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An Exploration of Social Entrepreneurship in the Entrepreneurship Era

Mohammad Reza Noruzi

Executive Master Business Administration, EMBA

Islamic Azad University, Kaleibar, Iran

Faculty of Humanity Sciences, Department of Management and Accounting

Young Researchers Club Member, IAU Bonab, Iran

Tel: 98-426-422-4915 E-mail: mr.noruzi.pnu@gmail.com

Jonathan H. Westover

Assistant Professor of Business

Utah Valley University

800 W. University Parkway, MS-119

Orem, UT 84058-5999, USA

Tel: 801-863-8215 E-mail: jonathan.westover@uvu.edu

Gholam Reza Rahimi

Public Management, PhD

Islamic Azad University, Kaleibar, Iran

Faculty of Humanity Sciences, Department of Management and Accounting

Tel: 98-426-422-4915

Abstract

Entrepreneurship has been the engine propelling much of the growth of the business sector as well as a driving force behind the rapid expansion of the social sector. Additionally, the award of the Nobel Peace Prize in 2006 to Mohammad Yunus for founding the Grameen Bank thrust social entrepreneurship into the global spotlight. The Grameen Bank is the world's largest micro-finance organization; it is a profitable business that has helped thousands of people, mostly women, out of poverty. Social entrepreneurship, the simultaneous pursuit of economic, social, and environmental goals by enterprising ventures, has gradually found a place on the world's stage as a human response to social and environmental problems (Haugh, 2007). This paper aims to review and study the recent developments in social entrepreneurship as an important phenomenon in today's entrepreneurship era.

Keywords: Entrepreneurship, Social entrepreneurship, Social entrepreneurship training

Introduction

The concept of entrepreneurship, long hallowed in the context of business ventures, has been increasingly applied to the context of social problem solving (e.g., Dees, 1998; Emerson & Twerksy, 1996; Thake & Zadek, 1997). The challenges of finding effective and sustainable solutions to many social problems are substantial, and solutions may require many of the ingredients associated with successful business innovation of the constellation of problems associated with long-term poverty; such problems often demand fundamental transformations in political, economic, and social systems (Alvord et al, 2004).

Some research in the development literature has assessed characteristics common to large-scale, successful poverty alleviation initiatives (e.g., Krishna, Uphoff, & Esman, 1997; Tendlar, 1989). Some investigators have focused on the organizational and institutional characteristics of effective development agencies (e.g., Brown & Covey, 1987; Korten, 1980; Paul, 1982), and others have looked at the characteristics of successful social

movements (e.g., Gamson, 1975; McAdam, McCarthy, & Zald, 1996; Tarrow, 1998; Alvord et al, 2004).

This paper presents a study on entrepreneurship broadly first, then social entrepreneurship specifically, and highlights the behavioral traits possessed by entrepreneurs. First, we introduce the concept of entrepreneurship and then social entrepreneurship, while providing a brief introduction to social entrepreneurs and their activities. Finally, we present an analysis of the traits and major standards of entrepreneurship education that a social entrepreneur is expected to possess in learning the social entrepreneurship process.

Entrepreneurship

Debate surrounds what entrepreneurship constitutes as a field of study. Enterprise scholars have traditionally focused on the profiles of entrepreneurs and what the entrepreneur does (Gartner, 1989), as well as the performance of individual entrepreneurs and firms. However, Venkataraman (1997) suggested that the field of entrepreneurship research should seek "... to understand how opportunities to bring into existence 'future; goods and services are discovered, created, and exploited, by whom, and with what consequences'" (Cuervo and et al, 2007). The wider relevance of the currently popular opportunity-based conceptualization of entrepreneurship is now attracting increasing research attention. Further, there is growing concern surrounding whether the diversity of wealth creation is being adequately explored. Several lenses need to be applied to explore entrepreneurial actors, events, processes and outcomes relating to the entrepreneur and the profit (and non-profit) organizations they own and/or manage. There is a long history of edited volumes of general readings focusing upon entrepreneurship and small business, as well as readings relating to themes such as new firm formation (Cuervo and et al, 2007).

Despite the fact social entrepreneurship has now been a topic of discussion in academic, policy, and practitioner circles for 10 years or more, it was only in 2006 that collections of scholarly papers on the topic began to emerge; then six appeared in the space of six months (in addition to Perrini, see Austin et al., 2006a; Mosher-Williams, 2006; Mair et al., 2006; Nicholls, 2006b; Nyssens, 2006). This sudden outpouring of research contributed to the project of building an academic field of social entrepreneurship in three broad areas: definitional work focused on setting the boundaries of social entrepreneurship; theory development based around conventional disciplinary approaches but with social entrepreneurship/ social enterprise as the unique unit of analysis; new empirical data, especially case studies (Perrini, 2006).

Entrepreneurship as a gate for Social Entrepreneurship

Any definition of the term "social entrepreneurship" must start with the word "entrepreneurship." The word "social" simply modifies entrepreneurship. If entrepreneurship doesn't have a clear meaning, then modifying it with social won't accomplish much, either.

The word entrepreneurship is a mixed blessing. On the positive side, it connotes a special, innate ability to sense and act on opportunity, combining out-of-the-box thinking with a unique brand of determination to create or bring about something new to the world. On the negative side, entrepreneurship is an *ex post* term, because entrepreneurial activities require a passage of time before their true impact is evident (Martin & Osberg, 2007).

Although the concept of social entrepreneurship may be new, initiatives that employ entrepreneurial capacities to solve social problems are not. For years, agencies have launched programs and implemented interventions to help impoverished and marginalized groups. Government aid agencies and private foundations have invested billions of dollars to support such initiatives, and some of them have been quite innovative. But all too often, the results of these initiatives have been disappointing in terms of effectiveness and sustainability, let alone their capacity to scale up their impacts into significant social changes (e.g., Cernea, 1987; Tendlar, 1989).

What is social entrepreneurship?

Definitions of social entrepreneurship range from broad to narrow. In the former, social entrepreneurship refers to innovative activity with a social objective in either the for-profit sector, such as in social-purpose commercial ventures (e.g., Dees & Anderson, 2003; Emerson & Twersky, 1996) or in corporate social entrepreneurship (e.g., Austin, Leonard, Reficco, & Wei-Skillern, 2004), or in the nonprofit sector, or across sectors, such as hybrid structural forms which mix for-profit and nonprofit approaches (Dees, 1998). Under the narrow definition, social entrepreneurship typically refers to the phenomenon of applying business expertise and market-based skills in the nonprofit sector such as when nonprofit organizations develop innovative approaches to earn income (Reis, 1999; Thompson, 2002). Common across all definitions of social entrepreneurship is the fact that the underlying drive for social entrepreneurship is to create social value, rather than personal and shareholder wealth (e.g., Zadek & Thake, 1997), and that the activity is characterized by innovation, or the creation of something new rather than simply the replication of existing enterprises or practices. The central driver for social entrepreneurship is the social problem being addressed, and the particular organizational form a social enterprise takes should be a

decision based on which format would most effectively mobilize the resources needed to address that problem. Thus, social entrepreneurship is not defined by legal form, as it can be pursued through various vehicles. Indeed, examples of social entrepreneurship can be found within or can span the nonprofit, business, or governmental sectors. Also, social entrepreneurship is defined here as the practice of responding to market failures with transformative and financially sustainable innovations aimed at solving social problems. These three essential components:

1. Response to market failures
2. Transformative innovation
3. Financial sustainability - are discussed in more detail below.

1). In addressing **market failures**, a social entrepreneur might find that there is:

No market - beneficiaries are unable to pay anything and, as a result, costs must be fully subsidized (Example: Resolve to Stop the Violence Program: cited in: Public innovator, 2008).

Limited market - beneficiaries have some ability to pay, and thus the social entrepreneur can rely on some earned revenues to sustain the initiative (Example: ITN *America* cited in: Public innovator, 2008).

Low-profit market - beneficiaries have the capacity to pay the full cost and the social entrepreneur thus has the potential to generate a profit. However, the market may be underdeveloped or investments in this market may yield returns that are less than typical for for-profit ventures (Example: Beneath).

2). **Potentially transformative solutions** can be completely new inventions or creative adaptations of existing ones. For entrepreneurs, whether in the business or social realm, innovation is not a one-time event but continues over time (Public innovator, 2008).

3). **Financial sustainability** is achieved through a combination of:

Nonfinancial resources - the skilled or unskilled volunteers and one-time or recurring in-kind donations that enable social entrepreneurs to increase the sustainability of their initiatives.

Predictable revenue sources includes long-term, repeat, and performance-based funding sources-foundation, individual, government, corporate, and fee-based that will provide predictable funding, despite conditions of market failure (Public innovator, 2008)

Who is social Entrepreneur?

A social entrepreneur is an individual, group, network, organization, or alliance of organizations that seeks sustainable, large-scale change through pattern-breaking ideas in what and/or how governments, nonprofits, and businesses do to address significant social problems.

This definition contains eight basic assumptions about the sources, goals, and strategies of social entrepreneurs, the socially-entrepreneurial organizations they either build or inherit, or the less-entrepreneurial organizations they change to full-blown socially-entrepreneurial purposes.

1. Social entrepreneurs do not have to be individuals—they can also be small groups or teams of individuals, organizations, networks, or even communities that band together to create pattern-breaking change. This assumption moves the field away from individual-centered study, while expanding the number of potential social entrepreneurs that might already exist (Bryna & Levin, 1991).

2. Social entrepreneurs seek sustainable, large-scale change. This assumption, which adopts the prevailing goal-oriented nature of the contemporary debate, nonetheless moves the field away from questions about who becomes an entrepreneur to what they seek, while again expanding the number of potential social entrepreneurs that might exist (social entrepreneurship, 2006).

3. Social entrepreneurship can involve pattern-breaking ideas in either how or what gets done to address significant social problems. This assumption moves the field toward a broader definition of social entrepreneurship that includes organizational and administrative reforms, as well as “using old stuff in new ways.”* It also embraces Dees definition of “enterprising social innovation” as a blend of the social enterprise (or market-driven) school of thought with the “social innovation” school presented in this volume (social entrepreneurship, 2006).

4. Social entrepreneurs exist in and between all sectors. This assumption opens the discussion beyond nonprofits to include other sectors and multi sector entities. Social entrepreneurship may be more difficult to launch and sustain in government, for example, where the penalties for risk taking are immediate, but it exists nonetheless. Again, it also embraces Dees and Anderson’s notion of “sector-bending” organizations that use elements of

nonprofit and for-profit thinking (social entrepreneurship, 2006).

5. Social entrepreneurs need not engage in social enterprise or use market-based tools to be successful. This assumption breaks the necessary-but-not-sufficient relationship between social enterprise and social entrepreneurship by rendering earned income as one of many possible means to a social-purpose end. As Dees (2004) recently writes, “Successful social entrepreneurs will use the most effective structures, strategies, and funding mechanisms to achieve their social objectives. Social entrepreneurship should not be seen as a funding strategy, and it should not be tied to the idea of business ventures....At its heart, entrepreneurship is about establishing new and better ways to create value” (p. 17). It is important to note that Dees’ more recent work suggests that the use of market-driven tools such as micro-finance may be a way of distinguishing between different types of social innovation (Bryna & Levin, 1991).

6. The quantity of social entrepreneurship can vary greatly across individuals and entities. Some social entrepreneurs will be very entrepreneurial compared to others, while others may restrict their entrepreneurial activity to a particular program or unit. This assumption allows for comparisons across individuals and entities that are very, fairly, or only somewhat entrepreneurial, which may yield valuable knowledge on the conditions that might permit greater activity, as well as the conditions that might make lower levels of entrepreneurship quite appropriate (Bryna & Levin, 1991).

7. The intensity of social entrepreneurship can and does ebb and flow over time as circumstances change. This assumption allows further study of the economic, political, social, and organizational conditions that might explain stall points, pauses, stops, and restarts in socially-entrepreneurial activity. Under this assumption, social entrepreneurs can occasionally look very non-entrepreneurial as they consolidate, retrench, or respond to inevitable external pressures. Challenge the conventional wisdom, and the conventional wisdom will almost always challenge back—that is, after all, how the conventional wisdom survives (Public innovator, 2008).

8. Social entrepreneurs sometimes fail, though at as-yet-to-be-determined rates. Much as they may seek to create pattern-breaking change, they face serious barriers to success, not the least of which is the tendency of the status quo to push back against pattern-breaking change. That is, after all, the way the status quo endures (Bryna & Levin, 1991).

Scope of Social Entrepreneurship

The social entrepreneurship research arena is hindered by the many terms and definitions adopted by researchers and policy-makers. Social enterprises have been variously described as “a private enterprise conducted in the public interest” (OECD 1999:10), a for-profit social venture (Dees and Anderson 2003), and a social purpose enterprise (Wallace 1999). Further, social enterprises adopt differing legal formats and abide by different legal frameworks and fiscal responsibilities and duties in different countries. These factors make national and international comparisons of social enterprise activity unreliable at present. Although universally acceptable definitions of social entrepreneurship, social enterprise and social entrepreneur do not exist (OECD 1999), there appears to be a converging consensus on the meaning of social enterprise, and from this it is possible to draw out a definition of a social entrepreneur and social entrepreneurship (Haugh, 2005,p.2).

How can government strategically support social entrepreneurship?

While government currently lacks a comprehensive and strategic approach for collaborating with social entrepreneurs, isolated incidents do exist of local, state, and federal employees working with social entrepreneurs through five primary methods. By embracing these methods more strategically, government leaders can help to dramatically move the dial on crucial social issues:

1. **Encourage social innovation** - For any entrepreneur, the start-up period of an organization is critical. Public innovators can encourage social innovation and help spur the testing of promising new approaches to solving social problems (Public innovator, 2008).
2. **Create an enabling environment for social innovation and entrepreneurship** - The very nature of innovation means that social entrepreneurs will be heading into new territory, and they often encounter unexpected barriers along the way. Public innovators can lift such barriers for social entrepreneurs. In addition, merely by lending credibility and drawing attention to a given issue or initiatives, they can help social entrepreneurs gather momentum (Public innovator, 2008).
3. **Reward social-entrepreneurial initiatives for exceptional performance** - Access to reliable sources of funding are essential to the growth and sustainability of solutions that work. . By tying decisions about funding and purchasing to performance, government can help ensure that solutions that work will sustain and grow their impact (Public innovator, 2008).

4. **Scale successful approaches** - Expanding the reach of a proven solution is often critical if the solution is to become truly transformative. Yet acquiring the recognition, support for dissemination, or funding to scale a successful initiative is notoriously difficult. Government can play a crucial role in expanding the reach of solutions that work by seeking out what works and enabling solutions to scale (Public innovator, 2008).
5. **Produce knowledge** - Government already serves as a critical source of data and standards that help entrepreneurs. Public innovators can play a critical role in ensuring that knowledge is produced, more clear standards are set, and data is easily accessible (Public innovator, 2008).

Social Entrepreneurship by using Entrepreneurship Education

For developing a good and professional social entrepreneurship in a country, government officials and public policy makers should use elements of an effective entrepreneurship education system for educating citizens about the attributes and benefits of quality social entrepreneurship. This section is based on a study of the US-American Consortium of Entrepreneurship Education, which points out five stages to the entrepreneurial spirit.

Objectives of Entrepreneurship Education

Entrepreneurship education is often seen as a special kind of training to become an entrepreneur or to enlarge job prospects of the individual. With this kind of education, various goals are combined. Based on the Expert Group "Education for Entrepreneurship" of the European Commission and the National Consortium of Entrepreneurship Education U.S.A, this section will show the main arguments promoting entrepreneurship education and point out their main objectives. Due to the main intentions some special problems may occur in practice.

There are two special objectives of entrepreneurship education. In a broader view, entrepreneurial attitudes and skills shall be promoted, in a narrow sense a specific training on how to create a business is provided. The European Expert Group agreed about five objectives of Entrepreneurship Education:

Expert group: Education for Entrepreneurship: Objectives of teaching about entrepreneurship

(EGEE 2004: 12)

"Promoting the development of **personal qualities** that are relevant to entrepreneurship, such as creativity, spirit of initiative, risk-taking and responsibility;

Offering **early knowledge** of and **contact** with the world of business, and some understanding of the role of entrepreneurs in the community;

Raising students' **awareness of self-employment** as a career option (the message being that you can become not only an employee, but also an entrepreneur);

Organising activities based on **learning by doing** — for example by means of students running mini-companies or virtual firms;

Providing **specific training** on how to start a business (especially in vocational or technical schools and at university level)."

Similarly the US-American Consortium of Entrepreneurship Education points out five stages to the entrepreneurial spirit.

Entrepreneurship Education, a Lifelong Learning Process (NCSEE 2004 ... nurturing.htm)

<i>Stage</i>	<i>supposed to</i>	<i>Target group</i>
Basics	understand economics and free enterprise identify career options gain prerequisite basic skills	primary grades, junior high, high school
Competency awareness	understand problems of employers discover entrepreneurship competencies	career and technical education
Creative applications	learn how to create new businesses apply specific occupational training	advanced high school career and technical programs, Colleges

	learn entrepreneurship competencies	
Start Up	develop policies and procedures for a new or existing businesses become self-employed	training programs for adults
Growth	solve business problems effectively expand existing businesses	programs to assistant entrepreneurs

Finally the US-National Consortium develops 403 content standards, grouped to 15 major standards, again to three sections of entrepreneurial skills, ready skills and business function.

Major Standards of entrepreneurship education (<i>NCSEE 2004... standards_detail.htm</i>)		
Entrepreneurial Skills	Ready Skills	Business Functions
<ul style="list-style-type: none"> – Entrepreneurial Processes: discovery, concept development, resourcing, Actualization, Harvesting – Entrepreneurial Traits / Behaviour: Leadership, Personal Assessment and Management 	<ul style="list-style-type: none"> – Business Foundations: Business concepts and business activities – Communications and Interpersonal Skills – Digital skills – Economics: Basic Concepts, Cost-Profit Relationships, Economic Indicators / Trends, Economic Systems, International Concepts – Financial Literacy: Money Basics, Financial Services, Personal Money Management – Professional Development: Career Planning, Job-Seeking Skills 	<ul style="list-style-type: none"> – Financial Management – Human Resource Management – Information Management – Marketing Management – Operations Management – Risk Management – Strategic Management

The content standards have to be understood as a kind of comprehensive tool box including business and economic knowledge as well as personal and ethical competences. However, they are not targeted to specific grade levels.

Conclusion

Entrepreneurship, or entrepreneurial activity with an embedded social purpose, has been on the rise in recent decades. A partial indicator of this surge is revealed by the growth in the number of nonprofit organizations, which increased 31% between 1987 and 1997 to 1.2 million, exceeding the 26% rate of new business formation (*The New Nonprofit Almanac and Desk Reference*, 2002). However, the dynamic is even more robust, as other forms of social entrepreneurship, beyond that occurring within the nonprofit sector, have also flourished in recent years (Austin, 2006). The recent boom in social entrepreneurial activity makes a comparative analysis between commercial and social entrepreneurship timely. Social entrepreneurship is still emerging as an area for academic inquiry. Its theoretical underpinnings have not been adequately explored, and the need for contributions to theory and practice are pressing (Austin, 2006).

Social Entrepreneurship by itself shows up frequently in the media, is referenced by public officials, has become a common topic of discussion on university campuses, and informs the strategy of several prominent social sector organizations. The reasons behind the popularity of social entrepreneurship are many. On the most basic level, there's something inherently interesting and appealing about entrepreneurs and the stories of why and how they do what they do. As well, government officials and policy makers should try to expand social entrepreneurship talents in the society for expanding economic conditions and the quality of life.

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The Crime-Terror Nexus: Transformation, Alliance, Convergence

Peng Wang

School of law, King's College London
London WC2R 2LS, England, United Kingdom
E-mail: peng.wang@kcl.ac.uk

Abstract

The crime-terror nexus includes two independent, but related, components. First, it incorporates the straightforward involvement in criminal activities by terrorists as a source of funding, and second, it refers to the linkages between organized criminal organizations and terrorist groups. Indeed, the criminal and political organizations appear to be learning from each other, adopting each other's tactics and strategies and frequently partner with one another. The crime-terror nexus is directly challenging the security of U.S. and other nations, thus having an in-depth understanding of the crime-terror nexus is the first step toward problem solving.

Keywords: Organized Crime, Terrorism, Crime-Terror Nexus, Transformation, Alliance, Convergence

1. Introduction

During the Cold War, the problems of transnational organized crime and terrorism were relatively insignificant, and often considered separate phenomena. However, tremendous changes in the international environment at the end of the cold war, and subsequently as a result of the loss of their main donor—the disintegration of the Soviet Union—created conditions that challenged the financing system of terrorism (Makarenko, 2004; Shelley, 2002). Moreover, the United States has played a dominant role in the “war against terror” through the suppression of the financing of terrorism after the 11 September 2001, including freezing assets and blocking the financial transactions of informal banking system and financially crippling individuals, charities and welfare organizations associating with terrorists (McCulloch and Pickering, 2005). The evaporation of funding sources encourages terrorist groups to develop into “Narco-Terrorist”, who increasingly engage in drug trafficking and other illicit organized crime to acquire money and material (Dishman, 2001).

On the other hand, transnational criminal organizations are equally affected by changing circumstances, which has grown into powerful hybrid criminal/terror entities with “in-house” capabilities of engaging in terrorism activities in order to get maximum illegal profit (Dishman, 2001; Sanderson, 2004). Indeed, transnational criminal groups and terrorist groups share many operational and organizational similarities and characteristics. They often learn from one another and imitate each other's successes and failures and frequently partner with one another in their organizational construction and practical operation so as to keep one-step ahead of law enforcement (Levi, 2007; Makarenko, 2004; Shelley and Picarelli, 2002; Sanderson, 2004). The nexus between transnational organized crime and terrorism is increasingly complex and sophisticated, which is directly challenging the security of states at a national and international level (Wang and Wang, 2009). The counter-terror system cannot deal with the 21st century's problems by applying methods, strategies, principles and tactics rooted in the last century. Thereby, it may be argued that having an in-depth understanding of the crime-terror nexus is the first step toward problem solving.

This article focuses not only on analyzing great changes of the financial system of terrorism, but also on examining how terrorism and organized crime intersect and converge that now become a national security threat. In particular, this analysis comments on reasons and opportunities that led the transnational terrorists undertaking the organized crime so as to raise revenue and the financial support. The article also examines numerous factors that enable terrorists and newer organized crime organizations to partner with each other in tactic and strategic ways. There is no evidence to prove that convergence of the two entities has existed and they have become the same or quite similar entities. The two actors share both organizational and operational characteristics and tend to adopt similar methods but they are striving for divergent ends (Shelley and Picarelli, 2002; Sanderson, 2004; Makarenko, 2004). For transnational terrorists, the usage of ordinary criminal activities is to support their political ends and ideological objectives. While transnational organized criminals lack an ideology and involve in organized crime primarily for economic ends (Shelley and Picarelli, 2002).

2. Suppressing the Financial System of Terrorism

In the past, al-Qaeda as the most powerful terrorist group based in Afghanistan has preferred to interact with crime networks in a limited way and to run its own criminal enterprises for very specific reasons (Wannenburg, 2003). Moreover, Wannenburg argues that “al-Qaeda depended heavily on reverse money laundering, that is, channeling funds from clean sources such as Islamic charities, individuals and legitimate businesses to its military council” (2003:6).

After the 11 September 2001 attacks on the United States, the US has adopted a very broad and strict approach to combat the financing of terrorism (McCulloch and Pickering, 2005; Wannenburg, 2003). Combating the financial system of terrorism is a significant factor in the “war against terror” (Ayers, 2002). Following the direction of the United States, a lot of international and national measures have been carried out—the UN Security Council Resolution and the International Convention for the Suppression of the Financing of Terrorism, for instance (Sheppard, 2002; Hardister, 2003). The United States has the capability of targeting and naming groups and individuals as terrorists as well as freezing the funds of terrorism and deterring people from associating with such terrorism organizations (McCulloch and Pickering, 2005). These measures extremely expand the power of law enforcement to suppress the financing of terrorism; however, even some supporters of the US “war on terror” agree that these aggressive measures seem to “overreach and intrude into the national politics of other countries” (Hardister, 2003:660). In this case, Hawala, one of main informal banking systems, was forced to close and its businesses removed as well as a large sum of assets have been frozen and blocked, because of its terrorist connection (Fox News, 2002). Bank accounts of welfare, Islamic charities, individuals, social justice organizations and companies suspected of associating with al-Qaeda and other terrorist groups have been blocked or are under scrutiny by authorities (Goodstein, 2003). The total sum of 112 million dollars in funds linked to al-Qaeda and other groups sympathetic to it has been frozen (US Center for Defence Information, 2002).

The connection between terrorist and transnational organized crime has frequently occurred consistent with its ideology and also “reflects its recognition of the need to become self-sufficient in the post-September 11 environment”, especially in view of the fact that more than 165 countries have enacted national counter-terrorism measures and frozen the assets of individuals and organizations that are allegedly connected to terrorism (Wannenburg, 2003:3). Thereby, many terrorist groups are increasingly reverting to criminal activities in order to find alternative sources of funding.

3. What Enable and Sustain the Crime-Terror Nexus?

Increasingly since the loss of state sponsorship after the Cold War and the subsequent crackdown on the financing of terrorism led by the United States, the use of organized criminal activities has become an important revenue source for terrorist groups. Theoretically, when referring to the relationship between organized crime and terrorism, “the nexus most commonly applies to the straightforward use of crime by terrorist groups as a source of funding”—such as engaging in drug trafficking or involving in credit-card fraud (Makarenko, 2004: 130). The other aspect of the nexus has simultaneously been used to relate to the linkages between organized criminal organizations and terrorist groups (ibid).

3.1 Similarities between organized crime and terror groups

In addition to suppressing the financial system of terrorism, there are a number of reasons and opportunities that enable terrorist to embrace organized crime as a main source of funding. First and foremost, both organized criminal organizations and terrorist groups share numerous inherent organizational and operational similarities (Dishman, 2001; Shelly, 2002; Makarenko, 2003; Sanderson, 2004).

Similarities between organized crime and terrorist groups include:

- Both are generally rational actors
- Both use extreme violence and the threat of reprisals
- Both use kidnappings, assassinations, and extortion
- Both operate secretly, though at times publicly in friendly territory
- Both defy the state and the rule of law (except when there is state sponsorship)
- For a member to leave either group is rare and often fatal
- Both present an asymmetrical threat to the United States and “friendly” nations
- Both can have “interchangeable” recruitment pools

- Both are highly adaptable, innovative and resilient
- Both have back-up leaders and foot soldiers
- Both have provided social services, though this is much more frequently seen with terrorist groups (Sanderson, 2004: 53).

Similarities between organized crime and terror groups make it possible for the two entities to adopt each other's characteristics and tactics. In this case, terrorist groups begin to develop their own revenue through engaging in a number of organized criminal activities, including narcotics trafficking, Intellectual Property Crime, credit card fraud. Moreover, the similarities between the two entities are a basis factor for the links between organized criminal organizations and terrorist groups.

3.2 Points of Divergence for Organized Crime Groups

Longstanding transnational organized criminal groups and the newer crime groups have a very different relationship to terrorism (Shelley, 2005). The longstanding organized criminal groups—including the Sicilian Mafia, the Russian Mafia and the Hong Kong Triads—possess long term financial strategies and are depending on the long-established states (Gambetta, 1993; Chu, 2000; Varese, 2001). The linkage between these traditional groups and the state seems like symbiotic relationship, thus these groups benefit a lot from the post-war recoveries of their countries (ibid). For instance, the Hong Kong Triads have transformed into entrepreneurs in order to adapt to the changing economic circumstances, such as the involvement of Triad in interior decoration business (Chu, 2000). The Japanese Yakuza even “serves the state” through corrupting law enforcement, which creates mutual benefits for organized criminal groups as well as police (Hill, 2003). Therefore, the older crime groups usually reject association with terrorists. A notable example is the Russian Mafia:

The Russian Mafia is not willing to ally with terror groups or involve in the CBRN market (Dishman, 2001). National security experts and analysts have focused their attention on the Russian Mafia because they feared that the Russian organized criminals would cooperate with terrorist groups and involve in moving CBRN material out of Russian in order to gain huge amount of money. However, there is no evidence to prove that the Russian Mafia has engaged in this business. The Russian Mafia are satisfied with their steady and huge profits raised from their traditional and low-risk business, such as private protection service, debt collection, extortion and legitimate business (Varese, 2001). On the other hand, involvement in trafficking CBRN materials tend to bring a fierce response from the Russian authorities and huge political pressures from the United Nations, the doom of the Russian criminal groups would be inevitable (Lee, 1998).

Additionally, there remain cultural, operational, and practical differences between older criminal groups and terrorist groups, thus the different aims and motivations of the two entities also make them difficult for collaboration (Dishman, 2001; Sanderson, 2004; Shelley, 2005). In practical and political terms, older criminal groups are engaging in organized crime without attracting the public attention, while terror groups tend to draw unwelcome law enforcement attention (Sanderson, 2004). The older criminal organizations are closely associating with the law enforcement agencies through the political-criminal nexus (Chin and Godson, 2006). Thereby, the United State keeps a close eye on terror groups rather than organized criminal groups, as a result, most states would participate actively in counter-terrorism campaign (Sanderson, 2004).

Other important distinctions are motivations and aims. The organized criminals are not concerned with influencing and affecting public opinion; they are involving in organized crime to their solely to criminal profits and illicit wealth. On the other hand, terrorists are engaging in either terrorism activities or criminal activities in order to seek their political ends (Hoffman, 1998; Shelley & Picarelli, 2002). In this case, organized criminal groups more likely to acquire “in-house” capabilities to guarantee their organizational security and organizational operations without cooperate with other terrorist groups.

However, some newer transnational crime groups, often originating in ungovernable regions, are now establishing their links with terrorist groups; because the criminal groups do not possess long-term and efficient financial strategies and they want neither nether stability nor strong states who can control them. Another significant reason is that new transnational groups likely take advantages of the chaos of war and dysfunctional state functions and generate huge profits from cooperating with terrorists (Shelley, 2005). Consequently, the new types of transnational crime groups share consistent interests with terrorist and they gradually form terrorist-transnational crime relationship. As Louise Shelley (2005: 105) argues that “the terrorist-transnational crime relationship extends beyond a marriage of convenience that generates profits or provides logistics: it goes to the very heart of the relationship between crime groups and the state”.

Insert Table 1 Here

In sum, it is clear that the contradictory financial and political aims and motivations between traditional criminal syndicate and terrorist group lead to great challenges for their collaboration (Dishman, 2001; Makarenko, 2004). Most traditional criminal organizations are mainly in the process of self-transformation and rejecting association with terrorist organizations. Traditional criminal organizations and terrorist groups are inclined to go through self-transformation to advance aims and interests (Dishman, 2001). Transnational criminal organizations are growing into hybrid organizations with “in-house” capability of employing mass, indiscriminate violence. Meanwhile, terrorist groups tend to transform into criminal organizations who are interested in generating revenue in order to achieve political objectives. The situation would change only if these traditional groups were seriously crippled and compelled to combine with terrorists for combating their common enemies—the state authorities.

On the other hand, the alliances of transnational criminal organizations (especially for new crime groups) and terrorist groups indeed exist and constantly occur depending on their consistent interests. There are two comparative modalities between organized criminal group and terrorist group—strategic and tactic linkages based on a variety of reasons, such as pursuing operational support and professional skills (Williams, 1995). Furthermore, the crime-terror continuum will arrive at convergence stage, which means organized crime and terrorist groups can converge into one single entity displaying both groups’ characteristics— a powerful and destructive organization seeking political and financial ambition (Makarenko, 2004). Furthermore, increasing pressure from international law enforcement with result in the breakdown of illicit organizations is creating new and dangerous opportunities for collaboration between criminals and terrorists and network extension (Dishman, 2005).

4. Transformation Organizations

Combating the financing of terrorism has led some terrorists to transform their organizations into transnational criminal organizations with “profit-minded agencies” in order to effectively seek their political ends; these groups then engage in illegal activities in order to generate revenue for financial or organizational needs (Dishman, 2001; Sanderson, 2004). As U. S. intelligence analyst Chris Dishman points out that there are different degrees of transformation: at one extreme, transformation has not occurred, such as the EZLN and the Russian Mafia who have not “transformed any of their organization and remain politically and criminally ‘authentic’”; at the other extreme, terrorists abandon their ultimate aims and political motivations and completely transformed into different type of groups with vary ends (2001: 48).

There is one strong viewpoint that terrorists are accustomed to receiving financial support from other parties, which leads them to mimic and ally with organized crime groups that could successfully generate funds though engaging in illicit cross-border activities over a long time (Sanderson, 2004). However, it seems that some terrorists have actually developed into self-sufficient organizations with “in-house” criminal capabilities through the process of self-transformation.

4.1 Narco-terrorism

The nexus of terrorism and narcotics has been described as narcoterrorism, and drug trade is now becoming one of main sources of profits for both terrorists and transnational organized crime (Zagaris, 1991; Shelley and Picarelli, 2002). In the drug trade, those who are in charge of refining and distributing the drug tend to share the largest proportion of the profit, while producer groups receive the least profit. In this case, narcotics production and trafficking in the Central Asian are often cited as one significant factor for the rise of the Islamic Movement of Uzbekistan and the Taliban and Al-Qaeda (Shelley and Picarelli, 2002).

All the evidence suggests that the primary motivation of the IMU prior to September 11 was criminal, the IMU successfully maintain and secure narcotics transportation interests through terrorist activities and has become a leading trafficker of opiates into Central Asia (Makarenko, 2002). However, the ultimate motivation of the IMU has been changed. As Tamara Makarenko describes that:

“Current anecdotal evidence suggests that Yuldashev is reforming the IMU, and thus likely attempting to reserve membership to individuals dedicated to radical Islamic ideals. In the absence of a financial and operational support base that once existed in Afghanistan, it however remains likely that a resurgent IMU will continue to depend on narcotics trafficking to secure financing. Thus unless the regional drugs trade receives greater international attention, the IMU’s continued involvement in trafficking operations may eventually secure the funding required for it to overtly seek political objectives through terrorist activities.” (2002:15)

As for Taliban, it would be incorrect to maintain that the Taliban played the dominant role in the planting, cultivation, production and trafficking of all opiates. The main finances of Taliban were generated from the

cross-border smuggling of licit commodities and credit card fraud as well as robberies (Makarenko, 2002; Wannenburg, 2003).

4.2 The Provisional Irish Republican Army

The Provisional Irish Republican Army (IRA) was a militant organization whose aim was to remove Northern Ireland from the United Kingdom and set up the United Ireland through terrorist activities and guerilla warfare before its campaign of violence was over in 2005 (Dillon, 2003). Following the worldwide campaign of crackdown on the IRA's financial system had achieved remarkable effect; the IRA was compelled to find the alternative sources of funding. The IRA likely encouraged its members to involve in criminal activities in order to raise funds for organizational needs, rather than ally with any other organized criminal organizations (Dishman, 2001). These activities the IRA members involved in were policing, bank robbery (David and Sean, 2005), fuel laundering (Jim, 2008) and kidnapping (Diarmaid and Bronagh, 2008) for the purposes of raising funds.

The IRA is a classical example of a mutual terrorist group who stepped into organized crime but the aims and motivation of the group's were still paramount (Dishman, 2001). The IRA to some extent acted like mafia, which provided the private or criminal protection for citizens and in return gained plenty of money. The IRA have successfully developed into an organization with "in-house" ability of involving in organized crime so as to become self-sufficient entity, thus they rarely seek alliance with other criminal groups for fundraising.

5. The Linkages between Transnational Criminal Organizations and Terrorist Groups

Transnational linkages between criminals and terrorists have occurred on some level for centuries, but have evolved during the past several decades because of the increasing international law enforcement pressure (Makarenko, 2004). The worldwide anti-terror campaign and an extremely broad approach of repressing terrorist funding make cooperation become a rational choice for both organized criminal groups and terrorists. Moreover, the crime-terror nexus could also take advantage of the communication technology and advanced equipment to minimize their risk getting caught. The linkages between organized criminal groups and terrorists have occurred in a combination of ways, both tactical and strategic. A tactical relationship means one-spot or short timeframe cooperation without any complementary enduring goals. In contrast, strategic alliances between organized crime groups and terrorists base on their consistent interests and aim to achieve mutual expectations of long-term goals (Williams, 1994; Dishman, 2004).

5.1 Tactical Alliances

In much the same way, different aims and motivations of political and criminal groups lead organized crime groups and terrorists more likely to cooperate on a short-term basis (Dishman, 2001). Most of the evidence of linkages between the two entities could prove that cooperation tend to be one-spot alliance or functional cooperation within shorter time. Whether criminal organizations seek cooperation with terrorists or terror groups form alliances with criminal organizations, these linkages are based on a variety of reasons. Alliances are established in order to share "expert knowledge" (i.e. bomb-designing, money laundering, communication technologies) or "operational support" (i.e. access to trafficking routes) (Makarenko, 2004: 131). Terrorists groups are just getting access to criminal activities and develop their own revenue through contacting with organized criminal organizations. While, cooperating with terrorists could help organized crime groups gain significant profits through the prolongation of conflict, corruption and undermining law enforcement (Shelly, 1999). But their alliances turns out to be superficial and short-time because both of them try to keep their group's secret (Associated Press, 1982).

The Irish Republican Army (IRA) and FARC.

Although the IRA seldom contacted with other criminal groups because its self-sufficient financial system, a notable example indicated that its cooperation with other criminal groups did exist. Three members of the IRA engaged in cooperating with the FARC and shared their expert knowledge of bomb-making (Sanderson, 2004). The linkage between the IRA and the FARC can be regarded as "one-spot" cooperation designed for specific aims and operational needs.

The Italian Red Brigades and the Naples Camorra.

Another example of short-lived cooperation between organized criminal groups and terrorists is the Italian Red Bridges formed an alliance with the Naples Camorra in the early 1980s (Dishman, 2001). Although, their motivations and views are extremely different from each other, the reasons the Red Bridges attempted to establish this alliance was their organization and terrorism activities had been seriously crippled by Italian authorities. As a result, the Camorra and Red Bridges wanted to exchange services for a brief of time and

combated their common enemy—the Italian authorities. For instance, the police reported that the Red Brigades and the Camorra partnered with one another in order to kill or kidnap a number of police officers and senior politicians (ibid).

Alliances in the international drug trade operations.

For example, Colombian police have reported that the Medellin cocaine cartel hired ELN guerrillas to plant car bombs in 1993 because the Medellin was lacking of in-house capabilities of engaging terrorist acts (Clawson and Lee, 1996). Furthermore, Colombia's AUC terrorist took part in Drugs-for-Guns deals in 2002; this type of transaction was regarded as one of the most serious criminal problems for the United States (Charles, 2002). A similar relationship was that Russian criminal groups sent massive quantities of weapons to Colombia for exchanging cocaine (Makarenko, 2004).

5.2 Strategic Alliances

Since transnational criminal organizations and terror groups gain significant benefits (i.e. profit maximizing and risk reduction) from their one-spot cooperation, it is increasingly difficult to prevent them from alliances in strategic way. Sustaining cooperation between organized crime and terrorists seems to be a possible thing because they are running in the same circles— they already operate out of the law and they often create and take advantages of the same surrounding (i.e. little governmental control, open borders, chaos of national boundary and dysfunction of law enforcement) as well as they usually need the same resources, including “false identification, shipping documents, operators, transportation networks, and counter-surveillance techniques” (Sanderson, 2004: 53). Moreover, the increasing tension of counter crime-terror policy is another growing problem for both organizations, strategic alliances make them possible combine together to combat their common enemy—the state authorities.

In most cases, it is clearly that some of the alliance between criminal and political crime groups can be regarded as a rational way of risk reduction. Organized crime groups and terrorists often operate based on their networks, organized crime groups can seek protection from terror groups in order to guarantee their criminal profits, and terrorists can hide themselves through cooperating with organized crime groups (Shelly, 2002). Furthermore, organized crime groups and terrorist usually share the similar money laundering measures and financing ways (Ridley, 2008).

Crime, Terror and the Central Asian Drug Trade.

Central Asian criminal network is an exemplary example which indicates the strategic alliance between organized crime groups and terrorists. There are three types of groups are interested in profiting from the lucrative narcotics trade: drug mafia, transnational criminal organizations and terrorist groups (Makarenko, 2002). These groups have established extensive smuggling networks and developed into a criminal empire that are dominant in the global supply of illicit opium. Moreover, Makarenko (2002: 6-16) in his article gives a detailed description in the following:

The first group associated with the central Asian drug trade is drug mafias. They are acting as middlemen and holding one of two extreme poles of the crime-terror nexus in the regional trade. Drugs mafias are mainly engaging in distributing opium poppy seeds to local farmers, or assisting local farmers with financial support to encourage them to plant opium poppy crops. Moreover, drug mafia act as the first line of buyers in the international drug trade so that they play significant role in this criminal empire. The second type of group is transnational criminal organizations. These groups seem to be an important linkage between regional and international actors, which pose the single greatest threat to the region. Transnational criminal groups have formed a variety of drug trade networks and transport large quantities of drugs to different parts of the world. The last group of actors engaged in Afghan/Central Asian drugs trade is terrorist groups, including Taliban and the Islamic Movement of Uzbekistan. Unlike the ongoing misunderstanding that the Taliban played the dominant role in the producing and trafficking of all illicit drugs in Afghanistan, the Taliban plays a limited role in drugs trade because of the power of domestic drug mafias and warlords in this region. As a result, the Central Asian drugs trade has been controlled by the crime-terror nexus where domestic drug mafias, transnational criminal groups, warlords and the Taliban converge.

Chechnya

Enduring cooperation has also occurred between two separate groups—the Moscow-based Chechen Mafia and Grozny-based Chechen guerrillas. Chechen guerrillas have engaged in assassinations, kidnappings and terrorism activities which irritated Moscow Government. Russia chose war against Chechen rebels and destroyed Chechen's cities and killed a large number of the Chechen people as well as suppressed Chechen Criminal

syndicates in order to create a stable environment (Menon and Fuller, 2000).

Although the aims and ideological beliefs of these two groups differ from each other, an extensive crackdown on Chechen Mafia activities compelled Chechen criminals to change their mind and seek to cooperate with the Chechen rebels (Dishman, 2001). The Russian Interior Ministry reported that the Chechen Mafia was responsible for offering financial support to Chechen guerrillas. In return, the Chechen Criminals would obtain protection services, intelligence and weapons. In this case, the Chechen rebels could successfully engage in retaliatory acts in Moscow and two other cities that killed approximately 300 people in 1999 (Insight on the News, 1999).

5.3 Convergence

Since the end of the cold war, the increasing rise of transnational organized crime organizations and the changing nature of terrorist groups are creating new opportunities to resist their common enemies through collaboration. According to Tamara Makarenko (2004) and Chris Dishman (2005), the final point of the crime-terror continuum is convergence. The convergence of crime-terror nexus means these two groups arrive at one situation in which organized crime groups and terrorists gradually become the same or very similar organizations with a convergence of views or beliefs. Thus, as Makarenko presents that:

“The criminal and terrorist organizations could converge into a single entity that initially displays characteristics of both groups simultaneously; but has potential to transform itself into an entity situated at the opposite end of the continuum from which it began. Transformation thus occurs to such a degree that the ultimate aims and motivations of the organization have actually changed.” (2004: 135)

However, there is no evidence to prove that the criminal and political groups have converged into a single entity with similar ideologies, motives, and views of success and failure. Cooperation between these two groups in a tactical way has occurred frequently based their contemporary consistent interests, but strategic alliances have occasionally happened based on their long-time common goals. While different aims and ideological beliefs of these two entities are obvious and conflicts between them do exist, these realities make the two entities extremely difficult to maintain long-time cooperation or combine into one single entity. However, the criminal or terrorist group would transform itself into one entity with features of both groups.

It seems that state authorities could not judge organized criminal group and terrorist by their cover (Dishman, 2001). Criminal groups may display political motivations, they would adopt terror tactics to obtain political leverage or initially use terrorism to control natural resources and financial institutions, and subsequently they would gain political power over the state (Makarenko, 2004). On the other hand, terrorist groups may increasingly focus their attention on criminal activities that they merely maintain a public façade, but underneath, they have transformed into another kind of groups with different end game (Dishman, 1999).

6. Conclusion

There is no definite conclusion that how organized crime and terrorism intersect and converge. During the period from 1999 to 2009, the model of “crime-terror nexus” was developed and followed by the various of works written by distinguished academics, such as Levi, Dishman, Fijnaut, Makarenko, Shelley and Sanderson. The alliances between criminal and political groups in a combination of ways, both tactical and strategic, would always depend on their specific purposes and the particular changing surroundings. Transnational organized crime groups (i.e. the Sicilian Mafia, the Hong Kong Triads, and the Russian Mafia) usually refuse to cooperate with terror groups because of their longstanding financial strategies and stable state contacts. The situation would change only if these traditional groups were seriously crippled by the state authorities and they have been compelled to combine with terrorists for survival. In contrast, more recently formed crime actors thriving in ungovernable regions and on-going conflict have a very different attitude to the terrorists. The newer groups do not have long-established financial strategies or long-time ideological beliefs, thus they would seek to cooperate with terrorist groups for short-time survival.

The cultural, ideological, political, operational and practical differences between these criminal and political groups are obvious, thus it can be argued that these two groups are more likely to engage in self-transformation rather form alliances with other groups. Moreover, the tactic and strategic alliances between organized crime and terrorist organizations have frequently occurred depending on the changeable situation. It is inherently difficult for these two groups to maintain their harmonious relationship for a long time because of their separate aims and motivations. Furthermore, the cooperation between criminal and political groups remains in the tactical or strategic phase, there is not enough evidence to test and verify that these two groups have converged into one single entity displaying natures and characteristics of both groups at the same time.

Makarenko (2003) points out that the nexus between organized crime and terrorism has occurred and developed

because of their “common convergence of causes”. Shelley (2005) also maintains that the regions in which transnational crime groups and terrorists interlink, particularly in a state of chaos and on-going conflict as well as regions with the largest shadow economies have provided a safe haven for the nurturing of the crime-terror nexus. Moreover, Ridlay (2005) offers that the linkages are related to certain states, either in economic transition or failing states, because the criminal activities and the intersection of both groups are least risky in these regions. In addition, Sanderson once said that the crime-terror nexus seems like this lethal cocktail, “consisting of one part criminal, one part terrorist and one part weak or corrupt state, poses a formidable and increasingly powerful challenge to U.S. and global interests” (2004: 59).

To sum up, the crime-terror nexus is becoming increasingly intensive and requires efficient responses. In this case, it seems that a state cannot judge illegal transnational organizations by cover, and thus seek to formulate effective responses through employing the significant overlapping strategies and policies between counter-terrorist and anti-crime. Therefore, countering money laundering as the utmost target in the process of ending terrorism and organized crime should concentrate on information exchange and copy successful practices among different agencies at a national and international level. If governments and international organizations were more responsive and agile than transnational terrorist and organized crime groups, it might be the termination of these problems. (Word Count: 5380)

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Table 1. Transnational crime and terrorism (Varese, 2000; Shelley, 2005:106; Chin and Godson, 2006)

	Traditional organized crime	New transnational crime
The term of fundraising	Long-term financial interests	Short-term financial interests
The history of groups	Longstanding crime groups Such as the Sicilian Mafia, the Russian Mafia, the Hong Kong Triads the Japanese Yakuza	Recently formed crime groups Such as drug-trafficking and human smuggling groups.
Relationship to the Nation-State	Symbiotic relationship, Criminal-Political Nexus, grows with the weak state.	Take advantages of dysfunctional state institutions and porous borders, develops with the weak state.
Relation to Terrorism	Usually rejects association with terrorists. Only if they are seriously crippled by the state authorities.	Frequently seek relates with terror groups for short-term survival.

Study on Commitment Escalation Based on the Self-esteem Level of Decision-makers and the Sunk Cost of a Program

Kai Yao

School of Management, Fudan University
Shanghai 200433, China
E-mail: yaokai@fudan.edu.cn

Xiaoming Cui

School of Management, Fudan University
Shanghai 200433, China
E-mail: cuixm-1986@163.com

Abstract

The phenomenon of "commitment escalation" originated from decision makers, and is part never encountered by traditional risk control theory. The phenomenon of commitment escalation frequently occurs in decision making of an enterprise, which seriously affects cultural establishment and training of core competition of the enterprise. In order to search for explanatory variables of "commitment escalation", authors of this article introduced "self-esteem level" and "sunk cost level" for examination, employed scenario simulation experiment and the analytical technique of contingency table for a statistic test. The research results indicate that, when faced up with the high level of sunk cost, the decision maker is more likely to choose commitment escalation than when faced up with the low level of sunk cost, no matter the self-esteem level of the decision maker is high or low; when faced up with the same level of sunk cost, the decision maker with high self-esteem level is believed to be much more likely to choose commitment escalation than the one with low self-esteem level.

Keywords: Self-esteem level, Sunk cost, Commitment escalation

Traditional decision making theory is established on the presupposition of "full rationality of decision makers", focusing on factors related with the project itself, such as "market environment" and "prospective earnings", and neglecting the behavioral factors of decision makers who are at the topmost of the decision making system. The Prospect Theory (Kaheman, 1979) brought the "bounded rationality" of decision makers into traditional decision making system, which enabled behavioral factors and personal traits of decision makers to be generally concerned.

Commitment escalation refers to a phenomenon that when decision makers are faced up with a series of negative action consequences information, they still hold on to the previous decision plan and continue to invest more resources and human power into unfavourable projects, which may get the enterprise more and more into hot water (Note 1). Since 1976 when Barry·M·Stow discovered the phenomenon of commitment escalation through his study on "relationship between possibility of decision makers to assume responsibilities and tendency of commitment escalation", the issue of commitment escalation has become a difficult subject in decision making and the focus of studies by managerialists, psychologists and sociologists. However, according to study by Chee Chow (2000), the phenomenon of commitment escalation existed generally in Chinese enterprises, which would exert great influences upon scientificity of decision making. In this article, the authors are going to employ the method of scenarios simulation experiment based on "bounded rationality" of decision makers and analyze influences of personal traits of decision makers on commitment escalation through data collection and processing, which will open a new train of thought for decision making risk control.

1. Literature review and research hypothesis

1.1 Literature review

Barry. M. Stow made an exploratory analysis in the phenomenon of "commitment escalation", which had a great effect on management of decision making, and accordingly, a large number of research achievements appeared in

the fields of management, psychology and organizational behavior. As for studies on “commitment escalation”, we can sort out from the following two aspects.

1.1.1 Study on influential factors of “commitment escalation”

It is a main route for study on commitment escalation to search for new explanatory variables for the phenomenon of “commitment escalation” by decision makers. Stow (1976) found out influences of “whether decision makers should assume direct responsibility” on “commitment escalation”. Afterwards, a great many academics continued to try new characteristic variables to seek for new explanatory variables for “commitment escalation” by decision makers. There are mainly the following typical variables: “sunk cost” (Stow, 1981; Greer, 2001; Scott, 1998; Ren Xulin, 2006, etc.), “factors of organization” (Brockner, 1992), “political factors” (Ren Xulin, 2006) and “progress of implementation of a project” (Scott, 1998), etc, which are factors of design projects per se and the aspect of investment environment. Studies on “sunk cost” are most extensive, and have become the core factor for study on the phenomenon of commitment escalation, because “self explanation” and “sunk cost” are understood as obligatory investment foundation. Stow studied “tendency of commitment escalation”, “strength of commitment escalation” and “degree of self confidence in their subsequent decision” by decision makers when they were faced up with “sunk cost” and “unfavorable news”, which made “sunk cost” become a significantly indispensable variable for study on commitment escalation of decision makers (Stow, 1981). Domestic academics Ren Xulin and Wang Chongming made a comparison of “tendency of commitment escalation” between “entrepreneur” and “managerial personnel” in face of “unfavorable news”, and made an instructive contrastive analysis by presenting the role of “sunk cost” to decision makers of different sorts (Ren Xulin, 2006).

Existing researches have already proved the indispensability of “sunk cost” in study on “commitment escalation” as a significant variable. In this article, the authors will go on with study on “sunk cost” by Stow (1981) and conduct control over it as a primary variable.

1.1.2 Study on personality trait of decision makers

The biggest breakthrough of application of personality trait of decision makers into study on “commitment escalation” lies in its challenge to “complete rationality in economics”. Focus of traditional study on risk control is on market and environmental factors, neglecting behavioral factors of decision makers, which is exactly assumption based on “complete rationality of decision makers” in economics. By contrast, relevant studies of “Prospect Theory” and “Behavioral Economics” have brought “bounded rationality” of decision makers into traditional economic decision making, which will open new train of thought for study on commitment escalation. “Bounded rationality” is a kind of ambiguous assumption, that is, degree of rationality of decision makers varies with different people, whereas the personality trait of decision makers is just an important factor to affect “bounded rationality” of decision makers.

Barry. M. Stow (1981) made an exploratory attempt to bring the personality trait factor of decision makers into study on route analysis of “commitment escalation”, and discovered a certain influential role of personality factor through evidence test of experiment, but he did not present specific route and influential relations. Brockner (1992) selected such factors as “level of self esteem” and “dictatorial democracy trend” of decision makers, but he thought this had no obvious association with “commitment escalation”. Domestic expert Sun Lijun (2006) concentrated on the effect of “personality trait of decision makers” on “commitment escalation”, and selected such factors as “trends of internal control and external control”, “risk propensity” and “endurance of frustration” to examine relationship between personality trait of decision makers and commitment escalation through experimental research. The study indicated, “managerial personnel with higher risk propensity, higher level of self esteem and stronger internal control trend were more likely to choose commitment escalation, and were more inclined to enhance commitment on previous choice when faced up with negative information” (Note 2).

However, in view of current studies on “commitment escalation”, study on personality trait of decision makers is still at its initial stage, and relevant studies are still deficient. Moreover, studies on “level of self esteem” of decision makers are as scarce as hen’s teeth. Then, the Psychologist Carl Gustav Jung (1933) believed, decision makers with “high self esteem” would be more likely to choose opportunity and possibility of “self explanation”, which opens up a new research space for us to study influences of self esteem of decision makers on tendency of commitment escalation.

Generally speaking, most studies on commitment escalation still remain at the first stage, that is, to search for new explanatory variables for the phenomenon of commitment of escalation by decision makers. Study on “personality trait of decision makers” is still at its initial stage, and content, scope, width and breadth of study are

still open for more researches and exploration. Currently, China is in a particular period of economic transition, in which the issue of investment risk from the perspective of the state, industry and enterprise can not be avoided, so this article is going to provide a new breakthrough from the perspective of organizational behavior based on the personality trait of decision makers.

1.2 Research hypothesis

“Sunk cost” refers to the fact of investment which has already been formed in a project decided. According to “self explanation mechanism” in psychology, when decision makers receive unfavorable news about the investment project decided, they would not like to easily acknowledge failure, since his/her personal authority is involved. However, most of the time, decision makers may explain “sunk cost” as the foundation for profits in the future, and “unfavorable news” is merely temporary. Self-esteem level of decision makers affects the psychological activities of decision makers to a great extent. When faced up with unfavorable news about investment decision, decision makers with low self-esteem level would not give too much consideration into protection of their authority, but would make a sensible analysis and make an effective decision to prevent serious commitment escalation. In contrast, when faced up with unfavorable news, decision makers with high self-esteem level would have high aspiration of self explanation to protect their authority and wait for opportunities for a favorable turn of investment, and attempt in vain to bring favorable news by means of additional investment, which may lead to high tendency of commitment escalation. Hence, this article proposes Hypothesis 1 as follows:

H1: When faced up with the same level of sunk cost, the decision maker with high self-esteem level is believed to be much more likely to choose commitment escalation than the one with low self-esteem level;

As for decision makers with high self-esteem level, when faced up with different levels of “sunk cost”, their aspiration of self explanation would also differ from each other, which would affect the tendency and degree of commitment escalation. When “sunk cost” of a small scale is met with unfavorable news, it is quite likely that decision makers have a definite anticipation on malignant profits in the future, and repeal investment decision in order to avoid bigger mistakes from affecting their authority and personal value. On the contrary, when “sunk cost” of a large scale is met with unfavorable news, decision makers would be doomed to assume reliabilities for outcomes of their decision, and pin their hopes on additional investment to bring a possible favorable turn, so they would exhibit high tendency of commitment escalation. Hence, the article proposes Hypothesis 2 as follows:

H2: when decision makers have high self-esteem level, the decision maker faced up with high sunk cost is more likely to choose commitment escalation than the one faced up with low sunk cost;

By contrast, decision makers with low self-esteem level have low aspiration for “self explanation”, and would not invest blindly due to personal authority damaged. Thus, when investment of “sunk cost” with a large scale happens, decisiveness presented by decision makers with low self-esteem level will prevent occurrence of commitment escalation. However, when investment of “sunk cost” with a small scale happens, even if unfavorable news comes, this sort of decision makers would still like to try additional investment for they are not concerned about influences of investment failure on themselves, which will lead to the phenomenon of commitment escalation. Hence, the article proposes Hypothesis 3 as follows:

H3: when decision makers have low self-esteem level, the decision maker faced up with low sunk cost is more likely to choose commitment escalation than the one faced up with high sunk cost;

According to the above analysis, this article selects “self-esteem level” of decision makers and “sunk cost level” of the project as independent variables, and selects “strength of aspiration of commitment escalation” of decision makers as a dependent variable, constructing the following research model:

Insert Figure 1 Here

2. Research design

In order to test effectively the above research hypotheses, we conduct an effective research design by reference to existing studies (Stow, 1981; Brockner & Rubin, 1992; Ren Xulin, 2006; Sun Lijun, 2006, etc.).

2.1 Compilation of scale

2.1.1 Self-esteem scale

Self-esteem scale by Rosenberg (1965) is widely applied in current studies which is constituted altogether by 8 items. The primary issues of the scale involve evaluation of individuals on the ability to deal with a problem. Through calculation of scores of self-esteem, higher score means higher self-esteem level of the subjects, and

otherwise lower self-esteem level.

2.1.2 Scale of strength of aspiration of commitment escalation --- credit questionnaire

This experiment uses the experimental method of scenarios simulation and draws up a scenarios questionnaire by reference to the “credit questionnaire” designed by Stephen ·B· Salter & David ·J· Sharp (2001) and the revision of research by Sun Lijun (2006). The specific scenario is as follows:

Design of experimental scenario

Scenario	<p>Subject: Decision maker of bank credit is faced up with the decision whether to approve a loan</p> <p>Scenario: A user of an enterprise applied for a loan worthy of 5 million Yuan two years ago, which is expired for the time being. However, the enterprise is unable to repay the loan as a result of difficulties in operation, so it applies for another loan in the hope of pulling through and turning losses into gains, and decides to repay these two loans together. If the second loan is refused, then the first loan will become a bad debt and the decision maker of the credit will have to take responsibility for this. If the second loan is approved, whether the enterprise will get out of the trouble has no way to be known. Moreover, according to information grasped by the bank, there is extremely small possibility that this enterprise can turn losses into gains.</p>
Decisions	<p>1= Decline requirement for the loan;</p> <p>2= Approve requirement for the loan.</p>

(Data source: corrected from credit questionnaire by Salter and Sun Lijun)

According to the above experimental scenario, the credit decision maker gets hold of data about operation condition of the enterprise whose possibility to turn losses into gains is extremely low. Under such a circumstance, authors of this article come to the conclusion: if the credit decision maker declines requirement for the loan, he/she is believed to be sensible; if the credit decision maker approves requirement for the loan, he/she is thought to exhibit tendency of “commitment escalation”.

In order to guarantee clear-cut, explicit and unequivocal convey of the experimental scenario, the researchers conducted a strict training on the subject and convey the scenario information in a expressive way without any tendentiousness. The authors make a research in advance on the basis of understanding the scenario and guarantee consistency of the experimental scenario by means of repeated correction.

2.2 Experimental subject

Since this experiment is quasi experiment, requirement for the method of sampling is not that high. This experiment is going to sample 80 persons as the subjects and then they are grouped into four groups of 2*2, each group with 40 subjects. Situation of grouping is as follows:

Insert Table 1 Here

According to above table, subjects in this experiment are altogether grouped into four groups, each group with 20 persons, respectively four scenarios experiments of “low sunk cost --- low self-esteem”, “low sunk cost --- high self-esteem”, “high sunk cost --- low self-esteem” and “high sunk cost --- high self-esteem”.

3. Analysis of the experiment

According to data obtained from the experiment, the authors use spss16.0 for data analysis and employ “reliability analysis” and “validity analysis” to respectively conduct effective reliability and validity test on the scale applied. Then, the authors use “cross tabulation”, “odds ratio” and “chi-square test” to conduct test on interactive effect of “self-esteem level” and “sunk cost”.

3.1 Test on reliability and validity of the scale

3.1.1 Test on reliability

Reliability (Note 3) refers to ratio of variance of proper fractions to that of actually measured fractions in a group of fractions tested.

This study uses Cronbach α to test validity of the questionnaire. According to requirement of psychometrics, if this coefficient is above 0.8, then it is indicated that this survey scale has high internal consistency; if this coefficient is above 0.7 and below 0.8, then it is indicated that internal consistency of this scale is acceptable

(Note 4).

Considering characteristics of this questionnaire, first of all, this article makes a validity test respectively on “scale of self-esteem level” and “credit questionnaire” which measures “level of commitment escalation”, and then conducts a validity test on the entire questionnaire. SPSS is employed for test on the questionnaire, and the result is shown as in Table 2:

Insert Table 2 Here

According to above table, Cronbach α of “scale of self-esteem”, “scale of strength of aspiration of commitment escalation” is all above 0.7, indicating internal consistency of the scale acceptable and with definite reliability.

3.1.2 Validity test

Validity (Note 5) refers to correctness of a test, that is, the degree that a test can exactly test the mental trait or function that is anticipated to be tested, or the degree that results of a test achieve the purpose of the test. The more correctly the purpose is understood, the higher the validity of the test is, which can then prove that results of the test more represent the actual trait of the behavior tested. Usually, validity is divided into content validity, criterion validity and construct validity. This article employs “matrix (Note 6) of multiple methods --- multiple traits” to make an analysis in validity of the questionnaire and presents distinction validity and convergent validity of the questionnaire by listing analysis results in Table 3.

Insert Table 3 Here

According to the validity analysis of Table 3, validity of distinction between “commitment escalation” and “self-esteem level” and “sunk cost” is significant. According to research by Peng Kaiping (1989), this questionnaire has good distinction validity and this scale can be applied to conduct an effective experimental research, whose results will have definite dependability.

3.2 Stratified test on cross tabulation --- Stratification based on self-esteem level

In order to effectively test influences of “self-esteem level” and “sunk cost” on “strength of aspiration of commitment escalation”, here the authors make an analysis of cross tabulation and odds ratio to conduct relevant test.

3.2.1 Test on cross tabulation

Level of “independent variable” is used as evidence of grouping to study influences of the degree of sunk cost on commitment escalation. And cross tabulation in spss16.0 is employed. Then we come to Table 4 which is stated as follows:

Insert Table 4 Here

According to Table 4, and by reference to analytical method of cross tabulation by Wang Jinglong (2008), we can get:

With low self-esteem level, when sunk cost is low, there are actually 8 persons who abandon continuing to invest, expected 13 persons, and there are actually 12 persons who continue to invest, expected 7 persons. When the sunk cost is high, there are actually 18 persons who abandon continuing to invest, expected 13 persons, and there are actually 2 persons who continue to invest, expected 7 persons. Obviously, the expected frequency is not equal to frequency actually observed, indicating relevancy exists between “sunk cost” and “commitment escalation”.

The same situation also happens under the circumstance of high self-esteem level. At this time, great difference also exists between expected frequency and frequency actually observed, which, according to statement by Wang Jinglong (2008), indicates relevancy exists between “sunk cost” and “commitment escalation”.

Although we have got relevancy between “sunk cost” and “commitment escalation” through analysis of cross tabulation, we are not certain of the test on the above hypotheses. In order to further formulate convincing hypothesis, we conduct a chi-square test on verify results of cross tabulation analysis.

3.2.2 Chi-square test

A chi-square test on results of the above cross tabulation, we come to Table 5 as follows:

Insert Table 5 Here

Chi-square test is not only verification of the aforementioned “stratified cross tabulation”, but is also important

evidence for deduction of hypotheses in this study. According to the statistical research results in Table 5, we can get:

With low self-esteem level, the value of chi-squared statistic is .99, and p-value of the test statistics based on Pearson chi-square (Note 7) is 0.01, being significant under the condition of significance of 1%, indicating influence of “sunk cost” on “commitment escalation” is significant with low self-esteem level and verifying conclusion of cross tabulation analysis.

With high self-esteem level, the value of chi-squared statistic is 3.58, and p-value of the test statistics based on Pearson chi-square is 0.048, being significant under the condition of significance of 5%, indicating influence of “sunk cost” on “commitment escalation” is significant with high self-esteem level and verifying conclusion of cross tabulation analysis.

