ASIAN SOCIAL SCIENCE

CCSE

CANADIAN CENTER OF SCIENCE AND EDUCATION

Editorial Board

Contents

Contents

"Where Men Can Be Men": Resituating Thai Masculinity

Sam Pack, Ph.D.

Department of Anthropology, Kenyon College

101 Ward Street, Gambier, OH 43022, USA

E-mail: pack@kenyon.edu

Abstract

"Thailand is the last place left in the world," I was repeatedly told by the Western male sex tourists that I encountered in Thailand, "where men can be men." Indeed, thousands of foreign men flock to this Southeast Asian country every year for its notorious supply of plentiful and inexpensive sex with local prostitutes. Does this mantra also apply to Thai men? This article explores the beginnings of a continuing research project into how the massive influx of foreign male sex tourists during the past forty years has influenced how Thai men perceive their own masculinity.

Keywords: Sex tourism, Thailand, Masculinity

On the global map of tourism and travel, Thailand, and particularly Bangkok, stands out as a locus of unrivaled sexual pleasure and consumption. The lyrics of Murray Head's 1984 dance hit, "One Night in Bangkok," reveal how strongly the image of the city and its tourist red-light districts have merged in the Western imagination:

> One night in Bangkok and the world's your oyster
>
> The bars are temples but the girls ain't free
>
> You'll find a god in every golden cloister
>
> And if you're lucky then the god's a she
>
> I can feel an angel sliding up to me

The strength of this global media-driven image of Bangkok was impressed upon the American public in 1993 when Time magazine, reporting on world prostitution, featured a front cover picture showing a Bangkok bar girl sitting in the lap of a Western male customer (Askew, 2002). Ever since, despite the efforts of the Thai government to counter these global stereotypes, the perception of Bangkok as the global sex capital persists.

This reputation is well deserved. Anybody who has spent any amount of time in Bangkok will surely notice the seemingly ubiquitous presence of sex tourists: old, overweight white men walking hand-in-hand with young, petite brown girls. Indeed, the couples appear to be a study in stark contrasts as these men are often as much as three times the age and weight of their companions. (I would learn later that some of the bar girls jokingly refer to them as "FOBUs," which stands for "fat, old, bald, and ugly.") Ironically, the starkest difference that separates the two individuals is also the one that brought them together. Without the glaring disparity in socioeconomic status between the consumer and the provider, sex tourism would be a marginal activity of a very different character.

As much as these men want to buy sex as a commodity, they do not want the exchange to be simply a contractual one. It is precisely the non-contractual nature of the prostitute-client exchange in Thailand that serves to conceal its commercial nature from the man. This aspect of Thai prostitution is absolutely central to most sex tourists, for it makes it possible for them to pay for sexual services without having to see themselves as the kind of men who use prostitutes.

Although I have no empirical data to support this claim, I would speculate that of the hundreds of thousands of foreign (or "falang" as they are called in Thai) men who visit prostitutes in Thailand every year, very few willingly and happily embrace the identity of a purchaser-of-sex. In fact, all of the men with whom I spoke admitted that they would never imagine buying sex in their home countries. A middle-aged gentleman from America that I befriended had this to say:

> I don't really think of them as prostitutes. It's not like that. They're more
>
> like a girlfriend—GFE or "girlfriend experience" as it's called. Because
>
> it's not just about sex. These girls know how to take care of you and make
>
> you feel special. You wake up in the morning, and they're already making
>
> your breakfast or ironing your clothes. It's unbelievable! This place is
>
> like Disneyland for perverts! (field notes, July 7, 2007).

Because sex tourists do not have to enter into explicit agreements on the terms and conditions of the exchange and because Thai prostitutes make gestures and provide services that are interpreted as demonstrations of genuine affection, it is relatively easy for these men to forget that they are engaged in an economic transaction.

1. Local Consumption

When most people think of prostitution in Thailand, the image that immediately comes to mind is the aforementioned one involving a Western male sex tourist and a Thai woman. Utterly missing from this exchange are Thai men. They are ignored in the academic literature as well. While entire forests have been clear-cut to accommodate the studies about Thai female sex workers (Adkins, 1995; Davidson and Taylor, 1999; Mills, 1999; Phongpaichit 1982; Walker and Ehrlich, 1992) and their Western male customers (Brewis and Linstead, 2000; Hughes, 2000; King, 2004; Pettman, 1997), I have not been able to find a single account dedicated to Thai men as patrons of the sex trade.

This is all the more surprising because the overwhelming majority of the customers are local. Behind the glitz and titillation of ping pong shows, smoking vaginas, transvestites and neon lights, as well as the dreary yet overstated reality of trafficked and underage workers, it is important to understand that the brunt of the prostitution in Thailand involves female sex workers catering to local men. It has been estimated that at least 450,000 Thai men visit prostitutes every day (Erlanger, 1991).

In fact, much of the impetus sustaining the incredible rate of prostitution in Thailand is cultural. Thai men believe that it is their right to have cheap sex, and there are enough poor Thai women to make it possible (Erlanger, 1991). Prostitution in many cases has become integrated with initiation rights: "For many Thai men, a trip to the neighborhood brothel is a rite of passage, a tradition passed from father to son" (Moreau, 1992). The fact that prostitutes play a large role in forming the sexual identity of young Thai males is supported by the available statistics. Studies have shown that the majority of Thai men have their first sexual experience with a prostitute—the act is often a part of high school and university hazing rituals—and that 95% of all men over 21 have slept with a prostitute (Handley, 1992). In addition to rites of passage, the activity of visiting a brothel has become a popular social activity: "'Sex with prostitutes seems to be a way for men to enjoy each other's company,' observed Barbara Franklin of Care International, 'It is often part of a night out with friends who share food, drink and sometimes even sexual partners'" (Ladd and Hiebert, 1993).

There exists a deep imbalance in the attitudes that many Thai men have towards women, who are considered to be either sexual objects or obedient homemakers. Moreover, the rift between the sexes deepens when one examines the contrasting sexual roles prescribed to each:

> And while it is perfectly acceptable for men to visit prostitutes, premarital
>
> sex between men and women who are dating is strictly forbidden. Many
>
> Thais believe that this double standard has helped create the thriving sex
>
> trade. "In Thailand, women are supposed to be chaste until marriage and
>
> monogamous afterward, says writer and social critic Sukanya Hantrakul.
>
> "*Men are supposed to be promiscuous*" (Moreau, 1992; emphasis mine).

Indeed, a survey of both sexes by the Deemar Corporation in 1990 found that "80% of males and 74% of females responded that it was 'natural for men to pursue sex at every opportunity'" (VanLandingham, 1993).

In a newspaper article published in the Bangkok Post titled "Police Chief Links Brothel Ban with Rise in Sex Crime," a "police director general" claimed that, deprived of massage parlors, "men in seaside provinces who make a living in the fishing industry and workers in provinces where industrial plants were located" would have "a lot of pent up sexual aggression" and would have to "relieve themselves every once in a while" (1992). He later predicted that "the rate of rapes and other sex-related crimes might skyrocket if these men find no place to satisfy their sexual desires" (Ibid.).

A variety of other important factors make prostitution in Thailand more socially acceptable than in most of the West. Foremost, it must be noted that prostitution in Thailand exists not as a disorganized underground profession as it does in most of the West but as a highly complex and ordered major industry. Due in part to the legal issues surrounding the trade, most sex workers in Thailand do not work independently but in established businesses. The structure and nature of the business is such that a large web of male businessmen with interests in the venues, as well as the politicians and police officers they must often bribe, profit (Manderson, 1992). Although the vast majority of sex workers in Thailand are female, a number of males—many of whom hold considerable financial, social, and political power—are intricately tied to the sex industry and have vested interests in promoting it.

Theravada Buddhism, the most common religion in Thailand, is also implicated in the literature as a basis for the prevalence of prostitution in the country. Because women are assigned to a lower status than men, the sex-based inequities that perpetuate prostitution fit into Thai religious culture (Truong, 1990). While sexuality in Buddhism is linked to the material world and seen as undesirable under certain circumstances, sex does not carry the sinful connotations that it does in much of Western society. Consequently, promiscuity, including the case of prostitution, is not viewed as being inherently evil (Ibid.). In fact, in that most female sex workers report that they remit portions of their earnings to their families (Phongpaichit, 1982), prostitution as a means of supporting the family can be an effective means of making merit (Wolffers et al, 2004).

2. The Third Wheel

Thai men are constantly being marginalized by both Thai female sex workers and Western male sex tourists. Their gender counterparts often describe them as unfaithful, lazy, unemployed, drunk, and abusive deadbeats. Thai women claim that they prefer Western men because of their strong aversion to the men in their own country. Their Western counterparts, meanwhile, hardly consider them to be a romantic rival for these women. In her book, Patpong Sisters, Cleo Odzer describes overhearing two (s)ex-pats sharing the following conversation:

> "This farang dies and goes to heaven," said the English neighbor with the
>
> sports section resting on his knee. "He arrives at the pearly gates and Saint
>
> Peter is there checking the book. 'My, my, you've led an exemplary life'
>
> says Saint Peter. 'And because you've been so good, we're going to grant
>
> you all the wishes you want. What do you fancy?' 'I have only one wish,'
>
> the farang answers. 'Send me back to Thailand. I want to live in Thailand
>
> forever.' 'Very well,' Saint Peter says. And presto! The man gets his wish.
>
> He's back in Thailand. But guess what! He is reincarnated as a Thai man!"
>
> "A THAI! Bloody hell!" The two farangs laughed and made agony faces.
>
> "Poor sod! Ho ho ho" (1997).

What is significant about this joke is that there is no punch line, ostensibly because one is unnecessary as just the mention of a Thai man alone is enough to provoke ridicule. Since Western male sex tourists often complain that their own women are demanding, overbearing, and materialistic, this mutual commiseration makes for an ideal match.

Further, the majority of the Thai males that Western male sex tourists encounter are employed in the service industry, usually as a taxi or tuk-tuk driver, waiter, or hotel bell hop.

Insert Figure 1 Here

These emasculating roles socially castrate Thai men as being somehow less masculine. Such a perception is reinforced by the size discrepancy, both imagined and real, between Western and Thai men. Veteran sex tourists often advise novices to bring their own condoms because the local varieties are "too small."

This perception of Thai men, in particular, conforms to the more general stereotype of the "asexual Asian male." A recent issue of Details magazine featured a spread titled "Gay or Asian?"

Insert Figure 2 Here

In it, an Asian man is surrounded by comments about his "bonsai ass" and "sashimi-smooth chest." It uses phrases such as "choke up on your chopsticks" and uses more sexually explicit language that is both homophobic and racist. Yet this image remains the dominant perception, and the one most often portrayed in the mass media.

3. Previous Research

The ways in which images of Thai female sexuality have been generated in various forms (literature and film) by Western "orientalism"—the Western fascination with the exotic "other" of Asia—have received increasing attention by scholars (Hamilton, 1998; Manderson 1992). Significantly, however, much of this Western scholarship on prostitution in Thailand and other countries of southeast Asia has adopted its own version of the global media stereotypes, underlined by theoretical assumptions which posit the victimization and passiveness of "Asia" in the global economy of sexual pleasure (Askew, 2002). Asian sex workers remain consigned to victimhood status in Western feminist accounts of prostitution. The image of passivity and powerlessness extends to the portrayal of Bangkok's landscape as well. Such a caricature disregards the reality that the multiple exploitative power of global consumption industries—such as sex tourism—may be subject to mediation, appropriation, and contestation at the local level by the Thai women and men engaged in the sex trade.

By and large, the academic literature has four foci in relation to prostitution in Thailand: HIV/AIDS, child prostitution, human trafficking, and exploitation—though these themes frequently overlap (ie Beyer, 1998; Buckingham and Meister, 2003; Kerwijk, 1995; Wolffers et al, 2004). Although the topic of sex workers in Thailand has been broached many times, the vast majority of these seem to be rooted in a victim mentality and adhere to a pathology model. In a significant portion of Western medical literature linking prostitution to the spread of HIV/AIDS (ie Wiwanitikit, 2004), for example, the tone and focus is overtly moralistic and judgmental. Sex workers are widely vilified, and their work is presented as if it exists in a vacuum outside of the context of the overwhelming influences of political economy. By connecting prostitution to the spread of HIV and by presenting it exclusively as a supply-driven activity, sex workers are scapegoated as the ones responsible for driving the pandemic (Wolffers et al, 2004). When the discussions are broadened to the societal level, the function is to associate blame and imply a sort of Babylonian morality (Beyrer, 1998). The reality is that the factors placing sex workers and their clients at a heightened risk for HIV/AIDS infection are not determined by moral or ethical standards but by their number of clients/partners and the conditions under which they work.

Thai prostitution is also frequently presented in the greater context of global human trafficking and modern systems of slavery and indentured servitude (King, 2004). While this issue is far from trivial on the global scale, the estimated proportion of sex workers in Thailand who have been trafficked is minimal (Phongpaichit, 1982) and the focus on trafficking serves to sensationalize rather than accurately present prostitution in Thailand (Lim, 1998). The same can be said for works exaggerating the role of exploitative recruitment in the industry and for the focus on child prostitution in the country. Though truly horrific instances of child prostitution and sex slavery undoubtedly exist in Thailand, they are overrepresented and overemphasized in the literature.

References

Adkins, L. (1995). *Gendered Work: Sexuality, Family, and the Labour Market*. Philadelphia: Open University Press.

Askew, M. (2002). *Bangkok: Place, Practice and Representation*. London and New York: Routledge.

Atkinson, J.M. and Errington, S. (1990). *Power and Difference: Gender in Island South East Asia*. Palo Alto: Stanford University Press.

Bangkok Post. (1992). Police chief links brothel ban with rise in sex crime. November 11.

Beyer, C. (1998). *War in the Blood: Sex, Politics, and AIDS in Southeast Asia*. London: Zen Books Limited.

Bourdieu, P. (1990). *The Logic of Practice*. London: Polity Press.

Brewis, J. and Linstead, S. (2000). *Sex, Work and Sex Work: Eroticizing Organization*. London: Routledge.

Buckingham, R. and Meister, E. (2003). Condom utilization among female sex workers In Thailand: Assessing the value of the health belief model. *California Journal of Health Promotion,* 4: 18-23.

Carrigan, T.C. et al. (1985). Towards a new sociology of masculinity. *Theory and Society,* 14(5): 551-603. doi:10.1007/BF00160017, http://dx.doi.org/10.1007/BF00160017

Chapkis, W. (1997). *Live Sex Acts: Women Performing Erotic Labor*. New York:Routledge.

Davidson, J. and Taylor, J. (1999). Fantasy islands: Exploring the demand for sex tourism. In K. Kempadoo (ed.), *Sun, Sex, and Gold: Tourism and Sex Work in the Caribbean*. Lanham: Rowman & Littlefield Publishers.

Dubisch, J. (1996). *In a Different Place: Sex, Gender and Fieldwork at a Greek Shrine*. Princeton: Princeton University Press.

Erlanger, S. (1991). A plague awaits. *New York Times Magazine,* 14 July: 24-26, 49, 53.

Foucault, M. (1976). *The History of Sexuality*. London: Penguin.

Handley, P. (1992). Catch it catch can. *Far Eastern Economic Review,* 13 February: 29-30.

Hertzfeld, M. (1985). *The Poetics of Manhood: Contest and Identity in a Cretan Mountain Village*. Princeton: Princeton University Press.

Hornblower, M. (1993). The skin trade. *Time,* 21, June: 45-51.

Hughes, D. (2000). The transnational shadow market of trafficking in women. *Journal of International Affairs,* 53(3): 625.

Kempadoo, K. and Doezema, J., eds. (1998). *Global Sex Workers: Rights, Resistance and Redefinition*. London: Routledge.

Kerwijk, C. (1995). The dynamics of condom use in Thai sex work with farang clients. In H. Brummelhuis and G. Herdt (eds.), *Culture and Sexual Risk: Anthropological Perspectives on AIDS*. Amsterdam: Overseas Publishers Association.

King, G. (2004). *Woman, Child for Sale: The New Slave Trade in the 21st Century*. NewYork: Chamberlain Brothers.

Kitiarsa, P. (2007). Muai thai cinemas and the burdens of Thai men. *Asia Research Institute.*

Ladd, G. and Hiebert, M. (1993). Flower sellers' bloom. *Far Eastern Economic Review,* 8 July: 36.

Lim, L. (1998). *The Sex Sector: The Economic and Social Bases of Prostitution in Southeast Asia*. Geneva: International Labor Office.

Lindisfarne, N. and Cornwall, A. (1994). Gender, power and anthropology. In A. Cornwall and N. Lindisfarne (eds.), *Dislocating Masculinity: Comparative Ethnographies*. London and New York: Routledge.

Lury, C. (1996). *Consumer Culture*. New Brunswick: Rutgers University Press.

MacCannell, D. (1999). *The Tourist: A New Theory of the Leisure Class*. Berkeley: University of California Press.

Manderson, L. (1992). Public sex performances in Patpong and explorations of the edges of imagination. *Journal of Sex Research,* 29(4): 451-475. doi:10.1080/00224499209551662, http://dx.doi.org/10.1080/00224499209551662

Maticka-Tyndale, E. (1997). Contexts and patterns of men's commercial sexual partnerships in Northeastern Thailand: Implications for AIDS prevention. *Social Science and Medicine,* 44: 199-213. doi:10.1016/S0277-9536(96)00146-3, http://dx.doi.org/10.1016/S0277-9536(96)00146-3

Mills, M. (1999). *Thai Women in the Global Labor Force: Consuming Desires, Contested Selves*. New Brunswick: Rutgers University Press.

Moreau, R. (1992). Sex and death in Thailand. *Newsweek,* 20 July: 50-51.

Nagle, J. (1997). *Whores and Other Feminists*. New York: Routledge.

Odzer, Cleo. (1997). *Patpong Sisters: An American Woman's View of the Bangkok Sex World*. New York: Arcade Publishing.

