beijing has hired more than 360 urban supervisors for the safeguard grid city management's movement, although these urban supervisor's wage level is not high, but as the urban supervisor's work is quite laborious, many of them did not want to do this job, based on this kind of situation, the government department must consider that increase these personnel's wages, such urban supervisor's payroll cost will become a big investment. If using the urban autonomous organization's staff, may raise the wages in the situation to complete the similar work suitably, thus enhancing the community autonomous organization's approval greatly and the sense of belonging, enhancing the community autonomous organization to participate in the urban management enthusiasm.

Use the community human resources and the energetic resources widely. The urban management also needs the public participation to be able to achieve the social management goal. Under the grid city management system, we may establish the all people cooperating management system, use the human resources and the energetic resources in community. Along with mechanics of communication development, handset's image function is getting more and more popular. Depend on this technology, we may establish all people cooperating management system, builds the short note platform, the resident can report to the authorities through the handset photograph evidence collection or the transmission of short note, the superintendent can give certain reward according to the information, or organize some activities to invite the accuser to participate in and so on forms, enhance enthusiasm of the community populace participation. Moreover, can also draw support of some volunteer's strength, organize the volunteer to participate in the community administration and so on.

Using the non-governmental organizations. Non-governmental organization's main sources of fund is from the government, they often become the government's primary assistant, that government carries out its own partial functions through its outside organization. But they are not the government's substitutes; it is the supplementary relations between non-governmental organization and government. Besides these two visible functions, the non-governmental organizations also have massively invisible, but actually active function. For example, it can cultivate the democratic values, enhance the citizen participation level. Non-governmental organization's members associate freely on the voluntary foundation and self-control, non-governmental organization's operation can raise people's democratic awareness and the values gradually, improve the citizen participation, cause the government to be under citizen's powerful surveillance. Utilizes non-governmental organizations in the grid city management system.

With regard to the function, we can see that the city management and surveillance center plays the role of supervising and investigation as well as information issuing. But the city management committee only plays the role of coordinating that issues the information to each specialized department. From this point, the urban surveillance center and city management committee are managed by the municipal divisional management, it is not unnecessary completely belonging to the government department. Make these two departments managed by the non-governmental organizations, in the situation that does not change these two departments' function, not only can solve the problem that these two departments' nature are not explicit, but also can solve the problem of department personnel's dual leadership. After making these two departments managed by the non-governmental organizations, Non-governmental organization's enthusiasm has the enhancement, while the government has been the watch-dog function. The non-governmental organizations still may defer to the present public employment advertise to recruit some high quality city manager for inspection personnel and carry on training to them, the urban management inspection personnel need to have certain legal knowledge to be able to carry on the event of reporting. The information can be transmit to related departments that can process the events; these events' processing result can be issued through the information platform. Overall speaking, the grid city management system's movement is still deferred to the existing pattern, but the present question

will be solved fully. Government and news medias both have the watch-dog function to it.

Reforming the original city management system, make it adapt to the existing grid city management system. The urban digitization, grid management and the original municipal administration management system is the opposite direction, but good orientation management. But this opposite direction but good orientation trend determines that the two management investments becoming the opportunity cost mutually. So we need to reform the existing city management system, make these two systems adapt mutually, cause them to have the reasonable boundary, and have the reasonable supplement. In the long run, these two systems have the contradiction, but the municipal administration system's reform is going to reduce this contradictory friction cost gradually, to a certain extent, can reduce more resources waste.

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The Corporate Governance and the

Distorted Accounting Information

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Abstract

Distorted accounting information of the public company becomes the main element restricting our country's economic development. Hence, how to improve accounting information quality becomes a hot topic. This study in brief analyzes some factors, which affect accounting information quality from the direction of corporate governance. Moreover it gives out several different mathematical models and proposes a base train of administering thought, in order to establish a few foundations for research on the distorted accounting information problem.

Keywords: Corporate governance, The Distorted accounting information

1. Introduction

The distorted accounting information is the "Chronic illness" of securities markets. Because it endangers government Marco-control, disturbs tax revenue and does harm to functioning of optimizing capital resource disposal, many governments attempt to resole this problem. Yet even to this day, varieties of events about distorted accounting information still disturb the whole world. For example "Enron" in United States, and "Yingguanxia"and "lantian" in China. This study concludes that the reason that research and governance on distorted accounting information cannot acquire breakthrough is that it neglects the root of this question. Principal-agent relationship lead to distorted accounting information, so method of only depending on accounting standards and accounting institution is not the most effective way to settle problems.

Corporate governance is an arrangement of law, culture, usual practice and systems, which are use for harmonizing and controlling the relationship and action between every participant. So the most fundamental problem, which will be resolved, is the action of the agent problem. For this reason, it is emergence to benefit conflict between "principal" and "agent" and asymmetric information. All of those evoke distorted accounting information. Reports published by COSO, on the basis of the research, which involve 200 public companies with financial report malpractice from 2003 to 1007, demonstrates that 72% of the cases are related to CEO, 43% are related to CFO; 25% of corporations did not set up the audit commission. The study research specimen included 50 public companies with financial malpractices from 1994 to 2000,according to punishments of CSRC, and demonstrates that there are 79% case related to distorted accounting information and among those is 79%cases related to directors and managers. (Figure 1)
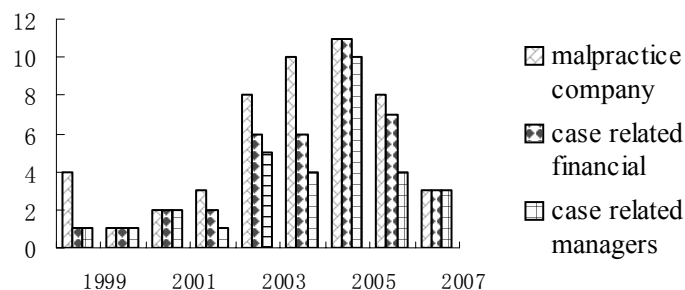
Figue 1. Financial Affairs Malpractices Corporation

In view of the above, we think the reason that induces the distorted accounting information is defects in corporate governance patterns. Because of those defects, some mechanisms cannot supervise and penalize the action. So accounting information cannot be creditable. This study in brief analyzes some factors, which affect accounting information quality from the direction of corporate governance. Moreover it gives out several different instances that directly cause accounting information distort. On this basis, this study designs a mathematical model and proposes a

base train of administering thought, in order to establish a few foundations for research on the distorted accounting information problem.

2. Ownership structure and distorted accounting information

Generally speaking, ownership structure contains two implications: fistly, varied percent possessed by different stockholders; secondly, owner ship structure concentration degree. It is the significant component and the ownership base of corporate governance. Rational ownership structure decides if the basis function by which corporate governance ensures the credible financial report can work well. Stockholders as owners of capital have to make contacts with managers according to the accounting information, and achieve maximum the capital profit. Hence the stockholder is the demander of accounting information. Yet stockholders, with distinct proportion, have different demands. We consider that large stockholders are indeed the accounting information demanders. In this group, the relation ship between economic benefit and accounting information is more important than others, so they possess more power to govern and control quality of the accounting information. Foe example, the person who first discovered "Enron" case was the financial analyst in the investment organization. Rational ownership structure produces accounting information demanders and decreases instances of distorted accounting information.

Through the ownership structure research on the public company with financial report malpractice actions, we discover that there are two distinguishing feature in those companies: first the proportion of circulative stock is to low, and second the first stockholder are nation and " legal person", with the highest proportion being 51%(Figure 2). In Japan banks are the most important stockholders, with centralized ownership structure being only possess 15 %(Figure 3). Government and manager department as stockholders of national stock and owners of property rights are not able to ask for the remainder, so it is nor\t enough impetus for them to supervise and evaluate the manager. So "insider control" becomes an important problem in China. In order to attain to control, an insider must use the distorted accounting information. So this kind of unrightfully ownership becomes the source of distorted accounting information.
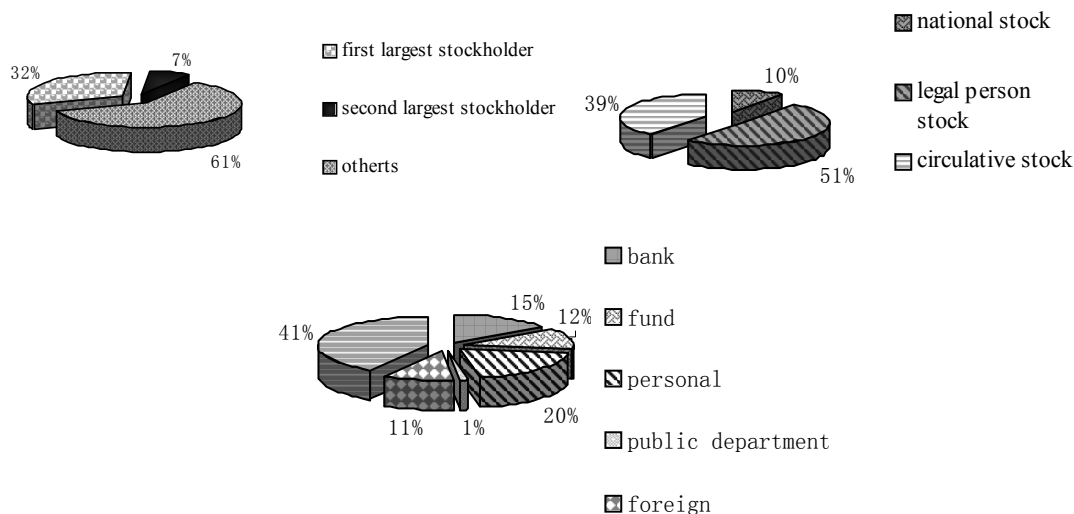
Figure 3. Ownership Structures in Japan

3. Improper incentive mechanisms is the direct cause that creates the distorted accounting information

The problem of incentive mechanism is very significant in corporate governance. Because ownership and managerial authority are separate in modern company. The interest of the stockholder and the managerial authority has diverged. For this reason, owners design incentive mechanism to make the action of managerial authority agree with stockholder's benefit. In the U.S. the incentive mechanism of the public company was most obvious. By the end of 2001, 90%of the great business of the U.S. sent non-qualified stock options to managers, 60% of the revenue of managers came from stock. Yet incentive mechanism is 'two blade swords". On one hang it makes managers work efficiently, but on the other hand it motivates managers to supply the distorted accounting information. Swindles which happened in the U.S. confirm that the action of giving excessive motivation to inspire managers just like "drinking poison to quench thirst" . The benefits of managers should not be combined together with company benefit. This is the cause of the distorted accounting information. To some degree, non-qualified stock options are the main reason of the American accounting swindles law cases. We consider that improper incentive mechanism is the direct cause that

creates the distorted accounting information.

The American accounting swindle law case originated from over compensation, but the reason for distorted accounting information of the public company in China is just short of essential incentive mechanism. Nowadays, the revenue form in China is comparatively simple (Tab. 1). Monthly pay and bonus are the most common form that the companies adopt. There is an intimate relationship between bonus and accounting benefit, so in the case of insider control, use bonus as incentive means usually leads the publish distorted accounting information to control benefit. On the other hand, the traditional viewpoint of Chinese is "The government official is most important". Some managers' goal is to become an official or politician, so for those people accounting becomes a chess piece. It is not strange for a company to appear to "turn hostile suddenly". Though analysis of those financial malpractice cases, we may discover that the improper incentive mechanism impels managers to control the profit, thereby cause the distorted accounting information.

Table 1. Corporation administration person year revenue together revenue shape

Item	Under10000	10000-20000	20000-50000	Over50000
Monthly pay	90.6	85.2	76.5	64.7
Yearly pay	5.6	12.2	20.4	26.2
Mortgaged	6.7	4.4	8.8	4.4
Dividend	6.7	9.3	13.2	24.2
Others	2.9	2.2	2.1	6.0

4. The unqualified supervisory mechanism is the external cause that creates the distorted accounting information

The supervisory mechanism of public company consists of exterior supervision and interior supervision. Exterior supervision means the company restricts the managers' action through outside marketplace. These marketplaces chiefly are the product marketplace, the manager marketplace, and the capital marketplace. Interior supervision means that companies restrict the managers' action through specific system design. Exterior supervision will take a long time to be established, and tradition, culture, political of environment will have a great affect on it. Hence it is a long period of time for exterior supervision to resolve the distorted accounting information, and it cannot accomplish it in one move. Under this situation, resolving the problem as quickly as possible will depend on interior supervision. The way of the U.S. is worth   studying. After experiencing a series of accountancy scandal cases, the U.S. Government passed *Sarbanes---Oxsley Action of 2002* to resolve accounting information quality. The law had several aspects, while are as follow:

(1) The act also has stiffened penalties for corporate and criminal fraud by company insiders. The law makes it a crime to destroy, alter or falsify records in a federal investigation or if a company declares bankruptcy. The penalty for those found guilty includes fines, or up to 20 years imprisonment, or both.

(2) No personal loans or extensions of credit to company executives either directly or though a subsidiary, except for certain extension of credit under an open –ended credit plan or charge card, home improvement and manufactured home loans, or extensions of credit plan by a broker or dealer to its employee to buy, trade or carry securities.

(3) Any CEO or CFO who "recklessly" violates his or her certification of the company financial statement. If "willfully" violates, fine of up to $1,000,000 and /or up to 10 years imprisonment. Fine of up to $5 million and /up to 20 years imprisonment.

(4) The act vests the audit committee of a publicly traded company with responsibility for the appointment, compensation and oversight of any registered public accounting information to perform audit services.

The supervisory mechanism of the public company in China consists of stockholder board, corporate board and supervisor board. But those boards cannot supervise the manager efficiently. When the outstanding achievement is not very good, certainly the manager will utilize different measures and announce the distorted accounting information to attain individual and political aims.

5. Pattern of the relationship between the corporate governance and the distorted accounting information and some proposals

Accounting information is orient to advance efficiency and improve performance of company though using the mechanism to control the accountant datum. If this corporate mechanism brings into play efficiently, the accounting information must combine well with capital market. Because the price of stock can identify effort of manager and the possibility of controlling the surplus, the accounting index may sieve the unconventional influence of non-economic factors. The other way round, the corporate governance can promote the manager to report true accounting information. The relationship can be described by Figure 4.
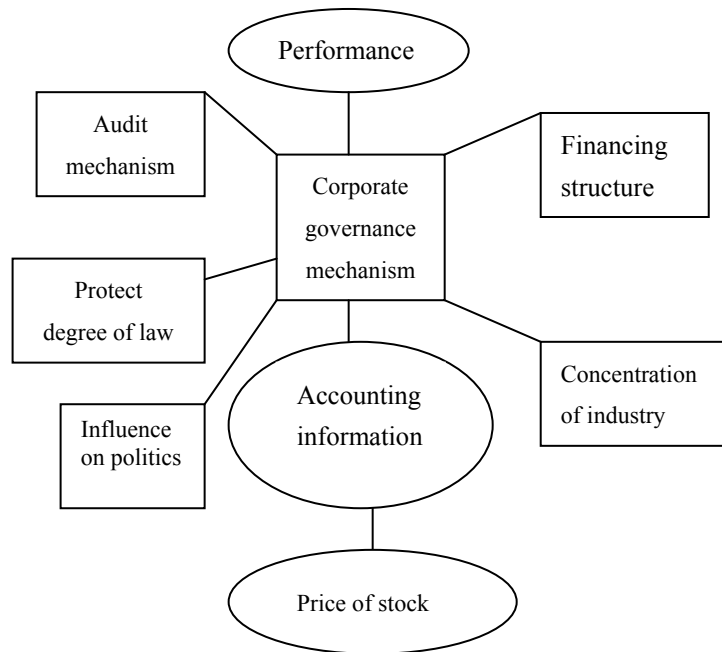
Figue 4. Relationship of Accounting Information and the Corporate Governance

After the accounting information is announced by the manager, through the stockholder board\ the corporate board and the supervisor board, it finally becomes the public record. By means of the analysis of the foregoing paragraphs, we think the main elements affecting quality accounting information are the ownership structure, the supervisory mechanism and the incentive mechanism. According to the formula below, the real accounting information is measured to A, the improperly ownership structure, supervisory mechanism and incentive mechanism which affect the degree of the accounting information quality is α、β、γ, the credible accounting information is Y:

$$Y = A[1-\alpha][1-\beta][1-\gamma] \tag{1}$$

($0 \le \alpha \le 1, 0 \le \beta \le 1, 0 \le \lambda \le 1$, just$\gamma \le \alpha, \beta$)

To be fit for Chinese the conditions; solving problem of the distorted accounting information involves changing ownership structure, and establishing incentive mechanism. Moreover this process involves improving the setup of interior and exterior supervisory mechanism.

The following steps may be taken in the process:

(1) Reducing the proportion of the national stock and personal stock in the specified situation, and then adding to the proportion of circulation stock.

(2) Improving the essential system makes the valid demand accounting information a priority.

(3) Improving the standard achievement evaluation target and the personal payment system, relieving the need to announce the distorted accounting information.

(4) Establishing more kinds of incentive mechanism.

(5) Speeding up product market,director man and capital market establishment.

(6) Establishing improved stockholder statute for their protection.

(7) Establishing the independent audit commission, with strange built-in control.

(8) Improving the supervisor board system.

6. Conclusions

The distorted accounting information possesses two general direction financial report malpractice and profit control. The scope of the study is restricted to the relationship between the financial report malpractice and corporate governance. As to the corporate government, the study only carries on preliminary research through three main respects. The study proposes the easy mathematical model of the accounting information quality. That the relationship between the supervisory of the exterior, statue, the intermediary organization and the distorted accounting information is still awaiting further research.

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Analysis of *Effectiveness Measures* of Construction

Project Success in Malaysia

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Abstract

Project effectiveness measures are normally used by most researchers and practitioners to judge project performance and project success.   This paper provides an empirical analysis of measures of success in terms of effectiveness performance in the development of construction projects in Malaysia.   A survey was conducted in Malaysia among the four project stakeholders: the Government, private clients, consultants, and contractors.   In total 93 respondents completed the questionnaire. Lists of effectiveness of success measures were identified for the respondents to identify their level of success criticality to the Malaysian construction projects.

The data were analysed by means of statistical analysis i.e. ranking of variables based on the mean values, Analysis of Variance (ANOVA) and factor analysis techniques. The first finding revealed that the level of success criticality with regards to project efficiency performance in the development of construction projects in Malaysia is according to the specific requirements and priorities of different project stakeholders. The second finding shows that effectiveness measures are related to the project *'results'* achieved in the development of construction project. These are represented by the five principal factors namely: Learning and Exploitation; Client Satisfaction; Stakeholder Objectives; Operational Assurance and User Satisfaction.   It is anticipated that the findings reported in this paper could be important for future strategies and guidelines for the development of projects in Malaysia.

Keywords: Analysis of variance (ANOVA), Effectiveness measures, Factor analysis, Success measures, Malaysia

1. Introduction

A synonym for success, according to Baccarini (1999) is effectiveness, i.e. the degree of achievement of objectives. Projects are formed to accomplish objectives and success is measured in terms of how well these objectives have been met.   Criteria such as meeting project time, budget, technical specification and mission to be performed are the top priorities of project objectives. This corroborates De wit (1988) findings that project success is measured against the overall objectives of the project (i.e. time, cost, quality, and project mission).   More specifically, the concept of success in a construction project according to some researchers is corresponding to the *efficiency* and *effectiveness* measures (Brudney and England, 1982; de Wit, 1988; Pinto and Slevin, 1988: 1989; Smith, 1998; Belout, 1998; Atkinson, 1999; Crawford and Bryce, 2003).   *Efficiency* is broadly understood as the maximisation of output for a given level of input or resources, while *effectiveness* is directed to the achievement of goals or objectives. Pinto and Slevin (1988: 1989) identify project success in terms of efficiency and effectiveness measures.   Efficiency measures refer to strong management and internal organisational structures (adherence to schedule and budget, and basic performance expectations).   In other words, efficiency measures deal with 'time, budget and specifications'. Effectiveness measures refer to the achievement of project objectives, user satisfaction and the use of the project. A project delivered on time, within budget, and meets performance specifications may not be well-received by the client/users for whom it is intended. The efficiency of a project would only be achieved through having a standard system and methodology put in place (George, 1968). This aligns the Smith (1998) and Nyhan and Martin (1999) findings that project efficiency are concerned with the utilisation of equipment and workforce, whereas effectiveness is concerned with the achievement of outcomes. Maloney (1990) also asserts that the efficiency of construction projects involves the utilisation of resources, which may be represented by the ratio of the resources expected to be consumed divided by the resources actually consumed.   The effectiveness of a construction project, on the other hand, is when

the organisation's objectives are fully attained.   Cameron and Whetten, (1993) contribute to the discussion of project efficiency and effectiveness by indicating that a system is effective if it achieves its objectives. Since construction projects are directed towards client's objectives, an effective construction project should meet the client's objectives.

According to Crawford and Bryce (2003), an evaluation of project success is from the efficiency and effectiveness dimensions. Project efficiency ("doing the thing right") is concerned with cost and process management (i.e. the efficient conversion of inputs to outputs within budget and on schedule) and a wise use of human, financial and natural capital. Whilst, project effectiveness ("doing the right thing") is concerned with the development of worthiness or appropriateness of the chosen project goal.   A project may be efficient (i.e. implemented on or ahead of time and cost schedules) but may be ineffective if the internal logic of the project is not grounded in reality (i.e. the development hypothesis is invalid) or if the goal of the project does not address what are in fact the core vulnerabilities of the target community (i.e. the initial development problem analysis was weak). Atkinson (1999) asserts that measuring project success for the process criteria for project management is measuring efficiency, while measuring effectiveness refers to measuring the success of the resultant system or organisation benefits, getting something right and meeting goals.

Given the above arguments, it may be said that project success must consider both the project outputs (efficiency) and project outcomes (effectiveness) (Pinto and Slevin 1988:89; Maloney, 1990; Cameron and Whetten, 1993; Abdel-Razek, 1997; Smith 1998; Atkinson, 1999; Nyhan and Martin 1999; and Mbugua, 2000) which covers a wide scope of area. In this respect, this paper documents and discusses empirical analysis mainly to factors related to project *effectiveness* measures in the development of construction projects in Malaysia by the four groups of project stakeholders, namely: the Government, private clients, consultants and contractors.   The statistical analysis initially deals with the mean values of responses and ranks them based on their level of importance.   Detailed comparisons of ranking order were made between the groups.   The second stage of the analysis deals with hypothesis testing by means of the nonparametric method of Kruskal-Wallis One-Way ANOVA (Analysis of Variance) test for a k independent sample. The purpose is to examine the significant difference in opinions of individual factors among the four groups at the 5% significance level.   However, based on the mean ranking technique, all the variables appeared to be significant which is superfluous and meaningless. Factor analysis technique by means of principal component analysis (PCA) was then employed to effectiveness variables to identify the principal factors and to enable a more in-depth understanding of factor grouping techniques to underpin the success measures.

2. Overview of Project Effectiveness Measures in the Development of Construction Projects

Based on the literature search, the identification of project effectiveness measures are associated with project '*results*' in terms of accomplishing core business and project objectives, users' satisfaction and the use of the project as identified by Pinto and Slevin, (1988; 1989) and Cooke Davies, (2002), ten possible indicators are compiled for effectiveness measures and are reviewed. These are: client satisfaction on service, user satisfaction with product, project effectiveness, project functionality, free from defects, value for money, profitability, absence of any legal claims and proceedings, learning and exploitation and generate positive reputation.

3. Project Effectiveness Measures

3.1 Client and User Satisfactions

Satisfaction describes the level of 'happiness' of people affected by a project (Chan et al, 2002).   According to Bititici (1994) client is satisfied when the project is delivered to quality, reliability, on-time deliveries, high service levels and minimum cost of ownership. Atkinson (1999) cites that two possible criteria which could be used to measure project success from effectiveness dimension are the resultant system (i.e. the product) which meets customers' satisfaction and benefits many stakeholders such as users. End-users will not be happy if the end product does not meet their requirements in terms of functionality and quality of service. Meanwhile, Liu and Walker (1998) consider client satisfaction is an attribute of project success, while Torbica and Stroh (2001), reckon that if end-users are satisfied, the project can be considered successfully completed in the long run.

3.2 Level of Effectiveness (achievement of outcomes)

Effectiveness encompasses the attainment of the organisation's objectives both at the corporate level and project level (Maloney, 1990).   It can be measured against the objectives earlier set by the client organisations (Abdel-Razek, 1997; Cameron and Whetten, 1983). According to Pinto and Slevin (1994), effectiveness measures refer to user satisfaction and the use of the project. Cameron and Whetten (1983) reckon that a system is effective if it achieves its objectives and since construction projects are directed towards client's objectives, an effective construction project is one that meets its objective.

3.3 Project Functionality and 'Fitness for Purpose'

Chan (2000) and Chan et al, (2002) considers project 'functionality' as one of the success measures in the post-construction phase when the project is finished and delivered. According to them, project functionality correlates

with expectations of project participant and can be best measured by the degree of conformance to all technical specifications. In addition, they further argue that both financial and technical aspects implemented to technical specifications should be considered, achieving the 'fitness for purpose' objective.   Kometa et al, (1995) regard client satisfaction in terms of the functionality of the finish product, meeting safety requirements, flexibility, time, and quality. A study conducted by Chinyio et al, (1998) reckons project functionality as building to be operationally efficient with its intended purpose, durable building and keeping existing buildings operational during construction.   They found that 73% of those who are interested in keeping existing facilities functional are clients whose works were mainly concerned with alterations and renovations.   Hence, taking the points mentioned by those writers, it seems possible that project functionality and fitness for purpose could be associated with project effectiveness measures.

3.4 Free from Defects

Prahl (2002) defines construction defects as work performed that falls below the standard promised or expected by the client or purchaser of the work or services.   According to Mazier (2001) construction defects is a broad term used for a wide range of conditions at a building such as leaky, improperly installed windows or the presence of so-called toxic mould.   Atkinson (1999) divides the cause of building defects into lack of skill, lack of care and lack of knowledge of the site operative and difficult to build, low design and missing project information.   It is a mixture of technical inadequacies, managerial inadequacies and operative's skills. In order to avoid construction defects, one way is to impose quality control during the construction process.

3.5 Value for Money

Value, a fundamental term in project management is a measure expressed in currency, effort, exchange, or on a comparative scale which reflects the desire to obtain or retain an item, services or ideal (Hamilton, 2002; Liu and Leung, 2002). Kloot and Martin (2000) define 'value for money' as the provision of adequate services without wasting limited resources and ensuring services are affordable. Typically, the analysis sees 'value' in which the 'benefits' to each party are perceived as value. Earlier work on 'value for money' equated value for money in terms of cost reduction and higher quality thresholds, which lead to greater client satisfaction (Hamilton, 2002). Value for money is the optimum combination of whole life cost and project quality to meet a client's need and expectation, and value management aims to maximise the functional value of a construction facility to the clients.   Value for money is an effectiveness measure of project success.

3.6 Profitability

Profitability measures the financial success of the project and a project must be properly managed to be profitable (Parfitt and Sanvido, 1993).   Norris (1990) measures profit as the increment by which revenues exceed costs; that is, profitability is measured as the total net revenue (in dollars) over total costs (in dollar).   Profitability is measured in the post-construction phase when the final account is settled and both the paying and the paid parties can be sure of the financial result (Chan et al, 2002), while Maloney (1990) regards profitability as revenues generated by firm exceeding the cost of producing the revenues.

3.7 Absence of any Legal Claims and Proceedings

Claims in construction can be based on the contract itself, a breach of contract, a breach of some other common law duty, a quasi-contractual assertion for reasonable (*quantum merit*) compensation, or extra *ex-gratia* settlement request. Some construction claims are unavoidable or necessary to contractually accommodate unforeseen changes in project conditions or unavoidable changes in client's priorities (Kumaraswamy, 1997). According to Savido et al, (1990), the absence of any claims or proceedings on projects is the major criterion to all parties (client, designer, and contractor) for measuring project success. Whenever a project is completed without using jurisdiction to settle conflict, the construction project can be considered efficient. Claims managers should focus not merely on the significant claims categories but also on the avoidable ones, so as to minimise the damaging effects on a given project.   In certain cases this variable could also be associated with project efficiency measures.

3.8 Learning and Exploitation

Learning addresses specific criteria in terms of organisational learning, changes in knowledge structure, on-going improvements and feedback (Vakola and Rezgui, 2000).   According to Mooraj et al, (1999), the learning and growth perspective focuses on internal skills and capabilities, in order to align them to the strategic goals of the organisation. Learning and exploitation can be defined as the process of improving actions through better knowledge and understanding (Fiol and Lyles, 1985).   In construction project development, the lessons learned in executing a project (whether the project is success or failure) could be applied to future projects.   According to Dalgleish (2003), some developers believe that projects that were cancelled because they were late and over-budget could still be a success if they provided learning something that could be applied to future projects.

3.9 Generate Positive Reputation

In construction project development, project clients are more likely to have a favourable impression of a contractor's company if they have a positive experience in the services offered with a good quality finished product tailored to their initial needs and expectations (Cohen, 1993; Pete, 1987).   In this respect, maintaining a company's positive image and reputation could be an effectiveness measure of project success to contractors and project consultants by creating good results in performance while implementing projects development. A positive reputation may be generated by working closely with construction project management, identifying opportunities for operational improvements, exploiting new technology, product or markets, identifying management information requirements, and resources constraints in offering well defined services and delivering an expected product that fits the client's business objectives.

4. Methodology

A questionnaire survey is one of the most cost effective ways to involve a large number of people in the process in order to achieve better results, as recommended by McQueen and Knussen (2002) and Andi and Minato (2003). The method adopted for this research was based on a structured questionnaire survey of four principal target groups within the Malaysian construction industry, focusing on the states of Selangor and Kuala Lumpur in Malaysia. The data collection exercises were held in Malaysia over a period of three months (3rd March to 25th of May, 2003).   An eleven-page structured questionnaire was distributed to the four targeted groups, representing a mixture of professionals, including those dealing with policy-formulation, design, construction, quantity surveying, and clients of construction projects. The four targeted groups were: Government; private clients (developers); consultants (architects, quantity surveyors, civil & structural engineers, mechanical & electrical engineers) and contractors.   Samples were randomly selected from the listing provided by the respective professional institutions and Construction Industry Development Board (CIDB) Directory.   For project efficiency measures portion, a two-and-a half page questionnaire needed to be answered by those respondents. Moreover, in order to assist respondents in the understanding of the questions, a definition of project effectiveness measures is provided in the questionnaire.

On the government part, the sources from which samples were drawn are: local authorities, irrigation departments, high institutions, universities, public works departments, semi-government bodies, ministries, government departments, statutory bodies, city counsels, construction industry development board (CIDB), and privatised utility bodies within Selangor and Kuala Lumpur areas. The sources were randomly selected from their respective databases. The private clients, however, include all participating developers and the sources were taken from the Real Estate and Housing Developers Association Malaysia and Master Builders Associations of Malaysia data bases. The consultants include architects, civil and structural engineers, mechanical and electrical engineers, and the quantity surveyors. Their sources were randomly selected from the Malaysian Institute of Architect (PAM), the Malaysian Institute of Engineers, and the Malaysian Institution of Surveyors.   The target population for contractors was based on companies that are registered with the CIDB of Malaysia under the Class G7 (projects greater than Ringgit Malaysia 10 Million) categories and were identified from the CIDB directory.

In order to ensure that the data collected is reliable and adequate, it was necessary to have a population sample that is homogeneous and comprehensive (Hoinville et al, 1978 and Odeyinka 2003). It is also important that such a population gives a true representation of the construction organisations.   The two states of Selangor and Kuala Lumpur, Malaysia, were chosen because they were larger groups of consulting firms and Class G7 contractors registered in these regions, which brings the total percentage of the two states to around 61% (CIDB, 2003a).

Based on a comprehensive literature review, a list of thirty significant factors of efficiency measures was produced for the respondents to identify their level of success criticality to the Malaysian construction projects. Respondents were required to rate each question on a five-point Likert scale that required a ranking (1-5), where one represented 'not important' and 5 represented 'extremely important', as the case might be.   The questions were of the 'close-ended' type aimed at simplifying completion, thus enhancing the response rate, as suggested by Dlakwa, (1990). The results were analysed using the Statistical Package for the Social Sciences (SPSS) software.

5. Response Rate

As shown in Table 1, a total of 446 questionnaires were sent to the different target groups in the Malaysian construction organisations.   Ninety-three questionnaires were returned within two months of being sent out, making the total response rate 20.9 percent.   This response rate was finally achieved after several efforts were made in terms of personal contacts and follow-up calls. All the questions were satisfactorily completed.

Twenty-one (29.5%) respondents were from the Government, followed by 15 (18.5%) from private clients, 34 (17.8%) from consultant organisations, and 23 (22.3%) from contractor companies.   The response rate of 20.9 percent is not uncommon and acceptable and is in line with the opinions of Akintoye (2000) and Dulami et al, (2003).   They reported that the norm response rate in the construction industry for postal questionnaires is around 20-30 percent. Ofori and Lean (2001) received a 26 percent response rate, Vidogah and Ndekugri (1998) received a 27 percent response rate and

Shash (1993) received a 28.3 percent rate. Moreover, the current questionnaire survey of Joint Venture projects in Malaysia, conducted by Adnan and Morledge (2003) in August 2002, has also received a 20 percent response rate. Although the volume of the questionnaire (11-pages) is essential to capture the issues involved in project success in Malaysia, it might also have been responsible for the seemingly low response rate. Nevertheless, these questionnaires were completed by the various project stakeholders in Malaysia and, thus, give us some confidence that the responses are reliable.

6. Respondent Experience

Table 2 shows the posts held by respondents with maximum and minimum years of experiences.

The range of personal experience of the respondents in terms of number of years in the construction industry is between 1-36 years with an overall average of approximately 16.46 years; this provides a good spread of personal experience in the sample. A total of 62 respondents (67 percent) are from senior posts (experience≥13 years), and the remaining 31 respondents (33 percent) occupy junior posts. Based on designation, professional background, and work experience of the respondents, it is reasonable to infer that they have reasonable knowledge of the activities associated with construction project performance.

7. Characteristics of the Respondents and Responding Firms

Table 3 elicits information on the organisations' annual turnover, which enables their grouping into small (up to Ringgit Malaysia 25Million), somewhat medium (25-50M), medium (50-100M), large (100-250M) and very large organisations (>250M). The overall percentage of the organisations' turnovers is in the region of somewhat medium (RM 25-50Million) in the last financial years (2002/2003).   In the government sector, equal numbers of respondents (33.3%) are from the somewhat medium size (25-50M) and very large (>250M) size of organisations. Most of the private sector respondents (46.67%) are from the very large organisations (>250M). The consultant respondents are usually from small companies (up to 25M) to somewhat medium class organisations (25-50M) (Government of Malaysia, 2001) with the annual turnover within RM 25 - RM50M. Equal numbers of contractor respondents (26%) are from small and medium organisations.   The reasons for the small number of annual turnovers (within a period of 2002/2003) may be due to the effect of the recent Asian financial crisis which reduced the volume of construction work.

Table 4 shows the distribution of organisations' workload. The major workload of the organisation is building works (55%) followed by civil engineering works (25%). When comparison is made between organisations (government, private clients, consultants, and contractors), the majority of workload is inclined towards building and civil engineering works, suggesting that these two sectors are governing the construction industry in Malaysia.   In building works for example, consultants and government establishments disclose high percentages of 64.12% and 54.025 respectively, compared with contractor (49.35%) and private client (43.33%). This tends to suggest that the data provided cover building and civil engineering works.   Coincidently, these are the construction activities that this study is intended to achieve and thus adds confidence that the information provided by the respondents is very relevant to construction project performance.