3.2.3 Test of odds ratio

According to the aforementioned “stratified cross tabulation analysis” and “Chi-square”, we have already been aware of the significant relevancy between “commitment escalation” and “sunk cost” with high self-esteem level and low self-esteem level”. Furthermore, we would like to have an idea about degree of this relevancy so as to better guide practice in an enterprises. Therefore, according to the aforementioned test results, this article makes a test of odds ratio and gets Table 6:

Insert Table 6 Here

According to definition (Note 8) by Wang Jinglong (2008) on odds ratio, we can get the following conclusions:

With low self-esteem level, when odds ratio=0.07, subjects with low self-esteem are more likely to choose higher commitment escalation when sunk cost is high than when sunk cost is low.

With high self-esteem level, when odds ratio=0.21, subjects with high self-esteem are more likely to choose higher commitment escalation when sunk cost is high than when sunk cost is low.

3.3 Stratified cross tabulation test --- taking stratification of sunk cost as an example

The aforementioned test mainly looks into relationship between “sunk cost” and “commitment escalation” with different self-esteem levels, and in the following will conduct a stratified cross tabulation test and odds ratio test by taking “sunk cost” as evidence for stratification.

3.3.1 Stratified cross tabulation test and Chi-square

By means of stratified cross tabulation test with cross tabulation and Pearsib chi-square test, we can get:

According to “stratified cross tabulation analysis”, with low sunk cost, when the self-esteem level is low, there are actually 8 persons who abandon continuing to invest, expected 5 persons, and there are actually 12 persons who continue to invest, expected 15 persons. When self-esteem level is high, there are actually 18 persons who abandon continuing to invest, expected 7 persons and there are actually 2 persons who continue to invest, expected 13 persons. Obviously, frequency expected is unequal to frequency actually observed, indicating relevancy exists between “self-esteem level” and “commitment escalation”. According to Pearson chi-square test, the chi-square statistic value is 4.80 ($p=0.028<0.05$), indicating significant relevancy exists between “self-esteem level” and “commitment escalation” at the significant level of 5%.

Likewise, According to “stratified cross tabulation analysis”, with high sunk cost, frequency expected about commitment escalation is unequal to frequency actually observed, indicating relevancy exists between “self-esteem level” and “commitment escalation”. According to Pearson chi-square test, the chi-square statistic value is 12.91 ($p=0.000<0.01$), indicating significant relevancy exists between “self-esteem level” and “commitment escalation” at the significant level of 1%.

3.3.2 Test of odds ratio

In order to test influences of “self-esteem level” on “commitment escalation”, this article makes a test of odds ratio, and gets Table 7 as follows:

Insert Table 7 Here

According to statistical research results in Table 7, we can come to the following conclusions: with low sunk cost, when odds ratio = 6.00, subjects with high self-esteem level are more likely to choose higher commitment escalation; with high sunk cost, when odds ratio = 16.71, subjects with high self-esteem level are more likely to choose higher commitment escalation.

4. Conclusions and enlightenment

By means of scenario simulation, this article has verified the mechanism of action by “sunk cost” and “self-esteem level of decision makers” in the process of generation of tendency of their commitment escalation. The research results indicate that, when faced up with the high level of sunk cost, the decision maker is more likely to choose commitment escalation than when faced up with the low level of sunk cost, no matter the self-esteem level of the decision maker is high or low; when faced up with the same level of sunk cost, the decision maker with high self-esteem level is believed to be much more likely to choose commitment escalation than the one with low self-esteem level.

As for decision makers with high self-esteem, it is easy to understand: According to study by Gustav Jung (1933) on relationship between “self-esteem level” and “self explanation mechanism”, decision makers with high self-esteem level are more likely to have strong aspiration of self explanation, so in the situation of high sunk cost investment, unfavorable news may stimulate decision makers to have “self-explanation” for their decision making behavior, and the most effective method for self explanation is to continue to add investment. Therefore, decision makers with high self-esteem level are much more likely to exhibit tendency of commitment escalation when faced up with high sunk cost. By contrast, although decision makers with low self-esteem level do not have as strong aspiration of self explanation as that of decision makers with high self-esteem level, they still tend to choose commitment escalation when faced up with “sunk cost” with a large scale, which, for decision makers, is better than a stick in the eye who pin their hope on a favorable turn of investment in the future. However, when different decision makers are faced up with the same level of sunk cost investment, decision makers with high self-esteem are much more likely to choose commitment escalation than decision makers with low self-esteem.

This study is an tentative exploration into personality trait of decision makers, which provides a new train of thought for study on expansion of decision control. In an economic era of “bounded rationality”, behavioral factors of decision makers become the headstream of the system of decision control and degree of their rationality determines decision risk to a great extent. The traditional “market environment” and “prospective earnings” are also affected by personal views of decision makers in a sense. Self-esteem level of decision makers is an important influential factor of rationality of decision makers, which will offer effective suggestions for “management of behavioral decision” of an enterprise.

However, this study is conducted in a Chinese cultural environment and Chinese cultural value system has its own characteristics. The pattern of “social relation network centered with individuals” affects behavior of decision makers, so research achievements in this study can not be simply applied to other cultural environment. However, study on behavior of “commitment escalation” of decision makers based on cultural value will be a new research direction in the future. Comparative study was conducted by Charles R. Greer, Gregory K. Stephens (2001) on tendency and degree of “commitment escalation” of decision makers from US and Mexico, and discovered that decision makers from Mexico were much more likely to manifest tendency of commitment escalation than decision makers from US when faced up with the same situation, with more vigor of commitment escalation, and even leaders of Mexico would tend to be more confident in their “commitment escalation”. This study provides a new train of thought for us to make a discussion of commitment escalation by decision makers, but in a strict sense, “US” and “Mexico” can not stand for two kinds of totally distinct cultural value. Comparison of commitment escalation of decision makers based on different cultural value will exhibit stronger vitality in the future study and will make significant contribution to decision control in cross-cultural management.

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Note 7. Pearson's chi-square:
$$Q_p = \sum_i \sum_j (n_{ij} - m_{ij})^2 / m_{ij}$$

Note 8. Odds ratio =
$$\frac{odds_1}{odds_2} = \frac{p_1(1-p_1)}{p_2(1-p_2)} = \frac{p_1(1-p_2)}{p_2(1-p_1)}$$
, p_1 and p_2 respectively stand for probability

of subjects to choose "abandoning" commitment escalation when sunk cost is low/high in stratified cross tabulation; if odds ratio=1, then it is proved that there is no relevancy between variables. On the contrary, there is obvious relevancy between variables.

Appendix 1: Self-esteem scale by Rosenberg

The following test is based on your emotional experience within one week, which should be answered with practice:

A: Quite coincident; B: Coincident C: Not coincident; D: Quite not coincident

1. I believe I am a useful person, at least neck and neck compared with others.

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

2. I find a lot of advantages in myself.

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

3. Generally speaking, I tend to consider myself a loser. *

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

4. I can do everything as well as most people.

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

5. I find no aspect to be proud of in myself. *

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

6. I hold a positive attitude towards myself.

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

7. Generally speaking, I feel satisfied with myself.

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

8. It would be better if I could have a good opinion of myself. *

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

9. Sometimes, I really believe myself good for nothing. *

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

10. Sometimes, I consider myself good for nothing. *

(1) Strongly agree (2) Agree (3) Disagree (4) Strongly disagree

Scoring method: the sign * means reverse scoring. There are four levels of scores, respectively 1-4, and scope of the total score is 10-40. Higher score means higher self-esteem.

Appendix 2. Credit questionnaire

Choice is made according to the following scenario:

Scenario	<p>Subject: Decision maker of bank credit is faced up with the decision whether to approve a loan</p> <p>Scenario: A user of an enterprise applied for a loan worthy of 5 million Yuan two years ago, which is expired for the time being. However, the enterprise is unable to repay the loan as a result of difficulties in operation, so it applies for another loan in the hope of pulling through and turning losses into gains, and decides to repay these two loans together. If the second loan is refused, then the first loan will become a bad debt and the decision maker of the credit will have to take responsibility for this. If the second loan is approved, whether the enterprise will get out of the trouble has no way to be known. Moreover, according to information grasped by the bank, there is extremely small possibility that this enterprise can turn losses into gains.</p>
Decisions	<p>1= Decline requirement for the loan; 2= Approve requirement for the loan.</p>

Table 1. Grouping of the experiment

Low sunk cost level		High sunk cost level	
Low self-esteem	High self-esteem	Low self-esteem	High self-esteem
G1	G2	G3	G4

Table 2. Analysis of reliability of the questionnaire

Name of the scale	Cronbach's Alpha
Scale of self-esteem level	0.81
Scale of strength of aspiration of commitment escalation	0.74
Entire questionnaire	0.76

Table 3. Correlation analysis of variables

		Self-esteem level	Sunk cost	Commitment escalation
Self-esteem level	Pearson Correlation	1	.00	.43**
	Sig. (2-tailed)		1.00	.000
	N	80	80	80
Sunk cost	Pearson Correlation	.00	1	-.38**
	Sig. (2-tailed)	1.00		.00
	N	80	80	80
Commitment escalation	Pearson Correlation	.43**	-.38**	1
	Sig. (2-tailed)	.00	.00	
	N	80	80	80

** . Correlation is significant at the 0.01 level (2-tailed).

Table 4. Cross tabulation of sunk cost, commitment escalation and self-esteem level

Self-esteem level				Commitment escalation		Total
				Abandon	Commitment	
Low	Sunk cost	Small	Count	8	12	20
		Large	Count	18	2	20
	Total	Count	26	14	40	
High	Sunk cost	Small	Count	2	18	20
		Large	Count	7	13	20
	Total	Count	9	31	40	

Table 5. Chi-Square Tests

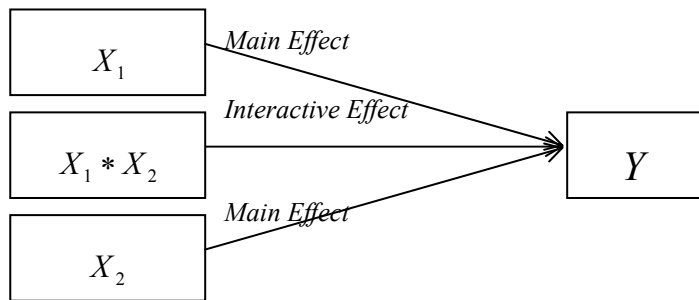
Self-esteem level		Value	df	Asymp. Sig. (2-sided)	Exact Sig. (2-sided)	Exact Sig. (1-sided)
1	Pearson Chi-Square	10.99 ^a	1	.001		
	Likelihood Ratio	11.87	1	.001		
2	Pearson Chi-Square	3.58 ^c	1	.048		
	Likelihood Ratio	3.75	1	.053		

Table 6. Test of odds ratio

Self-esteem level	Value	95% Confidence Interval		
		Lower	Upper	
1	Odds Ratio for sunk cost (1.00 / 2.00)	.07	.01	.41
	For cohort commitment escalation = 1.00	.44	.26	.78
	For cohort commitment escalation = 2.00	6.00	1.54	23.44
	N of Valid Cases	40		
2	Odds Ratio for sunk cost (1.00 / 2.00)	.21	.04	1.16
	For cohort commitment escalation = 1.00	.29	.07	1.21
	For cohort commitment escalation = 2.00	1.385	.97	1.97
	N of Valid Cases	40		

Table 7. Test of odds ratio

Sunk cost	Value	95% Confidence Interval		
		Lower	Upper	
1	Odds Ratio for self-esteem level (2.00 / 1.00)	6.00	1.08	33.27
	For cohort commitment escalation = 1.00	4.00	.97	16.55
	For cohort commitment escalation = 2.00	.67	.45	.98
	N of Valid Cases	40		
2	Odds Ratio for self-esteem level (2.00 / 1.00)	16.71	2.97	93.89
	For cohort commitment escalation = 1.00	2.57	1.39	4.76
	For cohort commitment escalation = 2.00	.15	.04	.60
	N of Valid Cases	40		



$$Y = \beta_1 X_1 + \beta_2 X_2 + \beta_3 X_1 X_2$$

X_1 : Level of self esteem of decision makers

X_2 : Level of sunk cost of the project

$X_1 * X_2$: Interactive Effect of X_1 and X_2

Y : Strength of aspiration of commitment escalation of decision makers

Figure 1. Research model

Employing Discourse, Language and Television Media to Reconstruct the Image of Islam: A Case Study of Malaysia

Airil Haimi Mohd Adnan

Faculty of Arts, University of Auckland

717 Fisher Int'l Building, 18 Waterloo Quadrant, Auckland, New Zealand

Tel: 62-22-610-3169 E-mail: airil@teeconsult.com

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Abstract

Religion and mass media have always had an uneasy relationship as both spheres seem to have contradictory aims and objectives. Employing a discourse driven textual analysis of script excerpts from a contemporary religious program in Malaysia and in-depth personal interview data from key production personnel of the said television program, this research effort analyzes how modern electronic media concept, content and language medium were used to try to present a contemporary, forward looking, 'popular' view of Islam in a moderate, modern Muslim majority country. The results of this research effort point to the possibility of using electronic media not merely as a vehicle for blunt religious indoctrination, but as a means to disseminate positive universal human values across linguistic, racial, religious and social differences that in turn will help in strengthening multicultural, multi-religious nations – as in the case of Malaysia.

Keywords: Discourse analysis, Humanities, Malaysia, Popular Islam, Television media

1. Introduction: 'Reflections' as a contemporary and popular image of Islam

'Reflections' was a 30 minutes (24-26 minutes actual production run) television program produced by the Islamic Development Department of Malaysia (JAKIM) under the Prime Minister of Malaysia's Office together with the Malaysian Official Radio and Television Broadcasters (Radio dan Televisyen Malaysia or RTM). JAKIM was given several institutional objectives by the government, for example to implement programs for the advancement of the *ummah* (or Muslim community at large) and the inculcation of universal Islamic values across religions, to evaluate Islamic affairs programs that are carried out in the country, and also to act as a compiler, disseminator and centre of information on all Islamic affairs (see JAKIM, 2006). The first season of Reflections consisting 10 episodes altogether was successfully aired in 2005-2006. This was followed by 10 more episodes for the second season that went on air in 2006-2007.

The researcher was linked to this program as its external concept consultant and as the sole presenter of this television program. Reflections were divided into three main segments. The first covers the activities of local youths at public universities, mainly involving Muslim youths. The second segment is a topical discussion segment on Islam and the relation of the religion to science and scientific knowledge. The closing segment covers motivational words from Malaysian academics and expert motivators. The program was targeted towards the 13-17 age segment (upper and lower secondary students) and also the 18-24 (college and university students) and the general public who are proficient in the English language in Malaysia.

Unlike most electronic media productions by JAKIM, Reflections could be considered unique due to several factors. Firstly, it was delivered fully in English instead of the National Language, Bahasa Malaysia. This was a very significant choice to make as most Muslims in Malaysia are Muslims by birth due to their default race being Malay, the 60% majority population. For the Malay majority, the mother tongue is Bahasa Malaysia. Secondly, Reflections was presented not in the conservative and traditional sense of an Islamic program, at least not in the Malaysian context. The image projected on screen was of vibrant Muslim youths mingling with other races, the close link between Islam and knowledge, and how universal Islamic values could drive lives forward. Even the attire of the presenter was carefully chosen so as not to live up to the archetypal image of the Muslim cleric in a robe, sporting long beard and looking the business, as it were.

All in all, Reflections from program concept, content to the medium of delivery was a conscious and concerted effort to present a contemporary and more popular image of Islam. Interestingly, this was also the very ideal espoused by the then Prime Minister of Malaysia, when he came into power. Prime Minister Abdullah Ahmad Badawi was adamant that Malaysian Muslims should strive to present a more open and popular image in the country and to the world through the mass media and by holding true to the teachings of this religion, but simultaneously incorporating modern technological advances into their daily lives and routine activities (Hamid, 2007).

2. Situating the research: objectives, significance and review of literature

2.1 The objectives of this research

Using the ideal construct of ‘popular Islam’ as a unifying theme, this research effort examined three main concerns. Firstly, how do we think about, plan and decide on a television program to present and represent Islam, and using stories from the lives of young Muslims in an interesting and contemporary manner? By achieving this objective, Malaysia should be able to transfer this knowledge to other countries or geographical settings where Muslims have access to the technology of television and television production. Secondly, to better help others (Muslims and non-Muslims alike) to understand how Islam and its teaching are actually related to modern life, what should we say or rather what information should we relay to the target audience using television as an electronic medium? This research objective has a practical value in that it could help generate a generic guideline on the preparation and presentation of television or even radio scripts, that are able to reflect and present a contemporary and popular face of Islam to the audience.

2.2 The significance of this research

This research is significant as it could help develop a multi-layered understanding of Islam as it relates to everyday lives and it could also be the basis to devise a framework on which future television programs should be produced so as to attract its target audience both Muslims and non-Muslims. This research could also have a positive social impact, as Malaysian Muslims can now be confident to change their mindsets and not view the electronic medium of television as bad or totally ‘un-Islamic’. Another significance of this research is that the researcher was the actual concept advisor and television presenter of Reflections, who was able to provide an insider’s view as it were, of this television program from beginning to end. Although this quasi-participant observation dimension heightens the possibility of researcher bias during the conception of research instruments and the actual data collection, it also added to the significance of this research within the central research theme of discourse, language, religion and the television media.

2.3 Review of current literature in the humanities and social sciences related to this research

The literature regarding ‘popular Islam’ and the electronic media could be grouped into two broad categories – research that looks at how electronic media, television in particular, could be used to promote Islamic ideals and values to Muslims and non-Muslims in different geographical contexts; and another category of research that looks at the effects that the electronic media have made on the lives on Muslims, for better or for worse. Interestingly I should mention that the latter category of research articles and papers tend to have a rather negative and sometimes even bleak view of television as related to Islam as a religion and universal Islamic ideals and values. As such, this research project is a logical progression of these earlier works of researchers around the globe. I shall begin this subsection by looking at the first and second cluster of research before moving on to situate this current study within the Malaysian context.

Whine (2005) in his study of the ideological spread of Islam in the United Kingdom acknowledged that the electronic media, satellite television programs and popular Islamic websites in particular, have become one of the primary catalysts to help spread universal Islamic human values in that geographical context. This proposition is supported by the work of Norton (2003), who focused on new media and political reform in Muslim majority countries. In a different continent, Launay (1997) from his research effort in the Ivory Coast observed how television could be used as a direct medium to bring the peaceful and true message of Islam to Muslims and non-Muslims living in that setting. Indeed, contemporary media anthropologists like Lila Abu-Lughod (1993) who has conducted extensive media modelling and reception studies in the Middle East cautions researchers and members of the Muslim public to not automatically assume that the messages, in and of, so-called ‘foreign’ electronic media will automatically bring about a replacement of traditional Islamic values with Western ones that are usually viewed with suspicion and as incompatible with the Muslim way-of-life.

From a different dimension, Adamu’s (2006) research findings are in direct opposition of Abu-Lughod’s. Adamu is critical of the use of electronic media in the Muslim Hausa community of Nigeria due to the fact that, “the

entertainment philosophy of [foreign] filmmakers found itself reproduced in Hausa videos and films in spite of the Shari'a [with] public display of erotica through the skimpy Western clothing of girls and their sexually suggestive dance routines" (p. 52). Adamu's views are also shared by Baig (2003), who wrote that "no one can have any doubt of the illegality of television in Islam. Television, as has been seen, is an embodiment of sin and immorality. Islam can never condone or permit an institution that plays havoc with the spiritual, mental, and moral development of mankind" (online). Timmerman's (2000) research on Turkish women in Belgium is another study that problematizes the medium of television as a possible negative source of influence on the lives of young Muslims around the globe (see Demographic Institute, 1999, for comparable findings in the neighbouring Muslim majority, Republic of Indonesia).

To exacerbate matters further, other researchers like Yamani (2003), Hussain (2000), Malashenko and Vale (2000), and Jones (1995), have generally observed how the electronic medium of television was used to spread negative news items on Islam and to paint a negative picture of Muslims, in different geographical settings. This has led to the so-called discourse of 'Islamophobia' especially in nation-states where Muslims are part of the minority group, for example in Denmark, France and Holland. Hussain's (2000) empirical research on the media representation of ethnic minority Muslims in Denmark found that the media in that country has played a negative role in the reproduction of a prejudiced discourse on ethnic minorities. In this process, Muslim minorities have been the primary victims due to the absence of social interaction between the majority population and minority groups in that developed nation.

2.4 The current research niche – Malaysia

The Government of Malaysia (2000) in planning for the future, is quite adamant that the electronic media and information communication technologies in this country should carry positive ideals and universal values based on the official national religion Islam, specifically "through skilfully crafted media campaigns through television and newspapers projecting stories of role models, etc; and khutbah [or sermon] the campaign should be a continuous exercise [for Malaysian Muslims]" (p. 164). Indeed Lorenzo-Dus (2009) believes that discourse, ideas and language could be shaped through the television media to project whatever the directors and producers wish to portray for better or for worse, a view supported by the empirical research efforts of Paietta (2005) who examined the portrayal of religious figures from Christianity in both film and television media.

In the Malaysian context, the reasoning and political motivation behind this move was that the family institution in this country is one of the primary locations for the dissemination of positive ideals and values, especially for the Muslim majority population and their hereditary adherence to Islam, and as many Muslim families in Malaysia have access to television and radio and now the Internet, Islamic ideals and values have been channelled to them for many years through Islamic religious programs (Camroux, 1996; Kling, 1995).

Therefore we could argue that policy-wise and demographically, Malaysia is an ideal testing ground for the development and production of Islamic-nuanced television programs (Roff, 1998) to spread and popularize a contemporary, intellectual and moderate vision of Islam as a catalyst for national peace, scientific inquiry and universal human rights. As this paper was written, several other government agencies are also looking into the possibility of using the medium of television as the vehicle for sharing universal Islamic values. As an example, the government funded and sanctioned Institute of Islamic Understanding Malaysia (IKIM) recently stated that "IKIM must carry out missionary activities using technology [...] If IKIM can seek more funds, it may consider venturing into television production where the programs will be slotted in the existing television channels. Or maybe one day, if it has the financial capacity and the government's approval, IKIM can set up its own television station and share the broadcasting equipment of other stations" (BERNAMA, 2007, online).

To conclude and restate the statement made earlier, an empirical and multi-layered study of the Reflections television program in the Malaysian context and socio-political climate is a project worthy of research, given that many (almost similar) academic efforts have already been undertaken by social scientists in different countries and at different points in history. This research should contribute to our practical understanding of how the electronic media, television in particular, could be used to promote universal ideals and human values to Muslims and relay a message of peace and promoting inter-ethnic and inter-religious understanding with non-Muslims, in the Malaysian context.

3. Statement of problem and key research questions

Currently, Muslims around the world are faced with many challenges as they continue to preserve their Islamic values and way-of-life. This has also led some Muslim quarters to reject modernity and development for fear that it would lead to decadence and the erosion of Islamic values whilst at the opposite end of the spectrum, to be seen as moderate liberals other Muslims have chosen to deviate from true Islamic teachings altogether for the

sake of so-called modernity. For the former, television programs for example, are seen as a method to control the minds of young Muslims by Western non-believers. In Malaysia, a program called Reflections tries to turn this belief on its head and it uses the modern electronic medium of television to spread the universal values of Islam through original program concept, content and medium of delivery. As it is targeted at the 13-24 age group, Reflections was at the cutting edge of popularizing universal Islamic ideals especially in the younger section of Malaysian society. An empirical and original research was thus conducted to answer two major research questions as outlined below:

First, employing discourse analysis and by textually and thematically analyzing actual excerpts of script from all the segments of Reflections, what message is being presented to the audience and what image is being reflected of Islam as a religion with universal and positive human values?

Second, what do key members of the production team have to report about the thinking, planning and decision making behind the concept, content and medium of Reflections, as a contemporary television magazine program that is based on the ideals of Islam as a major world religion?

4. Methodology of the research

An empirical and original research was conducted, employing mixed-mode methodology to study; (1) actual materials from a television series called Reflections in the form of television scripts from three segments in the show and relate this back to the ideal of universal and positive Islamic values; (2) the thinking and decision making process behind Reflection's program concept, content and medium as related to the ideals of Islam as a world religion and as captured by the Malaysian government's national policies.

4.1 The site of study

This research effort studied the program concept, content and medium of delivery of a television program called Reflections produced by the Islamic Development Department of Malaysia (JAKIM). This study was conducted almost entirely at the JAKIM television studio in Putrajaya, the administrative capital of the Malaysian government, located outside of the business and national capital of Kuala Lumpur. The studio is located within JAKIM's Putrajaya office on the first floor. The research site also included the post-production studio of RTM, the Malaysian National Radio and Television network located near the heart of Kuala Lumpur. However, given the main focus of the study is on the thinking behind Reflections, the JAKIM Putrajaya office became the base for research, after ethical issues of access and security were cleared with JAKIM early in the research cycle.

4.2 Research participants

The research participants were made up of personnel working as the production team of Reflections. After permissions were sought (and granted either verbally or in writing or both), research participants made up of key members of the production team who have direct control on the thinking, planning and decision making behind the concept, content and medium of delivery of Reflections were 'shadowed' and interviewed. Several open-ended interview sessions were conducted with firstly the Director of Programming at JAKIM to learn about the concept of Reflections. This was followed by the Producer of the series to learn about the program content and also the Director of the series, who provided input about the medium and delivery of this television program. The Assistant Producer and the Assistant Director were also interviewed in depth to ensure that the qualitative data collected was more than adequate for analysis and to give a clearer vision of reality.

4.3 Design of the research

As explained in the preceding section two modes of data collection were employed in this study, to increase the validity and reliability of data whilst lessening the possibility of bias (Denzin and Lincoln, 1994). The first data group is textual data from the actual production scripts that have been written for Reflections. The second is data gathered from the open-ended interviews with the production team. The first data group was easily collected given that I only needed to seek permission to examine them for this academic research. Nevertheless, interviewing members of the production team did represent a real challenge given their tight and time sensitive working schedule and this was the reason why the interviews were only conducted with five key individuals, instead of all the production crew.

For the collection of textual data, I started by seeking permission to examine excerpts of actual scripts from Reflections in this study from JAKIM and then I accessed all of the episodes that have gone through post-production so far (currently 20 episodes have been produced although not all have been aired by RTM, the national broadcaster). The textual data collected was then analysed using three discourse analysis methods namely study of textual surface features, study of thematic organisation and measure of word use and frequency that could be employed to study facets of the mass media (see Talbot 2007; Woods, 2007).

For the interview sessions with members of the production team, five lead-in questions were posed to all research participants. This was followed by several lead-off questions in line with these three themes – program concept, program content, program medium and delivery – as related to the job scope of that particular individual. Although open questions were employed, interview sessions were limited to around 60 minutes only given the complexities of transcribing spoken data. Interviews were held mainly in English, although the national language Bahasa Malaysia was also used by the participants, which was typical of Malaysian English (or Malenglish/Manglish) users. The sessions were recorded if the participant agreed, or if she or he did not dictation notes were collected by the researcher. For verification purposes, recordings and the notes were then shared with the participants, to increase the accuracy of the data before further analysis by the researcher.

5. Data presentation and analysis

5.1 Textual data from the written televisions scripts of the program

The textual data collected was analysed using three discourse analysis methods namely study of textual surface features, study of thematic organisation and measure of word use and frequency.

5.1.1 Textual surface features

The overall impression after several surface readings of all the scripts of Reflections is that they could as well be any other typical television lifestyle or television magazine program. The words used were non technical except for the second segment of the show that covers science and technology issues, from an Islamic point of view. The first and third segments were oftentimes ‘chatty’ akin to a dialogue between presenter and audience (this was especially true of the third segment) and quite informal. The first and second segments used mainly reported speech, whilst the final segment was mainly written in the first person present tense conveying again the idea of the audience talking to the presenter and vice versa and creating a sense of immediacy.

The overall script for each show is also quite short perhaps to give room for pre-recorded video segments and montage as written in the production notes accompanying the scripts. The longest script is only about 1,500 words long and the shortest one being around 1,300 words. The longest segment for each script seems to be the first segment called ‘Youth Vibes’ that presented audience with youth activities around Malaysia and interestingly it covers not just activities by Muslim youths but also youths from other races and religions. Nearly all these activities were connected to the lives of local university and college students. The shortest segment is almost always the second one called ‘Islam and Science’. It is incidentally the only part of the show that uses technical jargon and words and ideas that are directly connected to the Islamic religion. As for the third and final segment ‘Wise Up’, it is more of a didactic and motivational slot to convey certain contemporary issues like healthy living, study skills and civic related issues.

5.1.2 Thematic organisation

Key themes that could be derived from analysing the texts of all the scripts in the series are: Malaysian youth issues, Islam as a religion of knowledge, living a balanced and healthy life, inculcation of universal Islamic values and the need to contribute to one’s community and society. These main themes were present in all of the scripts for Reflections, although some were highlighted more often than others. Several sub-themes were also observed, for example life and living in a multicultural society, the sharing of knowledge with all Malaysians and the importance of intercultural understanding between Muslims and non-Muslims in the Malaysian context.

Interestingly enough, for an Islamic television program sometimes the themes covered within the scripts of Reflections were not directly related to spreading the message of Islam per se. The theme of Islam and knowledge development was purely academic and not preachy with clear focus being given to scientific discoveries and technological advancements. On the other hand, in some episodes of the television series religious scriptures from the Holy Quran were quoted and translated to link between Islam and science, but in the main religion is but one of several main unifying themes used to organise the series. Living a balanced, healthy, productive and safe life is arguably the theme that was given the most focus in all the scripts followed by purely academic discussions of universal norms and values that are related to Islam.

5.1.3 Measure of word use and frequency

A phrasal frequency method was employed to find utterances like ‘Islam’, ‘Muslim’, ‘The Prophet’, ‘Al-Quran’, actual excerpts from the Holy Quran, actual excerpts from the Hadith (or teachings) of the Holy Islamic Prophet Muhammad, and other interesting linguistic and extra-linguistic features related to the Islamic religion and way-of-life as they occur in all the scripts. Again, nearly all of the time these religiously loaded words were only found in the second segment of the television program ‘Islam and Science’. Even then, it was difficult to find all of the above words and phrases appearing in an episode except for episodes nine and ten of the first season with

extensive discussions that relate Islam to current scientific thinking.

The highest frequency of words were ‘life’, ‘lifestyle’, ‘youth’, ‘young’ and ‘value’, notwithstanding articles, pronouns, verbs and other functional words and phrases. This illustrates perhaps the ideals espoused by the production team of the series that Reflections should be a vehicle for sharing positive and universal Islamic values with every Malaysian regardless of social background and not merely as a religious show meant for devout Malaysian Muslims.

5.2 Interview data from key production personnel of the television series

Three research themes namely program concept, program content and program medium and delivery, made up the core of my qualitative open-ended interviews. The Director of Programming gave much input on the concept of Reflections. This was followed by the Producer of the series who reported on the program content and also the Director of the series, who provided input about the medium and delivery method of this television program. The Assistant Producer and the Assistant Director also gave their comments on all of these research themes. It must also be mentioned that although the interviews were related to specific job scopes, all the research participants commented on the three research themes based on their experience in producing Reflections. Noteworthy excerpts from the interview sessions are presented below.

5.2.1 Interview data, program concept

According to the Director of Programming, this television program is unique because it is “informal, casual and very much like a conversation between friends”. The series presenter for example, was told not to wear typical Islamic looking attire but was asked to dress in informal Western attire. She added that this was to:

“Help give the image of a modern religion [and] being open to new things as long as it’s within boundaries. It [Islam] is not just a serious religion all the time so we cannot have fun like other people or to dress so strange”.

This idea was supported fully by the Producers and Directors. They also felt that an open program concept and a more relaxed approach could give the image of a progressive and non oppressive religion. The Assistant Producer made a very interesting comment:

“CNN, BBC, all they show [are] Muslim[s] with machineguns, Muslim terrorists. *Itu salah* [trans. that is untrue], Westerns [*sic*] always do that. Now we try to show to people the real Islam religion starting with a normal person [the presenter]”.

However, the Director of Programming also mentioned that Malaysia and other Muslim majority countries should not just produce television shows without Eastern value “like all the Hollywood stories, just because we want to show Islam is modern”. The Director believes that the open and non-stereotypical programme concept:

“Will help to share good things [with] all the people in Malaysia, not just Islamic peoples [*sic*]”. *Lagi pun* [trans. In fact] this program is just basically a magazine show only, so everyone must watch it to get new information on life and other things. It is about contemporary lifestyle for everybody not just Islamic people”.

5.2.2 Interview data, program content

For the Producer and Assistant Producer of Reflections, it was generally not easy for them to think about what to prepare for the program week after week. At last they decided to focus on youth activity and a healthy lifestyle as the main focus. The Producer added:

“We also wanted to talk about Islam so we came up with a segment called Scientific Islam that we changed the name later. Science is very important in Islamic because it is learning. Islam always supporting [*sic*] learning”.

Nevertheless, on this matter the Director of Programming mentioned that from her experience, coming up with Islamic related content was always easy but “how we present to people is hard, we don’t want to give just a *khutbah* [sermon] only”. Perhaps this is true but at the same time nearly all of the research participants also mentioned that they cannot sacrifice Islamic and central religious content just to make the show look more modern and moderate. The Assistant Director made a succinct point:

“We must balance religion and other issues [but] we always have to focus more on religion like the Prophet said but it doesn’t also mean we have to be too extreme [conservative] all the time”.

This ideology forms the basis of Islamic television programs according to the Programming Director, but she also believes that at this moment in time, the electronic media in Malaysia still lacks experience in balancing

between religious and social issues. According to her, “they all [producers] that I know always choose left or right only, they all cannot stay in the middle way”.

5.2.3 Interview data, program medium and delivery

The medium of this television program is perhaps the most interesting selling point of Reflections as the English language is by tradition the language of choice by non-Muslims in Malaysia. The Director believes that:

“This way people who are not Malay [Muslims] can also watch the show and learn something about Islam, the positive ones not negatives, also they can see that we [Muslims] can live we everyone [...] We are very peaceful also the program is in English so we [Muslims] don’t hate all the Western things”.

On this matter, I asked all the research participants whether they thought that what they were doing amounts to brainwashing the public – the answer was a resounding “No”, from all of them. According to the Director:

“How come we brainwash when we don’t say become [convert to] Islam or anything? We don’t say your religion is bad, you are wrong or we attack all other people. All we say is Islam and knowledge are both important because it is a religion of learning things and also Islam is peace [...] If we want just to present to Muslims we will use BM [Bahasa Malaysia or Malay, the national language] only, no need for English right?”

The research participants also thought that the program delivery through the television medium is the way forward for Muslim majority nations like Malaysia, because nowadays nearly all Malaysians have access to the box. The medium is also very powerful because as the Assistant Director observed, “today on TV, you can see and hear [that] makes you understand very quickly you know, if you just read or listen you cannot understand well”.

On the contrary, some of the research participants think that the slot given for the show is too short compared to other non religious programs, for example entertainment shows or other lighter infotainment-type programs. According to the Director:

“We are lucky because the PM always support [*sic*] us, so we can use TV to deliver programs. Some countries don’t have this because many Muslim countries sometimes are poor, [in] some countries their government also don’t follow the Islamic [way of] life so they always have no chance to learn Islamic teachings.”

6. Discussion and conclusion

To conclude, this study managed to find out how a contemporary Islamic magazine made-for-television program, tries to deliver a message of peace and understanding to Malaysians from all walks of life, based on positive and universal values derived from the teachings of Islam. On the other hand, for the future it would also be more helpful to collect data from the actual audience of such programs to provide a more complete picture of reality. It would be extremely beneficial for us to know for example, what a section of the target audience actually think of such a program and how do they perceive the program in terms of its concept, content and medium as related to the idea of popular Islam? Due to the double constraint of resource and time, I was not able to collect this data set for this current study.

That said, from the limited depth of the textual and interview data collected, we could learn much about the use of the electronic media to develop human capital by spreading the universal values and positive ideals of one religion (in this case Islam) across a common platform that is life experiences and living. Whether it was didactic in the process of delivering the message, whether or not the message went through to the intended recipients – did not deter from the fact that such a bold initiative challenges not just the stereotype of Islam espoused by the Western world, but it also forces Muslims in this country to adopt a more encompassing world view of the physical world around them. Instead of just seeing religion as one’s personal accountability to one’s Creator, an initiative like Reflections could compel Muslims to comprehend the concept of religion as a way of life and not to constraint it.

With more television programs such as this that tries to find ideals and values that could be commonly shared regardless of skin tone or religious creed, perhaps in the long run people in Muslim majority countries like Malaysia, would be able to cherish their differences and truly respect each other for things that they share in common. In the process, modern-day Islamic television programs like Reflections would also be able to reflect unto the world the true face of Islam as a religion that preaches knowledge, learning, peace, understanding and above all else – to help counter the negative picture of this world religion that has been painted by some who seem to be preaching tolerance and religious freedom, but are more likely to be fanatical troublemakers and

uncompromising zealots.

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The Rural Market in Late Imperial China

Fang Ren

School of History, Wuhan University

Wuhan 430072, Hubei, China

Tel: 86-27-6876-3412 E-mail: Renfang71@263.net

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Abstract

The rural market was an important constituent of marketing system, and formed an un-vertical congruent relationship with urban market in late imperial China. There were different types of rural fair in the imperial China. Xu, Chang, Ji, Dian, Shi, Hui, all of them were the regular fairs. Their number was huge. They distributed widely, played a distinct role, and became the base of rural market development. During Tang and Song dynasties, county seat, town or village had some regular fairs. They were more and more developed during Yuan, Ming and Qing dynasties. In the late imperial China, the establishment or abolishment of rural regular fair must be approved by local magistrate, such as magistrate of a county. Equally important, the clan and Gentleman played the crucial role in rural market. On the whole, the network of rural fairs began to take shape in the most regions from Qianlong to Daoguang reigning years of the Qing Dynasty. The professional markets in rural society included two kinds: professional town and professional fair. The emergence of professional markets in rural society was the inevitable result of enlargement of cash crops planting and development of social division of labor, and helped in the shaping of specialized region which centered on cash farming.

Keywords: Late Imperial China, Rural market, Rural fair, Professional market

1. Preface

Many scholars have discussed the rural market in late imperial China. (Note 1)Based on it, I put forward my view of the parallel market-relation between city and rural area from the standpoint of marketing system. (Note 2) The rural market was an important constituent of marketing system, and formed an un-vertical congruent relationship with urban market in late imperial China. Here, I will discuss the rural market which includes fair and professional market.

2. Rural Fair

There were different types of rural fair in the imperial China. With regard to opening time, rural fair may be divided into regular fair, un-regular fair, half-regular fair, and everyday fair. Among them, regular fair was the most common. With regard to trade amount, rural fair may be divided into large fair, small fair, and hui which involve temple fair and particular fair. With regard to fair location, rural fair may be divided into village fair, town fair, mountain fair, etc. With regard to trader, rural fair may be divided into common people's fair and military fair. With regard to commodity, rural fair may be divided into cattle fair, rice fair, fruit fair, silk fair, etc. With regard to tax, rural fair may be divided into official fair and tax-free fair. With regard to function, rural fair may be divided into four types: the first was to meet farmer's general demand mainly, the second was to meet farmer's productive demand mainly, the third was to distribute some goods mainly, and the fourth was temple fair. Because of regular fair was the center of rural fair, I will focus on it.

Xu, Chang, Ji, Dian, Shi, Hui, all of them were the regular fairs. Their number was huge. They distributed widely, played a distinct role, and became the base of rural market development. The name of these primary markets had some regional characters: Ji in the North, Xu in Guangdong, Guangxi and Fujian, Chang in Sichuan and Guizhou, Xu in Jiangxi, Shi in Hubei and Hunan. In the lower reaches of the Yangze River, the larger fair was called town, and rural fair was not developed there. However, there were still some regular fairs in the lower reaches of the Yangze River, especially in Changzhou Fu, Zhenjiang, etc. They did not decline along with everyday fair's prosperity. On the contrary, they lasted a long time. It was not the symptom of rural market's agensis, but perfect display of marketing system in the countryside.

During Tang and Song dynasties, county seat, town or village had some regular fairs. They were more and more

developed during Yuan, Ming and Qing dynasties. At that time, there were some stationary shops in the villages and towns. However, the main trades were held in regular fair, such as tea, silk, etc. Rural fair had neither city wall nor stationary store. Besides opening time, there were no differences between rural fair and village. This is illustrated in Guangdong and Hunan. Rural fair was greatly convenient to grass-roots' lives, and became an important part of traditional commodity economy. It's not difficult to understand why ancient historians called them village fair, or give exact directions to them in the countryside, such as certain Du or Tu.

In the late imperial China, the establishment or abolishment of rural regular fair must be approved by local magistrate, such as magistrate of a county. Because many local magistrates set up fairs and encouraged rednecks to trade, the local government gave a full play in commercial activity and market operation. Meanwhile, local magistrates established rural fairs in order to placate folk mind and to maintain social stability. A historical book *Chu-nan-miao-zhi* was a proof of it. So, establishing market and guaranteeing commodity circulation were significant measures for complying with humanity and caring about the people's livelihood. Moreover, improving and standardizing market order were necessary to safeguard local peace. Equally important, the clan and Gentleman played the crucial role in rural market.

Apart from village, many ordinary towns had some fairs. They may be everyday fairs as Shengze town in Jiangsu, or regular fair as Shexian in Henan. Another example was Kaipin town and Zhenzi town in Luanzhou which was directly under central government had two large fairs and small fairs per ten days. There were also some towns which had five fairs or three fairs per ten days. In addition, Jiangxi street, Anjiang fair, Xinlu fair and Tongwan fair in Qianyang county of Hunan Province were classified as town, instead of rural fair. But, the two towns had their fairs, and presented a combined type of market. To a certain extent, a town often set up some fairs and their opening time remained unchanged. It suggested that town played a dominant and decisive role in rural market. The super town had also some regular fairs. Even if the multifunctional developed town also maintained fairs which opened at noon and closed at dusk, in order to facilitate peasants' sale of vegetables, fruits, fishes, etc., and to meet lifestyle needs of town residents. For example, according to history record, Wangjiangjin town in Xiushui county of Zhejiang had different fairs which sold salt, rice, fish and prawn. The subjects of deal in these fairs were mostly peasants, businessmen and town residents. On the whole, these fairs lost their intrinsic characteristics and became a part of town trade.

Strictly speaking, the place of regular fair was different between city and village. As a primary market in the rural society, fair lied within villages and was quite close to peasants' real life. Its service object was mainly village residents. The commodity of fairs focused on capital goods and daily necessities that peasants needed. As some ancient historians said, there were necessarily some fairs among villages so as to bring convenience to local trade and promote agriculture and business jointly. Sometimes it prospered, and sometimes it waned. The local government should not interrupt the operation of fairs, and let things take their course. Most of rural fairs belonged to small markets, and its scope was not more than round trip in one day. The exchange in the rural fairs were primarily the distribution of resources (surplus rice especially) among small producers. Therefore, it consolidated self-sufficient natural economy. William Skinner started from analysis of commodity exchange in rural fairs, and tried to construct a hierarchy of markets in late imperial China. It should be noted that his concept of standard market town made readers confused. It is not proper that William Skinner equated market town with rural fair when he analyzed the characteristics of rural standard market. In fact, large numbers of standard market spread all over the countryside, not in towns. Although William Skinner mentioned small fairs, he underestimated the real status of rural regular fairs. Some Chinese scholars are similar in remarks concerning standard market to William Skinner. Their ideas about fairs in the lower reaches of the Yangze River may be reasonable, but it is not correct and proper to discourse these views nationwide. Strictly speaking, in the lower reaches of the Yangze River where commodity economy was most developed in China, its primary market in the countryside was still regular fair or everyday fair. However, towns boomed here. By contrast, fairs were not seductive like other places and replaced by town gradually.

All of regular fairs had their opening time in one county, maybe on the 2nd and 8th day monthly, on the 3rd and 9th day, on 1st and 6th day, on 2nd and 7th day, on 4th and 9th day, on 5th and 10th day, or every ten days, or every two months. The opening time among fairs was different. This arrangement was convenient for people to go to market and commodity circulation. In this case, the primary markets in rural society were full of flexibility and vigor. The periodicity of rural fairs was related to fluidity of individual merchant, indefiniteness of economic role, finiteness of average demand, transport level, etc. Fuliang county of Jiangxi in that Jingdezhen existed seems to be the exception. As a whole, the rural market in Fuliang County was Market Street primarily. In market hierarchy here, Market Street belonged to category of rural fair, and town situated upon it. Market street played the role of intermediary agent of commodity circulation between Fuliang county and Jingdezhen. However,

Market Street had not opening time, and its trade was conducted by shops, because staple trades in kiln firewood and porcelain clay were not conducted in Market Street. The fact was that great houses controlled the trades and transported commodity to Jingdezhen directly. In Fuliang County, Market Street was mostly a biggish village, and the power of gentry was strong as Chu Chiang Delta.

In general, Xu existed in backward area (especially in regions inhabited by ethnic groups) where traffic was inconvenient and economy was underdeveloped, in order to make up for lack of deficiency of large and medium-size towns and atrophy of market mechanism relatively. The sizes of trade in Xu were different. The spectacle of some Xu was massive where thousands of people swarmed, like as Fangyuan Xu and Zhenhe Xu in Guiyang state of Hunan, Shanmuqiao in Cili county of Hunan. Trading limit of Xu went beyond one county frequently and covered some counties, such as Jieshan Xu in Jishui County of Jiangxi and Dutouan Xu in Haiyang county of Guangdong. Several Xu became multi-provincial grote markets because of their advantaged geographic factor and irreplaceable commercial standing, such as Zhiliao Xu in Wuchuan county of Guangdong, Tangjiang Xu, Yinqian Xu and Junmenling Xu in mountain area of south Jiangxi. From this, it can be seen that commercial radiometric force of rural fairs was powerful. These super rural fairs (included super temple fairs in rural society) were not classified as regional market center, and the reason are listed as follows: firstly, they were the trading sites temporarily; secondly, there were any settled commercial families here. However, the appearance of this kind of market indicated that there were also abnormal super markets in city and countryside's marketing systems, besides normal market types. Specifically speaking, there were super fair and town in rural marketing system, meanwhile there were super fair and metropolis in urban marketing system. Of course, the super markets of different types in city and countryside were few, exceptional and untypical. They were individual cases and represented the highest-level of all markets only. By contrast, the numerous ordinary markets were universal, and were of typical significance in the category of regional economies.

It was worth noting that the opening time of some adjacent Xu in western Hunan was same, but not as causes as people have thought, namely the arrangement manner of opening time was to keep opening time of adjacent markets from collision and competition between them, and enable peasants to trade every day. William Skinner believed that the distributive principle of opening time was to avoid conflicts between a primary market and adjacent higher-level markets as much as possible, and did not consider the opening time of adjacent primary markets at all. So, the opening time of adjacent primary markets was same frequently, and there was no conflict in arrangement of opening time between a middle market and any primary market under it. William Skinner agreed with opinions of Yangqinkun, namely a middle town was not only the biggish center of intermediate marketing system, but also the lesser center of basic-level marketing system. In many areas where there were two fairs every ten days, the middle town adopted dual systems of opening time: fixed two days (such as 1st day and 6th day monthly) were called as small market, and the rest two days (such as 3rd day and 8th day monthly) were called as large market. The middle town played the part of primary market during the period of small market, and acted the role of intermediate market when the large market came here. This arrangement which tried to avoid collision of opening time was for meeting the demands of celebrities and merchants mainly, not for peasants' convenience, because peasants went to middle market occasionally. The arrangement of opening time of Ningbo and its hinterland confirmed William Skinner's opinion as well.

The temple fair was one of regular fairs and based on the principle of offering sacrifices to gods. Followed the rituals at temple fairs, all kinds of performance (such as traditional opera, acrobatics, etc.), trade and business were also took place. In a sense, the temple fair was exactly a commodity fair. By contrast with general rural fair, the temple fair's time was longer, its commodity classification was more complete, its population density was higher, and its synthesized function was more prominent. Not only did the temple fair meet the daily necessities of peasants, provide a variety of capital goods, but it did satisfy the luxurious needs of upper class including gentry, officials, rich businessmen, etc.

The transaction of capital goods was the major content of rural temple fairs, such as domesticated animals, farm implements, seeds, etc. Therefore, the temple fair was often held before spring ploughing, or after autumn harvesting. For examples, the temple fair of the King of Medicine existed in Jiangjiazhuang of Pinyin County in Shandong, and it held every April of the lunar calendar. In Jiaqing reigning years of the Qing Dynasty, there were twenty-one temple fairs in Yucheng county of Shandong, and sixteen temple fairs among them were situated in countryside. In Guangxu reigning years of the Qing Dynasty, the trade of rural temple fairs in Yuncheng county of Shandong was prosperous: there were nine temple fairs in eastern villages a year, nine in western villages, thirteen in southern villages, ten in northern villages, and they mostly held from February to April or from September to November of the lunar calendar. It is reported that Lunpuhui of Henan in Qing Dynasty was one of rural temple fairs. It held often in spring and autumn, corresponded with custom of

Qiguchunshe and Qiuxhebaocheng, and was in keeping with law of agricultural production. Specially, it held from February to April of the lunar calendar intensively, and satisfied the peasants' needs of purchasing farm implements and seeds during spring ploughing, and purchasing foodstuffs during shortage period. Shuangyanghui in south bank of Taihu Lake arisen in the middle period of Qing Dynasty, and was the peculiar one of rural temple fairs. It centered on towns of silk industry such as Zhenze, Nanxun and Shengze, and held every ten years. When it held, a myriad of businessmen came together and made a great flutter. Besides the lower reaches of the Yangze River, the temple fairs' function of commodity circulation in the middle reaches of the Yangze River was also noticeable.

On the whole, the network of rural fairs began to take shape in the most regions from Qianlong to Daoguang reigning years of the Qing Dynasty. This network was coordinated with commercial cities and towns, communicated markets of city and countryside, and became the component part of national system of commodity circulation. It was foundation of long-distance carrying trade, and was significant link of ensuring that small-scale peasant economy was in working order.

3. Professional Market

The professional markets in rural society included two kinds: professional town and professional fair. In the same economic region, they matched along with urban professional markets.

The professional town was the important researching object for studying towns, and it involved the matters of professional market's growth in countryside. There was a high degree of specialization in rural society for many centuries. Chinese peasants had no intention of producing all of goods they needed. They concentrated all their energies towards few products, and acquired the rest goods through trade. This kind of trade existed mostly in towns before the 20th century. The major way of deals in towns of the lower reaches of the Yangze River was different from that in rural fairs of interior areas. The uppermost business of former was to purchase textiles which produced by farm sidelines. The purchasers were travelling merchants who had plenty of money, and they did business with individual farmers who engaged subsidiary production by the help of local brokerage firms. As for the latter, both buyer and seller was private investor. Rice market developed in towns of the lower reaches of the Yangze River simultaneously with business of purchasing textiles, and lots of farmers were specialized gradually. With regard to current research of rural specialization (focused on textile industry) in the late imperial China, see also Libozhong's study of early industrialization in the lower reaches of the Yangze River.

The term of professional town means one that centered on producing or selling first category of commodities or some categories of commodities. So, the professional markets of town-level included professional market of town, or several markets which engaged in some transactions on a large scale in a town. In late imperial China, the professional towns could be divided into two kinds: one focused on domestic industry, other focused on commodity circulation. In fact, the professional town of domestic industry also engaged in merchandising. Therefore, it was the same as professional town of commodity circulation basically. The emergence of professional towns developed into certain result of stage of commodity economy. It indicated that town economy in a region got into scale economy, and its level of marketization was higher.

The concept of professional town was first raised by Fuyilin, and used by many scholars, most especially in the field of town research of the lower reaches of the Yangze River. In this region, the most important professional towns were those: the first focused on cotton and cotton cloth, the second focused on silkworm, mulberry and silk fabrics, and the third focused on rice. Besides, there were about sixteen types of professional towns that involved salt, oil manufacture, writing brush, Mining and Metallurgy, pottery, fishery, knitwork, mountain produce, embroidery, tobacco, trolley, shipbuilding, and shipping. The trait of town development in this region was specialization of towns in rural society which reflected on commodity circulation and emergence of capital goods' market. Especially the latter symbolized the gradual furtherance of specialization. The professional market of this region centered on these professional towns, spread to vicinity, and covered vast areas of specialized production. Among numerous views, the opinion of Chenzhongpin is surely heuristic for analyzing town market of specialization. Based on scale of trade site and gradation of trading relation, Chenzhongpin pointed out, there were the professional markets of towns in the lower reaches of the Yangze River. He highly recognized the market position of professional towns by integrating them into category of advanced market.

In general, the famous professional towns in the lower reaches of the Yangze River were listed as follows: the towns of cotton textiles such as Zhujinzen, Fengjinzen, Sanlintangzen, Zhudizhen, Zhujiajiaozen, Huangduzhen, Nanxiangzen, luodianzen, Jiangwanzen, Dachangzen, Zhangliantangzen, Hewangshi, Meilizhen, Zhitangzen, Huashuzhen, etc.; the towns of silk fabrics such as Zhenzezhen, Shengzezhen, Wangjiainzen, Nanxunzen, Wangdianzen, Puyuanzen, Wuqinzen, Linghuzhen, Shuanglinzen,

Linpinzhen, Tangxizhen; the towns of pottery such as Shushanzhen, Qianjiayaozhen, Lutouzhen, Pinyaozhen, etc.; the towns of commodity circulation such as Luoshezhen, Hushuzhen, Fengqiaoshi, Pinwangzhen, Liuhezhen, Zhapuzhen, Fushanzhen, etc.; the towns of mountain produce such as Shanmaizhen, etc. On the whole, the geographical position of these professional towns was in accordance with economic regions of specialized production such as the areas of rice and cotton growing, the areas of silkworm and mulberry cultivating, the areas of bamboo, wood, tea, paper, charcoal manufacturing.

Besides the lower reaches of the Yangze River, there were also many professional towns in other regions such as the middle reaches of the Yangze River. Let's try to compare them. On the part of professional towns' constitute, there were the towns of domestic industry, the towns of commodity circulation and professional markets of Xu in both regions. Comparatively speaking, the towns of domestic industry and commodity circulation in the middle reaches of the Yangze River were pale before ones in the lower reaches of the Yangze River on the whole. But, the former's professional markets of Xu were very flourishing and surpassed the latter in the level of development. By comparison, the development condition of professional towns in the middle reaches of the Yangze River looked like a bottle gourd, namely few large-scale professional towns expanded rapidly, and occupied the leading status across China. Meanwhile, the growth of small and medium professional towns was stunted, and the number of them was few. In the lowest tier of marketing system, rural fairs were numerous and played an important part in regional market network. The development condition of professional towns in the lower reaches of the Yangze River looked like a cylinder, namely all kinds of professional towns symbolized a trend of balanced development.

How big was the market circle of a professional town probably? Let's take Nanxunzhen as an example and try to explain this problem briefly. This town was an important center of commodity circulation, especially involving silk, cotton and cotton cloth. From the historical record, we can deduce that there might be over 50km in trade radius of this town. In that range, there were many rural primary markets which had different division of labor, and they were the commercial hinterland of Nanxunzhen.

Touching on professional market in rural society, we do not omit professional Xu. It was not true that all of Xu possessed their professional markets. But, accompanied by historical change, there were really professional markets which had local distinguishing feature in several Xu, just like silk Xu and silkworm fair in south of the five ridges, grass cloth Xu in mountain area of south Jiangxi, etc. The feature of specialization was also prominent in several rural temple fairs such as stock market of temple fair. This type of market was different with that in ordinary villages: the former was both retail market and wholesale market, and its dealers were mainly merchants. By contrast, the dealers of the latter were peasants principally.

The emergence of professional markets in rural society was the inevitable result of enlargement of cash crops planting and development of social division of labor, and helped in the shaping of specialized region which centered on cash farming.

4. Conclusion

Rural market was necessary for implementing reproduction of small-scale peasant economy. In late imperial China, all of the commodity production including grain crops, cash crops and cottage industry of peasants were developed. So, rural market played a significant role in peasant's life. However, the stagnation of technology in traditional society of China should be attributable to population growth and intensive markets. The increasing markets stimulated the development of manual textile industry of farmers' family. The reason for this condition was that peasants needed only little investment, purchased simple implements, engaged in spinning in the home by exploiting idle labor, and then sold their produces in primary market regularly. Peasants thought it was profitable, only selling price surpassed costs of raw material and tools. At the same time, due to there were lots of peasants to sell textiles in primary market, the merchants or brokers of cotton fabric could purchase the goods they needed at a low price. So, they believed it unnecessary to invest and create spinning-mill, and supervised production personally. If this happened, then separation between market and manufacturing technique came into being, namely merchants gave attention to operating condition of market rather than technique improvement and production operation. There were complicated historical causes for rural markets which were long-standing and ever-increasing in late imperial China. It has still many problems need to be studied for all of us.

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Notes

Note 1. The concept of late imperial China in this paper refers to the Ming and Qing dynasties.

Note 2. As for this statement in detail, please see also *General History of Market in China* which edited by Wuchengming and in press.

The Comparison of Constitutional Protection of Human Rights between China and South Africa

Jian He

School of Politics, Xiangtan University

Xiangtan 411105, Hunan, China

Tel: 86-731-5829-3172 E-mail: hj1975xtu@xtu.edu.cn

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Abstract

Both China and South Africa are developing countries that have explored a road of constitutional protection of human rights which is accordant with its National Conditions and national characteristics. There are similarities and differences on constitutional protection of human rights between the two countries. Constitutional protection of human rights in South Africa is deeply influenced by western constitution. China's constitution puts special emphasis on regulations on obligation as well as emphasizes the fundamental rights of citizens. It is decided by the National Conditions and the practice for development in the two countries.

Keywords: China's Constitution, Constitution of South Africa, Protection of human rights, The national conditions

Protection of human rights is the main content and basic principle of the modern constitution and constitutionalism. John Locke said, human rights are not only the basis of one country's legislation, but also the supreme principle that must be obeyed. Thus, whether the constitution's regulations contain the aspects of human rights and whether its operation is according to protection of human rights, are the primary value objectives of allowing people to advocate constitution, endorse constitution and hoping others' recognition of the constitution. The constitution is a piece of paper with people's rights on it. This means that the constitution is a book of the fundamental protection of human rights, especially for the fundamental rights. The fundamental rights of citizens are also called constitutional rights of citizens, and they are the primary, fundamental and decisive rights recognized by the constitution. All the countries in the world at present that are advocating democracy and freedom, their constitutions will contain the regulations on the fundamental rights of citizens almost invariably. There are similarities and differences on constitutional protection of human rights between China and South Africa.

1. The comparison of constitutional design of structure and constitutional model concerning the fundamental rights between the two countries

1.1 *The comparison of constitutional design of structure concerning the fundamental rights between the two countries*

In terms of constitutional design of structure concerning the fundamental rights, the new constitution in South Africa has drawn lessons mainly from the constitutions of Germany, France and the United States. In the eyes of constitutional design of structure, the constitutions of Germany, France and the United States put the fundamental rights on the beginning of constitutions. Similarly, the new constitution in South Africa puts regulations concerning the fundamental rights of citizens in Chapter 2 (*The bill of rights*) in the form of special chapter. The kind of constitutional design of structure concerning the fundamental rights indicates that all countries attach importance to issues on rights and protection of rights. In addition, the new constitution in South Africa makes a programmatic declaration on the fundamental human rights before listing the fundamental rights, and stresses the importance of protecting the fundamental rights of the people of all nationalities in the preface and Chapter 1, in order to express the country's basic attitude to human rights.

In terms of constitutional design of structure concerning the fundamental human rights, there are still some drawbacks in the constitutional protection of human rights in our country. In general either expressing human rights by declaration, or regulating human rights in constitution, there will be special chapter or some special

provisions designed in the constitutional documents that regulate the fundamental human rights of citizens, that is to say, making a programmatic declaration on the fundamental human rights before listing the details of human rights and fundamental rights, in order to express the country's basic attitude to human rights. The *United Nations Charter*, *The Universal Declaration of Human Rights* and some other important international human rights treaties, are always stressing to reassert protection the fundamental rights, and the principle of the fundamental human rights has been one universal constitutional principle. There are many countries' constitutions making a programmatic declaration on the human rights, or principled or concrete provisions intimating protection of the fundamental human rights clearly in the preface or related chapters. The current constitution of China put "Respect and protection of human rights" stressed publicly in the fifteenth and sixteenth National Party Congress's reports into the new amendment. In more specific terms, it is in Article 33 of Chapter 2 (the fundamental rights of citizens). This is not entirely proper. The writer thinks that it may be put into the general programme in the form of special provision, or into the beginning of Chapter 2 as a programmatic declaration, in order to develop and consolidate the constitutional concept of the fundamental human rights.

1.2 The comparison of constitutional model concerning the fundamental rights between the two countries

According to whether classifying the regulations of the fundamental rights of citizens, there are two main models concerning the constitution of the fundamental rights of citizens in all the countries in the world: no classification of constitutional model and classification of constitutional model. No classification of constitutional model is also called itemized constitutional model, which means regulating the fundamental rights of citizens point by point. For example, there are four western countries including France, the United States, Germany and Britain, whose constitutions belong to no classification of constitutional model according to models concerning the constitutionalism of the fundamental rights. Classification of constitutional model regulates the fundamental rights of citizens by the way of dividing them into several categories. Since the emergence of *The Universal Declaration of Human Rights* and International Convention for human rights, all countries' constitutions have classified the regulations of the fundamental rights of citizens respectively according to classification of constitutional model referring to these three international documents about human rights. Under the influence of colonial rule, constitutional model concerning the fundamental rights in South Africa uses no classification of constitutional model of four western countries for reference. The current constitution of South Africa regulates the fundamental rights of citizens point by point from Article 7 to Article 39. It is noteworthy that the constitution of South Africa stresses the principle of human rights in the preface and Chapter 1 (fundamental provisions).

China's constitutional model concerning the fundamental rights is similar to South Africa, belonging to no classification of constitutional model. China's constitution regulates the fundamental rights and obligations of citizens point by point in the way of list. Unlike South Africa, China's constitution of socialism has a notable feature of the expression of the principle of the fundamental human rights: China's first 3 constitutions of socialism and the first 3 amendments of the 4th constitution of socialism did not write "human rights", but only regulated citizens' political rights, economic rights, cultural rights and such rights in every aspect of social life in a systematic way. Taking a comprehensive view of China's constitutions, they did not use the words of "human rights", "the fundamental human rights", "protection of human rights" whether in the preface or the main body before the fourth amendment of the 1982 constitution came out. To some extent, this had an impact on the construction of China's security system of the fundamental human rights and the smooth development of the cause of human rights. It also provided a pretext for the western countries to attack the issue of China's human rights. On March 14, 2004, the fourth amendment of the 1982 constitution was adopted and it put forward "our country respect and protect human rights". This has made history of declaring the principle of the fundamental human rights in China's constitution of socialism. And to a certain extent, this has adapted to the demand of modern constitutionalism and the protection of human rights.

2. The comparison of the regulations of the main content concerning the fundamental rights between the two countries' constitutions

2.1 The main content concerning the fundamental rights in the constitution in South Africa

The constitution in South Africa regulates the fundamental rights of citizens in detail in the form of special chapter in Chapter 2 (*The bill of rights*). The main content can be summarized as follows: (1) the right of equality: "equality includes the complete and equal enjoyment of all rights and freedom", "the state can not discriminate against anybody in an unfair way directly or indirectly for one or more reasons". (2) personal and individual rights and liberty, including: personal right to dignity and live, the right to liberty and security. the

right of privacy, the right to religious toleration and freedom of speech, the right to freedom of expression, the right to freedom of movement and residence. (3) political rights, including: the right to vote and the right to be elected, the right of assembly, demonstration, petition, association and political choice. (4) The economic and social rights, including: the right of business, employment and occupational freedom, the rights of labor relations, the right to environmental protection, the right to the property, the right to housing, the rights to health care, food, water and social security. (5) the right to cultural and educational aspects, including: the right to education, language and culture, the right of access to information. (6) Children's rights. (7) judicial rights, including: the right to submitting a case to the court., the rights of people who are arrested or accused. (8) the right of fair management.

2.2 The main content concerning the fundamental rights in China's constitution

New China has issued four constitutions and related amendments to confirm the fundamental rights of citizens since it was established. New China's first constitution—the constitution of 1954 has 14 articles regulating the fundamental rights of citizens. The second constitution in the period of 10-year catastrophe—the constitution of 1975 has only 4 articles regulating the fundamental rights of citizens. Restricted by historical conditions, the third constitution—the constitution of 1978 has also only 12 articles regulating the fundamental rights of citizens. After the reform and opening-up, our country's legislature began to give more attention to rights. Many legislations show the thoughts of control of power and protection of rights. The constitution of 1982 meets the demand of the socialist democracy and the rule of law, and the requirements of satisfying people's aspirations for protection of human rights. It has a comprehensive regulation of the fundamental rights of citizens. Subsequently, there were four amendments in 1988, 1993, 1999 and 2004, modifying 31 articles in total. There are 14 modified articles in total in the fourth amendment, and articles that matter to the fundamental human rights include: respect and protect human rights, improve the system of protection of private property, improve the system of commandeering land, establish and improve the social security system, etc.