Pettman, J. (1997). Body politics: International sex tourism. *Third World Quarterly*, 18(1): 93-108. doi:10.1080/01436599715073, http://dx.doi.org/10.1080/01436599715073

Phongpaichit, P. (1982). *From Peasant Girls to Bangkok Masseuses*. Geneva: International Labor Office.

Porpora, D. and Lim, M. (1987). The Political Economic Factors of Migration to Bangkok. *Journal of Contemporary Asia,* 17(1): 76-89. doi:10.1080/00472338780000081, http://dx.doi.org/10.1080/00472338780000081

Said, E. (1978). *Orientalism*. London: Penguin.

Seabrook, J. (2001). *Travels in the Skin Trade*. London: Pluto Press.

Truong, T. (1990). *Sex, Money and Morality: Prostitution and Tourism in Southeast Asia*. London: Zen Books Limited.

Van Esterick, P. (2000). *Materializing Thailand*. Oxford: Berg.

VanLandingham, M. (1993). Sexual activity among never-married men in Northern Thailand. *Demography,* 30(3): 297-313. doi:10.2307/2061642, http://dx.doi.org/10.2307/2061642

Walker, D. and Ehrlich, R. (1992). *"Hello My Big Big Honey!": Love Letters to Bangkok Bar Girls and Their Revealing Interviews*. Bangkok: Dragon Dance Publications.

Wiwanitkit, V. (2004). Summary on recent medical research on prostitution in Thailand. *Sexuality and Disability,* 22: 209-213. doi:10.1023/B:SEDI.0000039063.58100.24, http://dx.doi.org/10.1023/B:SEDI.0000039063.58100.24

Wolffers, I., Kelly, P., and Kwaak, A. (2004). Sex work in times of AIDS. In E. Micollier (ed.), *Sexual Cultures in East Asia: The Social Construction of Sexuality and Sexual Risk in a Time of AIDS*. New York: Routledge.

Wonders, N. and Michalowski, R. (2001). Bodies, borders, and sex tourism in a globalized world. *Social Problems,* 48(4): 545-571. doi:10.1525/sp.2001.48.4.545, http://dx.doi.org/10.1525/sp.2001.48.4.545

Zatz, N. (1997). Sex work/sex act: Law, labor, and desire in constructions of prostitution.*Signs,* 22(21): 277-308. doi:10.1086/495157, http://dx.doi.org/10.1086/495157

Figure 1. Bell hop at Regency Park Hotel in Bangkok

Figure 2. "Gay or Asian?"

A Study of Komeito as a Critical Minority Party in Japanese Coalition Regimes

Ming-shan Wu

Department of Mass Communication, I-Shou University, Taiwan

E-mail: meizyou@isu.edu.tw

Chun-ta Lee (Corresponding author)

Department of Public Administration and Policy, National Taipei University, Taiwan

E-mail: chunda@gate.sinica.edu.tw

Abstract

Ever since the Liberal-Democratic Party (LDP) invited the New Komeito (Komeito hereafter) to form a coalition cabinet in October 1999, the two political parties have maintained their partnership to date. The time and significance of LDP-Komeito cooperation are remarkable in Japanese politics. The general concept of "critical minority", referring to a small number of seats in the Japanese Diet, is necessary to a parliamentary majority. However, this paper argues the real significance of Komeito minority lies not in "post-election" but rather in "pre-election." In other words, Komeito requests supporters to vote LDP candidates, especially the candidates of the House of Representatives elected by small electoral districts, and hence help LDP become major party in both houses. The authors first review LDP's incentives of forming a coalition cabinet, and then discuss why LDP and Komeito are motivated to cooperate. Finally, the authors apply electoral data to analyze the practical effects of LDP-Komeito cooperation.

Keywords: Japan, Coalition, Critical minority, Komeito, Liberal-Democratic Party, LDP

After the general election to the House of Representatives on July 18, 1993, LDP lost its status as a majority in the parliament, signifying the end of the 38-year single-party government in Japan. The Morihiro Hosokawa coalition cabinet, which was composed by seven minor parties and one faction, took over the ruling power and since then Japan's political situation had entered the era of coalition regime. In January 1996, Prime Minister Tomiichi Murayama resigned unexpectedly and LDP president Hashimoto was appointed as the new Prime Minister. LDP regained power in the Diet, but Hashimoto still sworn in as the Prime Minister of a coalition government.

LDP has always been the largest party in Japan. Each of the LDP-led coalition cabinet seeks partnerships with different political parties but Komeito, a small political party, is always one of them. From the first LDP-Komeito coalition cabinet in 1999 to the latest cooperation terminated in 2009, there are six Prime Ministers and eighteen cabinet reshuffles, and the cooperation between the two parties has always been sustained and stable.

1. The Existing Arguments and Research Questions

The main purpose of this article is to answer two questions. First, why did LDP always invite Komeito to form a coalition cabinet? And second, could the general concept of "critical minority" be completely used to explain the Komeito's role in LDP-Komeito coalitions? In the following discussions, we first introduce the existing arguments of minority role in coalition governments, and then indicate the difference between Japan's political particularities and the existing perspectives.

1.1 The Existing Arguments

Wang (2001: 11-13) points out that "intrinsic motivation" and "instrumental motivation" are two incentives for (small) political parties to join a coalition cabinet. Intrinsic motivation is also known as "office-seeking pattern" which puts emphasis on parties' interests to maximize the political values of cabinet portfolios in return. In order

to ensure the highest values of gaining positions in a cabinet, the main ruling party would expect to the minimum of political parties in a coalition government. According to the concept of intrinsic motivation, the most adequate legislative member size of a coalition cabinet is barely more than half which minimizes the bargaining cost of portfolio distribution. Given to that concept, a major party can only cooperate with a few minor parties when looking for coalition partnerships. Believing in intrinsic motivation, William H. Riker advanced a model of "Minimal Winning Coalition (MWC)" extended from rational choice theory (Riker, 1962).

On the other hand, when parties seek for policy-implementation instead of gaining government portfolios, instrumental motivation (policy-seeking pattern) put emphasis on the results of public policies and look for political parties with shared values and compatible-ideology (Warwick, 1994).

1.2 Compatibility and Distinction

Komeito was invited to join the LDP-Liberal coalition on October 5, 1999, when it was necessary to pass an act "Law Concerning Situation in Areas Surrounding Japan" under America's pressure. The LDP-Liberal coalition was already the majority in the House of Representatives, but with regard to the House of Councilors, they were eager to gain Komeito's support. The Komeito's role in the House of Councilors can be regarded as "critical minority," and this corresponds to "intrinsic motivation" as Komeito exchanged support for a ministerial portfolio (of Land, Infrastructure, Transport and Tourism). However, there are still many cases that the two existing patterns of office-seeking and policy-seeking can not explain completely why LDP and Komeito decide to cooperate with each other.

1.2.1 Distinctions from Office-seeking Pattern

The legislative structure in Japan is bicameralism. Article 59 of Japan's Constitution states "(1) A bill becomes a law on passage by both Houses, except as otherwise provided for by the Constitution. (2) A bill, which is passed by House of Representatives, and upon which House of Councilors makes a decision different from that of House of Representatives, becomes a law when passed a second time by House of Representatives by a majority of two-thirds or more of the members present. (3) The provision of the preceding paragraph does not preclude House of Representatives from calling for the meeting of a joint committee of both Houses, provided for by law. (4) Failure by House of Councilors to take final action within sixty days after receipt of a bill passed by House of Representatives, time in recess excepted, may be determined by House of Representatives to constitute a rejection of the said bill by House of Councilors." Given to those provisions, a governing party needs to maximize representations in both houses in order to pass laws.

However, there are two exceptions that exceed predictions of MWC model. The first case is "LDP-Komeito-Conservative" coalition. From Yoshiro Mori cabinet to secondary Junichiro Koizumi cabinet, there are eight coalition cabinets cooperating with Komeito and the Conservative Party (which renamed as the New Conservative Party in December 2002). Table 1 shows the number of LDP and Komeito's representatives in both houses. LDP had already been the majority but still formed an "oversized coalition", which probably brought about the loss of portfolio payoffs.

The second case is LDP-Komeito coalition formed after the House of Councilors election in 2007. After the election, the total seats of LDP and Komeito are 103, less than half of total seats (121). However, Prime Minister Abe eventually decided to reshuffle the cabinet, then kept cooperating with Komeito on August 27, 2007, and appointed Tetsuzo Fuyushiba, a politician of Komeito, as Minister of Land, Infrastructure, Transport and Tourism.

The aforementioned description reveals that neither a single-party government led by LDP nor a LDP-Komeito coalition cabinet own more than the half of total seats in the House of Councilors. Accordingly, the decision made by LDP to cooperate with Komeito is hardly to explain, yet giving out an important ministerial portfolio as exchange does not match with the perspective of intrinsic motivation. That is to say, these cases are incompatible with the intrinsic motivation and MWC model Riker developed.

Bicameralism in Japan is characterized as superiority of the House of Representative, which also lead to a discussion on "House of Councilors Useless" (Hajime, 2004; Masaji, 2005: 87-92). To the point of this research, the "House of Councilors Useless" brings about a delusion that the majority of House of Representatives can easily pass a bill without any support of House of Councilors. That is to say, the formation of Abe cabinet (LDP-Komeito coalition) which merely controls majority in the House of Representatives corresponds to the perspective of intrinsic motivation. However, the legislative role that House of Councilors plays is surely not only a rubber stamp. An opposition party can delay bills by manipulating the legislative sequence when Procedure Committee in House of Councilors is under control. Additionally, House of Councilors, according to

the Constitution, also can table a bill for sixty days. Most important of all, the principle of "discontinuous sessions" (Makoto, 2003: 48) in Japan's parliament refers that an unfinished bill has to be presented again in the next session. As a result, House of Councilors is as much important as House of Representatives in Japanese legislative politics. If a ruling party or a ruling coalition tries to pass a bill without a hitch, the best way is to earn majority support from both houses at the same time.

1.2.2 Distinctions from Policy-seeking Pattern

The left-right confronting axis between the Socialist Party and the LDP under the so-called "1955 System" puts bounds to the consequent development of Japan's party ideology. (Note 1) Komeito was self-defined as a "median-way" party when founded on November 17, 1964 (Hideo, 1999: 11; Sadao, 2005: 223-241). Although "median-way" Komeito and "right-leaning" LDP are much ideologically alike and accommodate with certain policies, there are some policy divergences between the two parties during the process of coalition, such as their stances on Japan's Constitution amendment, US-Japan joint Security Alliance, and education and National Annuity reformation are not identical. Furthermore, LDP-Komeito coalition never proposes a joint manifesto in periods of electoral competition during cooperation governance.

Confronting arguments between the two parties can be witnessed through the following cases. First, an evident disagreement between LDP and Komeito is about constitution reformation. LDP advocates framing a whole new Japanese Constitution, but Komeito prefers to amend or supplement the present Constitution. LDP argues that the existing Japanese Constitution was directed by the United States and Japan was forced to approve it reluctantly. As a result, LDP claimed a "Draft of New Japanese Constitution" on November 22, 2005 while celebrating its fiftieth anniversary of establishment since 1955. On the other hand, Komeito advocates maintaining current constitutional structure while supplementing certain modern ideas such as environment privilege, privacy privilege, intellectual property rights, and so on. In short, the way Komeito resorts to is "kaken" (enriching the constitution) (Keizou, 2007: 70-71; Watanabe Osamu, 2007: 47).

The second case is related to "Treaty of Mutual Cooperation and Security between the United States and Japan". LDP agrees that the goal of US-Japan joint Security Alliance is to ensure peace of Japan and Asia-Pacific. To put the Treaty into practice, Japan has to strengthen self-defense capabilities. Besides, LDP endorses Japan's collective self-defense forces (Akira, 2001) and constitutionality of "Japan Self Defense Forces (JSDF)". Komeito, however, emphasizes the "defense" essence of US-Japan joint Security Alliance and asks to enforce Article 9 which strictly limits Japan's self-defense forces. Komeito promotes to reduce armaments and requires to transfer 20% of Official Development Assistance Budget to "Human Safety Protection" (Tehranian & Ikeda, 2006: 239-265).

Furthermore, education reformation also contrasts sharply between the two parties. LDP emphasizes civism, community, nationalism, and patriotism, while Komeito looks forward to legally subsuming patriotism into education policies. The fourth case is about National Annuity reformation. The two parties all claim "the national treasure should bear more expense of National Annuity and the proportion should enhance from one-third to half," which was also written in separate Manifestos during the House of Representatives election in 2003. However, LDP evades the discussion of the inevitable problems related to the national budget while Komeito urges a concrete policy. Komeito advises abolishment of rated tax to income in order to raise financial resource of National Annuity, a policy which might increase middle-high income citizens with heavier tax burdens. As LDP's supporters are mainly middle-high taxpayers (Politics Dept., The Yomiuri Shimbun, 2005: 63), Komeito's claim is obvious bound to undermin LDP's support.

In sum, discrepancies between two parties include constitutional structure, policy of US-Japan joint Security Alliance, education and citizen livelihood in broad and common aspects, proving that the two parties disagree on many issues.

2. The Motivations for LDP-Komeito Coalition

Office-seeking pattern and policy-seeking pattern are not sufficient to elaborate on LDP-Komeito collaboration. The two theoretical patterns are mainly based on post-election and confirmable conditions, such as number of parties, legislative seats, executive appointments, and policy reconciliation. Strom (1990: 70) proposed two explanations of strategic election to analyze why a minority regime exists. First of all, an opposition party is more eager to utilize its legislative potential to guide policies than to be a ruling partner. Though it is inevitable for an opposition party to exchange policy concessions in return for executive portfolios, to formulate an ambiguous but irresponsible policy may hurt the party's image advertising. The other consideration is electoral calculation for individual parties. An opposition party may refuse to join in a coalition cabinet for maintaining its electoral competitiveness.

In this paper, we argue that LDP-Komeito coalition is the result of "pre-election" calculations which is different from previous discussion. While LDP and Komeito disagree with many ideas in electoral competition, they both desire to acquire or raise individual votes and Diet seats. LDP's main pursuit is its political predominant role in Japan which based on successful pre-election negotiations and consequent coalition governances. On the other side, Komeito promises to "Soka Gakkai" (a religious group attaching to Komeito firmly) and aspires to policy implementation. In order to fulfill individual intentions, LDP and Komeito primarily reach a deal on seat-winning presupposition before election.

2.1 LDP's Dilemma

During the late 1980s, LDP suffered a sequence of monetary scandals and consequently lost a lot of public support. In addition, two social changes lead to the breakup of support for LDP.

2.1.1 The Boost of Newborn Parties

Under the 1955 System of LDP's one-party dominance, there seemed to be only one option for citizens who psychologically reject Socialist Party and Japan Communist Party. However, when coalition governance took place in 1993, many non-Socialism parties were rose and LDP lost its vote steadiness and the advantage of being a big party.

Among new parties, Democratic Party is the most threatening competitor to LDP. The enlargement of Democratic Party is extensive that there is a wide spectrum of new members from left-wing to right-wing parties. Moreover, three of five former Presidents of Democratic Party are used to be the members of LDP (including Hatoyama Yukio, Okada Katsuya and Ichiro Ozawa), and Kan Naoto, one of its party establishers, even served as a Minister of Ministry of Health, Labor, and Welfare in LDP Hashimoto government. As a result, Democratic Party was not only similar to LDP in policy orientation, but also undermine part of LDP's political support.

2.1.2 Chronic Economic Depression

Under the 1955 System, LDP mainly relied on "soshikihyou" (hard votes) and was supported by exceeding 500 industrial groups in Japan (Akira, 2003: 88-89). Karel van Wolferen (1990: 123-131), a Dutch journalist, has ever observed Japan's industrial network and marveled at its sophistication. The offer of tax-cut, subsidy and public expenditure by LDP are made for the industrial groups to exchange "hard votes" and political contribution (Calder, 1983). The tradeoff was marked by the "Iron Triangle" (inter-benefit structure among politicians, industries and bureaucrats) which consolidates electoral support for LDP and helps to get more donations in return (Kenji, 2002: 133).

The existence of Iron Triangle under the 1955 System is based on highly prosperous economic condition in Japan and the steady governance. However, as the end of 1955 System, the burst of the economic bubble depressed Japan and then a long-term economic recession ensued. The coalition cabinet led by LDP tried to extend domestic demands and to stimulate economic prosperity, while spending deficit and nation debt were raised contrarily. These desperate straits diminished LDP's political contributions and undermined the support from the public.

2.2 Komeito's Dilemma

2.2.1 Electoral Defeat in the House of Representatives

Komeito's crisis in the House of Representatives is mainly from 1994 reformation of electoral system, entitled "The Mixed System of Single-Member and Proportional-Representation Districts." The new electoral system puts emphasis on single-member district and tends to damage small parties (Jiro, 1998: 168-186; Toshihiko, 1997: 15-21).

Therefore, Komeito's legislative seats decrease to a large extent. When the new electoral system of Representatives election was put into practice for the first time in 1996, the number of Komeito's Representatives declined from 51 to 42; and in 2000, only 31 of 74 candidates nominated by Komeito were elected. This reveals that Komeito was marginalized when competing against two large parties, LDP and Democratic Party.

2.2.2 Defeat in Amendment to Electoral Law

After joining in ruling coalition, Komeito actively promoted an "Amendment to Electoral Law," in which the idea of two-candidate and three-candidate districts is proposed, and it is advantageous to small parties. (Note 2) However, increase of seats for a party definitely deprives others' opportunities. As a result, Amendment to Electoral Law was rejected by other parties, including Democratic Party, Liberal Party, Social-Democratic Party and Japan Communist Party. (Note 3) Meanwhile, the amendment does damage LDP's vote share, and some members of LDP surely disagree with it. (Note 4)

2.3 Context and Model of LDP-Komeito Coalition

As participating in LDP-Liberal coalition on October 5, 1999, Komeito signed a "LDP-Liberal-Komeito Coalition Contract" which clearly pointed out the three parties would negotiate with each other on issues of candidate nomination in single-member district before next General Election (Tatsuhiko, 1999: 1). The contract was aimed to strengthen the coalition through pre-election coordination; however, Liberal Party decided to back out of the deal and coalition on April 1, 2000, when Liberal Party and LDP debated bitterly about the "reduction of 20 seats in Proportional-Representation System" (Kenya, 2005: 80-91; Public Opinion Survey Dept., The Yomiuri Shimbun 2004: 116). Although LDP-Liberal-Komeito electoral coalition ended with the absence of Liberal Party, LDP and Komeito still carried on their electoral coalition in 42th General Election. With the beginning of the first electoral coalition on July 25, 2000, LDP and Komeito had cooperated in the House of Representatives election and in the House of Councilors election respectively for three times.