8. Data Analysis, Results and Discussion

As suggested by Tabachnick and Fidell (1996) and Pallant (2001), a Kolmogrov-Smirnov test was used to evaluate whether the data on quantitative variables was normally distributed or otherwise.   In this case, the test indicated significant results (Sig.value <0.05), suggesting that a non-parametric technique would be more suitable for the analysis. An important aspect which determines the type of statistical test (parametric or non-parametric) is the type of scale of measurement of data that are generated from a survey. Non-parametric techniques are ideal for data that is measured on nominal and ordinal scales. Since, majority of data are either nominal or ordinal types of scale of measurement, this demands a non-parametric approach of analysis (Siegel & Castellan, 1988; Easterby-Smith et al, 2002).   In addition, to ensure an accurate result was obtained, validity and reliability were important aspects in the construction of scale (Leedy et al, 2001).

The reliability of the 5-point Likert scale measured was determined by using Cronbach's alpha coefficient on the samples. According to Pallant (2001), the value for alpha should be greater than 0.7 for the scale to be reliable, whereas Nunnally (1978) suggests that the modest reliability scale is in the range of 0.50-0.60. Hence, the value for Cronbach's alpha was reported to be 0.9660 (see Table 5) indicating that the data collected from the survey was interrelated and that the scale was consistent with the sample.

9. Measurement of Project Success based on Effectiveness Performances

Table 5 presents the thirty variables considered by survey respondents for the effectiveness measures of project success. The analysis primarily deals with ranking the variables based on their mean score values to determine their level of importance. Out of 30 factors, 6 factors are rated to be 'very critical' by the survey groups. These are: *client satisfaction on service* (overall mean score = 4.27), *users' satisfaction on product* (overall mean score = 4.17), *benefits to client*

(overall mean score = 4.09), *fitness for purpose* (overall mean score =4.07), *benefits to client* (overall mean score = 4.06), and *project functionality* (overall mean score = 4.01).   The remaining 24 factors are also significant and classified 'critical' with the mean scores ranging from 3.33 (*lower depreciation cost*) to 3.94 (*value for money*).

The contractor respondents selected 15 variables as 'very critical' compared with private client respondents (9 factors), consultant respondents (8 factors) and government (1 factor). Comparison between the groups revealed that the mean values from private sectors are much higher than the government. This suggests lack of emphasis among government respondents of Malaysia in their rating of effectiveness measures of project success.

The contractor respondents ranked *client satisfaction on service* (mean value = 4.48) 1st, followed by *user satisfaction on product* (mean value = 4.40), *high profit margin* (mean value = 4.38), *meets project stakeholder needs and expectations* (mean value = 4.35), *benefit to client* (mean value = 4.29) and *meeting pre-stated objectives* (mean value= 4.25).   Likewise, private clients group ranked *user satisfaction on product* (mean value = 4.36) 1st, followed by *client satisfaction on service* (mean value = 4.27), *fitness for purpose* (mean value = 4.20), *benefit to users* (mean value = 4.14), and *fast rectification of defects* (mean value = 4.14). This shows that these two groups selected important variables that revolve around the issues of client satisfaction on service, user satisfaction on product, high profit margin and meeting pre-stated objectives, all of which are very much associated with project outcomes.

Similarly, the consultant respondents follow similar perceptions by *client satisfaction on service* (mean value = 4.34) highest, followed by *value for money* (mean value = 4.25), *user satisfaction on product* (mean value = 4.22), *benefit to client* (mean value = 4.17), *benefit to users* (mean value = 4.17) and *project functionality* (mean value=4.11). This indicates that the status-quo of project objectives, user satisfactions and the use of the project are all considered important measures of project effectiveness by consultants. Once again, the Government respondents seem to have a diverse view by choosing *easy to maintain* (mean value=4.11) to be the most important factor (ranked 1st), followed by *project functionality* (mean value=3.90), *client satisfaction on service* (mean value=3.89), and *fitness for purpose* (mean value=3.84).   The results suggest that the Government sectors in Malaysia are currently switching their priority project effectiveness needs to maintenance and functionality of the finished product.

Table 5 also provides the results of the Kruskal-Wallis One-Way ANOVA test for a k independent sample, and shows that 3 out of 30 effectiveness variables have statistically significant difference of opinion between the groups at the 5 per cent significance level. These measures are: *accomplish core business needs* (χ^2 =8.387, p=0.039<0.05); *project stakeholder needs and expectations* (χ^2 =9.624, p=0.022<0.05); and *high profit margin* (χ^2 =24.905, p=0.000<0.05). This implies that the null hypothesis for these three factors cannot be accepted.

The Mann-Whitney U test of two independent samples is applied to the three factors (*accomplish core business needs, meets project stakeholder needs and expectations, and high profit margin*) at the 5 per cent significance level as shown in Table 6. With regards to *accomplish core business needs'* the test showed that it is the contractors respondent group that contributed to the difference between the groups at the 5 per cent significance level (government/ contractors, p= 0.015; consultants/contractors, p =0.030).   For *project stakeholders needs and expectations* the test reveals once again that the contractors contributed to the significant differences between the groups (government/ contractors, p = 0.025; private clients/contractors, p=0.018), and consultants/contractors, p =0.004).   In terms of *high profit margin,* the initial observation indicates a big gap between the mean values of government and contractor respondents (mean value of 2.50 and 4.38), respectively.   Expectedly, the Mann-Whitney U test shows that that both government and contractor respondents contributed to the differences in opinion at the 5 per cent significance level (government/private clients, p = 0.001; government/consultants, p=0.003; government/contractors, p =0.000), and consultants/contractors, p =0.002).

To determine a demarcation point between 30 variables of effectiveness measures, the Wilcoxon Signed Ranked Test of two related samples is employed. The test is only able to detect differences at the 10 percent level of significance.   Based on this, the overall rating of 4.01 (*project functionality*) is slightly lower than 4.06 (*benefit to users*) at the 10% level of significance (p=0.088) suggesting that the two variables are significantly different at the 10% level of significance.   In this case, although the two variables differed, it is unlikely that the factor *project functionality* can be omitted given that the Government sector ranked it 2nd. Factor reduction technique is then employed to reduce the large number of variables to principal factors based on their relationships by means of *Principal Component Analysis* (PCA). The method of analysis and the results are presented and further discussed in Table 6.

10. Factor Analysis of Effectiveness Measures in Measuring Project Success

Factor analysis is also carried out on the thirty-variables of effectiveness measures.   All the parameters are satisfactory for extraction requirements: KMO=0.826, (Approximate Chi-square=1487.852, significant 0.000) and all the MSAs are in the range of 0.638-0.923 (greater than 0.500 as required).

Table 6 summarises the results of the analysis conducted using Principal Component Method.   As shown, five *Principal Components* are extracted with eigen values greater than 1.   Almost 73.59% of the total variance is attributed to the five Principal Components. The scree plot of the total variance associated with each component suggests that a five-component

model is the most appropriate. The percentage variations explained by the five Principal Components are 20.50 %, 20.15%, 12.85%, 12.15%, and 7.93% respectively. Each variable weighs heavily on to only one of the Principal Components and the loading on each Principal Component exceeds 0.50.

Referring to Table 6, eight components/ variables come under Principal Component 1 which appears to be associated to 'Learning and Exploitation'. Principal Component 2 comprises eight components, which may be referred to as 'Client Satisfaction'. The five components under Principal Component 3 represents 'Stakeholder Objectives'. The four components under Principal Component 4 could be associated to 'Operational Assurance', whilst three components under Principal Component 5 could be associated with 'User Satisfaction'. Hence, each Principal Component is readily interpretable as follows:

Principal Component1 represents Learning and Exploitation;

Principal Component 2 represents Client Satisfaction;

Principal Component 3 represents Stakeholder Objectives;

Principal Component 4 represents Operational   Assurance; and

Principal Component 5 represents User Satisfaction.

11. Discussion of Factor Analysis Results of Effectiveness Measures

11.1 Principal Component 1- Learning and Exploitation

Principal Factor 1 accounts for 20.50% of total percentage of the variance explained. This grouping consists of eight components/variables: *develop new knowledge and expertise* (sig. =0.807), *increase level of professional development* (sig. =0.792), *generate positive reputation* (sig. =0.788), *new market penetration* (sig. =0.698), *develop new business relationships* (sig. =0.693), *value for money* (sig. =0.537), *exploitation of technology* (sig. =0.528), and *usable life expectancy* (sig. =0.518). All of these variables are categorised as critical based on their mean values (see Table 5) indicating that they are suitable for measuring project success as effectiveness measures.

The highest loading is given to *develop new knowledge and expertise* with a significant value of 0.807. According to Vokala and Rezgui (2000), learning and growth is measured in terms of organisational learning, changes in knowledge structure, on-going improvement and feedback. The lesson learned from executed projects will assist the project team members in responding to changes according to the demands of internal and external environment or to establish a new set of norms. Cooke-Davis (2002) reckons one of the twelve key factors in project-oriented organisations is to be 'an effective means of learning from experience' on projects, that combines explicit knowledge with tacit knowledge in a way that encourages people to learn and to embed that learning into continuous improvement of project management processes and practices.

Moreover, the concept of 'learning' and 'exploitation' provide the opportunity to diversify the construction portfolio by exploring the services to foreign construction market and *develop new business relationship* (sig. =0.693) through partnering or collaborative arrangements as suggested by Pandia (1994) and Tang and Ogunlana (2003). More specifically, when dealing with complex projects, the *exploitation of technology* (sig. =0.528) provide an exposure to an international business relationships between countries. Successful implementation of project in an international environment can enhance the image of a company and elevate its status from the domestic to a transnational level. Thus, it is not surprising that these variables associated with 'learning and exploitation' are loaded together.

11.2 Principal Component 2- Client Satisfaction

Principal Component 2 (*Client Satisfaction*) accounts for 20.15% of the total percentage of the variance explained. This grouping is made-up of eight components: *benefit to end-user, benefit to client, project functionality, aesthetic value, meets client satisfaction on service, meets end-user satisfaction on product, pleasant environment,* and *easy to maintain*. These variables are highly ranked based on their overall mean scores and regarded as very critical by all the respondents with the exception of 3 variables: *aesthetic value, pleasant environment*, and *easy to maintain*. Higher loading is given to *benefit to users* with a significant value of 0.807, followed by *benefit to client* (sig. =0.802). The overall results indicate that benefits and satisfactions for clients and end-users as a result of any project development is a critical factor for project success. This is in line with the opinion of Globerson (1997) who notes that the more closely the product fits the customers' satisfaction, the higher the probability of completing the project successfully.

Karlsen (2002) indicates that client and the user are the most important stakeholders to the project. In relation to this, *client and user satisfaction* issues (sig. = 0.675, and sig. =0.657) largely depend on the absolute level of performance attained based on the pre-determined criteria. Hence, appreciation of project benefit could be achieved through the client/user acceptance of the project, feel pleasure and satisfied (Walker and Liu, 1998).

Surprisingly, the two components, *pleasant environment* (sig. = 0.537) and *easy to maintain* (sig. =0.508) under this Principal Component have lower loadings, yet *easy to maintain* is regarded as a very critical measure (mean value = 4.11) by government group in measuring project success (effectiveness measures).

11.3 Principal Component 3- Stakeholder Objectives

Principal Component 3 (*stakeholder objectives*) accounts for 12.85% of the total percentage of the variance explained. This grouping is made-up of five components/variables: *accomplish core business needs, meets stakeholder needs and expectations, and meets corporate missions, high profit margin,* and *meeting pre-stated objectives.*

The highest loading is given to *accomplish core business needs* (sig. =0.807), followed by *meeting stakeholder needs and expectations* (sig. = 0.775) and *meets corporate mission* (sig. =0.715).   According to Male (1991) and Cox and Townsend (1998), construction needs ought to be aligned with the corporate objectives in terms of meeting core business needs and corporate missions and support the core business process.   For instance, in UK, the implementation of this concept could be seen in Rover group of Britain, McDonald's restaurants Ltd, and British Airport Authority construction projects development where every project undertaken reflects the corporate missions of the establishments.

Meanwhile, Morris and Hough (1987) have argued that the achievement of objectives is accomplished when the project is profitably delivered by the contractor (sig. = 0.635).   This is in line with the opinion of Sanvido et al, (1992), who agree that the effectiveness of the project outcomes is measured when both designers and contractor meet certain profit and fee goals.

11.4 Principal Component 4- Operational Assurance

Principal Component 4 (*operational assurance*) accounts for 12.15% of the total percentage of the variance explained. This grouping consists of five components/variables: *supported by worthwhile warranty programmes, excellent commissioning programmes, close-out process run smoothly and efficiently, fitness for purpose,* and *fast rectification of defects.*

In the construction industry, *project commissioning* (sig. = 0.676) is a systematic process of verification and documentation, and is vital for all parts of project stages (i.e., from pre-design to staff training and warranty-period monitoring) that all building or facility systems perform interactively in accordance with the design documentation and intent, and in accordance with the client's operational needs (Rothacker, 2003; Wilkinson, 2001; Allen and Trimble, 2003).   Once the equipment is installed and modifications are carried out, the installer is expected to make sure that the system is operating.   In addition, *warranty programmes* (sig.=0.792) and post contract activities such as in-service training, system and operating staff performance appraisal, periodic inspections, operator training, etc are required to be implemented soon after the handing over of the completed building/facilities to client and users   as indicated by Spirer and Hamburger, (1988).   The responsible groups must be informed of their specific obligations and all relevant project data (i.e. contracts, drawings, manuals, etc) must be transferred as appropriate.

Moreover, *fast rectification of defects* (sig. = 0.595) within the project is another important aspects in commissioning and warranty programme that should be treated seriously and systematically (Atkinson, 1999).   It is the duty of the responsible group to check on the liability insurance programme undertaken by contractors and subcontractors for protection against construction defects claims.   In Malaysia, in most construction contracts, the defects liability period is lasts for 12 months from the certificate of practical completion and the contractor is liable to make good any defects that surface during this period in a workmanlike manner.

11.5 Principal Component 5- User Satisfaction

Principal Component 5 (*user satisfaction*) accounts for 7.93% of the total percentage of the variance explained. This grouping consists of three components/variables: *early occupation, minimum cost of ownership,* and *flexibility for future expansion.*

Professional developers normally have a special programme to keep their clients, end-users and purchasers well informed with regard to the construction time table and setbacks (Jackson, 2003). Realising that client and users' satisfaction is the final proof of project success, an *early period to occupy a property* (sig. = 0.820) is one of the fundamental factors that fascinates most customers and home occupiers.   Highest loading is given to this factor, indicating the importance of it in measuring the effectiveness of project success.

Moreover, clients, end-users and purchasers are important people that created market demand and they expect that products are affordable and high quality with *minimum cost of ownership* (sig. = 0.563). In Malaysia, most clients, end-users and facility purchasers are delighted to buy affordable properties or homes that provide flexibility for future expansion (Tan, 1996).   The main reason could be tight budget when a property is purchased and hence look for the opportunity to expand floor areas at the later stage.   This is usually an important part of the Malaysia property acquisition norms.

12. Conclusion

This paper has produced detailed analyses of project success effectiveness measures in the form of a mean ranking of variables and factor reduction techniques in order to unveil empirical findings with regards to the Malaysian construction industry.   The evaluation of project success and the level of success criticality in the development of construction projects

in Malaysia are according to the specific requirements and priorities of different project stakeholders and will vary from project to project.

In terms of the effectiveness measures of project success, the first finding revealed that client satisfaction, high profit margin and fitness for purpose are receiving of great importance from both contractor and private client organisations in Malaysia compared to the Government and their consultants. Project profitability, user's satisfactions in terms of service and product, and fitness for purpose are the prime criteria of the private sectors' success measures at the project completion stage which are associated to effectiveness measures of project success. However, the issues related to maintenance and project functionality are of main concerned to most Government organisations in Malaysia at the project completion stage apart from client satisfaction on the good services and excellent product deliverables.

With regards to the above, the Malaysian Government (through CIDB of Malaysia) has begun to make excellent efforts and a drastic initiative in promoting quality consciousness among the construction industry players in order to achieve excellent quality of construction product. Although the commitment in providing good quality assurance to project is tedious and complex, especially in large scale construction projects, the involvement of CIDB, Malaysia to integrate quality assurance programme as reported by Technology Foresight to improve the technical quality and constructability indicating a good process improvement in the development of construction projects (CIDB, 2000). Furthermore, project functionality is also of the priority concerned to the Government organisation in Malaysia given that the effectiveness of a project could be jeopardised if the building fails to meet the functionality criteria or is not operationally efficient for the users intended purpose.

Secondly, project success in terms of *effectiveness* measures revealed five principal component factors and 29 associated variables which are represented by: Learning and Exploitation, Client Satisfaction, Stakeholder Objectives, Operational Assurance and User Satisfaction. Given that effectiveness measures of project success are related to the project *'results'*, factors such as learning from projects, meeting the client and users' satisfaction, meeting pre-stated objectives of project stakeholders (accomplishing core business and project objectives) and supported by a well organised commissioning programmes are the expected project outcomes. Aligning project outcomes with customer needs and expectations is the most ideal situation in measuring project success in terms of effectiveness measures.   Although in reality the ideal situation is hard to achieve, the empirical findings has discovered that these are the important variables that need to be measured   by the Malaysian construction organisation for project success from the effectiveness point of view.   It is hoped that the empirical findings of this study could offer an insight to Government and project-oriented companies in Malaysia for future strategies and guidelines with regards to project effectiveness measures of project success for the development of construction projects.

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Table 1. Response Data

Type of organisations	Number of questionnaires		Percentage return
	Sent	Return	(%)
Government	71	21	29.5
Private clients	81	15	18.5
Consultants	191	34	17.8
Contractors	103	23	22.3
Total	446	93	20.9

Table 2. Profile of Survey Respondents and Their Experiences

Sample			Designations		Experience in the construction industry (years)			
Type of Organisations	Frequency		Senior Post — Principal, Director, Managing Director, Senior Surveyor, Senior Manager, Senior Engineer, Quantity Architect, Senior Contract and Chief Project Manager and Head of Organisations	Junior Posts — Architect, Engineer, Quantity Surveyor, Contract Administration, Planner, Senior Technical Assistant	Max	Average (Mean)	Min	Std. Deviation
Government	21		10	11	27	14.10	3	6.00
Private Client	15		8	7	36	14.40	5	7.36
Consultants	34							
- Architect	9		7	2	28	17.67	1	8.08
- C & S Engineer	10		9	1	27	20.70	11	5.83
- M & E Engineer	4		4	0	23	17.75	13	4.57
- Quantity Surveyor	11		8	3	30	16.54	5	8.62
Contractor (G7)	23		16	7	25	14.13	4	6.05
Total	93		62	31	-	-	-	-

Table 3. Survey Organisations Distribution by Annual Turnover

Annual turnovers (RM Million)	Total Frequency	Overall %	Government (GOV)	(%)	Private Clients	(%)	Consultants (CONS)	(%)	Contractors (CONT)	(%)
Up to 2.5M	29	31.18	0	0	1	6.67	22	64.71	6	26.09
25-50M	24	25.81	7	33.33	3	20.00	9	26.47	5	21.74
50-100M	11	11.83	2	9.52	2	13.33	1	2.94	6	26.09
100-250M	10	10.75	5	23.81	2	13.33	1	2.94	2	8.70
Over 250M	19	20.43	7	33.33	7	46.67	1	2.94	4	17.39
Total	93	100.00	21	100.00	15	100.00	34	100.00	23	100.00

Table 4. Distribution of the Survey Organisations' Workload

Workload	Overall mean (%)	Government (%)	Private Clients (%)	Consultants (%)	Contractors (%)
Building works	54.84	54.05	43.33	64.12	49.35
Civil Engineering works	24.78	20.38	28.00	21.47	31.61
Mechanical & Electrical works	9.16	10.57	7.47	7.79	11.00
Other works	10.73	11.43	21.20	6.32	9.78

Table 5. Criteria for Measuring Project Success in terms of Effectiveness Measures

Criticality	Effectiveness Measures	Overall mean Score	R	GOV (N=21)	R	Private Client (N=15)	R	CONS (N=34)	R	Contractor (N=23)	R	Chi-Square Value	Kruskal Wallis Sig p	Wilcoxon Signed Ran Criticality
V. Critical	Client satisfaction on service	4.27	1	3.89	3	4.27	2	4.34	1	4.48	1	7.252	0.064	
V. Critical	User satisfaction on product	4.17	2	3.75	7	4.36	1	4.22	3	4.40	2	7.711	0.052	
V. Critical	Benefit to client	4.09	3	3.80	5	4.07	6	4.17	4	4.29	5	5.868	0.118	
V. Critical	Fitness for purpose	4.07	4	3.84	4	4.20	3	4.04	7	4.24	7	3.868	0.276	
V. Critical	Benefit to end-user	4.06	5	3.80	6	4.14	4	4.17	5	4.13	11	2.699	0.440	
V. Critical	Project functionality	4.01	6	3.90	2	4.00	7	4.11	6	4.00	13	1.588	0.662	
Critical	Value for money	3.94	7	3.26	25	3.93	10	4.25	2	4.11	12	6.489	0.090	
Critical	Easy to maintain	3.90	8	4.11	1	3.87	13	3.83	10	3.82	21	1.803	0.614	
Critical	Fast rectification of defects	3.89	9	3.56	13	4.14	5	4.00	8	3.82	22	4.010	0.260	
Critical	Meets pre-stated objectives	3.89	10	3.38	11	4.00	8	3.79	11	4.25	6	7.480	0.058	
Critical	Exploitation of technology	3.83	11	3.50	16	3.93	11	3.77	12	4.14	10	4.171	0.244	
Critical	Increase level of professionalism	3.80	12	3.43	21	3.64	22	3.96	9	4.00	14	5.459	0.141	
Critical	Develop new knowledge & expertise	3.76	13	3.54	15	3.79	16	3.75	14	3.94	16	1.058	0.787	
Critical	Develop new business relationship	3.75	14	3.55	14	3.86	14	3.58	23	4.00	15	2.942	0.401	
Critical	Generate positive reputation	3.75	15	3.69	8	3.79	17	3.50	27	4.21	8	4.633	0.201	
Critical	Accomplish core business needs	3.74	16	3.47	19	3.93	12	3.56	24	4.19	9	8.387	0.039*	
Critical	Stakeholder needs & expectations	3.71	17	3.38	22	3.67	21	3.52	26	4.35	4	9.624	0.022*	
Critical	High profit margin	3.71	18	2.50	30	4.00	9	3.59	22	4.38	3	24.905	0.000**	
Critical	Excellent commissioning programmes	3.69	19	3.57	12	3.79	18	3.67	18	3.73	26	0.322	0.956	
Critical	Early occupation	3.68	20	3.63	10	3.79	19	3.56	25	3.87	19	0.920	0.821	
Critical	Corporate missions	3.68	21	3.24	26	3.80	15	3.74	15	3.89	18	3.933	0.269	
Critical	Aesthetic value	3.67	22	3.50	17	3.57	24	3.68	17	3.94	17	4.814	0.189	
Critical	Pleasant environment	3.63	23	3.64	9	3.50	27	3.76	13	3.50	29	1.335	0.721	
Critical	Usable life expectancy	3.62	24	3.29	24	3.57	25	3.69	16	3.87	20	4.007	0.261	
Critical	Excellent close-out process	3.56	25	3.31	23	3.57	26	3.61	20	3.67	27	0.817	0.845	
Critical	Worthwhile warranty programme	3.53	26	3.50	18	3.71	20	3.61	21	3.27	30	1.963	0.580	
Critical	Minimum cost of ownership	3.53	27	3.20	27	3.36	29	3.67	19	3.79	23	4.367	0.224	
Critical	Flexible for future expansion	3.52	28	3.47	20	3.64	23	3.43	28	3.63	28	0.690	0.876	
Critical	New market penetration	3.38	29	3.00	29	3.43	28	3.27	29	3.79	24	3.942	0.268	
Critical	Lower depreciation cost	3.33	30	3.09	28	3.21	30	3.26	30	3.77	25	3.506	0.320	

*The mean difference is significant at the 0.05 level   5=Extremely Critical; 4= Very Critical; 3= Critical; 2=Somewhat Critical; 1= Not Critical

**The mean difference is significant at the 0.01 level   Reliability coefficient (Cronbach's alpha) =0.9660

Table 6.   Factor Matrix grouping after Varimax Rotation (Effectiveness Measures)

Components	Principal Components (PC)				
	Principal Component 1	*Principal Component 2*	*Principal Component 3*	*Principal Component 4*	*Principal Component 5*
Develop new knowledge and expertise	0.807				
Increase level of professional development	0.792				
Generate positive reputation	0.788				
New market penetration	0.698				
Develop new business relationship	0.693				
Value for money	0.537				
Exploitation of technology	0.528				
Usable life expectancy	0.518				
Benefit to end-user		0.807			
Benefit to client		0.802			
Project functionality		0.765			
Aesthetic value		0.755			
Meets client satisfaction on service		0.675			
Meets end-user satisfaction on product		0.657			
Pleasant environment		0.537			
Easy to maintain		0.508			
Accomplish core business needs			0.807		
Meets stakeholders' needs & expectations			0.775		
Meets corporate missions			0.715		
High profit margin			0.635		
Meeting pre-stated objectives			0.624		
Supported by warranty programme				0.792	
Excellent testing and commissioning programmes				0.676	
Close-out process run smoothly & efficiently				0.629	
Fitness for purpose				0.597	
Fast rectification of defects				0.595	
Early occupation					0.820
Minimum cost of ownership					0.563
Flexibility for future expansion					0.551
Eigenvalue	6.151	6.045	3.856	3.645	2.379
Percentage of variance explained	20.503	20.151	12.854	12.151	7.929
Cumulative percentage variance	20.503	40.654	53.508	63.659	73.588

Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy = 0.826;

Barlett's Test of Sphericity =1487.852, significance p=0.000

Appendix 1-Correlation Matrix of 30 variables of Effectiveness Measures

		1	2	3	4	5	6	7	8	9	10	11	12
1	Meets corporate missions	1.000											
2	Meets pre-stated objectives	0.613	1.000										
3	Accomplish core business needs	0.611	0.645	1.000									
4	Meets client satisfaction on service	0.458	0.507	0.566	1.000								
5	Meets end-user satisfaction on product	0.327	0.509	0.405	0.812	1.000							
6	Meets project stakeholders' needs & expectations	0.549	0.533	0.78	0.538	0.450	1.000						
7	Aesthetic value	0.256	0.513	0.492	0.647	0.668	0.456	1.000					
8	Benefit to client	0.425	0.566	0.637	0.720	0.625	0.583	0.719	1.000				
9	Benefit to end-user	0.446	0.574	0.536	0.729	0.758	0.526	0.755	0.896	1.000			
10	Project functionality	0.333	0.636	0.417	0.592	0.676	0.337	0.739	0.703	0.768	1.000		
11	Fitness for purpose	0.314	0.575	0.421	0.286	0.354	0.322	0.453	0.540	0.485	0.606	1.000	
12	Value for money	0.476	0.452	0.383	0.696	0.632	0.426	0.510	0.541	0.634	0.547	0.355	1.000
13	Free from defects	0.414	0.366	0.269	0.424	0.521	0.358	0.349	0.233	0.351	0.318	0.230	0.563
14	Flexible for future expansion	0.230	0.299	0.352	0.460	0.494	0.256	0.486	0.507	0.529	0.581	0.356	0.412
15	Usable life expectancy	0.435	0.515	0.49	0.569	0.626	0.477	0.600	0.554	0.658	0.590	0.396	0.681
16	Easy to maintain	0.340	0.434	0.329	0.494	0.527	0.432	0.543	0.550	0.531	0.564	0.349	0.548
17	Early occupation	0.237	0.212	0.29	0.367	0.330	0.236	0.416	0.339	0.407	0.441	0.202	0.312
18	Minimum cost of ownership	0.434	0.367	0.537	0.491	0.450	0.569	0.569	0.493	0.547	0.395	0.266	0.465
19	Lower depreciation cost	0.407	0.458	0.473	0.572	0.554	0.543	0.544	0.509	0.558	0.552	0.429	0.587
20	New market penetration	0.342	0.331	0.297	0.621	0.619	0.384	0.389	0.386	0.480	0.483	0.281	0.613
21	Generate positive reputation	0.370	0.292	0.449	0.585	0.600	0.531	0.418	0.382	0.464	0.324	0.162	0.512
22	Develop new business relationship	0.287	0.300	0.358	0.418	0.467	0.464	0.285	0.327	0.392	0.287	0.171	0.483
23	Develop new knowledge and expertise	0.287	0.273	0.408	0.513	0.534	0.526	0.331	0.351	0.415	0.309	0.171	0.460
24	Increase level of professional development	0.314	0.274	0.283	0.607	0.655	0.399	0.492	0.397	0.521	0.395	0.223	0.641
25	Pleasant environment	0.283	0.495	0.467	0.562	0.460	0.433	0.690	0.602	0.597	0.579	0.408	0.437
26	Close-out process run smoothly & efficiently	0.450	0.514	0.419	0.523	0.632	0.333	0.560	0.524	0.603	0.665	0.506	0.565
27	Excellent commissioning programme	0.396	0.419	0.46	0.502	0.529	0.410	0.474	0.470	0.489	0.537	0.471	0.545
28	Fast rectification of defects	0.410	0.479	0.435	0.614	0.670	0.413	0.640	0.539	0.566	0.533	0.497	0.631
29	Supported by worthwhile guarantees	0.373	0.387	0.323	0.378	0.463	0.227	0.448	0.319	0.402	0.503	0.445	0.529
30	High profit margin	0.544	0.573	0.593	0.480	0.546	0.625	0.430	0.448	0.444	0.333	0.372	0.427

Kaiser-Meyer-Olkin (KMO) Measure of Sampling Adequacy		*0.826*
Barlett's Test of Sphericity	*Approx. Chi-square*	*1487.852*
	df	*435.000*
	Sig	*0.000*

	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
13	1.000																	
14	0.349	1.000																
15	0.494	0.647	1.000															
16	0.453	0.640	0.705	1.000														
17	0.401	0.570	0.533	0.427	1.000													
18	0.482	0.396	0.532	0.300	0.558	1.000												
19	0.521	0.727	0.624	0.578	0.382	0.587	1.000											
20	0.521	0.541	0.678	0.454	0.473	0.492	0.716	1.000										
21	0.588	0.517	0.596	0.441	0.552	0.658	0.614	0.651	1.000									
22	0.505	0.405	0.520	0.355	0.405	0.457	0.474	0.638	0.723	1.000								
23	0.439	0.479	0.620	0.492	0.255	0.433	0.573	0.638	0.782	0.679	1.000							
24	0.413	0.445	0.711	0.579	0.303	0.446	0.560	0.679	0.736	0.540	0.731	1.000						
25	0.318	0.421	0.541	0.492	0.463	0.533	0.459	0.465	0.417	0.401	0.401	0.438	1.000					
26	0.501	0.551	0.660	0.480	0.383	0.505	0.617	0.639	0.651	0.500	0.548	0.600	0.521	1.000				
27	0.440	0.432	0.651	0.534	0.323	0.417	0.504	0.565	0.562	0.511	0.556	0.589	0.524	0.788	1.000			
28	0.632	0.468	0.706	0.671	0.393	0.460	0.584	0.539	0.569	0.384	0.487	0.588	0.500	0.687	0.718	1.000		
29	0.521	0.411	0.609	0.494	0.448	0.411	0.429	0.560	0.565	0.517	0.450	0.565	0.479	0.769	0.827	0.736	1.000	
30	0.489	0.325	0.469	0.394	0.338	0.422	0.444	0.427	0.565	0.549	0.488	0.493	0.304	0.502	0.536	0.557	0.485	1.000

Appendix 2. Anti-image Correlation Matrix of 30 variables of Effectiveness Measures

		1	2	3	4	5	6	7	8	9	10	11
1	Meets corporate missions	**0.849**										
2	Meets pre-stated objectives	-0.135	**0.721**									
3	Accomplish core business needs	-0.200	-0.205	**0.891**								
4	Meets client satisfaction on service	-0.295	-0.303	-0.187	**0.801**							
5	Meets end-user satisfaction on product	0.367	0.05003	0.01255	-0.537	**0.835**						
6	Meets project stakeholders' needs & expectations	-0.117	0.252	-0.472	0.04652	-0.08566	**0.524**					
7	Aesthetic value	0.305	0.279	-0.05811	-0.253	0.08522	0.01868	**0.850**				
8	Benefit to client	0.233	0.180	-0.271	-0.399	0.465	-0.01214	0.031	**0.787**			
9	Benefit to end-user	-0.305	-0.06790	0.25900	0.244	-0.520	-0.05938	-0.07841	-0.800	**0.835**		
10	Project functionality	-0.03303	-0.450	0.06192	0.173	-0.328	-0.07607	-0.486	-0.08312	-0.05137	**0.838**	
11	Fitness for purpose	0.03136	-0.289	0.01009	0.336	-0.06693	-0.131	0.09965	-0.336	0.190	0.167	**0.837**
12	Value for money	0.020	0.231	0.06636	-0.492	0.241	0.04256	0.245	0.08642	-0.123	-0.250	-0.103
13	Free from defects	-0.151	0.03053	0.05456	0.07218	-0.162	0.080623	0.002657	0.201	-0.07501	0.05396	-0.04610
14	Flexible for future expansion	-0.02257	0.427	-0.158	-0.128	-0.170	0.508	0.151	-0.141	0.101	-0.148	-0.135
15	Usable life expectancy	0.07588	-0.524	-0.213	0.410	-0.01269	-0.192	-0.276	0.113	-0.192	0.303	0.165
16	Easy to maintain	-0.176	-0.299	0.365	0.262	-0.157	-0.387	-0.01772	-0.475	0.409	-0.05220	0.354
17	Early occupation	0.113	0.421	-0.05652	-0.326	0.386	0.170	0.204	0.340	-0.285	-0.429	-0.158
18	Minimum cost of ownership	-0.213	-0.06820	0.01336	0.242	-0.164	-0.08135	-0.262	-0.231	0.116	0.140	0.0839
19	Lower depreciation cost	0.100	-0.259	-0.06035	0.05642	0.327	-0.317	-0.205	0.328	-0.270	0.03388	-0.08471
20	New market penetration	-0.03672	0.182	0.259	-0.301	-0.192	-0.03436	0.328	-0.215	0.308	-0.119	0.0228
21	Generate positive reputation	0.084	-0.236	0.006884	-0.04465	-0.106	-0.306	0.02906	-0.09676	0.129	0.248	0.196
22	Develop new business relationship	0.06292	-0.02977	0.07669	0.183	-0.09911	0.002270	-0.04292	-0.128	0.02830	0.09114	0.0349
23	Develop new knowledge and expertise	0.148	0.227	-0.124	-0.169	0.221	0.002699	0.238	0.223	-0.167	-0.263	-0.04732
24	Increase level of professional development	-0.05666	0.384	0.099	-0.204	-0.04359	0.280	-0.07896	0.195	-0.153	0.07005	-0.263
25	Pleasant environment	0.094	-0.409	0.013	-0.04940	0.128	-0.161	-0.419	-0.03360	-0.03179	0.263	-0.01997
26	Close-out process run smoothly & efficiently	-0.271	-0.06419	0.05980	0.284	-0.157	0.241	-0.07607	-0.188	0.07296	-0.190	0.035
27	Excellent commissioning programme	0.147	0.388	-0.04182	-0.323	0.118	-0.05450	0.328	0.04290	0.02103	-0.243	-0.08291
28	Fast rectification of defects	-0.02514	0.209	0.07081	-0.189	-0.255	0.210	-0.184	-0.168	0.157	0.237	-0.291
29	Supported by worthwhile guarantees	-0.05013	-0.127	-0.215	0.217	0.174	0.128	-0.09722	0.025	-0.163	-0.6988	-0.02875
30	High profit margin	-0.204	-0.558	-0.008045	0.350	-0.297	-0.329	-0.333	-0.228	0.201	0.405	0.103

Note: Measure of Sampling Adequacy (MSA) are printed on the diagonal

	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30
	0.880																		
	-0.259	**0.923**																	
	0.197	0.09780	**0.758**																
	-0.361	0.01560	-0.490	**0.787**															
	-0.09712	-0.202	-0.329	0.02166	**0.787**														
	0.246	0.01680	0.06287	-0.379	-0.343	**0.638**													
	-0.125	-0.107	0.160	0.07378	0.295	-0.311	**0.898**												
	-0.179	-0.0694	-0.683	0.434	-0.086	0.208	-0.286	**0.806**											
	0.169	-0.0676	0.280	-0.399	0.247	-0.221	0.0588	-0.587	**0.840**										
	0.04950	-0.201	-0.216	0.330	0.247	-0.504	-0.216	0.0245	0.229	**0.821**									
	-0.241	-0.0683	0.01110	0.06837	0.0188	0.04817	0.143	0.02265	-0.248	-0.351	**0.894**								
	0.239	-0.0145	-0.03208	-0.228	-0.184	0.453	0.02055	0.06495	-0.110	-0.398	-0.196	**0.870**							
	-0.08950	0.332	0.343	-0.453	-0.421	0.394	0.019	-0.142	-0.109	-0.542	0.262	-0.0495	**0.706**						
	0.01658	-0.0919	-0.160	0.307	0.07028	-0.300	-0.125	0.205	-0.147	0.285	-0.160	-0.201	-0.223	**0.848**					
	-0.0322	0.01420	-0.02112	0.06448	0.188	0.161	0.078	0.09605	-0.147	-0.397	0.200	0.07340	0.09780	-0.104	**0.923**				
	0.177	0.07484	0.189	-0.334	-0.136	0.267	0.07109	-0.123	0.184	0.02928	-0.0556	0.02900	0.135	-0.231	-0.334	**0.852**			
	0.03966	-0.185	0.380	-0.407	-0.273	0.049	0.127	-0.340	0.174	-0.179	0.303	-0.05645	0.355	-0.0256	0.017	0.01820	**0.960**		
	-0.150	0.08970	-0.158	0.314	0.05933	-0.102	0.05364	0.335	-0.270	-0.02619	-0.226	0.136	-0.215	0.0273	-0.147	-0.482	-0.460	**0.859**	
	-0.134	-0.115	-0.296	0.478	0.295	-0.503	0.123	0.164	-0.04884	0.323	-0.211	-0.203	-0.443	0.414	-0.01323	-0.323	-0.198	0.09364	**0.726**

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Abstract

Translation quality assessment, with which both translation theory and practice are concerned, has been discussed and stressed. Translation quality improvement should also be reviewed before assessing and criticizing a translation version. It is very important for the beginners to have the textual awareness, to consider the intra-lingual, the extra-lingual and the transcultural aspects so as to improve translation quality in the process of translating. The awareness development and practice should be emphasized on. This paper attempts to explore several ways of improving translation quality, which emphasize translation accuracy, quality of writing and value of the text. Translation accuracy is the base of its quality improvement, quality of writing is the key to translation improvement, and the value of text is the essence of translation improvement.