China's current constitution's regulations of the fundamental rights of citizens include: the right of equality; the right to vote and the right to be elected; the freedom of speech, publication, assembly, association, demonstration; the right to religious toleration; inviolability of citizens' personal liberty, dignity of personality and domicile, the freedom and privacy of correspondence are protected by law; the right to work, the right to rest, the right to obtaining help and the right to protection of retired personnel's life; the right to education; the liberty of conducting scientific research, literary and artistic creation and other cultural activities; women enjoy equal rights with men; the right of marriage, family, the aged, children protected by law; protect the rights and interests of overseas Chinese, returned overseas Chinese and the family members of Chinese nationals residing abroad.

3. The comparison of the restrictions and the special regulations of the fundamental rights between the two countries' constitutions

3.1 The restrictions and the special regulations of the fundamental rights in the constitution in South Africa

The fundamental rights are not unrestricted, and the constitution in South Africa also has regulations concerning the restrictions of the fundamental rights. The constitution of 1966 in South Africa regulated in its Article 36 like this: The rights in this Bill of Civil Rights are restricted based on dignity of personality, equality, liberty, and under the reasonable and lawful condition in an open and democratic society, according to the generally applicable laws. All related factors taken into consideration include: the nature of the right; the importance of the purpose of restriction; the nature and extent of restriction; the relationship between restriction and the purpose of restriction; the fewer regulated means to achieve purpose. Excepting the above regulations or other provisions, there is no law that can restrict the established rights in this Bill of Civil Rights. In addition, the constitution of 1966 in South Africa had regulations concerning declaring a state of emergency and restoring peace and order.

The constitution in South Africa also has regulations concerning the special regulations of the fundamental rights. The constitution in South Africa regulates in the preface like this, "establishing a society based on democratic value, social justice and the fundamental human rights "in South Africa; "In this society, the government is based on the will of people and every citizen enjoys equal protection by law". The constitution put "the acquisition of personal dignity and equality and the progress of human rights and liberty", "non-racialism and non-sexist" and "the right to adult general election" as "value basement" of the establishment of South Africa in Article 1, Chapter 1 (the fundamental provision). The new constitution in South Africa summarizes the fundamental rights of citizens in Article 7, Chapter 2 (The Bill of Rights) like this: The Bill of Rights is considered as the cornerstone of democracy in South Africa, it remembers the rights of all people of South Africa and confirms the personal dignity and the value of equality and liberty, the state must respect, protect, improve and realize the rights in The Bill of Rights. And Article 8 regulates that "The Bill of Rights is applicable to all laws and it is

binding to the legislation, administration, judiciary and all state organs". From the regulations presented above, the fundamental rights of citizens in the constitution in South Africa are not the general provisions, and they are treated as "value basement" and "the cornerstone of democracy". They are the highest principle in all aspects of social life in South Africa.

3.2 The restrictions and the special regulations of the fundamental rights in China's constitution

While China's constitution regulates all kinds of fundamental rights and obligations of citizens, it also has specific provision like this: "Citizens of The People's Republic of China must not harm national, social, collective interests, and other citizen's legal liberty and rights." Paragraph 3 of Article 33 in China's current constitution provides that: "Every citizen enjoys the rights and at the same time must perform the duties prescribed by the Constitution and the law." This provision indicates that our citizens are the subjects of both rights and duties. From the view of the nature of state, our country is the socialistic country that people is master in his own house, therefore every citizen enjoys the rights prescribed by the Constitution and the law, and this indicates the status of them as masters of the country. But the prosperity of our country is the prerequisite and guarantee for the enjoyment of rights and liberty. Thus, faithfully performing the duties prescribed by the Constitution and the law is not only the demand of citizens' immediate interests, but also the demand of promoting the development of socialism and transforming our country into a modern and powerful socialist state, therefore it is the obligation of citizens certainly.

China's constitution provides that, citizens enjoy every right and liberty at the same time must perform the duties as follows: to safeguard national unity and territorial integrity; to abide by the Constitution and the law, to protect country's secrets, to take proper care of public property, to observe labour discipline, to observe public order, to observe social morality; to safeguard the security, honor and interests of the motherland; to defend the motherland, to perform military service or to join militia according to law; to pay tax according to law; the duty to work; the duty to receive education; both husband and wife have the duty to practice family planning; parents have the duty to rear and educate their minor children, and children who have come of age have the duty to support and assist their parents.

In conclusion, both China and South Africa are developing countries, and have probed out a road to constitutional protection of human rights which is accordant with its national conditions and national characteristics. There are similarities and differences on constitutional protection of human rights between the two countries. It is decided by the national conditions and the practice for development in the two countries. The two countries should strengthen the communication and cooperation in the constitutional protection of human rights, and make unremitting efforts to promote the international protection of human rights.

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Predictors of Financial Dependency in Old Age in Peninsular Malaysia: An Ethnicity Comparison

Benjamin Chan Yin–Fah (Corresponding author)

Research Associate

Institute of Gerontology, Universiti Putra Malaysia

Centre of Excellent for Sustainable Consumption Studies, Universiti Putra Malaysia

43400 Serdang Selangor, Malaysia

Tel: 60-3-8946-7097 E-mail: sb2020@putra.upm.edu.my

Tengku Aizan Hamid

Director of Institute of Gerontology, Universiti Putra Malaysia

43400 Serdang Selangor, Malaysia

Tel: 60-3-8947-2750 E-mail: aizan@putra.upm.edu.my

Jariah Masud

Senior Research Fellow

Institute of Gerontology, Universiti Putra Malaysia

43400 Serdang Selangor, Malaysia

Tel: 60-3-8946-7099 E-mail: jariahmasud@yahoo.com

Laily Paim

Dean of Faculty of Human Ecology, Universiti Putra Malaysia

43400 Serdang Selangor, Malaysia

Tel: 60-3-8946-7051 E-mail: laily@putra.upm.edu.my

Abstract

Aging is a global issue affecting countries including Malaysia. From an economic perspective, the government encourages elderly to be financially independent for as long as possible. To what extent the elderly is financially dependent is well documented but only few studies focus on an ethnic disparity perspective. This paper aims to identify the predictors of financial dependency among older Malaysians from the three ethnic groups. Data from an area study in Malaysia involving 806 older persons who participated in face-to-face interviews was used. Results showed that more than half of the respondents are financially independent while 44% depends on their children, sons or daughters in law, friends, neighbors or government financial assistance. Age and employment status were significant predictors of financial independence across all ethnic models. The study showed that there are different predictors of financial dependency by ethnic group and the result calls for different intervention strategies for the various ethnic elderly in achieving financial independence in old age.

Keywords: Older persons, Financial independence

1. Introduction

The United Nations World Population Ageing Report (2002: pg 1) defined population ageing as the process by which older individuals (60 years and older) become a proportionally larger share of the total population, which was one of the most distinctive demographics events in the twentieth century. The same report summarized that about ten percent of today's older person with children who are also elderly. Worldwide elderly population will

comprise of 1.2 billion by 2025 and two billion by 2050 compared to only 600 million people in 2000. Malaysia currently has about 1.6 million older persons aged 60 and above in year 2009 (DOSM, 2006) and is projected to become an aged nation by 2030, the year whereby the older population comprises of 15% of the Malaysia total population.

Looking for the ethnicity differences, Malaysia 2000 census data revealed that the Chinese have the highest proportion of senior citizens with 8.8 per cent. The prevalence of low mortality rates, high life expectancy and low fertility has been the characteristic of the Chinese population over a longer period compared to other ethnic groups. The Malay and Indian elderly have increased at a slower rate and constitute 5.7 per cent and 5.6 per cent of their respective ethnic groups in 2000. The lower rate of increase for the Malay elderly is a result of higher fertility levels in this community; crude birth rate (CBR) in 2000 was 25.6 compared to 32.1 in 1991. In comparison, CBR for the Indians was 25.4 in 1991 and 21.4 in 2000, while the Chinese community has continued with low fertility levels with CBR at 20.8 in 1991 and 20.3 in 2000. The significant decline of the CBR among Indians will result in a faster pace of ageing among them in the coming decades (Pala, 2005)

The projected senior citizen population for the year 2020 reveals that the low fertility levels experienced among the Chinese and Indians in Malaysia can result in a doubling in proportion of the elderly within the two ethnic groups in the 20-year period. Tracing Malaysia's demographic transition record, the first demographic transition happened in 1950 where the average male and female life expectancy at birth was at 55.8 and 58.2 respectively (United Nations Fund Report, 2006). Malaysia is currently in the third stage of demographic transition where the "demographic window" is still opening, implying that more younger generation than older population Malaysia. The "demographic window" will keep open till year 2019 and at that time, there will be about 3.4 million older persons (Pala, 2005) or about seven percent of her total population is 65 years and over (United Nations definition) in Malaysia. Malaysia Chinese population will be the fastest group reaching to the gate of demographic transition, follows by Malay and Indians population.

Once the "demographic window" was closed, it will introduce a reduction in the youth dependency ratio and eventually population aging. At that time, our government might have more pressure than before in providing health care services, pension and provident (PPF) to the older population. The government might also receiving less taxation income from the working population group but in stark contrast paying more social security or pension money to a larger population. Besides, Malaysia financial system is also experiencing greater pressure in synchronizing its marketing strategies in catering the needs of the greying market. Some illiteracy older persons might have saving but do not have ample knowledge in investment, retirement planning and money management might seeks help from financial institutions.

Employment will be another issue in maintaining the employability among the older workers. Many studies report the determinants of work on and barriers to keep working among elderly workers. Most analysts recognize that age (Arrowsmith, 1994), health and income (Andrews, 1992) are the important factors in the decision to retire. However, less information on the determinants to continue working or stop working among Malaysian elderly. Chan (2006) in his paper found that poor health and compulsory retirement were noted as the main reason to stop working among Malaysia older workers. Further analysis showed that more male than female mentioned compulsory retirement as reason for stop work. As expected, more female than male mentioned family responsibilities as main reason for not working. Similar reason was given by women not in the labor force.

Living longer will increase the chances of experiencing poverty and outliving available income. Older persons with different employment history, health status, support networks as well as difference cultural setting might have a different financial dependency in old age. Among examples of plural societies, Malaysia shows an unusually balanced ethnic structure of three dominant groups, the Malays who make up 53.4 per cent and the Chinese who make up 26 per cent and 7.7 per cent for Indian ethnic group (Pala, 2005) and each of the ethnic group has distinct demographic features and cultural. Due to the cultural differences that exist in the origins of different communities, there is a noticeable absence of homogeneity in the behavior of the older population when entering into retirement age as well as their financial dependency in old age. Such unique characteristic provides a particularly appropriate context for this study from which a sample representing diverse ethnic groups can be drawn from its population. This study aims to identify the predictor(s) of financial dependency among older Malaysians from three main ethnic groups (Malay, Chinese, and Indian) and it Malaysia government to design different intervention strategies for the various ethnic elderly in achieving financial independence in old age.

2. Methodology

The data was part of a bigger dataset drawn from Institute of Gerontology, Malaysia under the collaboration with United Nation Population Fund. The primary aim of the data was to identify the possessed skills among the matured workers as well as the types of training they need for productive ageing in future. For sampling frame purposes, Kajang Municipality from Selangor state of Malaysia was chosen. A listing was carried out in the district of Kajang before the sample selection to assess the total number of older persons within the Kajang Municipality. A total of 13,345 houses were enumerated and 2,231 households were identified with at least one elderly aged 50 years or above. Noted that some households consist of more than one elderly and this study has decided to choose the respondent unit rather than household unit so that every elderly 50 or above might has an equal chance to be selected. Initially, 1,000 respondents were selected using proportionate sampling (controlling for three age groups and gender) for rural and urban area. Face-to-face interview approach was started in Jan 2007 and ended in July 2007. Enumerators would only interview the older persons based on the selected list. Of the 1,000 potential respondents, the final sample consisted of 806 older persons age 50 and above. The ethnic breakdown is as follows: Malay, $n = 367$ (46 per cent); Chinese, $n = 192$ (23.8 per cent) and Indian, $n = 247$ (30.6 per cent).

The data were analyzed using Statistical Package for Social Science Software V.13, which involved the analysis of descriptive statistics like frequencies and mean. Pearson Moment Correlation, Independent Sample T-Test and Chi-Square analysis were employed to identify the correlation and different between the variables. At last, binary logic regression was used to identify the predictor of financial dependency across the three main ethnic groups among older persons in Malaysia.

3. Research Finding

A total of 806 respondents participated in this study which comprises 401 (49.8%) female and 405 (50.2%) male. Majority of the respondents (74.1%) were married and 21.7% were widow/widower. Pearson Chi Square analysis found that there was a significant different in marital status by ethnicity. ($\chi^2 = 20.598$, $df = 6$, $p \leq 0.05$) where the highest proportion in widow/widower were Indian respondents while Malays the had lowest widowers. In contrast, the Chinese were recorded with highest proportion in never married category compared with other ethics groups.

The older persons in this study were born before Malaysia gains her independence in 1957. They have less opportunity in receiving formal education and thus, the education level attained by these respondents was relatively low. Four out of every ten respondents have no formal education and the highest education attainments were up to the secondary school. With lower level of educational attainment older persons in Malaysia have limited economic opportunities and this eventually affect their ability to continue work, incomes and to some degree, savings and wealth (Jariah & Sharifah, 2008)

Home ownership is important in explaining the financial independence among older Malaysians (Chan et.al. 2010). In this study, home ownership status was differs among the three ethnic groups ($\chi^2 = 47.293$, $df = 2$, $p \leq 0.01$). Higher proportion of Malays (66.4%) owned their house other ethnic groups. In terms of gender differences, more older male than older female within Malay group afford to own house ($t = 6.646$; $p \leq 0.01$) but this trend was not applied for Chinese and Indian groups. It could be explained that the house was an inheritance asset due to the intergeneration transfer matter among the Malay population.

Self-rated health was obtained using a four-point ordinal scale and the result indicated that health status was also associated with their ethnicity. Malay respondents tend to perceive lower health status than other groups while Chinese respondents perceived that they are in good-health-condition.

Financial dependency of the respondents was measured using a single-measure item, "Sir/Madam, currently who is the main financial provider to you? Possible answer could be "myself", "my spouse", "son and daughters", "relatives" and "others". All these possible answers were then regroup into two main categories (independent and dependent). About 56% of the respondents were financially independent while the remaining was depended on their children, son/daughter in law, friends, neighbor or government aids.

Table 1 showed the respondent's characteristics by three ethnicity groups. Looking at the proportion, most of the Malay respondents were male, married, with primary school education level, afford to own house, not working and perceived a good health status during the study period. Similar trend could be observed among the Chinese respondents except for the home ownership where 63.4 per cent of do not afford to own home. For Indian respondents, Table 1 showed that there were more female than male Indian respondents in this study. Besides, there was also no divorce or separated cases been recorded among the Indian respondents. The Indian

respondents were also occupied the highest proportion of “Not working” category across three ethnic group. These two factors will eventually lead to certain implications for the logic regression among the Indian group. Further explanation will be discussed in discussion section.

Table 2 showed the financial dependency level by their socio-demographic profile. Chinese in study were reported most financial independent than Malays and Indian groups. The financial dependency of the respondent was also significantly associated by the sex of respondent ($\chi^2 = 7.18$, $df = 1$, $p \leq 0.01$), marital status ($\chi^2 = 48.96$, $df = 1$, $p \leq 0.01$), employment ($\chi^2 = 178.36$, $df = 1$, $p \leq 0.01$), education attainment ($\chi^2 = 33.08$, $df = 2$, $p \leq 0.01$) and health status ($\chi^2 = 55.04$, $df = 1$, $p \leq 0.01$) where male, married, those with higher education attainment and good in health status were associated with financial independent in old age. Financial dependency level was also significantly differentiated by their age ($t = 13.97$, $p \leq 0.01$) monthly household income ($t = 9.54$, $p \leq 0.01$) and monthly household expenses ($t = 6.18$, $p \leq 0.01$) [not shown in the table].

3.1 Regression Model for Financial Dependency by Three Main Ethnic Groups

A total of eleven predictors were regressed into each models and when looking for the logistics model for the Malay group, the model was fit at Nagelkerke R square = .276 at significant of $P \leq 0.05$. Of the 11 predictors, only three predictors (marital status, employment status and age factor) emerged to be the significant predictors for this model. This implies that those younger married Malays who are currently working were more independent than the other groups in financial matter.

The second model explained 68.3 per cent variance of the financial independence (Nagelkerke R square = .276 at significant of $P \leq 0.05$) among the Chinese respondents with four significant predictors (employment status, home ownership, education and age). The odds ratio did explain that those Chinese respondents who are currently working was about six times more likely be financial independent compared to not working group. Besides, those Chinese respondents who own a house were seven times more likely be financial independent in old age compared to those who do not own a house. The age factor in Chinese model has the same direction to Malay model but with bigger covariance effects.

The third model was fit at Nagelkerke R square = .713 at significant of $P \leq 0.05$. Of the 11 predictors, three significant predictors (marital status, employment status and age) emerged to be the significant predictors for this model. Again, the age factor has the same negative direction across the three models, indicating that the younger older persons might have a better financial security than the older group in this study. However, the Indian group shows a relatively high odd for both employment and marital status variables. Those Indian who are married was seventeen times more likely be financial independence compared to not married group. Besides, those who keep working were 24 times more likely be financial independence in old age compared to those who do not work.

4. Discussions and Conclusions

Age and employment variable appear to be the constant predictors of financial dependency in old age across all three ethnic groups. For ethnicity differences, Indians in this study were mostly tightening the financial independence with their social economic background (marital status and employment). Based on Table 1, Indian respondents have the highest proportion in widow/widower category and the household income gap was big between those Indians who currently working and not working (not shown in the table). This helps to explain why the odds for married (17X) and working group (24X) was relatively high compared to other ethnicity groups. Other variables like education, number of children and health status were significantly related to financial independence at bi-variate level but not in the logistic models due to inter-correlation between the factors-employment status. Home ownership was a significant predictor in Chinese model where we can conceptualize that the older Chinese group might have different views about the important of having own-house in old age. Besides, marital status seems to be an important factor in securing financial independent among the older Indian group. As mentioned earlier, there was no divorce or separated cases were recorded among the older Indian in this study. This matched with data drawn by Malaysia Department of Statistics indicated that the majority of the divorce cases happen to be amongst the Muslims, followed by Chinese and Indians. This study did prove that not all three ethnic groups share same predictors of financial dependency in old age. Due to the different trajectories in life experience and socioeconomic status, older Malaysians of various ethnic descents have varying levels of financial independence.

One of the limitations of this study was the clarification for the employment status. This study only explored whether the respondents were working or not working during the study period. However, this study did not explore in details for the employment aspects of the older persons such likes their payment scheme, number of working hours, benefits, types of industry and others. This information was vital and could be a better predictor in explaining financial dependency level among older persons. To conclude, keep occupying, home ownership,

and married were the three main predictors among Malaysia elderly. Elderly was part of the society and thus, government and NGO should work at hand-in-hand to improve the financial independence of these population by monitoring home settlement issues, older workers issues and family related issues among the older households in Malaysia. Allocation should be reached to the non-married, old-oldest group and with no settlement from time to times in concerning this matter. For older workers issues, instead of instilling a positive image of elderly workers, improving the employability of the elderly workers is indeed important. Skills upgrading training, improving working conditions, facilitating access to part-time jobs and developing flexible work arrangements need to be addressed to minimize the work accessibility gap of this older population.

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Table 1. Profile of the respondents

Variable		Malay		Chinese		Indian		Total	
		N	%	N	%	N	%	N	%
Gender	Male	186	50.7	110	57.3	109	44.1	405	50.2
	Female	181	49.3	82	42.7	138	55.9	401	49.8
Marital Status	Never married	8	2.2	5	2.6	2	0.8	138	1.9
	Currently married	279	76.0	145	75.5	173	70.0	19	2.4
	Divorced/Sp.	13	3.5	6	3.1	0	0.0	175	21.7
	Widowed	67	18.3	36	18.8	72	29.1	597	74.1
Education Attainment	No Formal Sch.	116	31.6	59	30.7	123	49.8	298	37.0
	Primary L.	154	42.0	106	55.2	72	29.1	332	41.2
	Secondary L.	91	24.8	27	14.1	50	20.2	168	20.8
	<i>Missing data</i>	6	1.6	0	0.0	2	0.8	8	1.0
Home Ownership	No	120	33.6	121	63.4	124	50.6	365	53.1
	Yes	237	66.4	70	36.6	121	49.4	428	54.0
Employment Status	Not Working	212	57.8	103	53.6	157	63.6	472	58.6
	Working	155	42.2	89	46.4	90	36.4	334	41.4
Self Rated Health	Very Good	50	13.6	39	20.3	49	19.8	138	17.1
	Good	200	54.5	115	59.9	126	51.0	441	54.7
	Bad	102	27.8	30	15.6	60	24.3	192	23.8
	Very Bad	2	0.5	5	2.6	9	3.6	16	2.0
	<i>Missing data</i>	13	3.5	3	1.6	3	1.2	19	2.4

Table 2. Financial Dependency Level by Selected Variables

Variable	Financial Dependent		Financial Independent		Total		
	N	%	N	%	N	%	
Gender	Male	159	44.9	246	54.4	405	50.2
	Female	195	55.1	206	45.6	401	49.8
Ethnicity	Chinese	148	41.8	219	48.5	367	45.5
	Malay	91	25.7	101	22.3	192	23.8
	Indian	115	32.5	132	29.2	247	30.6
Marital Status	Never married	5	1.4	10	2.2	15	1.9
	Currently married	219	61.9	378	83.6	597	74.1
	Divorced/Sp.	7	2.0	12	2.7	19	2.4
	Widowed	123	34.7	52	11.5	175	21.7
Education Attainment	No Formal Sch.	164	47.0	134	29.8	298	37.3
	Primary L.	137	39.3	195	43.4	332	41.6
	Secondary L.	48	13.8	120	26.7	168	21.1
	<i>Missing data</i>						
Home Ownership	No	192	54.9	173	39.1	365	46.0
	Yes	158	45.1	270	60.9	428	54.0
Employment Status	Not Working	300	84.7	172	38.1	472	58.6
	Working	54	15.3	280	61.9	334	41.4
Self Rated Health	Very Good	46	13.3	92	20.9	138	17.5
	Good	163	47.1	278	63.00	441	56.0
	Bad	123	35.5	69	15.6	172	24.4
	Very Bad	14	4.0	2	0.5	16	2.0

Table 3. Chi-square Analysis and Independence Sample T-Test with Financial Dependence

No	Variable	Financial Dependence		
		df	χ^2	t
1	Gender	1	7.181**	
2	Marriage Status	1	48.96**	
3	Employment	1	178.36**	
4	Level of Education	2	33.08**	
5	Self rated Health	1	55.04**	
6	Age	-		13.97**
7	No of Children staying together	-		2.50**
8	Monthly HH Income	-		9.54**
9	Monthly HH Expenses	-		6.18**

Note: n = 806. Chi-square test used for categorical and ordinal variables;

t-test for Age, Monthly HH income, Monthly expenses, * p < 0.05 . ** p < 0.01

Table 4. Summary of Logistic Regression: Malay

Variable	B	SE	Odds Ratio	95 % CI
Gender (male =1)	0.486	0.277	1.625	0.945-2.796
Marriage Status (married = 1)	.572	.329	1.773	0.929-3.381
Employment (working =1)	**1.301	.296	3.672	2.057-6.555
Home Ownership (own =1)	0.194	0.278	1.215	0.704-2.096
Self rated Health (Good =1)	.345	.283	1.412	0.811-2.458
Education : No formal Schooling)	-0.207	.393	0.813	0.377-1.756
Education : At Least Primary Level	-0.067	.340	0.935	0.481-1.820
Age	*-0.040	0.018	0.961	0.928-0.995
No. Children staying together (1= >3)	.261	0.306	1.298	0.713-2.364
Monthly HH Income	0.001	0.000	1.000	1.000-1.001
Monthly HH Expenses	0.001	0.000	1.000	1.000-1.001

Note: Nagelkerke R Square = .276; Percentage Correct: 75%; * p < 0.05 . ** p < 0.01

Table 5. Summary of Logistic Regression: Chinese

Variable	B	SE	Odds Ratio	95 % CI
Gender (male =1)	-0.027	0.584	0.973	0.310-3.059
Marriage Status (married = 1)	0.558	0.645	1.748	0.494-6.185
Employment (working =1)	**1.739	0.535	5.691	1.993-16.254
Home Ownership (own =1)	**1.937	0.618	6.936	2.064-23.310
Self rated Health (Good =1)	1.295	0.807	3.652	.751-17.769
Education : No formal Schooling)	*-2.248	0.950	0.106	0.016-0.679
Education : At Least Primary Level	-1.141	0.860	0.319	0.059-1.724
Age	** -0.180	0.047	0.835	0.761-0.917
No. Children staying together (1=>3)	0.374	0.585	1.454	0.462-4.576
Monthly HH Income	0.000	0.000	1.000	0.999-1.000
Monthly HH Expenses	0.000	0.001	1.001	1.000-1.002

Note: Nagelkerke R Square = .683; Percentage Correct : 83.5%; * p < 0.05 . ** p < 0.01

Table 6. Summary of Logistic Regression: Indian

Variable	B	SE	Odds Ratio	95 % CI
Gender (male =1)	1.058	0.546	2.880	0.987-8.40
Marriage Status (married = 1)	**2.845	0.655	17.204	4.766-62.105
Employment (working =1)	**3.204	0.741	24.632	5.769-105.168
Home Ownership (own =1)	0.878	0.494	2.407	0.915-6.333
Self rated Health (Good =1)	0.148	0.464	1.159	0.467-2.876
Education : No formal Schooling)	-0.066	0.568	0.936	0.307-2.851
Education : At Least Primary Level	0.505	0.661	1.657	0.454-6.047
Age	** -0.097	0.030	0.908	0.856-0.962
No. Children staying together (1=>3)	-0.431	0.525	0.650	.232-.10821
Monthly HH Income	0.002	0.001	1.002	1.001-1.002
Monthly HH Expenses	0.001	0.001	1.001	1.000-1.002

Note: Nagelkerke R Square = .713; Percentage Correct : 85.4%; * p < 0.05 . ** p < 0.01

Comments on Development of Job Embeddedness about Study on Turnover and Exploration into Application in Enterprises

Erdong Zhao

Economics and Management School, North China Electric Power University
Bei Nong Road, Beijing 102206, China
E-mail: teacherzed@163.com

Liwei Liu (Corresponding author)

Economics and Management School, North China Electric Power University
Bei Nong Road, Beijing 102206, China
E-mail: vliu@sohu.com

Abstract

This article discussed the problem of employee turnover by taking job embeddedness theory as the perspective of research and introduced job embeddedness and its latest research progress on the basis of reviewing developmental process of study on employee turnover. Then, the author put forward relevant enlightenments, application and development direction that can be referred to by enterprises in China to reduce the turnover rate of employees.

Keywords: Job embeddedness, Study on turnover

In the current society in which human capital becomes increasingly the core competition advantage of an enterprise, voluntary turnover of core employee more and more arouses extensive attention from the academic field and business field. Turnover of core employees is extremely likely to bring about rapid loss of human capital and social capital in the enterprise, increase of replacement cost of talents, disclosure of technical and management confidentiality and reduction of core competition of the enterprise, etc, which may result in immeasurable losses to the enterprise. As has been indicated by research, turnover of core employees has become one of the severe issues that perplex survival and development of an enterprise. How to effectively confirm influential factors for turnover of core employees, predict the turnover behavior of employees and keep back these core employees is a key issue that is urgently to be focused and resolved by the enterprise.

1. Development of study on employee turnover and presentation of the theory of “job embeddedness”

Development of study on turnover has generally gone through three stages, namely, traditional attitude turnover theory, multipath turnover theory and the current job embeddedness theory. Generally speaking, all these studies on voluntary turnover regard employee turnover as a dependent variable, on the basis of which they establish a dependent variable-based turnover model and accordingly deduce turnover aspiration and turnover behavior of employees.

The traditional attitude turnover theory predicts the turnover behavior and retention of employees by taking such job attitude factors as “job satisfaction” and “organizational commitment” a intermediate variable. According to this theory, employees with high job satisfaction and organizational commitment are believed not easy to leave their positions. The main typical studies include the earlier model of “decision by participants” by March & Simon. This model takes the perceived turnover aspiration and turnover possibility as two primary turnover variables which afterwards are evolved into “job satisfaction” and “perceptible job opportunity”, and become the major factor of predicting employees’ turnover behavior and the foundation for establishment of a large number of models. The following models are all traditional models established on the basis of job attitude: Price Model (1977), Mobley’s intermediary chain model and expansion intermediary chain model (1977), Steer & Mowday Model (1977) and the Cusp-catastrophe model by Sheridan & Abelson. Although these models have confirmed correlativity between job attitude and turnover, they merely focus on one factor or several possible decision making factors, which is not enough to explain the complicated turnover intention and turnover behavior,

especially the turnover behavior caused by non-work factors. In their study in 2000, Griffeth and Hom et al discovered that, employee satisfaction could only explain 3.6% of the variance variation of actual turnover behavior. Through his study on models of voluntary turnover of employees over ten years, the American Professor Mitchell found out, a combination of the traditional mainstream attitude turnover model with other several attitude variables could only explain less than 25% of variation of turnover. (Liang Xiaowei, 2005).

The multipath turnover theory refers to prediction on multipath turnover behavior with the incident of “system shock” as the initiative. Considering the deficiency of prediction by traditional turnover models on turnover behavior, Lee and Mitchell broke through the traditional research perspective of job attitude in 1994 and put forward a multipath expansion model which made an analysis from the multipath perspective of the social background and turnover types of organizing employees for turnover decision making (Liang Xiaowei, 2005). This model points out that, there are several paths for employee turnover, and some turnover decision may break away from job satisfaction and exist on their own, such as, via the incident of “system shock”. The multipath model has enhanced strength of prediction on turnover behavior, but it has not taken into account influences of other subjective attitude variables (such as organizational commitment) in addition to job satisfaction. (Zhang Mian & Li Shuzhuo, 2002)

Job embeddedness theory is a model which predicts turnover behavior of employee from the three dimensions of Links, Fit and Sacrifice. In view of limitations of previous study models, Mitchell and Lee et al applied embeddedness theory into discussion of the internal organization in 2001 based on the basis of the concept of “social embeddedness” proposed by Granovetter (1985), and put forward the theory of “job embeddedness”. They expanded studies which concentrated only on the overall organizational level or which deviated to pure interpersonal relationship level. This model proved that, compared with job satisfaction and organizational commitment, job embeddedness showed stronger strength of prediction on employee turnover. Job satisfaction is not necessarily the entire decisive factor of employee turnover, and other factors outside the job may also exert influences on turnover and retention of employees. “Job embeddedness” represents a series of general factors which affect retention decision making of employees, which not only include job factors, such as contact with colleagues, fitting of personnel and posts and community service activities sponsored by the organization, etc, but also include some non-work factors, such as responsibilities of individual, family and the community. The theory of “job embeddedness” goes into deep study and discussion about influences of non-work factors on employee turnover. According to this theory, “job embeddedness is just a net which people ‘sink into’”. People with high embedability have a lot of closely connected relations and combination of these relations can be diversified. An individual may embed or sink into the social network which they reside in with several methods.” The more complicated the social network of employees and the more their connection with the job, the stronger their job embedability and the closer the dependency relationship between employees and the organization.

There are three key analysis dimensions for job embeddedness, that is, Links, Fit and Sacrifice. Each dimension makes an analysis from the two aspects of organization and community, and thus, six analytical fields are formed: Links—organization, Fit—organization, Sacrifice—organization, Links—community, Fit—community & Sacrifice—community. Definition of relevant concepts about job embeddedness is shown as in Table 1.

Compared with the former two theories, the theory of “job embeddedness” has the following advantages: it has explained well two phenomena which often perplex business owners. Firstly, employees leave their positions due to satisfaction with the job or they retain because they are dissatisfied with the job. According to the “embeddedness theory”, when employees are satisfied with the current job, they may volunteer to seek for more satisfactory job opportunities as a result of the low degree of job embeddedness. That is to say, they leave their positions due to satisfaction with the job. When employees are dissatisfied with the current job, they may also choose to retain owing to the high degree of embeddedness of non-work factors and close connection. That is to say, employees choose to give up turnover because of high cost caused by turnover, and choose to retain even though they may be dissatisfied with some aspects in the enterprise. Therefore, at the time when an enterprise concentrates on traditional job satisfaction, it should also pay attention to influences of other subjective factors and non-work factors on employee turnover. Secondly, employees may have different aspirations of retention/turnover who work in the same organization, possess similar working conditions and environment and have equal work selection opportunities. According to the “embeddedness theory”, under the equal condition, employees with deep job embeddedness are more likely to choose retention, whereas employees with low degree of job embeddedness are more inclined to turnover. Thus, job embeddedness theory provides a new perspective for voluntary turnover of employees and is more and more concentrated by the academia.

2. The latest progress of studies on “job embeddedness” theory

In 2004, Mitchell et al took 1650 employees from large-scale financial institutions as research sample and made a distinction between the component factors of job embeddedness --- on-job embeddedness and off-job embeddedness. Through regression analysis, he pointed out that, off-job embeddedness could predict significantly voluntary turnover of employees, whereas on-job embeddedness had weak prediction strength. The analysis also showed that on-job embeddedness could predict significantly the citizen identity and work performance of the organization, whereas off-job embeddedness had weak prediction strength. In addition, job embeddedness could mediate influences of absence, citizen identity and performance on turnover of employees.

David Allen pointed out in his research, the strategy of socialization could enable new employees to be further embedded in the organization, which in turn might affect turnover rate of new employees. This theory has been verified in a study which took new employees as the sample in a large-scale financial service organization. According to the research, the strategy of socialization can make new employees embedded in the organization, and collective, fixed and authorized strategies are verified to be dominantly correlated with on-job embeddedness. The research also indicates, relevance of adjustment of the relationship between on-job embeddedness and turnover and between socialization strategy and turnover is weak (Brooks C. Holtom, Terence R. Mitchell, Thomas W. Lee, 2006).

Insert Table 1 Here

In the latest research, Mitchell et al integrated expansion model and job embeddedness model so as to obtain the most distinct organizational link skeleton. It is discovered in a large-scale international research which involved several hundred employees of turnover and retention, the job embeddedness of retaining employees is high, which verifies the precise prediction of job embeddedness on retention of employees. It is also found that, job embeddedness can buffer influences of “system shock” on employees. That is, under a system shock, employees with low embeddedness are more likely to choose turnover than employees with high embeddedness (Brooks C. Holtom, Terence R. Mitchell, Thomas W. Lee, 2006)

Furthermore, the recent studies abroad about job embeddedness have the following trends: switch from perspective of personal behavior to organizational research perspective, from theoretical research to applicable research, and the trend of combination of theory and practice is greatly strengthened.

The latest research by Holtom, Mitchell and Lee in 2006 focused on application of job embeddedness in enterprises. They not only put forward methods by some enterprises to improve job embeddedness of employees (see Table 2), but also studied a lot of living examples by the Fortune 100 Companies in application of job embeddedness theory and improvement of job embeddedness (see Table 3).

Insert Table 2 Here

Insert Table 3 Here

3. Enlightenment and application of job embeddedness theory in enterprises in China

3.1 *The status quo of domestic studies on turnover based on the theory of “job embeddedness”*

The earliest literature about job embeddedness at home began with “The Latest Progress in Study on Model of Voluntary Turnover of Foreign Employees” by Zhang Mian & Zhang De in 2003, which introduced the latest condition of turnover models and the theory of job embeddedness as well as its contribution to turnover models. Afterwards, some academics made discussion and empirical research on this theory in succession, such as Liang Xiaowei, Luo Jing, Liao Jianqiao, Wang Feibin, Li Qihui and Sun Xiaohua, etc. Their focus of studies was mainly on: 1) Expansion of research perspective, for which they put forward the organization-based perspective of research based on the basis of individual behavior as the research perspective. For example, they took knowledge employees as the research group, and discussed how an organization should employ the embeddedness theory to reinforce “stickiness factor” and improve the degree of organizational embeddedness of knowledge employees. (Liang Xiaowei, Luo Jing & Liao Jianqiao, 2006). 2) Focus on applicability of job embeddedness model at home. In combination with the status quo of China, they made research and improvement on the job embeddedness model and attempted to integrate this model with Chinese culture and management situation. For instance, they took Wuhan municipal state-owned and private-owned hospitals as research sample to study the applicability of job embeddedness model in China (Liang Xiaowei, 2004).

Generally speaking, studies on job embeddedness at home have just taken the initial step and are in infancy. There are a minority of academics and monographs within this field. Most of studies focus on introduction of foreign ideas and track of foreign research achievements, and exploration and development connected with

domestic situation are inadequate. However, as a new field of study on turnover, job embeddedness would certainly receive further concentration and development in practice.

3.2 *Guidance significance of turnover theories to practice of enterprises in China based on job embeddedness*

3.2.1 To enhance job satisfaction of employees is not the unique means to retain employees

Since studies on application of job embeddedness theory to study turnover of employees is still at a stage of theory discussion and test, they haven't aroused wide attention of the academia and the business field. Besides, research achievements have not been made which can directly be applied to enterprises. Therefore, at present, some enterprises in China mainly adopt "job attitude theory", that is, to improve job satisfaction of employees as a primary means to retain employees. For example, quite a large number of enterprises adopt survey of job satisfaction to predict their turnover rate, and attempt to improve job satisfaction of employees by all sorts of means (such as remuneration, welfare and share option, etc), in the hope of retaining core talents of the enterprises. For all this, turnover of core employees still make many business owners perplexed and nail-biting. Introduction of job embeddedness theory enables an enterprise to have another alternative, and they can conduct an overall study on turnover factors of employees and predict their turnover behavior from the two perspectives of work factors and non-work factors.

3.2.2 To retain core employees by means of increasing "embeddedness" of employees and increasing their turnover cost with goodwill

It is discovered that, an enterprise can obviously improve job embeddedness of employees, strengthen their retention aspiration, make the enterprise and employees an interdependent community interest and retain core talents for the enterprise by enhancing degree of fitting between employees and the enterprise and the community and by creating and consolidating links of employees and the enterprise.

3.2.3 Qualitatively speaking, influences of application of the idea of "job embeddedness" into the relationship network in China are of certain value.

Fei Xiaotong has ever pointed out, the network of Chinese interpersonal relationship exhibited a "pattern of difference sequence" and a cultural background in which relationship network was complicated and non-work factors occupied an important status in an individual's life. Therefore, study on the problem of turnover from the angle of "job embeddedness" has definite theoretical and practical exploration value in China.

3.3 *Practices of Chinese enterprises related with "job embeddedness"*

Application of job embeddedness in Chinese enterprises is not without any reason. As a matter of fact, some enterprises have already applied the principle of job embeddedness without consciousness for corporate management and cultural construction. The depth and breadth of application is still open for expansion under the guide of theory. Taking the ten top CCTV annual employers in 2006 as research representatives, the authors made relevant studies on the status quo of management in these enterprises and status quo of their culture. Selection for these research samples was because employees of these enterprises showed high dependence and loyalty to the enterprises and their turnover rate was relatively low.

It is discovered through the research:

1) These enterprises have already employed dependently the job embeddedness theory in some aspects to improve job satisfaction of employees, strengthen quantity and degree of links between employees and the enterprises and construct dependent affection of employees towards enterprises (see Table 4). It is proved in practice, these explorations have achieved obvious effects.

2) Most of these enterprises tend to take measures from the perspective of organization to improve job embeddedness of employees, whereas they seldom take measures from the perspective of community, because understanding of community at home and abroad is different and development and healthiness of community is diverse. Development of community abroad is relatively sound, and links between individuals and the community is relatively close. By contrast, the concept of community at home is relatively not that strong, and community is being developed and perfected. At the same time, according to the authors, distinction might exist as for influences of measures on retention of employees taken from the two perspectives of organization and community. Differences might also exist as for influences of the six research areas produced by the two perspective of organization and community and the three key dimensions of job embeddedness theory. It is still open for further research and verification which perspective an enterprise should choose to take measures to more effectively affect decision making of retention/turnover of employees.

3) Definition of the three key dimensions in the job embeddedness theory seems a little bit abstract and

ambiguous. For instance, "flexible schedule" can not only be considered a measure of fit-organization since flexible schedule may enable better coordination between employees and the enterprise, but also can be regarded as a measure of sacrifice-organization since turnover of employees may result in loss of this treatment and a new enterprise may not offer flexible schedule. Besides, under different cultural backgrounds at home and abroad, prejudice might not be avoided as for understanding of relevant concepts of job embeddedness, such as understanding of "community".

Insert Table 4 Here

4. Developmental direction of job embeddedness theory

Through studies on the status quo of theoretical development and application cases in enterprises in China, the authors conclude that there are the following several aspects for job embeddedness theory to be further improved in China:

- 1) By taking into consideration the actual domestic situation and cultural background, we should further define clearly connotation of the three key dimensions of job embeddedness and make them more easier to discriminate, eliminating overlapping or confusion of concepts.
- 2) We should conduct research in applicability of the connotation of the three key dimensions in China and make correction and expansion to concepts in combination with the actual situation and cultural background in China.
- 3) We should study differences of influences of measures taken from the two perspectives of organization and community on retention of employees, study differences of influences of the six aspects of job embeddedness on retention of employees and study from which perspectives and fields an enterprise should take measures to more effectively affect decision making of retention/turnover of employees.
- 4) We should further verify applicability of job embeddedness model in all industries in China.
- 5) We should make corresponding adjustment and correction to the theoretical models according to actual situation in China.
- 6) We should study achievements that are connected with the actual situation in China and that can be directed applied by enterprises.

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Table 1. Definition of job embeddedness

(Brooks C. Holtom, Terence R. Mitchell, Thomas W. Lee, 2006)

Concept	Instruction
Job embeddedness	Job embeddedness represents a broad series of influential factors for employee retention. The key of job embeddedness is as follows: (1) the degree of similarity or fitting of job, community and other aspects of individual living; (2) the degree of connection of individuals and others or activities; (3) loss of personal turnover.
Fit—organization	Fit-organization reflects the compatibility with the organization or comfort perceived by an employee. The values of an individual, his/her career target and career plan in the future ought to fit with the current job requirements and even the mainstream culture of the enterprise (such as knowledge, skill and competence).
Fit—community	Fit-community refers to the degree of fitting with the community and the surrounding environment perceived by an individual. The weather of the residential area of the individual, the domestic installation and the general culture can all be related with the perceived fit-community.
Links—organization	Links-organization includes the formal and informal links between employees and others or the group within the organization.
Links—community	Links-community refers to links between employees and others and the group within the community. Links-community reflects the great influences exerted on individuals and their decision making by the family and other social institutions.
Sacrifice—organization	Sacrifice-organization refers to the perceived material profits and psychologically anticipated profits lost due to personal turnover. For example, leaving an organization might mean loss of an individual (such as, loss of colleagues, a project or special treatment). The more an employee loses as a result of his/her turnover, the more difficult it is for him/her to separate with the organization.
Sacrifice—community	Turnover relocation is a primary problem in sacrifice-community. Usually, people are not willing to move from an attractive, safe and respectable community. Of course, an employee may dismiss without moving away. However, even so, a lot of amenities, such as the convenience of rush hour traffic and flexible working hours may also be lost with turnover.

Table 2. Methods to increase degree of job embeddedness

(Brooks C. Holtom, Terence R. Mitchell, Thomas W. Lee, 2006)

Methods	Application
Fit—organization	<p>To provide a lot of internal recruitment information about vocational development opportunities</p> <p>To employ realistic job previews</p> <p>To recruit employees who match with the values of the organization</p> <p>To offer socialization for new employees so as to come to acquaint themselves with other employees, especially members of the group or team</p> <p>To encourage employees' participation to directly affect their decision making</p> <p>To encourage employees to make a career plan</p> <p>To provide training and development opportunities for employees which can help them realize the long term career target</p> <p>To arrange appropriate work schedule for employees (full time or part time, work shifts and hourly workers)</p>

Links—organization	<p>To allow employees to choose whichever team or project</p> <p>To furnish supervisors to subsidize or guide new employees or young employees</p> <p>To help mutual acquaintance of colleagues</p> <p>To provide opportunities for knowledge sharing of employees and to promote escalation of customer service skills</p> <p>Recommendation award for employees</p> <p>To establish maternal alliance for current and previous employees so as to offer sponsorship and other assistance</p>
Sacrifice—organization	<p>To update welfare forms, such as cafeteria plan, etc, so as to satisfy demands of different individuals and improve balance between job and life</p> <p>To provide stimulation or subsidy based on length of service</p> <p>To allow employees to participate in design of the working environment and planning of celebrations of the company</p> <p>To furnish day-care services in the company</p> <p>To provide commuter services and work arrangement which is convenient for living of employees' family</p> <p>High wages</p> <p>To increase generously retirement fund</p> <p>Profit sharing</p> <p>To offer stocks and stock option (such as 401(k))</p> <p>To allow employees to use vehicles of the company</p>
Fit—community	<p>To recruit mainly in the market and/or community nearby the company</p> <p>To try to avoid employee relocation</p> <p>To provide information for employees about community activities and resources</p> <p>To set up new facilities nearby the community of employees or on the route of rush hours</p>
Links—community	<p>To support employees for their service in the community (such as, two days' service in the community each year), especially a project burdened by the group</p> <p>To encourage employees to participate in activities held by local schools (such as, being a supervisor)</p> <p>To encourage employees to join in the citizen or professional organization based on the community</p> <p>To offer sponsorship for children sport league match or sports team of the community alliance</p> <p>To provide learning courses of the second language for employees whose mother tongue is not English</p>
Sacrifice—community	<p>To reduce times of employee relocation</p> <p>To provide family purchase assistance</p> <p>To provide local traffic support</p>

Table 3. Activities by the Fortune 100 Companies to increase job embeddedness (part)
(Brooks C. Holtom, Terence R. Mitchell, Thomas W. Lee, 2006)

Companies	Fit—organization
First Horizon National	To promote female employees with brilliant achievements; and 83% managerial staff are female
SEI Investments	To enable each one to perceive fairness of the plan of “vocational promotion”
Valassis	To bring new occupations for absorption of particular talents
Companies	Links—organization
American Fidelity Assurance	To prepare birthday cakes for employees’ birthdays each month
Bingham McCutchen	Strong network of supervisors
Four Seasons Hotels	To receive recognition by the peer industry through annual employee award in each hotel
Procter & Gamble	Guidance on exchange between elementary female employees and senior managerial personnel
Stew Leonard’s	Contest of pie eating; outing on a hay ride; travelling of skiing
W. L. Gore	Mutual evaluation by members of the team to decide reward distribution
Companies	Sacrifice—organization
Aflac	The company pays all tuition for employees’ children and grandson (granddaughter), as high as \$20000 each year
American Cast Iron Pipe	The health center possesses 20 doctors and nurses, 11 dentists and dental hygienists as well as 4 pharmacists; rehabilitation centers
Booz Allen Hamilton	2/3 employees can enjoy flexible working arrangement
Cisco Systems	Enjoyable working environment
J. M. Smucker	To present bagels and sponge cake free of cost each day
Men’s Warehouse	Three weeks’ paid holiday after five years’ service
General Mills	100% application for reimbursement, as high as \$6000
Starbucks	Extensive medical insurance (part-time duty personnel; spouse of the same gender or the opposite spouse)
Four Seasons Hotel	Winners of the annual award may obtain a week’ holiday and a retail voucher worthy of \$1000
IKEA North America	To provide tuition subsidy for spouses
Lots of companies	To provide profit sharing, stock rights, pension funds and favourable wages and treatment for employees
Companies	Fit—community
Adobe	Seasonal peasant market
John Wiley & Sons	Wiley may enquire employees whether they are in need of special welfare allowances for their relocation. In addition, the work unit also offers coffee rooms and fitness centers.
Bingham McCutchen	Box in the Fenway Park
Companies	Links—community
Arnold & Porter	Opportunities to serve for 6 months in charity institutions

Microsoft	Local donation
David Weekley Homes	Employees may join in the annual company meeting together with their spouses and kinsfolk
Principle Financial Group	Service for the community with several days off
Timberland	Service for 6 months with a paid leave
Morrison & Foerster	Volunteer service opportunities
Texas Instruments	To sponsor children summer camp
Companies	Sacrifice—community
Marriott	Local traffic aid
SAS Institute	Family purchase assistance; country club members (discount of 90%)
Vision Service Plan	To provide service of eye care for friends of employees

Table 4. Examples of application of job embeddedness by domestic enterprises

Company	Fit—organization
ZJS	To arrange university students for internship by work shift at the grass-root organizations and let them select the most appropriate positions through practice
Li Ning Company Limited	The perfect personnel training system establishment draws up TOP2008 Plan for almost 100 key personnel.
Aokang Group	To set up “three barriers and five instructions” during recruitment so as to ensure each employee of Aokang can synchronize with the principle of the company and coincide with requirements of the company and development of the company
Redstar Macalline International Furniture Chains Group	Competitive compensation system, and equal promotion and wage hike opportunities among male and female employees
Motorola	To give priority to female employees when the conditions of employees are similar; one of the candidates for successors of key positions has to be female in succession plan.
Company	Links—organization
Li Ning Company Limited	To hold an annual meeting each year, to set up a grand ceremony for award presentation and to let excellent employees to receive the greatest honour and acknowledgement
Wanda Group	To hold a grand annual meeting at the end of each year, to release all sorts of awards and to hold artistic performance of employees
Neusoft Group	To set up tutorial system

CMBC	Trade Unions of all levels of institutions organize all kinds of entertainment and sports to enhance relationship between leaders and employees and relationship between employees.
Company	Sacrifice—organization
Li Ning Company Limited	To conduct periodically physical test on employees who participate in the sports club of the company
Wanda Group	To offer commercial supplementary medical insurance of reproductive responsibilities for female employees; to provide preference for employees to purchase children supplementary medical commercial insurance.
Aokang Group	Each year, the company provides dinner welfare allowances worthy of several million Yuan.
Hisense Group	Each year, employees whose children take the university entrance examination may get several days off for special “accompany”
Redstar Macalline International Furniture Chains Group	The company sets up employee activity room, reading room and employee recreational area during the office time; each year, the company regularly holds spring outing and walking, and autumn outing and mountaineering as well as overseas travelling for excellent employees; employees are provided with paid vacations according to their ranks and contributions to the company, with an average vacation of 20 days or so each year.
Company	Fit—community
ZJS	To hold social clubs for overage youths and to care about marriage of employees
Aokang Group	To invest 30 million Yuan to build a three-star standard living residential district for accommodation of employees
Hisense Group	To resolve housing problem of Hisense’s employees
Company	Links—community
Li Ning Company Limited	To hold a Parents-Child Campaign each year on the Christmas and employees may participate in the activity with the whole family so as to enhance emotional communication
Wanda Group	Employees of the companies of the Group may set up Wanda volunteer stations.
Company	Sacrifice—community
Aokang Group	To hold a group wedding for employees and present diamond ring and wedding pictures
Redstar Macalline International Furniture Chains Group	To accommodate staff from other districts free of charge

Revisiting Wittgenstein on the Nature of Religious Language

Kevin Kimble

Department of Philosophy, National Chung-Cheng University

168 University Road, Min-Hsiung, Chia-Yi, Taiwan 621

Tel: 886-5-272-0411 ext. 31422 E-mail: kekimble77@yahoo.com

Abstract

In his *Lectures on Religious Belief*, Wittgenstein presents us with a view of the nature of religious discourse according to which religious claims are non-cognitive and not verifiable or assessable for correctness by means of evidence. I argue that, contrary to what is implied in *LRB*, these features do not follow from an analysis of the language game of religion, given that such an analysis is carried out on Wittgenstein's own terms. A natural suggestion is that his assessment of the status of religious language is guided in part by implicit acceptance of a verification criterion of meaning held independently of any analysis of language games. While Wittgenstein could thereby combine his view of language games and his use theory of meaning with this verification condition in assessing the meaning of religious statements, such a move comes at considerable philosophical cost.

Keywords: Wittgenstein, Religion, Religious language, Language game, Verification, Meaning, Non-cognitivism

1. Introduction

The ideas set forth in Ludwig Wittgenstein's later philosophy have far-reaching implications for a wide variety of issues in philosophy of religion, issues which have been at the forefront of much recent discussion. One area which has suffered serious neglect is the question of the relationship between Wittgenstein's all-important notion of language games and his treatment of the genuine character of religious belief. Various passages in the *Philosophical Investigations* and in his *Lectures on Religious Belief* shed considerable light on this question. Here is my plan for what follows. In the first section, I briefly expound one of the central tenets of Wittgenstein's theory of meaning, (Note 1) namely his notion of *language games*. In section II, I briefly outline three essential features of religious discourse which Wittgenstein sets out in the *Lectures*. In the final section, I argue that two of these features do not follow from an analysis of the language game of religion, given that such an analysis is carried out on Wittgenstein's own terms. A natural suggestion is that his assessment of the status of religious language is guided in part by implicit acceptance of a verification criterion of meaning held independently of any analysis of language games. After highlighting a logical tension between these two components of Wittgenstein's overall theory of meaning as applied to religious discourse, I suggest one plausible way of resolving the tension, although the proposed reconciliation comes at considerable philosophical cost.

2. Wittgenstein's Theory of Language

2.1 Language Games

The view of language and meaning which Wittgenstein develops in the *Philosophical Investigations* may be generally expressed as the view that language is a complex of language games that are logically distinct from one another, and yet interdependent: "I shall call the whole, consisting of language and the actions into which it is woven, the language game." (Note 2) In order to know what the meaning of a word or sentence is, one should not ask what it "pictures" but rather what job or task it performs. One of Wittgenstein's most famous illustrations of a simple language game involves a situation with a builder and his helper:

A is building with building-stones: there are blocks, pillars, slabs, and beams. B has to pass the stones, and that in the order in which A needs them. For this purpose they use a language consisting of the words "block," "pillar," "slab," and "beam." A calls them out; B brings the stones which he has learnt to bring at such and such a call. Conceive this as a complete primitive language. (Note 3)

B will not automatically understand what A means. He must learn how to use the words and sentences in certain ways, that is, he must be trained in certain prior activities before he can even begin to understand the orders given by A. He must grasp, for example, what *naming* is, what it means to ostensibly define something by

pointing to it, what certain names (e.g., “slab”) refers to, and what to do when A calls out the order. Thus, in order to learn the meaning of this particular exercise, the sentences uttered and the surrounding behavior and activities must be seen as an interwoven series of linguistic and non-linguistic movements, and Wittgenstein likened this to playing a game:

We can also think of the whole process of using words as one of those games by means of which children learn their native language. I will call these games “language games” and will sometimes speak of a primitive language as a language game. And the processes of naming the stones and repeating words after someone might also be called language games. Think of much of the use of words in games like ring-a-ring-a-roses. I shall also call the whole, consisting of language, and the actions into which it is woven, the “language game.” (Note 4)

Wittgenstein says that there are countless kinds of sentences and utterances which make up language games, and countless different uses of words and sentences. Some examples include describing an object, reporting an event, forming and testing a hypothesis, telling jokes, making up a story, and play-acting. Each different kind of sentence and language game presupposes certain rules for how the language is used and understood, just as a game of chess can not be understood and played unless there are appropriate rules for describing how the game is to be played and is to proceed. (Note 5) Discovering the meaning of language is much like understanding a game by watching it being played and inferring the rules inductively.

The acquisition and use of language includes both verbal and non-verbal behavior, and any given linguistic expression is itself but one element in a whole nexus of activity which occurs in a context. It is this complete activity that Wittgenstein terms a “form of life.” (Note 6) People who use different language games are participating in different forms of life which have no *essential* relationship to one another. While various words, expressions, or sentences may appear in several language games, this does not mean that what one is doing with them in one language game is the same thing she is doing with them in another. Each language game is logically distinct from every other. Wittgenstein claims that just as there is no necessary feature common to all games, so neither is there anything essentially common to all *language* games. What gives unity to all those activities which constitute various language games is a multitude of relationships “overlapping and criss-crossing”, analogous to the *family resemblances* that can often be observed among several generations of the same family. (Note 7)

2.2 Use Theory of Meaning

If the exact same words and sentences can belong to different language games, then what distinguishes their meaning in one language game from their meaning in another? Wittgenstein’s answer is his *use theory of meaning*: the meaning of a word, expression, or sentence depends upon its particular *employment* or *application* in a given language game. An utterance in one language game means something quite different from the same utterance or sentence in another language game. “For a large class of cases-- though not for all-- in which we employ the word ‘meaning’ it can be defined thus: the meaning of a word is its use in the language.” (Note 8) Wittgenstein likens words and sentences to tools with which one can make particular moves in a language game:

Think of the tools in a tool box: there is a hammer, pliers, a saw, a screw-driver, a rule, a glue-pot, glue, nails and screws. The functions of words are as diverse as the functions of these objects. (And in both cases there are similarities.) Of course, what confuses us is the uniform appearance of words when we hear them spoken or meet them in script and print. For their *application* is not presented to us so clearly. (Note 9)

In order to know the meaning of a sentence one should not ask what it “pictures” but rather what job or task it performs. Wittgenstein employs the concept of “guiding” as a further illustration of his thesis. One can imagine innumerable situations where the expression “being led by the hand” (or the behavior described by the expression) might mean completely different things. Such an activity could describe being led across a playing field blind-folded, being led somewhere by force, being led by a partner in a dance, or taking a walk with an intimate friend. These and other examples highlight the anti-essentialist theme found in Wittgenstein’s later philosophy which emphatically rejects the teaching of the *Tractatus* that words and concepts are bound together by an essential nature. Rather, words and sentences play varying roles in the different language games in which they are used, and it is this that determines what the meaning is within a given language game. Philosophers should cease analyzing words and concepts (with a view to discerning the individual essence of things), and should instead take an empirical stance and see how words and sentences are actually used in everyday life. (Note 10)

Wittgenstein’s theory of meaning as use also suggests the logical distinctiveness of the many diverse language games which exist. Each language game has its own set of “rules” which governs the separate roles that words and sentences play within that game. And one cannot judge or justify the practices of one language game by

another, because there is no shared framework in which such evaluation can proceed. When Wittgenstein talks about *rules*, he does not use ‘rule’ in the sense of something built into the nature of language or reality and being such that one’s use of language *must* follow it. A given rule or interpretation of a sentence “hangs in the air along with what it interprets, and cannot give it any support.” (Note 11) The agreement among people of what they say or do in actual cases is what determines whether a particular utterance or action accords with a given rule. Rather than to say that people agree in using language a certain way because they follow rules, it is more accurate to say that their agreement fixes the meaning of the rules and defines their content; in other words, human practice establishes what the rules *are*.

Given the distinctiveness of language games, each with its own set of rules determining how language and behavior is used and interpreted, there exists a strong tendency (according to Wittgenstein) for philosophy to stir up trouble for itself through the *misuse of language*. Philosophical problems often arise when an expression or utterance as it occurs in one language game is interpreted in accordance with the rules for its use in another language game. This happens when one tries to make language perform the same task in one language game that it (appropriately) performs in another. “Philosophical reflection has shown a fatal tendency to generate pseudo-problems by taking language out of its appropriate context and puzzling over how, if at all, it can be made to conform to criteria of intelligibility appropriate to contexts other than its own.” (Note 12) Thus, for Wittgenstein, philosophical problems are solved by looking into the workings of our language, and that in such a way as to make us recognize those workings: *in despite of* an urge to misunderstand them. The problems are solved, not by giving new information, but by arranging what we have always known. Philosophy is a battle against the bewitchment of our intelligence by means of language. (Note 13)

All kinds of philosophical nonsense arise when one tries to make language do the *same job* in completely different modes of discourse, not conforming to the rules of its appropriate language game. In his *Lectures on Religious Belief*, Wittgenstein attempts to illustrate the manner in which such errors are committed with respect to religious discourse. It is to those lectures that we now turn.

3. Wittgenstein on the Content of Religious Discourse: Three Key Features

3.1 Not Assessable Based on Evidence

What bearing does Wittgenstein’s notion of distinct language games and the use theory of meaning have on his discussion of religious belief? In the *Lectures*, one can discern three distinct characteristics that for Wittgenstein set apart the language game of religion from other common forms of discourse. The first is that religious beliefs are neither based on evidence nor open to rational verification. One claim that Wittgenstein repeatedly makes in the *Lectures* is that the language game of religion is *logically distinct* from other language games such as the language games of science or history. (Note 14) He contends that when people make religious utterances they are saying and doing something completely different from what the scientist or historian says or does. “Whatever believing in God may be, it can’t be believing in something we can test, or find means of testing.” (Note 15) Religious belief is not a matter of holding certain empirical truths, nor is it a matter of weighing the evidence for or against certain propositions; for to make it so would miss the whole point and “would in fact destroy the whole business.” (Note 16) To take religious convictions and attempt to amass logical or empirical evidence in support of them (or to falsify them) would be to relegate them to the level of mere superstition. Wittgenstein’s discussion of belief in a Last Judgment serves to illustrate this point:

Those who said: “Well, possibly it may happen and possibly not” would be on an entirely different plane. This is partly why one would be reluctant to say: “These people hold the opinion (or view) that there is a Last Judgement.” ‘Opinion’ sounds queer. It is for this reason that different words are used: ‘dogma,’ ‘faith’. We don’t talk about hypothesis, or about high probability. Nor about knowing. In a religious discourse we use such expressions as: “I believe that so and so will happen,” and we use them differently to the way in which we use them in science. (Note 17)

Wittgenstein’s claim here is that to treat belief in a Last Judgement as a factual matter having a certain degree of plausibility or reasonability is to confuse the language game of religion with that of science. It is the worst kind of mistake to assume that utterances within the language game of religion can be treated in the same way as empirical and verifiable propositions found in other forms of discourse. Wittgenstein says that utterances in the language game of religion are both *unreasonable* and *not-reasonable*; they are *unreasonable* in the sense that certain apologists attempt to make them appear reasonable by foisting upon them the language of science and history, and they are *not* reasonable in the sense that they are not to be treated as a matter of reasonability at all. One does not *argue for* religious beliefs by appealing to logical reasoning or to what would be considered ordinary grounds for holding an opinion. To base religious claims on grounds and evidence appropriate only to

propositions of non-religious language games is, for Wittgenstein, to destroy the very beliefs one holds and to rob them of their significance.

3.2 Not Cognitively Significant

A second defining characteristic of religious discourse is that such statements are not factually significant-- that is, they do not express matters of fact. Wittgenstein compares belief in a Last Judgement to one's belief that there is a German aeroplane flying overhead. If one were to respond in the latter case by saying, "Possibly, I'm not so sure," he would be speaking the same language game as the one who held the belief; but in the former case "you would say that there is an enormous gulf between us... It isn't a question of my being anywhere near him, but on an entirely different plane." (Note 18) This is closely related to the remarks Wittgenstein makes about the differences between believers and unbelievers and why they cannot be conceived of as "contradicting" one another. It is not simply a matter of religious believers differing in opinion from unbelievers as to whether certain things are the case or certain events will occur. Rather, believers mean something altogether different from unbelievers. They cannot contradict one another because they do not share the same "form of life." To illustrate, Wittgenstein offers the following example:

Take two people, one of whom talks of his behavior and of what happens to him in terms of retribution, the other one does not. These people think entirely differently. Yet, so far, you can't say they believe different things.

Suppose someone is ill and says: "This is punishment," and I say: "If I'm ill, I don't think of punishment at all." If you say: "Do you believe the opposite?"--you can call it believing the opposite, but it is entirely different from what we would normally call believing the opposite.

I think differently, in a different way. I say different things to myself. I have different pictures. (Note 19)

The views of the two people in Wittgenstein's illustration reveal a difference that runs deeper than the disagreement between believers and non-believers about the truth or falsity of certain religious propositions; rather, they are unable to say the same kinds of things to each other because they are playing different language games. The man who does not interpret his misfortunes in terms of divine punishment is not contradicting the believer who does, because the latter's belief is not about any matter of fact at all, and thus *ipso facto* is not about what can be true or false. If asked whether or not he believes in a Judgment Day *in the sense in which religious people believe in it*, Wittgenstein's reply is: "I wouldn't say 'No. I don't believe there will be such a thing.' It would seem to me utterly crazy to say this. And then I give an explanation: 'I don't believe in...', but then the religious person never believes what I describe." (Note 20) Wittgenstein's point in saying that he would not dispute the believer's claim seems to come down to this: to affirm the denial of any statement, say 'P', is to assert 'not-P'. But since to utter 'not-P' is to assert a factual claim, that in effect requires that 'P' itself be a factual claim. Since 'P' is *not* a factual claim, one cannot truly assert 'not-P'. That is why Wittgenstein goes on to say that "the religious person never believes what I describe." If pressed to explain what he believes, Wittgenstein's description would indeed take the form of a factual claim. But religious beliefs contain no cognitive content; there is no question of their truth or falsity, because the question does not even apply. Religious statements make no claims that are empirically or factually significant whatsoever. Thus there is no possibility of contradicting the believer.