Since there are differences between the two electoral systems (Table 2), coalition patterns of LDP-Komeito in the two chambers differ as well. First of all, House of Representatives adopts "The Mixed System of Single-Member and Proportional-Representation Districts." In some parts of single-member districts, LDP and Komeito negotiate with each other and decide not to nominate individual candidate in the same voting precincts. Besides, they even require their supporters to cast ballots for candidates nominated by the other party. In proportional-representation districts, although two parties provide their own party-lists respectively, LDP voluntarily requires their firm supporters, such as Koenkai (local support groups), to vote for those on the party-list that Komeito presents (Souichirou, 2007: 69).

Secondly, House of Councilors adopts the "Mixed System of Multi-Member and Proportional-Representation Districts" since 1983. In parts of proportional-representation districts, LDP and Komeito do not align but nominate candidates respectively; while in parts of multi-member districts, Komeito nominates strategically according to the district magnitude. When a district is larger than two, Komeito nominates a candidate to "compete and coexist" with LDP. However, in a district with only one or two Councilors-elect, Komeito will give precedence to LDP.

3. Effects of LDP-Komeito Electoral Coalition

During the electoral coalition process, Komeito is always a critical minority because Komeito's "soshikihyou" has a profound effect on LDP. In other words, although Komeito controlls the relatively minor legislative seats, it provides sacrifices and assistance for LDP in elections and contribute greatly to LDP-Komeito coalition cabinet.

3.1 Electoral Coalition Effects on House of Representatives

Electoral results in the House of Representatives always determinate who dominate the government. That is to say, if LDP and Komeito agree with sharing values and nominate candidates abstemiously in advance, they can win the majority of legislative seats and equip them to form a coalition cabinet.

3.1.1 Advances of Vote Share and Seat Share

In single-member districts, Komeito appeals to voters for supporting LDP candidates when nominations are absent and contrariwise. For example, LDP's vote share is 74.5% (120 of 161 candidates) in 2000 and then keeps moving upward in 2003 and 2005, 80.8% (160 of 198) and 93.7% (224 of 239) respectively. At the same time, Komeito's seat share is 64.3% (9 of 14) in 2000 and then climb upward in 2003 and 2005, 90% (9 of 10) and 88.8% (8 of 9) respectively. According to Yomiuri Shimbun's exit polls, LDP and Komeito are getting closer in vote share in single-member districts. In districts without Komeito candidates, the proportion of LDP supporters who claim to vote for Komeito raises from 61% in 2000, 72% in 2003 to 78% in 2005. On the contrary, in districts without LDP candidates, the proportion raises from 38%, 56% to 68% (Politics Dept., The Yomiuri Shimbun, 2005).

According to their exit poll, Ikuo and Tuka (2004: 93) discuss Komeito's "soshikihyou" that LDP relies on and provide some arguments. If 60% of voters who support Komeito in proportional-representation district cast their votes for LDP, it would be possibly for 34 candidates of LDP single-member-district to avoid failing in 2000 and 53 candidates in 2003. On the other hand, if the support rate increases to 80%, the candidates who avoid fail would raise to 44 in 2000 and 77 in 2003 (Ikuo, 2006: 376).

Zenichirou (2003: 46) compares votes of two electoral systems, single-member district and proportional-representation district, and he discerns a huge gap between the two. The electoral result in 2003 reveals that Komeito was supported by 8.73 million voters in PR district while only 0.89 million voters in single-member district. Surprisingly, the difference between two systems was about 7.84 million. According to Yomiuri Shimbun's exit poll report, almost 72% of voters who supported Komeito cast their ballots for LDP in

single-member districts. This implied that one-fifth of the whole LDP votes in single-member districts were from Komerto's supporters.

In terms of NHK's exit poll report, Souichirou (2007: 70-71) points out the reason that LDP won a landslide victory in 2005 is more about the benefit of electoral coalition alignment with Komeito. The report revealed 75% of Komeito supporters cast their ballots for LDP candidates in single-member districts. Without Komeito's support, LDP might lose 55 seats in the House of Representatives. Furthermore, if the total votes of Komeito went to Democratic Party, there would be a decrease of 72 legislative seats in LDP, and the party would lose its advantage of majority over other parties. Lastly, in the districts where the LDP-Komeito coalition did not work together, only 56.9% (29 of 51) LDP candidates won and the percentage lagged far behind 93.7% in districts with Komeito's cooperation.

3.1.2 Effects on Votes and Vote Share

Table 3 shows the effects on votes and vote share of LDP-Komeito coalition. Ever since two parties had cooperated in some of the single-member districts, DLP's votes and vote share grew by degrees. In 1996 before the coalition had been carried into execution, LDP won 21,839,096 votes (38.62%). After aligning with Komeito, LDP attracts more public support acquiring 24,945,806 votes (40.97%) in 2000, 26,089,326 (43.85%) in 2003, and 32,518,389 (47.77%) in 2005.

On the other hand, LDP offered Komeito large number of hard votes in proportional-representation districts in return; hence LDP got fewer votes in 2000 than in 1996 since the coalition had been carried out. Nevertheless, LDP still acquired more votes and vote share in 2003 and 2005 because of a unique political atmosphere-Prime Minister Koizumi Whirl. Before general election in 2003, Prime Minister Koizumi recommended Abe for the post of LDP's Secretary General, in which he earned much public admiration and support. According to Japan Business News' survey on September 23, support for Koizumi government raised from 48% to 65% and there were 75% supporters who approved the commission of Abe as LDP's Secretary General. On the other hand, Prime Minister Koizumi adopted a series of electoral strategies, such as "female assassin" candidates in 2005 general election (Harukata, 2006: 231-236).

Although there were no respectable growth on Komeito's vote share and seat share after coalition with LDP, it is commendable that a minor party, such as Komeito, exists and competes with the major party which benefits more from the new electoral system. In sum, with the decline of other minor parties, such as Social Democratic Party, it is the LDP-Komeito coalition effects for Komeito to retain a position in Japanese politics.

3.2 Electoral Coalition Effects on House of Councilors

House of Councilors in Japan has no privileges to raise a vote of confidence and a government is unable to request dissolution of House of Councilors. In the process of governing, House of Councilors may not play an influential role as House of Representatives does, and the electoral results of House of Councilors are not crucial to the government's formation and termination. It remains important for the evaluation of government's policy, and the electoral results of House of Councilors provide a base to examine LDP-Komeito coalition.

Based on the preceding descriptions, when a district magnitude is lager than two, Komeito always nominates a candidate to compete and coexist with LDP; however, in a district with only one or two Councilors-elect, Komeito will avoid nomination. In other words, LDP-Komeito electoral "coalition" in a district with LDP nominators only indicates Komeito's unilateral assistances. In districts with Komeito's assistances, LDP won 29 seats (out of 35 nominators) in 2001 and 28 seats (out of 42 nominators) in 2004. However, Souichirou argues that without Komeito's help, LDP would lose 3 Councilors in 2001 and 6 in 2004 (Souichirou, 2007: 96-97).

Komeito also acquires its deserving rewards. For example, with LDP's aids, Komeito won 8 proportional-representation seats in 2004 and the 8th seat was won by a narrow margin. The Komeito Councilor who elected from proportional-representation district and ranked on the 8th position won 1,077,658 votes, which exceeded Democratic Party's last Councilor-elect in mere 166,298 votes. Finally, we can also analyze coalition effects on elections from a negative perspective. There were a series of troubles happened to Abe government, such as the improper speech of Minister of Health and Welfare on women's position, and a suicide matter of Minister of Agriculture, Forestry and Fisheries due to monetary scandal. Since Komeito is a party focused on improving human right and honesty with upright politics, the proceeding troubles undoubtedly brought about paradoxes between the two parties. The common grounds and consensus of LDP-Komeito coalition had been eroded. In the House of Councilors election in 2007, only 6% of LDP's supporters and 2% of Komeito's supporters vote for the other party. (Note 5)

4. Conclusion

The ultimate goal a political party pursues is to hold the reins of government and to retain or raise party share of legislative seats. While legislative majority are not controlled by a single party, there are no choices but to form a coalition cabinet. Because of the dissolution of public support for LDP, Komeito provides LDP with stable and reliable electoral votes to maintain LDP's political dominance and to ensure that LDP-Komeito coalition survive. That is to say, Komeito not only provides reliable hard votes for LDP, but also persuades their supporters to vote for LDP candidates through a rational process of negotiation with LDP.

With the help of coalition, Komeito maintains its power in legislature and carry out its electoral promises written on Party Manifesto. The official website of Komeito claims in detail that they have achieved 98% fulfillment of 123 social and welfare policies by legislative practices. (Note 6) Probably, Komeito exaggerate its policy success, but what really matters is that supporters approved its political option of cooperation with LDP. According to Japanese Business News public poll, 81% of Komeito supporters agree with LDP-Komeito coalition, and the proportion is above 37% among LDP's supporters (Japan Business News, 2004). In addition, with the participation of coalition regimes, Komeito takes into consideration of Humanism in the US-Japan joint Security Alliance. It's an issue for the two parties to hold absolutely opposite views.

There might be huge ideological differences between the two parties, and hence result in different policy practices. LDP and Komeito never propose a Joint Manifesto during the past elections. However, with the experiences of cooperation, LDP regards Komeito's as indispensable for the reins of government. In House of Councilors election in 2007, LDP performed poorly without Komeito's cooperation, which reflects Komeito's importantance. Democratic Party's former President Naoto Kan had sarcastically claimed that LDP and Komeito should merge together and be renamed as "Convergent New Party" (Takao, 2004: 130). Given to Kan's statement, we can easily observe the intimate connection between two parties after the practice of electoral coalition.

References

Akira, N. (2001). *Article 9th shocks postwar politics: Confidence and strength of the cabinet legislation bureau*. Tokyo, Japan: Chuokeizai-Shi, Inc.

Calder, K. E. (1989). *Zimintoutyoukiseiken no kenkyuu: kiki to hozyoukin. The study on LDP's extended governance: Crisis and subsidy*. Tokyo, Japan: Bungei Shunju.

Hajime, M. (2004). *Sanngiinseidoron: Sono sennkyoseido, teisuukakusamonndai, sosite sanngiinmuyouron ni tuite. House of Councilors: Electoral institution, votes weight-gap and the debate of House of Councilors' worthlessness*. Tokyo, Japan: Tokyotosho Co., Ltd.

Harukata, T. (2006). *Syusou sihai: Nihonnseizi no hennbou. Prime Minister dominance: Changes in Japan politics*. Tokyo, Japan: Chuokoron-Shinsha, Inc.

Hideo, O. (1999). *Nihonnseizi no tairituzuku: 93 nen ikou no seikaisaihen no naka. The confronting axis of Japan's politics: Political re-organization after 1993*. Tokyo, Japan: Chuokoron-Shinsha, Inc.

Ikuo, K. (2006). *Senngo nihonnseizi no kiseki: Ziminntousisutemu no keisei to hennyou. The trajectory of postwar Japanese politics: LDP's formation and changes*. Tokyo, Japan: Iwanami Shoten.

Ikuo, K. & Tuka, K. (2004). Koumei ga dotira wo erabu ka de seikenn ha kawaru. The turnover of the government: Determined by Komeito. *Central Review*, 1: 90-99.

Jiro, Y. (1998). *Seizikaikaku. Political reform*. Tokyo, Japan: Iwanami Shoten.

Keizou, N. (2007). Abe syusyou no higannitassei no tame no kenpou kaisei seikyoku ga hazimatta. Prime Minister Abe starts a desirable constitution reformation. *Ekonomisito*, May 29: 70-71.

Kenji, O. (2002). *Seiziseido no sikumi. The structure of political institutions*. Tokyo, Japan: Natsumesha Co., Ltd.

Kenya, M. (2005). *Yamisyougunn. Backstage general*. Tokyo, Japan: Kodansha Publishing Co., Ltd.

Makoto, O. (2001). *Gikaihou. Diet Law*. Tokyo, Japan: Yuhikaku Publishing Co., Ltd.

Masaji, K. (2005). Kokkai singi no kinou to hyouka ni kannsuru. The analysis of Diet's functions and evaluations. *Gikaiseizikenkyuu*, 75: 87-92.

Michisada, H. (1983). *Hozyoukin to seikentou. Subsidy and ruling party*. Tokyo, Japan: Asahi Shimbun Publishing Co.

Mikitaka, M. (2003). *Gikaisieto to nihonseizi. Electoral systems and Japan's politics*. Tokyo, Japan:

Bokutakusha.

Osamu, W. (2007). Kenpou kaisei mondai wo saninnsen de syoumen kara gironnseyo. House of Councilors should take charge of discussion in constitutional reform. *Ekonomisuto*, June 26: 47-47.

Politics Dept., The Yomiuri Shimbun. (2005). *Zimintou wo kowasita otoko koizumi seikenn 1500 niti no sihinzitu. The reality of collapse during 1,500 reining days of LDP Koizumi government*. Tokyo, Japan: Shinchosha Co., Ltd.

Public Opinion Survey Dept., The Yomiuri Shimbun. (2004). *Nidaiseitou zidai no akebono: heisei no seizi to sennkyo. The monster of two-party system: Politics and elections in Heisei period*. Tokyo, Japan: Bokutakusha.

Sadao, H. (2005). *Koumeitou, soukagakkai to nihonn. The Komeito, Soka Gakkai and Japan*. Tokyo, Japan: Kodansha Publishing Co., Ltd.

Souichirou, K. (2007). *Senkyokyouryoku to mutouha. Election coalition and median voter*. Tokyo, Japan: Japan Broadcast Publishing Co., Ltd.

Strom, K. (1990). *Minority government and majority rule*. New York: Cambridge University Press.

Takao, I. (2004). Zikou rennritu no naka de usinawareta seiken no aidennthithi. The vanishing identity with ruling power in LDP-Komeito coalition. *Central Review*, 9: 129-133.

Tatsuhiko, Y. (1999). Obuti seiken no keizai seisaku. Obuchi government's economical policies. *Tameike*, 35: 1.

Tehranian, M. & Ikeda, D. (2006). *The choices for 21st century*, trans. Chen Peng-jen. Taipei, Taiwan: Cheng Yin Culture.

Toshihiko, N. (1997). Syousenkyoku-hireidaihyousei no mondaiten. The probable problems of the single-member district and PR party lists parallel system. *Yuhikaku*, 1106: 15-21.

van Wolferen, K. (1990). *Nihon/kenryoku kouzou no nazo. The mystery of power structure in Japan*, trans. Shinohara Masaru. Tokyo, Japan: Hayakawa Publishing Corporation.

Warwick, P. (1994). *Government survival in parliamentary democracies*. Cambridge, UK: Cambridge University Press.

Yeh-lih, W. (2001). The study on the coalition typology and causations. In Su Yeong-ching (Eds.), *coalition cabinet: Is it a new choice for Taiwan's democratic Regime?* (pp. 3-32). Taipei, Taiwan: New Taiwanese Cultural Foundation.

Zenichirou, T. (2003). Seiken koudai kanouna nitousei ni mada natteinai. Two-party system promoting regime turnover is not set yet. *Ekonomisuto*, December 23: 44-47.

Zenichirou, T. (2005). *Nihon no sousennkyo: 1946-2005. The general elections in Japan: 1946-2005*. Tokyo, Japan: Tokyo University Publishing.

Notes

Note 1. The term means that LDP had dominated the Japanese politics since 1955 until 1993 which lost its majority position in House of Representatives.

Note 2. (2001, October 25). Touri ga subete? Gourisei ga miezu. Party interests are primary but without public rationale? *Asahi News* p. 4.

Note 3. (2004, July 5). Nozomashi seikenn, zikourennritu 20% kyuutraku. The ideal reins of government: Support for LDP-Komeito coation falls 20% sharply. *Japan Business News*, p. 3.

Note 4. (2001, October 31). Syuugiin hukusuuku sousetuan ziminhanpatu de sakiokuri. The initiative of House's multi-members electoral system: Suspended by LDP's opposition. *Asahi News*, p. 3.

Note 5. (2001, July 30). Abe hushinnin senmei honsya deguti tyousa. The exit poll reveals distrust to Prime Minister Abe raise. Asahi News, p. 1.

Note 6. Komeito, (2008). Seisaku, ziseki. Policies and practices. [Online] Available: http://www.komei.or.jp/ (February 8, 2008)

Table 1. Coalition cabinets in Japan (1993~2007)

No.	Prime Minister and Gov.		Formation Date	Coalition Parties
79	Morihiro Hosokawa (JNP)		1993.08.09	JNP, SP, JRP, NK, DSP, NPS, USD, UDR
80	Tsutomu Hata (JRP)		1994.04.28	JRP, LP, DSP, NK, JNP, USD, UDR
81	Tomiichi Murayama (SP)		1994.06.30	SP, NPS, LDP
		Reshuffle	1995.08.08	SP, NPS, LDP
82	Ryutaro Hashimoto　Ⅰ		1996.01.11	LDP, SP, NPS
83	Hashimoto Ⅱ		1996.11.07	LDP (SP and NPS are outside-cooperative with government)
		Reshuffle	1997.09.11	LDP (SP and NPS are outside-cooperative with government)
84	Keizo Obuchi		1998.07.30	LDP
		First Reshuffle	1999.01.14	LDP, LP
		Second Reshuffle	1999.10.05	LDP, LP, NK
85	Yoshiro Mori Ⅰ		2000.04.05	LDP, NK, CP
86	Mori Ⅱ		2000.07.04	LDP, NK, CP
		First Reshuffle	2000.12.05	LDP, NK, CP
		Second Reshuffle	2001.01.06	LDP, NK, CP
87	Junichiro Koizumi Ⅰ		2001.04.26	LDP, NK, CP
		First Reshuffle	2002.09.30	LDP, NK, CP
		Second Reshuffle	2003.09.22	LDP, NK, NCP
88	Koizumi Ⅱ		2003.11.19	LDP, NK, NCP
		Reshuffle	2004.09.27	LDP, NK
89	Koizumi Ⅲ		2005.09.21	LDP, NK
		Reshuffle	2005.10.31	LDP, NK
90	Shinzo Abe (LDP)		2006.09.26	LDP, NK
		Reshuffle	2007.08.27	LDP, NK
91	Yasuo Hukuda (LDP)		2007.09.26	LDP, NK
		Reshuffle	2008.08.02	LDP, NK

Source: Authors.