Keywords: Translations, Improvement, Approaches, Quality

1. Introduction

My Chinese students of English translation have frequently asked me how we assess translation quality after they have finished their translation assignments. Frankly speaking, I have taught translation, as English to Chinese, or Chinese to English, for many years, but I have not translated many E to C and C to E texts, although I translate all the examples I use in class. My students ask me how we assess a translation. I think, as a matter of fact, the emphasis that both translation theory and practice lay is on the translation quality, which is one of the most important aspects in practical translation. This paper tries to explore some approaches for the beginners to improve their translation quality between English and Chinese. Whether or not a translation is good has been a priority. But different approaches define a 'good' translation differently, depending on the purpose of the assessment, and on the theoretical framework which the people assessing translation quality apply (Schaffner 1998:1). Generally, translation quality assessment is undertaken in the comparison between the source and target texts, which certainly consists of linguistic and functional comparison. What's more, the influences on translation quality are manifold. I think that some factors influencing translation quality primarily should be considered.

2. Textual Awareness

Firstly, translators can use their textual awareness in the process of translating. Textual awareness, I think, refers to the sense that the translator has of thoroughly reading and comprehending the whole text. Even though s/he just wants to translate a part of the text, s/he should read the whole text first before translating. I usually give my students a complete text each time, as their homework, since textual awareness requires a complete story. I wouldn't like to excerpt a book or an article for students' assignments because segments, in my opinion, will not give them a whole concept of the source. This is the basic step for improving translation quality. The more you understand the original, the better you will translate it. If the translator appreciates the text's multifaceted structure insufficiently, and shows linguistic insensitivity in translating, the result will lead to very unsatisfactory renderings of what he produces. Let us look at the following example, which is short but complete in plot, setting, character and other elements:

The original:

Fangzhi zailai

Piaoliang de nu xiaoshouyuan Ali xiaoshou yeji jingren, tonghangwen dou xiang ta taojiao tuixiao fangfa. Ta shuo: "wo meici shangmen,dou tong nage jiating de nan zhuren jiangming shangpin yongtu,ranhou shuo zheci,bubi jizhe

mai,yihou wo hui zailai. Zheshihou nan zhuren zongshi hen gaoxing, er nu zhuren ze mashang taoqian maixia."

Translation version:

<div align="center">To Prevent My Return</div>

Ah-li, a pretty sales girl, had a merit award for product promotion. And so her colleagues came over to ask her about her sales skills. She advised them, "Every time I come knocking at someone's door to promote my product, without any exceptions, I introduce its uses to the host, and then I tell him not to pay right away because I will come later. The host is very pleased at hearing that, yet the hostess pays for it in no time to prevent me from coming back to visit her husband." (My translation[1])

In spite of its shortness, it has a complete plot and other elements as a short story. In this way, students can fully understand the relationships between the main heroine *Ah-li* and other characters like the host and hostess. What's more, they can clearly understand what happens in the story, that is, why *Ah-li* just talks to the host instead of the hostess, why the host is very pleased when hearing that, and why the hostess pays for the product immediately. Students can then successfully put it into English. I think that this is a very effective way to develop their textual awareness and promote translation quality, because short texts can be easily comprehended, fully rendered and simply used to master translation techniques. As a result, the value of the text can sufficiently be revealed in his/her translation. My experience shows that this approach is really suitable for the beginners. If we really want to select a passage or a part from a long text, even a novel, we should tell our students the gist and background of the text and help them understand what they translate.

3. Intra-lingual aspect

Secondly, a translation can be improved on a functional linguistic basis, in other words, a translator should know how both source and translated texts come to have meaning in the process of translating. I call the model "intra-lingual aspect", which means that translation improvement is determined by linguistic concepts. In this respect, the notion of equivalence, on which the model is based, is related to the preservation of "meaning" across two different languages. This is House's (1997:1) first question, "the relationship between a source text and its translation," that she attempted to answer in her book *Translation Quality Assessment*. She uses the model, based on Halliday's functional and systemic theory, to assess a translation, that is, "the semantic aspect of meaning, a pragmatic aspect and a textual aspect of meaning." (House 1997:29-32)   Her model, however, is a little bit different from my model, in which the semantic aspect of meaning refers to choice of words; the pragmatic aspect of meaning refers to a good and sufficient understanding of the original; and the textual aspect of meaning refers to the reorganization of the text, after completing the translation version.

3.1 Choice of words

The accurate and proper choice of words is actually needed in translation, especially from English to Chinese or from Chinese to English. Vocabulary is the unstable element of a language as it undergoes constant changes both in form and content. In comparison with Chinese, English words are characterized by greater vacillation and flexibility than Chinese words, because both languages belong to two different families. In other words, each English word when used in different contexts will have a somewhat different meaning, whereas Chinese words are more rigorous, accurate and fixed in meaning. Sometimes it is hard for a translator to select its meaning when encountering a tricky word, which really requires accuracy in translation. For example, the English word *delicate* when modifying different nouns has different meanings in such phrases as *delicate* skin, *delicate* vase, *delicate* question, *delicate* food, and so on. This same English word should be translated into different Chinese versions as *jiaonen* de pifu, *yisui* de huaping, *weimiao* de wenti and *meiwei* de shiwu respectively. This requires a translator to be faithful to the original and pay special attention to polysemy, or the indeterminacy of the English language in choosing Chinese words so that s/he can improve the translation quality when translating. The English word *singer* could be translated into three Chinese terms *geshou, gexing, gechanhjia*, which are different one from another in meaning. In the *Qing* Dynasty of China (ca 1898, A.D.), *Yan Fu* (1853—1921 A.D.), a noted translator, stated the famous criteria of translation "faithfulness, expressiveness (communicability) and elegance" (*xin, da, ya*) when he finished translating *Evolution and Ethics and Other Essays*. Faithfulness is most important because it is put in the first place in his translation criteria. So we can say that translation quality is strongly influenced by accuracy and faithfulness to the original and by the fidelity of the words we choose.

3.2 Sensitivity to connotation

By sensitivity to connotation, I mean that a complete and sufficient understanding of the original is necessary. A translator not only understands the surface meaning but also the deep meaning of a word, a phrase, a sentence, a paragraph and a discourse. As we know, every language has its connotative meanings in written or spoken communication, and it has "a force which may override literal sense and relay added effects such as those associated with, say, a request or admonition"(Hatim1997:179-183). Although it is used in an utterance, it has proved extremely important, "particularly when force departs from conventional sense, or when the ultimate effect defies the expectations based on either facet."(Hatim 1997:180) The power of words, then, lies in their associations—the things they bring up before our minds. They are powerfully used to express different thoughts and emotions, by which their association can

move people to laughs or tears. We should, therefore, learn to choose our words carefully and use them accurately, or they will make our translation versions silly and vulgar. If a translator cannot convey such connotations, the translation may be discounted. Let us take the English sentence "Every life has its roses and thorns" for example. Here the phrase "*roses and thorns*" implies happiness and hardship in one's life. It cannot be literally translated into Chinese. We can find many examples to corroborate this one, for instance, "to rain dogs and cats", "to mend one's fences", "lick one's boots", "break the ice", etc. Chinese character *shu* (book), generally referring to a number of printed pages fastened together and enclosed in a cover, is sometimes associated with knowledge, wisdom, even beauty in Chinese. Also when we read the following dialogue,

Child: Mummy, can I go out to play?

Mother: With those holes in your trousers?

Child: No, with the girl next door.

we should really understand the humorous touch in it. Otherwise, its translation will lose the value of the text. Even the position of a word may have a significant meaning in a sentence. If we are not aware of their pragmatic aspect of meaning, the versions may be superficial, and even ridiculous.

3.3 Reorganization of the finished text

The reorganization of the finished text is a necessary procedure after completing the translation. Here, I mean that the translator, reading his/her version without looking back at the original, reorganizes the translation after s/he finishes it, and adds or omits something if necessary. Especially we may add some connectives and adverbs so that we can make the version coherent and cohesive. I think it is the right of a translator to make the version suitable to the reader's taste and ensure that the reader reads the text smoothly. Below is a Chinese paragraph that is smooth in expression, succinct in language, and well-organized in structure.

The original: Debing yiqian, wo shou fumu chongai, zai jia hengxingbadao, yidan geli, jujin zai huanyuan shanpo shang yichuang xiao fangzi li, wo dun gan da ru lenggong, shifen yuyu bu dezhi qilai. Yige chuntian de bangwan, yuanzhong baihua nufang, fumu zai yuanzhong she yan, yishi binke yunji,xiaoyu siyi. Wo zai shanpo de xiao wu li, qiaoqiao qianqi chuanglian, kuijian yuanzhong daqian shijie, yipian fanhua, ziji de ge jie, tang biao dixiong, ye chuancha qijian, gege xiqi yangyang. Yishashi, yizhen bei ren bingqi, wei shi suo yi de beifen dou shang xintou, jin buzhu tongku qilai.

Translation version: Before catching the disease, I had been spoiled by my parents and had my own way in my family. Once quarantined and confined in a cabin on the hillside in the garden, I suddenly felt rather gloomy and depressed as if I were consigned to limbo. On a spring evening, my parents banqueted in the garden where all the flowers were blooming in full. In no time, all the guests came and gathered in crowds, talking and laughing. I, still in the cabin, quietly lifted the curtains of the window, through which I peeped at the busy outside world in a bustle. My brothers, sisters, and cousins, with joy and delight, busied themselves joining the guests. Momentarily, I had a grievous and indignant feeling that I was being deserted by the world, and forgotten by the people, and then I couldn't help crying bitterly. (My translation)

The underlined parts in the above translation, which are not clearly found in the original, are our additions or adjustments, on the basis of context and logical analysis, after finishing translating. It is necessary for us to do so, as this helps reconstruct the complicated semantic relationships between sentences, say, the meaning cohesion of the translated text, and makes it clear and easy for the reader to follow the text smoothly. Furthermore, that is because the English language lays emphasis on hypotaxis and Chinese lays emphasis on parataxis.

The tense in the first sentence should be changed into the past participle tense "had been spoiled" in that the action in the context happened in a different period. The subjunctive mood in "I were consigned" is used to describe the depression and gloominess in the character's mood. The past progressive tense used in "were blooming in full" shows the environment of blooming flowers in the garden. The passive voice used in "was being deserted, and forgotten by" presents the character's emotion or feeling at that moment. Such adverbs of time as "suddenly", "in no time", "momentarily" are employed to avoid repetition of time concepts and to show the hero's psychological changes. The adverbs "once", "rather, "still, and "then" are applied to serve as the connection of sentences and emphasis. All of these additions and adjustments make the translated text well-organized, coherent and cohesive and make the character in the text vivid and alive.

In summary, we consider the choice of words, sentence structure, and discourse when improving translation quality. We cannot overlook the role of linguistic aspects in the production of meaning in the process of translating. We may say that a version without fluent language is not a good translation; a version with considerable translationese, even clumsy words and sentences, is not a good translation either, lacking in organization.

4. Transcultural aspect

Thirdly, a translation can be improved by means of the culture-oriented model. I call it "the transcultural aspect". As we know, every language contains its own customs, practices and traditions, which consist of its culture. Language and

culture are not separable. "Language is strongly influenced and shaped by culture just like a mirror. Culture is reflected in language, and at the same time it exists in the intellectual structures that a certain group uses as their language. In this sense, we ought to pay special attention to cultural aspects when we are engaged in the task of translation."(He Sanning 2005:213) Therefore the process of translation can be seen as a form of intercultural communication. If a translation does not convey such aspects, we can say it is not a good translation. Newmark has claimed[2] that the job of a translator is to expose the culture underlying the language he/she translates. The word "sexy", for instance, is a positive term in English, but its Chinese equivalent *xinggan* (sexy) suggests loose sex morality, which is generally rejected in Chinese culture. We should say that the cultural aspect is most difficult for a translator to deal with because cultures differ from one another and each is unique. As a result, difficulties often arise in translating between cultures and across cultures. Due to the relationship and between culture and language, translation is the process of rendering the culture underlying the language. Clearly, there are some lexical and cultural gaps between languages. For example, we cannot find equivalents in English for the Chinese titles *kezhang, chuzhang, juzhang, tingzhang, Wang Er shen, Xianglinsao, shifu, 3etc*. The Chinese term "chuangsanyou" was once translated as "the 3-good", which doesn't make sense in English. In fact, it is short for "good order, good environment, and good service." Therefore we have to explore various ways and means of bridging the gaps in order to overcome the cultural differences. We cannot completely copy the cultures into our translations. But a satisfactory translation should show the reader the culture underlying the language. We should always remember that "The translator, not the author or the employer, is finally responsible for the text and the truth of the translation." (Newmark 2005:26-27)

5. Extra-lingual Aspect

Fourthly, translation quality should be considered in the extra-lingual aspect, that is, author, translator and reader. I call it "the trio model". Translations are dependent texts in two senses. They are dependent upon an original and its author and they are dependent upon its effects and the readership.

Speaking of the author, some theorists may argue that the author just stays out of translation. They think that it is none of the author's business after he finishes his work. They feared that authorial intention cannot possibly control the meaning and social functioning of the linguistic and cultural constituents of the foreign text. "Under the burden of these fears, translation has long been neglected in the study of literature, even in our current situation, where the influx of poststructuralist thinking has decisively questioned author-oriented literary theory and criticism."(Venuti 1998:31-39) A good translation, in my opinion, should be deeply rooted in and closely related to a good original. If the original is badly written, it will take a translator much time to translate and improve it. He has to write better than the author of the original. If he advocates the principles of accuracy and faithfulness, he has to decide what to do in the face of the badly written original. That is why comparative model has to be done in translation studies and translation quality assessment. In the early stage of translation history, the author's function was thought of as more important than translator's in translating, whose job was just a kind of imitation. Recently some theorists have stated that the translator's function is more significant (Jin 2005:40-68). I think that both views are two extremes[4]. Actually, each of them has his own role in translating, all of them can make contributions to translation and its quality, and they never replace one another.

The translator is in duty bound to improve translation quality. The status of a translator is well respected and highlighted in contemporary translation theory. "The translator offers this new audience a target text whose composition is, of course, guided by the translator's assumptions about their needs, expectations, previous knowledge, and so on. These assumptions will obviously be different from those made by the original author, because source-text addressees and target-text addressees belong to different cultures and language communities. What the translator does is offer another kind of information in another form." (Nord 1997:35) A translator has the right to select among the aesthetic options about the text and style. In other words, a translator takes the active role, instead of that of a passive and negative imitator or copier, in the process of translating. Faithfulness is one matter, and creativeness is another. Faithfulness is a basic term, which we translators should insist on. With creativeness, especially in literary translation, a translation will be vitalized. On the other hand, the reader wants to get what he needs from the translation. A translator should be responsible to the reader. This is because a translator's duty is to serve and satisfy the reader. Newmark (2002:96) has summed up the translator's three responsibilities[5], which has fully stated the translator's importance in translation. "…in principle, she must neither mislead her readers nor leave them the doubt about its meaning, unless the doubt or ambiguity is intended in the text." (Newmark 2005:26-27)

Speaking of the reader, some people argue that the reader has nothing to do with translation. The question is why we translate and whom we translate for. "Communicative translation addresses itself solely to the second reader, who does not anticipate difficulties or obscurities, and would expect a generous transfer of foreign elements into his own culture as well as his language where necessary."(Newmark 1981:39) Taking the readership into full consideration is an important aspect in translation quality. Our purpose is to introduce what we desire to translate to the reader of the target language. In this case, we manage to convert it into a reliable, well-written, and accurate text. This motivation will impel us unremittingly to improve translation quality. On the other hand, the reader's likes and dislikes are a yardstick

against which a "good" translation is measured. Therefore, we should always keep the awareness of readership in mind in the process of translating.

6. Conclusion

In short, we improve translation quality in the above-mentioned respects, which cover translation accuracy, quality of writing and value of the text. Translation accuracy is the base of its quality improvement because accuracy is one of the principles in translation, retaining as much of the sense as we translate. Quality of writing is the key to translation improvement because translators have to keep the version fluent, ensuring that the reader follows it as easily and smoothly as possible, and the value of text is the essence of translation improvement because one of a translator's tasks is to transfer the cultural aspects from one language from another, avoiding cultural distortion in the version to the best of our ability.

Acknowledgements

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Notes

Note 1. The original text was once used as my students' timed practice in class so as to test their translation speed and the degree of their understanding.

Note 2. This is the personal communication between Newmark and me when we discussed some translation theories in the face-to-face tutorial sessions.

Note 3. Such Chinese titles as kezhang, zhuzhang, juzhang and tingzhang are classified for different chiefs in government agency. We can't find their equivalents in English. The titles Wang Er shen, Xianglin Sao, Shifu are something in English like Wang Er's wife, Xianglin's wife and teacher respectively, but they cannot literally be translated into English.

Note 4. Jin, Shenghua concluded that, in the early stage of translation circles, text analysis, including its authorship was only stressed rather than background information. Recently more and more theorists have only realized the importance of other aspects, instead of the translated and its translator. The way they undertake their research is unilateral.

Note 5. Newmark (2002) stated in his article *Translation Now* (The Linguist 41,3:96) , "Whatever the source language text, the translator's responsibility is to convert it into a reliable, well-written(non-literary) text, irrespective of the forms and modes of such translations, which continue to multiply. The translator's second responsibility is to mediate the essential and the implied truth, either of the valid text she has translated, or, where the text is deficient, i.e. inaccurate, biased or slipshod, through her extratextual resource. The translator's third responsibility is to conform to what I believe to be the five universal and non-cultural concrete principles of translating, which indicate that it is a noble, truth-seeking activity: these principles are…"

Analyzing the Informal Institutional

Restraint in Government Behavior

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Abstract

The most important factor of government behavior is the conduct of government functionary. It fully demonstrates the law enforcement and personnel management by the officeholders. The ultimate aim of the government reform is to maximize the operating efficiency at the smallest economic cost. A systematic structure is to be set up by re-combing and integrating government management, adjusting and clarifying the rights and responsibilities of decision-making, implementation and supervision, enabling the overall government behavior to run more scientifically and reasonably. However, the most important is the behavior problems of the government officeholders and their distorted acts can be seen in every government throughout history. There are many reasons for this: government departments in pursuit of their invisible income; emotional factors of likes or dislikes in decision-making process; the drive by economic interests; the negative effect of traditional culture. Formal system can not completely eliminate the distorted acts of government functionary. Informal system can effectively constrain their acts. The administrative culture belongs to the informal system. Constructing the cultural environment is a systematic way to regulate the government behavior.

Keywords: Acts of the government functionary, Formal system, Informal system

1. The conduct of government functionary

Government behavior, which is actually political, is the direct and dynamic exhibition of political relationship. It is social activities that people have to gain or realize the profits on the basis of given interests. The ultimate aim of the government reform is to use the smallest economic cost to maximize the operating efficiency. The recombination and integration of government management, the adjustment and clarity of the rights and responsibilities of decision-making, implementation and supervision undoubtedly aim at constructing a systematic framework to enable the overall government behavior to run more scientifically and reasonably. What really counts is the problem concerning government functionary' conduct.

The reason why government is organized is that people need constraint, which is the premise that rationality and justice are adopted by human beings to deal with their affairs. Meanwhile, people organize government for the need of public items. They hope government can provide inexpensive public goods and public services of high quality. The realization of people's rights or benefits has the feature of group wisdom. People have found that through rational calculation it is very economic if an organization is endowed with power or right to realize the rights of commonness. Thus government emerges as the times require. Therefore, the first and most important duty of the government is to provide public goods. Rule by people can be carried out provided that people are of goodness; rule by law can be implemented on condition that people are vicious. From the perspective of human nature, if people were angels, government had not been required. If the people who are in government were angels, government did not need any exterior or interior control. The duality of good and vicious nature of people and the changeability under objective conditions make people realize the importance of system. In a sense, the system is a kind of stipulation that advocates virtues and suppresses unrighteousness. As far as the government and its people are concerned, system itself is a double-win constraint. The model of Leviathan government proposed by Hobbes tells that people create a Leviathan, a monster that can make people have a sense of home, to resist all kinds of external risks—the government. But the government of Leviathan has double characters. It is composed of people, and it is operated by people. Therefore, it has half-human and half-beast quality. It can eat people while giving the protection of human beings. So people have a highest ideal or dream that they can cage Leviathan. Although the model of Leviathan government is not applicable to all governments, we still have reasons to say that any government behavior must be bound and regulated.

Since 1960s, the research on government behavior has become hot internationally and domestically. Numerous schools have emerged, such as, public choice theory, new school of economic theory, modern economic development theory, and external market failure theory. These theories mainly study the laws of the conduct of collective choice and government behavior in the eyes of economics. In addition, some scholars from the macro- and micro-levels, the

dimensions of space and time, give an integrated consideration of the issues of government behavior. By studying from different levels and perspectives, we can fully believe that the government is a complex organism which is composed by power, institution, agencies, systems, officials, and so on. The disadvantages and advantages of the organism turn up by its behavior. The most prominent is the conduct of the government functionary, that is, the activities of law enforcement and management of these officeholders.

2. Formal system can not completely eliminate the distortion of the government functionary's conduct

Formal system refers to those rules of behavior that people have designed and created in a conscious way. It usually includes laws, regulations and some formal contracts signed by economic entities. It has played an obvious role in government operation. For example, decision-making is of science and consistency; Policies are stable and democratic; The conduct of functionary is normative and predictable. Such functions have been already proved by social development. However, it is people that control the process and machinery can not give a replacement. The changeability of humanity can make people change their behavior with time and environment. What formal system advocates and restricts is the minimum of the constraints to the lowest level of the officeholders' behavior, while the extended constraint is far beyond what informal system can reach.

The distortion of the government functionary's behavior can occur in any government of any country at any time. And this can show the weak constraint force of formal system.

Firstly, government departments are in pursuit of invisible income. As we know, one of the features of government behavior is non-profit. Government represents public power, so government behavior must be of nonprofit basis, and should not have an independent interest orientation. Once government departments give specific management on economic entities, they will be able to have invisible income. The non-normal economic income will become the soil and conditions for corruption of government functionary. Meanwhile hidden information comes to exist. It makes the informal institutional constraint impossible.

The second lies in that such emotions as likes or dislikes in decision-making process make the constraint by formal system impossible. Decision-making is an important government behavior. Policy formulation should have an open, objective, scientific, and orderly process. The decision-making process may be crammed with likes or dislikes or narrow experience of some leaders. Moreover, some local officials would rather only put the decision-making and their achievements together to seek and show off their political performance than have a scientific and democratic decision-making procedure. Furthermore, there is a long period before the consequence of decision-making full of personal likes and dislikes and it is very difficult to find it in advance. So the formal institutional constraint is hard to produce satisfactory effectiveness.

The third is the drive by economic interests. It is people that constitute government. The assumption of economic man in the Western economic theory is an extremely important prerequisite to make an analysis in economics. This assumption says that man is rational and self-serving. When a person faces a number of different choices in the social activities, he is always instinctually choosing the opportunity that can bring in greater economic interests. Government is composed of people, so various decision-makings are enacted by the people. Policies and measures are implemented by the people too. However, while people need to make decisions, generally speaking, they will seek advantages and avoid disadvantages, or prefer big benefits to small ones. Therefore, even in the course of government activities, people's behavior inevitably has the characteristics of the economic man. Their behavior is actually controlled by the personal cost, that is, the principle of calculating disposable income. In such circumstances, the formal system can constrain the extent of self-serving acts but can not effectively control the deep-seated human desires.

The forth is the negative effects of traditional culture. Traditional Chinese culture is profound with a long history. Many positive things are still gems. However, some negative elements that have affected people's thoughts and culture have given great influences on the conduct of officeholders. Traditional Chinese culture believes that the authorities are powerful while the ordinary people weak. Under the influence of the notion, the worship of power by common people makes the government authority out of control as unfettered or unbridled wild horses. Thus some government rights have become the hotbed for breeding corruption. In addition, public resources have become the conditions on which rights exist. Government behavior is virtually the process during which rights are performed and public resources are allocated. In the face of the power assigners, majorities of social members obey the government, or yield to the legitimate abuse of violence by their government. The sufferance and hopelessness to the distorted conduct of officeholders show the powerless supervision of formal system in actual operation.

3. The informal system can give a more effective constraint over the conduct of the government functionary

Informal system, also named informal constraints, is a code of conduct formed spontaneously and accepted unconsciously by people in a long communication. It is a part of the culture and generally includes values, code of ethics, morality, customs, ideology and other factors, among which ideology and practice are at the core and have the most influence in the informal system. The informal system is the unwritten limit against the people behavior. It is a concept opposite to that of formal system of laws and regulations, and so on. The informal system has the following

characteristics. First, it is spontaneous. Informal system has formed with the accumulation of customs and cultural descendiblity. It is not the result of rational design or arrangements. People abide by some informal system out of habits Second, it is not compelling. The changes and implementation of the informal system do not depend on force or compulsion but on the people's internal consciousness and conscientiousness. Third, it is extensive. The informal system has infiltrated into all spheres of social life and regulated most space of people's behavior. Its functional range is more extensive than that of the formal system. Fourth, it is sustainable. Once an informal system forms, it will continue for quite a long time. It has very slow vicissitude. Even if the formal system has been completely changed, some genes of the informal system will be inherited and continue to work.

Generally speaking, the basic functions of the informal system are mainly in the following aspects. First is the function of cohesion. Informal system has formed due to long exchanges of certain people within the geographical scope. These customs, cultural tradition, and ideology lead to the formation of the national cultural psychology, which has strengthened the sense of identity among the members of the society and played a role of social cohesion. The second is the incentive function. Informal system contains certain social value orientation and criteria of behavior evaluation, which regulate the basic norms concerning what the people should do or not do. Therefore, certain informal system always contains incentive function. It does not only inspire people to make the choice, but also give people the option with tremendous spiritual force. The third is the normative function. The informal system often displays the custom for generations and behavioral practices. Under certain conditions, it has norms to regulate the conduct of social members. Although the regulation does not have national compulsive force, its function can be given a full display in an intangible way because it condenses the reverence of social members for their ancestors, the past phenomenon and experience.

In real government operation, there are sufficient reasons to apply informal system to constrain the conduct of government functionary. First, in the systems that give effect on the conduct of officeholders, the formal system can not give its full play without the informal system. So the informal system is indispensable, and its impact is everlasting. In the eyes of new system economists, the formal system, only after recognized in society, that is, being compatible with the informal system, can exert its function. In 1993 North delivered his speech when he won the Nobel Prize of economics. He said that without informal system, even if the official rules in the successful Western market economic system were moved to the Third World countries, it would not become the full conditions to achieve a good economic performance. Therefore, no matter how good the formal rules are, if far from the native informal rules, they are only useless. At the same time compliance with the informal system is the prerequisite for the implementation of formal system. Any society can not completely rely on the formal system to make compelling governance, as the law can not exist without morality. In addition, the formal and informal systems can be mutually adaptable and harmonious. In other words, certain formal system can fully exert its function only together with the corresponding informal system. We can not simply say that of the formal and informal system which is more effective because only in a specific structure of system we can discuss whether it is more effective. Therefore, the formal system and informal system work jointly in the systems that give impact on the conduct of officeholders. Second, in the systems that influence the government behavior, the informal system is more extensive than the formal system. Historically, before the formal rules were established, it was informal constraint that mainly maintained the relationship of people. Even in modern society, formal rules only cover a little proportion of the total constraint. Most life space of people is controlled by informal constraint. North believes that, "in the modern Western world, daily life and the economic operation are based on normal laws and property rights. However, even in the most developed economy, the informal rules can determine the small part of the total constraint (although it is the most important)". The constraint of informal system is more universal. When we have interactions with others in our daily life, in our families, or in the external community relations, or in commercial activities, our control structure is determined by criterion and code of conduct, social practice or customs. Therefore, the informal system gives more extensive impact on the government behavior. Thirdly, as far as the function of the informal system is concerned, it can reduce the transaction cost to a large extent. Informal system has gradually formed by people in a long communication. People know and recognize it. If every one can abide by it, we can greatly decrease the transaction cost. In a society where people all obey the principles of convention, implementing the contract or trading will become very easy. Otherwise, transaction cost will increase.

4. Creating the environment of the informal system is a realistic way to regulate the conduct of government functionary

Among the institutional factors of regulating the conduct of officeholders, administrative culture is in the scope of informal system. In present time when the prevalent informal system is exerting its far-reaching influence, it is a positive choice to construct a good administrative and cultural environment in the context of regulating government behavior. Administrative culture is a configuration with some features of administration. Here I mainly refer to a series of administrative philosophy, moral, administrative rules and the environment that have affected or even determined the conduct of the public servants of the state Party and government organs at all levels in the administrative activities. Good administrative culture can constrain the government and the government members and enhance the cohesion and

permanence of the administrative organizations, making administrators consciously abide by the discipline of the organizations and complete the organizational objectives.

In the process of building good administrative cultural environment, traditional Chinese culture has played an obvious role. Chinese current administrative culture has inherited the tradition. History has proved that it is completely impossible for a society to be away from its past. We must inherit the distillate of traditional administrative culture and apply the advanced cultural norms to control the government behavior.

Traditional administrative culture advocates that people take an active part in the society. It stresses "self-edification, family union, state management and national peace", and "as Heaven's movement is ever vigorous, so must a gentleman ceaselessly strive along". And it proposes that to be government officials should be based on morality and capacity. The objective pursued by traditional cultural value does not only encourage to a certain extent, individual struggle to make a success with capacity and performance, but also calls on the unity of individual and society in the benefit of the country and its people. From the micro perspective, the administrative value can enhance the initiative and creativity of the officeholders and promote the realization of personal value. From a macro perspective, it is conducive to the harmonious operation of administrative system to achieve the complete administrative goals.

In traditional administrative culture, some valuable ideas concerning the moral relationship such as virtue and moral cultivation, to be self-restraining in privacy and so on, can be used as important norms to coordinate the administrative relations. The traditional administrative culture, with human relationship as its starting point, family ethics as the standard, attaches importance to the culture and moral quality of the members in the organizations, emphasizes the mutual goodwill among the people, and being a man of honor. The thought reflected in modern government administration is that the administrative staff must regulate their behavior acting on the qualities of man of honor.

In short, Mencius proposing the independent personality that "no money and rank can confuse, no poverty and hardship can shake, and no power and force can suffocate", the suffering consciousness of being the first to worry about the troubles across the land, the last to enjoy universal happiness, to an official based on morality and quality, considering righteousness when seeing profit, to be self-restraining in privacy and other traditional administrative thoughts have stressed the moral quality, honesty and self-discipline of officeholders. To some extent, they can be used as the ethics of modern administrators.

5. Conclusions

In the process of public administration, various government activities are implemented by the government functionary at all levels. No matter how the right of affairs and personnel are arranged, the final efficiency will depend on the results of the staff members. The conduct of government functionary must be constrained to maximize the efficiency as high as possible. People have made the formal system, such as a large number of laws, rules and regulations to guide the conduct of government officials to practice the power scientifically, normally, and rationally. Of the conduct code in Chinese government, the informal system, due to the features of its own, has played a remarkable role. Without the arrangement of compatible informal system, it is far enough to standardize the government behavior by only emphasizing the innovation of the formal system itself.

While stressing the construction of the formal system, more attention should be paid to the building of the informal system. It is a realistic choice to build the service-oriented government of honesty and high efficiency that can make decisions scientifically and democratically, can administrate according to law, can consciously accept supervision from the people, and can seek truth from facts.

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The Management of Bhawal National Park, Bangladesh by the Local Community for Resource Protection and Ecotourism

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Abstract

Local community participation in ecotourism activities and resource protection and in protected areas can be pursued through collaborative management At present, the natural resources of the park are degrading due to indiscriminate use by the locals and visitors mainly in the form of encroachment and tourism incompatible activities. The local community was left out in decision making process where the core problem still not addressed. This study investigates the problems that affected natural resources and local community involvement in management to mitigate such problem. A survey was conducted in Bhawal National Park (BNP), Bangladesh in December 2006 to February 2007 involved 215 respondents comprising of personnel of the National Park and local community. The respondents include nature guides, food and transportation providers. It is administered by using structured interview questionnaires to elicit opinions from the respondents based on convenient sampling technique. Various statistical analysis namely Exploratory Data Analysis (EDA), Descriptive statistics, Chi-square (χ^2), Mann-Whitney test and Kruskal-Wallis test (non-parametric) were used for data analysis. Results showed that the relationship between the local community and park administration is not significant where their participation in the management is minimal. In overall the study provides the premises where the local community supported their participation in the decision making process and participate in management for a better stewardship of the park.

Keywords: Collaborative management, Ecotourism, Participation, Decision-making, Local community

1. Introduction

Community collaboration in decision making process is increasingly being sought in the development and management of protected areas. Meanwhile, in promoting both the quality of life of the people and the management or conservation of resources such as in ecotourism able to recognises the direct involvement of local communities (Abdullah 2000; Abdullah, 2008). The systems of conserving the landscapes have evolved as a result of interactions between people and nature exists in all national parks in England and Wales and some in Germany and other countries in Europe (Green and Paine, 1997).   In ecotourism, the locals who live in nearby or within the protected area have benefited from its development where it requires local community participation in its various activities and services. This has improved their livelihood by participating in the businesses that have expanded. In some cases, park management has often keep local people out, following the view that human activities are incompatible with ecosystem conservation (Wells and McShane, 2004). Of late however, it is widely acceptable that due to the management limited capacity local

communities can to play an effective role in assisting park management to achieve sustainable use of the area. Here, the locals are considered important as the direct stakeholders and able to participate in the management in ensuring the sustainable use of resources. Cater (1994) and Lumpkin (1998) suggested that local communities could play an active role in ecotourism industry, and they could even take more responsibility in managing local ecotourism sector. Nevertheless, certain form of arrangement and collaboration in park between the management and the local communities has to be formulated for the success of ecotourism in this situation. The members of local community should be given some rights to operate and deliver ecotourism activities in the protected areas. They should be responsible for the safety of the resources while performing their daily activities. But, they are unable to participate fully in the resource protection activities as the current arrangement is still unstructured (Mohd Arif et al., 2002) and the results from many efforts to balance local people's interests with protected area management in developing countries are disappointing (Well and McShane, 2004).