3.3 Contains Affective Component

A third crucial distinctive of religious discourse, according to Wittgenstein, is the *affective* element in religious belief-- how the convictions of the believer move his will and emotions. The "evidence" for the genuineness of one's belief, say, in the Last Judgment is whether or not it serves as a kind of rule which guides and regulates his whole life. The man who has the "firmest of all beliefs" is the man who "risks things on account of it which he would not do on things which are by far better established for him." (Note 21) Suppose there were people who could predict with amazing accuracy events in the far future, such as some sort of Judgment Day. Even if it were based on the best possible evidence, more convincing than anything else, yet it would not be a religious belief at all. On the other hand, a person unaware of such a forecast, but who "would fight for his life not to be dragged into the fire" and whose conviction of a Last Judgment "play[ed] the role of constantly admonishing him", would have an unshakable religious belief. (Note 22)

4. Two Problems With Wittgenstein's Non-Cognitivist View of Religious Language

4.1 Not Supported by His General Theory of Meaning

4.1.1 How Language Games and Use Theory Properly Characterize Religious Statements

For the sake of argument, let us concede the basic correctness of Wittgenstein's concept of language games,

especially as it concerns the core claim that *meaning is use*. (Note 23) How well in fact does Wittgenstein's account of language games cohere with certain key claims he makes about the nature of religious discourse? My misgivings center around the first two features of Wittgenstein's characterization of religious language-- the denial that religious beliefs (and discourse) are verifiable or assessable for accuracy by means of evidence or argument, and the corresponding claim that such beliefs lack factual or cognitive significance. It is not my primary objective here to argue independently against these two claims. Instead, what I want to argue is that these claims do not follow from any *actual analysis* of the language game of religion *itself*, but rather constitute an underlying presupposition Wittgenstein tacitly holds regarding (empirical) verifiability as a criterion for meaning. And if it is the latter which serves as the basis for Wittgenstein's assessment regarding the status of religious discourse, then his assessment rests on a feeble foundation. If we accept Wittgenstein's own account of the nature of language games outlined in the previous section, we will be led to conclude that at least *some* types of religious discourse involve claims purporting to be matters of fact, and in some cases perhaps even verifiable or assessable for truth in virtue of evidence. To understand any language game, Wittgenstein emphasizes that one must look at *what people actually do* with language and learn from that. (Note 24) Recall his comparison between comprehending the meaning of language in a given context and understanding a children's game by watching it being played and then inferring the rules inductively. The rules of a given form of discourse are not "embedded" in the nature of reality, but rather it is the actual usage of language over time that "fixes" the meaning of the rules. For Wittgenstein there is no substitute for this. In order to properly grasp the language game of religion, then, it follows that we must observe how religious language is used and expressed in everyday life.

Unfortunately for Wittgenstein, seriously adopting this approach to understanding language games seems to *undermine* his own characterization of religious language. For one historically common *usage* of religious language among human beings understands at least some religious assertions to be cognitively significant factual claims, some of which may be verifiable at least in principle. Here we may appeal to the historic Christian tradition, broadly construed, as a paradigm case for the study of the meaning of religious language. The interpretive history of the Bible and basic Christian doctrine serves as a clear illustration of a language game of religion at work, and one salient feature of this language game is the understanding, by the larger church as a whole, that many of the claims of both the Christian scriptures and the Church are factual in nature (and verifiable). Throughout the unfolding history of the Church, Christians have commonly understood written accounts of God's intervention in the world through miracles and other means as involving cognitive assertions with real historical and factual import. Consider, for example, the following sentences:

- (1) God created the world.
- (2) Yahweh spoke with Moses on Mount Sinai.
- (3) Jesus of Nazareth turned water into wine and raised people from the dead.
- (4) Each of us will continue to live as human beings in a conscious afterlife.

For over two millennia, the Judeo-Christian tradition and the church for the most part have understood such statements as purportedly factual claims having definite assertable truth conditions, in the same way that Wittgenstein would allow, say, that the following statements carry factual information:

- (5) The universe originated from a big bang.
- (6) Alexander the Great conquered Greece.
- (7) My future physical death will permanently end my existence.

Not only would traditional Jews and Christians regard (1) – (4) as being on a par with (5), (6), and (7) in asserting matters of fact, but mainstream adherents of other world religions, such as Islam, as well as important schools of Hinduism and Buddhism, would also regard many of their important doctrinal tenets as conveying factual and sometimes verifiable information. Thus, for Wittgenstein to deny that any cognitive or purportedly factual elements are relevant to religious discourse is to ignore a primary function of certain central religious beliefs and claims as professed by the world's major religions.

4.1.2 Wittgenstein's Unduly Restrictive Conception of Religious Belief

Wittgenstein apparently is either unaware of how ordinary religious people themselves *understand and use* theological statements in everyday life, or else he denies the cognitive or matter of fact element of religious discourse on other grounds. Let's consider the former possibility. The examples to which Wittgenstein appeals in his discussion of religious language in *LRB* do not accurately depict the way many religious believers typically

think and talk. We can illustrate this by revisiting one of his main examples, briefly discussed in section II above. Wittgenstein contends that it would be strange for one to call his belief in a “Final Judgment” an *opinion* or *view* (in the sense of making some kind of cognitive assertion). But believers of various world religions, including many Christians throughout the history of the church, have clearly understood this doctrine to be a purportedly factual and even empirical claim which refers to some definite future spatio-temporal event. Further down in the same passage, in speaking of the allegedly historical claims of Christianity, Wittgenstein writes, “It has been said that Christianity rests on an historic basis... Here we have a belief in historic facts different from a belief in ordinary historic facts. Even, they are not treated as historical, empirical, propositions.” (Note 25) But while it may be true that religious propositions differ in *some* ways from “ordinary” propositions about history, it does not at all follow that religious propositions are not, or cannot be, treated as historical, empirical, verifiable propositions. On the contrary, as I elaborated earlier, statements like (2) and (3) arguably *are* taken to be such propositions. From the standpoint of Wittgenstein’s own method of understanding language games, including the language game of religion, to assert, as the believer may, certain theological claims which contain elements of empirical fact or other informative content is not to commit some logical mistake but rather to employ language in a manner that determines (in part) the nature and meaning of religious discourse itself. Analysis of the nature of the language game of religion *implies* that at least some religious or theological statements have cognitive content. Thus, Wittgenstein’s insistence on the non-cognitive nature of religious discourse is rendered implausible by a proper application of his own method for understanding the workings of a language game.

Given how the language game of religion actually operates in some religious communities, there doesn’t seem to be anything intrinsic to the nature of religious language that would preclude it from containing any factual or informational content. It is just not true that the propositions of religion have *no* affinity with the kinds of propositions used in the language games of science and history. Even granting Wittgenstein’s contention that the language game of religion is *logically distinct* from those of history and science, we need not go as far as Wittgenstein does in accepting the further claim that religious discourse is categorically unlike the others with respect to the basic kind of meaning it has vis a vis cognitive content with determinate truth conditions, some of which are empirically verifiable. This comports well with what Wittgenstein says about language games in the *Investigations*. Language games have certain common features and relationships among them that “overlap and criss-cross”, thus creating a kind of interdependence between all language games. (Note 26) So the logical distinctness of sets of language games does not mean that they have no elements in common. The language games of history on the one hand, and that of science on the other, may be logically distinct; yet they still have certain elements in common, such as cognitive significance and empirical verifiability. There seems to be nothing, then, inherent in the notion of *logical distinctness* itself that would bar religious language from sharing some of these same features.

If Wittgenstein thinks that *all* religious language functions in the way he suggests, as radically disconnected from the realms of science and history, then he has adopted an unfairly restrictive view of religious discourse and belief. This is not to deny that there are (and have been) theological schools of thought which interpret religious discourse as non-cognitive; and certainly many have claimed that “God talk” is essentially ineffable and beyond human grasp. (Note 27) But non-cognitivists in the realm of religion represent only one perspective on the nature and meaning of religious discourse. Such a viewpoint certainly does not *solely define* the way in which the language game of religion should be understood. Instead, perhaps we should view religious discourse as encompassing a *family* of distinct but related language games. The way in which certain “existential” or non-cognitivist theologians interpret theological expressions is importantly different from the way in which traditional believers understand them. Even within cognitivist approaches to religion, the meaning and use of key concepts such as ‘God’ varies from one religious perspective to another. To use Wittgenstein’s terminology, these various distinct language games exhibit “family resemblances” with one another, bearing relationships among them that overlap and evince a kind of conceptual interdependence similar to that which connects the language games of the individual special sciences. If this is right, then rigorous application of Wittgenstein’s views about language games and meaning should lead us to conclude that the function of *some* types of religious discourse serves to express claims which do indeed purport to be factual and even verifiable in nature.

4.2 The Implausibility of an Independent Verification Criterion

One obvious way to reconcile Wittgenstein’s general view of meaning as use (espoused mainly in *PI*) with his characterization of religious belief (as preserved in *LRB*) is to refrain from treating the former as a fully sufficient condition which fixes the meaning of our beliefs and linguistic utterances. In the case of religion, the use and function of linguistic statements serves as a *near* sufficient condition for meaning which must also satisfy the further necessary condition that such statements be verifiable or assessable by evidence. This

verifiability criterion should be seen as an independent necessary precondition on any purportedly cognitive or factual claim's *having any meaning at all*. This condition and the use theory together constitute a jointly sufficient condition for determining meaning. At this point, a defender of Wittgenstein may concede that while certain users of religious language intend their utterances to express matters of fact claims, the fact that such statements are not open to verification or evaluation by evidence precludes them from having any purportedly factual content attributed to them. Hence the defender of Wittgenstein can retain the use theory of meaning and yet at the same time insist that religious discourse is devoid of cognitive or factual content.

The downside to this suggestion is that it rests the weight of Wittgenstein's analysis of the meaning of religious discourse on something that bears no relation to the notion of language games or to the use theory at all-- namely, a controversial principle of verification. Problems with verificationist theories of (cognitive) meaning are well known. (Note 28) First, a statement's verifiability seems to presuppose that it already has cognitive meaning, for we must antecedently grasp the meaning of the statement before we are able to understand what counts as conclusive evidence or warrant for it. Moreover, it is notoriously difficult to specify a verifiability condition in such a way that it includes all and only those statements which intuitively capture what we take to be cognitively meaningful claims. In general, according to such a criterion, the meaning of a statement is given by specifying the evidential conditions that would conclusively justify or verify its assertion. Now, if we understand evidential conditions and verifiability to mean *directly, empirically, and conclusively* verifiable, then we certainly don't want to say that a statement S is verifiable if and only if there is a subject who is actually in a position to verify S; or that S is verifiable if and only if there is a possible situation consistent with the state of the world up to the present in which a subject verifies S. For on those construals, statements referring to events or states of affairs which happened in the past or which happen in locations in which there are no observers would be unverifiable and hence not cognitively meaningful. Even if we weaken the modal condition to express something like "empirically and conclusively verifiable *in principle*", the criterion will not only (allegedly) render religious claims meaningless, but will end up ruling out many intuitively meaningful *non-religious* statements as well. Consider the formulation: S is verifiable if and only if there is a *possible world* which exemplify the actual laws of nature in which some subject directly and empirically verifies S. Statements about events or states of affairs which happened in the past or in remote locations are verifiable according to this definition, but other statements remain problematic. (5), for example, is not empirically or conclusively verifiable even in principle, according to the above formulation. Yet (5) is not only cognitively meaningful, many also think it is in fact true. Like (5), any statement which expresses a state of affairs which no conscious subject or scientific instrument can have empirical access to is incapable of being verified on this definition. Or consider the following series of statements, where B is an existing being and E is an event which occurs at some time:

- (8) E occurred.
- (9) There exists a being B.
- (10) Some being or prior event caused E.
- (11) B is a personal being (conscious, thinking, capable of action).
- (12) A non-physical being or event caused E.
- (13) B is (or possesses) an immaterial soul.
- (14) A *purely* physical being or event caused E.
- (15) B is a *purely* physical being (a being lacking any non-physical parts or properties).

Arguably, only (8), (9), and perhaps (10) are verifiable given our verification condition. (Familiar arguments along Humean lines call (10) into question.) (11) is unverifiable because it is impossible for a third person observer to directly empirically and conclusively verify that B has the features of genuine consciousness and thought. (12) and (13) are unverifiable because, presumably, one cannot directly empirically verify the existence or occurrence of non-physical phenomenon. And (14) and (15) are similarly unverifiable because one cannot empirically verify that a given phenomenon possesses *only* physical or material properties. Yet statements (10) – (15) are plausibly taken to be cognitively meaningful assertions with purportedly factual import. Suppose that the claim that *a voice from the sky above Mt. Sinai could be heard speaking to Moses* is verifiable and meaningful in the sense defined. The further claims that *someone or something caused the voice-like sounds*, or that *God caused the voice-like sounds*, or that *a purely physical (human) being caused the voice-like sounds*, are also cognitively meaningful assertions. Yet it is beyond anyone's ability to empirically or conclusively verify any of these assertions, even in principle, for the reasons just mentioned. Thus the verification criterion as presently articulated is too stringent a condition on meaning.

Equally damaging to the verification criterion is the fact that at least some religious or theological claims *do* seem to satisfy the condition. Assertions such as (3) and (4), for example, are verifiable in principle and hence satisfy the condition. In order to make room for some of the other above statements (10) – (15) to be meaningful, one might be tempted to relax the *direct-empirical-conclusive* requirement on verifiability, so that we end up with an indirect and less restricted notion of verifiability as *amenable to evidential support*. One immediate problem with this proposal is that it is too weak and inclusive, rendering many religious and theological claims verifiable and thus cognitively meaningful, given that some degree of indirect evidence or argumentation can often be advanced on behalf of such claims. To my mind, then, the broad considerations of the foregoing paragraphs render the verifiability criterion problematic as a condition on meaning. To the extent that Wittgenstein's overall assessment of the nature of religious language rests on such a criterion, the plausibility of that assessment is called into question.

5. Conclusion

The basis of Wittgenstein's interpretation of religious language as non-cognitive (not expressing purported matters of fact) and not open to verification can be traced to two possible underlying sources in Wittgenstein's thought. One source is his suggestion in *LRB* that an examination of the nature of religious discourse itself reveals that religious statements and beliefs are not verifiable or cognitively meaningful. We have seen, however, that given his related notions of language games and the use theory of meaning as espoused in *PI*, an actual analysis of religious language does not support such a conclusion. That led us in turn to consider a second possible source underlying Wittgenstein's view of religious language, namely that his assessment of the status of religious beliefs and discourse is guided by implicit acceptance of a verification criterion of meaning which he held independently of any analysis of language games. Unfortunately, this rationale for Wittgenstein's approach to religion renders it vulnerable to the weaknesses associated with the verification criterion itself. So on either of the above suggestions, I conclude that his bold assessment regarding the non-cognitive status of religious language and belief is unsubstantiated.

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Notes

Note 1. Norman Malcolm (1993) has argued that Wittgenstein espouses no such "theory", as his whole approach was *anti-theoretical*. For the sake of convenience, I will continue to use the word *theory* in this paper in the sense of a 'view' or 'position' as advocated by Wittgenstein.

Note 2. Ludwig Wittgenstein, *Philosophical Investigations*, 1958, sec. 7, p. 5. Hereafter cited as *PI*.

Note 3. *PI*, sec. 2, p. 3.

Note 4. *PI*, sec. 7, p. 5.

Note 5. *PI*, sec. 23, p. 12; sec. 563-567, p. 150.

Note 6. *PI*, sec. 23, p. 11.

Note 7. *PI*, sec. 67, p. 32.

Note 8. *PI*, sec. 43, p. 20. For Wittgenstein, what is true of a word is also true of an expression or sentence. Thus, he says “Look at the *sentence* as an instrument, and its sense as its employment” (sec. 23, p. 12; emphasis mine). Similarly, another passage goes “What is this sense, then? Isn’t there a verbal expression for this sense? But doesn’t the fact that sentences have the same sense consist in their having the same use?” (sec. 20, p. 10).

Note 9. *PI*, sec. 11, p. 6.

Note 10. *PI*, sec. 172, p. 70; sec. 116-117, p. 48.

Note 11. *PI*, sec. 198, p. 80.

Note 12. Hudson (1975, p.59).

Note 13. *PI*, sec. 109, p. 47. Elsewhere Wittgenstein says “The confusions which occupy us arise when language is like an engine idling, not when it is doing work” (sec. 132, p. 51). Wittgenstein seems to have in mind two kinds of mistakes which “bewitch our intelligence”; one involves confusion between what he calls the ‘surface grammar’ and ‘depth grammar’ of a sentence (sec. 664, p.168), while the other involves being misled by using the wrong picture (sec. 115, p. 48).

Note 14. Ludwig Wittgenstein, *Lectures & Conversations on Aesthetics, Psychology, and Religious Belief*, 1966, pp. 54-72 (edited by Cyril Barrett). Hereafter cited as *LRB*.

Note 15. *LRB*, p. 60.

Note 16. *LRB*, p. 56.

Note 17. *LRB*, p. 56-57.

Note 18. *LRB*, p. 53.

Note 19. *LRB*, p. 55.

Note 20. *LRB*, p. 55.

Note 21. *LRB*, p. 54.

Note 22. *LRB*, p. 56.

Note 23. This is an assumption that D.Z. Phillips argues we should not grant once we understand a fundamental problem with Wittgenstein’s view of religious language. See Phillips (1986, pp. 168-170).

Note 24. *PI*, sec. 116, p. 48; see also sec. 654-655, p. 167.

Note 25. *LRB*, p. 57.

Note 26. *PI*, sec. 66-67, p. 31-32.

Note 27. See, for example, Hare (1964) and Braithwaite (1968). The discussion in Phillips (1970) also bears close affinity to the view here.

Note 28. See for, example, Loux (1998, pp. 285-293); and the collection of essays in Mellor (1990).

Internal Mechanism and External Conditions of Scale Management of Land

Xin Shang

College of Economics and Management, Jilin Agricultural University
Changchun 130118, China

&

School of Economics & Management, Changchun University of Science and Technology
Changchun 130022, China

E-mail: shangxin401@163.com

Qinghai Guo

College of Economics and Management, Jilin Agricultural University
Changchun 130118, China

Kexin Zheng

School of Economics & Management, Changchun University of Science and Technology
Changchun 130022, China

Abstract

Decisive factor of scale of land is the capacity of management and control of agricultural operation subject, which is strengthened with improvement of skills. Only if scale of land is enlarged accordingly, then economic profit can be gained. Under such external circumstances as reduction of agricultural comparative advantage and fluctuation of relative factor prices brought about by economic development, the capacity of management and control of operation subject can be improved, which, in turn, would promote scale management of land.

Keywords: Scale management of land, Capacity of management and control, Comparative advantage, Relative factor prices

Generally, agricultural land system of all nations in the world went through the two stages of “land to the tiller” and “scale management of land”. The so-called stage of “land to the tiller” referred to the stage of equalization of land ownership, which usually appeared at the interval of replacement of a new regime with an old regime, which accords with the State Theory of North about protecting security of the governor. In 1789, after the Jacobins came into power, they released three land decrees in succession which formed an extensive smallholder foundation. Eastern European countries also generally established the smallholder economic system of “land to the tiller” one after another after the Second World War. With intervention of American occupational forces, Japan finished the reform of private land ownership after the “Second World War”, and by the year 1950, more than 90% of its agricultural land had become self-cultivated land, forming the system in which land-holding peasants occupied the comparative advantage. Likewise, at the beginning of the founding of PRC, we also carried out the private land ownership system with the center of equalization of land. The stage of “scale management of land” appeared with reduction of agricultural comparative advantage and fluctuation of relative capital prices when the economy was developed to a certain extent. Although nations with different resource endowment presented different developmental characteristics at these two stages, the trends of their development were all manifested as diminished quantity of agricultural operation units and expansion of land scale. The phenomenon of scale management of land was, first of all, discovered in the coastal economically developed districts with more population and less land, and then was spread gradually to inland. This development feature was closely connected with conditions of economic development in all districts.

Some academics at home and abroad made an analysis in decisive factors of scale of agricultural land. According

to Schurz, (2007), scale of a farm depended on the control capacity of agricultural operation subjects in agricultural production. US agricultural economist R. T. Ely also had similar elaboration, (1982), “within the scope of one agricultural sort, there was also the trend that the scale of a farm adapted to capacity of fieldmasters and labor forces of their family or to the supply of labor forces in the case of maximum loading.” Institutional economists gave explanation to scale of an enterprise from the perspective of the central controlling person, (A.A. Alchian and H.Domsetz, 2009). That is to say, compared with the market, an enterprise was able to obtain comparative advantage which rested with the control capacity of a central controlling person with the central position of residual claims, and the control capacity of the central controlling person changed in the same direction with scale of the enterprise. If the “market” here could be understood as an enterprise with small scale and the “enterprise” could be explained as an enterprise with large scale, then, the control capacity of the central controlling person in institutional economics could be applicable to analysis of causes for scale management of land. The domestic scholar Han Xiping also had similar statement, (Han, Xiping), “how many means of production could be manipulated by a certain amount of labor capacity depends on several factors, such as quality of laborers, level of productivity development, condition of skills and quality of plowland, etc.” However, there has not had any literature review about systematical statement of the internal mechanism and external conditions of scale management of land from the perspective of control capacity. On the basis of existing theories, this article is going to analyze the internal mechanism of scale management of land and come to conclude that the capacity of management and control of operation subjects is the leading factor of scale management of land. Changes of external environment caused by economic development enabled the capacity of management and control of operation subjects, which may further promote expansion of scale of land.

The scale management of land here mentioned in this article refers to expansion of the scale of land operated by operation subjects of agriculture, mainly the plant industry. The optimum scale of land refers to the optimum condition of distribution of all factors of agriculture and the optimum returns to scale in terms of production, without any diminishing marginal returns of any production factor. Agricultural production in the major developed countries and China all take household operation as the main form, since the incentive and restraint mechanism of household operation adapts to the characteristics of agricultural production. This article is going to take household operation as the agricultural operation form and adopt the assumption of “rational man” in economics which differs this subject from other disciplines. Assuming that the agricultural operation subject is a rational economic man, that is, one who is able to make a decision that is most favorable for fulfillment of his target under a particular restrained condition. The target of an agricultural operation subject is maximization of profit which refers to the balance after deduction of cost from all sorts of incomes. Here, incomes include agricultural income and non-agricultural income and cost includes current assets of land, labor forces, fertilizer and seeds and input of machines, fuel and livestock. From the perspective of economics, the above cost means the opportunity cost, that is, the highest income of these agricultural production elements in other uses.

1. Internal mechanism of scale management of land

1.1 Analysis of the property of all agricultural production elements and their relations

According to the categorization method of Schurz, (2007), namely, relationship between production elements and scale of land, this article classifies productions elements into two sorts: one sort of detachable production elements and the other sort of inseparable production elements. The former sort includes elements of agricultural machines, seeds and fertilizer, etc, which is similar to the variable input in economics, that is to say, profit of this sort of elements has nothing to do with scale of land; the latter sort of production elements mainly refers to the management and control capacity of the operation subject, namely, human capital which can reflect levels of skills, similar to the fixed input in economics. According to authors of this article, when productivity is determined, quantity of other production elements effectively managed by the operation subject is limited. And if this limitation is surpassed, then the marginal returns of elements would present a declining trend, and this limitation is the capacity of management and control of operation subjects. That is to say, input of detachable production elements in agricultural production rests with the management and control capacity of inseparable production elements. When productivity is determined, and input of other production elements does not attain the limit of management and control, marginal output increases steadily with increase of variable elements; when input of other production elements attains the limit of management and control, the marginal output is the maximum; when input of other production elements surpasses limit of management and control, the marginal output declines steadily. Capacity of management and control of the operation subject is not only dependent on his/her own human capital, but also relies on quality of other production elements. When the capacity of management is improved, quantity of elements managed and controlled will be correspondingly expanded. When breeds of crops are improved, technical levels of agricultural mechanics are improved and irrigation levels are

improved, the capacity of management and control will also be correspondingly improved even if levels of human capital of the operation subjects per se are not improved, which is manifested as the case in which increase of input of variable elements will not be diminished as a result of the marginal returns.

Schurz especially pointed out that, (2007), the same to other detachable production elements, scale of agricultural land depended on the capacity of domination on elements of agricultural production by the operation subjects and the level and capacity of operation and management of farms. In allusion to the “principle of large scale of farms” which regards tractors as inseparable elements of modern agricultural production, he further pointed out, tractors have all sorts of specifications and models and they can be applied into production with several methods. Within areas where human power is relatively cheap, tractors of small scale tractors may be more effective; in places where human power is expensive, application of more tractors may be more effective. Furthermore, in order for large scale tractors to be more effective, extremely particular conditions are required which can not be satisfied in many areas. Cross-regional work of agricultural mechanics in China started in the middle of 80s in the Twentieth Century in Shangxi Province, and afterwards was spread to Inner Mongolia, Shandong, Henan and Hebei, which also indicated separability of agricultural mechanics, (Liu, Fengqin, 2003). Hence, according to authors of this article, just similar to other instruments of production, agricultural mechanics, improved varieties of seeds, fertilizer and farm chemicals also belong to separable production elements. In the process of development of land scale, when quality of producers themselves is enhanced, design of agricultural mechanics is easier to operate or drought resistance capacity of farm products is improved, it means that the capacity of control is improved. Under such a circumstance, only expansion of the scale of farms can make the average constant cost reduced. If expansion of the scale of farms exceeds the control capacity of the operation subjects, then the situation of diminishing marginal returns will appear, that is, land productivity is reduced. Only if the operation scale of farmland suits the control capacity of the operation subjects, can all sorts of production elements acquire optimum combination and the most economical application. Otherwise, application of all sorts of production elements will not be insufficient. Therefore, the operation scale of farmland is expanded with continuous improvement of the agricultural productivity and is the outcome of adapting to the improvement of capacity of management and control of the operation subjects.

1.2 Explanation to the internal mechanism of scale management of land based on the capacity of management and control

In view of the above analysis and from the perspective of management and control capacity, the internal mechanism of scale management of land can be stated as: scale management of land means in the process of development of productivity, increase of capital (human capital and material capital) in agricultural production with improvement of skills enables the management and control capacity of agricultural operation subjects to be gradually improved and the scope of their effective management and control of other production elements (including land) to be expanded. In this process, when the quantity of input and combination means of all sorts of agricultural elements accord with the management and control capacity of operation subjects, production potentials of all production means can be brought into full play and the scale of land is thus expanded.

2. Realistic explanatory power of the internal mechanism of scale management of land

2.1 Explanation of consistency between scale of land and productivity of land

As to the relationship between scale management of land and productivity of land, one viewpoint is held that scale management changes reversely with productivity. That is to say, the larger the scale of land is, the lower the productivity of land, and the smaller the scale of land is, the higher the productivity of land. RoyProsterman et al presented facts of agricultural production in developing countries, such as India, Kenya and Brazil, etc, (Roy Prosterman, Tim. Hanstad & Li, Ping, 1996). Although measurement standards for the scale of land in each country were different, a unanimous conclusion was got that scale of land changed reversely with productivity. Analysis of agricultural development practice in China by domestic academics indicates that economy of scale scarcely exists in grain production, (Liu, Fengqin, 2003; Wan, Guanghua & Cheng, Enjiang, 1996; Zhang, Zhonggen & Shi, Qinghua,2001). According to authors of this article, scale of land does not go counter to increase in yield per unit. During the period of underdevelopment of productivity, management and control capacity of operators on agricultural production elements was weak, so they could only overcome the bottleneck of combination of elements input by means of increasing their own investment to increase production. Thus, they could only conducted intensive cultivation in small pieces of land for pursuit of economy; if expansion of land scale exceeded the capacity of management and control of the operation subjects, the only possibility was that land returns would decrease and yield per unit would also be reduced correspondingly. Generally speaking, in developing countries, human capital of operation subjects was relatively low, together with low level of

agricultural mechanics difficult to operate, low level of irrigation, bad quality of varieties of crops and weak capacity of management and control, large scale of operation exceeding the control capacity of operation subjects cause insufficient use of such production elements as land, which is manifested as yield per unit reduced with expansion of the scale. In countries where productivity is highly developed, improvement of quality of variety of crops, irrigation and soil makes the capacity of management and control strengthened, and only expansion of land scale can optimize combination of elements, which naturally will boost increase of land productivity. In the process when scale management of land is expanded with improvement of skills in developed countries, the fact that yield per unit gets correspondingly increased proves the above viewpoint. "The revolution of land productivity brought about by scientific progress in US started in the 30s in the Twentieth Century, symbolized by the birth of hybrid corn. In the following several decades, yield per unit of broomcorn, wheat, rice and cotton is also increased on a large scale.... The truth that yield per unit has increased twice in the past 60 years is attributed to application of modern biology and chemistry science," (D. Gale Johnson, 2009). T.A. Miller et al from US made a comprehensive analysis in a large number of typical survey data about all districts of US, which indicates that, (Yujiro Hayami & Yoshihisa Godo, 2003), in the past long period, the cash cost of one Dollar of gross income is 70 cents in small farms with an average annual sale amount (generally speaking, sale amount changes in the same direction with that of land scale) of \$18,000, whereas that of large farms with an average annual sale amount of \$133,000 is 61 cents, namely the latter being 14% lower than the former. This analysis indicates that, in agricultural production, only if land scale attains the limit of management and control capacity of operation subjects, can production be effective and achieve the optimum scale of land. If scale of land surpasses or is below the limit, production is inefficient.

2.2 Explanation of tenancy relationship of land which leads to improvement of the status of operators in the process of expansion of land scale

In developed countries (districts), the proportion of operators is increasing who both privately own and rent land for their agricultural operation and rental of land has become a primary approach to expand farms. The truth that they expand scale of farms by renting but not purchasing land is not only because that burden of renting land is not as heavy as purchasing land, but more because rental of land accommodates with the trend that increase of productivity leads to higher capacity of management and control. This is because the agricultural production means with unification of ownership and right of use can characteristics of agricultural production, which is often encountered with some issues of decision making that can not be resolved by the book, including spatial issue, seasonal issue, mechanical issue, biological issue and selection of seeds with high content of technique. In some cases when the party who is not present can not acquire adequate information, he is not able to effectively deal with these issues of decision making. Compared with the proprietor (lessor), when the operator (tenant) has more rights, the economic incentives of his effective decision making can play a more effective role and the capacity of management and control of the operator is higher, which can promote better the increase of agricultural productivity of economic profit.

It should be noticed that, protection of tenancy system by the nation in terms of policy is also an important factor. The specific content of protection includes, (Zhou, Cheng, 2007), protection of tenancy right, limitation to the amount of land rented, compensation to improvement of plowland and adjustment to dispute of tenancy, and France is the most typical country in this aspect. The tenancy policy of France mainly protects interests of tenants and at the same time interests of landowners so as to guarantee normal running of the tenancy system. The trend of tenancy relation in France is that, rights and freedom of tenant farmers are more and more. For instance, they can freely arrange labor service and operation projects, and their contribution to previous improvement of soil can be compensated when the tenancy relationship is cancelled. Furthermore, the tenancy law in 1946 guaranteed legally interests of tenant farmers and this law stipulated that rate of increase of rent should not exceed index of increase of agricultural products' price so as to protect interests of tenant farmers.

3. External conditions for scale management of land

At different stages of economic development, agricultural operation subjects are faced up with different environmental constraints. Under different environmental constraints, all operation subjects make a rational choice to maximize profits, which may promote scale management of land when productivity is developed to a certain degree.

3.1 Challenges to reduction of comparative advantages of agriculture

Comparative advantage means profits brought by input of some production elements in different fields. Driven by the motive of maximizing profits, subjects who have desposition on production elements may transfer these elements from fields with small profits to fields with large profits, and this sort of stimulus universally exists in

the situation when elements can flow freely and information is smooth. When economic development enters a certain stage, agriculture will be faced up with challenges of reduction of comparative advantage. That is, returns of elements in agricultural production are smaller than returns in non-agricultural fields. Reduction of comparative advantage in agriculture can be explained from the two aspects of demand and supply. From the perspective of supply, elements which affect agricultural production are influenced by economic factors of natural condition, element endowment and introduction of technology and social factors of national policies. Some developed countries in terms of agriculture, such as Japan, and a great variety of developing countries, are later developed countries, so their agriculture depends on introduction of technology to a great extent, which is greatly affected by natural conditions. "Both in terms of seeds of crops and means of cultivation, transfer of agricultural technique has to undergo test and research by transferees to adapt to local natural environment, which requires high human capital," (Yujiro Hayami & Yoshihisa Godo, 2003). Obviously, compared with industrial technology, introduction of agricultural technology is highly restricted, but the level of privately developed technology is laggard. Thus, if farmers go on operation in land with original scale, the potential to increase production is trivial, and speed of agricultural income increase is slow, which is especially obvious in developing countries. From the perspective of demand, agricultural products are inestic compared with non-agricultural products. "Calculated according to the market price, the actual food income elasticity of demand in developing countries is estimated to be approximately 0.5 or a little bit higher. By contrast, in North America and countries in Western Europe where income per capital exceeds \$10,000, consumption of animal protein and fat comes to complete saturation, the actual food income elasticity of demand is estimated to be approximately zero even if the factor of quality of consumer goods is taken into consideration," (Yujiro Hayami & Yoshihisa Godo, 2003). When economic development boosts increase of income, demand of human beings on non-agricultural products enables income and wages of non-agricultural departments to be universally increased, and when there are large employment opportunities, it means to farmers that the cost of opportunities to undertake agricultural production is enhanced. At this time, farmers have two choices to make: either to stay in rural areas, then they can increase the level of labor force income and avoid the trend of reduction of income either through part-time operation or through expansion of scale management of land; or to leave rural areas and switch to non-agricultural departments, then they can obtain high wages and rent out or sell their original land, through which they can promote scale management of land by means of land flow.

3.2 Selection of scale management of land driven by changes of relative factor price

Natural resource endowment may determine the initial agricultural production means of a country. With economic development and increase of capital accumulation, capital is increased in relation to quantity of labor forces and land, and only if agricultural production means is transferred to capital intensive means, can economic profit be gained. Practices in all countries indicate that, one of approaches to realize scale management of land is to employ relatively rich resources as much as possible in the process of agricultural production so as to replace scarce resources, which is the case both in countries with more population and less land and in countries with less population and more land. According to data offered by Yujiro Hayami and Yoshihisa Godo, (Yujiro Hayami & Yoshihisa Godo, 2003), it can be calculated that during the period from the year 1955 to 1995, the relative price of labor forces increased annually in a speed of 4.3%, whereas agricultural implements and fertilizer reduced annually respectively in a speed of 5.4% and 1.3%. substitution of this sort of production elements was not only rational in economy, but could also promote improvement of technical level, because this was not a pure substitution under the same technical condition, but was a process of technical renovation which contained "productions elements which were helpful for increasing reduction of the value of use, (Yujiro Hayami & Yoshihisa Godo, 2003). Besides, this also meant a development process of technology to alleviate strength of labor strength. In this process, the capacity of management and control of operators was improved and operation of large scale could not formed without the distortion of the policy, (Yujiro Hayami & Yoshihisa Godo, 2003). In 1935, the total number of farms in US was 6,812,000, each with an average area of 155 acres, and the total number of farms in 1980 was 2,428,000, each with an average area of 429 acres. By the year 2006, the total number of farms in US had been further reduced to 2,090,000, merely amounting to 30.7% of that in 1935, and the average area of farms was increased to 446 acres, equaling to 287.7% of that in 1935, (Zhou, Cheng, 2007).

3.3 Process of marketization of agricultural production elements

Marketization of all sorts of production elements can rapidly and precisely reflect their scarcity and adjust the relation of supply and demand between them. Under direct of price, production elements may flow to sections with high marginal returns, which may motivate changes of production means of the industry. When the rate of interest fluctuates freely and capital belongs to rare production elements, the relative price of labor force is low and then farmers may tend to employ labor intensive production means. At this time, labor intensive production

means high supervision and management expense and low capacity of management and control. Hence, in the situation when relative labor price is high, production of small scale in household operation is the most economical. With development of economy, capital accumulation is increased and when capital becomes a relatively rich production element, the benign growth of credit market may enable households to acquire capital relatively cheaply. At this time, the subject of the economy is inclined to such production means of capital intensive as mechanization, etc, to replace production means of labor intensive. And expense of management and control in mechanical production is far lower than that in labor production. Therefore, under the condition of mechanical production, capacity of management and control of operators is improved, and accordingly, expansion of scale management of farmland becomes likely in terms of economy. The more developed the element market, the more economical the agricultural production means under guide of price. "Nothing can more effectively improve welfare of people than the free choice of opportunities and freely escaping from harsh areas," (Yair. Mundlak. (2004). This fully summarizes significance of marketization to improvement of people's welfare.

Deepening of integration of urban and rural labor market marked by the reform of household registration system in China has become an important factor to boost economic development and has driven non-agricultural employment of rural surplus labourers. Study by Cai Fang et al indicates, (Cai, Fang, 2008), migrant workers accounted for 46.7% of urban employed population in 2007 and the process of marketization of labor market drove economic growth; from 1978 to 1989, transfer of labor forces from agriculture with low productivity to non-agriculture with high productivity had a contribution rate of 21% to GDP and, at the same time, promoted flow of land, paving the way for scale management of land. Study by D. Gale Johnson on failure of Russian collectivization also indicates that, (D. Gale Johnson, 2009), as a result of restraint to flow of elements, unhealthy products and market of production elements has become a root of failure for agriculture in some countries.

3.4 Indispensable role of the government in scale management of land

The nature of scale management of land is the decision made by operation subjects to expand operation area of land for pursuit of maximization of profits, and all external environment including a series of policies by the government can not affect progress of scale of land without peasant households. Roles of the government in scale management of land can be classified as one that can act and one that can not act. The latter mainly means the government should guarantee free flow of elements in agricultural production and sensitivity of price mechanism. The former means that agricultural production has its externality, characteristics of such public products as agricultural technology and information, etc, and fragility of agriculture. The role of the government in providing public goods and protecting ecological environment is indispensable. Besides, the government should also take measures to reduce the transaction expenditure of land flow and stimulate roll-in and roll-out of land, including setting up special management institutions, encouraging constructing farms of large scale, and help small holders withdraw from agricultural production, etc.

4. Conclusion

Scale management of land refers to decision making of operation by the operation subjects in their pursuit of maximization of profits, which is subject to their management and control capacity. With progress of skills, only expansion of land scale can enable all elements of agriculture to tap their perspective potential and obtain the advantage of economy of scale. What the government can do should provide the operation subjects with adequate economic stimulus so as to make decisions.

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The Effects of Family Income on Test-Anxiety and Academic Achievement among Iranian High School Students

Fayegh Yousefi

Department of Psychiatry, Faculty of Medicine, Kurdistan University of Medical Science
Sanandaj-Iran

E-mail: fyousefi_kms@yahoo.com

Ma'rof Redzuan

Faculty of Human Ecology, University Putra Malaysia
Serdang 43400, Malaysia

Mariani Bte

Faculty of Human Ecology, University Putra Malaysia
Serdang 43400, Malaysia

Rumaya Bte Juhari

Faculty of Human Ecology, University Putra Malaysia
Serdang 43400, Malaysia

Mansor Abu Talib

Faculty of Human Ecology, University Putra Malaysia
Serdang 43400, Malaysia

Abstract

The purpose of this paper is to determine the effect of family income on test-anxiety and academic achievement. The paper is based on a study which was carried out among high school students in Iran. The respondents of the study were 400 high school students (200 males and 200 females) in the age range of 15-19 years old. Instrument used for data collection was Test-Anxiety Inventory (TAI). Statistic analysis of ANOVA was employed to identify the significant differences between family income, test-anxiety and academic achievement. The finding shows that family income significantly affected academic achievement [(F (2) = 19.17, p=.000)] and test-anxiety [(F (2) = 3.92, p=.02)]. Thus, it is recommended that in enhancing academic achievement and test-anxiety in school setting, support strategies such as improve the family income among families by government.

Keywords: Family income, Test-anxiety, Academic achievement, Iranian high school students

1. Introduction

One of the great crises of the educational system in many countries, especially third world countries are the problem of low academic achievement. According to Fouladi (2007), low academic achievement has become the main focus of educational officials. He indicated that academic achievement is the most important issues in education, as many educators, sociologists and psychologists have considered it. Peelo and Wareham (2002), also found that low academic achievement has been identified over time as problematic in terms of social and economic waste, as anti-egalitarian and discriminatory.

One of the factors related to low academic achievement is test-anxiety. Test anxiety includes a number of different symptoms, such as irrelevant thought, awareness of bodily (somatic) sensations and tension, in ability to concentrate and to pay attention (Sena, Lowe, & Lee, 2007, p, 365).

On the other hand, many factors impacted on test-anxiety and academic achievement. One of them is family income. Thomas (2005) indicated that family income affects academic achievement. He indicated that students with low family income had low academic achievement. Also, Mozaffari (2001) pointed out that family income effect test-anxiety and academic achievement among high school students.

2. Literature review

Stober (2004) found that test anxiety can be conceptualized as a situation-specific trait, namely as a disposition to react with heightened anxiety in the face of situations that are specifically related to tests and performance. Whereas, early conceptions viewed test-anxiety to be multidimensional in nature. Also, Stober (2004) indicated that there are two main components of test-anxiety, “worry” that is referred to concerns about being evaluated and the consequences of failure, and second, “emotionally” which is referred to the perception of autonomic reactions evoked by the test situation.

Many studies mentioned that test-anxiety have high prevalence among students. In a local context, Rahimi (1999) found 36.9 % of high school students in Sanandaj, Iran had severe anxiety. In addition, Daskzan (2004) recorded that 37% of male and 53% of female high school students in Saghez city in Kurdistan province had test-anxiety. He found that there was a significant relationship between test-anxiety and academic achievement. On the other hand, Mozafari (2001) found that 60% of Shayed's high school students and 50 % of non Shayed s' high school students in Sanandaj had test-anxiety.

As noted earlier, many factors affect academic achievement and test-anxiety among respondents. Thus, one of the factors which are impact on them is family income. Amin Far (2002) reported that 65% girls students from rural area and 34% boys students from urban area had low academic achievement. Hamidian (2006) indicated that 50, 000 million Toman (50 millions USD) is needed to solve low academic achievement problems in western Azerbaijan province, Iran. He indicated that after 3.5 years, organization of education can do it.

Dana (2007) showed that 28% of Iranian people are on the poverty line and around (18 % out 70 million people) of young people are jobless. He also indicated that a poverty line for a family with 4 people was USD 450 per month. In addition, Davis -Kean (2005) in their study with 868 respondents 8–12-year-olds (49% non-Hispanic European American and 47% African American) indicated that there was a significant relationship between family income and academic achievement. They found that educational attainment and family income were related indirectly to children's achievement among the African American students. Thomas (2005) indicated that family income affected academic achievement. He indicated that students with low family income had low academic achievement.

3. Research Methodology

A primary instrument used in the present study was the Test-Anxiety Inventory (TAI). Based on Cronbach's Alpha (1970), the internal consistency for the TAI ranges from 0.94 to 0.95 (Abolghsemi, 1988). TAI has been adapted to Iranian context and were used extensively in Iran. TAI is a self-administered 25-items test which that has been previously used to determine the level of test anxiety among students and takes 15 minutes to complete (Abolghasemi 1988). Each statement on the TAI is followed by a four -point Likert-type scale (never =0, rarely =1, some time =2, and most of the time =3). The minimum score on each of the twenty-five questions is zero and the maximum score for the whole test is seventy- five. TAIs' categories are based on normal distribution, a score $M - 1SD$ (Mean- Standard Deviation) denotes mild test anxiety and a score $M + 1SD$ as having high test-anxiety (Chapell, Blanding, & Silverstein, 2005). Cronbach Alpha for the present study was 0.92. High scores indicate higher test anxiety.

The students were asked to provide their last year's Grade Point Average, GPA, which ranges from (0.00–20.00). The rules of the Ministry of Education in Iran, stipulate the effective range of GPA to be from 0 to 20, with four parts: a score from 0 to 9 is considered a fail; 10 to 14.99 is considered weak (classed as a C); 15 to 16.99 is considered moderate (classed as a B) and a score of 17 to 20 is considered excellent (classed as A). High scores indicate higher academic achievement.

The results of the study are presented in the form of descriptive statistics, which include frequency and percentage distributions for level of test-anxiety, family income and academic achievement variables. And also, inferential statistics employed in this study is ANOVA. Because, the independent variable in the present study is a category of family income, which is three levels and their scale is ordinal. In addition, dependent variables are test-anxiety and academic achievement which their scales are interval variables.

4. Results

Table 1 shows students with family income \geq USD301 more than students with family income \geq USD301-500 and \geq USD501 had moderate test-anxiety (69.4 verses 64.0 and 50.9). While, severe test-anxiety among students with family income \geq USD501 was more than students with family income \geq USD301 and USD \geq 301-500 (30.9 verse 17.7 and 14.7).

Table 2 shows respondents with family income USD \leq 301 more than respondents with family income USD \leq 301-500 and \geq USD501 had scored \leq 9.99 (5.3% verse .0 % and 1.8 %). While, respondents with family income \leq USD301-500 and \geq USD501 had scored \leq 17 more than respondents with family income \leq USD301 (36.8% and 41.8% verse 16.7%).

An ANOVA was run for effect of family income as independent variable on academic achievement and depression as dependent variables. It was stated family income has effect on depression and academic achievement. The results summarizes family income had significant differences on academic achievement [(F (2) = 19.17, p=.000)] and test-anxiety [(F (2) = 3.92, p=.002)].

A Boufeeroni post-hoc analysis was conducted to identify where the differences between the family income levels, depression and academic achievement. Post, hoc analysis specified that for academic achievement the all of three groups exclude (\geq USD301-500 and \leq USD501) significantly differences. In addition, Post, hoc analysis revealed for test-anxiety the \geq USD300 group was not significantly difference with \geq USD301-500 and \geq USD301-500 group. While \geq USD301-500 group was marginally significantly difference with \leq USD501.

5. Discussion

Data from the present study shows that 3 % of the respondents, reported their academic achievement was less than \leq 9.99, while 43.8%, 26.2 and 27 % of them reported their academic achievement to be 10- 14.99, 15-16.99 and more than \geq 17, respectively, As mentioned earlier, 43.8% of respondents were labeled as weak and 3% of respondents dropped out. These results differed from Daskzan (2005; Mozaffari (2001) and Nosrati Shoar (2003). The disagreement may be related to different sample size, motivation of respondents or school's activities.

Findings showed family income effect test-anxiety and academic achievement among respondents. These results were supported by Hamidian (2005), Dana (2007), Davis -Kean (2005) and Thomas (2005). For example, Dana (2007) showed that 28% of Iranian people are on a poverty line and around 18 % (out 70 million people) of young people are jobless. He also indicated that a poverty line for a family with 4 people was USD 450 per month. In addition, Davis -Kean (2005) indicated that there was a significant relationship between family income and academic achievement. They found that educational attainment and family income were related indirectly to children's achievement among the African American students.

Maybe, this agreement is related to Abraham Maslow's hierarchy of need theory. He explained that physiological factors are a major factor to academic achievement (Halgin et al., 2005). For instance, students in rich families and life services are better than students who live among the poor families. Second reason is that, psychological factors, for example, students in rich families may be taught well and when they have problems, they are supported by their families. These supports increase their motivation, self-concept and self esteem, and also their academic achievement. In addition, it decreases test-anxiety among them.

6. Conclusions

The present study attempts to determine the relationship between family income, test-anxiety and academic achievement among Iranian high school students. The finding of this study implies that family income among high school students could affect their learning process and other school activities and test -anxiety. Moreover, family income could affect their learning motivation, and also their ability to pay attention and concentration in learning, and this could lead to academic failure. Thus, authorities that are concerned with the academic achievement of the children should take preventive actions, such as developing programs related to counseling and psychotherapy. To decrease the rate of influence of family income on depression and academic achievement among students, the government should organize practical programs to help families and also students such as food, money and the other supports. These programs could help and support students, where they can increase their abilities to perform better in school.

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Table 1. Crasstable family income on test-anxiety among respondents (400)

Family income	Depression Levels						Total
	Mild test-anxiety (44.72)		Moderate test-anxiety (44.73-74.09)		Severe test-anxiety (≥74.1)		
	n	%	n	%	n	%	
≤USD301	27	12.9	145	69.4	37	17.7	209
≥USD301-500	29	21.3	87	64.0	20	14.7	136
≥USD501	10	18.2	28	50.9	17	30.9	55
Total	66	16.5	260	65	74	18.5	400

Table 2. Crasstable family income on academic achievement among respondents (400)

Family income	Academic achievement								
	≤9.99		10-14.99		15-16.99		≥17		Total
	n	%	n	%	n	%	n	%	
≤USD301	11	5.3	113	54.1	50	23.9	35	16.7	209
≤USD301-500	0	.0	48	35.3	38	27.9	50	36.8	136
≥USD501	1	1.8	14	25.5	17	30.9	23	41.8	55
Total	12	3.0	175	43.8	105	26.2	108	27.0	400

Table 3. ANOVA results for family income, academic achievement and depression (n=400)

Family income	df	F	P
Academic achievement	2	19.17	.000
Test-anxiety	2	3.92	.02

China's Legal Enforcement on Anti-Piracy in South China Sea

Yingying Deng

National Institute for South China Sea Studies

Rm 1801, Wanfu Building, No. 42 Bailong South Road, Haikou 570203, Hainan, China

Tel: 898-6522-0291 E-mail: luckydyy@hotmail.com

Abstract

The South China Sea is considered the most dangerous area for piracy in the world.

China has a strong economic interest in South China Sea and Strait of Malacca maritime security. In recent year, China has taken effective measures in combating piracy in the South China Sea. In order to build the legislation and law-enforcement on anti-piracy, the author put forward some suggestion.

Keywords: Piracy, South China Sea, Legal enforcement

The South China Sea, encompassing an area from Singapore to the Strait of Taiwan of around 3,500,000 square kilometers, is bounded on the north by China, on the east of the Philippine islands, on the south of the Indo, and on the west by the Malay Peninsular and Vietnam. It contains more than 230 scattered islets, reefs, and shoals and are subdivided into four sub-archipelagos: The Spratly Islands, The Macclesfield Islands, The Paracel Islands and Pratas Islands. It is the world's most perplexing problems of maritime management and jurisdiction.

Linking the Indian Ocean with the South China Sea, Strait of Malacca is one of the world's most important sea passages. Straits of Malacca is about 900 km to 5.4 km wide, with an average depth of 25 meters to 27 meters. Today, shipping oil passing through the Straits of Malacca accounts for half of the world's oil shipping, a third of the world's shipping trade. The South China Sea is considered the most dangerous area for piracy in the world.

China has a strong economic interest in South China Sea and Strait of Malacca maritime security. Its booming economy relies heavily on seaborne trade and energy imports. China has been a net oil importer since 1993. Now, 90% of China's trade and more than 80% of those energy imports pass through the South China Sea and Malacca Strait.

1. Piracy

Piracy in the South China Sea has a long history, dating back at least as far as the fourteen century. For no less than half of those 290 years (between 1520-1810) pirates dominated the seas around South China Sea. In recent years, piracy has gradually exhibited a more global nature, has been conducted in a more strictly organized manner and has become more violent.

Traditionally, piracy has been described as hostes Hunami generic- the enemy of the human race. In Ming dynasty, the Japanese businessmen often pirates in China's southeastern coastal harassment. They colluded with the Ming dynasty local tyrant profiteers. These bandits are called "Japanese Pirates" (Wo Kou). The Japanese pirates, can be mustered on over one hundred dispatched warships, several hours invasion, attacking the city ransacking stockade, murder and arson, raping, kidnapping and looting. Japanese pirates massive invasion of years, people's live and property along the southeast coast suffered incalculable damage.

China has no such word as "piracy" in the Chinese law, China use the term "robbery at sea" which can be deemed to be "piracy" in the sense of international regulations.

Piracy means unlawful acts as defined in article 101 of the 1982 United Nations Convention on the Law of the Sea (UNCLOS):

ARTICLE 101

Definition of Piracy consists of any of the following acts:

- 1) any illegal acts of violence or detention, or any act of depredation, committed for private ends by the crew or the passengers of a private ship or a private aircraft, and directed-
 - (a) on the high seas, against another ship or aircraft, or against persons or property of any State;
 - (b) against a ship, aircraft, persons or property in a place outside the jurisdiction of any State;

- 2) any act of voluntary participation in the operation of a ship or of an aircraft with knowledge of facts making it a pirate ship or aircraft;
- 3) any act of inciting or of intentionally facilitating an act described in subparagraph (1) or (2).

The UNCLOS definition restricts acts of piracy to the “high seas” and “outside the jurisdiction of any state.”

The IMO follows the 1982 United Nations Convention on the Law of the Seas (UNCLOS), which in its article 101 declares piracy a criminal act. The IMB’s definition differs from that of piracy that the UN has accepted. Piracy, as defined in the United Nations Convention on the Law of the Seas (UNCLOS), includes only those acts of maritime predation occurring on the high seas and for private ends. The IMB has adopted a broader definition of piracy. Its definition is “An act of boarding or attempting to board any ship with the intent to commit theft or any other crime and with the intent or capability to use force in the furtherance of that act.” With this definition, the IMB allows the inclusion of acts occurring within the territorial waters of states which meet the classical definition of piracy excepting the “high seas” criterion or, in cases of terrorism on the seas, the “private ends” criterion.

Insert Table 1 Here

2. What Chinese Government has done in recent years

In recent year, China has taken effective measures in combating piracy at sea, successfully investigated and settled five cases of piracy and armed robbery incidents that occurred in the South China Sea areas, apprehended and convicted criminals in a timely manner. The result is in a forceful suppression of and a heavy blow against piracy. (The 5 cases are: December 1998 hijacking of the Cheung Son, September 1998 hijacking of the Louisa, September 1998 hijacking of Ten Yu, March 1999 hijacking of Master of Ocean and February 2000 hijacking of Global Mars and March 1999 hijacking of Mary Master)

2.1 Legal efforts to anti-piracy

The Chinese government, as a contracting party to the UN Convention on the Law of the Sea and Convention for the Suppression of Unlawful Acts against the Safety of Maritime Navigation (China signed the LOS Convention in 1982 and ratified it in 1996, also ratified the two 1988 Rome legal documents against maritime terrorism), and relevant conventions of IMO, has been active and firm in combating piracy, and has exerted arduous efforts in this regard.

Criminal Law of the People’s Republic, “Article 9 states”: for the crimes defined in international treaties, concluded or acceded to by the People’s Republic of China, which are under the jurisdiction of the People’s Republic of China within the framework of the treaty obligations, this Law shall apply. Therefore, China enjoy universal criminal jurisdiction on some international crime including piracy. In judicial practice, Chinese courts can use traditional criminal charges, such as murder, robbery, to punish pirates. In December 1999, the Intermediate People’s Court of Shanwei (a coastal city in Guangdong Province) used Chinese criminal charges to sentence 13 people to death and gave 19 others sentences ranging from life imprisonment to short terms for being found guilty of hijacking the Hong Kong “Cheung Son” bulk carrier in 1998 and murdering 23 of its crew.

On 28th, December, 2000, Chinese Government promulgated and carried out an Extradition Law which provides powerful guarantees to the international jurisdictional cooperation on anti-terrorism. To international Criminals to extradition or prosecution, China’s regulations on the handling of extradition cases concluded or acceded to all international treaties on specific crime, in particular the provisions of the State party “or extradition, or prosecute” obligations, the crime was deemed to satisfy the conditions for extradition, but except for a reservation clause, on the other hand, if China decided not to extradite the international criminals having been accused or convicted of crimes, China will be in accordance with the relevant provisions of international treaties, the person will be transferred to judicial organs for criminal prosecution. Until 2006, China has signed the Bilateral Extradition Agreement with 26 countries which includes Thailand and Philippines.

Besides that, China also promulgated some laws contain stipulations relevant to piracy, such as Maritime Traffic Safety Law, 1983, Law on the Territorial Sea and the Contiguous Zone, 1992, and Law on the Exclusive Economic Zone and the Continental Shelf, 1998. The provisions in the above laws on “security”, “safety”, and “hot pursuit” are relevant, although they are not specifically related to piracy.

2.2 Strengthen marine patrol, surveillance, detection and examination, especially on key sea areas and against major suspected vessels

In China, five main paramilitary forces can be identified with the functions mentioned above. These are the Customs Service, the Maritime Section of the Public Security Bureau, the Maritime Command of the Border

Security Force, Border Defence and the China Maritime Surveillance (CMS) of the State Oceanic Administration. These five forces have been active in the examination of criminal cases at sea by way of checking suspected vessels and seaman. Whenever any ship is found to be in doubt, investigation will be conducted, and when sufficient evidences are collected, the cases will be handed over to the Public Security Department and the Court for further investigation and settlement in accordance with relevant laws and regulations of China.

2.3 Active promoting international exchange and cooperation

Chinese Government has recognized that maritime security is a complex issue that can only be achieved through regional cooperation. In 2002, China and ASEAN have signed Declaration on the Conduct of Parties in the South China Sea (DOC), In 2004, China and ASEAN signed a MOU on Cooperation of Non-traditional Security Issues in 2004. On September 7th, 2005, China sent its first delegation to a maritime security conference concerning the Malacca Strait, on which China made a clear position that it supports the coastal states to play the leading role in maintaining the sovereignty and security of the Malacca Strait and China would like to join the cooperation. Indonesian Foreign Minister said “welcome other countries in the region, especially China to help”. In July 2006, China and Malaysia signed Sino-Malaysian Maritime Cooperation MOU. On April 27th, 2006, navies of China and Vietnam carried out their first joint patrol in the Gulf of Tonkin, which indicates their cooperation on maintaining order and stability in the South China Sea. On September 4, 2006, China signed the Regional Cooperation Agreement on Anti-Piracy (ReCAPP) which aims to enhance multilateral cooperation among the 10 members of ASEAN plus Japan, India, China, South Korea, Sri Lanka and Bangladesh.

3. Suggestion

3.1 Strengthening jurisdiction and enhance capacity building in legislation and law-enforcement on anti-piracy

3.1.1 Make clear the definition of piracy in Criminal Law and promulgate and law and legal regulations on piracy.

Although Article 9 of Criminal Law stipulates the jurisdiction on majority of international crime recognized by China, however, China has no definition of piracy in the Criminal Law. The lack of definition and provisions in the Criminal Law, to some extent, affect the anti-piracy efforts. In the event of piracy cases, according to the provisions of Article 232 of the "Criminal Law" and Section 263 provides that the crime of premeditated murder for the robbery sentence. In other words, if these provisions can not be used to impose a monetary penalty, the offenders would have been released. In the trial of “Cheung Son” case, although there were thirteen pirates sentenced to death and nineteen sentenced up to life imprison, there were still six suspects set free for having been found not guilty according to current Criminal Law. The delinquency of current legal system brings a lot of difficulties to the application of anti-piracy. And in fact, the object of the crime, criminal objective and subjective of Robbery in Criminal Law have great different with Piracy in International Criminal Law.

3.1.2 Setting up effective jurisdictional system on Extraditing Maritime Terrorist

Although China has promulgated Extradition Law in 2000 and signed bilateral extradition agreement with 26 countries which includes Thailand and Philippine, however, to the countries which having not signed the bilateral agreement with China, it is very hard to extradite the offenders. In the case of Petro Ranger in 2002, China did not have a bilateral extradition agreement with Malaysia, although the Royal Malaysian Police had requested the Chinese government to extradite the 10 Indonesian criminals to stand trial in Malaysia. At the end, the 10 criminals were repatriated to Indonesia after almost of being 6 months detained. The result of this case caused the misunderstanding of some countries, even some countries criticized Chinese government “Let pirates go free”. Therefore, China needs to sign the bilateral extradition agreement with more countries, especially the countries in the South China Sea area, and specially promulgate the provision on extradition of maritime terrorists in the agreement.

3.1.3 Expert group on legal issues. A working group comprising government legal officers, legal staff of the IMO or IMB, legal experts recommended by the shipping community, maritime lawyers, historians studies piracy and academics should be appointed to review the legal issues that arise from the effective connection between domestic law and international law and adjust the new law on piracy timely.

3.2 Building Chinese Coast Guard to strengthening patrol and control in ports, territorial waters and other sea areas under Chinese jurisdiction so as to eliminate any shelter for criminals.

3.2.1 Although the five paramilitary forces play some functions on patrol and surveillance, however, this kind of decentralized maritime managing system does not satisfy the badly need for maintaining safety and good order at sea very well.

3.2.2 The South China Sea, in particular has become notorious for piracy, and has complex maritime geography with many islands and archipelagos, narrow straits and shipping channels with numerous overlapping claims to maritime jurisdiction, and the risks of tensions and disputes at sea. Moreover, in recent year, some countries criticize the “China Threat”. In such situations, navy patrol will increase the tension of this sensitive area. Coast guard may offer advantages over navies for conflicting claims to maritime jurisdiction and political tensions between parties in the South China Sea.

3.2.3 The 1982 UN Convention on the law of the Sea (UNCLOS) led to extended coastal state jurisdiction, particularly through the introduction of the 200-nautical mile exclusive economic zone (EEZ). While coastal states have greater rights in adjacent waters under UNCLOS, they also have increased responsibilities. The ability to undertake the increased tasks is to build a coastguard which has the ability to enforce national maritime laws with wide powers.

3.2.4 Most of the countries in the South China Sea have established coast guard, if China has a coast guard, it will be able to conduct exercise and training with other nations that might not be possible between navies.

All in all, China should combine decentralized five paramilitary forces and build coast guard. Also, it should establish a special anti-piracy team to deal with pirates in South China Sea and establish a team of experts who gather information from dangerous areas, analyze the data and suggest countermeasures.

3.3 *Enhancing cooperation and interaction among States*

Anti-piracy is a complex issue that can only be achieved through regional cooperation.

Strengthen maritime law enforcement cooperation between China and ASEAN countries. Establish channels for China and ASEAN countries to maintain dialogue and contacts between law enforcement agencies at sea; set up an information exchange mechanism, smooth information exchange channels, timely transmit information and intelligence on illegal transnational criminal organizations; jointly deal with maritime security threats; cooperate in active and pragmatic way, timely launch joint exercises and joint handling cases, accumulate experience, improve cooperation efficiency; strengthen maritime law enforcement and step up bilateral and multilateral cooperation in the training of personnel and technical exchanges.

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Table 1. Total Number of Attacks within Southeast Asia (1994-2005)

Total Number of Attacks within Southeast Asia (1994-2005)												
Locations	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005
Indonesia	22	33	57	47	60	115	119	91	103	121	94	79
Malacca Strait	3	2	3		1	2	75	17	16	28	38	12
Philippines	5	24	39	16	15	6	9	8	10	12	4	
Singapore Straits	3	2	2	5	1	14	5	7	5	2	8	7
Thailand		4	16	17	2	5	8	8	5	2	4	1
China/Hongkong/ Macau	6	31	9	5	2		2			1	3	4
HLH area**	12	7	4	1								
South China Sea	6	3	2	6	5	3	9	4		2	8	6
Taiwan		2						2	1	1		
Vietnam	2	4		4		2	6	8	12	15	4	10
Total for the year	59	112	132	101	86	147	233	145	152	184	163	119

Source: ICC International Maritime Bureau, Piracy and Armed Robbery Against Ships--Annual Report
(1st January—31st December 2005)
HLH area*: Hong Kong/Luzou/Hainan area

Research on the Contents and Development Mode about the Intensive Urbanization

Shulian Wu

School of Civil Engineering and Architecture, Zhejiang SCI-TECH University

Hangzhou 310018, Zhejiang, China

Tel :86-571-8196-0175 E-mail: wushulianwsl@126.com

Abstract

In this paper, the process of urbanization in the current one-sided pursuit of quantity and speed of urbanization, ignoring the inherent quality of urbanization, from the perspective of the development of intensive urbanization, proposed intensive urbanization ideas: From the agglomeration of population, space intensive, industrial clusters defined in terms of the connotation of intensive urbanization; Based on resource-saving, environment friendly, cost-effective development goals of the intensive urbanization, proposed the typical pattern of intensive urbanization, that is the pattern of urbanization and land-based, ecological patterns of urbanization, urban cluster model.

Keywords: Intensive urbanization, Section to type, Ecology urbanization, Urban cluster, Mode

Since China's reform and opening-up, urbanization has made remarkable achievements. Particularly since 2000, urbanization status was enhanced in the preparation of development plans in the region to vigorously promote the process of urbanization as an important strategy for economic development. However, with the effects of traditional urbanization modes, urbanization is simply equated with the increasing in the number of cities, expansion of urban scale, population urbanization rate and urban economic growth and pursue the speed of urbanization and neglect the Internal quality, which led to inefficient use of urban resources and even a waste of energy, worsening pollution, the low level of public services, social justice can not guarantee and a series of outstanding problems.

In order to achieve economic, social, coordination of resources and the environment, and promote the healthy development of urbanization, this paper presents a new type of urban development model that is intensive urbanization patterns.