Notes:

1. Initials: JNP for Japan New Party; SP for Socialist Party; JRP Japan Renewal Party; NK for New Komeito; DSP for Democratic Socialist Party; NPS for New Party Sakigake; USD for Union of Social Democracy; UDR for Union of Democratic Reform; LP for Liberal Party; LDP for Liberal-Democratic Party; CP for Conservative Party; NCP for New Conservative Party.

2. Total seats of House of Representatives: 500 in 1996, 480 in 2000 and then; total seats of House of Councilors: 252 in 1998, 247 in 2001, 242 in 2004 and then.

Table 2. Comparisons between Electoral System of House of Representatives and of Councilors

		House of Representatives	House of Councilors
Japanese Wording		General Election	Ordinary Election
Legislative Term		4 Years	6 Years
Seats for Reelection		Whole Representatives	One-half Councilors Are Elected Every 3 Years
Dissolution by Prime Minister		Yes	No
Candidate Qualification for Age		Over 25 Years Old	Over 30 Years Old
Electoral System		The Mixed System of Single-Member and Proportional-Representation Districts	The Mixed System of Multi-Member and Proportional-Representation Districts
Total Seats		480	242
How Distribute Seats?	Ordinary Districts	300 Seats for 300 Single-Member Districts	146 Seats for 47 Multi-Member Districts
	PR Districts	180 Seats for 11 Geographic Districts	96 Seats for One National District

How Cast?	Ordinary Districts	For a Candidate	For a Candidate
	PR Districts	For a Party	For a Party or a Candidate
Legislators-Elect	Ordinary Districts	A Candidate Who Earns the Most Votes	Candidates Who Earn the Most Votes
	PR Districts	1. Distributing Seats to Parties by Vote-share. 2. Candidates Are Ordered by Party-list, but Two or More Candidates May Sit on the Same Placings. 3. Confirming by the Principle of "First Loser Margin"*.	1. Total Party Vote-share = Candidate Personal Votes+ Party Votes. 2. Distributing Seats According to Party Total Vote-share 3. Confirming by Candidates who earn the Most Votes on Party-list (Open-list PR).
When Will Hold a By-election?	Ordinary Districts	Any Representative is Absent	One-fourth Councilors are Absent
	PR Districts	No By-elections (A Vacant Is Usually Filled According to the Party-list)	
	Legislative Term	Filling the Expiration	

Source: Authors.

Notes:

*First Loser Margin Rate = $\dfrac{\text{The Candidate Votes}}{\text{Representative - Elect Votes}} \times 100\%$

Table 3. Parties' Votes and Vote-winning Rate in House of Representatives Elections during Period of LDP-Komeito Coalition

Election Party	1996 (Before Coalition) Ordinary Districts	PR Districts	2000 Ordinary Districts	PR Districts	2003 Ordinary Districts	PR Districts	2005 Ordinary Districts	PR Districts
LDP	21,836,096 (38.62%)[169]	18,205,955 (32.76%)[70]	24,945,806 (40.97%)[177]	16,943,425 (28.31%)[56]	26,089,326 (43.85%)[168]	20,660,185 (34.96%)[69]	32,518,389 (47.77%)[219]	25,887,798 (38.18%)[77]
NK	—	—	1,231,753 (2.02%)[7]	7,762,032 (12.97%)[24]	886,507 (1.49%)[9]	8,733,444 (14.78%)[25]	981,105 (1.44%)[8]	8,987,620 (13.25%)[23]
DP	6,001,666 (10.61%)[17]	8,949,190 (16.10%)[35]	16,811,732 (27.61%)[80]	15,067,990 (25.18%)[47]	21,814,154 (36.66%)[105]	22,095,636 (37.39%)[72]	24,804,786 (36.44%)[52]	21,036,425 (31.02%)[61]
CP	—	—	1,230,464 (2.02%)[7]	247,334 (0.41%)[0]	791,588 (1.33%)[4]	—	—	—
NPS	727,644 (1.28%)[2]	582,093 (1.04%)[0]	—	—	—	—	—	—
NFP	15,812,326 (27.97%)[96]	15,580,053 (28.03%)[60]	—	—	—	—	—	—
LP			2,053,736 (3.37%)[4]	6,589,490 (11.01%)[18]	—	—	—	—
UDR	149,357 (0.26%)[1]	18,844 (0.03%)[0]	—	—	—	—	—	—
SDP	1,240,649 (2.19%)[4]	3,547,240 (6.38%)[11]	2,315,234 (3.80%)[4]	5,603,680 (9.36%)[15]	1,708,672 (2.87%)[1]	3,027,390 (5.12%)[5]	996,007 (1.46%)[1]	3,719,522 (5.49%)[6]
JCP	7,096,766 (12.55%)[2]	7,268,743 (13.08%)[24]	7,352,843 (12.08%)[0]	6,719,016 (11.23%)[20]	4,837,952 (8.13%)[0]	4,586,172 (7.76%)[9]	4,937,375 (7.25%)[0]	4,919,187 (7.25%)[9]
IFR	3,663,917 (6.4%)[9]	1,147,077 (2.06%)[0]	4,031,026 (6.71%)[16]	—	4,165,176 (6.99%)[12]	—	3,242,078 (4.77%)[18]	

Source: Zenichirou (2005: 202); Ministry of Internal Affairs and Communications, Japan, *The Dataset of Election Results*, Retrieved December 12, 2007, from http://www.soumu.go.jp/senkyo/senkyo_s/data/index.html

Notes:

1. Initials: LDP for Liberal-Democratic Party; NK for New Komeito; DP for Democratic Party; CP for Conservative Party; NPS for New Party Sakigake; NFP for New Frontier Party; LP for Liberal Party; UDR for the Union of Democratic Reform; SDP for Social Democratic Party; JCP for Japan Communist Party; IFR for Independent Factions and Representatives.
2. The values in parenthesis ( ) stand for vote shares and the values in bracket [ ] stand for party's seat-winning.
3. The total seats of House of Representatives: 500 seats in 1996, 480 seats in 2000 and then.

Monetary Policy Reaction Function and Sterilization of Capital Inflows: An Analysis of Asian Countries

Muhammad Saim Hashmi (Corresponding author)

School of Economics, Huazhong University of Science and Technology

Wuhan 430074, China

E-mail: msaimhashmi@gmail.com

Changsheng Xu

Professor, School of Economics, Huazhong University of Science and Technology

Wuhan 430074, China

Muhammad Mahroof Khan

School of Economics, Huazhong University of Science and Technology

Wuhan 430074, China

E-mail: khanhust@yahoo.com

Mohsin Bashir

School of Management, Huazhong University of Science and Technology

Wuhan 430074, China

E-mail: uaf_mohsinpk@yahoo.com

Faheem Ghazanfar

School of Economics and Management, China University of Geosciences

Wuhan 430074, China

E-mail: faheemghazanfar@yahoo.com

Abstract

The study was mainly focused on estimation of monetary policy reaction function and degree of sterilization for the sample comprising of Pakistan, Korea, Philippines and Japan by using quarterly data ranging from 1980-1 to 2007-2. The study has used Johansen multivariate co integration technique. We conclude that over the period of study all the central banks of these countries have conducted a strong sterilization policy, but not fully sterilized the capital inflow. These countries have used the sterilization policy, though it is different in magnitude for different countries. Results show that in all the economies whether they are agriculture or non-agriculture they sterilized their capital inflows in the long run. Short run adjustment towards the long run equilibrium shows high value of adjustment for Korea and Philippines while for Pakistan its coefficient shows very little adjustment. On the other hand Korea and Philippines has shown comprehensive adjustment policies towards long term adjustment.

Keywords: Sterilization, Monetary policy reaction function, Capital flows

1. Introduction

Two main economic events have been dominant in the emerging market economies during and after 90's is the substantial increase in capital inflows compared to the 80's, and the repeated balance of payments crises associated with the sudden reversals of these flows. Capital flows to Latin America, which averaged less than $ 20 billion a year in the 80's and approximately $ 11 billion during its second half, increased to $ 70 billion a year during the 90's (IMF, 1999). In developing Asia capital flows increased from an average of $14.9 billion a year in the 1985-89 period to $ 40 billion a year from 1990 to 1994 (Calvo *et al.*, 1994). The volatility of capital flows has also increased. Sudden swings in capital flows have been followed in most cases by sharp balance of payments crises and deep economic contractions (Calvo, 1998).

Last decade has passed since the revival of international capital flows to many developing countries. About US$460 billion of foreign capital has flowed to developing countries in Asia and Latin America in the early 90's or about three-and-a-half times the US$133 of the late 80's, when there was a debt crisis and many of these countries had little or no access to international capital markets. These huge inflows in recent years may cause serious problem and choices for appropriate economic policy.

According to Calvo, et al (1994a, b) recent surge in capital inflows was initially attributed to domestic developments, such as the sound policies and stronger economic performance of these countries. Large capital inflows are often linked with a fast monetary expansion, inflationary pressures, real exchange rate appreciation, and widening current account deficits. In later period it was clear that these capital flows were universal, affecting countries with very different characteristics. During this time short-term interest rates in the United States were declining gradually and by late 1992 it was at its lowest level since the early 1960s. Further, a recession in several industrial countries made profit opportunities in developing countries appear relatively more attractive. While this turn of events was indication as good news in most developing countries, policymakers there became concerned about its sustainability. This capital flow to these countries was a blessing to them because developing countries face the problem of capital accumulation. This proved to be an opportunity for developing countries to use this capital flow for their development.

In the light of this capital flows to the developing countries, it became interesting to study the behavior of these countries that how they managed to tackle these capital inflows. Capital recipient countries were also under pressure because of exchange rate appreciation, widening of balance of payment deficit and inflation. There are many ways to handle this phenomenon; the most commonly used is sterilization policy. Sterilization is defined as the sale of domestic assets by central bank in order to off set an increase in the monetary base due to purchase of foreign assets. Under different exchange rate regime there are different policy tools to deal with such case. In managed floating exchange rate system, the central bank may respond to exchange market equilibrium by changing either the international reserves or the exchange rates.

Many developing countries responded the situation in different ways or according to situations of their economy and try to get benefits from increasing capital inflows in recent years. Mostly this is regarded as a very welcome phenomenon, raising levels of investment and encouraging economic growth. But increase in capital inflows can have two types of effects, a tendency for the local currency to gain in value, reducing the competitiveness of export industries, and giving rise to inflation. Capital inflows result in a buildup of foreign exchange reserves. As these reserves are used to buy domestic currency, the domestic monetary base expands without a corresponding increase in production, which would result in inflation.

This paper is an attempt to study the huge capital inflows and experience of some selected sample of the Asian countries, that how these selected countries managed to tackle this huge capital inflow. The sample consists of Pakistan, Japan, Korea and Philippines. The selection of this sample is mainly attributed to the availability of quarterly data over the specific time period for certain variables. This sample consists of industrial countries, agriculture economies, developing and developed countries. The study will focus on the estimation of the monetary policy reaction function and the degree of sterilization for selected sample.

2. Literature Review

The theoretical framework for analysis and relationship between capital inflows, sterilization and monetary response is a combination of two approaches usually found in the literature related to the empirical analysis of this phenomenon. The estimation of the sterilization coefficient, as in much of the existing research, is based on the estimation of the monetary policy reaction function as in Cumby and Obstfeld (1989). They derived the monetary policy reaction function by assuming that the central bank neutralizes the monetary effects of capital inflows from abroad by changing its domestic or net assets. While in the literature, the estimation of the offset coefficient is mostly based on the theoretical framework set by Kouri and Porter (1974). They derived a model of

international capital flows assuming a small open economy with a fixed exchange rate regime. A number of new research papers on this topic refer to the basic theoretical frameworks set up in these two papers (e.g. Celasun *et al.*, 1999, Siklos, 2000, Jan *et al*, 2005 and Emir *et al.*, 2000).

Moreno (1996), using four-variable vector autoregression model, explored the response of monetary authorities in Korea and Taiwan. This paper has developed an empirical model to analyze the monetary implications of intervention and sterilization policies in Korea and Taiwan. First conclusion of the study was that in both the economies, the sterilization is an important element of the response to shocks to foreign assets. Shocks to foreign assets were largely offset by shocks to domestic credit, and were generally associated with little net change in reserve money, especially in the case of Taiwan. The author made second conclusion that there are some differences in the responses of Korea and Taiwan that indicate that Korea may be more protected from foreign asset shocks. Shocks to foreign assets are quickly reversed in Korea, while they appear to be much more longer in Taiwan. The author says that this may reflect more persistent foreign exchange market speculation in Taiwan made possible by less restrictive capital controls. In addition, Korea has have a tendency to sterilize shocks to foreign assets more fully than has Taiwan, achieving a smaller change in exchange rate with a far smaller change in the money supply.

Frankel and Okongwu (1996) studied the major factors influencing emerging markets. Authors conclude that in the emerging-market countries U.S. interest rates are a very major determinant of financial conditions. Its effect is high and significant on portfolio capital flows and on local interest rates. The estimates for Mexico, suggests that a monetary expansion is followed by a capital outflow within the same quarter equal to 0.28 per cent of the increase in the monetary base, but it was not complete offset. This paper also finds the evidence against the view that the existence of country risk or remaining capital controls is the major reason why interest rates in recipient countries remained above U.S. interest rates in the period of 1990-94. Country risk, measured for example by the discount in the secondary debt market, is a significant determinant of country interest rates. But a decomposition of interest differentials into country premium and currency premium shows that the currency premium is generally larger. When countries have difficulty in sterilizing inflows, in the sense that the issue of domestic bonds drives up the local interest rate, the interest differential may be interpretable in large part as compensation for expected future depreciation.

Sahadevan (1999) attempts to analyze the impact of monetary policy on the behavior of rupee exchange rate and international reserves during the controlled floating of rupee in India. Study analyses the efforts made by Reserve Bank of India to offset the pressure that monetary shocks exert on exchange rates and reserves. Based on the estimates of Girton -Roper model of exchange market pressure for the period between 1992:4 and 1999:3 by using Ordinary Least Square (OLS) method, the study examines the Reserve Bank of India's policy of maintaining exchange rate and reserves. Results indicate that Reserve Bank of India offsets though not completely the domestic monetary expansion (contraction) either by depreciation (appreciation) of rupee or by accumulating foreign exchange reserves or by some combination of both. The values of offset coefficient ranging between –0.81 and –0.93 show that the pressure on exchange rate and reserve level is partially neutralized by some other means. The controls on international trade and capital flows do provide effective protection from exchange market pressure.

Study by Siklos and Rogers (2001) provides an empirical assessment of the effectiveness of foreign exchange intervention in two small open economies. Study examine the intervention practices of the Reserve Bank of Australia and the Bank of Canada for a sample of daily data ranging from 1989 to the end of 1997. Results suggest that both central banks intervene in foreign exchange markets in response to excessive exchange rate volatility and uncertainty. In the study Volatility is measured by using the implied volatility of foreign currency futures options and uncertainty is proxied using the kurtosis of the implied risk-neutral probability density functions. The latter are derived using the implied volatility of options on foreign currency futures.

By using these techniques the authors find that central bank intervention in the foreign exchange market was largely unsuccessful in both countries though volatility and kurtosis were reasonably affected. The intervention reaction function estimates for Canada shows that the BoC and the RBA 'leaned against the wind'. The author found that foreign exchange activities of the BoC had no effect on implied volatility or uncertainty of extreme outcomes. While RBA interventions reduced implied volatilities but had no impact on kurtosis. As a result, intervention is not very ineffective at influencing the higher moments in the distribution of exchange rates.

Carlson and Hernández (2002), in an article studied the Mexican, Asian, and Russian crises of the mid- and late 1990s. Authors studied the determinants and effects of private capital flows. To test whether policy and real factors affect different types of the capital inflows, study have used panel data set. The data consist of annual

observations from 1991 to 1998 for the sample of 16 countries. Study uses a panel data regression with fixed effects for each country and the seemingly unrelated regression technique (SUR) on a pooled sample with country and year dummies.

This paper analyzes whether policies can affect the composition of capital inflows and whether different compositions worsen crises. Study found that while fundamentals matter, capital controls can affect the mix of capital inflows that countries receive. Study also finds that during the Asian crisis countries with more Yen denominated debt faired worse, while during the Mexican crisis larger short-term debt stocks increased the severity of the crisis.

Study also find that the currency value of debt, affected the severity of country's experiences during the Asian crisis, possibly because debt value was not matched to the country's exchange rate pegs and the debt was appreciating in value. Author also finds that in the Mexican crisis, there is some evidence that excessive amount of short-term debt to reserves led to the crisis. If exchange rate floats freely it will lead to increase the share of short-term debt in total capital inflows. Inversely by imposing restrictions on capital transactions, will tend to increase the share of Foreign Direct Investment.

The study by King (2002) concludes that foreign exchange intervention strategies should be chosen according to the objective for intervention. Author argues that inability of empirical studies to consider how objectives for intervention might vary over time is a shortcoming of this literature. According to study, change in objectives over time and the lack of data on why monetary authorities intervene, is a short coming of the this literature. In this study two categories of objectives are identified, policy objectives and tactical objectives. Policy objectives are longer-term in nature and concerned with the macro economy. Intervention to support policy objectives should be announced, supported by macro economic policy, coordinated with other monetary authorities.