Traditionally, indigenous and local communities are restricted from extracting resources from protected areas especially national parks. This has resulted in the marginalization and displacement among the people (Wells and Brandon, 1992). It has also perpetuated resentment that divided the locals and managers. By excluding people living in adjacent or within the park without providing viable economic alternatives and without inclusion in the decision-making process is politically and socially infeasible. Park managers have to recognise that the traditional "fence and fines" management regime is not effective anymore and a new regime of protected area management must be upheld. The procedure must include cooperative, collaborative relationships with local stakeholders who share the responsibility of management (Lane, 2001). The framework for integrating community participation involved many strategies including local people help in gathering the required information. The managers can later gather them, which eventually shared with the communities. Local people can provide feedback on the management approaches, its implementation, and/or during the evaluation stage (Wells and Brandon, 1992). In addition to providing information to community members, education and training in project activities may improve community members' capabilities (USAID, 2003). Some of these include conducting workshops, identifying leaders in the community to carry out activities, developing educational materials, developing economic alternatives, linking up with other organizations, forming local committees, developing incentives, and conducting public meetings to inform the community. However, protected areas are often created without any form of public involvement or agreement. There is often a situation where mistrust on the part of community members. Thus, in order to get the communities involvement, the first steps is establishing relationships and trust, as well as building capacity within the communities to be able to make informed decisions. Another major criterion is accessibility to participation and accountability of proper procedures that are credible to participants (Petrova et al., 2002). The interested parties must have access and be able to obtain information about how to participate in the process. The communities have the right to intervene in the decision-making process, and should be able to express their views and opinions.

Community involvement in protected area management has been recognised as a key component in management plans to achieve conservation goals. But in many situation, there is still a lack of effective participation and strong link between the communities and external conservation agencies (Wells and Brandon, 1992). There is also the problem that local communities have not been empowered to manage their own resources without outside interference (Little, 1994). Thus, one element that is critical to community participation is the empowerment of indigenous or local populations and ensuring that they have a role in the decision-making process *(*Murphree, 1993*)*. Participation is a process taken over a long period of time which can be viewed as a goal to empower local communities to have greater control over their lives and resources and as a means of achieving improved social and economic objectives (Little, 1994). Hence, effective public participation programs provide a forum to integrate social and environmental concerns into the decision-making process, thereby uniting different stakeholders and (ideally) reducing conflicts (Petrova, et al., 2002). Public participation assists in identifying and understanding the communities' interests and provides an avenue to integrate social and environmental concerns into the decision-making process and thereby make decisions that support sustainable development. It also provides a means to manage social conflicts by bringing different stakeholders together (Petrova et al., 2002). In addition, the following benefits can be obtained from public participation (UNDP, 2000), namely (a) It can increase the effectiveness of activities that are based upon local knowledge and understanding of problems and therefore be more relevant to local needs, (b) It helps to build local capacities and develop the abilities of local people to manage and to negotiate activities, (c) It can identify key stakeholders who will be most affected by the activities, (d) It can help to secure the sustainability of the activities as people assume ownership and (e) It can help to improve the status of women by providing the opportunity for them to play a part.

2. Methodology

Bhawal National Park (BNP) is one of the oldest national parks in Bangladesh encompassing an area of 5022 ha (Figure 1). The park was established in 1982 to protect the biological, ecological and geographic significance of the area, providing recreational facilities for the visitors. It is a moist deciduous forest known as Sal (*Shorea robusta)* forest, which spread over the plains of the central and northern regions of the country (FSB, 2000). BNP is situated about 40

kilometers away from Dhaka, the capital city of Bangladesh, along the highway of Dhaka-Mymensingh. About 180.25 (18 %) ha of this core area of the park was privately owned out of which only 24.38 ha. (13.5%) of land is transferred to government, i.e. forest department (FD) (Anon., 2002).

<Figure 1. Location of Protected Areas in Bangladesh>

Protecting natural resources was the only management approach in the early days. Conflicts occur between the local community and park administration for the rights, concessions and use of these lands. Illegal felling of trees and grazing of domestic cattle, the cattle and wildlife confrontation in the park is very common. Management of the BNP is limited to protection to trees, wildlife and controlling tourism. Around 250,000 tourists visited the park annually particularly during the winter months where about 50,000 to 70,000 tourists visited the park in a month (Anon., 2002). There are some local peoples who are self-employed involved as nature and community tourist guides. In BNP, the park resources are ineffectively protected as there are hundreds of people live in the villages surrounding the park where they gather fuel wood for own consumption and some earning money. There was serious illegal felling of trees and timbers theft. National park though is earning revenue from its different sources such as from angling, entry fees, rest houses, children parks, picnic spots and from cinema (film) shooting. The amount of annual income has shown an incremental rate ranging from US$ 32,047.40 to 45,685.46.

Fieldwork was conducted in December 2006 to February 2007 and prior to this, a pilot survey was carried out in July 2006. Convenient sampling with structured interview questionnaires was used where a total 215 face-to- face interviews were completed. The samples were determined by using G Power (Faul and Erdfelder, 1992). The respondents included in this survey were park staff, local people working in the park and local communities from the three neighbouring villages. The representative ness of the sample was based on comparison with available demographic data and consultation with local informants. Of the 202 respondents interviewed, 181 were male (89%) and 21 were female (10%); 37% were between age group of 26 to 35 years and 56% has had primary education only; 51% had a monthly income between Tk. 3000-5000 (USD 43 -72); 83% had been working between 7-10 hr/day. Forty five percent of the respondents are with the national park management or activities and 45% of them were living in less than 1000 m from the national park boundary. Park's staff represented only 24.1% where 26.7% were involved in transportation, followed by food supplier (25.2%); and 21.9% are .nature and community tourist guide   Most of them are self-employed. The majority of the respondents involved in tourist transportation were rickshaw/van puller (66.7%) and rest of them (33.3%) was horse riders. The majority of the respondents involved with the park activities are below 5 years (38.4%), followed by 6 to10 years (31.8%) and 11 to15 years (16.4 and over 20 years are only 9.8 percent.

3. Results and discussion

It is important to assess the respondents' opinion towards their relationship with park administration as well as their level of participation in the management. Opinions sought from the respondents towards relationship and participation was classified under seven statements (Table 1). The statements having a mean score of more than 4.0 is considered as agreed by the respondents.

3.1 Relationship based on respondent's socio-demographic background

The results indicate that most of the respondents disagreed with statements regarding relationship as the mean of each statement was very low based on 5-points score of measurement (Table 1). Statements which are concerned with the relationship of park administration namely (i) park administration meets and discusses about the ecotourism activities/issues with local community (Mean: 1.50); (ii) park administration discusses and gets opinions from local community in revising ecotourism operations (Mean: 1.41); (iii) park administration shares their latest information with the local peoples for the development of BNP (Mean: 1.52); (iv) local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery (Mean: 1.53) and (v) park administration gives technical support to those locals who want to enhance their   skill in ecotourism delivery (Mean: 1.63) showed poor score (Mean score is between 1.41 to 1.64) indicating their disagreement with the statement.

The other two statements, i.e. (i) local peoples are not responsible for taking care of the well-being of park resources including their protection (Mean: 4.31) and (ii) with the coordination of park administration, local peoples have the autonomy to arrange ecotourism activities (Mean: 4.12) are supported by them indicating their responsibilities and freedom in relation to park administration (Table 1). In line with these findings, Cihar and Stankova (2006) found that the relationships of residents to the Podyji NP itself and NP administration were sometimes different and not always favourable.

<Table 1. Perception on Relationship and Participation in Park management>

A Chi-square test of independence was conducted to assess the relationship between perceptions of the respondents and their main occupations. The findings of cross tab analysis regarding perception and main occupations showed that there is significant relationship between respondents and park administration (Table 2). The statements (i) local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery (χ^2=9.102; p=.028) and (ii) park

administration was found to have significant relationship and gives technical support to those locals who want to enhance their skill in ecotourism delivery (χ^2=13.555; p=.009) have shown significant relationship. These relationships suggested that, in general, the respondent related to park administration might know about their interactions with the park comparing to those who are not directly related to the national park activities.

<Table 2. Perception on Relationship based on Respondents main Occupation>

3.2 Participation of local community in park management

Local community participation in national park management is a very important issue nowadays for various reasons including the protection of resources and ecotourism. In relation to this management concept, it was an important objective of this study to know the level of participation. The mean scores of perceptions of the respondents (Table 3) indicate that there is no participation of local community in the park management. In Table 3, most of the respondents were strongly disagreed with the statement containing their participation such as (i) park administration meets and discusses about the ecotourism activities/issues with local community (Mean: 1.50); (ii) park administration discusses and gets opinions from local community in revising ecotourism operations (Mean: 1.41); (iii) park administration shares their latest information with the local peoples for the development of BNP (Mean: 1.52);

 (iv) local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery (Mean: 1.53). However, some of the local peoples are working in the national park for the tourism services. This arrangement is not officially documented and accepted due to the existing protected area management policy of the government. They are not directly participating in the park management. Cihar and Stankova (2006) found similar results and added that the resident had no real participation in the process of planning and decision making of Podyji NP in Czech Republic. Contrastingly, in Annapurna, Nepal, locals are also involved in planning and decision making, in addition to accommodation and food services and thus generating income and ensuring their local ownership (Nyaupane et al., 2006).

However, statistical analysis shown that there are significant differences in perceptions of the respondents based on their main occupation. Mann-Whitney test (Table 3) shows that (i) local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery and (ii) park administration gives technical support to those locals who want to enhance their skill in ecotourism delivery have significance differences regarding their participation in the park management. It seemed that the respondent related to park might know about their participation comparing to those who were not directly related to the national park.

<Table 3. Perception on Participation based on Respondents main Occupation>

Respondents' have shown relationship with park management based on their education level (Table 4). Kruskal-Wallis test shown that there is significant difference in perception that park administration gives technical support to the locals to enhance their skill in ecotourism delivery (χ^2=10.321; p=0.035). Higher education seemed to realise the technical support given to them than that of lower educated respondents. Similarly, there are significance differences in perceptions of respondents who live at different distances from the park such as (i) park administration meets and discusses about the ecotourism impacts upon local community (χ^2=11.107; p=0.025) and (ii) discusses and gets opinions from local community in revising ecotourism operations (χ^2=10.312; p=0.035). Hence, respondents who live closer to the park could easily be familiar with the activities of the park compared to those who live further away.

<Table 4. Perception on Participation based on Socio-demographic Background>

In the national park, local peoples occupation include those who work as food suppliers, tourists' transportation and as nature tourist guides who are able to recognised their relationships with the park (Table 3). The statements such as (i) local peoples can freely share knowledge and opinions about steps/arrangements in service delivery (χ^2=17.778; p=0.001); (ii) local peoples are responsible for taking care of the well-being of park resources including their protection (χ^2=12.104; p=0.017) and (iii) park administration gives technical support to those locals to enhance their skill in ecotourism delivery (χ^2=21.552; p=0.000) showed significant differences in perception of respondents having different park-related occupations. Here, people with better socio-demographic background, park staff and locals who works in the park have clearer views about the park due to their involvement in various park's activities.

4. Conclusions

The perception on local peoples to freely share their knowledge and opinions in service delivery while the park administration gives support to the locals to enhance their skill in ecotourism delivery is evident. The proposition is highly depended on their education levels, distance of their home to the park and the peoples' occupations related to the park. Here, most of the people are informally working in the park mainly in tourism to support their livelihoods. Added to this, the perception among the locals upon the park role will improve significantly if their employment is directly dependent on the well-being this reserve. Conflicts arise as private land owners the park cultivate crops, cut trees and grazing cattle inside the park. Co-management in resource protection involves technical knowledge shared by both parties through training programmes. The competencies of local communities as message deliverers in tourism activities should be continually improve in producing a well rounded person in resources conservation. Also, the locals should

share their indigenous knowledge and be highly prepared in such resource protection practices. The management need to pursue the idea and motivate the locals to be proactive and innovative in the delivery of activities and resource protection. Best practice on resource management should be promoted to locals to enable them to identify the compatible activities and to inform the management about the impacts of tourism activities.

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Table 1. Perception on Relationship and Participation in Park management

Statements	No. of respondents (n=202)					Mean	SD
	SDA (1)	DA (2)	UD (3)	A (4)	SA (5)		
a. Park administration meets and discusses about the ecotourism activities/issues with local community	101	99	2	-	-	1.50	.52
b. Park administration discusses and gets opinions from local community in revising ecotourism operations.	120	81	1	-	-	1.41	.50
c. Park administration shares their latest information with the local peoples for the development of BNP.	102	96	2	2	-	1.52	.57
d. Local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery.	101	96	4	1	-	1.52	.57
e. Local peoples are not responsible for taking care of the well-being of park resources including their protection.	1	4	14	96	87	4.30	.72
f. Park administration gives technical support to those locals who want to enhance their skill in ecotourism delivery.	100	84	10	7	1	1.63	.77
g. With the coordination of park administration, local peoples have the autonomy to arrange ecotourism activities.	-	8	22	109	63	4.12	.75

Note: SDA (1): Strongly Disagree; DA (2): Disagree; UD (3): Undecided; A (4): Agree and SA (5): Strongly Agree

Table 2. Perception on Relationship based on Respondents main Occupation

Statements (n= 202)	Chi Square Test of Independence		
	Chi Square (χ^2)	df	(Sig.)
a. Park administration meets and discusses about the ecotourism activities/issues with local community.	3.721	2	0.156
b. Park administration discusses and gets opinions from local community in revising ecotourism operations.	2.118	2	0.347
c. Park administration shares their latest information with the local peoples for the development of BNP.	3.396	3	0.334
d. Local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery.	9.102	3	0.028*
e. Local peoples are not responsible for taking care of the well-being of park resources including their protection.	4.687	4	0.321
f. Park administration gives technical support to those locals who want to enhance their skill in ecotourism delivery.	13.555	4	0.009**
g. With the coordination of park administration, local peoples have the autonomy to arrange ecotourism activities	1.955	3	0.582

Note: * Statistically significant at 5% level; ** Statistically significant at 1% level

Table 3. Perception on Participation based on Respondents main Occupation

Statements (n= 202)	Mann-Whitney Test	
	U Statistic	(p-value)
a. Park administration meets and discusses about the ecotourism activities/issues with local community.	4545.00	0.160
b. Park administration discusses and gets opinions from local community in revising ecotourism operations.	4777.50	0.438
c. Park administration shares their latest information with the local peoples for the development of BNP.	4598.50	0.211
d. Local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery.	4078.50	0.007**
e. Local peoples are not responsible for taking care of the well-being of park resources including their protection.	4432.50	0.097
f. Park administration gives technical support to those locals who want to enhance their skill in ecotourism delivery.	3773.00	0.001**
g. With the coordination of park administration, local peoples have the autonomy to arrange ecotourism activities	4924.50	0.735

Note: * Statistically significant at 5% level; ** Statistically significant at 1% level

Table 4.   Perception on Participation based on Socio-demographic Background

Statements	Kruskal-Wallis Test		
	Education (n=202)	Distance (n=202)	Park related occupation (n=202)
Park administration meets and discusses about the ecotourism activities/issues with local community	2.399 (0.663)	11.107 (0.025*)	2.763 (0.598)
Park administration discusses and gets opinions from local community in revising ecotourism operations	3.877 (0.423)	10.312 (0.035*)	3.751 (0.441)
Park administration shares their latest information with the local peoples for the development of BNP.	6.744 (0.150)	4.587 (0.332)	6.208 (0.184)
Local peoples can freely share their knowledge and opinions about steps/arrangements in service delivery.	2.795 (0.593)	3.022 (0.554)	17.778 (0.001**)
e. Local peoples are not responsible for taking care of the well-being of park resources including their protection.	1.357 (0.852)	3.106 (0.540)	12.104 (0.017*)
f. Park administration gives technical support to those locals who want to enhance their skill in ecotourism delivery.	10.321 (0.035*)	5.588 (0.232)	21.552 (0.000**)

Note: * Statistically significant at 5% level; ** Statistically significant at 1% level

Probe into the Rent-Seeking Issue in China's Security Issuance

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Abstract

The security market has developed fast in China. It has spent ten years in completing the course that was completed by countries with perfect capitalism market economy in one hundred years. Because the development of market system fails to catch up with the fast development of security market, lots of issues appear. Focusing on the imperfection of security issuance market, this paper tries to probe into the relatively severe rent-seeking issue and tempts to provide with suggestions for reform.

Keywords: Rent-seeking, Security issuance, Information disclosure, Government supervision and regulation, Approval system, Register system

1. Introduction

What is rent-seeking? Rent means money, profit, and benefit. Rent-seeking, in short, is to pursue for economic benefit. The generation of rent-seeking is based on the behavior of "economic man" who may take advantages over the imperfect parts in system, laws, and policies and perform rent-seeking in order to maximize their interests. Because the security market in China develops fast, the legislation system can not keep the same pace with the economic growth during certain period. The imperfect parts objectively cause the rent-seeking act in security market.

The popularization of rent-seeking exerts huge harmful effects on the development of security market, increasing the financial risk. Therefore, it is a primary issue for the reform of security issuance market properly dealing with the rent-seeking act. What aspects do the security issuance's rent-seeking issue exists in China? And what's the reason? Based on the discussion of these questions, this paper will put forward suggestions for policy reform.

2. The introduction of the issue ------ the rent-seeking act in issuance market

2.1 The rent-seeking act in gaining issuance qualification ------ *make fake qualification in order to enter the market*

Undoubtedly, in such a bull market with high earnings per share (EPS), all companies, even companies in lose, can gain numerous benefits, only if they can enter the market. Once they successfully enter the market, they can achieve directly finance, transfer the operation system, build corporate image, and so on. Therefore, many unlisted companies strive to enter the market to "collect money". However, the "approval system" in China is different from the "registered system" in America. It is not the market that determines which one is the best or which one the worst. Therefore, a great number of companies have to think it over before they really hand in applications although they want to enter the market but be afraid of numerous "rules". Besides, under the present system in the security issuance market, all companies have to compete for relatively few opportunities of entering the market. With the condition of unbalanced market, some companies try to obtain the high "rent" for stock issuance by all kinds of means in order to seek for the qualification of stock issuance. In recent years, this phenomenon is common. For example, Shenzhen Huapeng Certified Public Accountants provided with audition reports that were inconsistent with the facts for listed companies. Guangdong Dazheng Associated Asset Evaluation Co. Ltd. presented the asset evaluation report that was inconsistent with facts. Guangdong Mingda Lawyer Office presented the legal report that was inconsistent with facts. Southern Security Co. Ltd. took a part in composing issuance application report that was inconsistent with facts. To fake qualification to enter the market is the most severe issue of rent-seeking in present issuance market.

2.2 The rent-seeking act in pricing the issuance price ------ *wrong profits and high prices in issuing stock*

In order to obtain excessive profits and seek for high rents, many listed companies make fake reports and profits. For example, "Macat" made up a fixed asset of 90.74 million Hongkong dollars and a profit of 93.20 million Hongkong dollars in order to meet the requirements for security market. Hongguang Stock (600083) that listed in market in 1997 made fake financial reports, turning the losses into the profits in order to cheat for qualification of market entrance. In its report, it said: "the earnings per share (EPS) from 1994 to 1996 are respectively 0.38 Yuan, 0.491 Yuan, and 0.339 Yuan. Supported by researches on electric display components and technological strengths in production, the company focuses on enlarging the color kinescope project. In the process of extending the advantages in the dominant products, the company develops its business toward the field of display and other products, realizing a constant optimization of

product structure. Research and develop the production of parts used in computer display. Aiming at achieving the effect of scale economy, the company will explore both domestic and international markets by reliable quality, excellent service, competitive price, and advantage of cost." But in fact, the company suffered from a huge loss in the first year when it listed in the market. The loss per share was 0.863 Yuan. In 1998, the loss was 1.442 Yuan per share. And the total loss reached 332 million Yuan. The loss in 1997 and 1998 exceeded the total capitals collected by listing in market. From the table 1 (Mingxian Liu, 2005), the price of the new stock in its issuance includes a large rent. The rent-seeking issue is noticeable.

3. Analysis on the issue ------ reason of the rent-seeking act

In author's opinion, the reason of the rent-seeking act in security issuance market is that the reform of supervision and regulation system can not catch up with the growth of security market in essence. And the exterior reason is the imperfect parts in present information disclosure system.

3.1 The rent-seeking caused by the approval system

Next, we analyze this issue based on the model in the figure 1 (Li Jia, 2006).

(1) The pre-assumption for the approval system is that investors can not understand completely the stock-inviting introduction and can not protect their profits by making correct judge. Therefore, the government helps investors to escape form risks by authorizing the issuance of stock.

(2) If companies that prepared for listing in market are not qualified, they will have to compare the rent-seeking costs and the profits and make balance in front of the strict approval system. As a result, the motive of rent-seeking appears.

(3) Many imperfect rules exist in present approval system. Companies may gain the approval by dealing with public relations and spending amount of money (table 2).

(4) Although companies that performed bad aim at collecting money by issuing stocks, they have already gained approval of the government. At the very beginning of their stock issuance, many investors buy in their stocks. However, after a period, these stocks can not survive from the market. The price will decrease sharply.

(5) The approval system causes such a result that is completely contrary with the original intention. The government can not protect the investors but increase their risks.

(6) The approval system leads to two exterior effects. A: interfere with the market price and cause confusion in market; B: cause conflicts and decrease government's trustiness.

3.2 The imperfect parts in information disclosure system

The imperfect parts in information disclosure system lead to the "adverse selection" and "moral risk" that lead to the rent-seeking act. The "adverse selection" refers to the distorted market resource allocation because of information asymmetry. The "moral risk" refers that people enjoy their interests but impute costs to others, causing the possibility of others' loss (figure 2).

(1) The disclosed accounting information is not true.

The untruth of information includes two aspects. One is to make up fake data purposefully, such as the exaggerated profits. Some companies even turn the loss into the profits. The other is to use improper accounting method purposefully. Then the accounting information can not reflect the truth effectively. By this way, these companies can successfully cheat the investors. Escaping from the aspect of professional morals and laws, viewing from an economic angle, an economic relationship exists in the accounting agencies and listed companies. In other words, listed companies are employers. Accounting agencies gain return from listed companies by providing with professional services. Accountants audit listed companies and present certificates. However, these accountants are also economic men. They pursue the maximum of individual profits. As a result, the moral risk is coming. Accountants will have the motive of rent-seeking.

(2) The disclosed accounting information is not complete and timely.

Although Security and Exchange Board regulates fixed forms and contents for the disclosure of accounting information, many listed companies do not obey these rules completely. For example, as listed companies are in loss, they may declare that it is the macro factor that causes the loss for the sake of their own interests. If it is the macro factor that brings about interests, listed companies may declare that it is their excellent performance that leads to the profits. If the performance is worse, listed companies will delay to deliver the report. It is hard for the security supervising institution to find out the truth in time and ask them behave themselves. Therefore, listed companies will choose to disclose the information that is good for them, but investors can not know the real accounting information of listed companies. Information asymmetry causes the "adverse selection" that provides with conditions for the appearance of rent-seeking act.

(3) The unexpected disclosure of information is grave.

As listed companies disclose their accounting information, many subjects participate in this process, including the Security Regulatory Commission, the Security and Exchange Board, and media. Multiple channels make it inevitable to disclose unexpected information. Although the law forbids workers in the securities field to join in the stock market, it is impossible from a view of economics. It is a must for workers in this field to seek rent in order to pursue maximum individual profits. Although workers in the securities field do not directly join in the stock market, they can provide with useful guidance for friends and relatives because they master the information that can be turned into economic profits effectively. Unexpected information disclosure, as a public secret, makes the securities market into a great "rent-seeking field".

4. Problem solving ------ suggestions for reform

Based on analysis above, we know the companies' rent-seeking act in security issuance and the reason. Therefore, we have to think about how to solve the rent-seeking issue and guarantee the healthy and stable development of stock market.

4.1 Perform the recommend system properly

At the present, the imperfect parts in the approval system are due to the imperfectness of the recommender system. Firstly, the costs of recommenders' illegal action are low. Secondly, recommenders do not possess sufficient powers. Thirdly, the mechanism in which one institution shoulders both recommending and marketing responsibilities may lead to superficial supervision and examination. Because of the imperfect recommend system, as we transfer the supervision and examination from the government to the medium agency, the corruption is transferred at the same time. To perfect the recommend system, it is necessary to extend the recommend term and protect investors' interests. Recommenders still shoulder the guarantee responsibility for the information disclosure as companies enter the market. Impose severe punishment on recommenders who commit terrible mistakes and set up funds for recommender risk. Improve the ability of recommender keeping away from risks. Increase the opportunity cost for recommender's rent-seeking act. By these means, the rent-seeking acts can be reduced.

4.2 Construct perfect supervision system and strike severely on the illegal act in information disclosure

Proper information disclosure is the most important way to reduce rent-seeking act. To perfect the information disclosure system and execute system supervision, we should work hard in these aspects as follow (figure 3).

(1) Construct perfect supervision system and strike on illegal act of information disclosure

The confusion in the security issuance market is caused by the failure of executing the system supervision. There are no clear and complete financial rules, policies, and regulations to restrain the behavior of financial institutions, social medium agencies, listed companies, and investors. China does not have a supervision system that emphasizes on laws, media supervision, and self-restriction, what leads to sorts of illegal acts in information disclosure. At the same time, the weak punishment can not stop listed companies making up fake information because the profits gained from fake information are higher than the costs. Therefore, as we lay stresses on policies, we should emphasize on punishment. The business license of medium agencies that participate in making up fake information should be canceled. And they should shoulder not only economic responsibility but also criminal responsibility. By this way, the law and system can exert their threatening and warning effect.

(2) Enhance listed companies' internal governance and perfect the inner supervision

In China, the reform of stock mechanism in listed companies is not complete. Lots of problems exist in corporate governance. Although the supervision committee and the independent director serve as restriction mechanism, the division of labor is not very clear. And even the division conflicts with each other. The dual governance system does not exert positive effects on each other but weaken mutually. The independent director system has many shortcomings. Independent directors are famous people in the society. As independent directors in certain company, although they take high salaries from the company and sometimes have a look at the company, they do not understand the company's economic situation. Besides, they do not participate in the company's daily operation, what they know is coming from top managers in the company. It is impossible to ask these useless independent directors to supervise the governance of the company. To solve this problem, it is necessary to cope with the relationship between the supervision committee and the independent director properly, establishing their supervising responsibilities clearly. Enhance powerful supervision and regulation on the company internally.

(3) Improve the professional morals and the legal consciousness of security workers

Although thinking from the angle of "economic man", the rent-seeking is inevitable. But as a matter of fact, by long-term legal education and professional morals' cultivation, the principle of sincerity and credit and the principle of keeping the law in the security market may become popular. Like the mature security market in the west, the popularization of professional morals is more effective than self-restriction and laws.

4.3 Transfer from the "approval system" to the "register system" step by step

The present recommend system performed by the government is better than the former pass system. But it still does not solve the essential problem in former approval system ------ the right ascription of issuing stock. From the table 1 above, under the approval system the issuance right is hold in the hand of government. If we do not turn the approval system into the register system, not returning the issuance right of stock back to the market, the recommend system still does not lay a finger on the most essential problem, what is merely a way of the Security Supervision and Regulation Committee transferring responsibilities to a lower level. The essence of solving the rent-seeking issue is to turn the approval system into the register system gradually.

Analyze the figure 4 that is different from the figure 1.

(1) In the register system, companies have to apply for stock issuance and register in security management institutions, and publicize all relevant information before they issue their stocks. It emphasizes on the principle of publicity. In other words, the companies must provide with real, objective, and comprehensive corporate materials. The security supervision and regulation institution merely examine the authenticity and the comprehensiveness of the application files provided by companies. Whether the stock is good or bad, it is the market to make the decision. Investors must protect their interests by themselves.

(2) The register system reflects the freedom of economy. Under this idea, only if a company publicizes its accounting information and its authenticity is checked by the security supervision and regulation institution, the company can issue its stock even if its performance is terrible. By this way, these kinds of companies have no motives of rent-seeking. Therefore, the rent-seeking act will be stopped from the systematic aspect.

(3) Investors have to make choice based on their thoughts and the information is publicized truthfully, comprehensively, exactly, and timely. Economics suppose everyone is rational. Everyone is seeking for maximum individual interests.

(4) As a result, we draw a conclusion that is completely different from the figure 1 ------ investors protect their interests successfully.

(5) At the same time, the exterior effects are also different from the table 1. It solves the rent-seeking issue and generates two exterior effects: A. Be good for market resource's optimal allocation; B. Improve the government's trustiness.

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Table 1. New stocks in market and their evaluated rents from 1990 to 2003.

Year	Collected capital (100 million Yuan)	Weighed average price in issuing day/Issuing price (%)	
Rent (100 million Yuan)	1990-1996	1376.74	388
1997	1293.82	160	2070.11
1998	841.52	131	1093.98
1999	944.56	120	1133.47
2000	2103.08	154	3238.74
2001	1252.34	143	1790.85
2002	961.76	133	1279.14
2003	1357.76	72	977.59
Total	10131.58	163	16925.63

Source: Calculated by data from China Statistics Yearbook 2000 and China Statistics Abstract 2001. Data between 2001 and 2003 are from the website of China Security Regulatory Commission.

Table 2. The estimated expenses used for public relations by companies in their issuance

Year	New listed companies per year	Expenses used for public relations per year		Year	New listed companies per year	Expenses used for public relations per year	
		Lowest	Highest			Lowest	Lowest
1992	39	0.195	1.17	1998	88	0.44	2.64
1993	230	0.65	3.9	1999	98	0.49	3.04
1994	108	0.54	3.24	2000	139	0.7	4.17
1995	32	0.16	0.96	2001	72	0.36	2.16
1996	207	1.035	6.21	2002	64	0.32	1.92
1997	215	1.075	6.45	2003	63	0.315	1.89

Source: Data from 1992 to 1997 are from the Contract Analysis in Financial Market written by Xianrong Yi, published by China City Press, Beijing. Data from 1998 to 2003 are from the website of China Security Regulatory Commission.
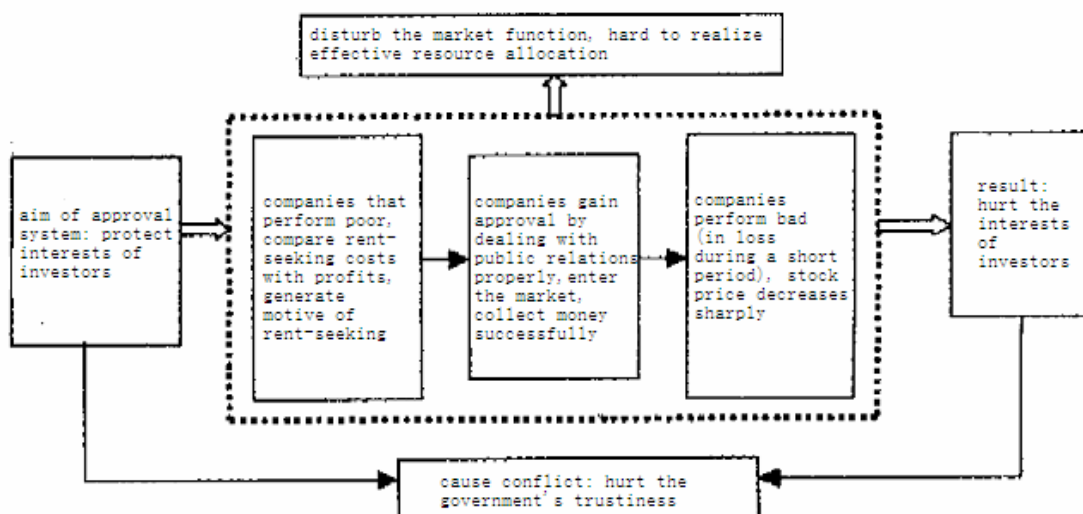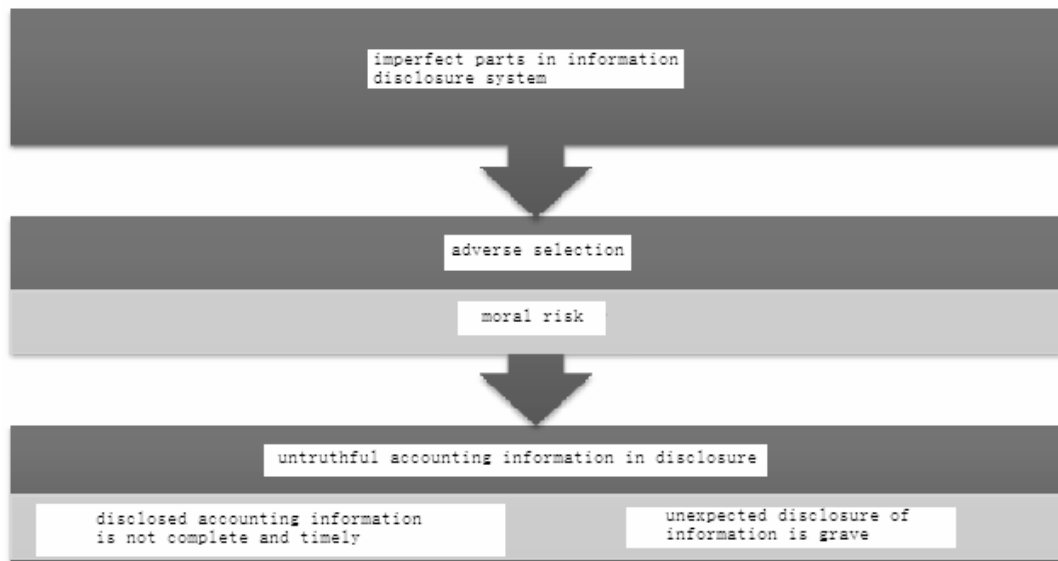

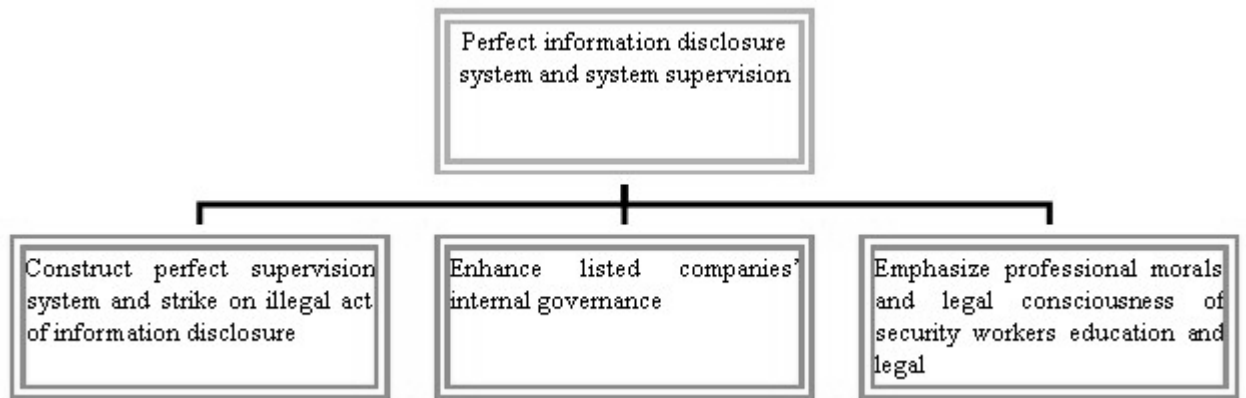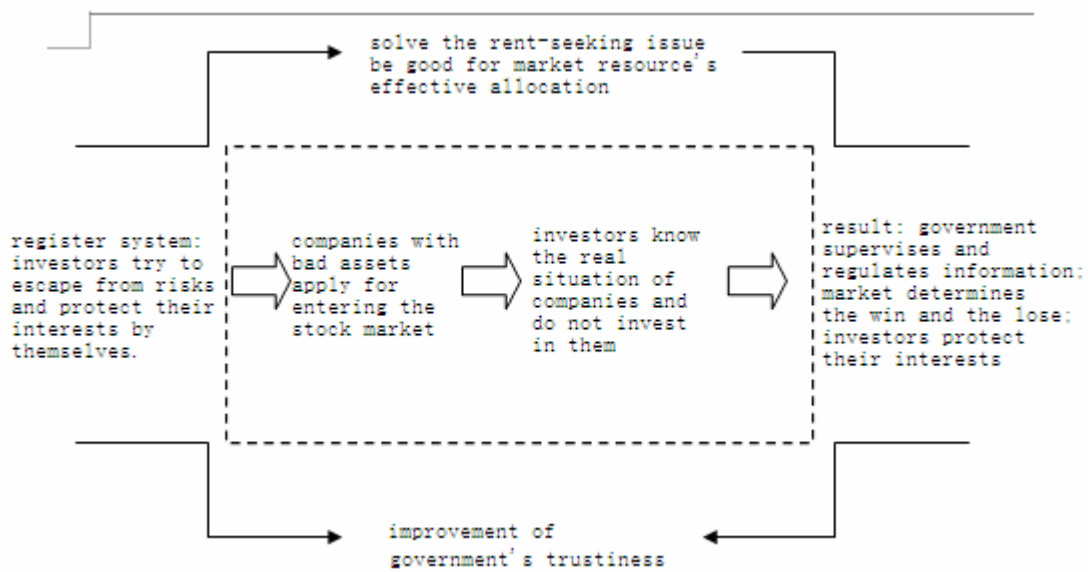Figure 1 (Mingxian Liu, 2005).