1. The Connotation of Intensive Urbanization

The so-called intensive urbanization is based on intensive growth and consumption patterns, based on various factors by raising efficiency and maintains a sustainable urban development process or method. Specifically, intensive urbanization, including the following three aspects:

1.1 Concentration of the Population

The first performance of the process of urbanization is the majority of the population of rural regions to urban areas. And different from the traditional population urbanization, intensive urbanization of the population gathered is mainly in the appropriate population size and growth rate, a sound social security system, pleasant living environment. Avoid the accumulation of population to urban disorder development of adverse effects. This process is specifically manifested in three aspects:

First, the scale of the urban population continued optimization. Population size determines the size of urban land and infrastructure scale. Principles of sustainable development requires us to study the city scale, must be considered in certain circumstances the threshold, that is the size capacity of the urban environment, to explore the best urban system as a whole, economic efficiency and environmental comfort together to achieve the capacity of the scale.

Second, the resident's quality of life improved. Not only is the population of urban settlements, and as a regional political, economic, cultural education, science and technology center, should be comfortable for the residents of the production and living environment, and continuously improve the quality of life of residents.

Third, resident's living environment continues to be improved. Urban environment is closely related with the

relationship between urban lives. Harmonious cities need to appropriate living environment. The environment includes both the natural environment, but also the social environment. Include the following: reasonable and distinctive urban design, unified and diverse natural environment, to facilitate orderly traffic environment, human environment attractive harmony.

Concentration of the population corresponds to the basic requirements, in the process, to do the following:

First, common to urban and rural construction planning and population development Family planning in China's urbanization process, especially in the urban population had a direct and important influence. As China's market economy system and improve and promote the urbanization process, the conditions of the existing family planning policy is undergoing profound changes. For example, in the basic pension, medical care and subsistence allowances to achieve the integration of urban and rural, urban and rural residents in the reproductive attitudes and family values have changed and so on. In this context, to optimize the population structure and improve the population quality, the development of human resources objectives to achieve the integration of urban and rural family planning, so that the population of urban and rural construction and development coordination.

Second, promote the relationship between the employment system and urbanization. First of all, alleviate structural unemployment. Main ways: to increase the intensity of macroeconomic regulation and guidance, and promote rational distribution of economic structure; increase investment in human capital, improve the ability of anti-structural unemployment; to take various measures to ensure the effective and rational flow of labor; providing public service to help unemployed personnel. Second, expand the employment of urban space. Domestic and international experience shows that the increase of employment space, to provide jobs, depends on economic growth and industrial structure, ownership structure. Main ways: to rely on the development of tertiary industry increased flexibility in employment growth; to establish small and medium enterprises and non-public ownership economy as the main channel of the expansion of employment status; to implement the "going global" development strategy to increase employment, and so driven. Third, we must improve the city's employment mechanism. Main ways: to establish a unified, standardized labor market, improve the employment service system; comprehensively improve the quality of labor, the implementation of flexible forms of employment; open up new financing channels, the living arrangements and other laid-off workers.

Third, establish a multi-level social security system. Establish and improve the level of economic development compatible with the social security system, social stability and an important guarantee for national long-term security, but also of the intensive urbanization of the important part. Main ways: to speed up the establishment of supplementary pension insurance system; establishing a sound social security fund collection and management system; as soon as possible to establish the social security fund supervision system to ensure safety of the funds; as soon as possible a variety of social security funds into the budget management track and so on.

Fourth, cancel dual household registration system and implement a dollar household registration system. Original intent of the dual household registration system in rural person-days in order to avoid excessive flow caused by urban expansion of cities, industrialization costs. However, as conditions change, the dual household registration system has clearly not met the requirements of social development. So should the situation of China, comply with the industrialization and urbanization of the objective law, deepening the reform of household registration system, to break the household registration restrictions, and gradually relax the Rural Workers Employment and residence conditions for migrant workers enjoy basic social security and urban public services to equal pay for migrant workers and urban workers with the right to live and work in the city.

In short, in this process, first of all to promote the employment system and the coordination of population, urbanization, alleviate structural unemployment, to expand employment space in the urban, to improve the city's employment mechanism. Second, we must establish and improve the social security system compatible with the level of economic development, social stability and state is important to ensure long-term security, but also of the intensive urbanization of the important part.

1.2 The Intensification of Urban Space

With the population to urban areas, intensive urbanization, another outstanding performance is the intensification of urban space. It reflected in the efficiency of urban land use, more complete of transportation and other infrastructure, more robust mechanisms for urban management.

Compared with the traditional urbanization, space intensive process must adjust and optimize the existing urban space; this is a long and arduous task. It involves the migration of certain industries and residents, to generate a lot of costs, related to the adjustment of the optimal spatial structure tends to the enormous benefits generated reasonable. Used in the process of urban space not only to consider its own interests, but also pay attention to

public interests and to make space on the interface to be the marginal unit cost of the minimum space utilization, and total and high efficiency. Requires the full use of market means to optimize the spatial structure. For example, the right to development set the space, control space plane and three-dimensional volume of higher density in areas of space utilization. Amount of new urban space or to bidding to take advantage of the way, make the investment program most beneficial utilization of space.

Compared with the traditional urbanization, space intensive process requires the intensification of urban land use. Asked the city government should prepare the overall city planning and scientific land use planning, reasonable scale of urban construction land and land distribution, effective allocation and utilization of land resources, and guide sustainable urban development. Planning should take economic and social development based on not only satisfies the needs of urban development, land use, but also ensure the protection of land resources. Required to further improve the land management system, fully implement strict land use controls, strict control of the amount of urban land supply.

Compared with the traditional urbanization, it needs to increase the floor area ratio of land and to play three-dimensional effect of the city. The one hand, full use of urban land space, mainly through the construction of urban public facilities to achieve high-rise buildings, industrial space, green three-dimensional; on the other hand make full use of underground space, development of underground car parks, subway, underground pedestrian system and other measures volume rate of increase of land. Underground city land use fees, construction costs lower than the ground, its development is more feasible than the floor space, more potential in saving energy and resources, it is also better than the floor space development.

1.3 Industry Cluster

The so-called Industry cluster is in a regional context, producing a number of products supporting enterprises, and knowing the upstream and downstream businesses, high together, form a unique industrial economic phenomenon. Industry presents a regular phenomenon, that is, the decision to expand the scale of industry clusters raise the level of urbanization, the city decided to raise the level of cluster scale. This is mainly the following three reasons.

First, Industry cluster beneficial professional development, and improving labor productivity. Industry Cluster led the capital, technology and other factors of production agglomeration, and to further promote the transportation, catering and other service industries and related industries, the promotion of capital goods market, commodities markets and the rise of the city and the prosperity of other industries, providing more employment opportunity for labor to secondary and tertiary industries a large number of transfers, to boost the attractiveness and capacity, so that expanding the scale of the city, the city's radiation enhancement.

Second, industrial clusters can reduce the cost of urbanization. Industry cluster to promote urban production and living functions, which enhances the science of urban planning, rationality, combined with the cluster of geography, culture and organizations gathered to enable enterprises to reduce transaction costs and production costs, companies can be scale economic and external economies of scope to attract more business gathering.

Third, cluster expansion of the geographical space of urbanization. After the formation of industrial clusters, industrial clusters may be due to land prices, labor costs and other factors, will spread to surrounding areas, and promote the development of industrial clusters surrounding areas. Development of industrial clusters around the region, its rapid urbanization will increase. With the surrounding area raise the level of urbanization, in some not far from the city, the same structure will link the city to form a city group.

Urban economy is the basis for urban development; urban economic growth is the first city-led industrial growth. Cluster mainly in the optimization of industrial structure, the coordination of industrial clusters, and efficient economic development.

In the optimization of intensive urban industrial structure, choose the city leading industry is the key. The city's leading industries not only have an absolute advantage in the market, but also with the comparative advantage of production efficiency. From the resource use efficiency point of view, select large sectors of comparative advantage, which is selected cities, can be efficient use of resources and the environment industry sector. At the same time, choose the leading industry resource and environmental constraints should be preferred less of the industrial sector, that is, technology and intellectual-intensive industries, which have a comparative advantage does not decrease with the expansion of industrial-scale features that better urban leading industry contributions. It should have a number of leading industries, so industry and promote economic growth more evenly distributed, to play to adapt to urban resources combined effects of structural characteristics. This will not only make full use of city resources as well as the formation of multiple growth poles, lead a balanced and stable economic growth

in the city.

Summing up the three aspects, intensive urbanization process is affected by economic laws, is a dynamic process of development, when it reaches a certain height, will be relatively static with the urban function and infrastructure services, loss of balance ability to form various contradictions objectively there needs renovation to meet the higher demands intensive. Therefore, the city is continually tap the intensive process of its development potential is the initial stage of urban development from the advanced stage of transition to the historical process. The higher the city's intensification is, the greater its ability to self-renewal. Of course, the city's intensification is not endless; the capacity of urban space is limited. That is, when the city reached a very high level (urbanization rate of 80% to 90%), when the city of space capacity has been saturated, the city's development potential has been exhausted, the city has reached a high stage of development.

2. The Development Mode of Intensive Urbanization

To promote the sustainable development of urbanization, intensive urbanization must be based on resource-saving, environmentally friendly and cost-effective. Based on intensive urbanization, development goals, typical pattern of urbanization can have the following:

2.1 Resource Conservation-Oriented of Land-Based Urbanization Mode

Land-based Urbanization mode is dwindling lands resources; a substantial increase in population has made the background. Includes the following two modes

2.1.1 Old City Reconstruction Patterns

(1) Time point of view of the gradual transformation mode

Urbanization in China began relatively late, but rapid development, thus leading to the living environment of the city's very different. From the 20th century 90's, the cities appear a large-scale urban renewal, but most simply "tear down the reconstruction." This model is considered in the interests of developers, ignored the requirements of environmental reform itself, ignoring the age old residential and identification of living for the city structure and meaning of urban culture. This leads to a city break in the living years, the formation of a large number of the same neighborhoods and residential areas, the loss of the living environment of its due recognition. Therefore, from the perspective of time, establish a gradual reconstruction model. In the transformation process to emphasize the physical, economic, social, historical culture, the overall planning, this played a role in the cultural, environmental and resources protection. Therefore, maintain the structure of urban living in chronological continuity. In addition, the gradual model can reduce the huge costs, while also continuing development of the times the progressive implementation of reform, the formation of an ecological reconstruction of energy-saving mode.

(2) Space point of view of the three-dimensional mode

Plane of urban growth will only bring more problems, such as satellite mode of construction can only be occupied more land resources, and then refined and improved two-dimensional urban design and the results were only temporarily alleviate some of the city contradictions, without giving the city the capacity and performance needs of Intensive been solved. Only cities and urban performance of the unit capacity was expanded and improved way to resolve conflicts before the city may have a broader way.

The extensive urban development model has not proven the effectiveness of intensive play with the city completely compatible. So for the transformation of cities, an especially large city is mainly focused on the issue of performance intensive, intensive three-dimensional model city that is an effective solution.

The city three-dimensional mainly refers to city-based surface. These cities in the three-dimensional space, interspersed with each other in some way intertwined with overlapping or even the shape mechanism. It requires three-dimensional spatial coordinates various functions to resolve conflicts, create a new system of three-dimensional form, its essence is multi-dimensional utilization of urban space. Such as urban transport systems in different transport modes of three-dimensional switching architecture across the transport line of the whole group, or sink to improve the quality of high altitude and underground environments. City is a major characteristic three-dimensional urban elements that make overall arrangements for and use.

2.1.2 Urbanization Patterns of Rural Local

This refers to the original place of residence in the rural population, through the development of production and increasing income, improving infrastructure, the development of social undertakings, to improve them, to change the way of life, to live the city life.

This is the result of many efforts: first, modern transportation and communication technologies and the rapid development of strong government support makes the road and communications equipment into the countryside, which not only make farmers understand the information very conveniently, but also to the rural way of living, thinking gradually closer to the city concept. Secondly, agricultural mechanization and mass production, more and more farmer's conversion, they can go to engage in various non-farm activities, and lead a more prosperous life. Third, local farmers feelings makes them more willing to develop their career in the home, to building a better home, to live a city life.

Intensive urbanization as a model, on the one hand, it is through the development of rural economy and increase farmers income, improving rural infrastructure, developing rural social undertakings and other measures to change the backward rural areas, narrowing the gap between urban and rural areas; the other hand, It is populated by scattered, reducing the pressure on the city to avoid urban damage caused by overcrowding. After years of construction, the construction of new countryside in China booming, there has emerged a number of typical in rural local urbanization, such as the Garden Village in Zhejiang Province, Huaxi Village in Jiangsu Province, the Nam Shan Village in Shandong Province, and so on. Most farmers in these areas are no longer engaged in agricultural production has been transferred to the secondary and tertiary industries, higher income, education, health care, retirement, housing and other basic realization of a welfare state, their living standards over the city, known as the beautiful and rich " Rural City. "

2.2 Environment Friendly-Oriented of Ecology Urbanization Mode

Eco-city is an economic development, social progress, ecological protection to maintain a high degree of harmony, technical and natural to achieve the full integration of urban and rural environment, beautiful, comfortable, and to promote the constant improvement of urban civilization, stable, coordinated and sustainable development of natural and artificial environment complex system. Demands the formation of eco-city social harmony, economic efficiency, and ecological form of virtuous circle of human settlements, the establishment of nature, cities and people merge into an organic whole formed a symbiotic structure.

Ecology urbanization of the contents of the at least include the following: Social ecology, economic ecology and natural ecology. These areas are inextricably linked, the natural ecology is the foundation, is the condition of economic and ecological, social ecology is the goal. The most important is the coordination among the development, have gained in the overall coordination of the development of circular economy that is oriented, following the concept of sustainable development and the application of ecological economics and law of economic activity guide human society. Traditional economy is a "resources - products - Waste Disposal" one-way flow of linear economy, but the economic cycle by "ecological chain" approach to economic activities to form a "resources - products - waste - renewable resources products, "the circular flow, so that a harmonious integration into the economic system, natural ecosystems, the material cycle.

Industries and enterprises is the main organization of economic activity and the carrier, so recycling economy development model eco city is essentially a recycling economy development model of industrial and regional development patterns. At the present stage of development of circular economy in China have two main priorities.

First, focus areas - production and consumption. Recycling economy development model in production is the rehabilitation and reconstruction of the national economy in all industries, so that the direction of the ecological transformation, the formation of sustainable modes of production; in consumption is mainly the development of green consumption and changes in lifestyle and behavior, Building sustainable consumption patterns.

The second is the key industries - ecological industry, ecological agriculture, green services and waste reuse, recycling and sound kicking Industry Department. The two focus areas and four circular economy industrial systems constitute the basic elements of industrial development model and framework. When these elements have permeated each other, support each other, forms the enterprise cyclic production, industrial cycle type compound, resources circulating within the social context in the use of state on the completion of the cycle economy the regional model.

Ecology urbanization development model is in practice, the use of economic theory and principles of organization cycle of economic activity, will transform the traditional model of economic development as a "low-resource energy input, high economic output, low emissions," the new model. Ecological City of recycling economy is a gradual and orderly system of development and functional long-term process that requires careful planning implementation, need economic, social and cultural aspects of successful transition. Meanwhile, the urban ecological construction is a huge systematic project, should be taken into account reasonable development, environment, effective regulation, quality supply of public goods, recycling of

materials and the optimal allocation of the city features a series related to urban sustainable development. The major problems.

2.3 Economic Efficiency Oriented of Urban Cluster Mode

City Cluster, is a specific regional context gathered a considerable number of different nature, type and of the size of the city, to one or two big cities as the center, must rely on the natural environment and traffic conditions, the intrinsic link between the city continuously strengthened, together form a relatively complete city "collection." As the city expanded the group's formation connotation and extension of the city, so it makes the city both internal and external radiation is obvious. Intensive urban cluster model on the development of urbanization has played a powerful role in thrust.

First, urban clusters further the efficiency of scale economies. In theory, arising due to spatial aggregation effects of agglomeration economies on the production function, cost function and demand function are exerting an important influence, Conger on the optimal allocation of economic resources as well as the development of the huge economic impact ". Modern city compared to rural areas, the efficiency of resource use and management has a greater advantage, which is the result of urban economic aggregation, and the cluster can expand the urban agglomeration economy advantages. This is due to the formation of urban clusters system among the city economy, not just confined within a single city; urban clusters can be complementary to the urban economy in the cities have to play, not just limited to within the city; urban economy external characteristics and location will be expanded and extended.

Second, urban clusters are conducive to industrial restructuring and promote economic restructuring. The emergence of city clusters, from an objective to enable people from the "overall" perspective to the problem, in the region and between regions and between urban and city unified planning, integration of resources, to play a regional advantage, adjust the industrial structure. The formation of urban clusters can effectively promote the concentration of resources and population to carry out inter-regional economic integration. City Cluster not only needs to face the reality of international competition can also increase domestic consumption to spur economic growth while reducing external risks.

Such as the Zhejiang city of Formation, in the commodity markets gathered strength, and the role of radiation, the factor market becomes more active, supporting industries enhanced ability to continue to increase market share. The city has formed a group to Yaw, Yanking field as a platform, links around the cluster, resource sharing, division of work in the market economic circle, and promote comprehensive, coordinated and rapid regional economic development.

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Internationalization of Education in India: Emerging Trends and Strategies

Subrata Kumar Mitra

Institute of Management Technology

35 Km Milestone, Katol Road

Nagpur – 441 502, India

Tel: 91-712-280-5000 E-mail: skmitra@imtnag.ac.in

Abstract

This article discusses the need and changing wants associated with internationalization of higher education in Indian context. The demand for international education is growing day by day. To cater these needs, institutions have started to take new steps. Besides traditional providers of higher education, new knowledge providers from business houses have started developing innovative models for delivery of higher education.

India has certain advantages to expand its internationalization initiative and as a result receiving interests from foreign universities for setting up campuses in the country. India needs to have a policy towards private higher education including foreign universities desirous of setting up campus in India.

Keywords: Higher education, Internationalization of education, Education providers

1. Introduction

Internationalization is a revolutionary development in Higher Education. The overall demand for higher and adult education, and professionally related courses, is increasing in most countries. There are several reasons for this: changing demographics, the increased number of secondary school pass-outs, wish for continual learning, and the growth of the information technology. While demand is growing, the ability of the traditional institutions to satisfy this need is questionable.

We need to prepare students to perform successfully in the complex, global environment. Employers expect their employees to analyze and solve problems from multiple perspectives and the students must prepare themselves to meet these challenges. Universities are adopting various plans, policies and strategies to internationalize education in response to these global demands.

UNESCO (2006) has given the following definition of internationalization of education. "It is Higher education that takes place in situations where the teacher, student, program, institution or provider and course materials cross-national jurisdictional borders. Cross-border education may include higher education by public or private and not-for-profit/ for-profit providers. It encompasses a wide range of modalities in a continuum from face-to-face (taking various forms from students traveling abroad and campuses abroad) to distance learning (using technologies and including e-learning)."

Internationalization is therefore 'a process of integrating an international perspective into the education'. It needs an institutional vision to motivate people to change the whole to think globally and collaboratively. It is a way towards an ever-changing, diverse external environment that focused on global environment.

2. Streams and Modalities

The streams of internationalization of higher education have two major dimensions. One dimension is merely domestic which refers to the international and intercultural dimensions of without ever leaving their home country. The second dimension refers to the mobility of the participants across national borders. It is also called cross-border education, and this type of education growing rapidly, particularly at the higher education level. According to an UNESCO (2006) report, cross-border mobility of programs is "a movement of individual education or training courses and programs across national boundaries through face-to-face, distance or a combination of these. Foreign country provider or the affiliated domestic partner or both of them jointly award credits for the course." Franchising, double or joint degrees and various articulation models are popular methods of international program mobility. A short description of each follows:

2.1 Franchise

This is an arrangement whereby a reputed institution allows another institution in another country to deliver program in that country. The more reputed organization usually awards the qualification. Partners customize their arrangements for teaching, management, assessment, profit sharing and awarding of qualification each franchise.

2.2 Double/joint degree

In these arrangements, institutions in different countries offer a program jointly for which a student receives a qualification from each organization. Institutions customize arrangements for the program provision and the basis for awarding the qualifications for each arrangement.

2.3 Articulation

Articulation arrangements between institutions of different countries allow students to gain credit for courses offered by all the providers. This allows students to gain credit for work done with a provider other than the provider awarding the qualification.

2.4 Distance Education

In this arrangement, institutions deliver a program to students in different countries through distance and online. It may include some face-to-face support for students through domestic study centers.

The main reason of these collaborations is to improve acceptability of the programs and their creditworthiness. Who awards the degree is important depending of reputation of the institution. Recognition of qualification for employment or further study is the most important reason.

Given that several types of program delivery in these collaborations, there are questions about the ownerships of intellectual property rights associated to course design and materials, responsibilities of partners in academic, staffing, recruitment, evaluation, financial and administrative matters.

From an academic point, these dimensions in higher education affect the country's higher education institutions intellectual enrichment, and stimulate teaching and research. From the cultural angle, it helps to understand cultures of other cultures.

3. Demand for Internationalization and Initiatives

3.1 Expansion of Higher Education in India

Higher Education in India has expanded many folds in last few decades. The number of universities has increased from 20 in 1947 to 378, and students' population in higher education from 1 lakh in 1950 to over 112 lakhs in 2005. The growth in capacity of higher education has improved enrollment ratio from fewer than 1% in 1950 to around 10%. Since independence of the country in 1947, the higher education has grown 33 folds in number of institutions making availability of education to the masses. The education providers include public nonprofit, private nonprofit and private for-profit institutions and have a mixture of public and private institutions. There is no boundary between public and private institutions as many public universities now look for private financing and charge a tuition or service charge. On the other hand, private institutions are eligible for public funds and engage in social nonprofit actions.

The expansion of public universities has been slow and skewed at regional distribution. Many Universities, managed by the state governments have many affiliating colleges and academic matters are not properly managed. Thus despite noticeable growth in number of state run universities there is scope rather need for expansion in the number of institutions.

Since 1990, private higher education institutes have started emerging. These are business houses that provide education programs or services for profit purposes. They impart education and training programs than undertaking research and scholarly pursuits. Examples of some these new providers are Aptech and NIIT. These new providers are either campus based or virtual universities and they coexist with traditional education providers.

3.2 Global Trends

According to UNESCO (2006) report, the need for international education will increase from 1.8 million international students in 2000 to 7.2 million international students in 2025. This rise creates huge challenges as well as opportunities. Though exact figures cannot be correctly estimated, it is obvious there will be rise in the programs and institutions across national boundaries. To meet these rising demand, institutions across the globe have introduced several steps. We produce some of the Initiatives below.

- Phoenix University has become the largest private university in the U.S. (owned and managed by the Apollo Group company) and delivering courses in Puerto Rico, Netherlands, Mexico and Canada. Other Apollo institutions are offering courses in Brazil, India and China.
- The Netherlands Business School opened a branch campus in Nigeria.
- Harvard University is improving campuses in Cyprus and the United Arab Emirates.
- Jinan University will be the first Chinese university to open a branch outside China.
- Laureate Education picked up higher education organizations in Chile, Mexico, Panama, Costa Rica, Spain, Switzerland and France.
- Dubai has developed a “Knowledge Village” in the Dubai Technology and Media Free Zone.
- The London School of Economics, Manipal Academy of Higher Education (India) and the University of Wollongong (Australia) are offering courses using franchising agreements and branch campuses.
- The University of Westminster (UK) has formed partnership with Kingdom University of Bahrain and developing similar arrangements with institutions in Nigeria, Uzbekistan and Kazakhstan.
- The examples confirm that globalization and global partnership among institutions are going to increase in coming years.

3.3 Internationalization of Higher Education in India

The Association of Indian Universities arranged a Round Table on ‘Internationalization of Indian Higher Education’ at the University of Mysore. They discussed the mechanisms to promote internationalization of Indian Higher Education at select Indian universities. They adopted the following ‘Mysore Statement’. (Source: International Association of Universities Newsletter July 2001 Volume 7, No. 3)

The Mysore Statement contains:

- Accepting that internationalization of higher education is a fact of life in the new ‘knowledge era’,
- Realizing that internationalization would lead to an improvement in the quality of education, promote Indian culture abroad, produce understanding and yield financial benefits,
- Recognizing that partnership and networking are essential for to enrich the teaching learning and to improve quality of research,
- Believing that it is necessary to act in earnest immediately,
- Resolved the government, academic institutions and the Association of Indian Universities take necessary steps to promote Indian higher education internationally. They recommended following actions.

After the deliberations, they recommended following actions to the Government

- Take suitable action to promote Indian culture abroad. This needs setting up a Committee for promoting Indian Education Abroad.
- Allow Indian Universities to open offshore campus abroad. Amend the University Grants Commission Act 1956 and the Acts of other statutory councils to include a specific provision allowing universities to open offshore campuses and export Indian education through the distance.
- Simplify the procedures about registration, entry test need, issue of ‘No Objection Certificate’ and the issue and extension of visas.
- Indian Embassies and High Commissions abroad must play a role in providing information about higher education available in India. They should help in the conduct of fairs, entrance examinations and student recruitment.
- Frame an open-door policy for financing students.
- They recommended creation of a central website to strengthen the information base and spread of information.
- Government and other statutory bodies’ should grant greater autonomy and flexibility to universities to admit foreign students and to enter collaborative arrangements with foreign institutions.

- Create a Task Force including representatives of different bodies like the University Grants Commission, All India Council for Technical education and Medical Council of India for admitting students to different professional programs.
- The government should consider extending financing for international education. This will enable institutions providing financial aid to Indian students going abroad, to foreign students coming to India and to educational institutions wishing to develop infrastructures for international education.
- There should be a suitable means to watch the standard of education given by foreign universities.

The committee recommended following actions for considerations of Academic Institutions:

- Universities and other academic institutions that enroll large number of international students must have enough facilities to provide needed environment.
- Evaluate strengths in different disciplines of education and identify areas that would attract international students at different levels.
- Simplify the procedure for admitting international students.
- Indian academic institutions should set up partnerships and develop networks with foreign universities in both the developed and the developing countries.
- It is better if academic environment of the partnering university is similar to that of Indian universities.
- Updating and internationalization of the curriculum will get highest priority.
- Students from non-English speaking countries often have an inadequate knowledge of the English language. Arrangement for conducting special English classes for them is necessary.
- Indian universities should develop special short-term programs for students from developing countries who would like to visit India to learn more about its culture and heritage, natural possessions, diversity, languages or indigenous technologies.

4. Advantages of Internationalization in India

India has many advantages for continuing its internationalization of education. Some of the advantages are discussed below.

As in the US, India also has a large and diverse higher education system. It is the third largest after US and China with 10 million students continuing study in about 16,000 institutions. This large higher education infrastructure serves to all the needs of the country. Formal program or training is available in almost all sectors needed for development, ranging from ancient philosophy to the advances in information-technology. The types of courses offered are comparable to courses available internationally.

Though the quality and soundness of the system as a whole may not be the best, there is no dearth of good institutions. Many institutions in India enjoy the premium status like Indian Institutes of Technology (IITs), Indian Institutes of Management (IIMs), and a few other universities with a global brand value. The increasing number students from the families of NonResident Indians (NRIs) who seek admission in the leading Indian institutions are a sign of comparability of the quality of education. The cost of education in India is also fairly low.

India has the advantages of medium of instructions in which education is passed on. Most of the higher education institutes use English as the medium of instruction. Some of the Indian institutes like Center for English and Foreign Languages at Hyderabad, have set up offshore campuses. Learning English throughout their educational career enables Indian nationals to take up teaching and research assignments across the world at all levels.

India also has nonuniversity postsecondary institutions that provide specialized training for the diverse needs of the country. There are a many private and corporate institutions like NIIT and Aptech. These institutes work as ancillary educational providers and are quite successful.

Availability of seats in higher education institutes is also high in India. The competition may be fierce in entering the top institutes but that does not mean the admission capacity is limited. In fact, since the arrival of national private providers in the education sector, India has more 'seats' than there are takers. Because of the growth of private providers, in Engineering and Technology related areas, every year, there are many 'vacancies' in the capacity for want of seekers. This problem is even more severe in the liberal arts and science institutions. Another problem in India is the low annual rate of growth in demand for higher education from the society. In

the countries of the Asia Pacific region, it is stabilized at 2-3% level over past decade and it is 5% in India. How to continue this growth, if there is not enough number of eligible students is the major concern.

The top American universities have complex motives for entering the Indian market. Many of them are genuinely interested in internationalization, and see India as an important destination for economic growth in the 21st century. They wish to expand it in one of the world's major higher education markets and may use their Indian outposts to recruit bright Indian students, and academic staff, to come to the United States.

5. Reasons for Caution

Despite many advantages, the country must deal internationalization issue cautiously. Now Indian government is preparing to allow entry of foreign education providers in the higher education and about 50 foreign universities have evinced interest in setting up campuses in India. The interested universities, mostly from the US, the UK and Australia, have approached the ministry of human resource development. The Foreign Education Providers Bill, a proposed legislation to allow entry of foreign universities in India, is yet to be approved by Parliament. The proposed Bill is yet to be passed after being cleared by the Union Cabinet in February 2007.

The bill is applicable to deemed universities and private aided or unaided professional educational institutions affiliated to a university. Further, it defines a 'Foreign Education Provider' as a university or an Institution accredited and established under a foreign law and notified as an institution deemed to be a university by Central Government. The Bill controls the Admission structure of both aided and unaided professional educational institutions.

Foreign Education Providers will need to seek a status of a Deemed University before they can start operating in India and no foreign institution, which is not categorized as a Foreign Education Provider, can operate in India. Currently foreign universities are not allowed to offer degree courses in India, although it allows 100% foreign investment in education sector. Now, nearly 150 foreign institutes offer courses with Indian university under a twinning arrangement—part of the course in India, the remaining abroad—that is allowed by the education department. A panel set up by the government to draw up a reform road map for the higher education sector recommended that only the top 200 foreign universities be allowed to enter the country. Another report, Renovation and Rejuvenation of Higher Education in India, suggests that only the best foreign universities be allowed to work in the higher education sector to avoid unreliable operators.

Currently, it is not possible for nonprofit companies under Article 25 of the Companies Registration Act — like industry associations — to set up an institution and get university status. Educational institutions in India can be set up only by trusts, societies and charitable companies, but the profits cannot be taken out of the institution and have to be reinvested. These controls not only hamper expansion, it also encourages promoters to resort to unethical accounting practices to take out profits.

India is one of the world's largest markets for foreign universities. The country has a significant unmet demand for higher education access. Currently only 10 percent of the age group receive university education, which is half the rate in China and well below the rate in most developing countries. Thus, foreign institutions have huge opportunity for profitable growth in the Indian market.

Why do foreign universities and education companies would enter the Indian market, the goal is clear—everyone wants to extract profits—mostly by offering programs in fields that are in high demand. Foreign providers are not interested in investing in high-cost academic infrastructures and research. They wish to maximize the profit minimizing the investment. Some countries, including the United Kingdom and Australia, have a national policy to earn profits from higher education exports. The British Council and similar organizations help British educational institutions to increase their export potentials.

Developing countries are now seen as a market for higher education and foreign universities from other countries are trying to increase their market share. As the demand for opening the higher education sector in India is increasing, providing suitable regulatory framework for international education providers is important. Effective regulatory mechanism is necessary to ensure quality higher education.

India's main contribution to global higher education is mainly through the export of students, many of whom do not return leading to high brain drain. Higher education is not purely a commodity to be bought and sold on the international market. Higher education represents an essential part of a nation's priority and a key to future prosperity.

It may also be noted that most of the prestigious institutions of America are not in the international market to sell education for profit. It is the “for-profit organizations” of the USA who are active and most of them are not reputed ones.

6. Conclusion

Higher Education in India has expanded many folds in last few decades. With the expansion in state funded institutions, private operators are also been allowed to supplement education. The road ahead for India is related to creation of quality Higher Education Institutions to meet the challenge. The Government resources for higher education are not enough and investments in this sector from private and foreign sources are welcome. India needs to have a policy towards private higher education including foreign universities desirous of setting up campus in India or entering joint ventures. The Foreign Education Providers Bill, a proposed legislation to allow entry of foreign universities in India, is yet to be implemented.

It was also felt that foreign universities must not be allowed to encourage in gross commercialization of higher education. Only universities of repute are allowed entry and such universities should be required to set up their full-fledged campuses in India. India needs to examine its policies on allowing foreign institutions into the country. Why foreign institutions are interested to enter the country? What is the status of the foreign institution in their country? Are they capable of offering the same quality in India as it does at their own country? Will the foreign institution be able to continue its offerings in India over time, etc?

India's ability to emerge as an economic powerhouse will depend on the enough availability of high skilled human resources, which in turn needs up gradation in the education system to international standard.

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Exchange of Rural Residential Land in China

Wen Yan

College of Business, Agricultural University of Hebei

Baoding 071000, Hebei, China

E-mail: yanwen17@gmail.com

Yueming Xu

College of Business, Agricultural University of Hebei

Baoding 071000, Hebei, China

E-mail: xymbd@126.com

Abstract

China's economy is experiencing rapid urbanization, which is featured by both inefficient rural residential land and insufficient urban construction land. Another characteristic of China's urbanization is the frequent phenomenon of "over-urbanization" in developing countries. Population cannot be urbanized as quickly as land, mainly because migrants moving out of rural areas have no affordability of the urban housing. The purpose of this paper is to establish a framework of coordinating urban construction land and rural residential land, changing the inefficient rural residential land into arable land and as the same time increasing the quota of urban construction land, which can both help to improve the supply of urban construction land and help to meet migrants' residential needs in urban areas.

Keywords: Rural residential land, Construction land, Land use

1. Introduction

1.1 *The Urbanization in China*

It is believed by many experts that the urbanization process follows an "S" shape (Northam, 1975; Davis and Golden, 1954; Graves and Sexton, 1979). Northam even came to the conclusion in his book *Urban Geography* that urbanization generally goes through three stages, namely, gradual growth, explosive taking off, and maturity (Northam, 1975). In the first stage, the urban population experiences a gradual growth after it accounts for 10% of the total population. After this proportion being 30%, urbanization process accelerates until urban population reaches 70%, which is called the second stage. This is followed by the third stage, where the urban population stops growing or even starts decreasing. In 2008, urban population in China was 45.7% of the total population (National Bureau of Statistics, 2009). Considering the fact that the correlation between China's urbanization and per capita GDP growth has been the same as that of numerous other countries in history (Feng, 2006), China is in the second stage of urbanization process, which can also be proven by the increasing number of migrants moving from rural areas to urban areas. This demographic change has become the most significant feature in Chinese society. However, urbanization in China has some different characteristics than the western world. In western countries, urbanization is propelled by industrialization, which drives labors, capitals, technologies, land and other means of production to flow into urban areas. In China, on the other hand, urbanization is far beyond the industrialization, which is called "over-urbanization" (Marshall, 1998). This "over-urbanization" is supposed to have come about because rural migrants have been pushed rather than "pulled" into the urban areas (Sovani, 1964). Because of low industrialization level, urban employment capacity cannot satisfy the need of rural migrants; when more and more rural cultivated land is transformed into urban construction land, a new group of "land-lost" farmers have emerged. In rural China where there is hardly any pension system and housing guarantee, "land-lost" farmers have lost their housing guarantee and old-age living guarantee when they have lost their land. The housing problem of land-lost farmers has to be solved by urban housing guarantee system. Again, because of low industrialization level, farmers who have lost their land due to urbanization cannot find jobs in urban areas, making migrants' housing in urban areas even more difficult.

China is a typical dual-economy state, characterized by big income disparities between agricultural and urban jobs (both long-term and temporary). This has led to a vast transfer of the labor force from low to high wage

sectors because of low productivity and low incomes in agriculture, as well as much better living conditions in urban areas. According to "National Economic and Social Development Statistics Report 2009" issued by the National Bureau of Statistics, by the end of 2009, the country's total population was 1.33474 billion and the total urban population was 621.86 million. (NBSA, 2009). Urbanization rate reached 46.6%. Based on the prediction of Association of Mayors' "Report of the Development of Chinese Cities 2001-2002", the development goals of China's urbanization rate around 2050 will be more than 75% and the urban population correspondingly will be 1.2 billion. It is in about another 40 years that the number of urban population will increase by 578 million, an average annual increase of 14.45 million people.

1.2 Urbanization's Impacts on Construction Land

The rapid urbanization in China has impacts on both rural construction land and urban construction land in terms of land use efficiency. First, urbanization has brought in expansion of cities and land use scale; more urban construction sites are in urgent need for land. Whereas, currently, the gap between the quota supplies of urban construction land is far less than the actual demand. Urban construction land, especially the real estate market, has been artificially distorted in terms of price. Besides, the per capita cultivated land in China is very low, only 1.40 mu (933.3 m²) in 2005, which imposes high pressure on food safety (Zeng, 2005). Therefore, the insufficient urban construction land cannot be supplied by cultivated land. It has to be supplied by rural construction land. Second, urbanization has resulted in low efficiency or even idling of rural construction land (the main part is rural residential land) left by rural migrants. In rural China, households are entitled to certain residential land quota based on their demographic features. With the land quota, rural households can build their own houses without paying for the rent. Legally obtained residential land quota won't be withdrawn during the quota holder's life. When quota holders moves to cities, their still have the right to their land. That migrants flock into urban areas has left their rural residential land empty or only the elder and children. In the countryside, "hollow villages" (kongxin cun) - villages with underutilized land - have become increasingly common (Li, 2007). Rural construction land has not been utilized in an efficient way.

2. Theoretical Analysis on the Necessity of Coordinating Urban Construction Land and Rural Residential Land

Urbanization has made the urban construction land the scarcest resource in the economy, whereas in the rural areas, more farmers are moving out of rural areas and looking for jobs in cities, leaving their residential land (the main body of rural construction land) idle and wasted. It can be observed that there is a huge difference in the efficiency of urban construction land and rural construction land. Only by coordinating urban construction land and rural residential land can we stop the rural construction land being wasted, help to meet the urgent need that urbanization has put on urban construction land, balance the huge difference in land use efficiency, and improve the overall efficiency of the land.

Based on article 10 of the "State Council's Decisions on Deepening Reform and Tightening Land Management", "Rural construction land arrangement and consolidation should be encouraged; increasing urban construction land and reducing rural construction land should be hooked up in one arrangement." It is called "Hooking-up Policy". Under this policy, the problem is how to hook up the inefficient rural construction land and the insufficient urban construction land. One approach is to rearrange the quota of the two types of construction land. Theoretically, a healthy urbanization process requires all kinds of production factors flow in a free way. Land quota exchange is the prerequisite of the free flow of "land" as a production factor. Production factors have an innate feature of "flowing to the high efficient activity". Land, as an important production factor, when used inefficiently, will be driven to high efficient activities. In reality, the "flowing to the high efficient activities" of land has been realized by lots of underground transactions of "rural residential land and its quota". Coordinating urban and rural construction land by exchanging residential land quota can release the intrinsic motive force of the underground transaction, and supply to urban construction land in a legal way.

Exchange of farmers' residential land can also help the rural migrants (in China, they are called peasant-workers.) with their housing problems. The settlement of rural migrants in urban areas depends on two factors. One is a stability of urban jobs, the other is the affordability of urban housing, and the latter has become the main obstacle for migrants to settle down in cities. The housing-price-to-income ratio (the ratio of the median market home price to the median annual household income) is very high in China, especially in big cities. Compared to the high housing price, peasant-workers' income is quite low. Moreover, the high mobility of the peasant-farmers makes the Housing Provident Fund System, which is contributed by employers and their staff in return for cut-rate mortgages, based on relatively stable jobs, impossible to function. Therefore, housing problem of peasant-farmers has to be solved by a system in which the farmers have the resource and rights (such as

residential land) in the first place.

3. Arrangement of Exchange of Farmers' Residential Land

3.1 *The Quitting and Exchanging of Farmers' Residential Land*

Due to the location fixity of land, coordinating rural and urban construction land has to be proceeded by construction land quota. It is actually coordinating rural and urban construction land quota. This arrangement can be summarized as "Quitting and Exchanging", which involves three aspects (Figure 1):

(1) A farmer (for example farmer "A") quits one's quota of rural residential land via returning the quota back to the Land and Resources Management Department at township level, and receives a certificate called "Residential Land Quitting Certificate", by which farmer A can get the "Urban Housing Privilege Certificate"--the right to a certain amount of urban housing according to the amount of residential land he/she has quit or the right to buy houses at a favorable price in a certain urban area (for example City X).

(2) That urban area (City X) can be reimbursed with the same amount of land quota farmer A has quit, for urban construction.

(3) Rural residential land that farmer A has quit is reclaimed to cultivated land.

Insert Figure 1 Here

Three principals should be followed. (1) This arrangement is on a voluntary based. (2) Because of the social welfare nature of this arrangement, the certificate cannot be circulated in market. (3) For the purpose of cultivated land protection and food safety, the residential land that can be quit must be reclamable. (4) Considering the particularity of the real estate market, the right to exchange a certain amount of housing by quitting one's residential land shall be imposed an "exercise period", which is no longer than 5 years, in case of inflation of the certificate's price.

3.2 *Administration of "Quitting and Exchanging" Arrangement*

This arrangement involves Land and Resources Management Departments at both township level and municipal level, Government Finance Departments at municipal level, and Housing and Property Management sectors at municipal level. Responsibilities of Land and Resources Management Departments at township level include: to process farmers' applications of quitting residential land, to review if the residential land is qualified to be quit, to issue the "Residential Land Quitting Certificate", to process the registry and filing of the quit residential land, to administrate and supervise the reclamation of the residential land, and to investigate the reclamation process. Responsibilities of Finance Departments at township level include: to set up a special account to cover the expense of purchases of the "Residential Land Quitting Certificate" and to collect the income from selling the quota of construction land supplied by farmers who exert their "exchanging right". Responsibilities of Land and Resources Management Departments at municipal level include: to review the application of exchanging "Residential Land Quitting Certificate", to calculate the urban construction land quota exchanged from the rural construction land quit and reclaimed, to calculate the housing size a farmer can exchange with one's certificate, to issue the "Urban Housing Privilege Certificate" to farmers, with which, farmers can exchange certain size of urban housing or make the purchase at a favorable price.

Farmers who have "Urban Housing Privilege Certificate" make their applications to the Housing and Property Management sector of the municipal government. Housing and Property Management sector is in charge of reviewing the "Urban Housing Privilege Certificate" and issue urban housing to farmers.

4. Conclusion

Rapid urbanization results in urgent need for urban construction land and the idling of rural construction land, also brings the need for land management policies to improve the efficiency and rationality of land use in both urban areas and rural areas in China. Exchange of rural residential land quota can coordinate urban construction land and rural residential land. Farmers by selling their residential land quota can get certain amount of urban housing. Also the residential land can be reclaimed into cultivated land; the urban construction land can be supplied. It is an arrangement which will make the urbanization proceed in an economically efficient, socially just and environmentally sustainable manner.

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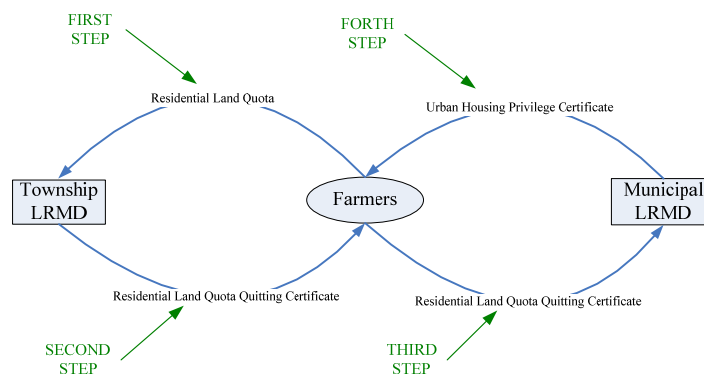


Figure 1. Process of Exchange of Farmers' Residential Land

Research on Personal Financial Product Innovation in Commercial Banks of China

Mengchun Ding & Jing Xiao

School of Economics and Management, Changchun University of Science and Technology

Changchun 130022, China

E-mail: zcl050506@163.com

Abstract

In recent years, thanks for stable economic development in China, the residents have growing demand for financing services because of the rapid growth of their financial assets. At the same time, banks have innovated their financial products and services greatly. In the global financial crisis, financial service markets in China also suffered a great test, which raises the significance of research on financial product innovation in commercial banks of China. This article describes the overview of personal financial products in commercial banks of China; gives analysis of the characteristics of product innovation; points out the problem in product innovation through a comparison with foreign financial products and put forward countermeasures for a reference in domestic financial product innovation and development.

Keywords: Commercial bank, Financial product, Innovation

In recent years, personal financial services have enjoyed continual national fame. The total sales of national personal finance products are about 200 billion Yuan RMB in 2005, up to 4,000 billion Yuan RMB in 2006, and then rockets to one trillion Yuan in 2007. According to the statistics, Chinese commercial banks had launched 2404 kinds of personal financial products in full-year of 2007, the number of which reaching to 3664 in 2008; and it was followed by the total sales amount of 1.5 trillion yuan RMB in 2009. Thus, the rapid development of domestic financial products gives significance to innovative research on financial products in our commercial banks.

1. Overview of Financial Products in Commercial Banks of China

1.1 Concept of Financial Product

China Banking Regulatory Commission defined "Financial Business" as the commercial banks to provide customers with financial analysis, financial planning, investment advisers, assets management and other professional services. Financial business in commercial bank is divided into financial consultancy services and synthetic financial services according to the different style of management and operation. We normally refer Bank Financial Products to synthetic financial services in practice. Bank financial products are capital investment and management plans designed and sold to some specific target customers after further analysis on the potential customers. Designed and issued by commercial banks, the funds collected will be invested into the related financial markets to buy related financial products based on the contract, the yields from which will be allocated to the investors according to the stipulations in the contract. In essence, financial product is a kind of financial investment. Banks is authorized by customers to take funds under management. Investment returns and risks are undertaken by customers or client mode in accordance with agreement, which indicates existence of risks in financial product investment.

1.2 Classification of Financial Products in Commercial Banks

1.2.1 Classification according to Return Stability

Fixed Income Capital Preservation: It belongs to financial products of guaranteed the principal, which has fixed income and fits investors with low risk preference. Preservation of fixed income-based financial products is similar to bank deposits, but has slightly higher returns than deposit rates. It is suitable for people with deposits habit and conservative investment ideas.

Floating Income Capital Preservation: It has the same guarantee on principal, but the rate of return depends on whether banks are investing in the right direction and the actual profits or it is proportional to the actual profit and loss ratio. It is more suitable for robust investors.

Non-Floating Income Capital Preservation: These products are neither guaranteed by principal nor guaranteed by profit. It mainly invested in stocks, new issued shares, and structured products. The investment income goes up for higher yields or goes down for lower product price, which is similar to stock funds. It is suitable for risk preference and strong tolerant investors. Gains may be as high as 15% -20% or more, but may also be a loss.

1.2.2 Classification according to Marked Currency

Foreign currency marked finance products: they come forth earlier than the renmin wealth management products. It has advantages such as structural diversity and strong innovation ability. With their own strong overseas investment capabilities, foreign banks perform actively in this field, and provide a variety of investment topics, such as emerging-market stocks, luxury stock basket, and water resources stock basket, to assist investors to seize the capital market with lower risks.

Rennin wealth management products: with the vigorous innovation in the banking financial market is abundant of innovations. From the based innovation aspect, banks extended their investment products from government bonds, financial bonds and central bank bills to short-term financing certificates, loan trust plan, as well as purchase of new shares; and from the discrepancy innovation aspect, the financial products are different in the length of liquidity, and their categories are so complete that range from the yield preservation to the principal preservation and then to non-capital preservation. The most common forms are bonds, trust, new shares subscription and QDII.

Dual-currency managed financial products: according to expected currency appreciation, the Yuan and foreign currency financial products are combined innovatively into some new financial products, which can include: first, the capital is invested by two currencies and organized with operation mode by RMB financial products and by foreign currency financial products respectively. The principal and income will be paid in the original currency when comes to expiration. Second, it uses the RMB Yuan as investment principal and is organized by foreign currency financial management mode. The principal and yields, as well as the interest are all returned in form of foreign currency. Third, there are some other cross-investment models.

2. Analysis on Financial Product Innovation in Commercial Banks of China

2.1 Present Characteristics of Financial Product Innovation in commercial banks in China

2.1.1 More complicated product structure

Personal finance products was mainly invested in money market bonds, notes, short-term financing bonds, fixed-income products before 2006, but the current structure of financial products has been further innovated. Revenue structure can be linked with money market repot rate, the U.S. dollar swap yield rate, as well as stock index, which results in expanded investment fields. Especially when the stock market continues to boom, the hook in the stock market indexes and investment trust-based financial products have been innovated greatly.

2.1.2 More liquid products

Banking financial products is a kind of closed investment, and then it can not escape from risks of liquidity. Due to more serious market competition, it is easy to find out some products that can be redeemed in advance. Therefore, the liquidity of these financial products be stronger and stronger.

2.1.3 More flexible product life term and subscription amount

Stimulated by the more flourish market circumstance, every commercial bank pays more attention to production innovation. The life term of these financial products have been as short as one day, such as a financial product named "benefits from benefits" offered by Shanghai Bank. It offers convenience to investors. Considering subscription amount, the banks design the different subscription admittance level to satisfy the different kind of investors. This behavior attracts more customers for banks.

2.2 Problems of Financial Product Innovation in Commercial Bank of China

Although financial products have been innovated greatly in commercial banks in China in recent years, they are still at the first steps of development when compared with the advanced countries.

2.2.1 Distempredness of marketing management system

It is popular in commercial banks in China that products are good but service is poor. The banks often fail to use effective marketing strategies and system to promote the new financial products, which limits the new ones'

market promotion and influences the banks' benefit negatively. Even in some situation, the banks mislead the customers by boasting investment return and keeping in risks, which lead to customers' partial understanding. Finally, the customers make complaints, and banks' credit become low and low.

2.2.2 Indifference on brand of financial products

Some famous banks in the world really emphasize brand construction and management of financial services and set up their own brands and slogans. The name and slogan used here come from the dire need to set up the brand image, to present their specialty as well as characteristics and to show the prestige of their customers. A good brand attracts more customers for banks. Nationally, commercial banks often ignore brand construction. Although they have learned some strategies from the world and set up some brands, they often fail to manage and maintain the brands. Such as, they often use individual name instead of a brand, which leads to customers' partial understanding of the product and further results in poor financial business promotion.

2.2.3 Lack of eligible professional financial staff

Financial business is a kind of synthetic service. The practitioner should have synthetic ability, as well as systematic and professional knowledge. For a long time, the staff in banks often specialize in one fields and are in short of synthetic understanding of deposit, bonds, stock, insurance, real estates and funds. Although the banks have organized a series of training for them, staff quality is in urgent need of improvement.

3. Suggestion on Financial Product Innovation in Commercial Banks in China

3.1 Strengthen Products Design Innovation

The design and service of the financial product in commercial bank must take the customer as the center. Commercial banks should pay attention to the market in the process of product design in order to adapt the unceasing change of customers' demand. Besides, represent investment is the core of the products' structure. The main procedure includes:

First, the combination of the present investment service can not only guarantee the customer request and maintain the existing market share, but also excavate the new potential customers.

Second, commercial banks should improve the fussy condition of the consumptive loan procedure, and develop individual mortgage loan, the negotiable securities to pawn the loan vigorously and so on. When financing, the bank may develop the new product promptly to attract the customers according to the change of the consumption appetite.

Third, commercial banks should collect comprehensive financial information, the macroscopic information and so on, establish the financial information file and disseminate each kind of information in the way of consultancy and lecture through some methods, such as cooperating with specialized information company.

Fourth, commercial banks should expand the scope and enhance the level of the agency's business. After widely development of agency business, those big banks should make a further study to satisfy the customer's desire of appreciation, in addition to those agency service developing extensively.

Fifth, commercial banks should provide the comprehensive product. According to customers' outstanding of deposits and the volume of bank business, they determine the benefit degree to customers, aiming at attracting the customers to concentrates their deposits in a bank.

3.2 Value Segmentation of Financial Market

The financial products in our country should insist on the brand marketing and the personalized and innovative route. Only do the commercial bank set up their good brand image of financial products, then they can be distinguished from other financial services, avoid low level competition for the products' homogenization and maintain their status in the competition. Therefore, the commercial banks should subdivide the market, design financial products from the view of the different customers. As a result, banks can satisfy customers more effectively and guarantee to retain customer

3.3 Emphasize Marketing Channel's Construction

The banks should raise the financial product's science and technology service level unceasingly by the establishment of the perfect information network service system, the advanced network platform and the construction of individual credit system. At present, the domestic bank still takes the outlet as the main channel of the financial services, while the VIP services of telephone banking and on-line banking develop slowly, which is a big blind spot of the construction. However, the important trend of global financial development is that banks change from the original sole channel of business outlets service into the network service. From the

long-term analysis, the physical channel of individual financial service will turn to a third-level system: the financial center, the financial room, the special financial counter from “the wealthy and powerful family room. The future direction will turn to the electronic channel positively from the physical channel along with the development and the progress of information technology and internet technology. Self-help banking, on-line banking, telephone banking and mobile banking will be more important method of VIP service, while the data of traditional branch node will decrease year by year. At the same time, commercial banks should integrate the brand's communication and dissemination comprehensively; pay great attention to the unity and the continuity. In addition, they are supposed to determine a common goal in order to make sure that each brand behavior contributes to the accumulation of brand property through the market segmentation.

3.4 Raise Consumers' Financial Consciousness

One of the biggest problems faced by current financing market is the immaturity of financial market demand. It is obvious that the individual customers are quite conservative in the financial idea, and their investment is unitary and traditional. In fact, financing is to fulfill one's ambitions during every phase of one's life through managing individual financial resources correctly. Therefore, when commercial banks carry on the innovation of financing product, it must help customers acquire the correct financing consciousness. Simultaneously, banks should use each kind of financing tool fully, design personal financial controlling plan, and help the customer to achieve various goals during the different stage of the life according to their income, expenditure and risk preference during different periods. In the long run, the bank should enhance the establishment of strong brand loyalty and the stable customers' relations, and finally realize the win-win situation through the guidance of financing product.

3.5 Introduce and Train High-quality Talents

Our commercial bank should train the financial advisors in the aspects of financial knowledge, banking and the marketing skills intensively. They should guarantee that the financial advisors own specialized knowledge perfectly, is good at the marketing, the management and the innovation and have the good idea about customers' services. In this foundation, they complete product localization, development, marketing, and appraisal.

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Effects of Multimedia Redundancy in History Learning among ‘Deep and Surface’ Students

Sii Ching Hii

School of Educational Studies, University Science Malaysia

11800 Gelugor, Penang, Malaysia

Tel: 60-1-6415-1224 E-mail: hii_sc@yahoo.com

Soon Fook Fong

School of Educational Studies, University Science Malaysia

11800 Gelugor, Penang, Malaysia

Tel: 60-1-2525-4955 E-mail: ssfong@gmail.com

Abstract

The purpose of this study was to investigate the effects of redundant information in multimedia presentation in history learning. The two modes of multimedia presentation, namely multiple-channel presentation (text + graphics, pictures + redundancy audio, video and animation) and single-channel presentation (text + graphics + pictures) on history learning among deep and surface students were examined. The sample consisted of 240 Form One students from four Malaysian secondary schools. Findings of this study showed that students interacted with the MCP mode obtained significantly higher gain score compared to students interact with the SCP mode. Irrespective of the learning approaches, students using the MCP mode outperformed students using the SCP mode. Apparently, additional redundant information that are relevant to the contents within and across the visual and aural channels provide greater reinforcement in organizing and structuring information issuing in better learning. Results of this study suggest that cognitive load in multimedia-based learning can be minimized if adequate time is provided for comprehension and the pace of learning is under learner control.

Keywords: Redundant information, Multimedia presentation, Deep approaches, Surface students, History learning

1. Introduction

The discipline of history is intended to develop students' higher-order thinking skills in order to enable them to synthesize historical events so that they will have knowledge of foresight and hindsight. In the Malaysian schools, history is made a basic and compulsory subject by the Malaysian Ministry of Education. It has been regarded by the educators as an important subject for the younger learner to apprehend the nations, political, social, religious and economic problems; all of which can only be comprehended from the historical perspective.

While history is considered an important subject to study, it has been viewed by many students as an enumeration of facts, figures, dates, and otherwise “useless” and “dull” events (Weiner, 1995). Even so, students have a very negative attitude toward history and find history instruction irrelevant and meaningless where the emphasis was on rote memorization of accepted facts and conclusions in the textbooks (Yilmaz, 2009). There are also a large number of students who have no interest in history and see no reason for studying it, apart from its place in the examination system. This is because much of the history classroom is geared to the simple transmission of information through the use of single-textbook, the lecture method and teacher controlled question and answer strategies. The teaching of history has been reduced to a recitation of trivia with heavy emphasis on factual information which has little or no application to the daily lives of most students (Russell, 2008). In other words, the study of history is concerned mainly with the actions of peoples, not living enough to comprehend many of the experiences, which become a sort of generation gap built into the subject (Weiner, 1995).

While the field of history has been slow to recognize the potential of multimedia, findings from the field of cognitive psychology indicate that multimedia is likely to enhance learning to the extent that it is interactive,

multisensory, and emphasizes the importance of making links among ideas (Winn & Snyder, 1996). Past research has shown that multimedia-based learning increased learners' achievement, allow them to become energetic and self-directed thinkers, also the ability to accommodate individual learning styles. (Hillis, 2001; Kiili, 2006; Moreno & Valdez, 2005; Smith & Woody, 2000; Wang, 2010). The infusion of multimedia-based learning technology into education has created a major impact on the instructional content development and the methods of transferring appropriate knowledge to learners.

This bring us to the challenge of using multimedia presentation in history which can be an essential means of recreating the past - how to present historical information alive, the intangible tangible, the past present, and also how we can reveal to students the excitement and relevance of historical study (Bulter & Clouse, 1994). Given the concern faced by students in learning history, this study intends to exploit the potential of multimedia-based learning to teach students with the hope that it will show promise of aiding history teachers in motivating students to develop thinking skill, and translating abstract ideas into more concrete examples in order for the students to acquire knowledge more effectively by their own preferred learning approaches.

2. Multimedia Presentation in History

Computer technology today offers the possibility of much more diverse and interesting forms of multimedia interfaces through the use of advanced display facilities. Desktop, hardware and software have become more powerful, flexible, and sophisticated in the types of presentations that they can author and deliver; there has been a proliferation of authoring packages programs that can deliver high-fidelity sound, realistic color images in stills, graphics, and full motion video (Alessi & Trollip, 2001; Allen, 2003). In this context, historians have concluded that microcomputers can make significant contributions to the teaching and learning of history. They note that computers facilitate the development and presentations of census material, historical simulations, and supplement instructional resources (Thomas, 1998). Moreover, the use of multimedia in the history classroom has more potential and challenges than in most other disciplines (Wiley & Ash, 2005). Studies by past research showed that using multimedia computer technology in learning history significantly improve students' learning performance (Hillis, 2008; Walsh, 2003; Wallace, Karpouzis, Stefanou, Maglogiannis, & Kollias, 2004; Yang, 2009).

Likewise, as an effective communication tool, multimedia program provides the user to use all their senses to explore the presentation. Sight is used to see the colorful display or animation; sound is used to hear digitized music or auditory narrative; touch is used to activate the mouse or touch screen display. In other words, the multimedia can stimulate more than one sense at a time, and in doing so, may be more attention getting and attention holding. Color slides, sound, illustrations, and moving images are intrinsically interesting. Through this mix mode of presentation techniques, the multimedia can appeal to learners who prefer to receive information by reading, those who learn best through hearing, and those who prefer hands-on environments. It appears to support the concept of computer-driven interactivity with the learner's ability to determine and control the sequence and content selection (Moore, Burton & Myers, 1996). The introduction of this technology seems to be relevant for learners with their personal characteristics.

On the other hand, historians scholar has found that only 7 percent of successful communication between teachers and students come from the spoken word, but 55 percent came from visual element (Easley, 1998). This is especially valuable for history learning since the nature of the subject and the type of materials used to convey ideas and information are very visual. In additions, the computer can play a vital role because it has the capacity to both motivate learners and focus their attention more effectively on the task on hand, which are best suited to their abilities, needs, and interest (Grimley, 2007).

Given the power of multimedia, it is extremely important that the educators who use it for teaching start from a solid, thorough understanding of the human learning process (Clark & Mayer, 2008). The researcher suggests that cognitive theory requires design procedures that create learning environments in which learning strategies are not entirely predetermined, but which requires that the environments be highly adaptive to student actions. Recent technologies that permit the development of virtual environments offer the best possibility for realizing this kind of learning environment. Given this promise, this study asserts that the students' learning gain in history should be more successfully met when using a multiple-channel presentation to facilitate cognitive processes grounded on Mayer's (2001) Cognitive Theory of Multimedia Learning and Sweller's Cognitive Load Theory (2003, 2005) among students with different learning approaches.

Mayer's Cognitive Theory of Multimedia Learning (2001) ascertain that learners are much more likely to learn effectively if information is presented both verbally and visually simultaneously. On the other hand, the necessity of adapting instructional to the constraints of the learner's cognitive system has been the main concern

of Cognitive Load Theory (CTL). In order to stimulate effective learning, efficient instructional designs should be able to reduce extraneous cognitive load and at the same time increase germane cognitive load (Sweller, 2003, 2005).

However, recent studies by Schnotz and Kiirschner (2007) proposed a new perspective on CLT by suggesting that reduction of cognitive load is not always helpful for learning; learning could be improved by an increase of germane load by integrating multiple sources of information in order to create an adequate alignment of learner expertise and learning task difficulty. Whereas germane cognitive load would occur when specific cognitive activities are performed *in addition* to the ordinary performance of a learning task and which aim at the further improvement of learning (Schnotz & Kiirschner, 2007). Whether the instructional materials impose extraneous cognitive load or germane cognitive load is not only affected by instructional design but is mediated by the learners' learning activities, which in turn depend on the motivational aspects - personal goals and interests of the learner (Gerjets & Scheiter, 2003).

Whereas recent studies by Seufert, Schiitze and Brunken (2009) indicating that multiple information could be comprehend by highly capacity learners who are more capable to retrieving, storing and processing all the information at the same time in their working memory. Whether the requirements of learning with multiple learning materials could enhance learning depend on learner's memory strategy skills and working memory capacity. For learning to occur, learners must actively engage in processes that impose a germane cognitive load which is facilitated by the instructional design (Van Gog, 2009). These findings support the additive effect of multiple-channel presentations. It is assumed that the combinations of redundant channels of information will encourage learners to engage in active learning by mentally representing the materials in words and in pictures and by mentally making connections between the pictorial and verbal representations. Both visual and auditory stimuli impact learner attention and this will eventually result in increased learning and retention.

Thus, the central issue in this study is to find out whether the multiple-channel presentation provided by multimedia courseware facilitates the learning of history by the students. It would focus on the level of interactivity, hypermedia environment and the control capability for the individual student to go through the multimedia-based lessons which are best suited to his preference and ability. By incorporating the multimedia technology through its variety of tools which provide rich information with the possibilities for individualized instruction and the interactive component, history topics will come alive for students, offering new light to boring facts with photographs, video, film, primary source documents, maps and music, making learning an active process and thus enhancing and facilitating their learning in history.

3. Research Hypothesis

The following three hypotheses were designed and tested.

H₁ In a multimedia environment, students using the multiple-channel presentation mode (MCP) will obtain significantly higher gain score than students using the single-channel presentation mode (SCP).

H₂ Deep approach students will obtain significantly higher gain score than surface approach students when exposed to the two modes of presentation.

H₃ There will be an interaction effect between the presentation modes and the learning approaches of the students on the gain score.

4. Methodology

4.1 Participants

The subjects for this study consisted of 240 Form One students from four Malaysian schools. They range in age from 13 – 14 years old. For each school, two intact classes were chosen. The students involved had not been exposed to the topic entitled "*The Emergence of Nationalism*", this topic was part of the requirements of the Form Two History syllabus. The subjects were randomly assigned into any one of the two instructional modes. Two different levels of presentation were given to two different treatment groups. Group 1 would learn the lesson with the MCP mode, group 2 would learn the lesson with the SCP mode.

4.2 Materials

Two versions of the multimedia courseware were developed by the researcher using the authoring tool Adobe Authorware 7 version. The two versions were MCP and SCP. These two modes had the same content, which was the meaning of Nationalism, internal and external factors which influenced the emergence of Nationalism. MCP involves simultaneous mode of multimedia presentations include text, graphics and still images with redundant video, sound and animation (text + graphics + pictures + redundant video, audio and animation). It provides the

concept of computer-driven interactivity with the learner's ability to determine and control the sequence and concept selection. Whereas the SCP to a page-turner mode of presentation that is mainly text-based, static graphic and pictures (text + static graphic + pictures), without any redundant channel of presentation. Both the multimedia presentation setting was designed with learner control.