Tactical objectives for intervention are short term and are concerned with the fluctuations of the foreign exchange market, such as the volatility or price action of the currency. Intervention to support tactical objectives should be conducted secretly, in large size and timed to take advantage of supportive economic releases. Study argue that secrecy may be desired in theory, in practice it is hard to obtain because of the dynamics of the foreign exchange markets. King (2002)

Buscaglia (2003), model a general equilibrium framework for the relationship between the sterilization of capital inflows and balance of payments crises. Study shows that, an attempt to sterilize capital inflows in an economy facing a temporary decrease in the international interest rate, leads the economy to a balance of payment crises, while a pure Currency Board would handle it in a better manners. Study raises many objections on sterilization. It argues that it worsen the finances of the public sector. The Author have also shown that in the context of perfect foresight and perfect capital mobility sterilization is not effective in reducing the current account deficit. The results of the study suggest that BOPC are caused by an effort to sterilize the capital inflows that would follow from a temporary decrease in the international interest rate. It also analyze this argument empirically, which depends on the the magnitude of the interest rate decrease and time-extension.

The study by Qayyum and Khan (2003) has estimated domestic credit policy reaction function to analyze the monetary implications of interventions and sterilization policy in Pakistan. The study has used quarterly data ranging from1982-3 to 2001-2. Johansen multivariate co integration technique has been used in this study. The study found the central bank of Pakistan exercised the sterilization policy in Pakistan. The study estimated degree of sterilization about 72 percent in the long run. Further study applied error correction model and estimate that in the short run about 11 percent adjustments takes place towards the long run equilibrium. The results of error correction model also indicate that about 88 percent sterilization has taken place in the short run. The study also indicates that short run elastic ties are greater than the long run elastic ties.

Cardarelli et al.(2009), focused on a large group of emerging and advanced economies to examine the macroeconomic implications and policy responses to surges in private capital inflows over the period of 1987–2007. They found that episodes of large capital inflows to those countries are often associated with real exchange rate appreciations and deteriorating current account balances. They found that during episodes by keeping public expenditure growth steady can help limit real currency appreciation and foster better growth outcomes in their aftermath. Furthermore, resisting nominal exchange rate appreciation through sterilized intervention is likely to be ineffective when the influx of capital is persistent. Finally tightening capital controls has not in general been associated with better outcomes.

Igor Ljubaj, et al.(2010) explore the Croatian National Bank response to capital inflows in the period from 2000 to 2009 by estimating a sterilization coefficient, and to explore to what degree the central bank's activities in the domestic market spurred additional capital inflows by estimating an offset coefficient. They applied two stage

least square Method (2SLS) to find the relevant explanatory variables that enabled the estimation of the mentioned coefficients. According to the estimated coefficients they concluded that during the period 2000 to 2009 the Croation national bank conducted a policy of partial sterilization of foreign inflows. Their estimated coefficients indicate that the central bank managed to preserve the relatively high autonomy and efficiency of its sterilization policy despite the liberalization of capital flows and their continued strengthening.

3. Model Specification and Data

The model for the estimation of degree of sterilization is taken from Qayyum and Khan (2003). To examine the degree of sterilization, it is necessary to drive a domestic credit policy reaction function. The reaction function can be derived from two equations, which summaries the monetary approach to balance of payments.

$$M_t^d = A Y_t^{\beta_1} Q_t^{\beta_2} \exp(\beta_3 i_t + \beta_4 i_t^* + u_t) \tag{1}$$

$$M_t^s = \kappa (D + R)_t \tag{2}$$

In equation (1) M_t^d is money demand, Y represents real income, Q real exchange rate, i domestic interest rate,

i^* foreign interest rate, $\beta_1, \beta_2, \beta_3, \beta_4$ are assumed to be constant elastic ties, A is scale factor.

In equation (2) Ms is money supply, k represents money multiplier, D is domestic components of monetary base

and R denotes foreign components of monetary base. In equation (1) money demand M_t^d is a function of real

income (Y), real exchange rate (Q), domestic interest rate (i) and foreign interest rate (i^*). The parameters β_1, β_2, β_3, β_4 are assumed to be constant elastic ties and A is scale factor.

So in equation (2) money supply (Ms) is composed of money multiplier (k) of domestic (D) and foreign components (R) of monetary base.

From equation (2) we obtain

$$D_t = \frac{1}{\kappa}(M_t^s) - R_t$$

Which demonstrates the link between domestic credit and foreign exchange reserves. When the central bank buys foreign currency from the foreign exchange market, R goes up. The rise in R can be sterilized by reducing the central bank's credit holdings D. if the change in R is fully matched by an offsetting change in D, there is no change in Ms. Assuming monetary equilibrium where $M^s = M^d$, we have

$$D_t = \frac{1}{\kappa}(M_t^d) - R_t \tag{3}$$

Taking logarithms of equation (3) we obtain

$$\ln D_t = \ln M_t^d - \ln \kappa - \ln R_t \tag{4}$$

Using logarithms of equation (1) and substituting in equation (4) we get the following equation

$$\ln D_t = \ln A + \beta_1 \ln Y_t + \beta_2 \ln Q_t + \beta_3 i_t + \beta_4 i_t^* - \ln \kappa - \ln R_t + u_t \tag{5}$$

we can write equation(5) in the following estimable form

$$d_t = \beta_0 + \beta_1 y_t + \beta_2 q_t + \beta_3 i_t + \beta_4 i_t^* + \beta_5 m_t + \beta_6 r_t + u_t \tag{6}$$

where lower case letters represents the logarithms of variables involved in equation (5), $\beta_0 = \ln A$ and m_t is the logarithm of money multiplier and u_t is the error term.

The co-efficient of r_t i.e. β_6 is called as the sterilization coefficient. It measures the thrust of monetary policy to sterilize the impact of international reserve flow on the monetary base. The value of sterilization coefficient ranges from 0 to -1. If the value is 0, it means no sterilization. If the value is -1 it shows full sterilization. In our model sterilization co-efficient is β_6. If the value of sterilization coefficient β_6 is 0, then no sterilization has taken place. If $\beta_6 = -1$, sterilization is complete. But when the results of regression are such that $-1 < \beta_6 < 0$, sterilization is conducted incompletely by the central bank. Equation (6) may be subject to simultaneous bias. However, using multivariate co integration techniques, we can obtain unbiased long run elastic ties of the determinants of money demand and monetary base.

3.1 Estimation of Error-correction Model

In our above analysis if there exist long run co integration relationship between the variables, then the performance of the domestic credit policy reaction function can be improved by introducing short run dynamics into the static model. According to Granger (1987) representation theorem, if a co integration relationship exist between series of I(1) variables, then a dynamic error-correction representation also exist. The general form of the error correction model can be written as

$$\Delta d_t = \alpha + \sum_{i=1}^{k-1} \beta_i \Delta d_{t-i} + \sum_{i=0}^{k-1} \gamma_i \Delta y_{t-i} + \sum_{i=0}^{k-1} \delta_i q_{t-i} + \sum_{i=0}^{k-1} \theta_i i_{t-i} + \sum_{i=0}^{k-1} \eta_i i^*_{t-i} + \sum_{i=0}^{k-1} \tau_i \Delta m_{t-i}$$

$$+ \sum_{i=0}^{k-1} \lambda_i \Delta r_{t-i} + \phi \varepsilon_{t-i} + \mu_t$$

Where (i=1,2,3,4), and ϕ is the speed of adjustment.

Error correction term ε_t is given by

$$\varepsilon_t = d_t - \hat{d}_t$$

3.2 Data Description

For the empirical analysis we used the quarterly data ranging from 1980Q1 to 2007Q1. Domestic credit *(d)* is calculated by taking the difference between the central bank reserve money and gross foreign assets. International reserves *(r)* excluded gold is defined in domestic currency. For domestic interest rate *(i)* interbank call money rate is used and foreign interest rate *(i*)* United State's Federal Fund rate is used. Real exchange rate is calculated as $(q = s + p^* - p)$, where *(s)* is the annual average exchange rate and *(p*)* is the US *WPI* and *(p)* is Pakistan's WPI. Money multiplier *(m)* is obtained from dividing reserve money by *M2*. All the data are taken from various issues of International Financial Statistics *(IFS)*. Except domestic and foreign interest rates all other data is expressed in logarithms form.

4. Estimation Techniques and Results

To estimate the time series data we will firs check the stationarity of the variables to obtain reliable estimates. To check the stationary level of the variables we apply Augmented Dickey-Fuller (ADF) test. If all the variables are I(1) stationary, we will apply co integration test to check for any long run co integration relationship between one or more variables by using Jahonsen (1988) and Johansen and Juselius (1990) multivariate technique. Then to get the significant values of target variables, the model will be estimated by using OLS estimation technique to estimate long run adjustments coefficients of the variables. Finally we will estimate short run error correction model by using Hendry's general to specific methodology to get short run adjustment coefficient.

4.1 Pakistan

For the purpose of estimation, the time series data should be stationary. Generally time series data on variables is non-stationery at levels (at 1% critical values). A non-stationery series becomes stationery when difference *d* times, is said to be integrated of order *d*, can be shown as $X \sim I(d)$. We have used Augmented Dickey- Fuller (ADF) test to obtain stationery value of the variables. Table 1 shows the results of Augmented Dickey- Fuller (ADF) test at levels and at first difference.

[Insert Table 1 here]

Table 1 shows that all the variables are non-stationary at levels at 1% critical value and they are stationary at I(1) at1% critical value, it means that (*d, I*, I, m, q, r, y*)~ *I(1)*. As all the variable are I(1) stationary so there is possibility of long term co integration relationship between the variables

4.2 Japan

The Augmented Dicky Fuller test is applied on variables of Japan. All the variables for Japan tend to non stationary at levels. The results of unit root test for Japan are presented in table 2

[Insert Table 2 here]

The results of ADF test shows that all the variables are non stationary at levels and become stationary at the first difference. It means that all the variable are I(1) stationary for Japan.

4.3 Korea

The time series data on variables is non-stationery at levels at 1% critical values. Augmented Dickey- Fuller (ADF) test is used to determine the stationery value of the variables. Results are shown in the table 3

[Insert Table 3 here]

The above table shows that all the variables are non-stationary at levels at 5% critical value and they are stationary at I(1), it means that (*d, I*, I, m, q, r, y*)~ *I(1)*

4.4 Philippines

For the purpose of estimation, the time series data on variables is non stationery at levels at 1% critical values. The Table 4 shows the results of the variables at levels and at first difference for Philippines

[Insert Table 4 here]

The table 4 shows that all the variables are non-stationary at levels at 5% critical value and they become stationary at I(1), it means that (*d, I*, I, m, q, r, y*)~ *I(1)* for Philippines

5. Co integration Analysis

For a time series data which is I(1) stationary, to check the co integration between the variables the Jahonsen (1988) and Johansen and Juselius(1990) multivariate technique is used. This technique uses likelihood ratio and eigenvalues to determine the co integration relationship. Likelihood ratio test uses the null hypothesis that there are at most *r* co integration vectors against the alternative of *r+1* co integration vectors. The results are reported in Table 9. The value of R square shows the good fit of the model for all the countries. While Durban Watson *d* statistic indicates that there is no autocorrelation in the data for all the countries in the sample. F-test also validates the significance of the models for all countries. The detailed description of results is given below:

5.1 Co integration test for Pakistan

The following table shows the results of co integration analysis for Pakistan:

[Insert Table 5 here]

Results in above table reject the null hypothesis of no co integration relation ship and indicate that there is one co integration relationship exist at 5% level of significance. It means that there exists long-term relation ship between variables.

5.2 Co integration test for Japan

As all the variables of Japan are I(1) stationary so we applied co integration test to the data series. Results are reported in the following table 6.

[Insert Table 6 here]

Results in table 6 rejects the null hypothesis of no co integration between the variables and shows that there are two co integration equations at 5% significance level.

5.3 Co integration test for Korea

To test for any long run relationship among one or more variables, co integration test is applied to the data. Results are presented in the following table.

[Insert Table 7 here]

The results in above table reject the null hypothesis of no co integration and indicate that there is one co integration equation among the series of data at 5% significance level.

5.4 Co integration test for Philippines

Results of co integration analysis are reported in the following Table 8.

[Insert Table 8 here]

The above results reject the null hypothesis of no co integration for Philippines and indicate that there two co integration equation at 5% significance level.

6. Long Run Estimates of sterilization

In the following table 9 we have presented the results of co integration equations for our sample countries.

[Insert Table 9 here]

The above table presents the results obtained by regressing independent variables on domestic credit *d*, To get long run sterilization coefficient for the period of study.

The above table shows that all the variables are statistically significant. Sterilization coefficient of *r* shows that the state bank of Pakistan sterilized the foreign capital inflow approximately 0.83. It means that central bank sterilized its foreign exchange reserves approximately 83 percent over the period of study.

The results shown in the above table show that all the coefficient of variables are significant at 5% level of significance except the coefficient of domestic interest rate *(i)*.

For Japan, the coefficient of sterilization (β_6) is estimated about –0.39193 which shows that the central bank of Japan sterilized about 61 percent of its capital inflows over the period of study.

For Korea, except for the coefficient of variable *q* all the coefficients of variables in the above table are statistically significant at 5% level of significance. The coefficient of sterilization is –0.74382 indicating that the degree of sterilization in Korea is 0.26. or Korea sterilized its foreign capital inflows by 26%.

Finally for Philippines, the above table the coefficient of sterilization is estimated about –0.43608 and is statistically significant. It means that the central bank of Philippines sterilized about 56 percent of its foreign capital inflows in the long run.

7. Error correction Model for domestic credit reaction function

The above model shows the static behavior of the variable over the data period. To introduce short run dynamics in the model and to estimate short run adjustment coefficients for all sample countries we estimated an error correction model. According to Granger (1987) representation theorem, if there exist co integration relationship between *I(1)* series of variables, then a dynamic error-correction representation also exist. By using Hendry's general to specific methodology, the following results have been obtained.

[Insert Table 10 here]

The value of R square shows the fit of the models is good for all the countries. While Durban Watson *d* statistic indicates that there is no autocorrelation in the data for all the countries in the sample. The detailed description of results is given below:

In the table 10 almost all the variables are statistically significant at 5% level of significance except the coefficients of *q* with all its lags, *y(-1)*,and *I*(-2)*. For Pakistan, the estimate of error correction term is 0.162523, which means that in one quarter about 16 percent adjustment takes place towards long run equilibrium. On the other hand the coefficient of foreign exchange reserves is –0.104523, which shows that the state bank of Pakistan sterilizes 88 percent of its capital inflows in the short run.

The short run adjustment coefficient is estimated by estimating error correction model for Japan. In the table above, the adjustment coefficient is statistically insignificant. Other wise it indicate that there is very little (0.0000107) adjustment takes place in every quarter towards long run equilibrium. Short run coefficient of foreign exchange reserves is estimated about –0.589545, which means that central bank of Japan sterilized its foreign exchange inflows by 59% in the short run.

The estimate of Error correction Model for domestic credit reaction function for Korea shows that short run adjustment coefficient, *E(-1)*, is –0.969789 which shows that 97% adjustment towards long run equilibrium in a quarter took place. The coefficient of foreign exchange reserves is estimated about-0.75894, which shows that the central bank of Korea sterilized about 24 percent of its foreign capital inflows in the short run.

For Philippines, the results above show that in the short run adjustment coefficient is about 0.985045. It means that about 99 percent adjustment toward the long run equilibrium takes place in one quarter. The coefficient of

foreign exchange reserves is -0.44455, which implies that central bank of Philippines, sterilized about 56 percent of its foreign capital inflows in the short run.

8. Summary and Conclusions

The study was mainly focused on estimation of monetary policy reaction function and degree of sterilization for the sample comprising of Pakistan, Korea, Philippines and Japan by using quarterly data ranging from 1980-1 to 2007-08. The study has used Johansen multivariate co integration technique. We conclude that over the period of study all the central banks of these countries have conducted a strong sterilization policy, but not fully sterilized the capital inflow. These countries have used the sterilization policy, though it is different in magnitude for different countries.

[Insert Table 11 here]

Summary of results in above Table 11 shows that sterilization coefficient over the sample period, for the selected countries, varies from 0.26 to 0.83. While in the short run it ranges from 0.24 to 0.88. Pakistan has sterilized most of its foreign capital inflows, as its coefficient of sterilization is highest in the long run (0.83) and in the short run (0.88). While the sterilization coefficient for Korea indicate that Korea has sterilized very less of its foreign capital inflows as its coefficient of sterilization estimated is 0.26 and 0.24 in the short and long run respectively. The short run adjustment coefficient to the long run equilibrium is lowest in Pakistan (0.16) and highest in the case of Philippines (0.99).

In the long run, the response of the industrial economy like Japan shows that it has sterilized about 61 percent of its foreign capital inflows, while in the cluster of non-industrial countries also showed a mixed response to the capital inflows in the long run. The degree of sterilization for Pakistan is estimated about 83 percent, while for Korea and Philippines it is about 26 percent and 57 percent respectively. It indicates that in all the economies whether they are agriculture or non-agriculture they sterilized their capital inflows in the long run.

Short run adjustment towards the long run equilibrium shows high value of adjustment for Korea and Philippines while for Pakistan it shows very little adjustment. For Pakistan it exhibits very short term policies to control for its monetary base. There may be some policy issues to expand the monetary base as it could be seen from current huge inflationary pressure on the economy. On the other hand Korea and Philippines has shown a comprehensive adjustment policies towards long term adjustment or it have long term monetary policy stances.

References

Calvo, Guillermo A., Leonardo Leiderman, and Carmen Reinhart. (1993). Capital Inflows and Real Exchange Rate Appreciation in Latin America. The Role of External Factors. IMF Staff Papers, Vol. 40, March 1993.

Calvo, Guillermo A., Leonardo Leiderman, and Carmen Reinhart. (1994). Inflows of Capital to Developing Countries in the 1990s: Causes and Effects. Working Paper 301, Office of the Chief Economics, Inter-American Development Bank.