Figure 2.

Figure 3.

Figure 4.

Learner Autonomy and the Chinese Context

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Abstract

There is a move away from teacher-centered learning to student-centered learning or autonomy. Learner autonomy has become the new rational concept in educational field since 1980s and it is more challenging and of greater significance to cultivate learners' ability to self-direct their learning and live independently and successfully later in society. However, autonomy in language teaching is sometimes presented as western concept unsuited to contexts such as those in China, which has different educational traditions.

This paper mainly researches two questions: What's learner autonomy indeed? And why is such concept presented that learner autonomy is unsuited to the Chinese context?

Keywords: Learner autonomy, The Chinese context, Teacher-centered English teaching

1. Introduction

Learner autonomy has become the new rational concept in educational field since 1980s and it is more challenging and of greater significance to cultivate learners' ability to self-direct their learning and live independently and successfully later in society. However, autonomy in language teaching is sometimes presented as western concept unsuited to contexts such as those in China, which has different educational traditions.

This paper mainly researches two questions: What's learner autonomy indeed? And why is such concept presented that learner autonomy is unsuited to the Chinese context?

2. Learner autonomy

There is a move away from teacher-centered learning to student-centered learning or autonomy. In this part, the general characteristics of learner autonomy will be analyzed. Besides, because learner autonomy is not a product, this part also makes it clear that autonomous learning is achieved when certain conditions are obtained.

2.1 The Definition of Learner Autonomy

In recent years, terms like autonomy, self-directed learning have earned more and more prominent place in the literature on learner-centeredness. Each term indicates that effective language learners have the capacity to take responsibility for their own learning, independent of the teacher.

For a definition of autonomy, Holec (1981:3,cited in Benson & Voller, 1997:1) might be quoted, who describes it as " the ability to take charge of one's learning". On a general note, the term autonomy has come to be used in at least five ways (see Benson & Voller, 1997:2):

(1) for situations in which learners study entirely on their own;

(2) for a set of skills which can be learned and applied in self-directed learning;

(3) for an inborn capacity which is suppressed by institutional education;

(4) for the exercise of learners' responsibility for their own learning;

(5) for the right of the learners to determine the direction of their own learning.

It is noteworthy that autonomy can be thought of in terms of a departure from education as a social process, as well as the roles of the participants in the learning process. There are innumerable definitions of autonomy and synonyms for it, such as "independence" (Sheerin, 1991), "langue awareness" (Lier, 1996; James & Garret, 1991), "self-direction"(Candy, 1991), "andragogy" (Knowles.1980; 1983) etc., which testifies to the importance attached to it by scholars. Definition of autonomy have of course varied, but according to Littlewood (1999), they have usually included these central features:

(1) Students should take responsibility for their own learning. This is both because all learning can in any case only be carried out by the students themselves and also because they need to develop the ability to continue learning after the end of their formal education.

(2) " Taking responsibility" involves learners in taking ownership (partial or total) of many processes which have traditionally belonged to the teacher, such as deciding on learning objectives, selecting learning methods and evaluating process.

It is argued that concepts of autonomy and individual responsibility, as they are used in social as well as educational context, come laden with western values and are not applicable to other contexts, such as those in Eastern Asian where conformity are highly valued. For theorists in this field, however, there don't exist serious obstacles here. They generally concede that autonomy is not an "all-or-nothing" concept (e.g. Holec, 1984; Oxford, 1990; Nunan, 1995) and that it may come by degrees (e.g. Dickinson, 1987). "The degree of autonomy will be largely determined by the context in which the learning takes place" (Nunan, 1995:134). A learner could even, for example, be autonomous in one skill and semi-autonomous in another. Holec goes as far as to say that assuming responsibility for one's learning can be done with other learners or with outside help. Learners are able to formulate their own learning objectives, not in competition with the teacher, but more often in collaboration with the teacher.

From the discussion above, it is clear that "autonomy" is not any one specific thing--it is a capacity and a matter of explicit or conscious ability to direct oneself in leaning. Like any other abilities, it will grow with practice and becoming rusty with inactivity.

2.2 The Desirability of Learner Autonomy

For university English majors, according to their experiences of being taught, they remember the teacher with most pleasure and respect, was the one who listened to them, who encouraged them, who respected their own views and decisions. Curiously this teacher who helped them most was the one who actually did "least teaching" of the subject matter and was, seemingly, technique-free, being basically "himself" in class. Their memories of his lessons are of what they did, rather than what he did, of their learning rather than his teaching.

Those experiences mentioned above are true not only for English majors but also for other language learners. Two assumptions are raised here: the first is that people learn more by doing things themselves rather than by being told about them; the second is that learners are intelligent, fully-functioning humans, not simply receptacles for passed-on knowledge. Learning is not simply a one-dimensional intellectual activity, but involves the whole person.

As Heron (1993) believes that there are many arguments for autonomy in learning. Firstly, he argues that learning by its very nature is autonomous, that is, nobody can make you learn and indeed no one can memorize facts, understand ideas or practice skills for you. Heron maintains that interest and commitment are self-generated and any attempts to impose or negate them interfere with learning. Secondly, he believes that compliance with a program completely directed by others leads to conforming behavior in order to survive " the system". Thirdly, Heron cites the doctrine of natural rights formulated in the 17th century and now described as "human rights" as being the right of children, workers, research subjects and also students in higher education to participate in decisions that relates to them. Fourthly, Heron believes that learning should involve the whole person.

2.3 The Theoretical Basis of Learner Autonomy

Learner autonomy is in relation to dominant philosophical approaches to learning. The assumption is that what is dubbed as learner autonomy and the extent to which it is a permissible and viable educational goal are all too often based on particular conceptions of the constitution of knowledge itself (Benson, 1997, cited in Benson & Voller, 1997:20). With a view to examining how philosophies of learning connect with learner autonomy, three dominant approaches to knowledge and learning will be briefly discussed.

Positivism, which reigned in the twentieth century, is premised upon the assumption that knowledge reflects objective reality. Therefore, there is the maintenance and enhancement of the "traditional classroom" where teachers are the promulgator of knowledge and holder of power, and learners are seen as "containers to be filled with the knowledge held by teachers" (ibid.). On the other hand, positivism also supports the notion that knowledge is attained through the "hypothesis-testing" model and that it is more effectively acquired when "it is discovered rather than taught" (ibid.).

Constructivism encourages movement away from the "transmission model of learning" to the "experiential model"(Nunan, 2001). In contrast to positivism, constructivism holds the view that, rather than internalizing objective knowledge, individuals reorganize and reconstructure their experience. In Candy's terms (Candy, 1991:270), constructivism "leads directly to the proposition that knowledge cannot be taught but only learned (that is, constructed)", because knowledge is something "built up by the learner" (Candy, 1991:290). In other words, language learning does not involve internalizing sets of rules, structures and forms; each learner brings his own experience and world knowledge and relate them to the target language or task at hand. As a result, constructivist approaches encourage and promote self-directed learning as a necessary condition for learner autonomy.

Finally, the critical theory, which is an approach within humanities and language studies, shares with constructivism the view that knowledge is constructed. Moreover, it argues that knowledge does not reflect reality, but comprises

"competing ideological versions of that reality expressing the interests of different social groups"(Benson & Voller, 1997:22). Within this approach, learning concerns issues of power and ideology and is seen as a process of interaction with social context. Then, learner autonomy assumes a more social character within the critical theory. As learners become aware of the social context in which their learning is embedded and the constraints their learning implies, they gradually become independent.

3. Cultural influences and individual differences

Now extensive literature which helps us in "understanding culture's influence on behavior" (using the words of the title of Brislin 1993) can be found. In them, cultural influences are expressed through far-reaching generalizations. Below are just a small proportion of those in one textbook (Samovar and Porter 1995):

(1) "German dress, eat, address others, and conduct themselves in a very formal manner." (P.105)

(2) "The Japanese value collectivism over individualism and collaboration over competition." (P.89)

(3) "Since harmony is a guiding principle for the Chinese, they will not tolerate toward displays of anger." (P.108).

What is the impression of those statements, which suggest all Germans, all Japanese, all Chinese (and so on) behave, think or feel in the ways described? As all-inclusive generalizations, the statements are clearly not true and we cannot accept them. Nor can people simply ignore, however, the experiences that have led groups of other people to perceive Germans, Japanese and Chinese in that way. Indeed the members of cultures often make generalizations of this kind about themselves. A Chinese student often writes, "We Chinese are very shy and nervous of speaking to strangers".

From birth onwards, the members of a culture are bombarded by their group's public and cultural representations concerning values, traditions, ways of behaving, and so on. As a result, it is not surprising if, when they enter formal education, their values and perceptions of learning have been influenced to a considerable extent by the values and perceptions that they have commonly experienced within their sociocultural group. This does not mean, however, that they have been passively moulded or that all individuals will conform to the common pattern.

Now, three sources of influences which are often claimed to have an important effect on attitudes and behavior in China will be analyzed in detail.

4. Chinese learning culture

English is learned as a foreign language in China. Chinese culture is admittedly quite different from western ones, raging from customs to ideology. It is featured by a distinctive belief; perceptions or values that influence the way people learn a foreign language.

Many researchers believe that the three following Chinese traditional beliefs, perceptions or values have an important effect on students' approaches to foreign language learning in China.

4.1 The Collectivist Orientation of Chinese Society

"In the literature on intercultural difference, it is common to differentiate cultures according to whether they are oriented more towards one end or the other of a continuum from 'individualism'to'collectivism'"(Littlewood,1999:79). An individualist orientation encourages individuals to believe in their own unique identity; they are more likely to claim the right to express themselves, make personal choices and strive for self-actualization. A collectivist orientation encourages individuals to see themselves as an inseparable part of the in-group; they expect and are expected to accord first priority to the views, needs and goals of the group rather than "stand out" as an individual. Individualism is often described as oriented towards the "I", collectivism towards the "we". In a large of comparative studies of beliefs and values, people in East Asian countries, such as in China, have emerged as showing a much stronger collectivist orientation than people in western countries.

Because of the importance attached to collectivism, Chinese students have a strong tendency to form strong cohesive groups than work towards common goals. They therefore value cooperative learning in which they help and support each other. This corresponds to the observations of many teachers who have noted the effectiveness with which their students work in team-based project work and form study groups outside class in preparing for assignment. It seems that they see "group" as their shelter, instead of "standing out" as an individual. This prevents students from participating in classroom activities actively.

4.2 Attitudes to Power and Authority

"A second dimension along which many researchers have claimed to find systematic variation is often called the '"power distance'dimension" (Littlewood, 1999:80). People who are low on this dimension feel that it would be good to reduce the differences in power and authority between members of society. People who are high on this dimension accept these differences. "Accept" does not necessarily mean identifying with such differences as desirable; it may simply mean bowing to them as unavoidable facts of life. This difference is crucial in considering the classroom roles that students may wish, or feel able, to adopt in relation to the teacher. It has been found China rates high in power

distance. Chinese students have a clear sense of differences in power and authority between themselves and the teacher.

As what discussed in Part Two, in such a setting as our China, teacher is afforded high status and remains at some distance from students. The direct outcome of that phenomenon is that learners are dependent on teachers. Chinese students perceive the teacher as the authority figure whose superior knowledge and control over classroom learning events should not be questioned. Chinese students are often criticized as passivity and reticence in classrooms and this can be explained by this cultural reason.

4.3 Uncertainty Avoidance

According to many writers, a third pervasive influence on many aspects of Chinese students' foreign language learning is the tradition which derives from Confucius. Confucianism strongly holds the view that any uncertainty in knowledge should be avoided. This point is well illustrated in the following quotation from Confucianism (Wen Qiufang, 1997:37).

"Only when you are sure that you have a good understanding of something, can you say that you understand it; otherwise, you should honestly say that you do not understand it. That is what a wise man does."

Under the influence of Confucian tradition, Chinese students cannot bear something that is ambiguous. In other words, they would not like to accept such requirement as there's no right or wrong answer. But bearing something that is ambiguous is an effective characteristic for learning a second language. And as a result, they refuse to express themselves freely, just expressing their own opinions.

5. Causes for teacher-centered english teaching

The following reasons account for the present teacher-centered situation (i.e. for lacking the ability of learner autonomy in English learning) in Chinese colleges and universities.

5.1 Cultural Background

The educational system in which teachers work will be influenced by cultural notions of authority. The goal of Chinese college foreign language teaching is developing students' overall abilities, with particular emphasis on students' reading ability. This goal is properly set on the basis of our country's present situation. Consequently, most university language tests for English majors, like TEM 4 and TEM 8, take the form of reading comprehension and writing. Listening and speaking tests account for only a small proportion. The teachers, therefore, have to lay more emphasis on grammar and word studying. Cultural notions of authority will affect the potential roles of teachers and learners.

5.2 Teachers' Elements

Using a framework suggested by Harmer (1991), it is possible to identify the teacher in a number of roles: as controller in eliciting nationality words; as assessor of accuracy as students try to pronounce the words; as corrector of pronunciation; as organizer in giving instructions for the pair work, initiating it, monitoring it, and organizing feedback; as prompter while students are working together; and as resource if students need help with words and structures during the pair work. However, as well as being partly dependent on personality or particular method, the precise interpretation of these roles would also be to some extent socially and culturally dependent. In such a setting where the teacher is afforded high status as our China, is an authority figure, and remains at some distance from students, prompter might well refer to prompting the individual student with a display question to respond in a typical classroom sequence of initiation-response-feedback, for example:

Teacher   What's Peter's job, Marianne?

Student   He's a… [Pause]

Teacher   Yes, he's a car…

Student   mechanic… he's a car mechanic.

Teacher   Yes, good.

Undoubtedly, the teacher remains at the front of the class, in control and responsible for learner activity.

5.3 Learners' Elements

Undoubtedly, no matter what kind of method is adopted, its effect is ultimately embodied and realized in the subject. In the field of language teaching, the subject is the learner. Therefore, subject analysis takes up an important position. The following part studies learners in detail from four aspects.

5.3.1 Age and Intellectual Factors

Studies show that the age of the learner remarkably affects his language learning. Children are more effective in acquiring the language system than adults while adults have stronger ability to understand grammatical rules and memorize vocabulary. This is mainly because children tend to imitate and obtain concrete language input. However, adults have developed stronger logical thinking and tend to probe into the interior rules and disciplines of a subject. In

addition, an adult learner approaches a foreign language on the basis of his native language and it's very natural for him to connect the two languages in his learning process. Disorderly and unsystematic imitation and repetition may discourage an adult learner and cannot satisfy his curiosity about exploring disciplines. Moreover, adult learners tend on the whole to be more disciplined and cooperative. This may be partly because people learn as they get older to be patient and put up with temporary frustrations in the hope of long-term rewards, to cooperate with others for joint profit, and various other benefits of self-restraint and disciplined cooperation. Another reason is that most adults are learning voluntarily, have chosen the course themselves, often have a clear purpose in learning and are therefore likely to feel more committed and motivated. Therefore, the language teacher has to tailor his teaching methods to the special characters of the learners so as to achieve a better result.

The age of Chinese college students basically ranges from 18 to 22. Their learning potential is greater than that of young children, and although they have lots of characteristics similar to those of adult learners, it is more difficult to motivate and manage them.

5.3.2 Cognitive Styles

The cognitive styles chiefly refer to the different ways employed by people in information accepting, organizing and searching. Scholars distinguish two kinds of cognitive styles as 1) field dependence and 2) field independence. Characters of the former include: 1. depending on the outside frame of reference to deal with information; 2. tending to understand a thing as a whole; 3. lacking the ability to make one's own view; 4. being socially sensible and prone to communication with others. Characters of the latter include: 1. depending on oneself as the frame of reference; 2. tending to analyze; 3. being independence; 4. having weaker ability in socializing and communication.

Studies indicate that learners of field dependent cognitive style are more likely to succeed in a natural learning environment while in class study, learners of field independent cognitive style have more advantages. As Chinese college students have already familiar with the class environment, they are more field independent, depending on themselves to analyze the language itself.

5.3.3 Motivation

Motivation has been identified as the learner's orientation with regard to the goal of learning a second language (CrooKes and Schmidt 1991). Motivation is divided into two basic types: integrative and instrumental.

5.3.3.1 Integrative motivation

It is thought that students who are most successful when learning a target language are those who like the people that speak the language, admire the culture and have a desire to become familiar with or even integrate into the society in which the language is used. This form of motivation is known as integrative motivation. When someone becomes a resident in a new community that uses the target language in social interaction, integrative motivation is a key component in assisting the learner to develop some level of proficiency in the language. It becomes a necessity, in order to operate socially in the community and become one of its members. In an EFL setting such as China it is important to consider the actual meaning of the term "integrative." As Benson (1991) suggests, a more appropriate approach to the concept of integrative motivation in the EFL concept would be the idea that it represents the desire of the individual to become bilingual, while at the same time becoming bicultural. This occurs through the addition of another language and culture to the learner's own cultural identity. As China is basically a monocultural society, opportunities to use the target language in daily verbal exchange are relatively restricted. There is also limited potential for integrating into the target language community.

5.3.3.2 Instrumental Motivation

In contrast to integrative motivation is the form or motivation referred to as instrumental motivation. This is generally characterized by the desire to obtain something practical or concrete from the study of a second language (Hudson, 2000). With instrumental motivation the purpose of language acquisition is more utilitarian, such as meeting the requirements for school or university graduation, applying for a job, requesting higher pay based on language ability, reading technical material, doing some translation work or achieving higher social status. Instrumental motivation is often characteristic of second language acquisition, where little or no social integration of the learner into a community using the target language takes place, or in some instances is even desired.

While both integrative and instrumental motivation are essential elements of success, most linguists agree that it is integrative motivation which has been found to sustain long-term success when learning a second language. But it has been found that generally students select instrumental reasons more frequently than integrative reasons for the study of language. Brown (2000) makes the point that both integrative motivation and instrumental motivation are not necessarily mutually exclusive. Learners rarely select one form of motivation when learning a second language, but rather a combination of both orientations. Motivation is an important factor in L2 achievement. For this reason, it is important to identify both the type and combination of motivation that assists in the successful acquisition of a second language. At the same time it is necessary to view motivation as one of a number of variables and situational factors

which are unique to each language learner.

In China, university students' motivation is basically an instrumental one, with various exams as the main reason or source of motivation for their English study. That is to say, most Chinese college students learn English to pass exams like achievement tests, academic tests at school or some national English proficiency tests such as TEM4 and TEM8, and then, to get a better and higher-paid job. Although there are students who hope to study overseas and eventually enter the English community, they have to first pass language tests concerned such as TOEFL, GRE, or IELTS. Some characteristics of motivated learners described by the authors of a study of successful language learning (Naiman et al., 1978) are:

(1) Positive task orientation. The learner is willing to tackle tasks and challenges, and has confidence in his or her success.

(2) Ego-involvement. The learner finds it important to succeed in learning in order to maintain and promote his or her own self-image.

(3) Need for achievement. The learner has a need to achieve, to overcome difficulties and succeed in what he or she sets out to do.

(4) High aspiration. The learner is ambitious, goes for demanding challenges, high proficiency and top grades.

(5) Goal orientation. The learner is very aware of the goals of learning, or of special learning activities, and directs his or her efforts towards achieving them.

(6) Perseverance. The learner consistently invests a high level of effort in learning, and is not discouraged by setbacks or apparent lack of progress.

(7) Tolerance of ambiguity. The learner is not disturbed or frustrated by situations involving a temporary lack of understanding or confusion; he or she can live with these patiently, in the confidence that understanding will come later.

5.3.4 Personalities

Scholars of psychology identify two kinds of personalities: extrovert and introvert. They are found to have influence on language learning. Perhaps an outgoing, sociable person learns a foreign language better than a reserve, shy person, but the connection is not usually so straightforward. Learners of different personalities tend to apply different learning strategies in their learning process. Extrovert learners are talkative and responsive, which provides them with more opportunities of using the target language. However, they do not care much about language form. Introvert learners, on the other hand, apply their calmness in the systematic analysis of the limited language input and are more aware of the form. Therefore, we may say that there is a link between extroversion and oral fluency while introvert is more related to accuracy. Then, different language teaching methods should be adopted when teaching different learners. The introverts might be expected to prefer academic teaching that emphasizes individual learning and language knowledge; the extroverts audio-lingual or communicative teaching that emphasizes group participation and social know-how (Cook, 2000).

As for Chinese learners generally, they are more introvert, often quiet, shy and reticent in language classrooms. They dislike public touch and overt displays of opinions and name "listening to teacher" as their frequent activity in English classes. They are afraid to make mistakes in public and therefore, when a question is raised before them, no one in the class is willing to take the initiative. Chinese students are reluctant to talk, even when they know the answers very well because the very activity of talk involves risk. It may be the introvert personality of Chinese students that results in the teacher's choice of a teacher-centered, book-centered, grammar-translation method which in turn, only makes the students more introvert. Another personality of Chinese students is that Chinese students tend to be cooperative and have more faith in teamwork. For example, when they are asked to discuss the answers in groups, the students are more willing to speak. They know that the humiliation and embarrassment that result from the incorrect answers could be shared by all the members in the group.

5.4 Language Environment

Speaking of causes that lead to the current teacher-centered phenomenon, we should not forget Chinese unsatisfying language environment. Normally, Chinese students are not used to communicating with each other in English outside class. In an English lesson, though, some of the students participate in the so-called communicative activities only with the attitude of doing their tasks. Moreover, among the communicative activities, applied in an English lesson in Chinese colleges or universities, the activity that is used most often is group discussion. And in order to save time, the teacher will hastily wind up the discussion with a solo summary or conclusion well before the subject is discussed fully and the students have come to anything.

6. Conclusion

From the discussion above, learner autonomy and why there are suspects that the concept of "learner autonomy" doesn't fit foreign language learning and teaching in China are very clear. Whether or not learner autonomy is suited to the

Chinese context needs continuous research.

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Closing the gap – the Perception and Reality of Environmental and

Waste Performance in Chinese and Polish Industry

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Abstract

This paper is derived from research into the management of industrial and process waste in twelve large manufacturing factories in China and Poland.   The research incorporates a unique methodology involving the expert benchmarking of environmental impacts, the use of questionnaires to elicit perceived environmental performance and, related to the same impacts, interviews across the complete management strata of each factory.

Sustainability is considered in the context of waste arising from production processes, including waste chemicals and scrap materials, and non-production wastes such as human ordure and detergents. Process waste results in an unsustainable depletion of raw materials, while human and non-production waste results in the unsustainable and irresponsible use of the atmosphere, ground, groundwaters and rivers.

The paper highlights the management of hazardous industrial waste as one area where an organizational fear and punishment culture is seen to restrict decisions to clearly defined job boundaries in such a way that flexible decision making is avoided and environmental management restricted to compliance rather than improvement and sustainable materiel use.

Keywords: Sustainability, Waste, Dysfunction, Perceptions, China, Poland

1. Introduction

This paper draws on five years of research in China and Poland in twelve factories at the *heavy end* of manufacturing and directed to the determination of why knowledge essential for the appropriate management of environmental impacts in manufacturing operations is often not evident or not properly deployed. During the period of the research, Poland had emerged from the communist regime, whereas China, while still communist, now had capitalist overtones.

Within such factories there is a clear difference between perceptions related to production and those to environment although, in many cases, scrap and waste are intimately connected to both because it is generally the waste contingent on production operations which causes the pollution of the rivers and contamination of the ground and ground waters. In most cases, *easy* waste such as paper and packing materials is nearly always recycled and does not form a major problem, it is the industrial and human wastes in and from processes and dormitories (China) that lack attention in the factories and thereby pose high risk situations - these are the wastes that are considered in this paper.   See Watson and Brady (2007) for a legal position on difficult wastes (including leaking sewer pipes).

Despite China's rapid industrialization, the infra-structure for good governance and corporate social responsibility has not kept pace as evidenced by the severe pollution of its major rivers (Economy and Liebethal, 2007), the effects of centralized industry (Shang, 2008) and the frequent outrages of poisoned workers, mostly due to the lack of control of materiel and waste in and from the factories.

The paper commences with an explanation of the research context and the methodology employed.   It goes on to compare the actual sewage and waste arisings and their impacts in various locations with the environmental

performance as perceived by the management in each factory. Some possible explanations for the identified disparities are discussed in the concluding sections.

2. Industrial waste in China and Poland

China and Poland were chosen as the industrial contexts for the study for two reasons. Firstly, each was experiencing considerable environmental problems alongside rapid economic and political change. Secondly, the lead author had access and was already engaged as an evaluator of environmental management systems in those countries and was concerned that the expected environmental benefits from those systems was not being realised. Table 1 provides a comparison of eighteen key factory attributes in the two countries, ten of which relate to waste or potential for waste-related problems.

Most of the study factories in the South of China lie near to or on the Pearl River Delta, or near other rivers. In consequence it is is important for them to have a good control on the waste effluents and chemicals. Two factories near Shanghai are on a plain through which the Suzhou (*sue-joe*) river flows, and the tributaries to this major river are grossly polluted and fed by effluent from the subject factories. All the factories were in development zones that have resembled permanent domestic and industrial building sites since 1994.

In Poland, three of the factories were near rivers with existing or imminent groundwater controls. The largest sites (44ha plus each) were grossly contaminated (Cole, 1989) from many years of uncontrolled disposal of waste chemicals, tars, clinker and fly ash to ground, and this had fed through even to deep wells at 75-100+ metres. The other two factories were/are on greenfield sites and posed no substantial risk to the ground and/or controlled waters.

3. Methodology

The data on which the paper is constructed was derived from a triangulated four part methodology in which each data stream provided a check on the others:

expert derived reality benchmarks (rbm's) arising from detailed observations of factory impacts;

strength of feeling (SOF) perceptions questionnaire (Table 2) to all the 164 managers;

notes from interviews with the top manager at each of the twelve factories;

informal discussions with other managers.

The reality benchmarks represent an objective measure against which the perceived performance could be compared and were formulated by the lead author who had an intimate knowledge of the sites. For instance, in response to Question 18 'we always use non-toxic solvents', all the sites but one (with marginal use) do use such solvents, hence the reality benchmark (rbm) is '0'. For Question 6 'waste and scrap are under control in our factory', there will be different degrees of control among the factories and hence different rbm's (see Table 4).

The interviews with the top managers were face to face and unstructured, with an aim to determine any discrepancies between what the manager believed about the workings of his factory, the perceptions of his sub-ordinate managers and the reality benchmarks which represent one form of environmental measurement.

The questionnaire was designed in such a way that a differentiation could be made between production and environmental (belief) drivers as well as the gaps between core perceptions of socio-cultural groups and reality on the ground in respect of the environment (see also Lynn, 2005). The analysis of the data collected therefrom was performed with the aid of SPSS and Mathcad software programs but is inherently qualitative (as defined by Alasuutari, 1995).

4. Environmental aspects and data

4.1 Main problem contexts

In the worst affected sites for contamination feeding through to ground waters, there were some very severe point sources (see also Price, 1996) and more diffuse paths due to clinker, fly-ash and toxic oils. Many of the chlorinated oils are also volatile, they vaporize and mix with the air in the unsaturated zones, and the vapour travels through the air-filled holes by diffusion. It can then re-liquify into pellicular water (adhering to stones etc as a film) and travel to different parts of the aquifer (Price, 1996). When these hydrocarbons are Non- Aqueous Phase Liquids (NAPL's), either dense and light, they can be very hard to remove from the water to allow it to be made potable - such contamination prejudices the sustainability of sources for potable water. Some good case studies in the remediation of contaminated waters are presented by Cronk and Martin (2004).

In the Polish factories there is significant undeployed knowledge about all the sources of environmental degradation. In three of the factories there is from 3 to 20 hectares of grossly contaminated land from the clinker and fly ash from boiler houses that burned low grade coal (lignite), and waste oils, solvents, daph's (dense aromatic polycyclic hydrocarbons), arsenic, lead etc. The contaminated ground (some exhibiting pH values of 13-14) is only some 3m above the water table and close to rivers and lakes.

In the Chinese factories environmental knowledge was quite low as there were no environmentalists employed at the time of the survey, but the factories were fairly new and the ground was mostly covered with concrete.   The significant environmental degradation was due to high BoD/CoD/NH4/suspended solids (SS's) going to river at five of the plants – this was primarily dormitory ordure, clothes washing effluent, and kitchen vegetable waste except for a small amount of fugitive and waste oils going to surface drains.

The most significant challenges at the sites are shown in Table 3 where and it can be seen that there are some serious common denominators among the factories; some of these will be very expensive to ameliorate but this is not acknowledged by the management as risks for the future.   For groundwaters, there are no matching perception patterns between companies in the SOF responses at all.

4.2 Perceptions of the environmental situations

There was little evidence in the study factories of environmental knowledge being communicated, even when the environmental managers possessed it (see section 5).   This exacerbates the potential environmental impact with difficult subjects like groundwaters, various soil types and permeability's, where chloro-parafins especially are a bad pollutant for groundwaters.   Some of the technical problems and solutions for this can be found in Cronk and Marvin (2004).   This would lead to a hypothesis that the responses would be fragmented in pattern similar to the dadot line in Figure 1 for Factory D.   A related question is whether the level of perception response fragmentation (responses spread over the score range of 0-10) is inversely proportional to the level of communication of knowledge.   The complete line in respect of communication exhibits an integrated pattern (Frost et al, 1991), this indicates virtually complete agreement among the managers.   There are similar results for every factory, but communication of the dangers had actually failed badly for groundwaters.

The issue of perceptions being related to context has been discussed briefly above and can be extended to propose that the context can *only* appear as a perception and, therefore, the perceptions will *be* effectively the context. This mirrors the argument presented by de Bono (1993) on reality and context but, in this paper, has been termed the mind-context in order to distinguish it from a locational context, eg a production line or an environmental department.

To take a top management level example, if the company *mission* (Denison et al, 2006) were not *meaningfully* communicated to the lower management levels (Holmes, 2001;   Cobley, 2001) for action, then there would be little chance that it *would* be actioned, it is therefore believed fair to assume that a lack of communication at any management level would result in similar effects.   It would follow that any matches between fragmented patterns (of responses) are likely to be coincidental due to the paucity of communication in the factories evidenced in the data.   Unless perhaps there is a currently unidentified phenomenon which could create this condition, eg. the use of peer group pressure to inculcate knowledge or the employee cultivation proposed by Yang (2008)..

In Table 4, the differences (gaps) between managers' perceptions and the rbm's demonstrate that only three factories (F, P, R) have coherent socio-cultural groups (as gauged by their perceptions)(see also Kuhn, 2006 on identity) which have mental realities congruent with the empirical realities for this question on waste.   The perceptions at Factory T are so wide of the mark that there is little prospect of them recognizing the problems and hence doing anything to mitigate these (see also Murphy, 1971).

The effects of WEEE and RoHS (EU Directives on waste electronic and electrical equipment and the register of hazardous substances) on Company products should have perception scores at zero, as all the factories are affected to a greater or lesser extent (exports to the EU), but the perception scores do not recognize this, possibly because the environmentalists tend to detach themselves from production and even more so from the market.   The same is true of toxic solvents, which all the factories use and, as this is a real physical and environmental danger, it is strange that little attention is paid to the risk under health and safety auspices – little heed is paid to sustainable human resources!

Tables 5 show possible reasons for inaction which, at the environmentalist and quality manager levels, could also include fear of *making waves* in case of penalties imposed by top management.   This raises the question of whether it is possible in such circumstances for the award of ISO14001 certification to be anything other than *window-dressing* for the market, a symbol exhibited to an organization's customers.

4.3 Sewage and waste arisings and effects

Some of the typical waste arisings are shown in Tables 6 and 7 and, as the research took place in a single industry, the arisings have significant common elements and common dangers, however, the pathways are only the perceptions of the people at each factory, the *true* destinations are mainly neither investigated nor known.

In the Chinese factories sampled, apart from where the effluent goes to the town sewage plant, the figures for BOD/CoD/NH4/SS's, as measured by the local environmental authority, are very high and, where they are not, unbelievable by virtue of the floating ordure or cloudy water on its way to the river.   The sustainability of the river systems is totally compromised as small rivers are completely dead and the large rivers too polluted to be treated to give

potable water.   It can be deduced that some of the Chinese Environmental Authority (effluent sampling) staff are either incompetent, diffident or subject to *favours* - but they will not get fired.   The custom is that a *really* incompetent person will be moved to some remote district of China.

With the Polish factories, although effluent is sometimes near to or over the limits on nitrogens and metals, effluent has been basically under control – a question of knowledge and experience.   But, in one factory in Poland, it is sometimes hard to see why *events* going over the limits are not seized upon by the local Environmental Authority.   It has been quite usual for seriously over-limit effluent to be allowed to river for months, and without a waiver being requested by the factory – if the environmental authorities choose to turn a blind eye, why query this!   However, the Polish rivers are not completely dead.

In neither country are the factory management systems improving the environmental sustainability or health and safety. In China this may be because of a lack of will perhaps due to production pressures or a lack of knowledge, whereas in Poland this is really due to the lack of deployment of knowledge and a fear of punishment for asking for money to improve the system.   Rather than the socio-cultural resilience of an organization, with the ability to absorb changes and still function, proposed by Dutra and Hayworth (2008), the study factories exhibited a socio-cultural *resistance* to change which will prejudice it's own and other sustainability's.

From Table 8 it can be seen that all the Polish factories are engaged in the heavy end of the industry but, in China, only five out of seven.   In Poland three out of the five send their effluent, after treatment, to the river or stream, in China this is five out of seven.   The big difference lies in the BoD/CoD/NH4/SS levels which are somehow allowed to be worse in China despite their regulatory limits being quite near to those of Europe. The original Chinese decision not to have environmental experts at each factory, but to rely on the HQ to keep the factories up to date on legislation, indicated that environmental management was not seen as a knowledge intensive activity and was viewed perhaps as a *no value added* item.

5. Contexts and environmental control

5.1 Situational realities

For a pre-dominant slice of the questionnaire responses, the score levels for perceptive realities were significantly away from the empirical reality (rbm) levels loosely based on the relevant clauses of ISO14001.   The socio-cultural groupings as represented by individual perceptions were hence frequently significantly away from what might be a set of groupings based on empirical reality, this will be deleterious to organizational functionality.