In accordance with the previous research on cognitive load theory which assumed that instructional messages should be designed in ways that minimize the chances of overloading the learner's cognitive system (Sweller, 2003, 2005), the multimedia courseware in this study adopted the pacing principle of multimedia design which assume that learners learning gain would increase by breaking a lesson into manageable segments (Clark & Mayer, 2008); the multimedia-based lesson in this study were designed by establishing and mapping the relationship between the various parts of the content, outlined the content and sequencing the lesson. Students only had to deal with one paragraph text and one picture in each screen with additional redundancy information (audio, video and animation) in hypertext capability. Students were allowed to control the pace of presentation by clicking the 'continue' button to move to successive segments. Moreover, students are able to navigate the flow of the information by choosing whether to access the information with additional cues in audio, video or animation by clicking on the hypertext, students can even skip the additional information by clicking on the 'Exit' button. In this way, students have the options to study the materials over their own preferred presentation mode and are able to process the first segment of the presentation before moving to the next segment without overloading their cognitive system. The interface design was standardize as much as possible to make it consistent.

4.3 Design

The study followed a 2×2 factorial quasi-experimental design. The factors of the design are two modes of presentation (multiple-channel presentation and single-channel presentation). The independent variables in this study were the modes of presentation. The moderate variables were the students' learning approaches, which included the deep approach and surface approach. The dependent variables for this study were the gain score of the students. Students' gain score referred to the posttest score minus the pretest score. This research attempts to examine the relationships among instructional method (two modes of presentation), type of outcome (cognitive), and learning approaches (deep and surface).

4.4 Steps taken to minimize threats to internal and external validity

The following steps were taken to minimize threats to internal and external validity of the research design;

- (i) To minimize threat to internal validity due to maturation or history of the subjects, the experimental study was carried out for a brief period of two weeks.
- (ii) To minimize the "test-wise" effect, the pretest questions were rearranged and the posttest given two weeks later so that the students might not remember the questions given in the pretest.
- (iii) The four schools were chosen carefully to ensure similarity in terms of age, sex, scholastic aptitude, racial composition, achievement and socio-economic status of the pupils.
- (iv) To minimize the Hawthorne effects, the students were assigned randomly to one of the treatment groups just before the event. After a student was assigned to the group, the student was not allowed to interact with students from the other group.
- (v) To minimize the experimenter effect, the study was conducted by teacher assistants with detailed descriptions of procedures and explicit directions.

4.5 Procedure

Two instructors administered the treatment. Both of them received instructions from the researcher on the experimental procedures prior to data collection. Two weeks before the instructional treatment, all 240 students were given the Cattell "Culture fair" Intelligent Test (to determine the intelligent level of the students), the Learning Process Questionnaire (LPQ) (to determine the learning approaches-deep or surface) and pretest in their respective classes. Before the subjects arrived to participate in the computer-based learning, the researcher prepared the computer laboratory by installing one of the two lessons into each computer. Upon arrival at the computer laboratory, each student was randomly assigned to one of the two experimental conditions. The first fifteen minutes were used for keyboard skills. During this time, the students learned to move and click the mouse, and learned to proceed with the multimedia lessons. They were given 90 minutes to complete the lesson. Immediately after interacting with the treatments, students were given the posttest.

5. Result

An analysis of the main effects and interaction effects were performed. Results of the analysis were then discussed with the corresponding hypotheses in this study. The probability level of 0.05 was used to test statistical significance. An ANOVA was carried out on the Cattell “culture fair” Intelligent test score to determine homogeneity of the two groups of student. There was no significant difference in ability; $F(1, 238) = 2.834$, $p = 0.094$, $MSe = 42.648$. Thus, it was found that the two treatment groups were homogenous in term of ability.

5.1 Main Effects

In the MCP, the deep approach students obtained higher gain scores (mean gain score = 4.47) compared to the surface approaches students (mean gain score = 4.08). In the SCP, students with deep approach learning obtained higher gain scores (mean gain score = 3.51). Thus, it was found that the deep approaches students benefited more from both the presentation modes. Students with deep approach of learning obtained a higher mean gain score (4.03) in both the treatment compared to students with surface approach of learning (3.73). There were significant differences between students who exhibited different learning approaches obtained different gain score when exposed to the two modes of presentation (Table 1).

Students who received the MCP mode obtained significant higher gain score compared to students who received the SCP mode. The ANOVA analysis (Table 2) revealed significant differences in learning gain between the modes, $F(1,236) = 35.206$, $p < 0.05$, $MSe = 35.206$.

5.2 Interaction Effects

No significant interaction effects of learning gain were found between the presentation mode and the learning approaches of the students as shown in Table 3, $F(1,236) = 0.154$, $p = 0.695$, $MSe = 1.220$. Although the interaction effects between presentation mode and learning approaches were not significant, this study found that more learning was facilitated when the multimedia presentation were presented in the MCP mode.

6. Discussion

6.1 MCP Effects and Learning

The results of this study were supportive of the positive value of the MCP effect. It was found that the redundancy information (video, audio and animation) in MCP did result in a better learning performance compared to the non-redundancy information in SCP. This result differs significantly from prior research on multimedia learning and cognitive load which implies that less material can result in better learning. This finding can be explained in three possible ways.

The first explanation could be derived from Mayer’s (2001) Cognitive Theory of Multimedia learning indicating that visually presented information is processed in the visual working memory whereas aurally presented information is processed in auditory working memory. Learning increased when learners make sense of the presented material by attending to the relevant information, mentally reorganizing it and integrating it with what they already know. The result of this study support the prediction that additional redundant information within and across the visual and aural channels provide greater reinforcement in organizing and structuring information.

Secondly, the MCP mode of treatment in this study provided the learners with the maximum amount of usable cues. These additional cues (audio, video and animation) in the MCP mode seemingly enhanced learning from the on-screen text and images. The provision of these cues helped learners achieve deeper understanding of the learning materials. Studies by Sanchez and Gracio (2008) support the assumption that providing aids as usable cues in computer-based learning environments help learners executing their learning processes and overcoming cognitive constraints. Furthermore, recent studies by Guan (2009) indicating that the presence of redundant information alone did not impair learning, the additional information presented in both audio and visual forms with on-screen text did not interfere with each other but was harmonized or even reinforced. These findings supported the assumption of this study that redundant information in the MCP mode corresponds with equally more learning, as long as the information presented is consistent and relevant to the subject area.

Finally, recent studies by Clark and Mayer (2008) explained the psychological reasons for exceptions to redundancy principle that presenting concurrent narration or animation, on-screen text and static graphics under learner control is less likely to cause cognitive overload in the visual channel because learner has time to process all of the incoming information. Students in this study especially in the MCP mode spent more than 90 minutes studying the instructional materials. When more time is available, students can reread text portions, listen to a piece of text as many times as they wishes or review animations without the danger of missing important

information and at the same time they were able to comprehend and understand the instruction materials thoroughly. This finding is consistent with the studies by Tabbers, Martens and Van Merriënnoer (2004) which stated that extraneous cognitive load caused by redundancy effect in short learning tasks may lose its influence as more time-related factors become dominant in the learning process. Stiller, Freitag, Zinnbauer and Freitag (2009) indicating that learner pacing in multimedia instructions reduce mental effort and enhance learning. These researches supported the finding of this study that increased the level of interactivity and control capability for the student to go through the MCP modes of presentation by their own pace increased their learning gain. MCP instruction is more effective when the learner can set the pace; pictures, text, audio, video and animation can be perceived simultaneously, resulting in a decrease extraneous load.

Hence, students' learning gain was fostered from a history lesson when textual, pictures and graphics explanations were presented with redundant video, audio and animation than the same information presented from a single channel only without any redundant video, audio and animation. Instead of increasing cognitive load due to redundant information, presenting information with redundant information is able to improve information processing and hence facilitate better learning.

6.2 MCP Effects for Deep versus Surface Approach Learners

The result of this study found significant differences in learning gains between deep and surface approach learners in both the multiple-channel and single-channel mode of presentations. Overall, the deep approach learners obtained a higher gain score than the surface approach learners irrespective of the treatment groups. There were several possible explanations to this finding. Firstly, the MCP effect was stronger for deep approach learners but weaker for surface approach learners. This could be interpreted within the context of the motive and strategy approaches to learning by John Biggs (1987). A deep approach refers to those occasions when students start with the intention of understanding the meaning of the learning task. A student adopting the deep approach is intrinsically motivated and prefers to use strategies to maximize understanding. Whereas students using the surface approach is extrinsically motivated and is inclined to study mechanically rather than to study for understanding.

It was possible that in this study, deep approach learners with the intention of understanding the learning task would focus their attention on the content as a whole, try to see the connections between different parts and thinking about the structure as a whole. Deep approach learners will more likely adopt a higher germane load than learners who adopt a surface approach of learning (Marton & Saljo, 1984). In doing so, MCP treatment facilitate their natural learning strategies of seeing, hearing and doing, through the variety of tools which provide rich information: written text, graphics, still images, sound, and video. Utilization of a variety of presentation formats enhance learning when learners actively engage in processes that impose a germane load, which is facilitated by the MCP. Thus, deep approach learners merited and benefited more from both the treatments.

Secondly, given that cognitive resources in the working memory were limited, deep approach learners were more able to allocate sufficient cognitive resources to build referential connections than surface approach learners. MCP was suggested to optimize the information-processing rate of deep approach learners. However, it was found that students with neither surface approach nor deep approach of learning utilizing the MCP generally showed more sophisticated understanding of the topic than students using the SCP. Deep approach learners who received the MCP treatment obtained higher gain score than deep approach learners who received the SCP treatment. Furthermore, the surface approach learners who received the MCP treatment outperformed the surface approach learners who received the SCP treatment. This indicated that MCP is more successful in assisting the students to learn effectively compared to SCP.

This result supported the prediction of this study that MCP were cause learners to expand and find more about into the subject area thus creating a lasting interest in history. It was possible that the MCP mode of treatment in this study fulfilled the concept of computer-driven interactivity and the control capability for the individual student to go through the courseware which was best suited to their learning approach and abilities. Therefore, multimedia-based learning (MCP) instruction had practical value in today's history classroom, students in both deep and surface approach in the MCP treatments benefited from its use.

7. Conclusion

This study aimed to investigate the effects of the two modes of multimedia presentation among students with different learning approaches. The result of this study showed the positive effects of MCP mode of presentation among deep and surface approaches learners. However, deep approach learners showed significantly higher achievement and motivational scores than surface approach learners.

This indicated that MCP could be an effective way to facilitate history learning among the deep and surface approach learners. The use of MCP with appropriate audio-visual presented redundantly appears to be an effective way to guide students to focus on the important facts in history, the students are provided with a rich opportunity to work interactively with both visual and verbal representations of complicated historical facts and to see the relationships between the various parts. This mode of presentation with a repertoire of video, sound, animation and text was able to reenact the actual scenario of independence in the Malaysian history which would otherwise be quite difficult to capture using textbook. However, future research is required to investigate the effect of multimedia-based learning in catering the needs of learners of different psychological aptitudes and examine more precisely how learners process redundant and non-redundant information at the same time.

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Table 1. Means and Standard Deviations of the Gain Score in relation to Students' Learning Approaches

Presentation modes	Mean	Std. Deviation	Cases
Multiple-Channel Presentation	4.34	2.94	125
Deep approach	4.47	2.84	85
Surface approach	4.08	3.16	40
Single-Channel Presentation	3.48	2.6	115
Deep approach	3.51	2.62	72
Surface approach	3.42	2.78	43
For entire Population	3.93	2.84	240
Deep approach	4.03	2.77	157
Surface approach	3.73	2.97	83

Table 2. ANOVA Summaries for Gain Score (Posttest– Pretttest), by modes and Students' Learning approaches

Source of Variation	Sum of Squares	DF	Mean Square	F	Sig. of F
Main Effects	49.393	3	16.464	2.073	0.104
Mode	35.206	1	35.206	4.433	0.036*
Learning Approach	3.260	1	3.260	0.410	0.522
2 way Interactions	1.220	1	1.220	0.154	0.695
Mode Learning Approach	1.220	1	1.220	0.154	0.695
Explained	49.393	3	16.464	2.073	0.104
Residual	1874.403	236	7.942		
Total	1923.796	239			

240 cases were processed

P < 0.05

A Tentative Research on Education of Sense of Identity of Citizenship in Singapore

Yongli Liu

School of Mathematical Sciences, Qufu Normal University
No. 57, Jingxuan West Road, Qufu 273165, Shangdong, China
E-mail: billy52@126.com

Wanmin Wang

College of Education Science, Qufu Normal University
No. 57, Jingxuan West Road, Qufu 273165, Shangdong, China
E-mail: qufuwmm2003@tom.com

Abstract

Sense of identity among citizens is an issue that is generally concerned and tried to resolve by all countries all over the world nowadays. A general view of the development history of Singapore, it is discovered that economic boom and harmony of the society in Singapore benefits from cultivation of the sense of identity of citizenship. The reform and opening up of China for almost thirty years has brought tremendous social changes, and simultaneously has led to crisis in identity of citizenship. Successful practices and experiences in Singapore to intensify the core of “awareness of the nation” and conduct education of sense of identity among citizens have important guidance value and reference significance to establishment of a harmonious society in China.

Keywords: Singapore, Identity of citizenship, Education

Singapore is reputed as “one of the most mannered cities in the world” and “a model of East Asian modern civilization” owing to its social progress and high civilization, with terms of “Asian Four Dragons” and “Asian Monaco”. However, at the beginning of its founding, Singapore was an island country lacking in resources and unrest in politics. The reason why Singapore could arise in Southeast Asia and become a “commercial Bliss country” with stable politics and developed economy just “as a phoenix that could rise from the ashes” is that, Singapore has conducted education of sense of identity among citizens without a break and with great efforts in the process of modernization, which has finally enabled people from different races to recognize Singapore in their mind and struggle for prosperity of Singapore. For the time being, China is at a stage of establishing a harmonious society, so research and reference of the successful experiences of education of sense of identity in Singapore will have an important guidance effect upon establishment of the harmonious socialism society.

1. Historical background of education of sense of identity among citizens in Singapore

1.1 Singapore is a nation which suffered from a long history of rule by colonists

In August 1965, Singapore declared the founding of the Republic. Earlier, Singapore was descended to the British colony for more than one hundred years, and was for a while forcibly occupied by Japan in the 40s of the Twentieth Century. Different Suzerain States brought to Singapore different social systems, cultures, styles of life and concepts of value. This unfortunate history caused chaos of identity of the citizens in the nation and the government.

1.2 Singapore is a typical nation of immigrants

In the beginning, there are a majority of aboriginals among Singaporean citizens, and most of the people are immigrants and their descendants who have immigrated from Asia and Europe, etc, in the recent one hundred years. In the lengthy historical progress, these immigrants and their descendants have made positive contributions to exploiting, constructing and developing Singapore. However, they have had close cultural origins in the country of residence and embraced strong emotion towards it, whereas Singapore is no more than “a strange foreign country” to them. Hence, at the beginning of the founding of Singapore, “it was really difficult

to generate a sense of identity between the people and the land and between the people and the government, lacking a strong patriotism enthusiasm.”

1.3 Singapore is a typical diversified society

The global immigration led to the social situation in which Singaporean diversified races and diversified values co-existed. Diversified races have brought about diversified religious believes. Singapore is one of the countries in the world that have the most complicated religious and linguistic structure. This sort of diversified social structure is more likely to cause racial prejudice and religious confrontation.

It is just based on this historical background and social reality that Singapore was dedicated to education of the sense of identity among citizens for a long time after its founding and concentrated on cultivation of the awareness of the nation in its citizens.

2. Major measures taken by Singapore to conduct education of sense of identity among citizens

2.1 Inculcation of the awareness that “I am a Singaporean”

According to Singaporean Government, under such a historical background with diversification of ethnic groups, religions and concepts of value, the first thing to do is to cultivate the sense of belonging and sense of identity among its citizens, enabling them to transfer from the sense that “I am a Chinese (or Malayan or Indian) in the terms of form and psychology to the sense that “I am a Singaporean”, and to recognize the newly born country. Thus, after the founding of the country, the government has all along inculcated the awareness that “I am a Singaporean” by means that can be accepted by all nationalities.

What is “Singaporean”? According to Lee Kuan Yew, “Singaporean is one who is born, grows or resides in Singapore and who is willing to maintain the multi-racial, magnanimous, accommodating and forward-looking society, prepared at all times to be dedicate themselves to it”. Specifically speaking, “a Singaporean” should have the following quality: awareness of the nation, correct values, ideal moral integrity, ability to distinguish right from wrong and to resist western decadent ideological trends and rotten spiritual life. To inculcate the awareness that “I am a Singaporean” is to ultimately enable people to recognize in their mind that Singapore is the nation which they themselves depend on.

2.2 Creation of the characteristic “Singaporean culture”

In the modernization process of “high speed trains”, Singapore is faced up with confrontation between eastern culture and western culture. Young people attach too much importance to material life and personalism, and are lacking in the spirit to get ready to help others for a just cause, regardless of interests of the society and the nation. In face of such a social status quo, the government appeals to the whole society to bear in mind the Asian attribute of Singaporean culture at the time of learning western science and technology. That is to say, “modernization should not be at the cost of losing oneself and modernization is not equal to westernization”. Although the major ethnic groups in Singapore have age-old and brilliant historical culture, a leading social culture has not been generated. Therefore, when the Singaporean Government respects culture of all ethnic groups, it also proposes creation of a characteristic “Singaporean culture”.

The central content of “Singaporean culture” is to endow explanation of modernization and localization with the “Eight Virtues” in Confucianism, namely, “loyalty, filial piety, kindheartedness, love, propriety, justice, honesty and honour”. This culture combines the ethnical concept of Confucianism, tradition of Malay and the ethos of Indian together with the “scientific survey method of western people to dive to the bottom and the inference method of objectively seeking for truth”. Thus, it is a cultural value system which not only be recognized and accepted by eastern countries and all ethnic groups, but can also play a role in resisting western rotten culture and values.

2.3 Reinforcement of education on “awareness of the nation”

In 1981, Lee Kuan Yew put forward the slogan of “one nation, one country and one Singapore”, and encouraged his citizens not to be restricted by a certain race or religion, but to struggle together for a common country. In October 1988, the Prime Minister Goh Chok Tong formally put forward the recommendation of developing “awareness of the country”, and termed it as “a common view of value appraised and lived on by Singaporeans of all races and religions”. In view of this, Singapore proposed a presupposition to set up a “common view of value” that could represent common interests of different races, religions and groups and could be identified by people of all races and religions. “These rules, views of value and doctrines could mould complete Singaporeans in the future”. In January 1991, Singaporean Government formally released “White book for Common View of Value”, and summarized the common view of value as the situation of “nation before community and society

above self, family as the basic unit of society, regard and community support for the individual, consensus instead of contention, racial and religious harmony.” “Common view of value” contains the awareness of belonging, awareness of the interest of the country first and awareness of “group”, namely, collective spirit, and its core is to cultivate and strengthen “awareness of the country” and to educate citizens, especially young people, to put interests of the country and the society before individual interest, with the ideal of establishing a harmonious society. It has been proven by history that, “common view of value” has provided vigorous spiritual support for economic boom and wealth and power of the nation in Singapore.

3. Primary approaches to education of sense of identity among citizens in Singapore

3.1 Establishment of “Committee of Awareness of Nation” to positively create a social atmosphere of cultivating sense of identity among Singaporean citizens

Singapore attaches great importance to creating a state of mind of “Singaporean” recognized by all citizens. Since the end of 1970s, Singaporean Government has conducted extensively all over the country education on “awareness of the country” in all sorts of forms.

The government set up the “Committee of Awareness of Nation” to cultivate the “awareness of the nation” among its citizens. Since 1988, all citizens, no exception to old and young people, have started to participate in the activity of “Week of Awareness of the Nation” each year. At the ceremony of raising the national flag, all citizens have to take a collective oath, “We are Singaporean citizens, with no distinction of race, language and religion, united as one, and we should make efforts together in order to establish a fair and equal domestic society and realize the happiness, prosperity and progress of the country”. Through this, the government intensifies the sense of identity and sense of belonging in Singapore among its citizens.

3.2 Emphasis on moral education in schools to cultivate the sense of identity in Singapore among students

According to the Government of Singapore, one of the most approaches to overcome the state of mind of immigration, diverse races and diverse religions is to conduct education in schools that “I am a Singaporean”, and enable students to establish a sense of identity, sense of belonging and sense of responsibility in the nation at an early age. Therefore, Singaporean Government attaches great importance to this primary channel of moral education in schools and puts great focus on moral education from the nursery school stage of a citizen until his/her university period.

In the second year after independence of Singapore, the government issued the general outline about moral education in schools and training of citizens, and exercised civic education, with a focus on cultivating the “awareness of the nation” among students. That is to say, to teach students to recognize the country and its interests, defend interest of the country and strengthen their social responsibility to be a qualified citizen. Since the 70s in the Twentieth Century, although design of courses of moral education and names of these courses have undergone reform and changes for several times, the moral education has always been emphasizing significance and necessity of cultivating students’ “awareness of the nation”. Since the year 1980, Singapore has made an overall reflection upon moral education in schools and worked out for the second time the plan of moral education in schools, especially concentrating on inculcation of the ethical values of Confucianism to students, with the same purpose of cultivating students’ “awareness of the nation”, correct view of value, the ability to distinguish right from wrong and resist influences of western decadent ideas. After 1990s, Singapore again made a new adjustment to design of moral education in primary and junior schools based on the centre of “common view of value”, with a focus on cultivating students’ awareness of the nation, awareness of citizenship, awareness of cooperation and awareness of tolerance, and a focus on education of public virtue and family virtues, etc.

3.3 To bring into play the role of a family and a community and to cultivate the belief in “home” of a citizen

It comes to the Singaporean government that, in order to overcome the state of mind of immigration among citizens, and make them really take Singapore as their own “home”, reduce their feeling of inquilinism and strengthen their sense of belonging, the best to do is to provide them with a “nest” of their own, because “those with immovable properties are persistent, and living in peace to work in contentment”. Hence, Singaporean government has started up the “Home Ownership Scheme” which has already been implemented for thirty years in order to resolve the housing issue for its ordinary people. At the same time, the government also focus on measures of legislation and directing of policies to maintain integrity of a family. Lee Kuan Yew also emphasized, “in the process of modernization, ... We can, by no means, let families separated which have three generations under one roof,” and “if we can keep this family system of such a family structure, then our society will be a more happy and beautiful society.” Hence, harmony of a family is the basic view of value for Singapore

to maintain its social subsistence and development.

In addition, Singaporean Government also cultivates the sense of belonging of citizens in the community by means of strengthening community construction and finally achieves the target of cultivating their sense of identity in the country. Since the beginning of 1977, Singaporean Government has popularized and set up residential committees at non-mature estates which are regarded as the battle field for cultivation of the sense of identity among citizens. "In the 1980s, there was not any other community organization than residential committee which played a more important role... A residential committee could gather together formerly strange neighbours to communicate feelings, which would promote the spirit of good-neighbourliness." A residential committee is not purely a convenience-for-people institution, but an approach to breed and cultivate a community spirit so as to eliminate alienation brought about by social industrialization between human beings.

3.4 To respect religious belief of citizens and to carry out the policy of harmonious co-existence of all races and religions

Religion is one of the primary sources for Singaporean value concepts and social responsibility. "In Singapore, religion plays a positive role and a religious group has always been making great contributions to the country. Singaporeans acquire spiritual strength and moral guidance from their religious belief". It is just because of this that the government especially respects the religious belief of its citizens, carries out enlightened, equal, neutral and loose policies towards a religious group, encourages each minority to maintain and manifest their own culture and religion, and largely supports and guides the religious group and religious people to take positive participation in charity, education and social service. Harmony of races and religions is the base for subsistence of Singapore. The government carries out the policy of "harmony of races and tolerance of religions", and emphasizes cross-bench mind to all nationalities and that all are equal before opportunities of education and employment, etc. The government advocates protection of interests of the ethnic minorities. For the time being, sanguinary conflict incidents and wars are common occurrence caused by disputes and contradictions between diverse ethnic groups and religions in many countries and regions in the world. However, since its independence in 1965, there almost has not had any religious conflict in Singapore and all religious organizations and groups have shown mutual respect and got together in harmony.

4. Enlightenment of education of the sense of identity of citizenship in Singapore

4.1 Cultural identity is the foundation for education of the sense of identity of citizenship.

In the contemporary world, culture more and more becomes a primary source for national cohesion and creation, and more and more becomes an important factor for competition in overall national strength. Experiences in Singapore prove that, the national character of culture is the root and pulse for cultural identity, whereas cultural identity is the foundation for education of the sense of identity among citizens. Currently, China is in a process of social transition and rapid economic development, and is likewise faced up with collision and conflict of eastern and western culture. Thus, for China, cultural identity also has significant strategic meaning.

4.2 The "awareness of the nation" is the core of education of the sense of identity of citizenship.

At present, all countries in the world regard inculcation of "the awareness of the country" as the spiritual basis for education of patriotism. In order to cultivate the "awareness of the country" among its citizen, on one hand, Singaporean Government seeks for a point of combination of interests of the country and individuals, and on the other hand, integrates the "awareness of the country" into daily life of the citizens. Singapore is used to reaffirming the foundation to build the country, "awareness of the country" in important festivals, such as National Day, New Year's Day and the Spring Festival, etc. "Society overtopping individuals" is one of the basic value decrees for Singapore to maintain its national subsistence and development. The above practices and experiences tell us that, cultivation of the "awareness of the country", maintenance of unification and solidarity of all races and protection of the national interests is all along the focus for education of patriotism. Development of the economic society requires for vigorous reinforcement of the education of "awareness of the country" and the concept of "the country overtopping everything" should also become the common view of value for Chinese people.

4.3 Moral education in schools is the primary channel to conduct education of the sense of identity of citizenship.

At all times and in all over the world, any ethnic group and country regards moral education in schools as the primary channel for education of the sense of identity among its citizens. Singapore has eventually evolved from a country with a combination of diverse races and diverse cultures to one prosperous and harmonious "ethnic group, country and Singapore". Moral education in schools has played a historical active role. "After its

independence, the awareness of the country among Singaporeans has been established initially.” It has been proved by history that, moral education in schools in Singapore is highly effective. However, a general view at the status quo of moral education in schools in China, it is indicated through education in the recent several decades that, China makes too much of exam-oriented education, which makes moral education in schools descend to inculcation of forms and emptiness and difficult to assume the historical responsibility for cultivating identity of the nation and the country among young people. Experiences of Singapore tell us that, cultivation of the awareness of the identity of the nation and the country among citizens has to start with youngsters.

4.4 Family and community are the base for education of the sense of identity of citizenship

“A family is the core of the society”, which is taken by Singapore as one of the basic value decrees to maintain social subsistence and development. The government maintains integrity of a family by several means, such as legislation and policy orientation, etc. For example, in the aspect of housing distribution, the government gives preference of price to families of three generations under one roof and prioritizes housing to them. In the aspect of taxation, houses handed down from parents can be conditionally remitted of estate duty, etc. It is via the approach of family that Singapore enables values of traditional culture to be handed down from parents to the next generation without any conscious influence and carried forward. Of course, construction of the community is also an important channel for Singapore to keep its social stability and enhance its social cohesion. Quite a large number of facts have proven that, family education and community construction in Singapore not only strengthens the sense of belonging of residents in the family and community, but also improves the reliability of citizens in the government and identity of the country.

4.5 Issues related to the welfare and well-being of the people is the social guarantee for education of the sense of identity of citizenship.

In the process of rapid economic development, Singapore has worked out and carried out a series of policies and measures to care about and resolve issues of the people’s livelihood. For instance, all the following practices have played a guarantee role in cultivating and strengthening citizens’ identity of the country: smoothing the channel for the will of the people to appeal, maintaining the harmonious relationship between young people and senior citizens, establishing a kind relationship between those successful and unsuccessful, and positive implementation of many plans, such as, “home ownership scheme”, renovation of old housing estates, possession of stocks, public accumulation funds and Medisave by all citizens.

To sum up, the issue of identity under a globalization circumstance is a general concern of the current society and an important subject which the whole world puts forth efforts to resolve. Singapore is established into a globally recognized harmonious society through education of the sense of identity among its citizens with the core of “awareness of the country”. It has been proven by facts that, the sense of identity among citizens has the effect of consolidating power, converging emotion and promoting development of the society. The reform and opening up in China for almost 30 years has not only brought tremendous changes to the entire society, but has also led to crisis of the citizens in identity of the government and the society. Especially, in the process of urbanization construction, quite a huge number of “urban immigrants” have appeared, and their situation and state of mind is quite similar to that of immigrants at the beginning of the founding of Singapore. According to the theory by the American scholar Francis Fukuyama, when people set up for their life, their thirst to “acquire recognition” will be extremely strong. A lot of conflicts in history were not for “existence”, but for “acquisition of recognition”. Therefore, it is a social issue for China to take into consideration in the process of establishing a harmonious society to improve citizens’ identity of a country and immigrants’ identity of a city.

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Study on Education and Management of University Students in the New Period

Zhanjun Ma

Dezhou University

Dezhou 253000, Shandong, China

E-mail: dzwxbs@163.com

Abstract

At present, there exist a lot of unsatisfactory aspects in education and management of university students. Education and management of university students have to carry out the scientific outlook on development of people oriented so as to cultivate qualified constructors and reliable successors, which is the core, continually strengthen institutional establishment, improve quality of the teams, practically change the style of work, enhance the level of management, cultivate talents with high quality, promote rapid, healthy and coordinated development of universities and colleges, which all can offer guarantee of talents and intelligence for building a well-off society in all all-around way and facilitating establishment of socialist modernization.

Keywords: Students, Education and management, Work

In recent years, with vigorous development of education, education in universities and colleges has realized a historic leap, with continuous expansion of the scale of running a school, continuous deepening of teaching reform and flexible and diverse talent training mode, which increases difficulty in education and management of university students. The overall characteristics of contemporary university students have taken deep changes. For instance, their independence, selectivity, diversity and difference become more and more reinforced, and, to different degrees, some university students are obscure in their belief of ideals, weak in the consciousness of honesty, and lacking in social responsibility, the spirit of hard working and plain living and the concept of solidarity and cooperation, so new subjects have been proposed for education and management of university student. With continuous improvement of the national legal establishment, independence and legal consciousness of young students become more and more strengthened, and new challenges will have to be faced up with for education and management of university students. Traditional education concept arranges content of education starting from the demand on human nature of being genuine, good and aesthetic, as a result of which the lopsided development of personality is caused. However, the people-oriented scientific outlook on development focuses on the coordinated and healthy development of the three aspects of human itself, that is, knowledge, emotion and awareness and concentrates on the overall development of university students' independence, harmony and creativity. Therefore, previous management ideas, management modes and management methods have not been adaptive to changes of the situation and requirements of development. In the new situation, the outlook on development in higher education which regards people orientation as a harmonious society practically strengthen education and management of university students, promotes healthy growth of university students and cultivates a batch of qualified and high quality professional talents, which is the objective requirement of development of the era, is urgent demand for teaching in conformity with law and to promote overall, coordinated and sustainable development of higher education and is also the urgent need to realize the cultivation target of education in a new period.

1. To come to full realization of the importance and urgency of strengthening education and management of university students

1.1 Reinforcement of education and management of university students is the fundamental requirement to carry out the guidelines of CPC for education and practice the education spirit of CCP

The fundamental issue of education is what kind of people to cultivate and how to cultivate people. Hu Jintao has emphasized, "What kind of people to cultivate and how to cultivate people is a fundamental issue we have to resolve in an appropriate way in development of socialist education." Without doubt, with several years' efforts, universities are definite in the issue of direction of "what kind of people to cultivate", but much has been left to be desired in the issue of "how to cultivate people" although they have made great efforts and done a lot of work.

Further research and discussion is required in terms of thinking, approaches, methods and measures of guarantee, etc. The CCP has clearly mentioned, the primary task to reinforce the ideological and political education of university students is ideals and beliefs education, patriotism education, civic virtues education and quality-oriented education. However, as a result of inadequate education and management of university students, students in some universities do not cherish their lives, with weak legal consciousness, fragile psychological quality and insufficient social responsibility, which leads to security accidents, unstable factors and great social response. Although such cases are just a few, hyper vigilance has to be aroused. Value of life, legal constraint, psychological endurance and social responsibility are all baseline requirements of the society on university students. If they can not establish these basic ideological aspects, then they are unlikely to step into the society, participate in social competition and establish a harmonious interpersonal relationship. Hence, if the issue of “how to cultivate people” can not be resolved, then the issue of “what kind of people to cultivate” will also have to come to nothing. That is, if the basic issue of education and management can not be resolved, then it can not be guaranteed to realize the target to cultivate qualified professional persons and citizens who observe disciplines and obey laws and cultivate socialism constructors and successors. Therefore, universities have to commence from the overall height of carrying out the educational strategy of CCP and start with a socialism with Chinese characteristics of “education oriented and moral education first”. In such a way, the society can fully recognize the extreme importance and urgent demand of strengthening education and management of current university students.

1.2 Reinforcement of education and management of university students is an important task to make students happy, their parents rest assured, let the society approve and a large majority of people gradually show satisfaction with higher education.

Education involves thousands of households, the people’s livelihood and popular feelings, the social stability, the future of the nation and the rise and decline of the nation. Therefore, both the CCP and the nation has repeatedly emphasized on offering education all the people are satisfied with. Thousands of families deliver the heavy expect of “holding high hopes for their children” to the schools and the whole society places certain hope on education. At the current stage, quality-oriented education accepted before entering the university by students can not attain its due level. Besides, they have the feeling of uttering a sigh of relief after entry into the university. Thus, it is likely that they make detours once they do not know what attitude to take. Therefore, reinforcement of quality-oriented education should be conducted in universities. Good habits should be formed at the very beginning of military training after entry into the university, and subsequent course design and all sorts of school activities should be arranged, so as to make students successful in transiting their identity. Of course, due to all sorts of complicated causes, at present, there also exist some problems in running a school and some unsatisfactory aspects still exist in education and management of university students. For example, incidents of personal security of university students have caused great influences among university teachers and students, and also have aroused extensive focus of the whole society and high attention of the superior. In the process of investigation, it can be discovered that, many weak aspects and leaks exist in education and management of university students. Once an incident of injury and death occurs in a university, it may mean an incident of a millionth or several millionths, but may be one hundred percent to the family involved, which means end of happiness in a family. Thus, we have to enhance our awareness, carefully look for hidden troubles and inappropriate problems in management of the university, improve our standard with high requirements, stand in the position of taking responsibility for each university student, protecting and maintaining the reputation of the university and performing duties of educators, and regard reinforcement of education and management of university students as one of important tasks to grasp higher education.

1.3 Reinforcement of education and management of university students is a fundamental requirement to promote healthy growth of university students.

In recent years, the employment pressure of university students as a result of transition of the economic and social development has caused university students to reflect on their employment direction in the future at the time of entry into the university. The majority of university students fall into co-existence of demand on growth and vexation of growth and co-existence of aspiration of growth and perplexity of growth. Extremely complicated features appear in the psychological condition and thinking and moral condition of university students due to combination of all the following: pressure of the major, pressure of the life, pressure of employment, trouble of emotion, difficulty in interpersonal communication and perplexity of self recognition, together with influences of the general social mood, environment of public opinions and information of network. Thus, university students are faced up with quite a lot of problems in their growth. In addition, some students are lacking in personality quality, so some extreme psychological disposition appears among them, and even some

trifle would lead to extreme behaviors, which is a common occurrence. Objectively speaking, existence of these problems can not all be attributed to responsibility of education the individuals, and the society and the families also should take certain responsibility. Quite a lot of problems which should have been resolved at the stage of elementary education should be resolved by the society and the family, but they are accumulated and passed down to universities. In face with such a situation, the university can neither go back to “settle old scores” with elementary education, nor push these problems back to the society and the family. On the contrary, universities should better promote quality-oriented education and lessen education pressure upon universities by vigorously promoting reform of elementary education, purifying the environment of social education and enhancing communication and coordination of universities and families. Furthermore, universities have to bear the responsibility of cultivating and educating healthy growth, success and stable step towards the society of university students. The university is the final station and final exit for university students before they march towards the society, for which educators and teachers should not shrink their responsibility. Thus, universities should strengthen education and management of university students from the perspective of promoting healthy growth of university students and enabling them to become valuable talents to the society.

1.4 Reinforcement of education and management of university students is the fundamental requirement to speed up development of universities, maintain the security and stability of the universities and establish benign order of school running.

The university is a place where intellectuals converge. Security and stability of universities means security and stability of the society. In order to finish such tasks of running a school as teaching, scientific research and social service, a university has to provide a stable and harmonious campus environment and teaching order. As is indicated in practice, once something happens in a university, the main attention of leaders and relevant departments of the university will be dragged, thinking and feelings of teachers, students and other staff may fluctuate and the media and the society will give clamours of comments, as a result of which the normal running of the university will be affected. If the university does not handle the problem in a correct way when faced up with pressure from public opinions, it is extremely likely to lead to escalation of contradiction and further chaos of thinking. Therefore, the university has to strengthen education and management of university students starting from keeping the overall stable situation and maintaining the environment of harmonious and well-organized running of the university.

2. Current prominent problems in education and management of university students

According to analysis of the investigation and research, there mainly exist the following several aspects in the prominent problems in education and management of university students:

2.1 Some universities do not lay great emphasize on education and management of university students.

The phenomena of “emphasis on intellectual education and neglect of moral education, and emphasis on teaching and research and neglect of management” and “to say is the most important, to do is the secondary and to be busy is not rejected” still exist to different degrees. In resolution of some specific difficulties and problems in the ideological and political education of university students, there exist the phenomena of being reluctant to invest, grudging to invest or inappropriate investment. Some universities still haven’t set up a long-acting mechanism for education and management of university students. There are also the phenomena of unclear functions between departments, leaks in management and “two layers of skins” in education and management, and the work pattern of close cooperation and co-management among different departments has not been formed. Both communication and contact between the university and families and the society and role of social educational resources have defectiveness, and the job of “education orientation and moral education first” has not been fully practiced.

2.2 The team of education and management can not satisfy requirements of education and management of university students.

The spirit of educational documents by CCP has definite requirements for allocation of the team of ideological and political education of university students. Some universities do not allocate the team in accordance with requirements or do not attain the requirements. Some universities even do not have instructors, and only have class advisers to replace instructors.

2.3 The overall development of psychological and healthy education of university students is not balanced.

For the time being, a large majority of universities pay special attention to the psychological and healthy education and some universities throw necessary investment into personnel allocation and construction of psychological and healthy education institutions. However, there are still some universities that do not put

adequate emphasis on psychological and healthy education, and consider psychological and healthy education not indispensable, passively setting up temporary institutions just for dealing with examination. Some universities equal psychological and healthy education to other psychological and healthy activities. They just conduct a psychological test on newcomers, and no fixed or part-time remedial teachers are offered for psychological counseling. Even some universities turn the job of psychological counseling and guidance totally to instructors and class advisers, and can not conduct effective counseling or persuasion to students, which leads to the result that students who have trouble in psychology can not get timely and effective help. Compared with what is required, quite a lot of universities do not provide psychological and healthy education expenditure or are inadequate in expenditure investment. The following issues still exist in the entire teaching team of psychological and healthy education: inadequate quantity, low professional level, unpractical wages and unstable teaching team.

2.4 The early warning and emergency management organization system in some universities is not sound and the comprehensive coordination capacity is weak.

According to requirements by the superior, universities have all made corresponding emergency response to the perniciousness, expansibility and uncertainty of all sorts of emergency incidents. However, considering incidents in some universities, the particular executors are even unfamiliar with emergency measures at the last moment, lacking in drill and passive in the job. Emergency organizations in some universities are mostly temporary, which also makes the comprehensive coordination capacity of the universities seem weak in the situation of emergency incidents.

2.5 The consciousness of risk in management according to law is not strong and construction of mechanism in the aspect of management of dealing with emergency incidents according to law is not adequate.

For example, security education, standardized mechanism of safety management, risk of being involved in law, resolution mechanism of cooperation and mechanism of sharing liabilities, etc.

3. To practically strengthen education and management of university students based on people oriented

3.1 To practically strengthen leadership and to firmly establish the principle of running of a school "people oriented"

To insist on people oriented is an important characteristics to run well a modern first-class university. A university should commence from the perspective of cultivating university students with morality and competence and feasibly strengthen leadership in education and management of university students. The university should intensify the idea of education oriented and moral education first and assume the political responsibility in a feasible way. The Party Committee should further confirm the responsibility system of "first in command" and the system of "one should be responsible who is in charge", make perfect the leadership system, select competent cadres to form effective work mechanism and provide system guarantee and expenditure support for better development of the work. In addition, the school should draw up effective measures in combination with the practice of the school, and meanwhile, reinforce supervision and examination and grasp the work of putting into practice at different levels. It should mobilize, organize and converge power from all aspects of the school, mobilize all positive factors, form join forces and do well together the ideological and political education and management of university students.

3.2 To bring the role of the ideological and political education as a main channel into full play

A university should reinforce construction of ideological and political theory course and situation and policy course, conduct ideal and belief education, legal and moral education and anti-heresy penetration education on university students in a vivid and flexible way, and lead university students to establishing correct outlook on life and correct values. Not only cadres and instructors, but also course instructors of all courses in the university should be responsible for teaching and educating students, take a highly responsible attitude, being a model of virtue for others and teaching by personal example as well verbal instruction, and exert unconscious influences on university students with good morality, character and personality and play well the role of imparting knowledge and educating people.

3.3 To build benign education environment and atmosphere

A university should create conditions to strengthen and improve construction of campus culture and escalate spirit of the university. We should strengthen the construction of teachers' morals and teachers' morale and practically standardize the teachers' morals. We should reinforce human quality education and scientific spirit education and cultivate healthy and lovely attitude of university students with a perfect style of learning. We should make full use of significant festivals and special days as well as anniversaries to conduct some rich

entertainment and sports so as to enhance participation of university students and activate the university campus. Especially, we should strengthen the establishment of the special website of ideological and political education of university students and build the website into a ideological battle field that university students are delighted to hear and see and into a platform for education and guidance on daily behaviors of university students.

3.4 To do well the psychological and healthy education on university students

A university should make well a general investigation, set up psychological assistance, really resolve psychological and practical problems of university students and do not let go any clue so as to avoid happening of extreme incidents. The university should examine fragile aspects in the work and feasibly resolve prevention and intervene of psychological crisis of university students. It should check early, discover early and intervene early, conduct the task deeply, carefully, practically and thoroughly, and try to control and lessen happening of emergency incidents. It should conduct well persuasion and prevention in psychological issues among the important groups of newcomers, graduating students, needy students and students in a broken family, etc.

3.5 To do well the employment job on university students

At present, employment situation in universities is still severe. We have to grasp all opportunities, help students analyze the current employment situation, provide ideological education on them, support their employment in grass-root and first-line organizations, encourage students to seek for a job at different levels and “hold on to one job while seeking a better one”, or encourage self-employment. The university should positively organization and conduct all sorts of lectures and symposia, set up practice platforms in and out of class through several channels, invite successful schoolfellows and excellent graduates to come back to introduce experiences for students at school, let students play the role of advising others by using one’s own experience”, and help graduates update employment idea and broaden their employment thinking.

3.6 To strengthen security education and management on university students

Considering the subject of guaranteeing students’ happy and secure life and promoting their healthy growth, a university should strengthen daily education and management of university students. The university should reinforce the attendance management of university students at school, strictly standardize the attendance job and get in contact with fellows or parents of students who do not return at the end of a holiday, leave school without any reason or can not be contacted temporarily and give feedback information to relevant functional departments. The university should strictly carry out the early warning system among trouble-maker students and pay special attention to these problematic students. The school should focus on security management of the students dormitories, do well the education of safety precaution awareness among university students, and should especially prohibit the phenomena of illegal operation and use of illegal electrical appliances and controlled knives. The school should give special attention to the phenomena of not returning at night and off-campus housing, etc. It should play the leading role of backbone among students and intensify the process of their self education and self management.

3.7 To reinforce construction of the team of instructors and construction of the team of psychological and healthy education

Instructor is the backbone power for ideological and political education and management of university students. An instructor works at the front line of ideological and political education and management of university students, and plays an irreplaceable role among university students. We should try to adopt feasible and effective measures to build a team of instructors with high quality and high level of “being strong in politics, proficient in profession, strict in discipline and upright in style of work”.

3.8 To intensify governance surrounding the campus

The university should take the initiative to cooperate with the public security department, do well the governance and rectification of the surrounding environment of the campus and strengthen the comprehensive governance vigor to important positions and environment. The school should further rectify occasions which are harmful to healthy growth of university students, and help university students to keep away from pornographic, gambling and drug occasions. At the same time, the school should also strengthen security education of university students and enable them to reinforce security consciousness, self protection awareness and self management awareness.

3.9 To do well the prevention of legal risk in management of emergency incidents on university students

A university should make clear legal relationship between the university and students according to law and make explicit specific legal liability of university students in emergency incident. The school should set up liability standardization system for management of emergency incidents among university students, confirm all sorts of

legal liabilities and obligations of the university in preventing and dealing with emergency incidents and in legal risks caused and govern the school according to law in order to prevent legal liability risk caused by leaks in management.

All in all, at present, there still exist many problems in education and management of university students. Although the situation is still far from being satisfactory, it is manifestation of problems in the process of development. We ought to come to rational realization, strengthen our confidence, neither exaggerate nor avoid any problem, further intensify in-depth study on education and management of university students, continue to go into deep exploration, increase vigor of relevant work, refuse any accumulated contradiction, resolve these problems that appear at the stage of development, and eliminate them in their infancy so as to realize scientific and effective development of education and management of university students.

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Multiple Intelligences and the Future of Education in Mexico

José G. Vargas Hernández

MBA, Ph.D.

Research Professor, member of the National System of Researchers

Department of Marketing and International Business

University Center for Economic and Administrative Sciences U of G.

Peripherals Norte 799 Building G-306

Zapopan, Jalisco CP 45,100; Mexico

Tel: 52-(33)-3770-3343 ext 5097

E-mail: josevargas@cucea.udg.mx, jgvh0811@yahoo.com, jvargas2006@gmail.com

Mohammad Reza Noruzi

Executive Master Business Administration, EMBA

Islamic Azad University, Kaleibar, Iran

Faculty of Humanity Sciences, Department of Management and Accounting

Young Researchers Club Member, IAU Bonab, Iran

Tel: 98-426-4224915 E-mail: mr.noruzi.pnu@gmail.com

Narges Sariolghalam

Applied Mathematics, Faculty of Mathematics

Payam e Noor University of Maragheh, Iran

Tel: 98-421-2275121 E-mail: n_ghalam@yahoo.com

Abstract

Higher Education in Mexico should try to respond to international standards and the dynamics of economic globalization processes. Competition in higher education systems will be increasingly global, so it is necessary to transform business processes. The implications of the relevance of higher education in a world under economic globalization processes are bounded by the requirements of competence necessary to conduct global market activities, languages and communication systems and information, and so on. As a result of these changes new players will come and a new model of management in universities.

This paper aims to analyze the prospects of education in Mexico under a consideration of major changes in the economic, political and social in 2020. This paper studies the governance of education, higher education policy, multiple intelligences, science and technology, the proposed institution of higher education, science and technology of the future, knowledge generation and innovation, linking, finance and comprehensive assessment of the educational process. Also the multiple intelligences notion comes as well.

Keywords: Higher education, Mexico, Multiple intelligences, Educational policy, Educational foresight

The environment

The dynamics of the processes of economic globalization that threatens the interpersonal relationships in all forms of social coexistence requires as an imperative, a moral review of the responsibilities of different actors, from a global ethic. The globalization of higher education is detrimental and beneficial consequences in higher education, for example, lack of adjustment of universities, curricula, poor quality, etc. In the consolidation of the HEI enters as an important factor to consider new international division of academic work, especially in the production of science and technology and preparation of senior cadres of scientists to produce advanced knowledge.

Besides the companies generate and transmit information and knowledge, those who join the knowledge economy, record, market, import, export and apply knowledge by eliminating the traditional barriers between manufacturing and services. These knowledge-based economies are more competitive because of the added value offered by the systems of research and scientific and technological innovation.

However, rapid scientific advances, especially those in information technology and communications coupled with the increasing economic globalization processes, they need to review and reconsider these assumptions as a requirement of a state policy on public higher education, science and technology, a structural perspective and long-term, if one wants to answer the growing demands of Mexican society of the XXI Century. The evolving role of the state involves re-engineering processes to design new roles in education, research and technological development. The Mexican state should continue to keep the active regulation of the IES by strengthening market mechanisms and the promotion of linking the company to stimulate academic and scientific output.

Herrera (2002) explained that the urgency of institutional transformation in higher education lies in the convergence of forces such as the international trend determined by the impact of globalization and scientific-technological revolution of the late twentieth century, the approach national education policies that are very receptive to the recommendations of multilateral agencies seeking process, in most cases which cause reforms leading to improved quality, coverage and relevance within the traditional, disciplinary, bureaucratic and hierarchical in our country.

Institutional change will bring about change in the paradigm of the educational model in a way which involves the questioning of the societal model in which it is based and leading universities to other ways of thinking, organizing, producing and transmitting knowledge (Lanz, 2003).

The future of Mexican generations already predetermined by a set of neoliberal policies under a vision of global integration processes.

The scene of the most viable economic component is the trend to continue at current levels of uncertainty, crisis and possible economic growth rates moderate. With respect to labor market and employment, provides an accelerated growth of the services sector with a higher population in this segment, and lower growth of industrial and primary sectors. The trend towards outsourcing of the economy as a company focused on information and knowledge will impact on the profiles of professional scientific and technological training. Economic changes in the global scenario has serious repercussions on the labor market and changes in this frontier. The environmental changes are pushing for the transformation of higher education system.

ANUIES (1999) made the diagnosis of the problems of higher education in Mexico in a prospective for 2020 with a proposal for immediate action to boost higher education system. In terms of national and regional development and the role of government, the scenario of 2020 is a model for consultation and coordination with a flexible and decentralized state system of innovation and interaction between firms, markets, governments and universities.

In the demographic component, CONAPO projections indicate that population growth will diminish over the next five decades: by 2010 the population would range from 111.3 million inhabitants and 116; for 2020 at 119.7 to 130.5, for 2030 of 124.4 to 142.2 and for 2050 from 122 to 152.2 (p. 15). The applicant population growth of higher education, from 15 to 64, increases to reach 80.8 million by 2031 and then dropped gradually. For the specific age group of higher education (16 to 22 years) is projected to grow until 2010 to fall from 2025, which implies that we should meet with the creation of new universities. An urban sprawl will have adverse consequences in HEIs. The population dynamics underpinning the challenge of covering higher education hinders the improvement of quality.

Governance in education

Higher education institutions should expand democratic procedures and clearly defined powers and functions limited. It is necessary to design higher education institutions to integrate the national education system and to react in diversified, flexible and relevant forms of social groups that have traditionally been excluded from the possibility of obtaining a high quality education and good quality. The IES in the coming years will continue to play an important social role that will make space for new additions to confront their emerging social paradigms, ideologies and power structures.

Institutional reforms to the system of higher education in Mexico require outreach strategies, scale, coverage and depth in the processes of institutional change. The reforms of higher education institutions will continue reorienting using the criteria of quality, relevance and internationalization.

The creation of forms of government and organization of HEIs while focusing on economic efficiency, more effectively in social development will remain a major challenge especially because new strategies are required for

the generation and application of knowledge when changing the paradigms of scientific and technological higher education. New forms of government and legislation of the IES must be consistent with the challenges of economic globalization processes and the revolution in information technology and communications.

Also, decision-making processes must be open to more democratic processes, by strengthening flatter structures, use of information and communication technologies on end and behavior subject to processes of transparency and accountability. The diversification of institutional structures is manifested in a variety of organizational forms to provide care through programs and curricula to the needs of education, science and technology. The decision-making processes should be transparent, providing horizontal and inclusive openness to all stakeholders, but especially teachers, researchers and students, the main players in the processes of teaching and learning.

The creation and maintenance of state networks, regional, national and international help to make more efficient use of resources to provide innovative educational services of high quality, coverage and relevance. The quality of education is understood in a multidimensional way to understand the quality of teaching, management, academic programs, students, etc.. The National Development Plan (2006-2012) meant by quality of the education system, a multidimensional variable that combines access, equity, relevance and educational outcomes', the plan sets out strategies for cross-sectoral and strengthen the processes of learning assessment, teacher performance and school management.

Substantially improve the quality of higher education basing themselves on the improvement of graduate teachers, and in exercise of the National Assessment and Accreditation. It is intended that by 2020 the system is consolidated national planning and evaluation, accreditation and quality assurance in higher education.

Multiple Intelligences Based Learning System, the Necessity of the Future Education in Mexico

Background of Multiple Intelligences

There are different approaches to understanding intelligence. The psychometric view is the most traditional one. According to this approach, there is a single intelligence, which is often called general intelligence. Every individual is born with a certain intelligence or potential intelligence, which is difficult to be changed. Psychologists can assess one's intelligence (IQ) by means of short-answer tests and other purer measures such as the time it takes to react to a flashing light or the presence of a certain pattern of brain waves (Gardner, 2004). But the traditional IQ tests did not satisfy the researchers, so they developed a number of alternative theories, all of which suggest that intelligence is the result of a number of independent abilities that uniquely contribute to human performance. These theories suggest that rather than being fixed, unitary, and predetermined, intelligence is modifiable, multi-faceted, and capable of development (Gardner, 1993; Sternberg, 1986; Vygotsky, 1978; Yekovich, 1994; cited in Campbell, 2000, p. 8). Some of these theories have been summarized in the following paragraphs:

Robert Sternberg in his triarchic view of intelligence proposed three types of intelligence: 1) Componential Intelligence (analytical thinking): academic abilities to compare, evaluate and solve problems. 2) Experiential Intelligence (creativity and insight): the ability to invent, discover and theorize. 3) Practical Intelligence (street smarts): contextual abilities to adapt to the environment (Brown, 2000; Chastain, 1988). This theory of intelligence claims that intelligent behavior stems from a balance between analytical, creative and practical abilities and that these abilities function collectively to allow individuals to achieve success within particular socio-cultural contexts (Sternberg, 1988).

Gardner, in his MI theory, proposes that human intelligence has multiple dimensions that must be acknowledged and developed in education. He notes that traditional IQ or intelligence tests (such as Stanford-Binet test) measure only logic and language, but there are other equally important types of intelligence (Richrads & Rodgers, 2001).

According to Gardner (1993), intelligence is a biopsychological potential. Intelligences cannot be seen or counted. They are used to process information and can be activated in a cultural setting to solve problems or create products that are of value in a culture. These potentials' activation depends upon the values of a particular culture, the opportunities available in that culture, and the personal decisions made by individuals and/or their families, schoolmasters, and others.

Multiple Intelligences Theory

Gardner's MI theory posits that human beings possess at least eight intelligences, to a greater or lesser extent. They are as follow (Armstrong, 2009, pp.6-7):

Once this broader and more pragmatic perspective was taken, the concept of intelligence began to lose its mystique and became a functional concept that could be seen working in people's lives in a variety of ways. Gardner

provided a means of mapping the broad range of abilities that humans possess by grouping their capabilities into the following eight comprehensive categories or “intelligences”:

Linguistic: The capacity to use words effectively, whether orally (e.g., as a storyteller, orator, or politician) or in writing (e.g., as a poet, playwright, editor, or journalist). This intelligence includes the ability to manipulate the syntax or structure of language, the phonology or sounds of language, the semantics or meanings of language, and the pragmatic dimensions or practical uses of language. Some of these uses include rhetoric (using language to convince others to take a specific course of action), mnemonics (using language to remember information), explanation (using language to inform), and metalanguage (using language to talk about itself).

Logical-mathematical: The capacity to use numbers effectively (e.g., as a mathematician, tax accountant, or statistician) and to reason well (e.g., as a scientist, computer programmer, or logician). This intelligence includes sensitivity to logical patterns and relationships, statements and propositions (if-then, cause-effect), functions, and other related abstractions. The kinds of processes used in the service of logical-mathematical intelligence include categorization, classification, inference, generalization, calculation, and hypothesis testing.

Spatial: The ability to perceive the visual-spatial world accurately (e.g., as a hunter, scout, or guide) and to perform transformations upon those perceptions (e.g., as an interior decorator, architect, artist, or inventor). This intelligence involves sensitivity to color, line, shape, form, space, and the relationships that exist between these elements. It includes the capacity to visualize, to graphically represent visual or spatial ideas, and to orient oneself appropriately in a spatial matrix.

Bodily-kinesthetic: Expertise in using one’s whole body to express ideas and feelings (e.g., as an actor, a mime, an athlete, or a dancer) and facility in using one’s hands to produce or transform things (e.g., as a craftsperson, sculptor, mechanic, or surgeon). This intelligence includes specific physical skills such as coordination, balance, dexterity, strength, flexibility, and speed, as well as proprioceptive, tactile, and haptic capacities.

Musical: The capacity to perceive (e.g., as a music aficionado), discriminate (e.g., as a music critic), transform (e.g., as a composer), and express (e.g., as a performer) musical forms. This intelligence includes sensitivity to the rhythm, pitch or melody, and timbre or tone color of a musical piece. One can have a figural or “top-down” understanding of music (global, intuitive), a formal or “bottom-up” understanding (analytic, technical), or both.

Interpersonal: The ability to perceive and make distinctions in the moods, intentions, motivations, and feelings of other people. This can include sensitivity to facial expressions, voice, and gestures; the capacity for discriminating among many different kinds of interpersonal cues; and the ability to respond effectively to those cues in some pragmatic way (e.g., to influence a group of people to follow a certain line of action).

Intrapersonal: Self-knowledge and the ability to act adaptively on the basis of that knowledge. This intelligence includes having an accurate picture of oneself (one’s strengths and limitations); awareness of inner moods, intentions, motivations, temperaments, and desires; and the capacity for self-discipline, self-understanding, and self-esteem.

Naturalist: Expertise in the recognition and classification of the numerous species—the flora and fauna—of an individual’s environment. This also includes sensitivity to other natural phenomena (e.g., cloud formations, mountains, etc.) and, in the case of those growing up in an urban environment, the capacity to discriminate among inanimate objects such as cars, sneakers, and CD covers.

Daniel Golman introduced the concept of Emotional Intelligence (EI). He claimed that efficient mental or cognitive processing is necessary for controlling even a handful of core emotions—anger, fear, enjoyment, love, disgust, and others. More to the point, Golman compared the rational mind with the emotional mind. In comparing the rational mind with the emotional mind, Golman argued that the emotional mind is far quicker and acts without even pausing to consider what it is doing. He stated that the quickness of emotional mind prevents a deliberate, analytic reflection that is the sign of the thinking mind (Golman, 1995).

The theoretical framework of the present study is based on Gardner’s MI theory. This theory has a positive and expansive view towards intelligence (Campbell, 2000).

Developing MI

Whether intelligence can develop depends upon three main factors (Armstrong, 2009, p.27):

1. **Biological endowment**—including hereditary or genetic factors and insults or injuries to the brain before, during, and after birth
2. **Personal life history**—including experiences with parents, teachers, peers, friends, and others who awaken intelligences, keep them from developing, or actively repress them

3. **Cultural and historical background**—including the time and place in which you were born and raised and the nature and state of cultural or historical developments in different domains we can see the interaction of these factors in the life of Wolfgang Amadeus Mozart.

MI Strategies for Managing Individual Behaviors

Intelligence	Aggressive Student	Withdrawn Student	Hyperactive Student
Linguistic	Bibliotherapy on theme of anger management	Taking up debate, oratory, or storytelling	Books on theme of hyperactivity (e.g., <i>The Boy Who Burned Too Brightly</i>)
Logical-Mathematical	Dreikurs's logical-consequences system	Interactive computer network, chess club	Quantification of time on task
Spatial	Visualizing ways of managing conflict	Movies on theme of withdrawn child who meets a friend	Video games that help develop focus and control (neurofeedback)
Bodily-Kinesthetic	Role-play aggressive behavior and try out alternatives	Pairing with trusted person for walks, sports, games	Progressive relaxation, yoga, hands-on learning, strenuous exercise
Musical	Songs promoting social skills	Discography encouraging connection with others	Stimulating music ("Musical Ritalin")
Interpersonal	Taking group class in martial arts	Group counseling	Leadership role in cooperative learning group
Intrapersonal	Time out, contracting	One-to-one counseling/psychotherapy	Focusing exercises
Naturalist	Identifying with an animal that can then learn how to "tame itself"	Introspective book about nature involving friendship (e.g., <i>The Secret Garden</i>)	Time in nature

Armstrong, 2009, pp.117-118

The politics of higher education, science and technology

The lines of education policy have a tendency to continuity and deepening of the National Development Plan (NDP) 2007-2012, which proposes an education based on educational change, with little input to overcome the limitations of the national education system (Observatorio Ciudadano de la Educación, 2007b). Under the concept of human development, the NDP aims to secure the Mexican meeting the education needs (NDP 200-2012:23) and recognized as a proposal for Project Mexico 2030, achieve a quality education with value formation and capabilities. The promotion of sustainable human development is guided by a focus on improving education and training as essential elements.

The processes of institutional transformation of higher education in Mexico involving powerful interest groups at local and federal governments in the formulation and implementation of strategies, as has been shown that each institution is a different case.

Expand the options available to the inhabitants of certain areas, whether you want to benefit the largely rural and indigenous people. The transformation of education is one of the challenges of equal opportunities in program development proposal of the NDP (2006-2012). The priorities are outlined in the general expansion of system to ensure educational opportunities for all people, removing economic exclusion, to computerize the national

educational system, coordinate and decentralize and support for teaching through resources and training (Observatorio Ciudadano de la Educación, 2007: 34).

Strategies for Education are located on the axes of the competitive economy and generate employment, equal opportunities and environmental sustainability. In the line of "high productivity growth, the policies suggested linking education and scientific and technological development with productivity, which paid little progress to increase as they have been limited investment by both the public and the private. In the last six years (2000-2006) was decreasing trend in the proportion of expenditure and GDP for the development of research and technology.

In the private sector contained Higher education institutions serving elite students from high income levels and high levels of academic quality on one hand and on the other, those universities that receive surplus unmet demand, which do not necessarily reach the average quality of the IES and which are also characterized by modest tuition fees. Perhaps the most important step which should give private education is to achieve territorial decentralization to increase its responsiveness to communities, villages and municipalities. The strong market orientations seem to be cause for neglect of activities that investment by sources in its structure, not an immediate return (Altbach, 2002).

Among the assumptions of public higher education in Mexico, it is assumed as one of the state's social commitments with the characteristics of free, universal and secular. It is the responsibility of Mexican society demand that the State fulfills its functions to a viable long-term dimension, the higher education project to promote and achieve the conclusion of all efforts in a comprehensive and inclusive agreement of all sectors social.

The Mexican state will continue to ensure effective and making the social right of access to public education to all citizens who choose to continue on some of the institutions of higher education, science and technology, either public or private.

The social projection of present and future development of the IES should be guided by educational policies more consistent with the responsibilities arising from the economic reality and social policy of our people, ie educational policy with a full orientation of social policy. The XXI century Mexican society deposits in the institutions promoting knowledge certain responsibilities and expectations to which higher education institutions (HEIs), universities and technology cannot support others (Casanova Cardiel, 2007:36)

Achieving greater equity in income distribution in a country like Mexico where there is great inequality of income, represents a challenge that is related to economic growth and therefore the growth of educational provision to extend coverage opportunities. The national education project should ensure educational equity through mechanisms designed for educational federalism, but also must balance the equity with the involvement of school culture to the cultures of communities so as to strengthen intercultural education. The promotion of educational equity is to address target populations through the implementation of social policy cross-cutting strategies to support those most in need (Observatorio Ciudadano de la Educación, 2007).

The new education project is closely linked to the project of nation we want for Mexico. The new education project should be the result of a government policy sustained in the quality and competitiveness of the Mexican education system

Draft Institution of Higher Education, science and technology to future

The IES must be a university or a technologist with a project that goes beyond out into all areas of human development. The institutional complexity of the national education system is expressed in respect for the autonomy of universities makes it difficult to agreements to supplement resources.

Therefore, it requires institutional reform and consolidation on a framework that facilitates coordination and complementation rational and equitable use of resources and efforts of institutions of higher education, science and technology to achieve higher levels of development that meets the profiles regional. The discussion will focus on designing a model-oriented university more utilitarian sense of teaching and research in the design of a university model with a utopian project of democratic emancipation.

The IES implement programs for improvement in the quantity and quality of its infrastructure, environmental conditions and academic programs, with a parallel drive to stock assessment indicators. The criteria of quality, certification and accreditation of academic programs will be established by consolidated academic bodies in institutions of higher education, science and technology. The academic quality of programs of higher education, science and technology, is the condition to increase the certification processes and to guide the quantitative growth.

Institutional transformation has to further innovations in the academic model that takes into account the emergence of processes of economic globalization, scientific and technological changes are more advanced in the different areas of knowledge, the advancement of communication technologies and information.

The ANUIES (1999) recommends following the strategies of planning and coordination to ensure the integration of higher education system. In 2020, the IES of Mexico will form a higher education system able to train professionals and senior researchers, generate and apply knowledge, expand and preserve culture. All these tasks are performed with quality, relevance, equity and amount comparable to international standards.