Celasun, O., C. Denizer, and D. He. (1999). Capital Flows, Macroeconomic Management and Financial System, Turkey 1989-97, World Bank.

Cumby, Robert and Maurice Obstfeld. (1983). Capital Mobility and the Scope for Sterilization: Mexico in the 70's, in Financial Policies and the World Capital Market: the Problem of Latin American Countries, Pedro Aspe, Rudiger Dornbusch and Maurice Obstfeld, editors.

Dominguez, Kathryn and Jeffrey Frankel. (1993b). Does Foreign-Exchange Intervention Matter? The Portfolio Effect. *American Economic Review,* 83 (5), 1356-69.

Emir, O. Y., A. Karasoy, and K. Kunter. (2000). Monetary Policy Reaction Function in Turkey. Central Bank of the Republic of Turkey, October 2000.

Guillermo A. Calvo, Leonardo Leiderman, and Carmen M. Reinhart. Inflows of Capital to Developing Countries in the 1990s: Causes and Effects. Inter-American Development Bank Working Paper 302.

Igor Ljubaj, Ana Martinis and Marko Mrkalj. (2010). Capital Inflows and Efficiency of Sterilization Estimation of Sterilization and Offset Coefficients. Croatian National Bank.

International Monetary Fund. (Various issues). *International Finantional Statistics (IFS).*

Jan A., A. Elahi, and M. A. Zahid. (2005). Managing Foreign Exchange Inflows: An Analysis of Sterilisation in Pakistan. *The Pakistan Development Review*, 44:4, pp. 777-792.

Jeffrey A. Frankel and Chudozie Okongwu, (1996). Liberalized Portfolio Capital Inflows in Emerging Markets: Sterilization, Expectations, and the Incompleteness of Interest Rate Convergence. Department of Economics, University of California, Berkeley,

Johansen, S. (1988). Statistical Analysis of Cointegration Vector. *Journal of Economic Dynamics and Control.* 12, 231-254. doi:10.1016/0165-1889(88)90041-3, http://dx.doi.org/10.1016/0165-1889(88)90041-3

Johansen, S., and K Juelius. (1990). Maximum Likelihood Estimation and Inference of Cointegration—with Application to the Demand for Money. *Oxford Bulletin of Economics and Statistics,* 52, 169-210. doi:10.1111/j.1468-0084.1990.mp52002003.x, http://dx.doi.org/10.1111/j.1468-0084.1990.mp52002003.x

K.G. Sahadevan, (1999). Foreign Exchange Market Intervention and Neutralization: the Indian experience under controlled floating of rupee. Indian Institute of Management, Prabandh Nagar, Off Sitapur Road, Lucknow – 226 013, INDIA.

Kaminsky, Graciela and Karen Lewis. (1996). Does foreign exchange intervention signal future monetary policy. *Journal of Monetary Economics*, 37: 285-312. doi:10.1016/S0304-3932(96)90038-0, http://dx.doi.org/10.1016/S0304-3932(96)90038-0

Kouri, P., and R. Porter. (1974). International Capital Flows and Portfolio Equilibrium. *Journal of Political Economy*, Vol. 82, pp. 443-467. doi:10.1086/260207, http://dx.doi.org/10.1086/260207

Marcos A. Buscaglia. (2003). Sterilization of Capital Inflows and Balance of Payments Crises. IAE School of Management and Business. Mariano Acosta y Ruta Nac. 8, Casilla de Correo 49. B1629WWA Pilar, Provincia de Buenos Aires, Argentina.

Mark Carlson and Leonardo Hernández. (2002). Determinants and Repercussions of the Composition of Capital Inflows. International Finance Discussion Papers, Number 717, January 2002, Board of Governors of the Federal Reserve System.

Menzie D. Chinn and Michael P. Dooley (1997). Financial Repression and Capital Mobility: Why Capital Flows and Covered Interest Rate Differentials Fail to Measure Capital Market Integration. Monetary and Economic Studies/December, University of California, Santa Cruz, and National Bureau of Economic Research.

Michael R. King. (2003). Effective Foreign Exchange Intervention: Matching Strategies with Objectives. Bank of Canada, International Finance.

Qayyum Abdul and Muhammad Arshad Khan. (2003). Capital Flows and Money Supply: The Degree of Sterilisation in Pakistan. *The Pakistan Development Review*, Pakistan Institute of Development Economics, Vol. 42(4), 975-985.

Ramon Moreno. (1996). Intervention, sterilization, and monetary control in Korea and Taiwan. *Economic Review,* Federal Reserve Bank of San Francisco, 23-33.

Roberto Cardarelli, Selim Elekdag, and M. Ayhan Kose. (2009). Capital Inflows: Macroeconomic Implications and Policy Responses. IMF Working Paper WP/09/40, Asia and Pacific Department and Research Department, International Monetary Fund.

Siklos, P. L. (2001). Capital Flows in a Transitional Economy and the Sterilization Dilemma: The Hungarian Experience, 1992-97. *Policy Reform*, Vol. 3, 373-392. doi:10.1080/13841280008523411, http://dx.doi.org/10.1080/13841280008523411

State Bank of Pakistan (various issues).

Table 1. Unit root tests for Pakistan with no intercept & no trend

Variable	ADF Statistics at level	ADF Statistics at Ist difference	Stationarity level
D	0.313652	-11.50048	I(1)
I*	-2.044412	-8.690175	I(1)
I	-1.329426	-13.23882	I(1)
M	0.198384	-11.37810	I(1)
Q	-0.608593	-6.493757	I(1)
R	1.280481	-8.790565	I(1)
Y	0.734055	-20.91835	I(1)

Critical value at 5%=-1.9437, Critical value at 1%= -2.5888, The critical values are given by Mackinnon (1991)

Table 2. Unit root tests for Japan with no intercept & no trend

Variable	ADF Statistics at level	ADF Statistics at Ist difference	Stationary level
D	0.7089	-15.2829	I(1)
I*	-2.0585	-8.7371	I(1)
I	-2.0741	-8.3972	I(1)
M	-0.6087	-14.2327	I(1)
Q	-0.8559	-7.5183	I(1)
R	4.9850	-5.7677	I(1)
Y	7.0551	-4.7019	I(1)

Critical value at 5%=-1.9437, Critical value at 1%= -2.5888, The critical values are given by Mackinnon (1991)

Table 3. Unit root tests for Korea with no intercept & no trend

Variable	ADF Statistics at level	ADF Statistics at Ist difference	Stationarity level
D	0.029443	-11.62484	I(1)
I*	-2.105822	-8.931002	I(1)
I	-1.972400	-7.669510	I(1)
M	1.072188	-11.37109	I(1)
Q	1.356671	-7.127252	I(1)
Y	2.213028	-16.78486	I(1)
R	3.532507	-8.909572	I(1)

Critical value at 5%=-1.9437, Critical value at 1%= -2.5888, The critical values are given by Mackinnon (1991)

Table 4. Unit root tests for Philippines with no intercept & no trend

Variable	ADF Statistics at level	ADF Statistics at Ist difference	Stationarity level
D	-1.319953	-9.966841	I(1)
I*	-2.105822	-8.931002	I(1)
I	-1.303822	-11.55090	I(1)
M	0.106228	-9.536210	I(1)
Q	-0.609141	-7.777341	I(1)
R	1.109264	-12.84024	I(1)
Y	1.609095	-15.61886	I(1)

Critical value at 5%=-1.9437, Critical value at 1%= -2.5888, The critical values are given by Mackinnon (1991)

Table 5. Results of Co integration Analysis for Pakistan (Series: *d, i*,i, m,q, y, r*)

Eigenvalue	Liklihood Ratio	5%critical value	1% critical value	Hypothesized No of CE(s)
0.617605	174.4607	109.99	119.80	None**
0.340762	90.82757	82.49	90.45	At most 1
0.215091	54.57719	59.46	66.52	At most 2
0.163431	33.50687	39.89	45.58	At most 3
0.124267	17.982	24.31	29.75	At most 4
0.038339	6.437644	12.53	16.31	At most 5
0.034301	3.036535	3.84	6.51	At most 6

H_0: No cointegration exits between variables

*(**) denotes rejection of the hypothesis at 5%(1%) significance level, No intercept no trend in the data

Table 6. Co integration test for Japan   Series:(*d, i*,i, m,q, y, r*)

Eigenvalue	Liklihood Ratio	5%critical value	1% critical value	Hypothesized No of CE(s)
0.4935	168.9931	109.99	119.80	None**
0.4046	107.7714	82.49	90.45	At most 1**
0.2243	61.0956	59.46	66.52	At most 2
0.1776	38.2383	39.89	45.58	At most 3
0.1531	20.6461	24.31	29.75	At most 4
0.0586	5.6926	12.53	16.31	At most 5
0.0029	0.2597	3.84	6.51	At most 6

H_0: No cointegration exits between variables

*(**) denotes rejection of the hypothesis at 5%(1%) significance level, No intercept no trend in the data

Table 7. Co-integration test for Korea   Series: (*d, i*,i, m,q, y, r*)

Eigenvalue	Liklihood Ratio	5%critical value	1% critical value	Hypothesized No of CE(s)
0.631176	246.3588	109.99	119.8	None**
0.550987	151.6023	82.49	90.45	At most 1
0.306432	75.53553	59.46	66.52	At most 2
0.250341	40.77443	39.89	45.58	At most 3
0.090441	13.40147	24.31	29.75	At most 4
0.041797	4.395877	12.53	16.31	At most 5
0.00357	0.339784	3.84	6.51	At most 6

H_0: No cointegration exits between variables

*(**) denotes rejection of the hypothesis at 5%(1%) significance level, No intercept no trend in the data

Table 8. Co integration test for Philippines   Series: (*d, i*,i, m,q, y, r*)

Eigenvalue	Likelihood Ratio	5%critical value	1% critical value	Hypothesized No of CE(s)
0.323099	117.4309	109.99	119.8	None *
0.308557	85.04186	82.49	90.45	At most 1 *
0.232592	54.41699	59.46	66.52	At most 2
0.18112	32.44382	39.89	45.58	At most 3
0.126046	15.85898	24.31	29.75	At most 4
0.054785	4.676616	12.53	16.31	At most 5
1.99E-06	0.000165	3.84	6.51	At most 6

H_0: No co integration exits between variables, *(**) denotes rejection of the hypothesis at 5%(1%) significance level

Table 9. Results of Regression estimates (Dependent variable *d*)

Variables	Pakistan	Japan	Korea	Philippines
C	-4.018 (-2.39)	-8.087 (-6.15)	0.500 (1.73)	3.327 (5.24)
I*	-0.023 (-3.32)	0.002 (1.28)	-0.005 (-2.67)	0.006 (0.84)
I	0.016 (2.54)	0.000 (0.17)	-0.001 (-1.59)	0.000 (0.55)
M	1.099 (2.38)	1.642 (19.95)	0.719 (10.28)	1.754 (17.48)
Q	-1.355 (-2.66)	-0.329 (-4.45)	0.056 (0.54)	0.106 (0.41)
Y	2.508 (12.43)	2.303 (4.54)	0.680 (17.16)	8.000 (0.82)
R	-0.167 (-3.18)	-0.391 (-9.36)	-0.743 (-34.26)	-0.436 (-9.66)
R Square	0.90	0.97	0.99	0.97
D.W. Stat	1.70	2.17	1.84	1.93
F-statistic	139.50 (0.00)	491.17 (0.00)	1820.81 (0.00)	375.09 (0.00)

Note: t-value is given in parenthesis

Table 10. Error Correction Estimates

Variable	Pakistan	Japan	Korea	Philippines
D(-2)	1.080 (7.77)	0.434 (4.91)	0.038 (3.29)	0.973 (211.49)
D(-3)	-0.283 (-1.94)	0.189 (4.14)		
E(-1)	0.162 (1.27)	0.000 (0.00)	0.969 (77.03)	0.985 (125.76)
I*(-1)	0.005 (1.05)		-0.005 (-26.89)	0.002 (8.81)
I*(-2)	-0.003 (-0.69)	0.002 (1.62)		
I*(-3)	0.006 (1.35)			-0.002 (-5.25)
I*(-4)	-0.004 (-1.16)		-0.000 (-1.85)	-0.000 (-0.95)
I	0.003 (1.56)		-0.001 (-8.73)	
I(-1)		0.011 (1.98)		0.000 (7.35)
I(-2)		-0.014 (-2.48)		-0.000 (-8.19)
M(-1)	0.959 (3.64)	1.723 (20.27)	0.719 (80.97)	1.749 (228.41)
M(-2)	-1.296 (-4.02)	-0.696 (-4.08)	-0.043 (-2.77)	-1.705(-186.03)
M(-3)	0.298 (1.07)		-0.013(-2.07)	
Q(-1)	0.214 (0.50)	-0.322 (-1.51)	0.049 (3.00)	0.105 (6.15)
Q(-2)	0.231 (0.42)		-0.085 (-4.27)	-0.111 (-6.53)
Q(-3)	-0.272 (-0.74)		0.055 (3.75)	
R(-1)	-0.104 (-3.25)	-0.589 (-5.08)	-0.758 (-152.6)	-0.444 (-144.9)
R(-2)	0.106 (2.80)	0.318 (2.77)	0.044 (3.91)	0.430 (112.79)
R(-3)	-0.034 (-1.02)			
Y(-1)	-0.175 (-0.52)	0.990 (4.17)	0.651 (74.86)	7.988 (11.96)
Y(-2)	0.208 (1.74)			-0.008 (-11.17)
Y(-3)	0.296 (2.43)			
C	-1.687 (-1.63)	-2.661(-2.47)	0.577 (17.11)	0.122 (4.33)
R-squared	0.99	0.98	0.99	0.99
D-W. stat	1.85	1.97	1.76	2.37

Note: t-value is given in parenthesis

Table 11. Summary of results

Countries	Long run sterilization coefficient	Short run sterilization Coefficient	Short run adjustment coefficient
Pakistan	0.83	0.88	0.16
Japan	0.61	0.59	Insignificant
Korea	0.26	0.24	0.97
Philippines	0.56	0.56	0.99

Examination of Implementation Level of the Total Quality Management Principles by the Principals and Teachers Functioning at Elementary Schools: The Case of Adiyaman Province

Dr. Hüseyin H. Taşar

Faculty of Education, Adıyaman University, Turkey

Tel: 90-416-223-3800-1027   E-mail: htasar@adiyaman.edu.tr

Dr. Mücahit Çelik

Faculty of Economics and Administrative Sciences, Adıyaman University, Turkey

Tel: 90-416-223-3800-2129   E-mail: mcelik@adiyaman.edu.tr

Abstract

This study is conducted for the purpose of examining the implementation levels of the Total Quality Management principles by the principals and teachers functioning at the elementary schools. The study is executed with 30 school principal and 300 teachers functioning at the public elementary schools in Adıyaman province. A questionnaire set up by the researchers after consulting to the expert opinion is used for data gathering. Data concerning the study is analyzed by using SPSS package software. At the end of the study, it was observed that the principals and teachers functioning at the elementary schools implement the Total Quality Management principles at their occupational studies. It is further determined that the teachers have higher implementation levels than the principals as regards such principles.

Keywords: Elementary education, Teacher, Total quality management, Principal

1. Introduction

School and classroom activities are places where the educational policies transform to the life. If this transformation executive is made in accordance with the school and customer/parent expectations, it can provide total quality of system outputs. The quality of graduates of the school did not respond to the demand of parents/customers in desired level, so it resulted in so that, school administrators and teachers' professional duties and responsibilities should be examined. In the process of the examining the school and staff's professional duties and responsibilities, the resource of basic criteria is observed as "total quality principles in education".

The principles of total quality management and examining the input, process and outputs of education system and also restructuring the education system are important in the evaluation of the educational process. Especially, self-renewing of school organization is the important issue in terms of creating the customer-oriented service and the basic principles of total quality management.

In the literature review, it can be seen that the majority of the studies on "total quality in education" includes the subjects which are "total quality management in education" and "total quality management in education and a model proposal". The studies conducted on total quality in education have more theoretical basis, in the level of implementation of the principles of total quality management in education, there is no enough research.

In this research, the level of practice of the principles of total quality management of teachers and school administrators working in primary school was investigated. The reason that, studies on the total quality in education are more in theoretical basis, has led to giving the priority to the size of the application. Because of that, "examination the teachers and school administrators' working in primary school the level of practice of the principles of total quality management" is crucial.

Examining the level of practice of total quality management in schools and with the findings and results from the research, providing the feedback which is about school administration and the expectation of the restructuring the school organization has been effected in terms of the choice of research subject. In this research, the subject of

examination the teachers and school working in primary school the level of practice of the principles of total quality management is studied; with the top-level, education administrators who is guiding the education policies, bureaucrats who are implementing education policies and researchers who are undertaking focusing on relating to education is to create an awareness. In this research, constituting the basis of debate and research in the academic and scientific environment is expected and also this research can be the basis for the later research. In addition, the expect from this research is to create a contribution on the teachers and administrators academic studies who observe the principles of total quality in education and management of school and classroom activities which are the field of practice of education policies.

2. General Aspect to Quality Management

2.1 The Concepts of Quality and Total Quality

The significance of quality oriented competition gradually becoming more important in terms of enterprises. The concept of quality is no longer used solely for the manufactured product and in these days, has become an indispensable element at each and every field of life (Şimşek & Çelik, 2009, p. 198). What make the quality important are the developments experienced after the industrial revolution?

The studies by scientists such as Taylor (1911), Fayol (1916), Weber (1921), and Mayo (1933) pioneered and paved the way for introduction and researching of the concept of quality in production. Taylor disregarded the human element at his studies; Fayol emphasized the importance of the human element even if just a bit, while Weber, on the other hand, completely bureaucratized the concept and emphasized the fact that each individual must fulfill his responsibilities commended to that individual within the frame of definite tasks and authorities with certain limits. The scientist whom discussed the impact of the human element on the production in the most highlighted manner was Elton Mayo. Mayo asserted that the human beings using the tools and equipment used for production are extremely impactful in order to eliminate outage and enhance effectiveness in production; therefore the worker satisfaction must be taken cognizance of. All of these and similar other developments procreated the Total Quality Management as a contemporary approach. The Total Quality Management is the approach that found the most implementation field amongst the contemporary approaches, as the Total Quality intends to meet the customer requests and expectations at the maximum level by being implemented at all institutions or sectors.