For rbm's (reality benchmarking ratings), both countries exhibit poor perceptual reality against management system performance as demonstrated with Question 13 (groundwaters are no problem to our factory) tabulated   in Table 9. The core scores for Poland are generally lower than for China, ie more realistic,   and could be attributed to the fact that all the Polish factories have had both ISO9001 and ISO14001 certifications for some years, while only three out of the seven Chinese factories had this at the time of the research survey.

5.2 The environmental managers

Between 1996 and 2002, the Polish factories did have environmental managers and experts but, all but one had a lower status than the production managers.   Once that full privatization of the Polish companies had been achieved, there were no true environmental managers, only managers of combined quality and environment, with low environmental expertise, and only two experts for five factories (at the time of the survey, there are now three).

One environmentalist covered three factories in Poland but their survey response patterns are all markedly different, obviously his expertise did not produce knowledge which was communicated to, or accepted by, all the workforce.   A conclusion can be that the information was hoarded and deliberately not communicated to the body of people in the three factories. Archer (1996) quoting Habermass, talks of instances where the possession of knowledge is based on self-interest, and on the need to identify such hostile self-interest mechanisms within the organization.   On the surface the environmentalist was concentrating on keeping the factory set of regulations up-to-date, these regulations being mainly satisfyced by calculations which themselves were not checked for some six or so years at a time and were found to be aberrant during the research.   In Poland there was little apparent *walking of the job* by the environmentalists and, in the Chinese factories, there was no environmental expert at all *to walk the talk.*

For two other factories in Poland, one still has an environmentalist who understands the objectives, but who reports to a production-oriented manager in charge of Quality.   Despite this there has been a substantial improvement in the operation of the sewage plant, she is however, sometimes ineffective in the production areas, which contain some extreme hazards.   The second factory demotivated and thereby lost a very good chemist turned environmentalist, her place being taken by a competent but young and pleasant chemist, who, on past experience, will have little effect in the production arena due to her youth and gentleness pitched against very tough production managers (see also Kirkland and Thompson, 1999).

5.3 ISO14001 certification and effectivity

At the time of the survey in China, there were no environmentalists employed; the associated tasks fell within the remit of Quality Managers with limited environmental knowledge which only marginally increased during the regular ISO14001 audits (but see Balzarowa et al, 2006; Raines, 2002). However, for four of these companies that are in a corporate group, the HQ eventually employed a professional environmentalist in late-2004, (see Gouldson and Murphy, 1998 for the impact of lone environmentalists).

At the time of the data collection from late-2002 to early-2004, the Polish ISO14001 certifications were theoretically mature but, despite having in-house environmentalists, not really accomplishing what might have been expected in the control of waste. The Chinese systems were relatively new and their performance was on the boundaries of acceptability for certification to ISO14001 (see Table 10).

In the comparison between the two countries for operational performance, there is no apparent significant distinguishing affect. This suggests that environmental control issues are not significantly affected by differences between factories as organizations, or between the two countries. Both countries have management systems codified under ISO14001 and, where this certification is not yet possessed, there is still a *custom and practice* pseudo-ethical management system. Within the extant systems, commands are issued from the top within an informal set of rules and these are passed down the severely hierarchical bureaucratic management chain (Confucian bureaucracy in Tsui et al, 2004; Western bureaucracy from Weber, 1922).

6. Discussion

6.1 Imaginary realities and hierarchical dysfunction

Imaginary created or adopted mind-contexts, or realities, can be conceived or adapted in response (inter alia) to hierarchical cultures (Schein, 1992), and used in strategies and tactics for the communication, deployment or restriction of knowledge. Also, irrational connections are likely to arise from different mind-contexts and realities and, in the absence of some coherent culture, this situation will continue (see also Murphy, 1971).

Gurr (2004) proposes also that the change from State to Capitalist systems leads to a *distance* between workers and management that was not there under State control, this leading to communication failures. In this current research the *distance* is apparently within the different layers of management such that the communication of environmental knowledge and legislative requirements either does not take place effectively, or the meaning of the communication is altered at the social interface between manager and sub-ordinate (see also Blenkinsop and Zdunczyk, 2004), to fit into the respective (sub) socio-cultural mores (see also Chreim, 2006). Some of the mechanisms behind these phenomena are elaborated in Sperber (1996) and Holmes (2001). The behaviour of the people involved is thus determined by their respective socio-cultural groupings, and this affects subsequent decisions reflected from their individual environmental dimensions, or mind-contexts (Frost et al, 1991).

Several writers (eg. Armson & Paton, 1994; Fritz, 1999; Selfe, 1987; Senge, 1992; Taylor, 1911; Weber, 1922) have commented that the management hierarchy determines the culture which, in turn, determines the operational outcomes. Components of these phenomena are when top management commands (Archer, 1996) are elided going down the chain of command, and when agency (lower level) culture comes to dominate certain areas of activity in the absence of any detecting and correcting actions (as with the technical decisions). There is also an argument in Sperber (1996) that could be applied to the management level interfaces in the hierarchies, namely that people on either side of a socially constructed communication interface may have:

Beliefs which are not only very different, but even mutually incompatible, both sides believe the others are irrational. (The) reality on that view is a social construct and there are as many realities or worlds as there are societies – different beliefs are rational in different socially constructed worlds.

In this context, Hogarth (1998), quoting Simon's portrait of decision makers with limited information processing capabilities, refers to people's perceptions being selective, hence their *habitual domains* (or mind-contexts) play a large part in how they see *a* world (see also Bower et al, 2006).

6.2 Mental prisons and rational decisions

In the hierarchical context, the perception patterns demonstrate strong mental (psychic) prisons (Morgan, 1988) exhibiting an adopted reality whereby there is an unwillingness of management to take mitigating action on the environment and sustainability in case of perceived deleterious affects on production output. Zey (1992) is quite specific:

It is an onus on managers to replace non-rational decisions with rational behaviour. It may have little to do with the goals of workers, labour management and society as a whole. Real models of sub-dominant organizations are unexplained and unable to explain differences in preferences, interests, resetting conflicts, domination, subjugation with the organization. They do not question the goals or ends of the dominant coalition.

From the research data, it is clear that the same type of hierarchical structures and factory cultures are hosting very different patterns of perceptions, hence it is unlikely that the structures are themselves driving the significantly different perceptions observed.   The key drivers may be organizational dysfunction and logical contradictions, but modified by the different cultural dispositions of the managers involved at these interfaces (Frost et al, 1991; Spicer, 2006).   Other variables may also be at work and the research problem is to identify the predominant drivers;   these may lie in the fields of background social culture, knowledge, training or even the style of management which, as Welford (1997) notes, may be capricious.

In both the Polish and Chinese factories the focus is on optimizing the production process and reducing scrap and production waste whereas, for the rest of the environment, their objectives are only directed at satisfycing the regulations.   Is this grounded in a knowledge deficiency, or an informal culture of not asking for money for reducing the impact of the factories on the environment?   Most of the surveyed people would not admit directly to this last point perhaps due to top management autocracy, but also perhaps due to living in a reality that says 'our company has a beneficial affect on the environment' when this is, at best, arguable.

Lower down the management chain, the technologists in the Polish factories have more fragmented perceptions than the Chinese, usually well away from the assessed benchmarks (rbm's), while the quality and environmental managers are also well away**.**   This is perhaps due to a situation wherein groups of people have a culture that has grown with them over the years and formed an *operational* set of mental images to protect them from having to *think* about incompatible disturbances from the outside world, and these disturbances are perhaps rationalized away in another mind-context, or ignored as *noise.*

6.3 Toxic chemicals, communication and meaning

Smallman & Weir (2000) posit that 'communication in complex organizations is an *achieved* process; it has to be worked at and continually reviewed in order that its importance is not neglected'.   They go on to argue that 'modern organization systems by their very nature, distort information to meet organizational needs';   Denison et al (2006), also discuss the link between organizational culture and effectiveness within which, even good human resource practice cannot prevent the *natural* filtering of information transmitted via communication systems.   In the factories, while a key element in the spread of knowledge is communication, and one which is accepted by senior managers as important, little is apparently done to facilitate it and the perceptions of the workforce do not reflect the inadequacy of their knowledge especially on waste streams and recovery.   The relationships and difficulties between language used in communication and meaning is explored in Weisler & Milekic (2000).

In the case of toxic chemicals where, despite workshops dedicated to the problems of dangerous chemicals (in process use and as waste), perceptions of the dangers were very mixed and coincided with a strong tacit perception that the implementation of stricter controls could interfere with production.   The failure to communicate the environmental risk to the totality of the workforce could be for one or a number of reasons but mainly because, where there are no coherent cultures or missions there is no stimulus to share knowledge about the environment.

6.4 Production, environment and sustainability

As previously noted, the employees at management levels think mainly of production, hence this becomes a focal point for mental comparisons neglecting other associations such as river pollution and ground contamination.   These mental prisons (Morgan, 1988) or versions of reality (Patten, 1996,) could perhaps be changed by a coherent culture promoting more beneficial association patterns.   The data indicates that, for China at least, there is substantial agreement between the MD and the senior managers, which could indicate a lack of will to challenge to the MD, thereby militating against beneficial change, eg. Communication of an innovative, synthesized culture (Archer, 1996; Stacey, 1992)) to the next management levels. Yang (2008) takes the cultural argument further with a concept of 'construction of sustainable innovation' wherein all employees are *cultivated* to accept the concept of *company* sustainability by innovation – this could facilitate a culture incorporating environmental sustainability.

The data gives a strong indication that the reason for only marginal compliance with ISO14001 tenets is that the production culture, fuelled and protected by an over-arching fear and punishment culture, submerges the environmental management system in these factories, such that, in Poland, the young environmental managers have little chance of success (Gouldson & Murphy, 1998).   This is exacerbated by an unwillingness of the environmentalists, where they exist, to look beyond the letter of the national environmental regulations for both environmental and business opportunities and challenges.   In addition, there is clear evidence that some knowledge essential for the good of the factories and their surrounding environments was not always being passed on to the general workforce by the environmentalists or, if it was, the meaning was not understood, such that the risks to health, environmental degradation and sustainability were significantly increased.

In most cases, the data demonstrates that empirical reality and perceptual reality concerning environmental and related aspects such as solid and liquid wastes, most frequently do not correspond and can be considered as largely independent

of each other.   Moreover, the perceptual realities, as represented by the strength of feeling scores, more often than not disagree one with another on the question topics, with few logical linkages exhibited between logically related questions, the subjects of which will all impact sustainability.   This lack of coherence carries over from factory to factory, with relatively few matching perception patterns.   These different patterns represent different context-dependent imagery, hence multiple realities which, unless remediated, will continue to produce sub-optimal factory performance on environmental and waste issues.

7. Remediation needed to enhance sustainability in the subject factories

It is proposed that, without changing the organizational culture at the top and lower levels of management, it would be impossible to change the dynamics of the communication and spread of knowledge in respect of the environment (BT & Cisco, 2008).   Patriotta (2003), writing on the subject of organizational knowledge, considers the situation wherein people are projected into a different set of circumstances, a different context, but where the people remain entrenched in an old set of (tacit) routines.   So it would appear to be with the managers in the study factories who, without a coherent organizational culture for their impact on sustainability and the environment, remain entrenched in a world that is past.

Hence, for remediation, the most important thing is to establish such a culture or mission but, to communicate that culture in a meaningful way, it will be necessary to train all the managers in how to use words and language that are understood and committed to up and down the management chain.

The next essential remediation strategy would be to train the upper levels of management in how to measure the gap between perceptions and reality, one such method was used to obtain the data for this research.   The training must encompass both the expertise required to determine the reality benchmarks in sustainability and environmental performance, and how to structure perception questionnaires so as to obtain reliable data.   As it is unlikely that a member of the management team would be able to inspire sufficient trust in his/her colleagues, the data might need to be collected by an outside agency.

Once the benchmarks and data were obtained, further training would be needed to analyse the meanings of any significant gaps between the two and, finally, knowledge training on how to close the gaps.   It would be also essential to monitor the gaps on a regular basis in order to prevent fossilization of tacit knowledge.   It would also be an imperative to set measures for, and monitor, improvements in environmental performance and enhanced sustainability

8. Conclusions

One of the imponderables at the start of the research reported above related to why management commands or training in environmental responsibilities did not seem to produce the desired actions or results.   Was this due to a lack of knowledge, the non-communication of knowledge, non-cooperation, or perhaps to a deliberate act of minor sabotage? Interviews and the observation of inter-person transactions demonstrated that some quite subtle mechanisms were in play.   This was supported by the survey perception data which showed more and more fragmentation of perceptions on the same subject the lower down the management chain.   It was thereby determined, and subsequently confirmed with several of the plant managers, that:

In China, the sub-ordinate performs a task according to their *understanding* of what they are told;

In Poland, the sub-ordinate will *massage* any communication into a form congruent with their in-built or peer culture.

The determination of gaps, by the new methodology employed in this research, between what is evidenced as real on-the-ground (empirical reality) and the reality that exists in some context in a person's mind, in the dimensions of cultures and sub-cultures, is seen as being a powerful tool in uncovering the intricate/complex mechanisms which drive company direction, be that to disregard the environment or the opposite.   It is important to note that, where perceptions of a real or imaginary situation are at odds with the *truth* of a situation, these perceptions may be forming the initiatives for action within complex socio-cultural groupings, and easily lead to undesired outcomes and significant environmental degradation from waste of one kind or another.

To sum up, the paper has proposed a novel method of determining the socio-cultural dynamics of organizations in relation to how they can affect decisions on waste and the consequential effect on sustainability.   Moreover, it has elaborated the use of the gaps between perceptions and empirical reality to isolate tacitly-entrenched socio-cultural groups and, from this identification, a set of remediation strategies has been proposed.

The research was grounded in practical case studies which demonstrated that each factory had different overall perceptions and socio-cultural groupings but, on the whole, this did not affect their problems with sustainability, the environment and waste management, in general they were equally deficient in the different countries and factories.

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Table 1. Comparison of factors affecting waste in China and Poland

Chinese/Polish aspects	similar	mixture	dissimilar	comment
geo-location	x			mostly near rivers
effluent	x			mostly going to rivers
organizational hierarchies	x			'I say, you do' = command & control
industry	x			within same product ranges
raw material use control	x			not good, but China worse
in line scrap/waste	x			not good, but China worse
chemical waste control	x			poor
control of energy and water	x			quite poor, no focus
heavy/light industry	x	x		China has more *light* products
organizational stability	x	x		Poland poor, China better
business culture		x	x	Western/Asian mixture in China
clinker & fly ash ground contamination			x	more severe in Poland
ground/groundwater contamination			x	Poland is worse, China more potential
national culture			x	Asian and Western
training			x	China: single job skills only
technical knowledge			x	Poland insufficient, China lower
environmental knowledge			x	Poland insufficient, China far lower
political system			x	capitalist and communist

Table 2.   Actual SOF question proposals (agree/disagree: 0-10)

	question (responses score 1-10)
1	the company has a clear environmental statement and/or policy
2	our environmental knowledge is adequate
3	we know the life cycles of all our products
4	we continually innovate for process improvement
5	production is more important than the environment
6	waste and scrap are under control in our factory
7	there are too many environmental rules issued by the European Union
8	the company has a beneficial affect on the environment
9	the WEEE & ROHS directives will have no effect on our products
10	our processes are strictly controlled for spillage, run-off etc
11	all our employees are aware of their environmental responsibilities
12	environmental protection costs us less than 10% of our profit
13	groundwaters are no problem under our site
14	we consider training as essential for performance improvement
15	we have a good relationship with the environmental authorities
16	environmental decisions are easy to make
17	communication in our factory is very good
18	we always use non-toxic solvents
19	our decisions on the environment always have good results
20	we keep absolutely up-to-date on environmental legislation

Tables 3.   Comparisons of contributions to unsustainability – Poland/China

Aspects in Poland (5 factories)	contingent effects	notes	problem sites (no.)
badly contaminated land	contaminated groundwaters	high water tables	3
badly contaminated land	contaminated well water	deep levels	4
foul and industrial effluent to river	river contamination/pollution	high BoD/CoD/Nitrogens	2
foul and industrial effluent to sewer	sewage contamination	high BoD/CoD/Nitrogens	2
major toxic oil storage – high risk	near drains/ground	bunded but not safe	2
toxic oils to ground (large amount)	ground/water contamination	chloro-parafins	2
toxic chemicals to factory air	severe dangers to health	eg: Kresols/oil, vapours/chem dust	4
hazardous solvents	severe dangers to health & air	eg. acetone, ketones, benzenes	5

Aspects in China (7 factories)	contingent effects	notes	problem sites (no.)
contaminated land	contaminated groundwaters	near swamp/streams/rivers	2
badly polluted rivers	dead/devastated rivers	high BoD/CoD/Nitrogens/solids	5
foul and industrial effluent to river	river contamination	high BoD/CoD/Nitrogens/solids	4
foul and industrial effluent to sewer	sewage contamination	high BoD/CoD/Nitrogens	2
major toxic oil storage – high risk	near drains/soil	bunded but not safe	3
toxic oils to ground (significant)	ground/water contamination	chloro-parafins	4
toxic chemicals to factory air	severe dangers to health	eg: MEK/chemical dust	3
hazardous solvents	severe dangers to health & air	eg. acetone, ketones, benzenes	7

Table 4.   Gap analysis by factory for Question 6 (waste and scrap are under control)

(Chinese factories in italics)

factory	manager's core perception scores	rbm	gaps
A	6 & 10 (2 groups)	7	1 & 3
B	8 – 10 (range)	5	3 - 5
C	8 & 10	6	2 & 4
D	5 & 8 & 10	6	1 & 2 & 4
E	8 & 10	7	1 & 3
F	7	6	1
G	8 & 9 & 10	5	3 & 4 & 5
P	9 – 10	9	0 - 1
Q	9 – 10	5	4 - 5
R	9 – 10	9	0 - 1
S	8 – 10	5	3 - 5
T	9 - 10	2	7 - 8

Tables 5 .   Likely reasons for inadequate action on serious environmental outrages

Contingent effects - Poland	notes	most likely reasons for inadequate action
contaminated groundwaters	high water tables	low belief, knowledge and finance
contaminated well water	deep levels	low belief, knowledge and finance
river contamination/pollution	high BoD/CoD/Nitrogens	no stimulus for improvement beyond limits
sewage contamination	high BoD/CoD/Nitrogens	no stimulus for improvement beyond limits
near drains/ground	bunded but not safe	low belief , knowledge & finance
ground/water contamination	chloro-parafins	low belief , knowledge & finance
severe dangers to health	eg: kresols/oil vapours /chemical dust	low belief/appreciation of the risk/dangers
severe dangers to health & air	eg. acetone, ketones, benzenes	low belief /appreciation of the risk/dangers

Contingent effects - China	notes	most likely reasons for inadequate action
contaminated groundwaters	near swamp/streams/rivers	not considered a problem in the China context
dead/devastated rivers	high BoD/CoD/Nitrogens/SS's	not considered a problem in the China context
river contamination	high BoD/CoD/Nitrogens/SS's	no stimulus for improvement beyond limits
sewage contamination	high BoD/CoD/Nitrogens	no stimulus for improvement beyond limits
near drains/soil	bunded but not safe	low belief (in the problem), and knowledge
ground/water contamination	chloro-parafins	low belief (in the problem), and knowledge
severe dangers to health	eg: ketones/chemical dust	low belief/appreciation of the risk/dangers
severe dangers to air/health	eg. acetone, ketones, benzenes	low belief appreciation of the risk/dangers

Table 6.   waste arisings and disposal pathways

category	type	pathway
effluent waste	common sewage	to river or to town authority
	chemically contaminated sewage	to river or to town authority
	chemically contaminated rainwater	to river or to town authority
	kitchen waste: oils and vegetables	to river or to town authority
hazardous waste	oils, solvents and chemicals	mainly to recovery, some to landfill
	oil, solvent and chemical containers	returned to sender or to (hazardous) other use
	oil, solvent and chemical absorbents	landfill
	contaminated soils and clothing	landfill
	particulate heavy and other metals	recovery and sale
non-hazardous waste	plastics	granulation and re-use or sold for other use
	metals	sale for recovery or other use

Table 7. Waste arisings and risk to the environment

stored waste item	typical locations	spillage risk	effect
chloro-parafins	near drains, gulleys, on bare soils	high	contaminated soils, polluted rivers and ground waters
toxic oils	near drains, gulleys, on bare soils	high	as above
acids: sulphuric borofluoric	glass containers over bare soils plastic containers on bare concrete	very high moderate	contaminated soils, ground waters. pollution to drains/surface waters.
contaminated emulsions	near drains, gulleys, on bare soils	high	as above
kresols/ketones/solvents (toxic)	near drains, gulleys, on concrete	high	contaminated soils, polluted rivers and ground waters
empty paint/solvent cans	in cages on concrete	moderate	polluted rivers and ground waters
lead and tin	in cages on concrete	low	contaminated soil
plastics	in cages on concrete	low	minimal

Table 8.   Environmental degradation at each factory – water and ground

factories (China)	industry type	effluent waste	ground & g.waters		factories (Poland)	industry type	effluent waste	ground & g.waters
A	medium	to river	probably contaminated		**P**	heavy	to river	light contamination
B	heavy	to sewer	light contamination		**Q**	heavy	to river	contaminated
C	light	to river			**R**	heavy	to sewer	contaminated
D	heavy	river & sewer	light contamination		**S**	heavy	to sewer	probably uncontaminated
E	heavy	river & sewer	light contamination		**T**	heavy	to stream	contaminated
F	heavy & light	river & sewer	light contamination					
G	heavy	collected	light contamination					

Table 9. Question 13 and site characteristics affecting groundwaters – perceptions and reality(Chinese factories in italics)

fact	site characteristics giving risks affecting groundwaters	Managers' core scores	rbm	gap
A	much open ground, chemical/oil, effluent to river bank and river, permeable soil	8/10	0	8-10
B	mostly concrete, significant permeable bare soil (possible waste oil spills)	8/10	0	8-10
C	mostly concrete, some minor risk to groundwaters from river underflow	8/10	9	1-2
D	mostly concrete, some risk to groundwaters from river underflow; kitchen effluent	6/8	0	6-8
E	mostly concrete, significant permeable bare soil (probable waste oil spills)	8	0	8
F	significant semi-permeable bare soil (probable oil spills), oily effluent to stream bank	8/9	0	8-9
G	mostly concrete, oily effluent to stream.	6/10	0	6-10
R	major bare permeable soil, oil spills, leaking sewage pipes (ammonium in well water)	5/8/10	5	0-5
P	significant badly contaminated bare soil, damage already done; sewage contaminants	4/5/6	6	0-2
Q	significant badly contaminated bare soil, damage already done; bad spills still abound	6/8/10	0	6-10
S	mostly concrete, few spills, permeable soil	5/6/8/10	0	5-10
T	significant badly contaminated bare soil, damage already done; bad spills still abound	7/8	0	7-8

Table 10.   ISO14001 and pollution and waste
(*same environmentalist)

factories	*A*	*F*	*B*	*C*	*D*	*E*	*G*	P	Q	R	S	T
14001 certification	N	N	Y	Y	N	Y	N	Y	Y	Y	Y	Y
environmental knowledge	poor	poor	poor	poor	poor	poor	poor	poor*	poor*	poor*	poor	aver
process waste control	poor	poor	aver	good	poor	poor	poor	good	poor	good	poor	poor
other waste control	aver	poor	aver	aver	bad	poor	poor	good	aver	good	aver	aver

Figure 1.   Perception pattern differences between groundwaters risk and communication

A Research of Strategies of

Developing Ecological Residence in China

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Abstract

Ecological residence is the direction of residence development in 21st century; it is the final choice of people when their living standard becomes high enough. Ecological Residence pursues high harmony and unification among nature, buildings and human, and improves the ecological environment and living quality of human. This article analyzes the problems in developing ecological residence in China, and states the strategies in the aspects of national policy, construction planning and marketing to promote the development of ecological residence in China.

Keywords: Ecological residence, Green marketing, Construction planning

With the development of residence construction, people's demand on residence has changed from inhabitable to comfortable, ecological and leisurely. Ecological residence has become a new kind of residential product that is becoming more and more popular in the market. Ecological residence is the living space that does no harm to the health and safety of the dwellers; it is based on the ecological and architectural principle, it makes full use of the natural resources and doesn't affect the basic ecological balance, so it can realize virtuous circulation itself (Jin, 2006).

1. The problems in the development of ecological residence in China

Although ecological residence is becoming more and more popular in China, there are a lot of problems that should be solved in the development of ecological residence.

1.1 People are indifferent to ecological residence

Most residents don't know about the concept and connotation of ecological residence. When they are asked about the difference between ecological residence and general residence, most of them think that the one has larger virescence area and nice ambiance is ecological residence. When buying house, most people mainly think about the factors that have close relationship with their own life, but care nothing about the factors that have little relationship with them, such as environment protection, energy saving. It can be seen that most people know little about the content and standard of ecological residence, they don't know the real connotation of ecological residence, but just has a blurry concept that there is larger virescence in ecological residence (Hu, 2005).

1.2 The government's supervision on the development of ecological residence is not well carried out

Relating departments of Chinese government has established standard to evaluate ecological residence, and has taken some measures to promote the development of ecological residence, but the system for the design of ecological residence in real estate market is not standardized, the government's supervision is not strengthened, there are some rough-manufactured residences in the ecological residence market, which influence people's cognition about ecological residence. In addition, government has not established supporting policy in the aspect of making a price. Hence, the technology of ecological residence is not perfect, many newly developed ecological residence cost much, and the price is too high.

1.3 Support from financial market is weak

Capital and land are two most important factors in the development of real estate. The real estate developers have low proportion of owned capital, so they depend on the capital of financial institution to a great extent. The study on the new material and new energy will not only make the cost become higher, but also bring risks, so financial institute will pay more attention to the risk analysis about the financing of ecological residence developer, and accordingly put forward higher demand on financing to avoid financial risk. Besides, the financing channel is narrow now in China, fund trust for real estate started not long ago, money market should make much more effort in promoting the development of ecological residence.

1.4 The developers are eager for quick success and instant benefit

The market of ecological residence is not perfect now, many house buyers know little about ecological residence. Many

real estate developers publicize their houses in the name of ecological residence, as a matter of fact, the real estate developers just are interested in the brand of ecological residence, and they pay little attention to the improvement of the performance of residence, such as strengthening the heat preservation, improving the aeration and adopting more efficient energy system. So the development of ecological residence is hampered to a certain extent.

1.5 Property management doesn't match the ecological residence

Ecological residence attaches importance to the development and utilization of renewable resources, the recycle of resources, and the utilization of high-tech, green and environment-protecting materials. The present situation makes it difficult to realize the objectives mentioned above, for example, the heat supply manner and the charge standard of Chinese ecological residence didn't change; it is difficult to realize household heat metering, users cannot adjust the amount of heat, temperature of house will be too high because of the high-quality heat preservation material, people have no choice but open the window to lower the temperature, in that way, the cost of residence is not reduced at all. Owing to the poor property management, the high price of ecological residence can not be compensated by lowering the use cost; accordingly the development of ecological residence is restricted.

2. Strategies to develop ecological residence in China

2.1 National policy

The positive guidance of national policy on real estate and the improvement of relating policy and law and regulations will play critical role in the development of ecological residence. In order to realize long-term development of ecological residence, government should establish laws and regulations to control and normalize the development of ecological residence; meanwhile, government should support and regulate ecological residence through macro-policy, give attention to the interests of real estate developers and consumers, so as to directly promote the development of ecological residence.

Firstly, government should publicize the new concept of ecological residence to the consumers; make people realize the importance of protecting the ecological environment, and advocate nature, health and austerity. Technological standards about ecological home community should be established, each item should be measurable, and so it will be easier to be carried out. Secondly, government should strengthen macro-control to regulate the real estate market, establish policy that is propitious to the development of ecological residence, normalize the real estate market, accelerate the diversification of development model of ecological residence, and ensure the normal running of every steps of ecological residence development. Finally, government should strengthen supervision on the administration of law, system and standard, and bring the trade self-discipline thoroughly into play.

2.2 Construction planning

Ecological residence adopted large amount of new technology and new material, which will increase the cost of civil engineering works, and make ecological residence become the patent of the rich. Thus, the development of ecological home community is restricted to a great extent. Ecological residence should mainly uses normal technology and material (Miao, 2005), together with the planning, design and construction, controls the cost of ecological residence when designing the engineering, so as to realize the development object of ecological residence.

The construction of ecological residence should adhere to the principle of adjusting measures to local conditions; residence development should have local characteristics, ecological residence of different levels should be constructed in urban and rural areas, ecological residence should be integrated into local resources, the special resource and environment should be used thoroughly.

Firstly, in the urban area, land use planning for construction of urban ecological home community should accord with the demand of urban development, and adhere to the principle of unified planning, rational layout, consideration of local conditions and comprehensive development. The concept of ecological city should be introduced into urban development, the nature, climate and ecological resource condition should be analyzed objectively, the ecological resources, such as vegetation, water area and marsh should be used thoroughly. The region and model of ecological home community should be guided and planned well so as to develop a model of ecological residence that has local natural resource characteristics. Ecological residence pays less attention to the specific form of residence; it can be SOHO, town house, waterscape house or affordable housing.

With the improvement of people's affordability and people's concern about ecological residence, top grade ecological home community will be the development trend of ecological residence development. Urban residents pay more attention to the integration of house and environment, saving of available energy, application of environment protecting material and the comfort of residence. Real estate developer can take advantage of environmental characteristic of city and construct medial and high-rise buildings in the city zone with high residential density, while construct villas that is similar to town house in the suburban area. Ecological residence should be constructed considering local conditions.

Ecological residence has potential in the aspect of affordable housing. Ecological residence will not be successful unless

the prevailing people can afford it, to achieve this aim, government should put forward policy to guide the development of ecological residence. When developing ecological residence, real estate developer should pay attention to the long-term benefit of residence, but shouldn't just care about the present benefit. Generally speaking, as long as the investment in ecological aspect doesn't exceed 5% of the total cost of building, the ecological investment will be returned in the future five to ten years. In addition, many ecological objectives don't need extra investment, they can be realized in the design and planning of building. For example, staggered layout of monomer house will improve the aeration of room; less lawn and more arbors will improve ecological effect and reduce maintaining expense; keeping space below the flagstone in sloping housetop will not only bring airflow but also keep cool in summer and save electricity used by air conditioning. The realization of long-term economic benefit, ecological benefit and social benefit is the development trend of economic ecological home community. Government should strengthen supervision in the reform of affordable housing. The residence should be economical and ecological, and this is the real development trend of ecological residence.

Secondly, when constructing ecological residence in the village and small town, the great difference between urban area and suburban area should be considered, the residential density of village and small town is low, available space is large, and the climate is good. So the ecological residence in rural area should depend on the application of normal technology and material to improve the performance of house, such as constructing sloping roof, setting up flat-plat solar collectors, firing air bricks that will keep warm and save energy, using plastic steel window that will reduce heat dissipation. The advantage of rural area is that firedamp can be used, firedamp is a renewable resource that can be used in cooking, generating electricity and natural fertilizer. Much water resource is wasted in rural area; circular water treatment in ecological residence will increase water resource utilization efficiency. The ecological residence that covers relatively small area and saves resources should be popularized in the villages and small towns.

2.3 Marketing strategy

When ecological residence is well constructed, it should be sold well in the housing market. So the marketing is one of the most important aspects in the development of ecological residence.

Firstly, green marketing of real estate should be carried out. In the green marketing, real estate enterprise introduces green ecological concept into the business activity in order to realize the coordinated development of real estate and environment (Song and Liang, 2005). Green marketing of real estate includes not only the construction of exterior space (green land, square, woods, road and architecture), but also the construction of interior space (direction, arrangement, aeration, lighting, wet and dry situation). Green marketing will cost much, but it is an effective way to make enterprise succeed in the furious competition. In addition, green marketing will impress the consumers; it will improve the image of enterprise, and will be the invisible fortune for the construction of enterprise's brand.

Secondly, the quality of ecological residence should be ensured. Real estate developer should improve the quality of product and use appropriate green marketing to sell the products, so as to enhance the competitive ability of product. Product is the basis of marketing, real estate developer should firstly improve the quality, service and function of residence, thoroughly improve the quality of product, and then it will build up a nice brand in consumer's mind and establish consumer's brand loyalty, things mentioned above will provide conditions for the development and selling of products.

Thirdly, ecological residence should be priced reasonably. Price is the most sensitive and most important factor in the 4P combination (product, price, promotion and place) of green marketing of real estate enterprise. Price influences the market share and earning ratio of enterprise in ecological residence market, the pricing of ecological residence is the crucial factor to influence the real estate enterprise to get economic benefit and social benefit. The strategies to price the ecological residence are as follows: choose pricing strategy according to the characteristic of ecological residence, choose pricing strategy according to the customer and choose pricing strategy according to buyer's cognition about ecological residence (Liu, 2005).

At present, the ecological residence market is not perfect, real estate developers construct the residence with large amount of high-tech products, so the cost is increased and the selling price of ecological residence is high. In the long run, the price of ecological residence should be priced together by government and real estate developer. Government should strengthen supervision and establish some beneficial measure to make the price of ecological residence be reasonable, in that way, more real estate developers would like to develop ecological residence and get profit from it.

Fourthly, expand the marketing channel of ecological residence. The marketing of ecological residence should not only use the traditional marketing methods, such as direct sale promotion and agency by agreement, but also exploit new marketing channels to increase sales volume. Internet marketing is the product of information age and electronic business affair; it can also be applied in the real estate market. The bidirectional communication through internet will break the regional restriction, large amount of information that covers every aspect will be spread to every corner of the world, the content of marketing will be detailed and lively with both langue and picture, it can display the exterior shape

and interior structure of product from every angle, thus it is convenient for buyers to choose the product they like. With the further development of electronic business affair, marketing through internet will be a marketing strategy with large potential and development space in the real estate market.

In addition, consumers should be provided with professional comprehensive evaluation on residential environment and consultation, and be guided to choose health and comfortable ecological residence; scientific research institute and design institute should cooperate with the local government and department that is responsible for the construction, take part in the design and construction of ecological residence and the establishment and implementation of technological standards, all of these will promote the ecological development of Chinese residential industry.

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The Impact of Cultural Transfer on

Cross-cultural Communication

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Abstract

The core of cross-cultural communication is to improve the cross-cultural communicative competence of English learners. Cultural transfer of first language is the most influential element on cross-cultural communication. This paper mainly discusses the impact of cultural transfer on cross-cultural communication, and practical and effective methodology to improve the cross-cultural communication and to do research on this subject.

Keywords: Cross-cultural communication, Cultural transfer, Communicative competence

1. Cross-cultural Communication

Cross-culture communication is a subject which concerns many other subjects. As an independent academic subject, the history of cross-cultural communication is not so long, but as a social phenomenon, its history is as long as the human history and it can be dated from the era of tribes. In modern society, we all take the book of Hall, The Silent Language, as the beginning of cross-cultural communication. And from then on, anthropology, sociology, psychology and linguistics started to do research on cross-cultural communication and gave their own idea on it. So the study on cross-cultural communication became more and more popular.

As for the concept of cross-cultural communication, there are kinds of opinions. We define cross-cultural communication as a subject which focuses on the communicative activities of people from different cultural background and the essence and rules of the communicative activities (Jia, 1997, 563). And we must understand that "cross-cultural" not only means the communication of different countries, but also the communication of people from different nations, different social status and so on.

Cross-cultural communication became mature with the depth of the study, and in 1970s, some scholars give the concept of cross-cultural communicative competence on the base of cross-cultural communication, so we can regard cross-cultural communicative competence as the practical usage of the cross-cultural communication theory.

1.1 Origin and Concept of Cross-cultural Communicative Competence

When referring to the origin of cross-cultural communicative competence, we should mention Chomsky and Hymes because they two first raised the concept of "competence". In 1965, Chomsky gave a detailed and strict distinction of two important concepts—competence and performance. He believed that competence indicates the speaker's and the listener's internalized linguistic knowledge, so the practical usage of language doesn't interfere. While performance means the practical usage of language in a specific situation or indicates everybody's practical usage of language in a unique linguistic "society". He also pointed out that linguistic theory must firstly focus on the speaker and listener in a homogeneous linguistic "society". So obviously, Chomsky paid more attention to "competence", but not the language itself.