The strategies to implement institutional change in higher education should consider the many variables involved. Among the variables involved are highlighted in national educational policies and the maturity and bargaining power of institutional actors.

Knowledge generation and innovation

The quantitative scenarios registration, titling, coverage and general issues in higher education by 2020, are determined by the conditions of inequality, inequity and social injustice. It requires an expansion of the education system as well as government initiatives and other sectors of the economy and society, to encourage recruitment of social demand and expand the coverage of the system.

You have to argue that the effort should focus on making the curriculum change, his times, teaching methods and techniques, the change must be addressed essentially the same content of the disciplines.

The ANUIES (1999) recommended in the years to achieve an open system of higher education against a closed, institutional networking, the use of information technology and communication for the formation of the virtual university, the grant legal personality to the rating agencies, and accrediting certifiers.

Linking

Leveraging the advantages of an information society and knowledge, the international mobility of academics, researchers and students will enhance the exchange of experiences, knowledge, skills, values and attitudes that will expand the horizons of vocational training. It is also important to promote programs linkage with multinational and global companies, not only to replenish the plans and programs of study but also to facilitate the employment of graduate immersion.

Institutional innovations to support the substantive functions of HEIs require better structures to expand services to business centers, business incubation programs, etc.. Not to mention the link with social and political sectors through programs such as ciberbolsas work, support groups and marginalized social exclusion, participation in specific projects of the three levels of government to promote regional and economic development, etc. .

Finance

The National Development Plan (2006-2012) is very brief to identify possible sources of funding and resources needed for education, research and technological innovation. Due to the high costs of higher education and scientific research and technological quality, new financing schemes will have serious repercussions on inter-relationships between HEIs and government authorities. These impacts would be reflected in the reduction of subsidies and budget allocations, in a more efficient exercise of spending and available resources.

The improvement in the rationale for allocating the financial resources to the various institutions of public education is crucial to abandon old practices articulated in international negotiations institutional political factors - rather than partisan-centered rationality academic results. Therefore, in the coming years is to increase the quality of the processes of transparency and accountability of the substantive responsibilities of HEIs.

The IES must take concrete actions to increase transparency and accountability in the exercise and operation of public financial resources in a cohesive way with their university autonomy and other components of higher education systems in such a way that promotes collaboration complementarity institutional. The State should consider the investment in higher education and scientific research as social investment.

Increasing budgetary constraints financially pressuring higher education institutions in Mexico have impacted strongly on delivering quality education services in the public sector. The heavy tax burden that higher education represents for the Mexican state that can not meet all the expectations of scientific and technological training of Mexicans, has led to social transfer this responsibility to the private sector, not without difficulties for the huge infrastructure investments needed to provide educational services efficiently and effectively.

The quantitative growth of the private sector in education and research will result in higher recruitment of upper-class students by offering a higher leadership position, despite the heterogeneity. Many HEIs will travel paths for the conversion of public to private universities through market mechanisms their products, such as graduates, knowledge and values.

Higher education requires a sustained effort to manage financial resources to meet the responsibilities for training, preservation of identity and values of culture, science and technology, knowledge generation, technological innovation, technology transfer etc. Transfer the responsibilities of financial contribution to private sector only partly resolve the complex problem because it limits opportunities for social mobility to those who need it because they can pay their training, so it is imperative that the State assume financial responsibility under a perspective long range to strengthen higher education in highly competitive sectors of society who lack the resources to do it by themselves.

The management of financial resources will become significant in the coming years which will require a greater deal of creativity To eke out scarce resources, and to new programs such as exploring linkages with other universities and foundations that have bags of funding for specific projects vocational training, creation of scientific and technological knowledge, technological innovation programs, technology transfer, support for disadvantaged groups to access to educational opportunities, etc..

In the coming years is to increase the management capacity to raise funds for financing, for example, by offering teaching activities, research, innovation, development and linkage to services can be classified as multiplier effects spill benefits to the students and researchers. One would expect that in the Mexico of the future, private initiative will increase their contributions, which would make them less dependent on progress in this area are conducted in more advanced countries.

The scarcity of financial resources and the urgent need for financing the activities of higher education, especially with regard to infrastructure and educational equipment will help us to generate resources from other sources such as the creation of trusts, institutional credit and income for themselves towards sale of services.

Comprehensive assessment of the educational process

The current National Development Plan (2006-2012) proposes the creation of the National System of Educational Evaluation in the middle and higher education and teacher performance measurement. In higher education, science and technology is a priority in the years to establish a comprehensive evaluation system of education is more focused on the evaluation of the entire educational process including the results.

The trend in assessment processes will continue in the mechanisms of the diagnostic evaluation of programs, evaluation of inputs, results of educational processes and formal accreditation system for independent bodies but with recognition of the education authorities. The assessment of institutional quality will encourage innovation by academic assessment results based on a funding model focuses on performance criteria and comprehensive programs of institutional strengthening.

This system should evaluate the performance of all actors involved in educational processes, including the State, community, education officials, teachers and researchers, parents, support institutions, students, etc. Similarly, the comprehensive evaluation system of the educational process should evaluate the institutions, infrastructure, financial resources and materials, resources and teaching aids, etc..

To achieve greater resource efficiency is necessary to implement assessment systems, accreditation and accountability for the application of resources. It requires policies, strategies, norms and performance indicators of academic quality and attention to environmental demands and the labor market. It is also important to disseminate the results of the evaluations, ensuring feedback to those involved in educational processes to establish appropriate remedial measures.

Needs Action

The remaining tasks proposed by De la Fuente (2007) to advance the knowledge society are: Investing in education, research and development, rede form a world-class university, raising the academic standards of the economically active population and import knowledge and not only export

The training of the future must be capable of combining pragmatic and empirical knowledge with theoretical and methodological knowledge. The reorganization of knowledge and their inter-disciplinary and interdisciplinary, relationship of curriculum and teaching-learning processes, and so on. Are urgent matters that the transformation of institutional academic management must address?

Higher education has as its main development challenges of educational content and curriculum plans from trans disciplinarily, complexity and uncertainty, methodological strategies, new forms of organization and government, creating strategic alliances for complementary resources, etc. The processing of HEIs in Mexico will face as a major challenge to respond in a more responsible to the demands of social and productive sectors.

The challenges of higher education is to rethink its role and mission to establish alternative strategies for the future in a framework of sustainable development, peace culture and a global ethic. The challenges of educational reality require cooperation and solidarity as the foundations to avoid marginalization, fragmentation and polarization of knowledge.

Taking a critical discourse about the scope of the functions of the new model under the IES and a focus on market requirements underestimate the social needs of the Mexican state.

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Overview of Work-Life Balance Discourse and Its Relevance in Current Economic Scenario

Dr. Pranav Naithani

Dept. of Management - Waljat Colleges of Applied Sciences

Post Box 197, Postal Code 124, Rusaly, Sultanate of Oman

E-mail: pranavnaithani@gmail.com

Abstract

During the second half of 20th century, with work demands increasingly encroaching on family and personal time at a faster pace, employers acknowledged the need of work-life balance programmes to facilitate employees maintain a healthy balance between the conflicting demands of their work and personal life. Availability of work-life balance facilities to employees witnessed a phenomenal growth between the late eighties of the 20th century and early years of the 21st century. This growth has been abruptly interrupted by the current economic downturn. Increasing numbers of organisations, in the name of cost cutting, have either curtailed work-life balance facilities or are contemplating to do the same.

This paper analyses the emergence of work-life balance discourse, from the days of early communal living till the present day theories, and presents a macro level model of work-life balance. Further, a detailed analysis of proven and anticipated benefits of work-life balance is presented to justify the need of work-life balance initiatives at organisational level during the present economic downturn.

Keywords: Work-life balance, Work-life balance model, Work-life spheres, Work-life segments, Work-life balance benefits

1. Introduction

Composition of work and family life spheres has significantly changed over a period of time. Today's working male and female face a broad set of daily challenges which many times create imbalance between their working life and personal/family life. Lack of work-life balance thus influences working individual's performance at workplace as well as in personal life. In the current economic scenario, organisations are hard pressed for higher productivity and can face the recessionary challenges better if their employees are more engaged with work and workplace. Organisations, more than ever, need employees with improved work-life balance. An employee with better work-life balance will contribute more meaningfully towards the organisational growth and success.

Following section of the paper presents a detailed analysis of the changing composition of work and family life spheres. In the later section of this paper, a detailed analysis of different work-life balance theories and benefits of work-life balance initiatives is presented in this paper to justify further promotion of work-life balance programmes at organisational level.

2. Phases of changing composition of work and family life spheres

The continuously changing composition of work and family life spheres can be divided into distinctively different phases (Figure 1).

Insert Figure 1 Here

In the early years of communal living (Phase one) usually the entire family engaged in work for subsistence at home or near home (Carlson et al. 2005). In pre industrialisation period (Phase two) growing size of trade and craft business partially segregated the workplace and family life. During the industrial revolution in mid 1800s (Phase three) use of machines for mass production necessitated setting up of factories away from home. Men dominated the workforce in factories while household work was taken care of primarily by women who stayed back at home (Voydanoff 2006). During late 18th and early 19th century (Phase four) due to division of labour and between early 19th century and 1950s (Phase five) due to technological factors (which depended on physical strength, giving men an advantage over women at the workplace) separation of work from family was more

consolidated and men took the main role of bread earners and women took primarily the charge of home and family work (Snooks 1996).

In early part of second half of the 20th century (Phase six) gender division was reversed due to the technological advancements and computerisation which reduced the dependence on physical strength in factories thus facilitating greater participation of women in workforce (Snooks 1996). As the number of women increased in the global workforce, 1980s and 1990s (Phase seven) witnessed increasing number of companies offering work-life programs primarily to support working mothers (Lockwood 2003). Later such programs evolved into less gender-specific programs and recognized other commitments of life (Lockwood 2003) by the early years of 21st century. From 1950's up to early years of 21st century (Phase six and Phase seven) a wide array of socio-economic factors has been responsible which significantly influenced the work and personal life of employees. Three important categories of such factors are (Figure 2) - family and personal life, work and other factors (Naithani and Jha 2009).

Insert Figure 2 Here

With increasing participation of women in workforce, the participation of working mothers, dual earner couples and single parents also increased. This trend immediately enhanced the child and elder care burden on a large number of employees and in addition created new challenges in balancing work and family life. At organizational level, 1950s onwards, significant enhancement in long hour culture, unpaid overtime, changing work time and work intensification started to be witnessed. This resulted into enhanced work related stress, time squeeze for home and family and employee demand for shorter working hours. Conflict between work and personal life aggravated further due to 24x7 work culture becoming popular due to rise of service sector industry, technological complexities at workplace, ageing population and loss of social support network. Though influence of socioeconomic factors on family, personal life, work and other factors was noticed by researchers and organizations as early as 1930s, yet it was only after the 1960s that the focused research on work and personal life and their influence on each other under changed conditions became apparent.

3. Introduction and growth of work-life balance research

History of work/life programs can be traced back to 1930s, when introduction of reduced working hours with four shifts of six-hours instead of the usual three daily eight hours shifts in W.K. Kellogg Company resulted into enhanced employee morale and productivity (Lockwood 2003). In the 1960s, research on working mothers and dual earner families came into light as women's participation grew significantly in the workforce (Lewis et al. 2007). Rappaport and Rappaport in 1960's researched on how in the agrarian societies work and family were closer to each other and how industrial revolution in the 18th and the 19th century created a divide between work and personal life and further how electricity and machines made mass production possible which essentially meant setting up of factories away from home. Their research studied segmentation of work and family life due to movement of work away from home/family to the factories and cities (Rappaport and Bailyn 1996). Rappaport and Rappaport covered a limited scope of work and life balance. Their research was primarily concerned with work and its impact on family and did not relate work and its impact on other aspects of life. Still, theirs was a significant beginning and more research followed soon.

Prior to 1970s, 'work' and 'family' were primarily treated as separate segments (Blunsdon et al. 2006). Interdependence of 'work' and 'family' was highlighted by Kanter (1977) who highlighted aspects of work affecting family life and aspects of family life affecting work. During the same time Pleck (1977) analyzed work-family role system as a collection of male work role, female work role, male family role and female family role. Pleck (1977) further stated that women experience spill-over from family role into work role and men experience spill-over from work role into family role. The 'spill-over theory' was further strengthened by Staines (1980) who suggested that spill-over from one segment of life into another can have both positive and negative consequences. Staines (1980) supplemented the discussion on work-life aspects through 'compensation theory', according to which a person attempts to compensate deficit in one aspect of life through additional investment in other aspect of life. As cited by Pickering (2006), Greenhaus & Beutell (1985) gave a new direction of work-family research by presenting the work-family conflict theory according to which an individual has to perform different roles and family and work compete in demanding time, attention and commitment to perform these roles. Role behaviours in family and work thus conflict with each other, and create work-family conflict. According to Greenhaus and Beutell (1985), as cited by Skinner and Pocock (2008), primary causes of conflicts due to paucity of time are time related stress and paucity of time for life outside workplace.

Initial work-life policies and programmes in the 1980s were primarily focused on women with children (Lockwood 2003). 1990s witnessed the shift from working mother specific narrow focus to a broader focus on

married and unmarried men and women with or without children. Focus on 'work-family' and 'family-friendly policies' broadened to a larger 'work-life balance' discourse (Lewis et al. 2007). The theory of boundary work (Nippert-Eng 1996a; 1996b as cited by Warhurst et al. 2008 and Nippert-Eng 1996a; 1996b as cited by Blunsdon et al. 2006) presented a broader meaning of work-life balance through classification of workers as 'segmentors' and 'integrators'. Work-life is integrated when there is no distinction and mental boundary between work and home and segmentation occurs when there is a clear-cut mental boundary separating work and home. In between segmentation and integration lies a range. An individual can be at either ends of segmentation or integration or can be at any point of the range, actively engaged in mentally defining the boundaries.

A simpler understanding of work-life balance can be presented with the help of balanced wheel of life which is commonly cited in work-life balance literature. Byrne (2005) presented the age-old concept of balanced wheel of life and related work-life balance with it. Byrne (2005) suggested eight important sections of life as the eight spokes in a wheel. The sections are work, finances, spiritual, hobbies, self, social, family and health. According to Byrne, all these eight sections of life are important for every human being and each individual attempts to achieve a balance amongst these different sections. Byrne thus treats all the eight sections with equal weight and importance, which might not be true with every individual. Over looking this limitation of the model, the balanced wheel of life can be termed as the easiest way to understand the concept of work-life balance as this model look into different segments of life.

4. Work-life Balance Theory: A macro level model

To arrive to a summary of work-life balance discourse we can refer to Guest (2002), who presented a compilation of five individual theories to illustrate the association between work and life outside workplace. These are segmentation; spill-over; compensation; instrumental and conflict model. For the macro level model presented in this paper (Figure 3), theories of work-life balance have not been looked at separate entities, but rather as merging entities to present a broader meaning. A closer look at the popular theories of work-life balance which have been discussed above, will exhibit a continuously expanding domain. If the above theories are sequentially arranged and logically structured together, we can then derive the following macro level model of work-life balance (Figure 3).

Insert Figure 3 Here

Every individual's life has multiple segments such as family, finances, social, self, spiritual, health and hobbies. In each of these life segments, an individual needs to devote certain period of time, energy and effort while major part of daily time, energy and effort is consumed in the work segment. Males and females play professional roles at work place and the difference in roles at workplace is primarily not gender dependent but is rather decided by the qualification, experience and designation of the employee. In contrast, male and female roles have traditionally and socially been gender defined in life segments. Though male participation in household work, especially in dual worker couples is increasing, yet a significant part of the household work (including childcare) is expected to be the domain of the female. This gender biased role differentiation at the family level creates different work-life balance pressures for males and females. Roles in other segments of life such as finances, social, self, spiritual, health and hobbies may primarily not be gender defined which has been presented in the two major segments of life and work in the proposed model.

Though life and work are two different segments, yet they are not fully segmented and at times they tend to get integrated. For women, it is not very easy to fully segment their work and childcare responsibilities as they are socially and traditionally expected to engage in both. Same might be the case with a single father who has no childcare facility and is equally engaged in work and family responsibilities. In a single earner family, the male head earner of the family, who has work responsibilities, also needs to take care of short-term and long-term savings and investments of the family on the basis of his/her short-term and long-term earnings. Not only are the work and family life segmented at times and integrated at times, they are also a source of compensation for each other, depending on a situation. Dissatisfaction in one aspect may influence a person to engage in an effort for higher satisfaction from other segment of life. This creates interdependence of work and life. Further, interdependence of work and life segments is influenced by the spill over (positive or negative) from one segment to the other. For example an employee (male or female) who is working long hours and is under physical and mental stress due to high intensity work will have his/her personal life segment of health affected by the work segment. It is a classic example of negative spill over from work to life. On the other hand a promotion or increment of an employee may positively influence his self and social segment.

Looking at a macro level, high segmentation between work and family should bring in better work-life balance. For example an employee who can divide his time, energy and effort availability efficiently and effectively

between the two segments will face lower work-life conflicts. But in today's over competitive world, which continuously demands more time for work and career, high level of segmentation of work and family is not easy. In some cases individuals will be able to keep life segmented from work (life not encroaching on work time, energy and effort) or keep work segmented from life (work not encroaching on life time, energy and effort). High integration on the other hand brings out opposite results and might create high levels of work-life conflicts and imbalance. With increasing demands of time for work, integration of high levels between work and life is becoming a necessity.

While an individual is balancing between the continuum of segmenting and integrating between work and life, he/she will also attempt to compensate loss in one segment from results in another. An individual who has higher degree of work-life segmentation will have lesser opportunities to compensate for loss in one segment from gains in other segment. Where as a person who has high integration of work and life will have higher opportunities for compensation. While the processes of segmentation, integration and compensation are continuing (at different degrees) work and life will create their own individual outputs, which will be of positive and negative nature. These negative and positive outputs will tend to spill over from segment to another, especially when the work and life have higher degree of integration. According to the compiled model, segmentation, integration, compensation and spill over of different degrees create positive and negative influences in the work-life of an individual. Work-life balance thus is that stage where total sum of the influences is positive or where the total sum is not negative.

5. Benefits of work-life balance initiatives

Phenomenal growth of work-life balance research and initiation of work-life balance programmes at organisational level between 1950's and early years of the current century has been due to a wide gamut of benefits derived by employers and employees. These benefits are not only social and psychological but also economic, and that is the primary reason why global and proactive organisations have leveraged work-life balance programmes to enhance productivity and profitability, besides gaining higher employee engagement. McDonald & Bradley (2005) identified a set of employer and employee benefits of work-life balance initiatives. Availability of broader talent pool, earlier return of employee to work after maternal leave, lower rates of absenteeism, positive employer branding, enhanced work related performance, better employee retention, reduced employee turnover, improved health of employee and higher degree of job satisfaction were the benefits identified by McDonald & Bradley (2005). Further review of literature on work-life balance benefits(Hudson 2006; MWLBI 2006; WLBP 2006; Byrne 2005; Hewlett et al. 2005; Hudson 2005) brought forward a wide array of work-life balance benefits which can be categorised into qualitative and quantitative benefits to employers and employees (Figure 4).

Insert Figure 4 Here

Work-life balance initiatives at organisational level directly benefit employers as well as employees. This in turn enhances the job satisfaction, work engagement and work productivity of employees. These direct benefits to employees in turn benefit the over performance of the employee organisation. Various monetary losses, direct and indirect, have been cited by authors in work-life balance literature, which can be prevented if more effective work-life balance initiatives are undertaken. In the year 1989, due to job related stress, US industry lost \$150 billion per year on account of direct and indirect health related costs (Golden and Jorgensen, 2002). Estimation of the costs of absenteeism due to high work-life conflict in Canada have been estimated to be up to \$10 billion a year (Duxbury and Higgins 2003).

Department of Trade and Industry, U.K., calculated the cost of employee absence at £4 billion per year (DTI, 2000). Family friendly policies can reduce or prevent such employee absence and thereby reduce the monetary losses. It is evident from above calculations that saving of these costs will be a direct benefit to the employee organizations, if a better work-life balance is at the hands of the workforce. Further, various business organizations have also been calculating the individual benefits of work-life balance in monetary terms. A relevant case study is of British Telecom as cited by Yeandle et al. (2006). In year 2006 out of total workforce of 102,000 of British Telecom, 75,000 workers were working flexibly. Improvement in yield for these workers was around 21%, which translated into £ 6 million. In addition British Telecom's annual staff turnover came down to below four percent, where as the sector average was as high as 17 percent. Sickness absence among home workers in British Telecom averaged less than 3 days per person per annum. The positive impact of work-life balance initiatives at British Telecom was reflected in its customer satisfaction as well. 20 million customers rated quality of service at five percent higher than before and these customers had seven percent higher satisfaction as well.

Organizations that have an effective and efficient work-life balance programme exhibit a better financial performance. A survey conducted by Work-USA (2000) highlighted the fact that organization employing loyal employees delivered higher financial returns to their stakeholders. Watson presented a detailed list of relationship between companies which promote employee work-life balance and their financial performance (Watson 2002 as cited by Reed and Clark 2004). According to Watson, companies which support work-life balance programmes, have a higher market value and the growth in their market value is also higher.

6. Current recession and work-life balance initiatives at organizational level

It is evident that companies which introduce work-life balance initiatives, in the long run get direct quantitative and qualitative benefits for all its stakeholders. Though this fact further necessitate introduction of such tools in more number of organizations, yet in recent years, due to recessionary trends, many organizations are instead shying away from work-life balance initiatives. Many organizations are more concerned about short-term survival and they find curtailing work-life balance initiatives as an easy route to control expenses. Though research of over last six decades has time and again attested the relevance of work-life balance and established its direct and indirect economic benefits, yet in today's recessionary economic scenario, predominance of short-sighted approach by an increasing number of organisations globally has interrupted the existence and growth of work-life balance initiatives.

7. Conclusion

Work-life balance of an employee is as important for the employing organisation as it is for individual employee. Work-life balance of an individual employee when viewed collectively for the total workforce of an organisation results into a colossal impact on the qualitative and quantitative organisational performance. Employees who achieve improved work-life balance with the assistance of the policies implemented by the employing organisation tend to be more productive as their work engagement enhances. In the current economic slowdown an organisation which neglects issues related to employee work-life balance will end up with lower employee productivity and in turn will find it more difficult to overcome the recessionary challenges. Organisations which are neglecting work-life balance due to recessionary pressures need to comprehend the long-term relevance of employee engagement and productivity and need to continue promoting work-life balance initiatives. Or else, recessionary pressures coupled with lower employee engagement and lower employee productivity will create new challenges for medium and long-term organisational survival.

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Phase	Time period	Changes in work and family life spheres
Phase 1	Early years of communal living.	Entire family engaged in work for subsistence.
Phase 2	Pre industrialisation period.	Partial segregation of workplace and family life.
Phase 3	Industrial revolution in mid 1800s.	Strengthening of segregation of workplace and family life. Men started to dominate workforce.
Phase 4	Between late 18 th and early 19 th century.	Separation of work and family strengthened due to division of labour.
Phase 5	Between early 19 th century and 1950.	Human strength dependent technology abetted male domination at workplace.
Phase 6	Between 1950s and early 1980s.	Gender division reversed due to technology. Introduction of work-life balance facilities.
Phase 7	Between 1980s and 2008.	More women and mothers in global workforce. Significant growth in work-life balance facilities.
Phase 8	Current recession - 2008 onwards	Increase in work-family related challenges and reduction in work-life balance facilities.

Figure 1. Phases of changing composition of work and family life spheres

<p>Family and personal life related factors</p> <ul style="list-style-type: none"> ▪ Increasing participation of women in workforce ▪ Increasing participation of child bearing women in workforce ▪ Increasing participation of dual career couples in workforce ▪ Increase in single-parent/ single person households ▪ Increase in child-care/ elder care burden on employees ▪ Health and well being considerations 	
<p>Work related factors</p> <ul style="list-style-type: none"> ▪ Long hour culture and unpaid overtime ▪ Time Squeeze ▪ Demand for shorter working hours ▪ Increase in part-time workers ▪ Work intensification and stress ▪ Changing work time 	<p>Other factors</p> <ul style="list-style-type: none"> ▪ Ageing Population ▪ Rise of service sector industries ▪ Technological complexity of work ▪ Skill Shortages ▪ Loss of social support network ▪ Globalisation and demographic shift of workforce

Source: Naithani and Jha (2009)

Figure 2. Factors influencing work and family life spheres - From 1950's up to early years of 21st century

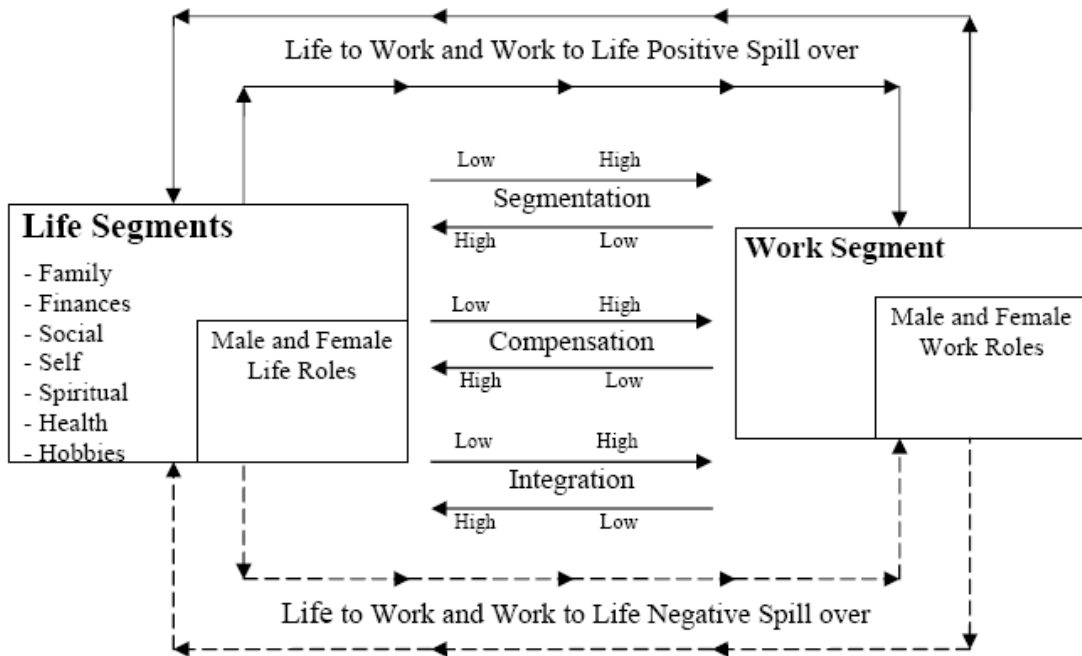


Figure 3. Work-life Balance - Macro level model

Qualitative benefits for employers	Qualitative benefits for employees
<ul style="list-style-type: none"> - Retaining valued employees - Motivated workforce - Attracting a wider range of candidates - Reputation of employer of choice - Reduced recruitment costs - Maximized available labour - Improved quality of applicants 	<ul style="list-style-type: none"> - Happier life at work and at home - Better work place relations - Improved self-esteem and concentration - Time for personal and family life - Greater control of working life - Better management of home and work. - Supportive workplace that values staff.
Quantitative benefits	
<ul style="list-style-type: none"> - Cost of absenteeism - Cost of diminished productivity - Cost of staff turnover and recruitment 	<ul style="list-style-type: none"> - Cost of health insurance premiums - Cost of direct medical claims - Cost of customer satisfaction

Figure 4. Benefits of Work-life balance initiatives

A Tentative Analysis in Symbiotic Mechanism of Industry-university-research Institute Alliance

Yueyi Zhu & Shi Wen

Department of Law and Politics, Jiangsu Polytechnic University

Changzhou 213164, Jiangsu, China

E-mail: zhuyyi@sina.com

Abstract

At present, industry-university-research institute alliance is centered by the economic entity generated in the form of technology investment. This sort of alliance plays a symbiotic effect in the aspects of convergence of elements of innovation, development and transfer of achievements of innovation, etc. In order to further bring the symbiotic effect of industry-university-research institute alliance in practice, we have to make a good choice in cooperative partners, so that we can make the top-level design and create an innovative team. The government ought to give support and guidance to industry-university-research institute alliance and promote healthy development of industry-university-research institute alliance.

Keywords: Industry-university-research institute, Alliance, Mode, Symbiosis

Industry-university-research institute alliance refers to a new economic symbiont generated by convergence of advantage elements of an enterprise and a university or research institution (including inventors of achievements in these units and owners of their patent rights) through their mutual cooperation. The symbiotic mode of industry-university-research institute alliance, its symbiotic effect and the route of the symbiotic effect altogether have extremely important and positive significance to promotion of cooperation of industry-university-research institute.

1. Symbiotic modes of industry-university-research institute alliance

Compared with technology development, technology consulting, technology transfer, technology service and industry-university-research institute alliance, industry-university-research institute alliance is the highest pattern for cooperation of industry-university-research institute. From the perspective of organizational pattern, industry-university-research institute alliance is an economic entity, whereas other cooperative means are a sort of loose non-cooperative relationship; from the perspective of cooperative time, industry-university-research institute alliance is aimed at sustainable development, in pursuit of long term cooperation, whereas other cooperative means are a sort of temporary, aperiodic cooperation; from the angle of cooperative effect, scientific research, development, production and sales within industry-university-research institute alliance are closely linked, whereas other cooperative means tend to be out of line with each other in terms of scientific research, development, production and sales. Thus, industry-university-research institute alliance is faster in speed and more effective in terms of profit in the aspect of development and transfer of scientific and research achievements.

Symbiosis is an important characteristic of industry-university-research institute alliance. As a symbiotic economic organization, the primary generation form of industry-university-research institute alliance is point-to-point, which can not only be binary, but can also be diverse. The so-called binary generation form means that a single enterprise builds an industry-university-research institute alliance together with a single university or research institute. The so-called diverse generation form means that a single enterprise builds an industry-university-research institute alliance together with several universities or research institutes according to the technology chain, or that a single university (research institute) builds an industry-university-research institute alliance with several enterprises. That is to say, one point to multiple points. Thus, we can think in such a way that, the so-called industry-university-research institute alliance, refers to a for-profit economic entity organized by a production enterprise and a university or research institute to realize a common prospect by means of combining their own resource advantages, complementing each other's advantages, sharing interests and burdening risks. At present, there are mainly the following primary patterns for industry-university-research institute alliance.

1.1 To build an economic entity

To build an economic entity refers to technology innovation and development and industrialized legal entity registered in the Industrial and Commercial Bureau and Tax Bureau by two or more industry-university-research institutes by means of centralizing part of their human resources, material resources and financial resources to plan as a whole, manage with centralization and use with unification, in which these units burden responsibilities together, fulfill obligations together, share interests together and take risks together. There are two forms to build an economic entity, one sort of economic entity set up by technology investment. A university or research institute can set up an industry-university-research institute alliance with an enterprise through technology investment based on pre-existing mature technology. An industry-university-research institute alliance formed by means of technology investment can not only be attached to the original enterprise, but can also be used to build a new economic entity. The second sort of economic entity is formed by means of whole packaging investment. According to its own actual situation, the scientific enterprise of a university or a research institute can package as a whole, invest by pricing of shares and build a new economic entity. Its characteristics are as follows: closely connected scientific research, development, production and sales, adaptation of innovative achievements to demands of the market, short cycle of achievement transfer and fast effect yielding. This sort of closely connected industry-university-research institute cooperative mode is helpful for long-term cooperation between a university and research institute, helpful to generate advantages of economy of scale and to obtain better returns.

1.2 To build a research institute

According to characteristics of scientific innovation products, a university and research institute seeks for large and medium-sized enterprises as a partner that have high technical level, strong economic strength, wide marketing channels and good management level, and binds interests of itself and the enterprises together by means of close integration, regarding the development center, project research center and laboratory as the backup force of the enterprises. They jointly develop new products and make pilot plant test, centralize research achievements obtains into one enterprise, integrate research and development, production and market into a whole organization form, and look for “an interface” for combination of the research institute and enterprises, which become a fast “passage” for industrialization of scientific achievements.

1.3 Cooperative development of a project

A definite technology cooperation field and cooperation relationship exists between an enterprise and a university as well as a research institute. Although they do not separately register a new economic entity, the university, research institute and enterprise together set up a neutral combination form to carry out one or more product (technology) development, transformation of scientific and technological achievements. Each party prescribes their own right and obligation with the method of contract, which is a sort of contract integration with project as the bond. During this cooperation, the enterprise is still the subject of cooperation, because the enterprise is usually provider of research and development funds and the ultimate user of the project achievement. However, this sort of cooperative relation is often established with establishment of relationship of contract and is removed with removal of the relationship of contract of the project, so this method is mostly applied to temporary and dynamic industry-university-research institute cooperation.

The mode of industry-university-research institute alliance is not necessarily invariable, so a university, research institute and enterprise can select appropriate industry-university-research institute alliance mode according to their own practical needs and innovate this mode continuously in practice. It is a good mode as long as this mode can make full use of the human resource, intelligence and knowledge resource in a university and research institute, continuously accelerate the pace of scientific and technological innovation of the enterprise and promote optimization of product structure of the enterprise and improvement of the economic profit.

2. Symbiotic effect of industry-university-research institute alliance

Different economic organizations are integrated into a symbiont in order to realize sharing of resources or complementation of resources so as to promote optimization and improvement of resource allocative efficiency, which is termed as “symbiotic effect”. “Symbiotic effect” is similar to the “symbiotic phenomenon” in the biological world. The members rationally distribute such resources as technology and capital and generate a symbiont of “you in me and me in you”, that is, industry-university-research institute alliance, in which they are interdependent and develop hand in hand, which is called “symbiotic effect”. This sort of “symbiotic effect” of industry-university-research institute alliance is mainly embodied in the following several aspects:

2.1 Convergent effect

Convergence of innovative elements is the precondition of symbiotic effect. Industry-university-research institute alliance fulfills coordination and centralization of different social division of labor of scientific research, education and production in terms of function and resource superiority, and is connection and coupling of the upstream, middle and downstream of technological innovation. This sort of close cooperation goes beyond delimitation of a region and a country, and converges a lot of innovative elements, such as talents, market, technology and information, etc. Thus, the “agglomeration economy” of industry-university-research institute is formed, and scientific resources get optimization distribution, which is in accordance with development of the market economy and the general rule of technology innovation, and is the effective fulfillment form and approach for an enterprise to improve its independent innovation capacity.

2.2 Holistic effect

The holistic function is the foundation of symbiotic effect. All parties of an industry-university-research institute alliance offer their own productivity elements, and the process of mutual cooperation is, as a matter of fact, new and effective combination of all productivity elements, which enables the organizational resources provided by all parties for innovative activities to become a new entity. Therefore, we have to set up a unified organizational leadership in order to make sure working of the holistic function of the alliance, establish a common development target, speed up integration of all elements, bring into full play advantages of all parties, bring out the best in each other, form a new binding force and bring the holistic effect of the alliance into sufficient play.

2.3 Interactive effect

Benign interaction is the catalytic agent for symbiotic effect. There exists an interactive effect between all elements within the alliance and between the alliance and the parent, that is, to help each other forward and stimulate each other. The alliance provides a good environment for learning new technology. Members can not only learn at short range, experience personal apperception, exchange information mutually, make up for each other's deficiency, but can stimulate each other and bring innovative inspiration. The interactive effect based on this sort of common interests can promote close cooperation between members, generate a benign interactive mechanism, speed up innovation and development of symbiotic units and their parent, and improve the ability of subsistence and competition.

2.4 Innovative effect

To hasten innovative achievements is the direct presentation of the symbiotic effect. Technical innovation is a complicated system. It is difficult for a single enterprise, university and research institute to fulfill innovation and develop new products merely on their own as a result of different status and constraints of their own conditions in the chain of technical innovation, and it is also difficult for them to finish the whole process from technical development and achievement transfer. All parties of the industry-university-research institute alliance should select direction for breakthrough pursuant to the principle of “interest sharing, risk bearing, advantage complementation and development side by side” and according to the demand of the market, converge advantages of all parties involved, conduct effectively scientific development and achievement transfer, fulfill innovation of products, and especially develop products with propriety intellectual property rights.

2.5 Scale effect

To realize economy of scale is the primary target of symbiotic effect. What an industry-university-research institute alliance pursues is not simply addition of elements, but is to realize the amplification effect of $1+1>2$. To set up an industry-university-research institute alliance can reduce input of research and development, improve the capacity utilization of equipment and service efficiency of personnel, and largely economize cost of production. Besides, to set up an industry-university-research institute alliance can also enlarge scale of production, widen the market influence of products and improve the market occupancy of products.

3. Routes of fulfillment of the symbiotic effect of industry-university-research institute alliance

Complementation of advantages is the premise of generation of the alliance, common interest is the foundation for existence of the alliance and scientific management is the guarantee for deepening and development of the alliance. In order to bring the symbiotic effect of the alliance into better play, we have to abide by the economic rule of the market, establish and make sound the symbiotic mechanism in the whole process of the industry-university-research institute cooperation according to the requirement of the integration of science, technology and economy.

3.1 Careful selection of cooperative partners

Industry-university-research institute alliance is cooperation between different stakeholders. Thus, selection of cooperative partners is the premise of success of a project. Selection of cooperative partners mainly takes into consideration the following several aspects: one is that operation or research field of the two parties should be consistent, the second is strength of cooperation, and the third is good faith. An enterprise has to have good social image, strong economic strength and extensive marketing channel. The scientific research party should be equipped with strong research and development capacity; scientific achievement should be advanced and have market value; research personnel should have time for guidance at the scene, spirit of coordination and the quality of bearing hardships and standing hard work. Faith is the moral criterion for all parties involved in industry-university-research institute cooperation. All parties involved in cooperation should abide by the principle of faith in performing the protocol of cooperation, show consideration for interests of the other party and social public interests, prohibit regarding legal behaviors as a cover of illegality, or prevent the illegal behavior to deceive the other party by concealing the truth. All the above is extremely critical for research and development and for successful transformation of innovative achievements.

3.2 Careful top-level design

The top-level design of industry-university-research institute alliance is to make an overall plan and design at the highest level for development of the alliance, to set up a new mechanism filled with vigor, to lay "a blueprint" between the target and practice, to confirm developmental procedures and measures for development of the alliance, to unite all parties involved and to make efforts for fulfillment of the common target.

In terms of management system, since the industry-university-research institute alliance is a new economic entity established together by all parties involved, they have to set up a leading organ that can represent their common interests according to requirements of corporate governance structure, so as to realize unified leadership, strengthen cooperation and share resources. The alliance ought to set up perfect management regulations, divide labors rationally, make clear respective responsibilities, act according to the rules and lay good foundation for long term higher level cooperation.

The developmental strategic plan should be made meticulously for the alliance. Establishment of the alliance is conducted at different stages, each stage with different development target and focus, different mutual trust and degree of dependence and different degree of stability. The management level of the alliance ought to work out a strategy that can ensure its sustainable development by taking into consideration the entire situation of the industry and its development trend, put forward a series of development plans, improve the strategic management and performance ability and guarantee successful implementation of the strategic plan.

3.3 To build an innovative team with high level

Innovative team is a research collective formed on the basis of cooperation. In the industry-university-research institute alliance, we have to eliminate such a misunderstanding that innovation is what the scientific research party should do and production is what an enterprise should do. However, it is not the case. The scientific research party has to cooperate with the enterprise according to demand of the market and issues in production of the enterprise in terms of confirmation of the technical innovation direction and development of innovative products. In order to accelerate scientific innovation, the enterprise can build a project innovation team together with a university or a research institute, and combine effectively the excellent talents in an effective way. Establishment of a project innovation team is based on good selection of pioneers, and should absorb employees into the team with relevant professional knowledge and innovation capacity. We have to strengthen leadership to the team, shorten the chain of command, guarantee directness and fastness of information transmission, make clear the target of the team, conduct independent management, strengthen internal solidarity and coordination, establish performance appraisal system, intensify responsibility of members in the team and stimulate their enthusiasm in innovation. In addition, the alliance should attempt to demand of the project innovation team on human resource, financial resource and material resource. In one word, by means of establishment of the project innovation team, we should let members of the team collide out spark of intelligence through communication on this innovative platform of the team, bring more innovation inspiration, obtain greater innovation incentive and bring into full play the join forces of the team and advantages of the team.

3.4 Establishment of rational profit distribution mechanism

Distribution of interests is the most critical issue in running of an industry-university-research institute alliance, and plays a crucial role in development course of the alliance. Both of the two cooperative parties should, based on the principle of obligation, right and interest, deal with relationship between immediate interests and long

term interests, between local interests and holistic interests and between tangible interests and intangible interests, and set up a rational profit distribution mechanism, so as to promote development of innovative activities up to the hilt and motivate enthusiasm and creativeness of innovators to the greatest degree.

Property relation is the core to set up profit distribution mechanism. The structure of interests of the alliance is enslaved to arrangement of the property relation. And institutional arrangement of structure of the property right and structure of the interests then restricts distribution means of innovation profits of the alliance. In the joint-stock system alliance, usually an enterprise makes investment in the alliance with its own equipment, capital and labor force, whereas a university and research institute makes investment in the alliance with its own licensed technology. In whichever sort of alliance, the following issues have to be clearly prescribed: the issue of pricing of shares for investment of scientific research achievements, the issue of investment proportion and interest distribution of all parties involved, and the issue of the right of belonging of achievements. Especially, the intellectual property should be regarded as the central aspect to resolve the issue of profit distribution mechanism. Centering with creation, application and protection of intellectual property, parties involved should make clear obligation, right and interest of each party, guarantee interests of all parties in the alliance, and fulfill risk taking and interest sharing.

Remuneration system is the foundation for establishment of the profit distribution mechanism. The alliance should set up a effective remuneration distribution system with an effect of long term stimulation based on establishment of a modern enterprise system with clear property relations, diverse subjects of property right and perfect corporate governance structure, and give long term and effective stimulation to operation management personnel and technical backbones who participate in innovation by means of employee stock ownership, technology investment and stock option, etc.

Risk system is the key to set up profit distribution mechanism. Risks in industry-university-research institute cooperation mainly come from two aspects: one technical risk brought about by uncertainty of maturity of technical achievement and the other marketing risk brought about by inaccuracy of product market forecast. In the mode of industry-university-research institute alliance, the enterprise, university and research institute become the diverse investment subjects, and all parties involved in cooperation should altogether bear risk responsibility through negotiation and generate an industry-university-research institute cooperation mechanism in which interest and risk are burdened together.

Financial system is the guarantee to set up profit distribution mechanism. An independent finance calculation system should be established for industry-university-research institute alliance. In financial management, financial accounts should be public to subject of investment, and should be supervised automatically by relevant departments, calculating carefully, budgeting strictly, and cutting down expenses. Remuneration of the scientific research party should be linked up with economic benefit of the alliance, and it should not share benefits with the method of one time settlement, which is helpful for sustainable development of industry-university-research institute cooperation and innovation.

Stimulation by the government is an indispensable external condition for healthy development of industry-university-research institute alliance. The government should give focal guidance and support to this close type of cooperation of industry-university-research institute alliance by making a policy, building up the environment, and establishing a platform, innovate management and resource allocation means, continue to make perfect policies and measures, and lead the industry-university-research institute alliance into a deeper direction.

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The English Proficiency of Civil Engineering Students at a Malaysian Polytechnic

Ahmad Yasruddin Md Yasin

Department of Mathematics, Science and Computer
Kota Bharu Polytechnic, Km 24, 16450 Ketereh, Malaysia
Tel: 60-9-788-9344 E-mail: yasruddin@pkb.edu.my

Wan Mohd Haniff Wan Mohd Shaupil

Department of Civil Engineering, Kota Bharu Polytechnic
Km 24, 16450 Ketereh, Malaysia
Tel: 60-9-788-9344 E-mail: haniff@pkb.edu.my

Affidah Mardziah Mukhtar

Department of Civil Engineering, Kota Bharu Polytechnic
Km 24, 16450 Ketereh, Malaysia
Tel: 60-9-788-9344 E-mail: affidah@pkb.edu.my

Noor Izma Ab Ghani

Department of Civil Engineering, Kota Bharu Polytechnic
Km 24, 16450 Ketereh, Malaysia
Tel: 60-9-788-9344 E-mail: noorizma@pkb.edu.my

Farawaheeda Rashid

Department of Civil Engineering, Kota Bharu Polytechnic
Km 24, 16450 Ketereh, Malaysia
Tel: 60-9-788-9344 E-mail: farawaheeda@pkb.edu.my

Abstract

The purpose of this study was to investigate the English proficiency of civil engineering students of a Malaysian polytechnic. A questionnaire, modeled after the Programme for International Student Assessment (PISA) approach and The Secretary's Commission on Achieving Necessary Skills report was developed and administered to 171 civil engineering students. These students had completed a mandatory one-semester industrial training programme with various organizations. This post industrial training survey, through the use of a self-report questionnaire, provided an important opportunity to capture crucial data from students regarding their English language skills. Findings of this study revealed that the students frequency or ability of using the English language was low, irrespective of the type of workplace or level of study. Analyses of skill deficiencies revealed wide learning gaps between the acquired and required English skill attributes. Analysis of the survey data had also identified a list of important skill attributes in the workplace, and the four most highly valued English skill attributes were a combination of academic and specific job-related tasks: *understanding technical documents, correct grammar, vocabulary and sentence structure, writing test/investigation report and questioning for clarification*. The results of this study implied the need for curriculum changes (such as content and mode of delivery) so that polytechnic graduates could meet the workplace expectations.

Keywords: Employability skills, English proficiency, Skills gaps

1. Introduction and Background

Employability skills of fresh graduates have constantly received considerable attention in the local media. Lack of English language proficiency has often been cited as one of the major factors contributing to graduate unemployment. (Sharif, 2005). Jawhar (2002) stated that in the private sector, graduates are becoming unemployable as a result of lack of proficiency in the English language. Various surveys have been carried out on employers in relevant industries to gauge whether graduates are meeting industry needs and the recurring theme that emerged from these surveys has been the lack of English language skills among fresh graduates and workers (MoHE, 2008; Tneh, 2008; The World Bank, 2005; Ambigaphaty & Aniswal, 2005; Sibat, 2005). In generally, these studies implied that the majority of graduates and workers were limited users of English especially in writing and speaking.

Academics and the government have expressed their concern over the deteriorating level of English proficiency among the students in Malaysian schools and universities (Badioze Zaman, 1998). In 2000, the Malaysian Ministry of Education introduced the Malaysian University English Tests (MUET) with the objective of enhancing the English language ability of pre-university students. This was followed by the implementation of the teaching of science and mathematics in English in secondary schools in 2003 with the objective of enhancing the English proficiency of students when they enter universities or the job markets. Findings from studies conducted by the Malaysian Ministry of Higher Education MoHE (2006) and Pawanchik (2006) however, revealed that more than 50 % of MUET scores were either in Band 1 (extremely limited user), 2 (limited user) or 3 (modest user).

Studies on the mastery of the four skills (listening, speaking, reading and writing) and reading habits indicated that although students perceived English to be important for their academic needs, the language was mostly used for reading purposes only (Tan cited in Othman, 2005; Kaur and Thiyagarajah (1999)). In ranking the importance of the skills, students ranked writing as their least competent skill and regarded speaking and writing as the most important skills needed to master the language (Othman, 2005). Pandian as cited by Giridharan and Enriquez (2002) on the reading habits of students in Malaysia revealed that 80.1 % of university students were *reluctant readers of English language materials*. The lack of proficiency in the writing skills as required in the workplace is demonstrated by a study conducted by Stapa and Mohd Jais (2005) where students stated that the English programme that they went through before their practical training was inadequate in preparing them for workplace writing tasks.

Tong (2003) in a study on identifying essential learning skills in students' engineering education stated that the majority of employers expressed dissatisfaction with students' communication abilities. This ranged from failure in both written and oral communication skills to presentational and other work-specific communication skills such as informal discussions, public speeches and interviews. According to Riemer (2002), the concept of English for Special Purposes (ESP), will achieve more in the education of engineering students by focusing on the learner's attention on the particular terminology and communication skills required in the workplace. Attributes identified for English proficiency of engineering students are: 1) spoken language fluency, 2) written language fluency, 3) regional/national dialects, 4) technical terminology, and 5) professional jargon. The author also suggested that engineering exercises incorporate oral and written communication skills throughout the curriculum. This includes presentation and communications as part of the assessment process. Curry, Sherry and Tunney (2003) report of a project to identify the transferable skills graduates believed had been important to them in their careers since graduation. One of the main findings of the survey showed that oral communication skill was ranked as the most important transferable skill, ahead of presentation and writing skills. This finding is consistent with another study (Kwok, 2004) where students recognized the importance and the need to develop oral and written communication skills.

In the Malaysian polytechnic education system, English for Technical Purposes (ETP) is taught for 3 semesters for certificate courses and 5 semesters for diploma courses. The course content for ETP prepares students with study skill, information processing skill, reading skill, and oral communication skill. Other skills in ETP modules are report writing, job hunting, and description of object/product specification. These skills will initially be required during a mandatory one-semester industrial attachment programme with either government agencies or private organizations. Information collected from Malaysian polytechnic graduates through the Graduate Tracer Studies (2004 to 2008) confirmed the concerned expressed by the employers when the respondents opined that they lacked skills to converse and write in English. Responses from open-ended questions obtained from the graduates on the quality of teaching and learning in the polytechnics indicated their disappointment with the teaching of English in polytechnics. The findings of the Tracer Studies clearly showed that the teaching and learning of the English

language is, thus far, not effective in producing graduates with an acceptable level of English proficiency as required by the industry.

2. Objectives of the Study

The objectives of the study were as follows: (1) to assess the English proficiency of civil engineering (CE) students of a Malaysian polytechnic (i.e., in terms of their frequency of application, satisfaction on their ability and perceptions regarding their acquired and required proficiencies); (2) to determine the importance of different English skill attributes needed on the job for CE students; and (3) to determine the gaps between the acquired and required skill attributes as perceived by the CE students.

3. Methodology

3.1 Design

This study used a quantitative, descriptive design where data was collected to assess the English proficiency of civil engineering students. A survey instrument was designed specifically for this study. The instrument used comprised of demographic variables and four English proficiency components. These components were frequency of usage, satisfaction on ability and the acquired and required proficiencies.

3.2 Sample and Data Collection Procedure

This study involved 171 civil engineering students (97 diploma-level and 74 level-certificate programs) from a Malaysian Ministry of Higher Education (MoHE) polytechnic. These students had just completed a one-semester mandatory industrial attachment program with various engineering organizations. Eighty one students (47.4%) were males and ninety students (52.6%) were females. The students were briefed on the purpose of the study and instruction was given on how to respond to the questionnaire. The questionnaires were administered in-situ and all the response sheets were retrieved from the respondents.

3.3 Instrumentation

Items in the survey instrument was designed based on the Programme for International Student Assessment (PISA) and other literatures. This assessment approach, initiated in 2000 by the Organization of Economic Cooperation and Development (OECD) was to assess students across a range of skills required for a variety of tasks that the students have to perform. The definitions of the domains for this study (*reading, writing and speaking*) were adapted from the SCANS report on skills that were required to enter the workplace successfully. The report identified workplace know-how that defined effective job performance.

The instrument was divided into four parts. Part A was on the demography of respondent (sex, race, type of training provider (public/private) and core business of the training provider). Part B assessed the students' perception on the *frequency* of the usage of the English language during their training and a Likert-type scale was used with four choices (not use at all, used infrequently, used frequently, used very frequently). Part C assessed the students' perception on their *ability* to use the English language during their training. A Likert-type scale was used with four choices (not at all satisfied, not satisfied, satisfied, very satisfied). Part D assessed the students' perceptions of their acquired and required English proficiency. Four choices (not competent, slightly competent, competent and very competent) were used to rate the students' perception of their acquired skills and another four choices (not needed, not really needed, needed and essential) were used to rate the students' perceptions of required skills.

Cronbach's alpha was used to determine the internal reliability of the survey instrument which consisted of a thirty-six items scale. The instrument was tested in its entirety and the four individual sub-sections of the survey were tested independently. The Cronbach's alpha reliability coefficients for the individual sections of the survey ranged from a low of 0.727 to a high of 0.928. These results indicated moderate to high levels of internal reliability.

To test for construct validity, factor analysis was employed to determine whether the items could be classified into different categories. Four subscales and 36 items were originally developed for the questionnaire and, after factor analysis, the same four subscales and 36 items remained. All items have a loading of more than 0.4 on their *a priori* scale and no other scale. The percentage of variance ranges from 45.178 to 66.657 for different scales. The factor analysis of the items from the four subscales confirmed the factor structure of the questionnaire and these were operationalized as: frequency of usage, ability, acquired skill, and required skill.

3.4 Data Analysis

The Statistical Package for the Social Sciences program (SPSS) 11.5 for windows was used for analyzing the data. Statistical analyses were used to investigate the differences on the frequency of the application of the English language based on the type of training provider. The differences in the students' ability to use the English language

were also statistically analyzed based on their study levels. Further statistical analyses were used to investigate the differences between the students' acquired and required English skills.

4. Results and Discussions

4.1 Demographic Analysis

Demographic data collected on student participations included gender, race, English language achievement at Malaysian Certificate Education (SPM) level, study level (certificate or diploma programme), type of training provider (public or private sector), and industrial classification of training provider (e.g. housing developer, consultant, government agencies etc.). The English language achievement at SPM level was classified into 5 categories, whilst the type of training provider and its classification were divided into 2 and 4 categories respectively.

Slightly more than half (52.6%) of the respondents were females and Malays. 64.5 % of the respondents obtained grades of 7D, 8E and 9G for their English language subject at Malaysian Certificate Education (SPM) level (Table 1). As for the type of training providers, 43.6% of the respondents undertook their training with government agencies, compared with 56.4 % who did their training with the private sectors (Table 2).

4.2 Descriptive Statistics

4.2.1 Frequency of the Usage of English Language

The frequency of the usage of English language (oral, reading and writing skills) was compared between students who received training either in public (government-owned) or private organizations. The results (Table 3) indicated that students' use of English was more or less the same, irrespective of the place of training i.e. public organization ($M = 2.14$, $SD = 0.471$); private organization ($M = 2.15$, $SD = 0.409$). The mean 'frequency of usage' score of slightly more than 2.0 showed that students' usage of the language was not very frequent. This could be attributed to several factors: a) students' inability to communicate effectively, thus avoiding the used of the language on a regular basis, b) the training organization's main language of communication and its attitude towards the English language, and c) a combination of the above two factors. It is difficult to reach a firm conclusion regarding this finding since no information was gathered with respect to the training organization's language preference when communicating with the trainees. However, this finding supports the results of previous studies (Kaur & Thiagarajah; 1999; Othman, 2005; Pawanchik, 2006) regarding students' ability and confidence in using the English language at the workplace.

4.2.2 Students' Ability to use the English Language

The students' perceived ability in using the English language was compared between certificate and diploma-level students. The results (Table 4) indicated that the diploma-level students' perceived ability in using the English language was marginally higher ($M = 2.20$, $SD = 0.418$) than their certificate-level counterparts ($M = 2.14$, $SD = 0.426$). This result is inconclusive since an almost equal number of students from both courses obtained low grades of 7D, 8E and 9G in the Malaysian Certificate of Education examinations (Table 1). However, the mean scores of less than 3 for both certificate and diploma-level students indicated that the majority of students were not satisfied with their ability in the language. This finding validates the findings of previous tracer studies (Navi Bax and Mohamood, 2001, 2003; MoHE, 2005) of graduates dissatisfaction regarding their level of English proficiency acquired from the polytechnic education system. This finding also supports what previous studies (Cooper, 1987; Vazquez, Vazquez, Lopez & Ward; 1997; Dakroub, 2002; Nikolova & Taylor, 2003) have found regarding the relationship between ability level and language acquisition.

4.2.3 Students' Acquired and Required English Proficiency

The students' acquired and required English proficiency skills were compared to investigate the skill gaps and deficiencies. Based on the results of Table 5, this study showed that there were skills gaps between the acquired and required oral, reading and writing skills. The mean 'acquired' score of less than 3.0 indicated that the students were still not competent in the three domains of the language, i.e., oral, reading and writing skills. Thus, polytechnic educators and curriculum developers may like to examine this gap-in-skill deficiency and accordingly address this issue in the current syllabus.

4.2.4 The Rank Order of Required Skills

The students' perceived required skills were further investigated by ranking them in the order of importance (Table 6). In ranking the required skills and analyzing the data, past studies by Curry, Sherry, and Tunney (2003) and Tong (2003) were used as guidelines.

From Table 6, the skill of 'understanding technical document' was the top important skill, where 68.4 % of students rated 'understand technical document' as essential. The second top ranked skill was 'correct grammar, vocabulary and sentence structure' where 66.1% of students rated as essential. The third important skill was 'writing test/investigation report' where 64.3 % of students rated it as essential. However, the difference in mean scores between the second and third ranked skill attributes was very small (0.01 %). The skills of 'writing official document' and 'writing work summary' were both ranked fifth based on the same mean scores and the same percentage of students (51.5 %) that viewed 'writing official document' and 'writing work summary' as essential. The skill attributes of 'write official document' and 'write work summary' had the same mean score (3.47). Similarly, the skill attributes of 'explain technical terms orally' and 'understand work schedule' also had the same score (3.46). The difference in the mean scores is illustrated in Figure 1.

The ranking of *understanding technical document* as the most required English proficiency skill demonstrated the importance of introducing particular (technical) English workplace terminologies as recommended by Riemer (2002). The students' perception of the importance of reading skills also aligns with another study on job-related needs (Ong, 2002).

The 'writing incident/accident report' skill was ranked last by the students where only forty five percent (45 %) of students rated it as essential. Although the five skills of 'explain technical terms in written form', 'express opinion/ideas', 'write official document', 'understand written instructions', 'official/public talk' and 'write incident/accident report' were perceived to be the least important, the mean scores were still higher than 3.0. This was due to the fact that less than twenty percent of respondents viewed these skills as 'not needed' or 'not really needed'. As illustrated in Table 6, above eighty percent (80 %) of the respondents rated all thirteen skills as 'needed' and 'essential'.

4.2.5 Skills Gaps Analysis

The gaps between the acquired and required skill attributes were further investigated to determine the magnitude of skill deficiency. Table 7 and Figure 1 illustrated the difference in the mean scores of the required and acquired skills. The mean scores of the required skills would indicate the importance of those skills, whilst the mean scores of acquired skills would indicate the (actual) performance using those skills.

From Figure 1, the three most significant skill gaps between the required and acquired English proficiency were: presentation skills (official/public talk), understanding technical document, and writing test/investigation report). These three skills were ranked 12th, 1st and 3rd respectively, in the order of importance (Table 6). In contrast, the three least significant skill gaps were: understanding written instructions (ranked 11th), writing work summary (5th), and questioning for clarification (4th).

Revisiting Table 6, presentation skill was ranked second last in order of importance. It is difficult to explain the discrepancy between the ranking order and skill gap of the presentation skill (official/public talk). One possible explanation of this discrepancy could be due to the students' assumption that presentation skills were not greatly required for sub professionals. However, this assumption is not supported by the following studies on employability skills (Riemer, 2002; Curry, Sherry & Turney, 2003; Csapo & Featheringham, 2005). Hence, this negative assumption has to be corrected because as technicians or technical assistants, formal and informal communications with people within and outside one's organization are part of the job (Engineering Council, 2004). Similarly, a good grasp of technical terms in English and the ability to write technical reports would be helpful in enhancing the communication skills of the students. Hence, the teaching and learning delivery need to be reviewed so that the polytechnic students are competent in these three skill attributes.

5. Conclusions and Suggestions

This study revealed that the students frequency and/or ability of using the English language was low, irrespective of the type of workplace or level of study. The students' self-reports of their actual verbal, reading, and writing skills being lower than the corresponding required skills indicate that they have yet to master the skill attributes commonly needed at the workplace. The students' ranking of the English language skill attributes show that job-related tasks such as *understanding technical documents* and *writing test or investigation report* are regarded highly at the workplace. These scenarios imply that the present ETP syllabus has not been effective in developing students' skills where the existence of learning gaps between the actual and required skills shows that the subject contents do not fit the needs of the workplace. They also imply that job-relevant tasks should be prioritized in the teaching of the English language.

Given that the students acknowledge there are deficiencies between their actual and needed skills in the workplace, this highlights an urgent need to review the content and delivery of the ETP curricula. The present polytechnic

English for Technical Purposes syllabus focuses on the general basic skills required by students to enter the workforce. The syllabus is common to all the engineering disciplines taught in the polytechnic education system. Thus, civil engineering students are hardly exposed to the technical terms related to the civil engineering discipline. This problem is further compounded by the fact that the technical subjects themselves are mostly being taught in the Malay language. Hence, it is proposed that the English for Technical Purposes syllabus be designed differently for the various engineering disciplines so that engineering students will be more aware of their workplace language needs. The English for Technical Purposes syllabus should also give more focus on job-related tasks at the workplace.

The polytechnic education system has to respond to the needs of the workplace by producing competent graduates. Therefore, the design of the curriculum which includes the content of the syllabi, mode of delivery and assessment methods must be industry-related. Thus, this study as a whole provides useful information that could be used for further investigations on the English proficiency needs of polytechnic civil engineering students. This study could also be replicated for other engineering disciplines, such as mechanical and electrical. Further investigations could also be carried out on the other important employability skills such as problem-solving and critical thinking. The Engineering Technician Standard (Engineering Council, 2004) could be used as a guide in conducting the study. Findings from these studies would also help the policy makers, curriculum developers and polytechnic educators in designing and developing a curriculum which is relevant to the needs of the industry and therefore help to accomplish the national agenda to be a developed nation by the year 2020.