Total Quality in Education (TQE) greatly contributed the principals, teachers, students and other school stakeholders to be aware of their respective roles and to procreate the customer conscience (student=customer). That is to say, the TQE blazed the trail for procreation of a student (customer) oriented insight.

TQE is a management philosophy that is in constant interaction with the surroundings, that takes the needs of the surroundings into consideration, that balance the factors affecting the school, open to changes, that ensures coordination between the teacher, the student and the staff within the school, that establish good relations and that utilize the available sources in a rational manner (http://talimterbiye.mebnet.net/program-gel-birimi/egitimde%20toplam%20kalite.ppt, 14.03.11).

In summary, there are discrete definitions and representations concerning the definition and dimensions of the quality. Within the contemporary management science, the quality overall studies not only focusing on the product, intends to run the entire production process in reliable, effective and potent manner and capable of adapting to every field (Erkılıç, 2007, p. 52).

2.2 Total Quality Principles and Adaptation to the Education

Basically, total quality can be identified as capability to meet the requests and expectations of the customer. This study is conducted on the basis of leadership of the top management, participation to decisions, customer orientation, and continuous development, level of communication and motivation principles.

2.2.1 Leadership of Top Management Principle

The basic objective of the school is to meet the educational needs of the students. As the top management leader, the school principals are obliged to meet such requirements. An education leader is the person whom collaborates with the teacher and the student guardians, meet distinct requirements and expectations of the customers and direct the resources of the society to the school. The education leader fulfills this function by affecting its surroundings. The education leaders must have knowledge about on topics not only as the laws, regulations, management processes and applications concerning the school but also on topics such as the content of the curriculum, program assessment and development. Because, the principal as the education leader is the most significant element having impact on the occupational qualification of the teachers at the school, the level of student achievement and the degree of effectiveness at the school functions (Can, 2007, p. 230).

2.2.2 Participation to Decisions Principle

Participation of the employees at TQE to the decision making process is essential. Participation means that the employees at all levels of the organization takes responsibility and fulfills such assumed responsibility. When one mentions about the participation of the employees, benefiting from the energies of all employees for solution of the problems must be understood rather than the employees of the establishment to come together, conduct business together or enter into amicable relations (Tufan, Mızrak & Çelik, 2009, p. 29).

In order to manage the bag of tricks and the education processes in a successful manner, participation of the personnel personally engaged with that work to the decision making process is extremely important for improvement and development of these processes.

2.2.3 Customer Orientation Principle

The studies of TQE particularly focus on the customer. The customer is defined as the last person receiving the product or the service (Şişman & Turan, 2001), as the existence of the customer shall mean the existence of the enterprise.

The objective at the Total Quality insight is to orient and support all units of the company in accordance with the customer demands and to achieve the customer satisfaction by meeting all expectations of the customer; as a matter of fact, even furthering the expectations and ensure full customer satisfaction.

The customer orientation within the context of total quality management at education means to raise awareness of all stakeholders of the school, provide support at the point of quality studies and meet the expectations of the students and the guardians. That is to say, meeting the expectations of both internal and external customers is the basic principle at the total quality at education process.

2.2.4 Continuous Development Principle

The process development principle means how the school designs, manages and improves the education processes. It is possible to observe the elements such as decision-making, planning, organization, communication, effectuating, coordination and assessment directed towards the purpose of the organization within the frame of the continuous development principle. As regards the school, such elements may contain studies such as student affairs, personnel affairs, teaching affairs, education affairs, managerialism, etc. (Üstün, 2006, p. 24).

2.2.5 Communication Level Principle

Determination and correction of the mistakes and prevention of reoccurrence of such mistakes lies at the very foundation of the total quality management. The fundamental approach for mistake prevention at the total quality insight is to forecast the problems and develop solutions. In order to enable the total quality management to succeed in this context, the teachers must be in constant interaction with the students and their guardians.

2.2.6 Motivation Principle

Potential and the performance of the employees is dependent on high morale and motivation levels and satisfaction and commitment to the work and the environment and the organization. In this regard, every supervisor must endeavor to keep the morale and motivation levels of their inferiors high. In this context, the school management must conduct studies to increase the morale level of all internal and external stakeholders of the school. Teachers with high motivation level are more likely to achieve success at classroom and other activities.

3. The Purpose and Methodology of the Study nd Evaluation of the Obtained Findings

3.1 The Purpose and Significance of the Study

Implementation of the total quality principles at education has s significant impact on the qualification of the graduates of the school. The purpose of this study is to research the implementation level of the total quality management principles by the school principals and teachers. Under the study, the level that the school employees pay regard to the leadership of the top management, participation to the decisions, customer orientation, continuous development, communication level and motivation principles at their studies.

As a result of the findings to be obtained from this study, the school personnel shall became aware of the defects at their studies at the school and shall endeavor to correct their occupational behavior. The level of implementation of the total quality management at education shall attract the attention of the researchers and the implementers and shall form a basis for the further studies. Moreover, the principals and the teachers whom constitute the sample of the study shall be able to comprehend their implementation levels for the total quality management and shall conduct a self-assessment within the frame of such findings and thus contribute to the formation of a contemporary school environment.

3.2 Methodology of the Study and Evaluation of the Data Compiled

At the study, six principles out of the Total Quality Management principles are determined and 24 questions measuring the implementation level of such six principles are prepared. The questions are separately adopted for both the teachers and the principals and thus the implementation level of such principles by both groups is measured.

Under the scope of the study, a questionnaire was applied to 30 principals and 300 teachers functioning at 11 schools selected as sample group out of 42 schools located at Adıyaman province central district. The questionnaires are analyzed individually in order to enable the analysis results to reflect the truth to the most possible extent and the questionnaire completed by 27 principals and 291 teachers are evaluated.

A reliability analysis was conducted to determine the reliability and validity of the questionnaire and the reliability coefficient is calculated to be (α=0,872) for the questionnaire applied to the principals and (α=920) for the questionnaire applied to the teachers. If the alpha value of any scale is 0.00≤ a < 0.40, then that scale is considered as not reliable; if the alpha value is 0,40 ≤ a < 0,60, then the scale is of low reliability; if the alpha value is 0,60 ≤ a < 0,80, then the scale is considerably reliable and if the alpha value is 0,80 ≤ a < 1,00, then the scale is highly reliable (Atan, 2011, p. 28). Accordingly, both questionnaires applied to the school principals and the teachers possess high reliability levels.

Furthermore, the Likert scale is also applied at the study. At the Likert scale, the behavior measurements are done according to the 1-5 range. The highest positive behavior at the scale of the questionnaire applied to the teachers is taken as 5 while the lowest negative behavior is taken as 1. For the questionnaire applied to the principals, on the other hand, this scale was applied as total opposite, meaning that the highest positive behavior is taken as 1 while the lowest negative behavior as 5. However, it is a tradition in Turkey to carry out the statistical interpretations over the 100 scale. Therefore, the values of 1-5 scale corresponding to the 100 scale are indicated in the respective tables. All comments in the tables are also made according to the values converted to 100 scale.

In the study, tests such as "Anova, test of homogeneity, tukey test" are employed. The data compiled from the questionnaires are evaluated at the computer by means of SPSS 16.0 (Statistical Package for Social Science) software.

3.3 The Assumption of the Study

The basic assumption of this study leads to the assertion that the education laborers do not implement the total quality management principles at adequate levels, but the teachers pursue such principles more than the principals.

3.4 Analysis and Implementation of the Findings Obtained from the Study

3.4.1 The Demographic Characteristics of the Study Subjects

This study is conducted with voluntary participation of 291 teachers, 108 of which are female and 27 school principals, all of whom are male. As regards the marital status, 11 of the teachers are divorced, 36 are single and 244 are married. The marital status amongst the principals is determined to be 3 singles and 24 married.

When we look at the demographic characteristics in terms of age, the age distribution of the subjects of the study is as follows 12 teachers and 1 principal at ages varying in the range of 18-25; 111 teachers and 5 principals at ages varying in the range of 26-35, 99 teachers and 10 principals at ages varying in the range of 36-45, 48 teachers and 6 principals at ages varying in the range of 46-55, 21 teachers and 5 principals of age 56 and up.

Amongst the voluntary subjects attending the study, 23 teachers and 1 principal are post graduates; 268 teachers and 26 principals are graduates. Based on the seniority variable; there are 40 teachers at 1-5 years of service, 68 teachers and 2 principals at 6-10 years of service, 66 teachers and 5 principals at 11-15 years of service, 117 teachers and 20 principals at more than 16 years of service.

3.4.2 The Attitude of the Study Subjects to the Total Quality Principles

The mean values are categorized differently at transformation of the data used while generating the table herein below to the hundred scale. While the highest level is expressed with 5 at the test applied to the teachers, it is the exact opposite at the test applied to the principals; that is to say, the highest level is assumed as 1 for the principals. Percentiles rather than the mean values are used at this study in order to make the study more comprehensible.

3.4.2.1 Leadership of the Top Management Principle

In Table 1 the attitudes of the principals and teachers functioning at the public elementary schools regarding the implementation level of the leadership of top management principle, which is one of the total quality management principles, are measured by means of Likert scale. In the table, the reliability of the employees, being a good model

as regards the TQE, level of openness to the criticism and suggestions and the level of playing the leadership role are scrutinized in order to compare the attitudes of the groups concerning the leadership of the top management.

Based on the values given in Table 1, the teachers consider the school principals as reliable persons at 73%, while the school principals consider the teachers reliable at 77%. As can be understood from here, the principals demonstrate more positive attitude as regards the reliability. While the teachers do not consider the principals as very good models as regards the total quality management (64%), the principals, on the other hand, consider the teachers as very good models (80%). The teachers consider the school principals more open to the criticism and suggestions; this ratio is realized as 67%. The principals, on the other hand, find the teachers open for criticism and suggestions at 61%. In the light of these data, it is possible to mention that the principals functioning in Adıyaman province are more open to criticism. While 58% of the teachers express that the school principals play the leadership role rather than the manager role while 63% of the principals find the teachers as more leaders.

When we look at the general attitude, the level of implementation for the leadership of top management principle is at higher levels for the teachers when compared to the principals. The teachers find the principals successful at 66% level for implementation of this principle of the total quality management while the principals find the teachers successful at 70%.

3.4.2.2 Participation to Decisions Principle

Table 2 contains data concerning the level of implementation for the participation to decisions principle, one of the total quality management principles, at the public elementary schools at central district affiliated to Adıyaman Provincial Directorate of National Education. Accordingly; as the school principals consult to the opinions of the teachers at 64% while taking decisions concerning the school; the teachers, on the other hand, consult to the opinion of the students at 71% while taking decisions concerning the classroom. The school management consults to the opinions of the students and the guardians at 61% while taking decisions concerning the school and the teachers consult to the opinions of the principals at 67% while taking decisions concerning the educational process. It is possible to mention that the teachers consult to the opinions of the students (71%) rather than the opinions of the principals (67%) while taking decisions concerning the educational process. While the school principal considers the expectations of the associated parties at 71% while taking decisions concerning the school; the teachers consider the expectations of the associated parties at 80% while taking decisions concerning the educational process at the classroom. When we take into consideration the general average of both groups concerning the level of participation to the decisions, it is observed that the teachers consult to the opinions of the persons they render services to at higher levels when compared to the principals. This can be attributed to the content of the student oriented curriculum started to be implemented during 2005-2006 academic year.

3.4.2.3 Customer Orientation Principle

The level of implementation for the customer orientation principle, which is one of the total quality management principles and adapted to education for the purpose of this study is separately asked to both the principals and the teachers under four fundamental questions. Accordingly; 75% of the principals consider that the teachers give particular importance to the expectations of the associated parties during their studies, while 71% of the teachers consider that the school management gives particular importance to the expectations of the third parties. The principals consider that the teachers take into consideration the suggestions and expectations of the school management at 70%; the teachers consider that the school employees meet the requests and demands of the students and the guardians at 60%. 71% of the teachers believe that they teach student oriented courses at their classrooms, while 64% of the principals consider that the teachers are teaching student oriented courses. Based on the general average, 67% of the teachers believe that the principals are working as customer oriented while 70% of the principals believe that the teachers execute customer oriented studies.

3.4.2.4 Continuous Development Principle

Table 4 shows the level of implementation for the continuous development principle. Based on the values given in the table, the mean value concerning the level of implementation of the continuous development principle is found to be 63% for the principals (according to the teachers) and 65% for the teachers (according to the principals).

When observed from the variables basis, 66% of the teachers find their schools competent as regards utilization of educational technologies at the classroom activities while the principals consider that the teachers utilize such technologies at 56% level. 54% of the teachers find them incompetent concerning the total quality management while the principals find the teachers incompetent at 78% level and believe that the teachers are in need of training. While the teacher's level of belief that the school has its unique mission and vision is 72%, the principals indicated the level of awareness of the teachers concerning the common objectives of the school as 65%. 58% of the teachers

believe that they sufficiently follow the studies of the school at the field of education while it is determined that the teachers follow such changes and developments more closely (61%). When the general average is taken into consideration, it is possible to mention that the teachers implement the continuous development principle, which is one of the total quality management principles, at higher levels.

3.4.2.5 Level of Communication Principle

Good communication level at the school enhances the organizational commitment of the school stakeholders and work satisfaction levels. A school employee (teacher, principal, etc.) capable of expressing himself/herself better shall perform well and shall feel comfortable and content at the working environment. This attitude shall contribute to positive attitudes of the school employees and be beneficial for other school stakeholders.

As can be seen from the table, 60% of the teachers believe that there is sound communication network at the school while 56% of the principals consider that the teachers are capable of communicating with each other. 59% of the teachers believe that the school management holds periodical meetings for solving the problems of the school, and it is determined that the teachers give more importance to such meetings for solving problems arising at their classroom. The level of organizing activities to coalescent school stakeholders from different cultures (51% according to the teachers) is found to be low while the teachers are determined to be more active (72%) on this topic. As a result of the study, it is understood that the school take heed of the achievements of the students at higher levels and inform the guardians of the student of such achievements with regular reports (68%). When we look at the general average, it is found that the teachers act more diligently (65% according to the principals) regarding implementation of the level of communication principle, just as the case for other principles.

3.4.2.6 Morale and Motivation Principle

The school stakeholder's capability to focus on their work and enhance the quality of the rendered services is directly associated with the morale and motivation level. For instance, a teacher with high morale and motivation level spread positive energy around while rendering educational services and thus play a more effective role at the education process. On the other hand, a teacher with low morale and motivation not only fails to execute the education process in a successful manner, but also constitutes a negative model for their students. A student constantly being subjected to negative energy demonstrates indications of dissatisfaction and lack of contentment. In this context, the student also impairs the other students. Therefore, constantly maintaining the morale and motivation levels of the teachers at high levels is of paramount importance.

In general, it is observed that the morale and motivation principle is implemented at high levels (Table 6). The lowest variables are determined as regards the awarding and motivating factors, while the principles found the teachers more successful at both factors. When we look at the general average, the teachers find the principals successful at 72% while the principals consider the teachers successful at 77% concerning implementation of this principle.

3.5 The Relation between the Demographic Variables of the Study Subjects and the Implementation Levels of the TQM Principles

The T-Test, Anova and Tukey Test are employed in order to analyze whether there is any relationship between the implementation levels of the total quality principles and the sexes, ages, marital status, education status, seniority and reasons for starting the career of the principals and the teachers attending the study voluntarily. As a result of these tests, the variables forming significant differences between the groups are indicated in the table while the variables not forming any significant relation between the groups are described in one paragraph.

Based on the study, when the sex variable is taken into consideration, there is no female manager amongst the principals attending the study. This can be attributed to the fact that the rarity of female managers working as principal at the schools arise from severity of the managerial conditions for the women.

The Sex, Age and Marital Status variables generated no significant difference between the groups regarding the level of implementation for the total quality management principles at public elementary schools. The reason for starting the career formed a significant difference at implementation of the level of communication principle out of the six fundamental principles set forth in this study as the total quality principles. This difference is in favor of the principals whom love to perform such duty and is at p=0,013 level.

The education status variable generated significant differences between the post graduate teachers and the graduate teachers at the point of implementation of the participation to decisions and customer orientation principles while the same variable generates a significant difference amongst the principals only at implementation of the continuous development principle. Such difference occurred as p=0,002 amongst the principals and as p= 0,028 amongst the teachers.

3.5.1 Impact of the Seniority Variable on the Implementation Level of the Total Quality Principles

The impact of the seniority variable on implementation of the total quality management principles is given in table 7. The attitudes of the teachers working at Adıyaman province Central District concerning implementation of these principles display a parallel trend. As can be understood from the table, seniority did not generate any significant difference amongst the teachers. The same variable, however, did not generate any significant difference amongst the principals between the groups at the points of implementation of the participation to decisions and communication principles; but it is determined that this variable generates a significant difference as regards the leadership of the top management, customer orientation, continuous development, morale and motivation principles. Such difference is observed to be in favor of the group with higher work duration.

4. Conclusion

In this study, solutions are sought for the research problems developed in the form of "what is the level of implementation for the total quality management principles at public elementary schools?", "At what level the principals and the teachers implement such principles at their work environment?". Furthermore, it is further researched that whether the level of implementation of such principles by the principals and the teachers vary depending on their sexes, ages, marital status, education status and seniority. Based on the data compiled:

The level of implementation for the total quality management principles at public elementary schools in general is determined to be 67,5% (mean(implementation level of the teachers; implementation level of the principals)). It is determined that, according to the principals, the teachers implement the total quality management principles at 70% *(mean(table 1,2,3,4,5,6)=70)* level and, according to the teachers, on the other hand, the principles implement such principles at 65% *(mean(table 1,2,3,4,5,6)=65)* level.