And Hymes believed the "competence" Chomsky mentioned was only the linguistic competence which cannot include all the practical usage of language in a unique linguistic "society". And in his opinion, he took linguistic competence as a part of communicative competence. So communicative competence can not only give the person the ability to learn a language but also provide him the capability to use the language properly in the society. He also gave four parameters on communicative competence—degree of possibility, feasibility, appropriateness and performance.

After the appearance of communicative competence, more and more scholars did research on it, and at last gave a clear and detailed concept to it. In 1970s', scholars believed that communicative competence includes linguistic competence, social linguistic competence, and pragmatic competence. The core of their theory is the acclimation to the society which decides the use of the language (Hymes, 1971, 23). But when we survey it from the perspective of cross-cultural communication, we can find the theory is insufficient: first, though it concerned about the rules of society objectively, it didn't mention the purpose of the communicators; second, the content of communicative competence must go deeper

and boarder or it can not show the dynamic development of cross-cultural communication. So according to the opinions of Spitzberg (1994), cross-cultural communicative competence must indicate: "the competence which follows the acclimation rules to the society and meanwhile achieve the purpose of the cross-cultural communication."(Spitzberg, 1994, 129)

1.2 The System of Cross-cultural Communicative Competence

Broadly speaking, cross-cultural communicative competence can be generalized into three levels: (Pan, 1996, 7)

System of Communication Competence Basics: This system mainly indicates the communicative competence which an individual must occupy and must be related to the social rules, such as language and gestures, social linguistic competence and acclimation rules, relevant communicative knowledge, motivates of the communication, method to recognize and social cultural knowledge.

Episodic Competence Communicative System: It means the individual has the competence to give a brand new reflection in a specific scene or a specific communicative snippet. This system includes these two variables: first, to show higher communicative status; second, to fulfill the expectation of others in order to get a higher evaluation.

Relational Competence System: The core of this system is the quality of the communication. And the relational quality is the specific symbol of the effectiveness of the communication: first, the communicators must be both "free" and "intimate"; second, similarities of the cultures must be the very hypothesis, and meanwhile the differences of the cultures must be sacrificed a little; third, communicating the sensibility; fourth, use acclimation instead of egotism.

In this communicative competence system, it is easy to see the four parameters in the system, and this system is the basis for people to discuss the impact of cultural transfer on cross-cultural communication, especially cross-cultural communicative competence.

2. Cultural Transfer

Under the trend of globalization, culture is becoming a "melting pot", so the purpose for English learners to study a language is to communicate with others freely and correctly. A successful communication not only requires you a good mastery of foreign language, but also the knowledge of the differences of different cultures and the practice of the knowledge. Therefore, the corresponding culture of language is what the learners should learn if they want to study a language. Next, we will discuss culture transfer which plays an important role in both the foreign language study and the language itself.

2.1 Concept and Development of Cultural Transfer Theory

Culture transfer is the cultural interference caused by cultural difference. Generally speaking, it means that in culture communication, people use their own culture rules and value to guide their words and deeds, even thoughts, and they also use these as standards to judge the words and deeds of others.

To analyze the forms and essence of cultural transfer, researchers should first define and classify culture. Culture contains the things people learn in their whole life, including languages, deeds, faith and the martial and spiritual base for living. The big concept of culture can be divided into three levels (Hu, 1997. 35): the first level is the material culture altered and processed by people's subjective thoughts; the second level is the systematic culture including the political and economic systems, legal and artistic works and the deeds and habits of people; the third level is the psychological level which contains the life value, thought pattern, moral standard, religious feeling and so on. Though this classification is not specific and clear enough, it can show the essence of cultural transfer.

According to the classification, culture transfer can be described as two kinds: surface-structure transfer and deep-structure transfer. The first and second culture levels belong to the surface-structure transfer, so if people care a little, they can find the differences of cultures in these aspects. The deep-structure transfer indicates the transfer of the culture in the third cultural level, and since it's the psychological elements, it is difficult to feel.

You may ask why cultural transfer is the biggest barrier in cross-cultural communication. This is mainly because the national culture is so impressed in the deep heart of people in that nation. Ever since they were born, they had received the national cultural influence, and no matter what they did, they were guided by the national culture. And people all take their own culture as the center, so they believe that only doing things as people around do is correct, or the action will be wrong and unacceptable. This opinion can help national union on one hand, but on the other hand, it will cause misunderstandings in cross-cultural communication.

There are a lot of research on cultural transfer and the relationship between culture and foreign language learning. In 1940s', the American linguists C.C.Feris (1945) and Robert Lado (1957) advocated paying more attention to culture in the teaching of foreign language and they asked the learners to understand the cultural differences and do cultural comparison. Moreover, Social linguists also gave some information about cultural transfer. For example, British linguist, Jenny Thomas, did a successful research on the interference of cultural difference on the cross-cultural communication.

She divided the failure in the cross-cultural communication into two kinds (Thomas, 1983, 3): pragmalinguistic failure and sociopragmatic failure. Correspondingly, pragmalinguistic failure is the surface-structure transfer, and sociopragmatic failure is the deep-structure transfer. From this we know that cultural transfer must play an important role in cross-cultural communication, and actually, Thomas' theory is the theoretical frame of cultural transfer and we can discuss the impact of cultural transfer on cross-cultural communication from the perspectives of surface-structure transfer and deep-structure transfer.

2.2 The Form of Cultural Transfer

Scholars of both linguistics and sociology did a lot of research on cultural transfer. Generally speaking they divided cultural transfer into two forms—surface-structure transfer and deep-structure transfer.

2.2.1 Surface-structure Transfer

The research on surface-structure transfer includes two parts: first, research on the culture of language forms; then, research on communicative matter and linguistic words and deeds.

Research on the culture of language forms mainly discusses the culture of vocabulary which can be classified into five parts.

a. There are no corresponding words in another language. For example, "Chun Jie" in Chinese, though it can be translated into "the Spring Festival", also needs explanation or people from western world cannot understand it.

b. The words have very strong historical or social implication, such as the meaning of "cowboy" to American.

c. Idioms. Because these expressions came from the ancient legends, religion or historical stories, they are the most difficult to understand.

d. Adages and proverbs. They are popular in the common people or said by some famous men.

e. Formulae and euphemisms. These expressions are different in different societies.

The five aspects do exist in real life. In fact learners use the vocabulary unconsciously, and this action can be regarded as an instinct. And at the same time, their knowledge of the English vocabulary is limited and the practice of the vocabulary is also not enough. As a result, the transfer of the first language vocabulary to the foreign language vocabulary is unavoidable for most learners.

In Lado's theory, at least three instances can bring cultural transfer (Ridge, 1957, 276): same meaning, different form; different meaning, same form; same meaning, same form, but different distribution. No matter in which case, the only way to avoid misunderstanding in cross-cultural communication is to do comparison between different cultures, and try to know the connotation of the word according to the corresponding culture.

As for research on communicative matter and linguistic words and deeds, we know that any communication is combined with the natural, social and cultural environment, so research on the cultural background can help learners understand the differences between communication rules and language rules in other nations.

For example, a Chinese employee (training manager) in a foreign company introduced the American speaker in the Chinese way when the training would start like this: "Now, let's welcome Mr. Smith to give us an excellent and enlightening speech." That is an introduction to a VIP in Chinese people's opinions, but this American was not happy, and it seemed that he was a little angry, because the American's understanding of this sentence was just to the opposite: he felt that the host was not confident of him and tried to encourage him to show all his abilities. Obviously, that misunderstanding is caused by the cultural differences of the linguistic deeds.

Austin (1962) and Searle (1969) gave the Speech Acts Theory, which can explain the phenomenon of cultural transfer. They distinguished three kinds of languages (Searle, 1969, 56): locutionary act, illocutionary act and perlocutionary act. The key point is the illocutionary act, because the same sentence from different culture can bring different illocutionary act, as the analysis of the former example – the same sentence from the Chinese brings the misunderstanding in cross-cultural communication only because he is facing a person from a different culture.

2.2.2 Deep-structure Transfer

The deep-structure transfer is on the psychological level, so the impact of the life values and thought patterns are not clear in a specific dialogue except for the speakers are all very familiar with these two cultures. It is why there is misunderstanding in the communication but the speakers are still confused. And moreover, this is caused by the long-term habits and thoughts, it is difficult to overcome.

Chinese would like to express things in a circumbendibus way and let others guess the implication, while American prefers speaking things directly. For example,

Mr. Smith: It looks like we are going to have kept the production line running on Saturday.

Mr. Wu: I see.

Mr. Smith: Can you come in on Saturday?

Mr. Wu: Yes. I think so.

Mr. Smith: That'll be a great help.

Mr. Wu: Saturday is a special day, did you know?

Mr. Smith: How do you mean?

Mr. Wu: It's my son's birthday.

Mr. Smith: How nice. I hope you all enjoy it very much.

Mr. Wu: Thank you. I appreciate your understanding.

In this dialogue, Mr. Wu's English is perfect, but his communication is a failure. He didn't want to work on Saturday, but he also didn't want to refuse directly, so he told his American boss in a circumbendibus way, but his boss cannot understand him because of the differences in the way of communication and thought pattern.

This example can show that deep-structure transfer exists commonly in communication, and that's why some people cannot communicate properly though they have a good mastery of English.

From the sample, we know that even some sophisticated English users cannot communicate properly and successfully, let alone the beginners. Why? The answer can be found in Dilin Liu's three hypotheses (Liu, 1995, 143):

First, even though people learn English and contact with the corresponding culture for a long time, the cultural transfer will still continue.

Then, even though the English learners know the surface-structure differences of the mother language culture and target language culture, it doesn't mean that they also know the deep-structure cultural transfer.

Finally, even knowing the cultural difference doesn't mean that English learners can avoid or abandon the mother language cultural transfer subconsciously.

These three hypotheses are proved to be true through observation and questionnaire. In other words, cultural transfer has a deep impact on the English learners and moreover, it is difficult to abandon it. So it reminds English learners especially the senior English learners of the importance of cultural difference.

3. The Impact of Cultural Transfer

3.1 The Impact of Cultural Transfer

From the analysis of surface-structure transfer and deep-structure transfer, we can feel the impact of cultural transfer on cross-cultural communication, but what the specific impact is like? Next we will generalize the impact as follows:

Cultural transfer forms the base to cross-cultural communication because it beings the difference of cultures. As we know, traditional cross-cultural communication mainly concerns about the cultural differences which is the core of cultural transfer. Scholars tried to find ways to reduce cross-cultural misunderstanding. If there were no cultural differences, there wouldn't be cross-cultural communication.

Cultural transfer is the motive of cultural diversity, which can enhance the development of culture, so it supplies new material for the research of cross-cultural communication continually. We all know that cultural differences are caused by cultural transfer, and actually cultural differences are the main content of cultural diversity. The basic content of cross-cultural communication is the diversity of cultural, so if we ignore cultural transfer, we won't find the essence of communicative acts.

Cultural transfer supplies the possibility to talk about the commonness of culture, which gives a new perspective in the research of cross-cultural communication. Then the research on the communicative acts can be more and more significant.

Both surface-structure transfer and deep-structure transfer are the main causes of cultural misunderstanding, so they show the essences more clearly, which is good for us to find out the ways to solve the problems radically. As we know, cultural transfer theory shows the reasons of communicative misunderstanding psychologically, so if we put this theory into our research on cross-cultural communication, we can solve the problem effectively.

These impacts contain nearly all the aspects of cross-cultural communication, and through the theory of surface-structure transfer and deep-structure transfer, we can see them more clearly and in the future study, we should try to avoid the impact of cultural transfer.

3.2 The Methodology

As talked before, the core of cross-cultural communication is the improvement of cross-cultural communicative

competence (Hu, 1994, 893). As we know, cultural transfer is the main cause of cross-cultural misunderstanding. So specifically, we will give learners a methodology to avoid the failure in cross-culture communication and try to improve the communicative competence.

Trying to get familiar with the foreign culture is the first step. This step is mainly about cultivating the system of communication competence and trying to avoid the surface-structure transfer. It gives the basic competence to go into cross-cultural communication, and mainly concerns about some easy knowledge. At this level, the very job is to read about books on foreign culture including the higher culture, popular culture and deep culture.

Trying to understand the value of foreign culture is the second step. This step is on the episodic competence communicative system because you must know the differences of values, then you can give a corresponding answer. Meanwhile, it also tries to avoid the surface-structure transfer because it is the process for you to understand the values but not accept the values. It is easy for us to get the knowledge of foreign culture, but understanding it can take you more time.

Trying to compare cultural differences and use the knowledge to avoid misunderstandings spontaneously and suitably is the final level. At this level, you can master the relational competence system and avoid deep-structure transfer. In this process, the learners not only know the culture, understand the culture, but also give their opinions so that they can do cross-cultural communication freely and correctly. After this step, the learners have a good mastery of both language and culture, so their communicative competence can supply them a better performance in the cross-cultural communication.

4. Conclusion

Through the analysis of cross-cultural communication, communicative competence and the impact of cultural transfer on cross-cultural communication, we can forecast that cross-cultural communication will help us a lot when dealing with the cultural differences and cultural conflicts. The final purpose of this subject is to cut the misunderstandings and confusions caused by cultural differences.

Any academic theory must develop on the base of speculation, but the only purpose is to guide the practical activity of human beings. This paper mainly introduces cross-cultural communication and cultural transfer theory, and gives some suggestions for the practical life. If learners can understand the impact of cross-cultural communication, it will not be difficult to put the methodology into practice.

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Palestine, the Caliph and Gandhi:

A Non-violent Jihad

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Abstract

Mahatma Gandhi (1869-1948) is known for his political work in India and his weapon of non-violence. The demand for Indian independence dates from 1920 and springs from two coincidental causes: the agitation against the Rowlatt Act in India in 1918 and the fight to safeguard the temporal power of the Ottoman Sultan in Palestine at the end of World War 1. Gandhi was then involved in a non-violent *jihad* on behalf of the Ottoman Caliph to maintain Muslim rule over Palestine from 1918 to 1924.   The movement became known as 'non-cooperation' and soon evolved into the first all-India *satyagraha* campaign for the independence of India. The campaign failed, the Caliphate collapsed, Gandhi's first incursion into the affairs of Palestine ended, but the non-violent *jihad* and its development raised Gandhi from a relative non-entity in Indian politics to the status of the most powerful personality in his country, second only to the Viceroy in India.

Keywords: Satyagraha, Non-violence, Jihad, India, Middle East, Jew, Arab, Hindu

1. Introduction

Palestine proved to be the unlikely platform on which Mahatma Gandhi was to build his political power in India itself. He had returned from South Africa in 1915, keen to test his new political weapon, *satyagraha* or non-violence. Palestine was then in its last Ottoman days: an underdeveloped and neglected *vilayet* (administrative unit) of the Ottoman Empire.

The defeat of Turkey, an ally of Germany in World War I, called into question the Sultan's authority as Caliph, that is, custodian of lands in the Middle East sacred to all Muslims. The Caliph's devotees in India rushed to the defence of the Caliphate. Gandhi, prizing Hindu-Muslim unity, became the leader of their *jihad*. Having thus established himself as champion of the Indian Muslims he then rallied Hindu support for the Muslim cause - an extraordinary feat that propelled him to the top of political power in 1920.

Palestine had provided the base from which he went on to demand independence for India. It had cemented Hindu-Muslim solidarity, at least until the Turks themselves abolished the Caliphate in 1924.

2. Paradoxes

2.1 First paradox

It is a striking paradox that, in 1918, Gandhi, a Hindu, should take upon himself the leadership of a Muslim cause, that of preserving the *status quo ante bellum* in Palestine. (Note 1)

The defeat of Turkey and the collapse of the Ottoman Empire had led to the redrawing of the political map – no simple matter.   Seventy million Indian Muslims followed their leaders into believing that Islam was in danger, because the peace terms might deprive the Turkish Caliph in Constantinople of his temporal power over the *Jazirat-ul-Arab*, the 'Island of Arabia' which included Palestine. Gandhi offered his help to prevent the "religious calamity that has overtaken" his Indian brothers. (Note 2) He was soon promoted as the Muslims' leader for the fight to come. In 1919 Gandhi became the defender of the Faith.

2.2 Second paradox

There was in fact an additional paradox. The Sultan's cause was being more actively pursued, under Gandhi's leadership, in India, than by the indigenous populations of the Middle East.

The Caliphate and the Sultanate rested in one and same person. On the one hand, the Turkish Sultan ruled over his Ottoman Empire. The end of his rule in the Middle East was greeted with relief or resignation, and in Arabia with rebellion.

On the other hand, as the Caliph, the Sultan had the allegiance of Muslim Indians. As such, he was acknowledged not only as the spiritual but also as the temporal power over what is known as the *Jazirat-ul-Arab*. The 'Island of Arabia' extended as far as Iraq and Syria, and consequently Jerusalem, the third holiest place of pilgrimage after Mecca and Medina. Waters, so to say, encircled the Island: flowing waters from the Black Sea to the Agean Sea, the Mediterranean Sea, the Red Sea, the Gulf of Aden, the Arabian Sea, the Persian Gulf, and the great Tiger and Euphrates rivers – or even the Caspian Sea. Indian Muslims, religiously and passionately concerned about the Caliphate, refused to accept the loss of temporal power over the holy shrines. Known as *Khilafatists*, the activists pursued their fight, up to 1924, when the Caliphate was abolished and Turkey became a secular Republic under the rule of Ataturk.

2.3 Third paradox

There is even a third paradox, in that the *jihad* apparently took no account of the Zionist cause and the Balfour Declaration.   Yet the Balfour Declaration of November 1917 envisaged "the establishment in Palestine of a national home for the Jewish people" and promised to use the British Government's "best endeavours to facilitate the achievement of this object". (Note 3)

This statement of policy antedates the start of the Caliphate's agitation for maintaining the Constantinople Caliph's temporal rule on the Holy Land (1918-24). Neither the Indian Muslims nor Gandhi realised at the time that the seed of the State of Israel had been sown in Palestine by the Balfour Declaration. Moreover, Gandhi, though well acquainted with South African Jews, did not seem to be so with Zionist views. The reason may be that his knowledge of Zion was fed more fundamentally by Christian influence, with its emphasis on the celestial Jerusalem. (Note 4)

The Indian Muslims were barking up the wrong tree as they realised some fifteen years later. From December 1919 right up to September 1923 the Indian National Congress had continued to pass pious resolutions in support of Turkey. It was only after Ataturk's abolition of the Caliphate on 3 March 1924 that the Indian National Congress resigned itself to the *fait accompli*. (Note 5)   For instance, at the end of December 1922 at its 37th session at Gaya, the Congress carried a resolution entitled 'Congratulations to the Turks'. This demanded the "effective guardianship of Islam and the *Jazirat-ul-Arab,* freed from all non Muslim control", endorsing thereby the views of the All-India Congress Committee resolution at Calcutta (20-24 November 1922), which had threatened to act: ..."unless the *Jazirat-ul-Arab* are freed from all non Muslim control…" As late as 15 September 1923 at the special Delhi session the Congress expressed its hopes in a resolution entitled 'Turkish victory', interpreting the success of Ataturk "as a sure presage of the removal of all alien control from the *Jazirat-ul-Arab* …"

Congress ceased supporting Turkey only in 1924, but its interest in Palestine was resumed after the Arab rebellion of 1936-1939, and its concern was expressed in renewed resolutions, this time entitled "Palestine", concentrating on the theme of the Arab-Jewish conflict.

Same root, but a different tree, not Turkish this time, but Jewish (See Panter-Brick, 2008).

3. The profile of underdeveloped Ottoman Palestine

3.1 Not yet a nation

Muslim Indians and Gandhi might have been barking up the wrong tree in 1919, but they believed that they were defending their territory, the territory of the Caliph against the same crusader, British colonialism. General Allenby and his troops had conquered Palestine from the Turks and entered Jerusalem in December 1917. This military occupation was to lead to the Mandate of Palestine. Palestine, thus, after World War I, became a focus of Gandhi's political activity and from there one can trace a progression to his demand for Indian independence in 1920. (Note 6)

In the wartime days leading to the demise of the Ottoman Empire and its dismemberment, and in the following decade, what came to be designated as the Mandated territory of Palestine was a forlorn, neglected, derelict province under Turkish rule, a backwater, a country living in relative peace with the outside world and with the different religious communities at home. Jews and Christians had paid their taxes and so, were left to get on with their lives and worship as they wanted. The seed of the Jewish problem was still latent, not yet of any significance. Ottoman rule showed tolerance to infidels.

Jews had been coming in two waves called *alyas,* in the 1880s and shortly before World War I, mainly from Yemen and Russia. Many had settled down, accounting for one in ten of the population, causing no disturbance to local employment or to the subsistence economy. They joined the small number of original Jews, who had survived centuries of persecution and displacement. More wanted to come. Theodor Herzel, who had prophesied at the end of the nineteenth century the State of Israel to incredulous ears, had been negotiating with the Sultan, albeit unsuccessfully, for the settlement of more Jews. But the war made things difficult for them. Many had kept their old nationality. Many were of Russian origin. Now that the Sultan was at war with Russia, they were faced with a difficult choice: asking for Ottoman citizenship on account of their long residence in the Holy Land – and in time of war that choice meant conscription in the Turkish army – or being considered as enemies of the State. (Note 7)

3.2 Feudal society and economics

At the time, Palestine was not a nation. There was no national consciousness as we understand it today, not in an organised way. No political parties. No representation. No recognised leaders. Its boundaries were all too vague. From the Gulf, Palestine stretched east of the river Jordan and north into Syria. Indeed, it was usually considered a part of a vague political entity called Greater Syria. The inhabitants of these regions, estimated to be less than a million, and their lands, were coveted by Arab neighbours. Hussein, the Sharif of Mecca, rebelled against the Turks, for the promise, made to him by the British in 1915, of an independent kingdom – promise which, in his view, included Palestine. Consequently, he made himself king of Syria after the war, but was excluded from ruling also in Palestine by Britain, and he was later ejected even from Syria by the French Mandatory power. The dream of a Greater Syria never materialised. But Hussein's son was given Jordan; Iraq and Lebanon were mandated to Britain and France respectively. Thus the Mandate of Palestine moulded the contours of a new country Palestine.

The social organisation of the country was best described as feudal. The economy, accordingly, had remained stagnant since the Middle Ages: small towns; ancient harbours, as in Roman times, open to the wider world by sea - but there was no Jewish Tel-Aviv yet to compete with Arab Jaffa.   Communications by land were primitive. Caravans passed through. Banking, education, health were mere words. No infrastructure to sustain the economy. No industrial revolution to speak of. Even agriculture, in that propitious climate, was handicapped by the lack of water and irrigation. The Jews were to provide all that – to themselves – as bankers, industrialists, and agriculturalists with new pioneering methods. Jewish settlements brought to the land, what the Cistercian abbeys had done to Europe in the past. The Jews made the desert bloom.

The land belonged to a landed gentry. These landed families controlled the lives of the peasants working their estates. As Zionist funds were used to buy land for Jewish settlements, new ownership sometime entailed the eviction of tenants, whose families had been tending the land for centuries. Because the Jews insisted on giving employment preferably to their own coreligionists, Arab discontent was soon to grow, first in the countryside, then in the towns. This discontent fed and watered the seed of Palestinian nationalism. It was channelled by the large families, which then competed for the leadership of political life. But it took nearly two decades to build up a powerful nationalist party, at the head of a resistance movement, aimed, not only at the Jews but also at the British.

4. The Caliph and Muslim India

4.1 The cry of 'Islam in danger'

Sponsoring – uninvited – less than one million Arabs of Palestine and reminding them – unsuccessfully - of their religious duty, more than seventy   million Muslims in India were expressing distress and anger at the possible loss of control over their sacred shrines. The *Ulemas,* their religious leaders, inspired and inflamed the protests; Indian Muslim politicians voiced the malcontents; the Viceroy was forewarned by his Muslim Counsellors of the rebellion to come, the first since the Mutiny of 1857. His Excellency was told that the Muslims fighting in the Indian Army for British victory in the Middle East were being betrayed, if their meaningful contribution to the war served the dismemberment of Turkey. He was also reminded of the promise of the British Prime Minister, Lloyd George, during the war, not to carve up the stable, if autocratic state, of the Ottoman Empire.

For Indian Muslims, it was "a religious question… Saving the Ottoman Empire thus became synonymous with the saving of Islam, the whole thing boiled down to the issue of the custody of the holy places and keeping the *Jazirat-ul-Arab* free from the influence of non-Muslims." (Note 8) Gandhi summed up the issue in three respects. The first concerned the continuation of the Caliphate and the new boundaries of Turkey. The second considered the future of Mecca and Medina. The third centred on Palestine. The ensuing claim was put in clear and simple terms: that "pre-war status should be restored". (Note 9)

Because the spiritual and temporal rule of the Caliph were linked indissolubly in the minds of Indian Muslims (a situation not unlike that of the Papacy in the fifteenth century), because their spiritual leader was the very Caliph of Turkey, and also because the main unifying force of their different and diverse Muslim communities was religion, the issue became strong and vital, with the unmanly prospect of living under an emasculated Caliph and a dishonoured religion. Hence the cries of *hijrat* and of *jihad.*

4.2 The mobilization of Indian Muslims

Jihad has become a familiar term: not so, *hijrat.* This means the injunction to leave a place committed to evil (*Darul-Harb)* - in this case India under 'satanic' British rule - to escape to the purity of another Islamic country (*Darul-Islam*) - in this case Afghanistan. Truly enough, 18,000 Muslims, obeying the call of their religious local leaders, trekked from Sindh and the North-West Frontier Province to Afghanistan in the month of August 1921. (Note 10) Khan Abdul Ghaffar Khan, later dubbed the 'Frontier Gandhi', was one of them. He reached Kabul. Others were refused entry, because they had no credentials and had to retrace their steps. Many died on the way from exposure, deprivation

and exhaustion. "All told, there is reason to believe that half a million Muslims took the road to Afghanistan", writes H.N. Brailsford. (Note 11)

The *hijrat* proved a tragedy. A locally organised *jihad* on the Malabar Coast proved equally disastrous. In July 1921 the Moplahs had risen in rebellion against the authorities with the objective of establishing a '*khilafat* kingdom'. For good measure they killed their Hindu landlords as well. The rebellion was put down at great cost. The Moplah 'king' was captured in January 1922 and shot; about 50,000 of his followers were either killed and wounded or taken prisoners, court-martialled and shot. (Note 12)

A third alternative was Gandhi's non-cooperation strategy, namely a widespread boycott of Government sponsored activities. He persuaded some key Muslim leaders that the Koran approved of his own interpretation of a non-violent resistance. His lead offered some hope of success, at least the only hope.

4.3 The choice of strategy

Gandhi had to deal with two dedicated '*Khilafatists'*, the Ali Brothers, who accepted non-violence in deeds and in words, but not in thoughts, and only as a temporary measure. That was the extent of their understanding with Gandhi. M.A. Jinnah, who ten years later became the 'Great Leader' of the Indian Muslims, stayed resolutely out of the deal: he did not approve of the unconstitutional means that were the stock in trade of Gandhi's non-violence. However, they all knew of Gandhi's exploits in Transvaal and Natal. They knew of his devotion to Hindu-Muslim unity. They knew of his successes in circumstances where others could not have achieved any. Hence, Mohamed and Shaukat Ali welcomed Gandhi, not simply as a companion, but as their Commander-in-Chief, refraining as best they could from the fiery and inflammatory speeches they were used to making. (There was a notable lapse for which they had to recant). Mahatma Gandhi - as he was now addressed by his followers (Note 13) - embraced them as his 'blood brothers', having fallen in love with them 'at first sight'. (Note 14) Together, in 1919, they tried to save the Caliph, Commander of the Faithful.

Thus, the Caliph could count on the support of dedicated Muslim organisations in India if not elsewhere: the All-India *Jamiat-ul-Ulema,* the Muslim League preferred by Jinnah, the *Khilafatists* led by the Ali Brothers and their *Khilafat* Committees and Conferences. The Aga Khan and some well-known Muslims were also supportive of Turkey in their own way.

Gaining such widespread support had been a considerable achievement. Their endeavours in 1919 up to May 1922, however, were to no avail. The *Khilafatist* delegation to the Viceroy in January 1920 and to London in February 1920 led by Mohamed Ali, achieved nothing. The Muslim hopes now rested with Gandhi's non-cooperation movement.

5. Gandhi's rise to power through the Caliphate issue

5.1 Gandhi's rise to the leadership of Indian Muslims

Gandhi, having secured Muslim approval and following, then sought to bring the Hindus on board. Saad Khairi sums up his position at the time, as a "guide, philosopher and supreme commander (of the Muslims): he was drafting their resolutions; he was corresponding with the Viceroy on their behalf; he was planning and directing their Non-cooperation Movement; and he was negotiating with Hindu leaders to join the Movement. It was indeed as the leader of the Muslims that Gandhi held talks with the Hindus. Until then Gandhi had neither any strong position nor any platform. He was just an individual, respected no doubt, but without any organized support behind him. All his *satyagrahas* up to that time had been as an individual; the Muslims gave him an issue, solid support and a powerful political position." (Note 15)

Gandhi put the issue of the Caliphate in terms of 'duty' to their fellow Indians: actually not a very convincing argument. The British Government kindly came to the rescue. It did so in successive ways. It raised the all-India level of political sensitivity by forcing on the unwilling Indians the anti-terrorist Rowlatt Act in March 1919. Gandhi took the lead in the Rowlatt agitation, whipping up protests and demonstrations, across India. The Government's response was to impose martial law in the Punjab, which had been set aflame by the Rowlatt Act. This led to the massacre near Amritsar of an unarmed gathering in that same month, causing horror and indignation, again India-wide. Finally – a timely master stroke for Gandhi's benefit! – in May 1920, the British Government made known the terms of the Sèvres Treaty depriving Turkey of the holy places of pilgrimage, and in the same month, "whitewashed" the Amritsar tragedy by publishing the unsatisfactory Hunter Report on the Punjab troubles. All Gandhi had to do in June 1920 was to mobilise anti-government feeling, and to tour the country with the Ali Brothers, raising the cry of   '*Khilafat* wrong' to Muslims and   'Punjab wrong' to Hindus, preaching his remedy of non-cooperation, while the Ali Brothers raised the cry of Islam in danger.

Nonetheless, Hindu support for the Caliphate remained hesitant. Gandhi had still to persuade the Indian National Congress, which was marking time, that the preservation of the Ottoman Caliphate was "the question of questions". (Note 16) Spurred by his Muslim allies, Gandhi would not wait. He launched his Campaign of Non-cooperation on 1

August 1920, hoping it would be endorsed by the Congress as a *fait accompli*, in September. This entailed mainly the boycott of law courts, schools, universities, official functions, liquor shops and foreign cloth.

5.2 Gandhi's rise to the leadership of the Indian National Congress

At the Special Session of the Indian National Congress convened for that purpose in September 1920 at Calcutta, Gandhi won the day, but on condition that the decision would be confirmed at the 1920 December full session of the Congress at Nagpur. There, Gandhi convinced most delegates (only one in fourteen were Muslims) to join the fight of the Indian Muslims. He went further, demanding *swaraj,* that is independence, and envisaged it 'within one year'. At his request the Congress constitution was amended to include breaking the law and refusing to pay taxes. Thus the means of achieving independence was changed from 'constitutional means' to 'by all peaceful and legitimate means'. "The Congress had virtually become an extension of the *Khilafat* Committee." (Note 17)

The great poet Tagore commented that the promise of '*swaraj* in one year' made non-cooperation irresistible. In Nagpur Gandhi became Congress and the Congress became Gandhi for years to come. At the next December session at Ahmedabad, he was appointed 'the sole executive authority of the Congress', with the power of nominating his successor. In August 1920 he had launched a policy of non-cooperation with the British establishment. In December 1921 he planned a more aggressive campaign of non-violent civil disobedience. He had, solidly behind him, the support of Muslim India and of Hindu India. The Ali Brothers had been sentenced to two years' imprisonment in October 1921, but the Government seemed too scared to arrest Gandhi, at the apex of his power.

6. The downfall of the Caliph and the undoing of Hindu-Muslim unity

6.1 The collapse of the campaign

"The most foolish of all foolish schemes" was the Viceroy's comment on Gandhian strategy. Foolishly or not, many Indians had left Government service, the law courts, schools and universities, and had returned their medals. The boycott of foreign cloth lit bonfires of Manchester cotton all through the year 1921. The non-payment of taxes was to follow.

Gandhi sent the Viceroy an ultimatum on 1 February 1922, giving notice of the impending civil disobedience. Then, astonishingly, he changed his mind. On 12 February 1922, *satyagraha* was suspended, following an ugly incident in the remote village of Chauri-Chaura earlier that month.

Gandhi consulted no one before taking this momentous decision. His co-workers were shocked and dismayed. Now that Hindu-Muslim unity had been achieved, they were spoiling for a fight to the finish. Instead, the movement ran out of steam; Gandhi was arrested and sentenced to six years' imprisonment.

6.2 The collapse of the Caliphate

For the sake of the Caliph Gandhi was now in prison, cut off from influencing the course of events. He watched from his cell the world go by. He would ponder on past events, select his *Experiments with Truth* for his *Autobiography* and wait expectantly. While he was thus meditating on the developments of his non-violent *jihad,* the Turks themselves took the initiative.

Nine months after Gandhi's arrest, and only seven months after the Indian National Congress at their special Delhi session congratulated the Turks on their 'victory' as 'the sure presage of the removal of all alien control from the *Jazirat-ul-Arab*', the Sultan was obliged to flee, Turkey having been made a Republic on 29 October 1923. He was replaced by a relative. The new Caliph kept his spiritual authority, but was deprived of his temporal power. Worse was to come.

Gandhi was released early, in February 1924, following a surgical operation. Within a month, the Caliphate issue was settled for good. The 3 March of that year saw the deposition of the Caliph, a victim of Ataturk's secular, republican ideology. To quote H.N. Brailsford: "While Indian Muslims, under the dynamic leadership of the Ali brothers, were reviving the romantic, old-world traditions of Islamic theocracy, the Turks, in whose interests they believed they were acting, were tossing it aside as medieval lumber." (Note 18)

The Indian Muslim dream had ended in a nightmare. In disbelief, the *Khilafatists* resolved to send a Muslim deputation to Turkey, but they were refused passports. Their organisation, the *Khilafat* Conference, could do little more than debate the re-establishment of a Caliph. (Note 19) Seizing the opportunity, Hussein, the *sharif* of Mecca who had led the war-time rebellion against the Turks in the Arabian peninsula and had crowned himself king of 'Greater Syria' in 1920, now proclaimed himself Caliph on the 5 March 1924. In Muslim India, his proclamation fell on deaf ears, as Hussein was considered a stooge of the British.   Thus the debate continued and there is still no Caliph today.

6.3 The breaking of Indian-Muslim unity

Gandhi quietly washed his hands of the Caliphate issue that same year, still hoping, intently, to save his top priority, Hindu-Muslim unity. He distanced himself from the Muslim claims on Palestine*,* while trying to stay close to the Ali

Brothers, especially as Mohamed Ali had been elected president of the Indian National Congress, an honour he could not but appreciate.

Riots between the Muslim and Hindu communities were soon to sour the concord. They became a recurrent feature. The next significant outburst happened in Kohat in the North-West Frontier Province in the summer of 1924. (The cause is familiar enough: a derogatory poem on the Prophet). As a penance, Gandhi fasted for three weeks in the home of Mohamed Ali to demonstrate Hindu-Muslim unity and set an example. And, indeed, Muslim hospitality was exemplary, in the best Islamic tradition. All through the fast the Ali household turned vegetarian; the brothers spun cotton on the *charkha,* Gandhi's beloved spinning wheel; Shaukat Ali addressed Gandhi as "my chief"; and, at the end of the fast, Mohamed Ali gave his Hindu guest a sumptuous present: a cow. (Note 20) After the fast, each conducted their own enquiry into the Kohat murders. A rift was then opened that would drive them apart: they could not agree on a common report. From that time, "the Ali Brothers slowly drifted from Gandhi". (Note 21) They became suspicious of his motivations, eventually left Congress and persevered in their own interpretation of Koranic injunctions.