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Table 1. Classification of English Language Achievement (SPM) of Respondents (n = 171)

		English Language Grade (SPM)									Total
		1A	2A	3B	4B	5C	6C	7D	8E	9G	
Level of Study	Diploma	0	3	5	4	16	11	34	22	0	95
	Cert.	0	0	5	3	7	6	32	15	6	74
Total		0	3	10	7	23	17	66	37	6	169

Note: 2 diploma-level students did not state English SPM grade

Table 2. Industrial Classification of Training Providers

Industrial Classifications		Frequency	Weighted Percentage (%)
Public Sector	Government Agencies (e.g. JKR, JBA)	71	43.6
	Housing Developer / Contractor	72	44.2
Private Sector	Engineering Consultants	19	11.6
	Others	1	0.6
Total		163	100.0

Table 3. Descriptive Statistics for Frequency of Usage of English

	Type of Training Provider	N	Mean	Std. Deviation
English Frequency	public	74	2.14	0.471
	private	96	2.15	0.409

Table 4. Descriptive Statistics for Ability in English Language

	Level of Study	N	Mean	Std. Deviation
English Ability	certificate	74	2.14	0.426
	diploma	97	2.20	0.418

Table 5. Descriptive Statistics for English Skill Attributes (n = 171)

Skill Attributes	Acquired Skill		Required Skill	
	Mean	Std. Deviation	Mean	Std. Deviation
Oral	2.19	0.406	3.42	0.430
Reading	2.54	0.457	3.49	0.525
Writing	2.34	0.457	3.48	0.438

Table 6. The Rank Order of 'Required' English Proficiency

	Mean	Std. Deviation	Level of Requirement (%)				Rank
			1	2	3	4	
Understand technical document	3.63	0.583	0	5.3	26.3	68.4	1
Write with correct grammar, vocabulary and sentence structure	3.59	0.639	1.2	4.7	28.1	66.1	2
Write test/investigation report	3.58	0.622	0.6	5.3	29.8	64.3	3
Questioning for clarification	3.48	0.608	0.6	4.1	41.5	53.2	4
Write official document	3.47	0.577	0	4.1	44.4	51.5	5
Write work summary	3.47	0.587	0	4.7	43.9	51.5	5
Understand work schedule	3.46	0.662	1.8	4.1	40.9	53.2	7
Explain technical terms orally	3.46	0.576	0	4.1	46.2	49.7	7
Explain technical terms in written form	3.43	0.604	0	5.8	45.0	49.1	9
Express opinion, ideas etc.	3.42	0.611	0	6.4	45.6	48.0	10
Understand written instructions	3.39	0.699	1.2	8.8	39.2	50.3	11
Official/Public Talk	3.35	0.618	0.6	5.8	51.5	42.1	12
Write incident/accident report	3.33	0.686	0.6	10.5	43.9	45.0	13

Level of requirement: 1 = Not needed, 2 = Not really needed, 3 = Needed, 4 = Essential (4-point Likert-type scale)

Table 7. Skill Attributes and Mean Scores

Label	Skill Attributes	Mean Acquired	Mean Required	Mean Difference
A	Presentation (Official/Public Talk)	1.81	3.35	1.54
B	Expressing Ideas/Opinion	2.20	3.42	1.21
C	Questioning for clarification	2.58	3.48	0.90
D	Explaining Technical Terms Orally	2.16	3.46	1.30
E	Understanding Work Schedule	2.45	3.46	1.00
F	Understanding Technical Document	2.27	3.63	1.36
G	Understanding Written Instructions	2.89	3.39	0.50
H	Explaining Technical Terms in Written Form	2.23	3.43	1.20
I	Correct Grammar & Vocabulary (Writing)	2.27	3.59	1.32
J	Writing Official Document	2.33	3.47	1.14
K	Writing Work Summary	2.63	3.47	0.84
L	Writing Incident/Accident Report	2.33	3.33	1.00
M	Writing Test/Investigation Report	2.22	3.58	1.36

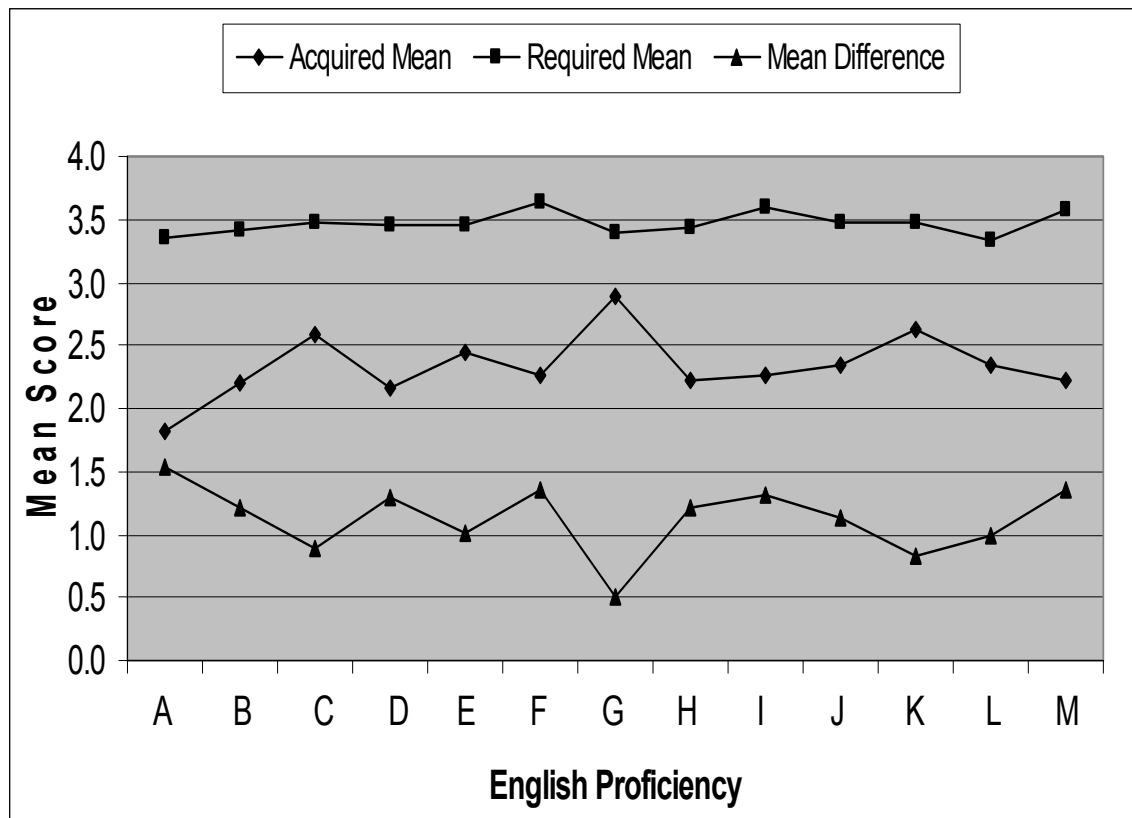


Figure 1. Skills Gaps between Acquired and Required English Skills Attributes

Value Assessment of Enterprise Marketing Channels

Lixia Yan

Zhongyuan University of Technology

Zhengzhou 450007, Henan, China

E-mail: yanlixiazzi@126.com

Abstract

The factors that impose influence on the value assessment of enterprise's marketing channels are numerous, and complex in relations with each other. Whether the value of enterprise's marketing channels is good or not can finally be determined by using principal component analysis to eliminate the related effects among the assessment indicators and reduce the workload of selecting indicators, and expert evaluating and assessing the value of enterprise's marketing channel by relevant indicators.

Keywords: Marketing channel, Value assessment, Principal component analysis

1. Introduction

Marketing Channels refers to the concrete passages or paths through which the products and services transfer from the producers to the consumers. As the marketing environment of enterprises at present is constantly changing, the establishment of high-value marketing channels has becoming the key to influence the market's marketing ability and thus get successful in competition. Therefore, enterprises have to make decision in terms of the channel's value, from the selection of the channels' design plan to the periodic analysis of existing channels, even to the adjustment of the overall marketing channels. The value of marketing channels is an issue of polytomy variable. When statistical analysis is used to study problems of polytomy variable, the number of the variable, if many, will make the analysis more complex, thus, attempt to reduce the number of variable but keep the information content unchanged proves to be the key to solve such problems. Conventional value assessment of marketing channels usually proceeds from the angle of performance. However, in practice, there are so many factors influencing the assessment of enterprise's marketing channels and what's more, the relations among them are intricate. Principal component analysis is such a statistical method that converts one multivariable who relates to each other into few aggregate variables that is unrelated to each other. Moreover, making the variance contribution rate of the principal component as the weighting can give birth to an objective scoring model for the object to be assessed.

2. Methods

Principal component analysis is also called factor analysis, whose basic principle is to form a linear combination fit to original variables to produce a series of new discrete variables, from which a few variables are chosen and make them contain enough information that the original variables bring. Then such several new variables are used to analyze and solve problems, thus making problems relatively simpler. The principal component analysis consists of the following steps:

(1) Initialization indicators

If provided with P indicators, and n objects observed, there will be n P-vector, which can be expressed by matrix table.

(2) Normalizing processing is taken for the matrix above and a relative matrix of variables will be created, whose formula is as follows:

$$\bar{X} = \frac{1}{n} \sum_{j=1}^n X_{ij} \quad (i=1,2,3,\dots,p)$$

$$S_j = \frac{1}{n-1} \sum_{j=1}^{n-i} (X_{ij} - \bar{x}_i)_{n-1} \quad (i=1,2,3,\dots,p)$$

$$R=(r_{ij})_{p \times p}$$

(3) Calculation of characteristic root of related matrices

Upon calculating related matrices, the characteristic values of such matrices shall be figured out respectively.

And then evaluate the characteristic roots of P for a in accordance with the characteristic equation $|R - aE| = 0$.

$$0 \leq a_1 \leq a_2 \leq \dots \leq a_p$$

(4) Calculation of the contribution rate and expression of principal component

Define $r_k = a_k / \sum_{i=1}^p a_i$ as the contribution rate of the K^{th} principal component, and $\sum_{i=1}^m a_i / \sum_{j=1}^p a_j$ as the

cumulative contribution rate of principal component from the first to m^{th} . In the actual problems, if the cumulative contribution rate of principal component from the first to m^{th} exceed over 85%, these principal components from the first to m^{th} can replace all the original assessment indicators.

(5) Calculation of the value of principal component

The comprehensive assessment shall be conducted on the basis of the principal component. The comprehensive assessment indicator V can be valued as the weighted average of the principal component from the first to m^{th} , the weight number as the contribution rate. All channels can be ranked in accordance with the V value. The one with the largest V value is the channel to be chosen.

3. Assessment Indicators and Processes of Enterprise Marketing Channels

3.1 Assessment indicators of marketing channels

The path that products transfer from the producers to the consumers is marketing channel. Marketing channels vary with such factors as channel structure and channel member. Therefore, enterprises are in face of decision on optimization of marketing channels. In practice, to make assessment and selection for channel values, enterprises should have a set of indicator system to assess and select the channel values. Currently, enterprises depend on channel objectives and various channel limit conditions (such as products, market conditions and enterprise's own conditions) to make decision on marketing channels. Understood from maintaining the sustained competitive power, ensuring channel members' satisfaction and proving strong support for enterprise marketing management, the assessment of marketing channels is a comprehensive assessment problem of multiple levels, factors and objectives; its operation is effected and limited not only by the large system of society outside, but also by its own current operational factors inside, and even more by structure deep in the enterprise's channel system. The assessment indicators of channel values should consist of channel's controllability, completion of channel objectives, satisfaction of channel members, channel costs, channel's stable sustainability and channel efficiency.

3.2 Processes of enterprise marketing channels

According to the characteristics of enterprise products and the marketing situation, and in combination with the principle of principal component analysis for multivariate statistics, the process of enterprise marketing channels is as follows:

Step 1: determining the assessment factor of marketing channels;

Step 2: establishing expert group and scoring;

Step 3: acquiring original data;

Step 4: establishing the model of principal component analysis;

Step 5: establishing comprehensive assessment model

Step 6: calculating and comparing assessment analysis

4. Examples of Value Evaluation on Enterprises Marketing Channel

4.1 Defining the evaluation factors and mark

According to the actual situation of the enterprises and the related channel evaluation standard, the evaluation

factors of the value evaluation models of enterprise marketing channel can be designed as follows:

- X₁.....The steerability of channel
- X₂.....The completion of Channel objective
- X₃.....The inspiration to channel members agent
- X₄.....Channel cost
- X₅.....The stable and sustainable capacity of channel
- X₆.....Channel efficiency

4.2 Obtaining the raw data by taking expert marking

Marking rules mean that every expert mark channel' situation of every year under every evaluation. The most optimum one can gain 9 scores, while the least optimum one gain 1 score. After a preliminary statistical, the scores of channel at every year under every evaluation factors has been reached, see the table below:

The score table on overall evaluation of marketing channel

The year of channel	Evaluation factors					
	X ₁	X ₂	X ₃	X ₄	X ₅	X ₆
2006	6.5	2.5	3	7	3.5	5
2007	7	2.5	2.5	6	3.2	5.8
2008	7.5	2.5	2	5	3.1	6.4

4.3 The establishment of value evaluation models of enterprise marketing channel

(1) Get the correlation matrix R

Write the data table above as matrix

$$X = \begin{pmatrix} 6.5 & 2.5 & 3 & 7 & 3.5 & 5 \\ 7 & 2.5 & 2.5 & 6 & 3.2 & 5.8 \\ 7.5 & 3 & 2 & 5 & 3.1 & 6.4 \end{pmatrix}$$

After normalizing the matrix, we get:

$$X = \begin{pmatrix} 1 & 0.59 & 1 & 1 & 1.1 & 1.04 \\ 0 & 0.59 & 0 & 0 & 0.26 & 0.1 \\ 1 & 1.14 & 1 & 1 & 0.81 & 0.96 \end{pmatrix}$$

x_{ij} is the sample correlation coefficient between X_i (the factor i) and X_j (the factor j). sample correlation matrix is R=(r_{ij})_{6×6}. After calculating, we get sample correlation matrix R as a symmetric matrix.

$$R = \begin{pmatrix} 1 & 0.49 & 1 & 1 & 0.94 & 1 \\ 0.49 & 1 & 0.49 & 0.49 & 0.18 & 0.43 \\ 1 & 0.49 & 1 & 1 & 0.94 & 1 \\ 1 & 0.49 & 1 & 1 & 0.94 & 1 \\ 0.94 & 0.18 & 0.94 & 0.94 & 1 & 0.96 \\ 1 & 0.43 & 1 & 1 & 0.96 & 1 \end{pmatrix}$$

(2) Obtain characteristics root and eigenvector of R

Find 6 characteristics roots by |R - aE|=0. Among the 6 characteristics roots, a₁=5.12 a₂=0.87, the corresponding contribution rates are r₁=0.83; r₂=0.14, the contribution rates have reaches r₁+r₂>0.90, in other

words, the principle component has included 90% information, therefore, we can use this principle component as a new aggregative indicator to replace the primary 6 indicators.

$$A_1 = |0.44 \quad 0.22 \quad 0.44 \quad 0.44 \quad 0.41 \quad 0.44|$$

$$A_2 = |0.001 \quad -0.92 \quad 0.001 \quad 0.001 \quad 0.37 \quad 0.001|$$

(3) Calculate main components and evaluate.

$$Z_1 = 0.44X_1 + 0.22X_2 + 0.44X_3 + 0.44X_4 + 0.41X_5 + 0.44X_6$$

$$Z_2 = 0.001X_1 - 0.92X_2 + 0.001X_3 + 0.001X_4 + 0.37X_5 + 0.001X_6$$

Solve:

$$\text{For channel 2006 year} \quad Z_1 = 11.49 \quad Z_2 = -0.39$$

$$\text{For channel 2007 year} \quad Z_1 = 11.28 \quad Z_2 = -0.44$$

$$\text{For channel 2008 year} \quad Z_1 = 11.17 \quad Z_2 = -0.89$$

Upon that, enterprise marketing channel value evaluation collective model is:

$$V = 0.83Z_1 + 0.14Z_2$$

Substitute Z_1, Z_2 in different years separately in the collective model above, we get:

$$V_1 = 9.845$$

$$V_2 = 9.3$$

$$V_3 = 9.15$$

It is obvious that, during the years 2006, 2007 and 2008, the marketing value of this enterprise has changed, and had declined every year, that is: the marketing value of this enterprise has dropped from 9.845 in year 2006 to 9.15 in 2008, $V_1 > V_2 > V_3$. Although the fall was small, in 2006 and 2007, separately drop 2% and 3.5%, the decline of the marketing value of this enterprise is the integrated representation of the situation that all aspects of the channel have problems, meanwhile, it is also the sign that the channel must be adjusted. Therefore, the enterprise should find out the causes of the decline of the marketing value of this enterprise, adjust the channel, and ensure the continuous upvaluation of channel on the base of fulfilling the primary channel's value.

5. Conclusion

Evaluating the enterprise channel value by principle component analysis is not only suitable for vertical channel comparison but also suitable for lateral channel comparison, and can not only selectively evaluate various channel plan but also evaluate the current channel value. So, this model provide simple and practical method for the enterprise to make right choice and adjust the channel correctly. This method applies to all the enterprises. When use this method, different enterprise should firstly adjust the evaluation indicator from the practical situation, and according to the channel value evaluation target, and secondly scientifically and rationally chose and the personal component should make sure the primary data obtained for marking is true, reliable and representative.

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Maze and Regression of the Mainstream Culture in the Context of the Multi-cultural Impact

Guangbo Mou
Dezhou University
Dezhou 253000, Shandong, China
E-mail: dzwxbs@163.com

Abstract

This text discusses the five aspects that the mainstream culture has lost itself in the value of the university students in the context of the multi-cultural background. It points out that the maze of the mainstream culture has reached a serious degree. It is a matter of urgency to rescue the mainstream culture and make it revive. This article defines the legal basis of constructing the mainstream culture, the orientation of the construction and the standard of socialist value so that the connotation of the mainstream culture will be more specific and the outline of the mainstream culture will be clearer, as will play an active role in promoting the construction and development of the mainstream culture.

Keywords: Multi-culture, Mainstream culture, Maze, Regression

Multi-cultural background refers to a complex of deepening globalization, more frequent exchanges of economy, culture, and thought, fast-developing science and technology, the advent of information technology, competitive economic trends, fiercely violent ideological value, differentiated social stratum and the continuously changing lifestyle.

Nowadays, economic globalization and cultural diversity result in an unprecedented degree of shock and exchanges among different nations. These do not only reflect the fusion between different cultures but also include the conflicts and contradictions among cultures. Affected by the cultural diversity and pluralism of value, the mainstream culture with socialist value as the core, has been suffering a great impact. Chinese University Students have encountered many obstacles in faith or in ideal. The negative influences brought by some decadent and declining ways of life on college students can not be underestimated. Moral disorders, lack of honesty, phenomenon of counterfeit, and fraudulent activities have been further spread. Feudal superstition, heresy, pornography, gambling, drugs and other social evils have risen again. Money worship, hedonism and individual extremism have flourished. The abuse of power and other negative phenomena of corruption can not be completely prohibited. All these have produced great negative impact that can not be ignored on the college students. In addition, some international hostile forces use various means to accelerate the ideological and cultural infiltration to the university students in China. For example, college students show their resentment, misunderstanding, and inimical emotion against the socialist ideals and other educations of the mainstream culture. The overflow of the plural culture has resulted in a severe impact on mainstream culture, which has gradually withdrawn from the value of the college students.

1. The impact of “extreme individualism” on the value of the college students

Today, because information has very well developed, it is convenient for the contemporary Chinese college students to learn about the life styles of the foreigners through the Internet, books, magazines and other forms. Furthermore, the extreme individualism embodied in the life styles has produced far-reaching influences on the value and way of life of the college students. College students belong to an independent thinking group. They demand individuation or personality and personal development and hate the constraints from the authority. The Western individualism just can meet their needs. Tired of the authority from the mainstream culture, many students have accepted individualism and regarded it as a bargaining chip against the education of socialist ideals and beliefs. When dealing with the relationship between nation and person, society and person, collective and individual, they turn to a high degree of individual centrism.

2. The impact of money worship on the value of the university students

People's concept of economy has changed a lot. In the Western society, profit is valued more than justice. Personal struggle is stressed too. Especially, successful people are respected for they have made outstanding contributions to the community. All these have produced great impacts on the traditional Chinese concepts, that is, justice is superior to profit and business people are underestimated in society. More students are aware of the importance of economic development and the essentiality of realizing the improvement of their material life. However, being affected by the guiding trend of economic interests, to some degrees, some college students have distorted their understanding of money and material and transferred their life objectives of contributing to the society to the individual's development and the pursuit of wealth. Because of pursuing extreme personal interest, the college students will not pay more attention to the development and progress of the society any more. Indulged in money or material worship, they have lost themselves and can not fulfill their contributions to the society. Social survey showed that in a questionnaire of "what is happiness", 55% of the students think that happiness means enough money, successful business and harmonious family. And money was put in the first place. Students, in the life planning process, are obviously affected by the thought of money worship. They stress their pursuit of money and material comforts and weaken their insistence of the social contribution.

3. The impact from the extensive introduction of a variety of Western political thoughts in the wide range on the value of the college students

Western political thoughts are in flood. Especially, some international hostile forces adopt various means to accelerate the assimilation and erosion to the university students politically and ideologically. Early in New China, they put their hope of peaceful evolution of China on the third and fourth generation, that is to say, the present young people. By now, they have not given up this strategic scheme. By a variety of means, they are imbuing into Chinese students the Western bourgeois political views, value, and way of life in an attempt to achieve their political goals in an imperceptible way. On the contrary, the ideological and political education in China is not optimistic. Some local departments or authorities and school leaders have not attached enough importance to ideological and political education. The resultant force from the whole society of stressing and supporting the ideological and political education has not yet been formed. Ideological and political theory courses in schools are lack of effectiveness. Textbooks of philosophy and other social science disciplines are lagging behind. The ideological and political education is straying away from the students' ideological reality. A small number of schools have not put the ideological and political education in the first place throughout the whole process of teaching. Student management is not in line with the requirements of the situation development. Ideological and political education needs further strengthening. A few teachers can not completely qualify for their posts. Such a negative situation of "strong West and weak China" has seriously affected the shape of the right ideological and political beliefs of college students. It can even shake their confidence of the leadership of the Chinese Communist Party and of Chinese politics.

4. The unfairness in the social changes and adjustment process has produced impacts on the value of the college students

College students are concerned with the state and society. However, the phenomenon of some unfairness in the process of social changes and adjustments makes them in great maze. Since the implementation of the reform and opening policy, China has seen a new social class differentiation, the emergence of new private entrepreneurs and the new working class. Social contradictions have accumulated and got prominent. The corruption of some Party members and officials, the social polarization, and the fact that the vulnerable groups are in unfavorable situation of society have produced a serious negative impact on the value of the university students. They have gradually lost the ideal that they have pursued and begun to question the possibility of building a harmonious society. What is more important is that the social injustice reduces their strong sense of identity. Their consciousness about the mainstream culture of devoting themselves to the nation and society is in maze.

5. The impact of network culture on the value of the university students

Contemporary college students are living in the era of information explosion. Particularly, the proliferation of Internet culture makes the students get lost in the ocean of information. The appearance of Internet has promoted the communications among people and accelerated the pace of transferring knowledge. However, there are good and bad net cultures. The filthy reality severely affects the formation of the mainstream cultural consciousness of college students. Online games, online chat and love matters, pornographic movies, or even reactionary words, evil crimes, and undesirable information against the governments and other people regardless of social and moral constraints on the network, the superficial cultural activities such as fast-food love, cultural fast food, etc have

come into being. The mixed and confused activities seriously affected the shape of the healthy ideals and beliefs of college students and resulted in the decline of the college students in mainstream cultural consciousness. China's mainstream culture has been in maze like this. When we ask, "what is the mainstream culture in China today", for the students in the college campus, adults, and those teachers "imparting knowledge and solving the problems" is not an easy thing. Faced with this severe situation, I think that exploring the true meaning of mainstream culture and letting the mainstream culture of China to re-occupy the campus or even the main front of the whole field of social consciousness brooks no delay.

If we want to understand the connotation of the Chinese mainstream culture, we must explore the most fundamental ideological and theoretical foundation of the socialist mainstream culture and make clear what is the nature of China and what is the conduct code of a citizen of the People's Republic of China and what is the core socialist value. Back to the root, we can find that China does have the basis for constructing the socialist mainstream culture. We have named our country as the People's Republic of China and the Constitution clearly states the nature of socialism of China. This is the most fundamental ideological and theoretical foundation for building the socialist mainstream culture. We believe that "Constitution of the People's Republic of China" and "Implementation Program of the Civic Virtue of the People's Republic of China" and Hu Jintao's socialist Concept of Honor and Disgrace can reflect the guiding ideology for constructing the mainstream culture of China.

5.1 "Constitution of the People's Republic of China" is the fundamental legal basis for the mainstream culture construction

The first article of the Constitution prescribes that the People's Republic of China is a socialist state of the people's democratic dictatorship led by the working class and based on the alliance of workers and peasants. The socialist system is the basic system of the PRC. Any organizations or individuals are prohibited to destruct the socialist system. The second article is that all power of the People's Republic of China belongs to the people. Article VI is that the basis of the socialist economic system of the People's Republic of China is the socialist public ownership of means of production, namely, the ownership by the whole people and the work masses collectivity ownership. Socialist public ownership system wipes out the exploitation system and carries out the principle of distribution according to work. Article XII stipulates that socialist public property is inviolable. The state protects socialist public property. Any organization or individual must not seize or destroy any state and collective assets by any means.

5.2 Implementation Outline of Civic Virtue of the People's Republic of China is the direction of the mainstream culture construction

Implementation Outline regulates that socialist ethics should adhere to taking serving the people as the core, collectivism as the principle, loving China and the people, loving labor, science and socialism as the basic requirements, and social morality, professional ethics and family value as the focal points. During the course of constructing the civic morality, these should be specified and standardized to be the norms of behavior accepted and obeyed by all citizens. Especially, "serving the people, as the core of constructing civic morality" is a significant sign that the socialist moral distinguishes itself from other social forms of morality. "Collectivism as the principle of constructing civic morality" is the necessary requirement of socialist economic, political and cultural development. "Love China and the people, love labor, science and socialism, as the basic requirements of building civic morality" is the legal obligation and moral responsibility that every citizen should bear.

5.3 Hu Jintao's famous exposition on socialist "honor and shame" reflects the socialist value, that is the "Eight Honors and Eight disgraces"

Love the country, do it no harm. Serve the people, do no disservice. Follow science, discard ignorance. Be diligent, not indolent. Be united, help each other; make no gains at other's expense. Be honest and trustworthy; do not spend ethics for profits. Be disciplined and law-abiding; not chaotic and lawless. Live plainly, struggle hard; do not wallow in luxuries and pleasures.

In today's society where plural culture is flooding arbitrarily and the mainstream culture loses its way, we must in the whole society, especially in the campus vigorously advocate the socialist mainstream culture, set things right, completely know the direction, unify ideas, adhere to Marxism as the guidance, take the common ideal of constructing socialism with Chinese characteristics as the goal, insist on serving the people and adhere to the "Eight Honors and Eight Shames". We should let the mainstream culture re-occupy the socialist positions on campus, and really realize that the dominant culture enters schools, classrooms and affects the minds.

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Elements of Language and Assimilation of Malay Language in Baba and Nyonya Community in Malaysia

Dr. Vijayaletchumy Subramaniam

Department of Malay Language, Faculty of Modern Languages and Communication

Universiti Putra Malaysia

Serdang, Selangor, Malaysia

E-mail: letchumy@fbmk.upm.edu.my

Wan Muna Ruzanna Wan Mohammad

Department of Malay Language, Faculty of Modern Languages and Communication

Universiti Putra Malaysia

Serdang, Selangor, Malaysia

E-mail: munaruzanna@yahoo.com

Abstract

The purpose of this research is to identify the elements of language and to study the strength of the assimilation of the Malay language used by the Baba and Nyonya in Malacca. This research is focusing on the aspects of language that cover the usage level of the language, pronunciation, spelling, vocabulary and others. This research uses library research, survey, observation and interview. Questionnaires have been distributed to all respondents as the procedure to conduct the research. The level of the assimilation of the Malay language in Baba and Nyonya has been analyzed from the angles of frequency, mean and standard deviation and are explained rationally.

Keywords: Elements of language, Assimilation, Baba and Nyonya Community

Background

One of the clusters that used Malay language in the peninsular Malacca was Chinese, and they used it from generation to generation since they lived there long time ago. They did not use the Chinese language at that time. In fact some of them even married to the locals and they termed themselves as Baba and Nyonya. The language of this Baba and Nyonya in Singapore, Malacca and Penang was known as the varieties of Baba Malay language. The language of Baba and Nyonya is the mixture of the Malay language and the Hokkien dialect. Most of the grammar aspects in Baba and Nyonya language came from the Malay language. However, this Baba language is different from the Malay language in so many aspects. That is the reason why it is different from the Malay language. The Baba Malay language has absorbed many Chinese words, such as 'lai' (Hokkien dialect) for the word 'come' and many other examples that Malay community does not understand until the 19th century, when Baba started to develop its stable and unique community. The use of Malay language is one of the unique aspects that this community has. From the mixture of the languages, one language was born which later they called it Baba language and they used it as the mother tongue of the community (Shellabear, 1913).

Objective of the Study

To identify the elements of language and the strength of the assimilation of the Malay language in the Baba and Nyonya daily lifestyles in Malacca.

Importance of the Study

This research is important to the new generations of Baba and Nyonya so that they will not regard the Baba language as a dead language.

Past Research

Louis Wirth (1945), assumed that the Chinese community who lived at the river bank of Sungai Kelantan as the assimilation cluster because they were not only using Bahasa Melayu as the daily communication tool, but the way they dressed up was very similar to the Malay people and most of their aspect of lives were also similar to the local Malays. They even called themselves as 'Chinese-Malay people'.

METHODOLOGY

Research Limitations

This research is limited to people from the Baba and Nyonya community who have been used as the respondents of this research. This research also focuses on the elements of language and the strength of the assimilation of the Malay language in the Baba and Nyonya daily lifestyles in Malacca

Research Design

- i. *Library research*: This method is used because there so many magazines, journals and thesis and books that have been used as references to hold the arguments strongly.
- ii. *Interview*: Researcher has interviewed respondents to gather clear and accurate information.
- iii. *Observation*: Researcher also has done an observation towards the lifestyle patterns of the Baba and Nyonya community.

Research Instruments

- i. *Questionnaire*: The questionnaires have been distributed to the respondents to answer all the questions asked to them.
- ii. *Tape recorder*: Is used to record the interaction and daily lifestyle pattern of the Baba and Nyonya community.

Data Analysis

- i. *SPSS*: The raw data obtained are transferred to the SPSS programme. The data was analysed by using the format based on the research category conducted. The data obtained was analysed quantitatively to get the frequency, mean and standard deviation.

Research Findings

Objective: To identify the elements of language and the strength of the assimilation of the Malay language in the Baba and Nyonya daily lifestyles in Malacca.

Language Use at Home

Based on the questionnaires, observation and survey done while conducting the research, the following findings are obtained:

Insert Graph 1 here

Parallel with the objective above, researcher would like to see the outcome from the prospective of language assimilation; combination of Chinese and Malay which later on gave birth to this Baba Malay language.

Graph 1 above shows the language used by the Baba and Nyonya in their daily lifestyles. Most of the Baba and Nyonya are still using the Malay language in their daily conversation.

The Malay language is still playing its important role in their lives when 48% of the Baba and Nyonya still use Malay language. Although, the usage of Malay language does not reach 50% yet, we can still be proud of it. This happens because the Baba and Nyonya love what their great ancestors had left them with.

To the earliest generation who are still alive and well, they feel fresher in using the Baba Malay language as their mother tongue when communicating with the locals and their family members. As for the family members who come from the new generation, they have to learn the language in order for them to communicate with the old ones. Since they are still maintaining their settlement and spending their life in that particular area, their Malay language is getting better and better. This is so very different from today's generations.

From the other aspect, language mixture such as the use of Malay language and Chinese, and 'rojak language' (the use of both languages alternately) is widely used. The percentage of using Chinese and Malay language is 38%. The mixture of these languages is due to the factor of sending their children to Chinese schools. This happens when the parents are actually Baba and Chinese and they are inclined to follow the Chinese culture more than the Baba's. As a result, the children learn Mandarin and it becomes their mother tongue.

Insert Table 1 here

Table 1 shows the usage of language for the daily conversation of the Baba and Nyonya. There are altogether 65 Baba and Nyonya used as the respondents. From that number, 47.7%=31 respondents still use Malay language as their medium of interaction at home. 38.5%=25 respondents use the mixture of Malay and Chinese (Baba language). Only 13.8%=9 respondents use other languages. These respondents use English language as their medium of communication. This matter shows that Malay language is still obvious to be used by the Baba and Nyonya. Based on the interview done, it is found that if in the family, they have old people, automatically they will be using the Malay and the Baba language. The mean for the language used is 2.18 and the standard deviation is 1.184.

The Level of Mastering the Malay Language**Insert Graph 2 here****Insert Table 2 here**

Graph 2 and Table 2 above show the mastery level of Malay among the Baba and Nyonya. From the aspect of communicating, there are 57 respondents = 87.7% can speak fluently. From the aspect of reading, 47 = 72.3% of the respondents can read properly. And last but not least, from the aspect of writing, 46 = 70.8% respondents can write.

This case shows that, all respondents have the basic knowledge of the vocabulary of the Malay language because the respondents know how to speak the language. The respondents can also read and write well. This is because the alphabetical letters of English language are similar to the Malay language and ~~with~~ other languages in the world. However, the Chinese language has different alphabetical letters from the Malay language and it is known as calligraphy.

The new generation is very fluent in communicating, reading and writing in the Malay language because they receive their education from the Malay medium schools (both primary and secondary schools). They are also exposed to the mixture of languages if happens that the Baba and Chinese married together. This matter will somehow affect the usage of their Malay language, but will upgrade their mastery of the Chinese and English language.

Table 2 shows the mean distribution and standard deviation depending on the dimension that measures the level of mastery of the Malay language to the Baba and Nyonya community. It is found out that the highest mean for the writing dimension is 2.00 and the standard deviation is 0.612. This means that, the writing dimension is the most influenced dimension compared to speaking and reading. In the Baba language, there is a short form system to shorten words in Malay by dropping the syllables of the word. Among the words are:

Insert Table 3 here

Table 3 shows the situation of shorten down certain words that exist in the Baba language. On the other hand, there are also cases like, errors in pronunciation. For instance, 'ambil' – *take* (BM) becomes 'ambek' (BB), 'kerusi' – *chair* (BM) becomes 'krosi' (BB), and these errors are more obvious to the word 'pengantin' – *bride* (BM) becomes 'kēmantēn' (BB).

Insert Table 4 here

Table 4 displays the changes made in the Malay language done by the Baba and Nyonya community. The word 'tingkap' – *window* (BM) has been changed to 'menyelah' (BB). In Malay, there is also word that has similar meaning with 'menyelah' (BB), and the word is 'selak = menyelak' (*browse / peep*) (BM) which means looking at the other side. The word 'rezeki' – *good fortune* (BM, BA) has been changed to 'jerki' (BB), the changes to these words are not made up, but the Baba and Nyonya is naturally cannot pronounce the letter 'r' correctly. This is similar to the word 'sumpit' (BB), the Chinese do not have the syllable 'se' in the Chinese language, so the replacement is made by the syllable 'sum'.

Insert Table 5 here

Table 5, shows some borrowed words from Java and Indonesia. This situation happens due to the interaction that the Baba had with the Javanese from the Java Island who came to Tanah Melayu last time.

Insert Table 6 here

Table 6 shows words that are borrowed directly from the Malay language and 'market language'. From the Baba word 'kasi', 'bini', 'bikin', 'jantan', and 'betina' are considered as the 'market language' to the Malay language. Those words are uttered in certain places only; market, during informal communication with friends and in one's

hometown. This is because the words are rough and negative and only at those places mentioned above the words are suitable to be used in the conversation.

Insert Table 7 here

Table 7 shows the combination of Malay and Chinese language (Hokkien). The word 'ayam tim' (BB) which means 'ayam kukus' - *Steamed Chicken* (BM). This word is the combination of the word 'ayam'-chicken (BM) and 'tim' (BC – Hokkien) that means 'steam' in Malay. This is similar to the word 'batu boh' (BB) which means 'batu giling'-hard bowl (BM). The word 'batu' - hard/stone comes from Malay, and the word 'boh' is a Chinese word 'boa' in BC- Hokkien means to pound or blend. To the word 'makan tēpo' (BB) which is referring to the ceremony of eating one type of Chinese noodles together with drinking the Chinese tea exactly after the bride arrives at the groom's house according to the wedding ceremony of Baba and Nyonya. The word 'makan' – *eat* (BM), and the word 'tēpo' (BC- Hokkien) refers to serving of tea. Both words are combined to form the exact meaning according to their understanding. The language of Baba and Nyonya is the combination languages of Malay and Chinese (Hokkien) whereas the grammar of Baba language comes from the Malay language.

Frequency of Using Malay language in the Family

Insert Graph 3 here

Insert Table 8 here

Table 8 shows the differences between two questions, 15 and 16. These questions are to show the frequency of using the Malay language and Baba language. The use of Malay dialect shows 52 respondents = 80% use Malay regularly (always) in their conversation. This is different from the usage of Baba dialect where 43 = 66.2% of the respondents are still using the Baba dialect in their daily conversation. Since the respondents are Baba and Nyonya, definitely they have more than one languages to be used while communicating. Only one respondent (1.5%) rarely used the Malay dialect. Surprisingly, there are these people in the Baba and Nyonya community who do not use the Baba language in their conversation. This situation is captured in these 12 respondents = 18.5% who do not choose to use the Baba language to communicate.

Table 8 also shows the distribution of mean and standard deviation depending on the dimension in measuring the frequency of the usage of Malay language to the Baba and Nyonya. It is found out that, the highest mean is to the dimension of the Malay language, 1.74 and the standard deviation is 0.523. This means that, the dimension of the frequency in the usage of the Malay language is the most communicated one compared to the Baba language.

Language Used During Communication

Insert Table 9 here

Table 9 portrays the usage of language in communication with family, neighbour, community and people in the office. From the aspect of family, the Baba language is still widely used, where 27 = 41.5% respondents said so. This situation happens when there is an old generation in the family (3rd and 4th generations). The old generation of Baba and Nyonya cannot speak Chinese and any other languages. Due to that the new generation has to learn the Baba language in order to speak with them.

From the aspect of neighbourhood, the language use is Malay where 41=63.1% respondents used Malay language. Most of these Baba and Nyonya settlements are very near to the Malays and that is why they speak Malay compared to other languages. Not only the language, but their way of life is also similar to the Malays.

From the aspect of community, we could also see a high percentage when 60 respondents =93% use Malay language when communicating. This is due to Malay language is the formal and official language of the country. Malay language is also used as the medium of instruction in many schools. Therefore, the Baba and Nyonya feel more comfortable in using Malay language in their communication with other races; Indian, Chinese and even Malay themselves.

From the aspect of administrative (in the office), 61=93.8% of the respondents use Malay language as their medium of instruction as well. All the administrative work is dealt in Malay. Letters are written in Malay too for the convenience of everyone.

Table 9 also displays the mean distribution and the standard deviation depending on the dimension to measure the usage of the Malay and Baba language. It is found out that, the highest mean is on the neighbourhood dimension, with 2.48 and the standard deviation is 0.687. This matter means that the neighbourhood dimension has its own strength in using Malay language in their communication.

Conclusion

Now, the Baba and Nyonya community is still using their Baba language daily. Both these Baba and Malay languages act as their main conversation languages especially to the 3rd and 4th generations (the old generations). They use the Malay language when communicating with their neighbours, family members and people around them, including those at their workplace. The usage level of this language depends on the existence of these 3rd and 4th generations in their family.

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Table 1. The usage of Daily Language

ITEM	LANGUAGE OF CONVERSATION		
	Malay	Malay and Chinese language (Baba)	Others
N	65		
Frequency	31	25	9
Percentage	47.7%	38.5%	13.8%
Mean	2.18		
Standard Deviation	1.184		

Table 2. The Level of Mastering the Malay Language of the Baba dan Nyonya

ITEM	LEVEL OF MASTERING THE MALAY LANGUAGE		
	Spoken	Reading	Writing
Excellent	7 (10.8%)	10 (15.4%)	9 (13.8%)
Good	57 (87.7%)	47 (72.3%)	46 (70.8%)
Average	1 (1.5%)	6 (9.25)	8 (12.3%)
Poor	0 (0%)	2 (3.1%)	2 (3.1%)
N	65		
Mean	1.77	1.91	2.00
Standard Deviation	0.523	0.341	0.612

Table 3. Short Forms of Words

Malay Language	Baba Language
Tetapi (But)	Tapi
Sahaja (Only)	Saja
Perlahan (Slow)	Pelan
Ambil (Take)	Ambek
Kerusi (Chair)	Krosi
Pasu (Vase)	Paso
Pengantin (Bride/groom)	kēmantēn

Table 4. The Changes Made to the Malay Language

Malay Language	Baba Language	Borrowed Language
Tingkap (Window)	Menyelah	Jendela (B. Portugis)
Rezeki (Good fortune)	Jerki	Rezeki (B. Arab)
Sepit (Stick)	Sumpit	<i>Chopsticks</i> (B. Inggeris)

Table 5. Borrowed Words

Malay Language	Baba Language	Borrowed Word
Telinga (Ear)	Kuping	Kuping (B. Jawa)
Katak (Frog)	Kodok	Kodok (B. Jawa)
Senduk (Ladle)	Senduk bes€	Senduk bes€
	(sudu, camca)	(B. Jawa)
Cawan (Cup)	Cangkir	Cangkir
		(B. Indonesia)
Makcik (Aunt)	Bibi	Bibi ((B. Indonesia)

Table 6. Borrowed Words Directly From Malay

Malay Language	Baba Language
Beri (Give)	Kasi
Isteri (Wife)	Bini
Buat (Do)	Bikin
Lelaki (Man)	Jantan (manusia/haiwan)
Perempuan (Woman)	Betina (manusia/haiwan)

Table 7. The Combination of Malay and Chinese Language

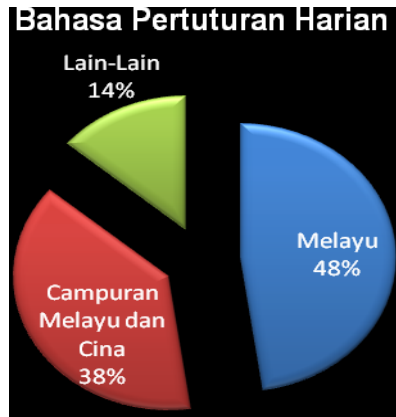
Malay Language	Chinese Language	Baba Language
Ayam kukus (Steamed Chicken)	Ayam + tim	Ayam tim
Batu giling (Hard bowl)	Boh = boa	Batu boh
Makan mee (Eating Noodles)	Teh = tēpo	Makan tēpo

Table 8. The Differences of the Usage of Dialects

ITEM	DIFFERENCES OF USAGE OF DIALECTS	
	Malay Dialect	Baba Dialect
Always	52 (80.0%)	43 (66.2%)
Sometimes	12 (18.5%)	8 (12.3%)
Rarely	1 (1.5%)	2 (3.1 5)
Never	0 (0%)	12 (18.5%)
N	65	65
Mean	1.74	1.28
Standard Deviation	0.523	1.176

Table 9. Language Used During Communication

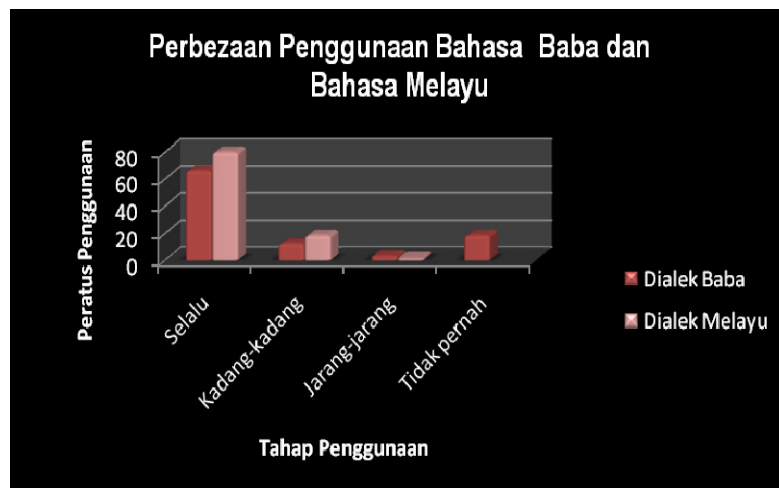
ITEM	COMMUNICATION LANGUAGE			
	Family	Neighbour	Community	Office
Baba Language	27 (41.5%)	0 (0%)	0 (0%)	0 (0%)
Malay Language	14 (21.5%)	41 (63.1%)	60 (92.3%)	61 (93.8%)
Baba Language and Malay Language	16 (24.6%)	17 (26.2%)	2 (3.1%)	3 (4.6%)
English Language	8 (12.3%)	7 (10.8%)	3 (4.6%)	1 (1.5%)
Others	0 (0%)	0 (0%)	0 (0%)	0 (0%)
N	65	65	65	65
Mean	2.08	2.48	2.12	2.14
Standard Deviation	1.080	0.687	0.451	0.556



Graph 1. Daily language used by the Baba and Nyonya in Malacca



Graph 2. The level of mastering the Malay language among the Baba and Nyonya in Malacca



Graph 3. The Differences of Using Baba and Malay Language

Methods to Oral English Practice

Liangguang Huang

English Department, Zhenjiang Watercraft College of PLA

Zhenjiang 212003, China

E-mail: Blackhawk1975@126.com

Abstract

In recent years, the people wake up gradually that oral English takes an important position in communication. According to College English Curriculum Requirements, the objective of College English is to develop students' ability to use English in a well-rounded way, especially in listening and speaking. The basic requirement of oral English is that students should be able to communicate in English in the course of learning, to conduct discussions on a given theme, and to talk about everyday topics in English. They should be able to give, after some preparation, short talks on familiar topics with clear articulation and basically correct pronunciation and intonation. They are expected to be able to use basic conversational strategies in dialogue. In order to improve oral English, the students should use some effective approaches to practice.

Keywords: Oral English, Speaking, Listening, Recitation

1. Introduction

For a long time, the English learners, especially the college students, spent most of their time reading, writing and translating. After graduation, some of them found surprisingly that they couldn't communicate with foreigners freely. In recent years, the people wake up gradually that oral English takes an important position in communication. According to College English Curriculum Requirements, the objective of College English is to develop students' ability to use English in a well-rounded way, especially in listening and speaking. The basic requirement of oral English is that students should be able to communicate in English in the course of learning, to conduct discussions on a given theme, and to talk about everyday topics in English. They should be able to give, after some preparation, short talks on familiar topics with clear articulation and basically correct pronunciation and intonation. They are expected to be able to use basic conversational strategies in dialogue.

With the rapid development of globalization, the communication with the foreigners is more frequent. How to train our learners to acquire competence in oral English to meet the urgent need of our country is a great challenge that confronts and puzzles us English teachers very much. Here I take the liberty to offer some ideas about practicing oral English, hoping that it will help English learners a little, and that language experts will kindly and generously give their good advice on it.

To learn to practice a second language is more or less like learning to practice our own language. Take our children in their Chinese learning situation for instance, when they begin their language study, they undergo an indispensable process of recognizing the sounds, phrases, sentences made by their parents and persons around – imitating, internalizing the meanings, memorizing, thinking (having found out some rules), making sentences as simple as they can to express themselves. They learn hard to use the language; otherwise, they will fail to communicate or to get things they want. But to Chinese adult and younger English learners, the language environment differs from that of Chinese infants' learning their own language. What they rely on are only books, English teachers, tapes and TV programs. So if you want to practice your English orally, the only way is to listen to more, to read more, to put what you have learnt into practice, to create an English atmosphere, to elaborate your approaches and to get every inch of time to use it if possible, so as to increase your competence in a limited time, though some stages a native speaker must experience are omitted.

2. Some approaches to Oral English Practice

2.1 Close connection between listening and speaking

As an English learner, you should know the close connection between listening and speaking. They are compared to being as inseparable as fish and water, co-existing in language learning. As a rule, in any language learning, listening comes first, followed by imitating, speaking, etc. A dumb or mute person can not, of course, speak just because of his failure of audibility. If you want to speak English, you should, above all, concentrate

yourself on listening to native speakers that can help you a lot in both correcting your pronunciation and intonation mistakes and fortifying your aural comprehension. Only by listening to more, can you imitate and get to catch what a speaker says or have a better understanding of what a movie tells. While you are listening to something, you imitate it, absorb it or even digest it and make it a sort of nutrition in your English language learning, with which you can use in your practice.

If you want to develop your speaking ability, you had better do much more painstaking work with perseverance. First, listen to some longer conversations, stories recorded or reports given by native speakers, then, give the outlines. Through years' effort, you can tell in detail what you have listened to. The more you can retell, the greater your speaking ability is enhanced.

Provided you listen to less, speak less, and your pronunciation and intonation are bad, how can you have a talk or exchange your ideas in English with other learners or English speakers?

Listening leads you to speaking. Good pronunciation and intonation plus idiomatic expressions can convey your ideas clearly. Good pronunciation and intonation plus excellent aural comprehension and marvelous proficiency can bring you to successful communications.

2.2 Apply what you have learnt to practice

For an English learner, it is very important to apply what you have learnt to practice. When you meet other learners or native speakers, try to open your mouth and talk with them in English, from simple sentences to complicated sentences, by and by. Never be frightened to ask questions if you do not understand. Those who have taken the course of Junior English for China appear to be very eloquent after having been strictly trained when you talk with them about the contents of the textbook. Teaching method is one thing which can not be neglected admittedly while self challenge is another – a more decisive factor to a certain extent. If you persist in doing so, you may find you can make progress with big strides in a short time. Listen to more, read more and precise more. Accumulate your knowledge by reading and test your competence by practicing. Reading is learning, practicing is also learning and more important at that.

2.3 Recitation of English poems, proses, etc.

Recitation of English poems, proses, or even short stories, in which there is large vocabulary and many useful expressions, is also an effective way in strengthening oral English. Here is a story about my cousin's Chinese recitation experience. After liberation his first school year was at a private school where my uncle simply taught them beginners Chinese classics – The Great Learning, The Analects of Confucius, Mencius and The Doctrine of the Mean, etc., without giving any explanation and analysis. The pupils were only asked to recite the books given and to recognize the Chinese characters in them and to practice calligraphy. Dull as it was, he had to shoulder the heavy burden reluctantly. If he failed to accomplish this, my uncle would scold him and punish him with a bamboo ruler. He did it very well anyhow, and thus avoided the ruthless slashes. Later he found recitation very useful and helpful, for it laid him a solid foundation in his Chinese language. He towered over his classmates in this subject and even surpassed his primary school teachers in recognizing different Chinese characters. By the time he was at junior school and high school, he came to know the abstruse meanings implied in the books and could quote from and use them into his compositions appropriately. The importance of recitation should be emphasized, but the severe attitude of my uncle towards the pupils should be repudiated.

Some old scholars also told about their English study experience in certain missionary schools where their foreign teachers were very conscientious for work and strict with the students. Recitation of English poems, proses, essays, and sometimes even short stories was among the heavily demanded tasks and assignments. As a result, part of the students who were diligent in recitation stood out from their classmates in English. Some of them can now still surprisingly recite many poems, proses, essays, short stories such as A Little Match Girl, The Gettysburg Speech, etc. New expressions are derived from old ones. In this sense, recitation can give you a stick in both English writing and oral English. The more you recite, the more you have learnt till you can use English effectively and accurately. It is something like drops of rain that can wet language-learning trees green.

2.4 Various topics training

Do not stick yourself to the clichés such as “How old are you?”, “How many members are there in you family?”, “What is your father?” etc. To shift your topics one after another when you are familiar with the previous one is a reasonable approach to your set goal. But when you have a new topic, you should get yourself well prepared in advance. Each time you have many new things to learn and will have learnt a lot when the topic is over. Practicing so over a long period, you are certain to have covered a wide range of subjects including science, technology, literature, arts, etc. Your knowledge is enlarged; your vocabulary is widened; your competence is

increased without your knowing it. Step by step, you will progress from a mere English lover to a skilled and gifted interpreter.

2.5 To create an English environment

For both students and teachers, the value of creating a good language environment should not be underestimated. In order to understand the language, you should speak English in and outside class and take an active part in all kinds of English activities, you should join an English corner or a similar club, and you can label your furniture in your house with English words, too. Furthermore, you should bring a small Chinese-English dictionary or an English-Chinese dictionary with you for your reference.

Do not be afraid to make mistakes or errors when you have a talk in English. In the world there is only one kind of persons who do not make any mistakes just because they do not do anything and can not do anything at all. Mistakes and errors are often the guide to correctness and accuracy. This time you make a mistake or an error, next time you will be in the high vigilance against it. Tested by failures and frustrations, you can finally stand on your own feet with the ability to use fluent English. "Practice makes effective" is the reward you deserve.

2.6 To think in English

You would be confused by the words of your teacher "Think in English when you study the language" and perhaps you will say "How can that be?" There is little exaggeration and astonishment to experienced learners. If any one wants to command this language, he should think in English. This is an irrefutable truth. Put aside your own language environment, you are assumed to live in an English-spoken country such as the United States, Britain, Canada, etc. The people you meet are all English speakers. What will you do then? You want to make a living, you want to communicate with them, and you want to develop your career. The only alteration for you is not to use your gestures all the time but to use the little English you have learnt. The given situation demands that you should express yourself in English and learn more and practice more; otherwise, you are likely to live on an isolated island. Your native language seems to be of no use and you should cultivate yourself with a new language – English. Once you get into the habit of thinking in English, you have acquired the ability of expressing yourself in English.

At the same time you are a person who actually lives in China. When your countrymen speak Chinese, you can also take the advantage by interpreting what they say into English in a whisper. It is a way to train your fluency and sensibility for your English thinking.

3. Conclusion

There are no universal ways that suit everyone in their learning. You may choose the ones that most satisfy your craving for English practice. The approaches or shortcuts differ with different persons.

All in all it is motivation which has the larger effect on English language learning rather than individual language ability.

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An Overview of Corpus-based Studies of Semantic Prosody

Changhu Zhang

Dept. of Foreign Languages, Dezhou University

Daxuexi Road, Dezhou 253023, China

E-mail: jackzch@126.com

Abstract

The study of semantic prosody (SP) is a brand new area in linguistic field. It has found great potential applications in dictionary compiling, translation, and second language acquisition etc. This paper reviews SP studies both in and out of China. Some related issues, such as definitions of SP, its origin, development and classification are discussed. Finally, its applications are reviewed.

Keywords: Semantic prosody, Corpus, Research methodology, Application

1. Introduction

The concept of semantic prosody (SP) was first introduced to the public by Bill Louw in 1993. From then on it has become one of the important concepts in corpus linguistics and has claimed more and more attention from corpus linguists. So far, it has found great potential applications in dictionary compiling, translation, and second language acquisition etc. This paper reviews SP studies both in and out of China. Some related issues, such as definition of SP, its origin, development, application and research methodology, are discussed. Finally, its applications are reviewed.

2. Defining schemes of semantic prosody

Since Sinclair (1987) first noticed the phenomenon of SP in the collocational behaviour of words, there have been a great variety of defining schemes of SP. In this section, the most popular five are in turn reviewed and the strengths and weaknesses of each defining scheme will be examined critically.

2.1 Louw's studies of SP

"Prosody" in the term "semantic prosody" is borrowed from Firth (1957), who used it to refer to phonological colouring which spreads beyond semantic boundaries. To give an example, the word *animal* has so strong a nasal prosody that the vowel sound of the letter *a* is endowed with a nasal quality through assimilation, simply because *a* is closely adjacent to the nasal sound of *n*. In the same way, lexical items share this particular phenomenon of "prosody" in lexical patterning. Enlightened by Firthian sense of a "prosody", Bill Louw coins the term "semantic prosody" and endows it with its first definition, a "consistent aura of meaning with which a form is imbued by its collocates" (Louw, 1993: 157).

Louw illustrates SP with several examples such as the adverbs *utterly*, the phrase *bent on* and the expression *symptomatic of*, which simultaneously carry negative SP. These three words are followed by expressions which refer to undesirable things, such as *destroying*, *ruining*, *clinical*, *depression*, *multitude of sins*, etc.

Although Louw's definition, the most frequently quoted one till now, is in line with the linguistic position that form and meaning are inseparable, it has not shed any light on the functions of SP or its pragmatic meaning. Semantic meaning and pragmatic meaning are the two extremes in meaning system, for semantic meaning can be seen as the meaning which arises only from linguistic factors in a piece of communication, while pragmatic meaning is that meaning imposed by the non-linguistic elements which has an impact on communication.

2.2 Sinclair's studies of SP

John Sinclair, the father of SP study, defines semantic prosody as "The initial choice of SP is the functional choice which links meaning to purpose; all subsequent choices within the lexical item relate back to the prosody" (Sinclair, 1996: 86). This definition points out three defining features of SP.

First, functionality. When a speaker/writer is choosing lexical items to make sensible sentences, in addition to the lexical and grammatical rules which govern the grammaticality of the sentence, what he also needs to take into consideration includes the semantic preference and SP which point to the functions. Sinclair insists that the initial meaning choice will actually be at the functional level of the SP (Sinclair, 1996: 87).

Second, linguistic choice. The combination of every collocation is not in the least arbitrary. But all words are in a mutually selectional relation.

Third, communicative purpose. According to Sinclair, semantic prosodies are “attitudinal and on the pragmatic side of the semantics-pragmatics continuum” (Sinclair, 1996: 87). The right SP is bound to express the attitudes of speakers/writers and their purpose with harmony and explicitness.

Sinclair’s definition hits the nail on the head, pointing out straightly that the study of SP should lay particular emphasis on the pragmatic function. However, not a clear clarification of what purposes or functions semantic prosodies play in language use has been provided.

2.3 Stubbs’ studies of SP

Michael Stubbs defines SP as “a particular collocational phenomenon” and collocation as “the habitual co-occurrence of two or more words” (Stubbs, 1996: 176). Moreover, he classifies SP into three categorizations: negative prosody, positive prosody and neutral prosody. In Stubbs’ framework of SP, he highlights the relationship between collocation and SP and emphasizes that they both are subject to the co-selection of lexis. For instance, *provide* is liable to collocate with words (e.g. *assistance, funds, opportunities, relief*, etc) in the semantic fields of care, food, help, money, to build up a favorable prosody.

Nevertheless, SP is by no means a simple collocation. Collocation is realized more on the lexico-grammatical level, while SP arises from the pragmatic level. Thus this definition only depicts a partial picture of SP, insufficient to provide the entire synopsis of both semantic meanings and pragmatic meanings.

2.4 Partington’s studies of SP

Alan Partington (1998: 68) offers a new explanation for the term “semantic prosody”. He defines it as “the spreading of connotational coloring beyond single word boundaries”. To take the adjective *impressive* for instance, in English it collocates with items such as *achievement, talent* and *dignity*. In this manner, it is considered to have a positive SP (1998: 77). By contrast, *rife* tends to co-occur with words such as *crime, misery* and *disease*; hence its interpretation has a negative SP (1998: 67).

Partington emphasizes on the spreading of connotation of single words through word boundaries, since semantic prosodies sometimes are interpretable in terms of connotations. If the node words and their collocates tend to co-occur frequently, they will acquire the same connotational features, and meaning and form merge.

On the other hand, similar to Louw’s definition, Partington is also incomplete because SP is more on the pragmatic side of the semantics-pragmatics continuum. It is not only a route to convey similar connotational meanings, but a strategy in verbal communications.

2.5 Hunston and Francis’ studies of SP

In Hunston and Francis’ framework, a word may be said to have a particular SP if it can be shown to co-occur typically with other words that belong to a particular semantic set (2000: 137). Hunston and Francis regards SP as a phenomenon of node word typically co-occurring with lexical items of the same semantic field. However, this definition does not offer any new elements compared with the previous four definitions. In a sense, the expression *semantic set* cannot be said to be precise enough. Semantic field is a ubiquitous phenomenon in language. Therefore, this definition is incomplete to give a comprehensive illustration to the properties of SP.

The above five defining schemes approaching the concept of SP can roughly be thought of falling into two major lines of thinking. One addresses the phenomenon from the functional perspective, and the other from the collocative meaning perspective. Sinclair’s defining scheme obeys the golden rule of functionality of SP and whereupon belongs to the first line. The rest four defining schemes emphasize the SP from the perspective of collocation and belong to the second line. Each definition of the two lines well serves the research aim of different corpus linguists trying to gain access to further understanding of SP. However they are not able to provide a full yet comprehensive description of SP.

3. Classification of semantic prosody

Michael Stubbs (1996) proposes that some words have a predominantly negative prosody, a few have a positive prosody, and many words are neutral in this respect. If the collocates that a node word attracts are mostly of strong negative semantic characteristics, the node word bears a strong negative prosody. If the collocates are mainly positive words, then the node word is endowed with a positive prosody. If both positive and negative collocates exist in the context, the node word can be said to bears a neutral or mixed prosody. Here we need to reiterate that semantic prosody differs from the phenomena of commendatory words and derogatory words treated in traditional lexicology. The commendatory and derogatory words or phrases themselves have either a

positive or a negative sense. But in a semantic prosody, there is nothing explicitly positive or negative for the node word. It is its characteristic collocates that have a similar particular semantic association.

Following this categorization, Sinclair observed that *set in* has a negative connotation, because its main collocates include *rot, decay, malaise, ill-will, decadence, , inflection, prejudice, vicious, rigour, mortis, numbness, bitterness, mannerism, anti-climax, anarchy*, etc. Just opposite, *career* mostly collocates with words like *satisfying, successful, good, potential, academic, teaching*, etc, so is dominated by positive prosody. Louw (1993) discusses *build up* and show that as a transitive verb the semantic prosody is favourable (e.g. *build up confidence*), but as an intransitive verb the prosody tends to be negative (e.g. *resistance builds up*). He called this kind of phenomenon mixed prosody instead of neutral prosody, although both of the two labels indicate that the whole profile of the node word presents a rather intricate picture.

Partington's (2004) classifies SP into favourable, neutral, and unfavourable prosodies. A pleasant or favourable affective meaning was labelled as positive while an unpleasant or unfavourable affective meaning was judged as negative. When what was happening was completely neutral, or the context provided no evidence of any semantic prosody, the instance was labeled as neutral.

4. Relevant studies of SP: a summary

As is mentioned above, while most English words collocate with negative words as well as positive ones, only a small number of words in English are found to bear strong negative or positive semantic prosody. While most previous significant studies of semantic prosody have been described while reviewing definitions of semantic prosody, here a table adapted from Xiao and McEnery (2006) is given as a complete summary. As can be seen from Table 1, more than 25 lexical items in English have been proved by corpus linguists abroad to bear apparently negative or positive prosody. And it is noteworthy that more items with negative prosody than those with positive prosody have been identified.

In contrast with the considerable explorations of the phenomenon of SP abroad, there is an apparent shortage of this topic in China. Apart from the several significant studies made by Wei Naixing, only a few Chinese researchers have conducted in-depth studies of SP. Nevertheless, the few studies concerning SP are summarized here and their significance or/and weakness are pointed out.

Wei Naixing from Shanghai Jiao Tong University is a pioneer in conducting the study of SP in China. He has published three important essays concerning this topic in domestic magazines. Wei (2002 a) introduces three approaches to the study of semantic prosody: data-based approach, data-driven approach and integrated approach. The significance of this study lies in providing effective approaches for the further and deeper exploration of semantic prosody.

Wei (2002 b) examines the semantic prosodies in the specialized texts of JDEST corpus, by observing behaviours of lexical items as *CAUSE, incur, utterly, probability* and *careers*. The study has found the word *CAUSE* has a stronger negative prosody than the case in general English texts whereas the word *career* has a weaker or less obvious positive prosody than the case in general English texts. This study has set an example for domestic researchers to undertake a study of semantic prosody. However, given the corpus this research is based upon includes only one genre of texts, the result might be applied to English for special purpose but not to general English.

Wei (2006) is a significant contrastive study of the semantic prosodic features of the lexical combinations in the Chinese learners' English writings. The study shows that there exist three major types of word combinations in learner's interlanguage, including typical collocations, interlanguage collocations and unusual collocations. The paper argues that collocational acceptability is no less important than grammatical acceptability in second language learning and. Despite the significance and originality of this study, there still exists a weakness. When we take a verb as the subject of a study of collocation or semantic prosody, we should study all the word-forms of the verb, the original form, the third personal form, the past tense, the past participle and the present participle. Only by doing so can we get a whole profile of collocation and semantic prosody of a verb. However, when Wei (2006) studies the semantic prosody of the verbs *cause* and *commit*, he merely concordance their original form and neglects the rest forms.

Pan and Feng (2003) also introduce the concept of SP, illustrate the exploitation of semantic prosody and discuss its various applications. But this study is far from a systematic and in-depth exploration.

Wang and Wang (2005) is a comparative study of English writing made by native speakers and Chinese learners. The study examines the SP of the lemma *CAUSE* on the basis of CLEC and part of SBNC. The study shows that great differences exist in the semantic prosody of *CAUSE* between Chinese learners of English and English

native speakers. Chinese learners of English underuse the typical negative SP and at the same time overuse the atypical positive SP. However, the study is only confined to one lexical item, which might lack generality and typicality. Besides, it is confined to the SP of CAUSE without adequate attention to its collocation patterns used in English writing of Chinese learners.

Xiao and McEnery (2006) explore the SP of near synonyms from a cross-linguistic perspective and compare the phenomena of semantic prosodies existing in Chinese and English. And the study shows that semantic prosody and semantic preference are as observable in Chinese as they are in English. Remarkably, it is the first attempt to study the semantic prosodic behaviour existing in the Chinese language and one of cross-linguistic investigation of SP. However, the study doesn't provide enough statistical data to support his argument.

5. Implication

The comprehensive review concerning SP in this study can provide the following implications.

First of all, it's suggested that the knowledge for SP should be transferred to second language learners. Due to its nature of subtleness, SP is often hidden from human intuition and so can only be explored by the powerful means of corpus linguistics. Therefore, a DDL (data-driven learning) approach to learn or teach lexis in context should be proposed so that the learners could be aware of the semantic prosodic features of a word. Then there will be fewer occurrences of inappropriate SP and unusual collocation in their English.

Moreover, the knowledge of SP can also provide insight into the teaching of vocabulary, especially near synonyms. In essence, near synonyms are identical or similar in denotational meaning but usually differ in their collocational behaviours and semantic prosodies.

In addition, the incorporation of SP and collocation information into English dictionaries should be proposed. Most contemporary learner dictionaries have not given enough attention to SP and collocation information. The availability of large corpora and concordance software has made it possible to provide adequate information of SP and typical collocation for such dictionaries.

6. Conclusion

This paper reviews SP studies both in and out of China. Some related issues, such as definitions of SP, its origin, development and classification are discussed. Finally, its applications are briefly reviewed. Semantic prosody is one of the important concepts in corpus linguistics and has claimed more and more attention from corpus linguists. However, the current research concerning SP is still in its preliminary stage. While lots of explorations have been made on the characteristic patterning of SP and its application in language use and second language acquisition, there are still not sufficient systematic and in-depth explorations. Therefore, in the future research we would need to observe more lexical items, look in larger corpora and make a more insightful analysis before we could be reasonably confident of our conclusions.

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Table 1. Examples of SP studied by scholars abroad

Author	Negative prosody	Positive prosody
Sinclair (1991)	BREAK out HAPPEN SET in	
Louw (1993, 2000)	bent on build up of END up V-ing symptomatic of	BUILD up a
Stubbs (1995, 1996)	ACCOST CAUSE signs of	PROVIDE career
Partington (1998, 2004)	COMMIT PEDDLE/peddler rife	impressive
Schmitt & Carter (2004)	bordering on	

Table 2. Examples of SP studied by scholars in China

Author	Negative prosody	Positive prosody	Mixed prosody
Wei (2002b, 2006)	CAUSE COMMIT effect	career	create
Wang & Wang (2005)	CAUSE		
Pan & Feng (2003)	Summarized the lexical items previously studied: (negative) CAUSE, rife, SET in, HAPPEN, , utterly, days (positive) PROVIDE, nurture, impressive		

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