Gandhi concluded on 15 April 1925: "The work of Hindu-Muslim unity has received a setback… I have washed my hands of it (the *Khilafat*)" (Note 22), and on 7 March 1925: "For the time being I have put away in my cupboard this Hindu-Muslim tangle… I cease to worry about what I cannot mend." (Note 23) In July he told a Muslim: "You cannot convert India into a *Jazirat-ul-Arab."* (Note 24)

It was only in July 1937 that Gandhi's attention was once again drawn to the Middle East. His best friend from the old South African days was sent by the Jewish Agency in Jerusalem to solicit Gandhi's support for the Zionist cause (See Panter-Brick, 2008).

7. Conclusion

Thus Gandhi, a very astute politician, gained fame and notoriety through his fight on behalf of the Ottoman Caliph. He was drawn into the affairs of Palestine, in two ways that tended to be contradictory.   In the first phase that covered the years 1919 to 1924, he acted as a convinced pro-Arab agitator. In the next, he showed pro-Jewish sympathy and tried to act on it.

Circumstances had changed. Palestine was now a nation and the economy was booming. Jews made up a third of its population instead of a tenth. The Mandatory power could not cope satisfactorily with the implementation of the Balfour Declaration.   Gandhi wanted to help the Jews, but the animosity of the Muslim League, led by Jinnah, paralysed his initiatives. The dream of Hindu-Muslim unity that became a reality in 1920 was shattered and, as Gandhi had prophesied, the opportunity would not reappear before another hundred years. Was he too optimistic?

He stayed pro-Arab and pro-Jew to the end. The driving force of his actions was not politics, not the search for power or fame, but his unshakable conviction in the universal application of *satyagraha,* of love.

As for the *Khilafat* Committee, it outlived all its leaders. (Note 25) According to A. B. Shah, writing in 1970: "the *Khilafat* Committee started then (in 1919) is still in existence in India." (Note 26)

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Notes

Note 1.   As stated to Lloyd George by Mohamed Ali, leader of the Khilafat Delegation to the Prime Minister on 19 March 1920 in C.H. Philips. p.220.

Note 2.   Resolution drafted by Gandhi on the 'Khilafat' for the Special Session on the Indian National Congress in Calcutta, 4-8 September 1920.

Note 3. Arthur James Balfour, Foreign Secretary, writing "on behalf of His Majesty's Government" to Lord Rotschild on 2 November 1917.

Note 4. Gandhi had at one point thought of converting to Christianity. His discovery of non-violence as a political weapon has its origin in the *Sermon on the Mount*.

Note 5. List of the resolutions voted by the Indian National Congress on Turkey:

a. Indian National Congress, 34th session, Amritsar, 27-30 December 1919: resolution on "Turkish *Khilafat*".

b. Special Session of the Indian national Congress, Calcutta, 4-8-September 1920: resolution on "*Khilafat*".

c. Congress Working Committee, Bombay, 14-15 June 1921: resolution on "Support to Turkish Government".

d. Congress Working Committee, Bombay, 5 October 1921: resolution on "Congratulations to Ali Brothers" (Indian Muslims Caliphate leaders).

e. Indian National Congress, 36th session, Ahmedabad, December 1921: resolution on "Congratulations to Kemal Pasha".

f. Indian National Congress, 37th session, Gaya, 26-31 December 1922: resolution on "Congratulations to the Turks".

g. Indian National Congress, Special session, Delhi, 15 September 1923: resolution on "Turkish victory".

Note 6. Indian National Congress, 35th session, Nagpur, 26-31 December 1920: "attainment of Swarajya (Independence) by all legitimate and peaceful means".

Note 7. Segev (2000), p. 16.

Note 8. Khairi (1995), pp. 170-1.

Note 9. See *Collected Works of Mahatma Gandhi,* vol. XV, 1918-1919, p. 295 (Speech on Caliphate, Bombay, 9 May 1919).

Note 10. Gopal, p. 144-146.

Note 11. Polak, Brailsford, Lord Pethick Lawrence (1949), p. 134.

Note 12. Gopal, p. 155-6.

Note 13. Jinnah was howled down at the Nagpur session of the Indian National Congress in December 1920 for referring to Gandhi as "Mr. Gandhi".

Note 14. Gandhi's speech on *Khilafat*, Bombay, 9 May 1919, in *Young India,* 14 may 1919.

Note 15. Khairi (1995)*,* p. 152.

Note 16. "The question of questions today is the *khilafat* question, otherwise known as that of the Turkish peace terms." *Collected Works of Mahatma Gandhi,* vol. XVI, 1919-20, p. 517, 21 January 1920. Also Brailsford, p. 162, in Polak, Brailsford, Lord Pethick Lawrence (1949).

Note 17. Khairi, *Jinnah reinterpreted,* p. 154-5.

Note 18. Brailsford, p.160, in Polak, Brailsford, Lord Pethick Lawrence (1949).

Note 19. Gopal, p. 168-9.

Note 20. Gandhi, R. (2007), pp. 271-2.

Note 21. Ibid, p. 276.

Note 22. *Collected Works of Mahatma Gandhi*, vol. XXVI, January-April 1925, p. 508.

Note 23. Gandhi, *Collected Works of Mahatma Gandhi,* vol. XXVI, p. VI.

Note 24. *Collected Works of Mahatma Gandhi,* vol. XXVII, *Young India,* 2 July 1925*.*

Note 25. Mohamed Ali died in 1931, Shaukat Ali in 1938 and Gandhi in 1948.

Note 26. Shah (1970), p. 206, note 3.

Application and Research of Multimedia Technology in Modern Teaching

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Abstract

Beginning with an exploration into the advantages and disadvantages of multimedia in current teaching, this article then elaborates on the proper ways to use this modern medium, hence offering reference for our modern teaching.

Keywords: Multimedia teaching, Teaching method, Courseware, Teaching experience

With the sharp rise of multimedia information technology giving birth to a series of high and new technological products, here has come an unprecedented revolution in the history of education technology. It has been acknowledged among Chinese educationalists that multimedia helps to improve class teaching efficiency. Among that, multimedia courseware, the principle force of computer-aided teaching, has also entered our classes. As an organic combination of teaching contents and teaching strategies, good courseware will attract students with its intuitionistic display of lecture contents through pictures, words, video and audio materials. Consequently, their enthusiasm for learning inspired greatly, students' predominant role in the teaching and learning process will be emphasized and the best teaching effect will be achieved.

1. Advantages of Multimedia in Teaching

1.1 Greater Class Capacity

It is much easier for teachers to explain as well as for students to understand those points beyond our expression by using dynamic demonstrations in class. Besides, for those courses emphasizing practical operating skills, multimedia is also helpful in expanding teaching capacity and improving teaching efficiency.

1.2 Solving Focal and Difficult Points

Unlimited in time and space, multimedia teaching will give more intuitionistic contents and effects, disintegrate the complex contents of knowledge, skills and information more completely, convey the teaching information, solve difficult points in teaching, display information in more variable ways and give prominence to focal points. For example, with the use of flash software, vivid and straightforward effects will be produced.

1.3 Increasing Interactivity

Interactivity should be the most distinctive characteristics of multimedia technology as well as the core of multimedia teaching. In a multimedia-aided class, teachers can have heuristic teaching by giving on-the-spot analysis and answers to students' feedback.

1.4 Stimulating Students' Enthusiasm

With multimedia providing for students comprehensive information with vocal, video, pictorial and literal effects, students will keep their attention longer and will have higher enthusiasm for learning. The use of multimedia in teaching is quite necessary, especially for some computer operation courses, in which only blackboard will not achieve desirable effects.

1.5 Optimizing Teaching Contents

When making their courseware, teachers tend to optimize their preparation for class. Therefore, it helps to improve teachers' teaching ability in a short time. In this sense, teaching with slides will help teachers a lot in grasping their courses as well as organizing their classes.

2. Some Problems in the Use of Multimedia Courseware

In spite of the widespread use of multimedia courseware nowadays, there are myths among teachers about its

knowledge and use. They are mainly shown as follows:

2.1 Following the Fashion

Just in order to follow the fashion, many teachers use multimedia courseware in their teaching regardless of the features of their individual courses. Accordingly, a lot of courseware is simply composed of words, failing to attract students' attention. Besides, some teachers are confined to their courseware or pushed by the mouse, hence bonding up their as well as students' thoughts.

2.2 Poor Priority Control of Multimedia Courseware

Teachers are supposed to use multimedia flexibly to ensure reasonable teaching tempo and atmosphere. However, if multimedia courseware is used at improper situations, poor priority control will be caused.

2.3 Lacking in circumstances

The significance of interest for learning can be revealed in Einstein's quotation of "Interest is the best teacher". In fact, profound interest will stimulate learning motivation and encourage enthusiasm for learning effectively. However, our present multimedia teaching, due to its boring and onefold forms, fails to arouse students' learning interest.

2.4 Lacking in Instances

Teaching, coming from our life, applied to our life, displays some practical problems in our life to students with certain multimedia means and therefore, arouses their interest to explore knowledge. However, some multimedia courseware, only with simple literal introduction and lacking in practical instances, will surely fail to encourage students' enthusiasm for learning.

In short, it should be avoided to "refuse multimedia courseware when necessary or abuse it without purpose or plan". In our teaching process, multimedia courseware should be designed, developed and used properly in order to optimize our teaching contents and improve our class efficiency, hence exerting the real value of multimedia-aided teaching.

3. The Development Tendency of Multimedia Teaching

In 1990s, multimedia was used in the teacher-based combinatory teaching, while nowadays, with the combination of multimedia and network as well as the "two-basis" pattern (a pattern with both teachers' dominant role and students' important role as the only cognition subject), a new pattern of multimedia network teaching is coming into existence and developing rapidly. Now, we are able to compose a variety of multimedia teaching software, including instructive type, exercise type, testing type, simulative type, game type and so on. In addition, there is some other combinatory software, different parts of which can be used in different situations according to the actual demands in teaching.

Currently, multimedia software is mainly used in two ways: one is used in multimedia classrooms, in which digital projectors are employed to project image data on the screen and audio power amplifiers are used to increase the power of the audio signals output from the computer's audio card. This pattern is mainly suitable for teacher-based classes. For instance, in the teaching of Chinese as a foreign language in some universities, this pattern has been accepted by overseas students. The other is used in classrooms with computer network, in which the multimedia computers given for each student are combined by LAN and are equipped with network software and control software is installed on the teacher's computer. In such a classroom, with students participating in the teaching activity directly, students will study more voluntarily and more individually. In addition, teachers are able to control students' computers, to have direct dialogues with students, give individual instruction to them, answer their questions as well as conduct exercises or tests individually. Furthermore, if necessary, the computers can be connected to Internet to make full use of a variety of teaching materials in the teaching process. Therefore, it is safe to say that this pattern is more prospective for our modern education.

4. Reasonable Use of Multimedia in Teaching

First, teachers are expected to make their own multimedia courseware based on the teaching demands, the characteristics of teaching materials and students' actual situations. They can use it to further explain some concepts, to make it easier for students to understand some phenomena and rules and so on in their teaching process. In order to achieve that, teachers should know quite well about their courseware and operate them expertly, such as when to insert a picture, when to return to some point, when to give students some time for discussion and so on. Besides, teachers should adapt their courseware to students' mastery of knowledge. Although the courseware produced by professional software companies tends to be more beautiful and perfect in language, music, image and flash, it is not really fit for our class because it can't promote the communication between teachers and students, not to mention the interaction between them.

Second, courseware should be made according to actual situations. For example, slides, although fit for knowledge-based courses, are not fit for skill-based ones. For those instance-based courses, multimedia teaching is a good choice because it will display some practical examples in our real life to inspire students' enthusiasm for learning

and exploration. Although many students wish to enjoy multimedia teaching, those teachers who are adopting this pattern should be informed to use flexible ways to put it across to students that they are acquiring skills to deal with real situations in the near future as well as learning knowledge. Accordingly, our teaching process shouldn't be confined to slides, but be closely related to different courses.

Third, various circumstances should be established to create active class atmosphere to encourage students' learning enthusiasm. In multimedia teaching, because of some intuitionistic information such as words, picture, flash, sound and image can be given synchronously, the teaching activity seems more concrete, more active, and tends to provide rich perception and ideas, and therefore, helps students to form abstract thinking instead of just perception. For instance, the "Bubble" part in Program Design of C is too boring for students to understand, nor is it easy for students to use in practice. What's worse, a lot of time will be wasted. So, if teachers demonstrate this part with multimedia courseware, students will understand it more easily and better.

Fourth, multimedia teaching should be combined with the traditional one to strengthen our teaching contents. Despite the significance of multimedia teaching, the traditional one shouldn't be abandoned. Greater emphasis should be put on the focal and difficult points in every class. Multimedia teaching seems quite necessary for those contents teachers feel it difficult to explain clearly to students. We will have brief but inclusive courseware with focused focal and difficult points.

It is "instruction" that an excellent teacher is characterized by and it is "understanding" that distinguishes an outstanding student from an average one. In same sense, multimedia courseware is just like an "electronic teacher", who should do a lot to instruct his students. Generally speaking, the multimedia software script composed by experienced teachers should include the following parts: the points difficult for students; the points to elaborate on; the points to omit or to mention briefly and the points for students to extend their thoughts.

5. Conclusion

To sum up, this article elaborates on the advantages and problems in our present multimedia teaching and comes up with some proper ways to conduct it. As for vocational colleges, both traditional teaching and multimedia teaching should be covered. With the development of our modern society, there are a greater variety of teaching targets. Therefore, it is a significant element for the improvement of teaching quality to employ multimedia in class design and it is a trend of teaching reforms to make better use of multimedia courseware.

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Cognitive Apprenticeship

--- An Effective Learning Mode

In the College English Listening Teaching

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Abstract

An analysis has been made on the existing problems in the traditional process of foreign language teaching in China; and with the help of the theory of cognitive apprenticeship, a further study has been conducted on the effective learning mode in the process of college English listening teaching. An empirical study on the graded English teaching, conducted in the university where the author works, has been made to indicate that the use of multi-media and network technology in the English listening teaching can, to a large extent, improve the language learning environment, develop the student language competence and boost college English teaching in China.

Keywords: Cognitive Apprenticeship, Situation cognition and learning, Graded English teaching, Learning mode

1. Introduction

The past ten years have witnessed great changes and improvement in china's language learning for students and language teaching for teachers. Yet there still exists a large room to be improved. Many teachers and students think of foreign language examinations as the end of language learning and language teaching, and the passing rate as the only standard to value the teaching quality. More attention in language teaching is paid to the cultivation of the students' language competence and less attention to the ability for the students to use the language, which leads to the fact that many students cannot use what they have learned to practical situations. Additionally, the content of teaching focuses on the explanations of the language points, ignoring the teaching of culture of the target language. Besides, words are taught in a passive way far away from the real situation. Many students find the words learned in class dead but not alive. Language teaching and language application go in the opposite directions. Such language teaching activities cannot offer insights for students into the real activities of the members in the target language culture. This, however, is what the language learners --- the students --- actually need.

2. Theory

Cognitive apprenticeship, first put forward by Brown, Collins, and Duguid(1989),means combining the core technology of traditional apprenticeship with school education to cultivate the students' cognitive skills, namely the ability needed by the experts to think, to solve problems and deal with sophisticated tasks. Its focus is to make the design of teaching methods helpful to the students to acquire cognitive and meta-cognitive strategies and at the same time to combine these strategies and conception with factual knowledge, solving problem and fulfilling complex tasks. Cognitive apprenticeship supports the students' study in certain field through allowing the students to acquire, develop and utilize activity tools of real situation. Apprenticeship puts emphasis on the importance of experience activity in studies. Steps to finish the tasks are easy to observe in traditional apprenticeship while in cognitive apprenticeship thinking processes are made more obvious.

Cognitive apprenticeship is a kind of situational cognition. Jonassen (1994) thinks that situational learning is the learning in which the students carry out the tasks reflecting the real world. Knowledge is determined by the corresponding matters and situation. Knowledge becomes nothing when remaining in a decontexturalized state. The students learn a new concept but fail to use it for lack of real situation. Situation is the basis of all kinds of cognition.

3. Methodology

3.1 Subjects

The 140 subjects, divided into two classes at random, were second-year non-English major undergraduates of 2006

class in Yantai Naval Aeronautical and Astronautical University. To avoid the Hawthorn effect, the subjects were not told of the experiment and they did not seem to be aware of any unusual "experimental" situation.

3.2 Procedures

Listening teaching for the two classes was taught by the author simultaneously. Listening for Class A was carried out in the classroom with the help of a recorder while listening for Class B was carried out in the computer room.

The teacher played the recorder one time after another to let the students practice their listening in Class A. The students did their listening practice in a passive way. They listened to the recording, seeing nothing and hearing the sound only. While the students in Class B, each one with a computer, learned what they are watching and listening and know exactly how the language is used in a special situation in an active way.

4. Results

One year later, the results presented what the teacher expected. The students in Class B was more interested in English learning than before and their academic achievements went a further step. They made greater progress not only in their oral English but also in other aspects such as writing, reading and did a good job in their final examination. Their pronunciation and intonation is more native like. Three students from Class B won first prize in our university's English Speech Contest in 2007. In contrast, the students in Class A also made progress in their English study, but not as fast as those in Class B. Their academic achievements went forward slowly.

5. Findings & Analysis

The study shows that knowledge from a special situation is more powerful and useful than that from a general case, and the memory lasts longer. Just as Aristotle said: What I am told, I will forget; what I am shown, I will remember; what I participate in, I will understand. That is to say, using all the senses can make learning most rewarding. On the other hand, Only when learning takes place in a natural situation where what is learned is used can meaningful learning be expected. Moreover, words, expressions and sentences are not isolated from each other; they always exist in a certain communication and situation. True activities are of great importance to learners in that learners can act as an apprentice to do something meaningful just like the experts, namely the native speakers. Only in a true situation and by improving traditional teaching environment can the students adapt themselves to a certain culture. One important thing, the students in Class B has much more cultural awareness than those in Class A

6. Conclusion

From what is conducted, a conclusion can be reached that language learning is not only an acquisition of knowledge, but also conveys an idea and a kind of emotion and a culture. Learning environment should be characterized by the true world where what is learned is used. Native language users are the experts in the language learning process for Chinese students and what English teachers should do is to prepare what is needed by their students---a situated environment in which language is truly used.

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Brand Perceptions among School Children

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Abstract

This paper aims to explore the perception of children towards brand consciousness by using drawings and open-ended questions. A total of 20 primary school were requested to draw what they think about two statements given related to a person with branded materials and a person without branded materials. After drawing, respondents were personally interviewed regarding belongings of branded goods with cheerfulness, friendship, behaviour characters and desire for belongings. Results from the analysis of the drawings and interviews indicate that that there are significant differences in the children perception of someone with or without branded materials. Based on these findings, one hypothesis was proposed about perception of children with regard the knowledge of brand awareness.

Keywords: Brand, Consciousness, Perceptions, School Children, Consumer Socialization.

1. Introduction

There is a growing interest in the role played by brands in the everyday life of consumers, including that of children. According to Achenreiner (2003), brand consciousness amongst children is on the increase. It has in fact become an integral part of the way young consumers define themselves and how they would like others to view them. Notwithstanding this important trend, there has been very little research done on the relationship between children's cognitive development and the consumption values that branded items may represent (John, 1999). This study has adopted John's (1999) model of consumer socialization of children to explore children's perceptions towards brands in general. More specifically, the study looks at the differences in the children's perception of someone who possess a lot of branded goods as opposed to another who does not have or has very few of these items.

2. Methodology

The present study adopts a drawing method (Chan, 2004) to investigate children's perception of brands and their potential impact on the identity of brand users. Drawing as a research method has been used for more than 100 years for a number of research purposes (Thomas and Silk,1990; Matthew, 1999). The use of the drawing method in research involving children, irrespective of the purposes of the research, is warranted based on the critical premise that children hold visual images in their heads (Rossiter, 1976; Zaltman, 1997). In fact, Zaltman (1997) notes that children may hold most of the information in their memory in visual form. Also, when children are asked to draw, and if given the freedom, will draw what they value, what they like and what is satisfying to them (Dennis, 1966; Golomb, 1992).

The use of drawing methods in the research involving children, irrespective of the purposes of the research, are warranted based on the critical premise that children hold visual images in their heads (Rossiter, 1976; Zaltman, 1997). In fact, according to Zaltman (1997) perhaps children may hold most of the information in their memory in visual form. Also, when children are asked to draw, and if given the freedom, children will draw what they value, what they like, and what is satisfying to them (Dennis, 1966; Golomb, 1992). As Dennis (1996,) explained, children asked to draw foods

"will draw favorite foods, not those they dislike", and children asked to draw plants "will draw those bearing flowers or fruits, not noxious weeds".

The sample consisted of 20 primary school students in which they were recruited through personal contacts.   The age profile of the sample was between 10 to 12 years old. The gender split was fairly even with 11 boys and 9 girls from middle income class. Before the interview session started, the respondents were briefly informed the objectives of this study and how the interviews will be conducted.

Each participant was given a piece of plain white drawing block (274mm x 375mm), a black 2B pencil and an eraser. Every piece of paper had two blank boxes of equal size. On top of each box was a statement – on the left "A person with a lot of branded goods" (Picture A) and on the right "A person without a lot of branded goods" (Picture B). Specific instructions were also given to the participants. All drawings were analyzed by a female counselor.

Following the drawing sessions, the participants were interviewed independently. Each interview took not more than 20 minutes and was conducted in Bahasa Melayu. All were recorded (with permission from the respondents), transcribed and translated into English. The interview transcripts were than analyzed using content analysis.

3. Results and discussion

Table I summarizes the visual substances in the drawings of the participants in relation to Picture A (*a person with a lot of branded goods*) and Picture B (*a person without of branded goods*. Eighteen pictures with at least one branded item in each 24 different brand names appearing in Picture altogether. The highest frequently occurring brands were Nokia, Acer, Adidas, Asadi, Bonia and Nike. In addition, electronic items such as Laptops, PS2s, MP3s and iPODs were also included in Picture A. The male respondents were found to be more likely to include electronic goods, mobile phones and sportswear in their drawings. In contrast, female respondents were found to be more likely to include, handbags, jewelleries and shoes in their drawings.

In contrast, the second picture – Picture B (a person without a lot of branded goods) was rather empty and all had no form of brand identification. Interestingly, the second drawing also contains items initially shown in Picture A such as shoes, house, clothing, mobile phone, watch and so on. However, all these items were drawn to look shabby, old and run down. For instance, 10 participants drew people with patchy old clothing; two respondents drew TV sets which were broken and, seven respondents drew rundown or wooden houses.   Six participants wrote the word "poor" and three participants   used the word "untidy" in their drawings of the person with no branded goods. There was no electronic media item in Picture B.

All drawings contained human figures. However, the "expression" on the human figures varies according to the requirements of the drawings. For example, participants were likely to draw a smiling face that corresponded to the statement about a person with a lot of branded goods. In Picture B however, all but one of the human figures sad or crying. One participant drew a human figure with a smiling face even though he did not have a pair of shoes.

Moreover, most participants in the study stayed true to their gender identification by drawing human figures that matched their own gender for both Picture A and Picture B. In fact, only one female participant drew a young boy to reflect to the statement of "a person without branded goods" in Picture B and a young girl Picture A "person with a lot of branded goods". It is thought this female that refused to associate the female with a negative value or negative personality traits.   One female participant drew two human figures, that of a young girl and her mother with patchy clothing to correspond to Picture B. This respondent also accentuated the drawing with the following dyadic communication in speech balloons:

"Mum, why Mia does not have branded goods.. all of my friends have mobile phones and so on.."

" Well honey.. we are poor.. I don't have enough money to buy you all such things.. my salary cannot afford to buy you all those branded goods."

On a similar note, 13 other participants attempted to capture in their drawing a sad person as someone without branded goods. These association were reflection the following monologues:

" I don't have much money to spend… I live in a shack.. I don't have new clothes..   I am a poor …I am an orphan…" *(Male,12)*

"Why I'm wearing a patch shirt.. why I live in poverty.. I lost my parents.. I don't have money… I just live in an old cottage.." (Female,12)

All of the participants perceived a person with a lot of branded goods as cheerful. Basically, they thought that he/she would be cheerful because of his/her material contentment of having everything he/she wants and wishes as well as having satisfying family relations, as the following comments indicate:

He has "Acer" laptop, "Samsung" mobile phone and "Panasonic" TV (Male,11).

He has a lot of luxurious high tech gadgets such as laptop, MP3, "Nokia" mobile phone and a bungalow. He is also

easy-going and approachable (Male, 12).

The opposite is true for those with no branded goods. In fact, the participants perceived a person without any branded items as poor, lazy, unfriendly, has bad manners and untidy. Both female and male participants had these negative thoughts and expressed them in the following comments:

She is poor and cannot afford to buy expensive things (Female,11).

He is poor, wears thorn shirts and doesn't have enough money (Female,11).

Furthermore, most of the participants perceived a person with a lot of branded goods as someone who would likely have more friends than the one without. This is reflected in Picture A where the rich person has lots of friends, is successful, possesses good manners, is helpful and humble.

This person (Picture A) is rich, has a lots of money, kind hearted, generous, and she is not arrogant (Female, 11).

The person in the first picture has various branded goods and many people love to make him

friend (Male, 10).

Clearly, from these descriptions, the young participants generally regard people with branded goods as having positive traits and characteristics. This view has been captured by a male participant who declared the following:

The young person in Picture A is successful, rich and has positive traits.

In contrast, only one participant perceived that the person in Picture A without a lot of friends. The 10 year old male boy noted:

The boy in the first picture is snobbish, demanding, not genuine and he has no friends.

In response to the question related to belongings and friends, 99% of the participants perceived a person without branded goods as less likely to find and attract friends. In fact, they noted that a person without branded goods has little to offer to other people and as such, are likely to be neglected by others:

This young person does not have branded goods and people always neglect her (Male, 10).

This is a poor boy, he is an orphanage and people do not like him (Female, 12).

In total, the participants used 53 behavioural characteristic to describe a person with a lot of branded goods and 40 for a person without branded goods. Most of the participants revealed that a person with branded goods is cheerful, smart, hard working, has good manners, and is sincere, active, sociable, helpful and responsible. In contrast, only a small number of participants associate a person with branded items with the negative characteristics of being crafty, cunning, showy, having bad manners, is arrogant and greedy. One-quarter of the 20 participants reported only positive behavioural characteristic with the remaining giving positive and as well as negative ones. Table II summarizes the characters in response to the question "*What type of behaviour characters is associated with this person?*"

As for Picture B, reflects the description given by the majority of the participants of the person without branded goods (Table III). Negative words such as lazy, unfriendly, gloomy, and jealousy were tagged to the person. Half of the participants (10) also used positive words like quite, sensitive, content, strong, humorous, smart, simple, having good manners and hardworking to refer to the person in Picture B. The following comments are referred to:

The girl in this picture is caring toward others. She is also very hardworking. She is lonely because all her friends do not want to play with her (Female,10).

The girl here is simple and helpful. She is a bit old fashioned, pessimistic and unsociable like other people (Female, 11).

Eight participants revealed these negative behaviour characteristic of Picture B, in the following:

He is a lazy person. He is unable to take care of himself and not respecting others (Male,10).

She is calculative, cowardly, ungrateful and an aggressive kind of person. People don't like her character (Female, 11).

Only two participants were reported to have used only positive behaviour characteristic on the person in Picture B.

She is a simple, helpful and hardworking person (Female,12).

This boy has good manners, is very helpful, hardworking and caring towards people (Male, 10).

Finally, in an attempt to assess their materialistic value direction, the participants were asked to determine who they would like to be – a person with branded goods or a person without branded goods. Twelve of twenty participants wanted to be the person in Picture A, while majority of the wanted to become wealthy, possess all kinds of expensive things and enjoy a happy life where they can buy anything they want. Also more male participants than females seemed to be more intent in wanting to be someone with a lot of possessions:

I want to have various branded goods, expensive items and be happy (Male, 10).

I want to be a rich person who is kind hearted and generous (Male, 10).

One male participant however indicated his preference to be the person without branded items in Picture B. He perceives the person as one with a great personality even though he does not possess branded goods.

I want to be like the second picture because he is a caring boy, is helpful and hardworking (Male, 10).

Interestingly, a clear gender difference could be interpreted in participants' future aspiration. A total of eight female participants wanted to lead a moderate life, neither too rich nor too poor and they expressed a desire not to be arrogant when they grew up:

I choose to be moderate because I do not want people to label me as arrogant (Female, 11).

I want to be moderate because if I am a rich person, I become arrogant (Female, 12).

This study aims to discover the young consumer's perception involving picture drawing towards a person with or without possession of branded goods using a qualitative method. These young consumers are found to be brand conscious as they are able to recollect and represent in their drawings a large number of brand names and visual identification without any kind of support or prompting from the researcher. Many are found to be conversant with the brand names of the latest fashion as well as electronic gadgets. In fact, most of brands they mentioned are global brands like Nike, Adidas, Acer, Dell, and Nokia.

Analysis of the drawings unveils two noteworthy differences in children's perception about people with and without branded goods. Firstly, branded clothes differentiate the two groups. The participants acknowledge Nike and Adidas as their preferred trendy brands. They also associate modern technological gadgets like mobile phones and iPods as critical items that a brand conscious must person have. Together, these findings lend support to a much earlier finding reported by McNeal (1992). In his study, kids aged between four and twelve years olds were brand conscious when it comes to non-food products such as toys, clothes, records/cassettes, video games, sporting goods and cosmetics or toiletries. With regard to their perception of modern technological gadgets, the majority of the participants rate Nokia as the most impressive brand, followed by Sony Eriksson, Motorola and Samsung. Nokia's popularity among these young consumers is not at all surprising given Nokia's aggressive advertising campaign strategy targeting an audience ranging from kids to mature consumers. This clearly lend support to Goldberg and Gorn's (1974) contention that children in primary school can develop possessive attitudes for material goods by being exposed to tv commercials. There is a substantial body of research which indicates that television plays an important role in the socialization of children, especially concerning the source of product information (Reynolds and Wells, 1977; Rossiter, 1976).

Additionally, shoes are also rated as higher renowned goods by the participants with accordingly: Asadi, Bonia, Adidas, Nike, Bata and Oasis. Further analysis data shows that new electronic media tool such as the laptop is also highly rated by the participants as a must have for "*a person with a lot of branded goods.*" In this instance, Acer is the most well-liked brand followed by Dell, HP and LG. It is possible that participants are familiar with these brands as they are not only exposed to many teaching aids in the classroom, but are also items normally purchased by their family members.

The second significant difference between a person with and without branded goods is reflected by the faces of the people drawn by the participants. None of the drawings of Picture A is sad or crying. The study found that a person with branded items is perceived as cheerful, happy and has more friends. This person is also likely to feel good about himself/herself. Parallel results are also obtained from the analysis. More specifically, a person with many branded goods is also perceived positive with the characteristic behaviour of being cheerful, smart and hardworking. On the contrary, participants associate the positive behaviour characteristic of being quiet, sensitive and content with people who are not brand conscious. Overall, these results are consistent with Chan's (2004) findings of children in Beijing.

These results demonstrate that children, even at a young age, are able to understand and articulate the value of belonging based on emotional attachment (having fun) and social meaning (ability to attract friends). Belonging is an essential criteria for children and perception of themselves and others.

In terms of materialistic value orientation, more than half of the participants express their desire for a life full of happiness, satisfaction and a high standard of living. Critically, a life such as this is undoubtedly associated with a person who uses branded goods. So essentially, this indicates that materialistic values are formed long before children reach their adolescent years, probably during the age span of eight to twelve. However, it is important to note that the children in this study tend to have mixed feelings about brand. While they seem to want to own branded items, one day, they are also aware of the negative connotations that they might have on their image. After all, a person with branded goods is often seem as crafty, cunning, arrogant and greedy. Understanding more about how children relate to brands, how they form conceptual meanings associated with brands and how they apply these brand meanings to make judgments about others would provide a sound basis for discussions about the impact of marketing to children. More attention is needed in brand marketing for education given recent criticisms of present strategies.

4. Conclusion

The present study demonstrates that advertising efforts by marketers and manufacturers indeed influence children's knowledge, attitudes and values as it is mass media and advertising that provides information about consumption and the value of material goods (Atkin 1975b; Martin and Gentry 1997). The impact of these efforts as demonstrated in this study is reflected the young children's brand awareness and aspiration to own branded goods in their future. Furthermore, these children also show a complex understanding of what a brand represents. Understanding these issues is very essential to marketers who wish to reach the children. Also, marketers need to know where children get their information about consumer matters and how children respond to different consumer information sources. The mass media may be an important source of consumer information, but their significance may vary depending the type of product or service marketed. Other forms of promotional activities can be as effective under different circumstances, such as event sponsorship, school visits, and other forms of publicity. Events which are known to be popular with children may provide the ideal opportunity for building a positive feeling about not just brand names but also the friendliness of branded good owners.

This study, proposes the following hypothesis to test in a quantitative study:

H1: Children perceive the concept of branded goods by the time they reach about 10 to 12 years of age.

It is anticipated that the data collected through such a quantitative survey would not only be supportive in the examination of the link between perception of branded goods among children, but also with the development of consumer socialization during the analytical and reflective stages of the children's growth.

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Table 1.Visual items in the drawings with branded goods

Image Components for Picture A (Person with branded goods)	Frequency	Image Components for Picture B (Person without branded goods)	Frequency
Smiling face	20	Sad face	18
Clothing	20	Money	13
Mobile phone	18	Clothing	10
Shoes	17	Shoes, Slippers	8
Laptop	15	House	7
Watch	9	Mobile phone	5
Wallet and handbag	9	Watch	2
Jewelry	8	Beg	2
TV set	8	TV set	2
Money	7	Living near incinerator	2
PS2	5	Belt	1
MP3	3	Bicycle	1
Eye glasses	3	Eye glasses	1
Perfume	3	Living in an orphanage	1
iPOD	2		
Cap	2		
Belt	2		
Make-up accessories	2		
Friends	1		
Piano	1		

Table 2. Behavior profile of a person with a lot of branded goods

Positive Characters	Frequency	Negative Characters	Frequency
Cheerful	18	Crafty	10
Smart	16	Cunning	4
Hardworking	16	Showy	4
Good manner	16	Following trend	4
Sincere	15	Bad manner	3
Study hard	15	Arrogant	3
Active	14	Greedy	3
Sociable	14	Seek a life of pleasure	2
Helpful	14	Calculative	2
Responsible	14	Not respecting others	2
Generous	13	Pessimistic	2
Fair	13	Unsociable	2
High self-esteem	12	Unique	2
Swollen	12	Mean	1
Thrift	12	Superficial	1
Caring	12	Unable to take care of oneself	1
Content	11	Aggressive	1
Independent	11	Bad-tempered	1
Strong	11	Spend extravagantly	1
Optimistic	10	Self-centered	1
Easy-going	10	Lazy	1
Careful	10	Jealous	1
Forth sighted	8	Coward	1
High class	7		
Approachable	7		
Enjoy shopping	7		
Sympathetic	6		
Talkative	6		
Enjoy shopping	5		
Humorous	5		

Table 3. Behaviour profile of a person without a lot of branded goods

Positive Characters	Frequency	Negative Characters	Frequency
Quite	10	Lazy	14
Sensitive	6	Unfriendly	13
Content	4	Gloomy	12
Strong	4	Jealousy	12
Humorous	3	Old-fashion	12
Smart	3	Unable to take care of oneself	11
Simple	3	Bad manner	11
Good manner	3	Ungrateful	11
Hardworking	3	Superficial	10
Study hard	3	Not respecting others	10
Sympathetic	2	Pessimistic	9
Careful	2	Coward	9
Unique	2	Lonely	9
Thrift	2	Bad-tempered	8
Independent	2	Aggressive	7
Active	2	Self-centered	7
Cheerful	1	Aggressive	7
Easy-going	1	Unsociable	6
Caring	1	Mean	5
Helpful	1	Calculative	5

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