Furthermore, when the level of implementation for the total quality management principles are examined in terms of sex, age, marital status variables, there is no significant difference generated between the parties; however, the reason for entering the career generated a significant difference in favor of the principals whom love their job only at the point of implementation of the level of communication principle.

The education status variable generated significant differences in favor of the post graduate teachers amongst the teachers at implementation of the participation to decisions and customer orientation principles and there is no significant difference in implementation of the continuous development principle amongst the principals.

The seniority variable did not generate any significant difference amongst the teachers. However, it is determined that the same variable generated a significant difference in favor of the groups with higher work duration amongst the principals at the point of implementation of the leadership of the top management, customer orientation, continuous development, morale and motivation principles.

In conclusion; the assertion that the teachers implement the TQE principles at better levels, which is acknowledged as the assumption of the study is confirmed while the other assumption, which concerns that the education laborers are not implementing the total quality management principles at sufficient levels is not confirmed.

References

Atan, M. (2011). Alan Araştırmalarında Anket Formu Tasarımı, Veri Girişi ve Toplanan Verilerin Bilgiye Dönüştürümü. [Online] Available: http://www.google.com.tr/url?sa=t&source=web&cd=1&ved=0CBYQFjAA&url=http%3A%2F%2Fwebsitem.g azi.edu.tr%2Fatan%2FDosyaIndir%3FDosyaNo%3D96e637d0948bb485acc30073fc01dabe&ei=o2KMTceYM8 n4sgbG9IWQCg&usg=AFQjCNH0SmT9kUyqmuVHdHUf33CidpOMkQ (March 25, 2011).

Bengisu, M. (2007). Yüksek Eğitimde Toplam Kalite Yönetimi. *Journal of Yaşar University*, 2(7), 739-749.

Bolat, T., Seymen, O. A., Bolat, O. İ. & Erdem, B. (2008). *Yönetim ve Organizasyon.* Ankara: Detay Yayıncılık.

Cafoğlu, Z. (1996). *Eğitimde Toplam Kalite Yönetimi*. İstanbul: Avni Akyol Vakfı Yayınları.

Can, N. (2007). İlköğretim Okulu Yöneticisinin Bir Öğretim Lideri Olarak Yeni Öğretim Programlarının Geliştirilmesi ve Uygulanmasındaki Yeterliliği. *Eğitimde Kuram ve Uygulama Dergisi*, 3(2), 228-244.

Erkılıç, A. T. (2007). Toplam Kalite Yönetimi İlkelerinin Yönetim Yaklaşımları Bağlamında Tartışılması. [Online] Available: http://www.gau.edu.tr/PDF-Files/JSAS_002_04_PDF/JSAS_002_04_05_Erkilic.pdf (April 10, 2011).

Mayo, E. (1933). *Human Problems of an Industrialized Civilization*. New York: Routledge Publishing, New Printed in 2007.

Şimşek, M. Ş. & Çelik, A. (2009). *Yönetim ve Organizasyon*. İstanbul: Eğitim Akademi Yayınları.

Şişman M. & Turan S. (2001). *Toplam Kalite Yönetimi.* Ankara: Pegem Yayıncılık.

Taylor, F. W. (1911). *Principles of Scientific Management*. New York and London, Harper & Brothers Co.

Tufan, M., Mızrak, Ş. & Çelik, D. (2009). Mesleki Eğitimde Toplam Kalite Yönetimi ve Model Önerisi. *Journal of Azerbaijani Studies*, 12(1), 27-40.

Üstün, A. (2006). İlköğretim Okullarında Yönetici ve Öğretmenlerin Toplam Kalite Yönetimi Uygulamalarına İlişkin Görüşlerinin Değerlendirilmesi: Amasya İli Örneği. *Kazım Karabekir Eğitim Fakültesi Dergisi*, 13, 22-29.

Weber, M. (1921). *The Theory of Social and Economic Organization*. Translated by A. M. Henderson and Talcott Parsons. London, Collier Macmillan Publishing.

Table 1. Leadership of the Top Management Principal

LEADFERSHIP OF THE TOP MANAGEMENT	Teacher					Principal				LEADFERSHIP OF THE TOP MANAGEMENT
	N	Mean	Sp.	%		%	Sp.	Mean	N	
The school managers are generally reliable persons	291	3,95	1,14	73		77	1,03	1,93	27	The school teachers are generally reliable persons
The managers constitute a good model as regards the TQE	291	3,56	1,18	64		80	,78	1,81	27	The teachers constitute a good model for the students
The school principal is open towards criticism and suggestions	291	3,70	1,29	67		61	,80	2,56	27	The teachers are open towards criticism and suggestions
The principal acts as leader rather than the principal	291	3,34	1,34	58		63	,93	2,49	27	The teachers acts as education leader rather than instructor
Mean	291	3,63	1,23	66		70	,88	2,19	27	Mean

Table 2. Participation to Decisions Principle

LEVEL OF PARTICIPATION TO DECISIONS	Teacher					Principal				LEVEL OF PARTICIPATION TO DECISIONS
	N	Mean.	Sp.	%		%	Sp.	Mean.	N	
The school principal consult to our opinion while taking decisions concerning the school	291	3,58	1,24	64		71	,53	2,15	27	The teachers consult to the opinions of the students/guardians while taking decisions concerning the educational process
The school management includes the opinions of the students/guardians while taking decisions concerning the school	291	3,46	1,14	61		67	,77	2,30	27	The teachers consult to our opinions while taking decisions concerning the educational process
The school principal takes into consideration the expectations of the associated parties while taking decisions concerning the school	291	3,83	1,04	71		80	,57	1,80	27	The teachers takes into consideration the expectations of the associated parties while taking decisions concerning the educational process
Mean	291	3,62	1,14	65		73	,62	2,08	27	Mean

Table 3. Customer Orientation Principle

| CUSTOMER ORIENTATION | Teacher | | | | | Principal | | | CUSTOMER ORIENTATION |
	N	Mean.	Sp.	%		%	Sp.	Mean.	N	
The student/guardian expectations are in the foreground at our school	291	3,82	1,03	71		75	,83	2,0	27	The teachers maintain the expectations of the environment that the school is located at the forefront during their studies
The school employees meet the expectations of the students/guardians	291	3,76	1,01	60		70	,96	2,19	27	The teachers take into consideration the suggestions and critics of the school management
The student follows centralized methods at the classroom activities	291	3,83	1,05	71		64	,64	2,44	27	The teachers follow student oriented methods at the classroom activities
Mean	291	3,80	1,03	67		70	,81	2,21	27	mean

Table 4. Continuous Development Principle

| CONTINUOUS DEVELOPMENT | Teacher | | | | | Principal | | | CONTINUOUS DEVELOPMENT |
	N	Mean	Sp.	%		%	Sp.	Mean	N	
Our school is competent as regards utilization of the educational technologies at the classroom activities	291	3,62	1,25	66		56	,94	2,78	27	The teachers are at competent levels concerning utilization of educational technologies at the classroom
I need training as regards the total quality management	291	3,17	1,31	54		78	1,08	1,89	27	The teachers need training as regards the total quality management
The school has a unique mission and vision	291	3,88	1,19	72		65	1,04	2,41	27	The teachers are aware of the objectives set by the school
The employees of our school are constantly trained in line with the changes and developments at the field of education	291	3,32	1,20	58		61	,97	2,56	27	The teachers follow the changes and developments occurring at their branches
Mean	291	3,49	1,23	63		65	1,00	2,41	27	Mean

Table 5. Level of Communication Principle

LEVEL OF COMMUNICATION	Teacher				Principal				LEVEL OF COMMUNICATION
	N	Mean	Sp.	%	%	Sp.	Mean	N	
There is a sound communication structure at our school	291	3,39	1,23	60	56	,94	2,74	27	There is a sound communication between the teachers
Periodical meetings are held at our school concerning prevention of the problems at the school	291	3,35	1,22	59	65	,88	2,41	27	The teachers held periodical meetings concerning prevention of the problems at the classroom
There are social activities organized at our school for coalescing students and employees from different cultures	291	3,03	1,27	51	72	,75	2,11	27	The teachers endeavor to coalesce students from different cultures
The achievements of the students are constantly reported and the results are shared with the students/guardians	291	3,73	1,10	68	66	,68	2,37	27	The teachers report the failures of the students and share the results with the principals/guardians
Mean	291	3,37	1,20	59	65	,81	2,40	27	Mean

Table 6. Morale and Motivation Principle

MORALE AND MOTIVATION	Teacher				Principal				MORALE AND MOTIVATION
	N	Mean	Sp.	%	%	Sp.	Mean	N	
I'd be glad to be a member of the school I work at	291	4,09	1,17	77	71	,86	2,15	27	The teachers are glad to be a member of the school
I constantly encourage my students regarding education	291	4,41	1,05	85	82	,82	1,70	27	The teachers constantly encourage their students regarding education
The students, teachers and other servants at our school are awarded if they are successful	291	3,49	1,35	62	79	,81	1,85	27	The teachers award the achievements of the students
The school principal constantly motivates the school employees	291	3,47	1,31	62	76	,73	1,93	27	The teachers constantly motivate their students
Mean	291	3,86	1,22	72	77	,80	1,90	27	Mean

Table 7. The Relationship between the Seniority Variable and the Implementation Level of the Total Quality Principles

RELATION OF SENIORITY VS TQM PRINCIPLES	Teacher					Principal				
	Sig..	F	N	Mean	%	%	Mean	N	F	Sig.
Leadership of top management	,540	,779	291	3,68	67	70	2,19	27	9,61	,001
Level of participation to decisions	,966	,144	291	3,64	66	73	2,08	27	2,04	,151
Customer Orientation	,593	,171	291	3,81	70	70	2,21	27	9,08	,001
Continuous development	,215	1,45	291	3,58	64	65	2,41	27	3,54	,045
Communication level	,191	1,53	291	3,45	61	64	2,40	27	2,48	,104
Morale and Motivation	,872	,309	291	3,90	72	77	1,90	27	4,08	,030
Grand Average	,562	,730	291	3,68	67	70	2,19	27	5,13	0,05

The Relationship between Employee Interaction and Service Quality in the Private Sector: A Jordanian Case Study Approach

Marwa Ahmed (Professor) & Hasan Salih Al-Qudah

Faculty of Administrative & Financial Sciences, Philadelphia University

P.O. Box 1, Philadelphia University 19392, Amman, Jordan

Tel: 962-6-479-9000   E-mail: marwaahmed@yahoo.com, E-mail: hasancare@yahoo.com

Abstract

This paper reports the findings from a case study of a private sector, which provides a high quality service to customers' factors affecting Interaction quality. In this study, the sample of 65 companies has been drawn randomly from Amman, Zarka and Irbid in the electronic industry in Jordan. The companies were identified using the Jordanian Standard

To test the hypothesis, the ANOVA analysis was applied. The "Scheff Test" is applied for a priori comparison. Result of the test showed that those who worked in Company Size (number of employees) 50 to Fewer than 100 feel more than who worked 100 and more, in variables 1,2, and 3.

Those who worked in Education feel more than who worked in Medical, in variable 4 and those who worked in Industry feel more than in Education in variables 8 and 15.

Those who worked in Amman feel more than who worked in Zarka, in variables1, 2 and 3 and those who worked in Irbid feel more than in Zarka in variables 18, 19 and 20 and those who worked in Irbid feel more than in Amman in variables 5 and 20.

Keywords: Interaction, Quality, Private sector

1. Introduction

Although the development of the academic field of services quality and in the private sector has been spectacular, few research areas have attracted as much attention as the research stream on service quality. Measuring service quality seems to pose difficulties for academics and practitioners because of the unique characteristics of service, however, researchers have attempted to conceptualize and measure service quality.

2. Literature: a brief review

Ding Hooi Ting, 2004, focuse on service quality and satisfaction judgments of customers in banking institutions throughout Malaysia. The study attempts to determine the relationship between service quality and satisfaction, where service quality is the independent variable and satisfaction is the dependent variable. The results show that bank-ownership moderates the relationship between service quality and satisfaction.

K. Alexandris, C. Kouthouris, Andreas Meligdis, 2006.The results of the study indicate that skiers' loyalty was significantly predicted by both the place attachment dimensions (place identity and place dependence). Furthermore, place attachment was significantly predicted by the interaction and physical environment service quality dimensions.

Göran Svensson, 2006. The paper provides a conceptual discussion of new aspects of research into service encounters and service quality. The aspects of abstraction described here have the potential to contribute to a more sophisticated level of measurement of the service quality construct.

Dale Fodness, Brian Murray, 2006. Builds on the extant literature on service quality to propose an approach for measuring passengers' expectations of airport service quality that can serve as a foundation of a concise and easy-to-administer self-report measure for identifying and managing airport service quality strategies. shows that by going beyond traditional service performance measures used in the airport industry and by introducing new variables to the service quality literature, such as Csikszentmihalyi's taxonomy of activity, this study broadens and enriches both practice and theory.

Sven Tuzovic, 2008.Integrates potential quality, process quality, and outcome quality in a comprehensive proposed model. In particular, identifies "potential quality" as a combination of the attributes of the virtual service environment and the physical service environment.

Simon J. Bell, Andreas B. Eisingerich, 2007. Consider the dynamics of customer education by exploring the relationship between education and customer expertise and their combined effects on customer loyalty in a high involvement investment services context. Also considers the service context within which customer education initiatives are delivered.

Rui Jin Hoare, Ken Butcher, 2008. Investigate the antecedent roles of the Chinese cultural values of "face" and "harmony" in influencing customer satisfaction/loyalty, and the service quality dimensions that are most salient to the context of Chinese diners.

A factor analysis revealed three service quality dimensions: interaction quality, food appeal, and performance comparison.

Kenneth R. Evans, Simona Stan, Lynn Murray, 2008 found that socialized customers relied more on service quality in evaluating the encounter than did unsocialized customers. However, socialized wives showed decreased trust, satisfaction and anticipation of future interaction than did non-socialized wives (no significant differences for husbands).

Carol W. DeMoranville, Carol C. Bienstock, Kim Judson, 2008. They found that correlations with intention of future interaction were highest for SERVQUAL in the global-SERVQUAL order, but highest for the global quality measure in the random order.

Ram Herstein, Eyal Gamliel, 2006. A total of 300 customers of a health maintenance organization (HMO) were asked about the five dimensions of the service-quality model and about several aspects of their HMO's private brand.

They found that satisfaction with service quality among subjects who were aware of the HMO's private brand was higher than that of unaware subjects when asked directly. In addition, a positive relationship was found between the perceptions of service quality in the HMO and the evaluation of a private brand in the HMO those customers who were aware of the private brand. The data analysis suggests that private branding constitutes an additional (sixth) dimension in the SERVQUAL model.

Bo Edvardsson, 1998. Quality improvement is used as a collective expression for quality assurance, quality management and quality control. Service operations refer to private as well as to public service operations and to services in manufacturing companies. Although services play a predominant role as regards GDP and employment in the OECD countries, we still know very little about quality management in service operations. Concepts and models in organization theories, marketing and other fields are, to a great extent, based on studies of and experience from manufacturing companies. Quality is no exception, even though it has received some attention during the past 15 years, especially from researchers in Scandinavia.

Boo Ho Voon, 2006. The researcher employs Critical Incident Technique to generate items for the survey instrument. Then, the quantitative-based descriptive research uses structured questionnaires to capture the perceptions of 558 university students from Malaysia which are used to understand the nature of the customer-perceived market orientation and its relationship with service quality.

The results show that the service-driven market orientation (SERVMO) that consists of six components (customer orientation, competitor orientation, interfunctional orientation, performance orientation, long-term orientation, and employee orientation) has a significantly strong and positive relationship with service quality.

William E. Youngdahl, Arvinder P.S. Loomba, 2000.Value-added services expand manufacturing organizations' ability to compete beyond traditional measures of manufacturing competitiveness such as cost, quality, flexibility, and delivery. This concept of expanding the roles of factories to include service has received considerable attention and wide acceptance among both researchers and practitioners. For example, recent empirical studies have demonstrated that manufacturing performance; particularly delivery performance can be enhanced through expanded service roles that focus on effective information flows within the company and to external customers.

Scott E. Sampson, 2000. Explores the customer-supplier duality as it pertains to supply chain management, including practical and managerial implications.

Ling X. Li, David A. Collie, 2000.The results of their paper indicate that the type of hospital technology (clinical or information) drives different types of quality-related performance (clinical or process), and directly and indirectly affects hospital financial performance.

3. Research design

Questionnaire development: From the previous literature on service quality, 22 items were generated to measure the factors affecting Interaction quality. All 22 items were accompanied by a five-point Likert-type scale ranging. A number of items were reverse scored in order to detect response bias.

After the questions were generated from the employee interviews, it was pre-tested on a sample of 30 respondents. By administering the pre-test, we could ensure that the attributes measured in the study reflected actual interactions and expectations from employee when dealing with service quality.

4. Sample description

In this study, the sample of 65 companies has been drawn randomly from Amman, Zarka and Irbid in the electronic industry in Jordan. The companies were identified using the Jordanian Standard.

A total of 270 people participated in our study. Of the 270 returned questionnaires, 20 questionnaires had to be withdrawn from the sample because of mistakes in filling them out and insufficient answering patterns. As a result, 250 usable questionnaires formed the effective sample size. For the purpose of using statistical scale identification techniques (like factor analysis), the final number of observations did not entirely meet the minimum of five respondents per item to be analyzed, which is normally used as a rule of thumb in data analysis (Hair et al., 1998). Nevertheless, a preferable sample size of 100 observations or larger was easily met.

Our sample could be characterized as follows. A total of 68.8%of the respondents were Married. The average age of the Company Size (number of employees) was 50 to Fewer than 100. A cumulative 27.7 percent of the respondents were people Kind of services that your company offers: Industry Questionnaires were distributed to employees of different Kind of services that company offers: Education, Medical and Industry. The companies were viewed as an ideal environment to test this model due to its highly competitive nature, high levels of customer contact and relatively long-term relationships with customers.

5. Limitations and further research

The objective of this study was to develop a measurement instrument that identifies key expectation dimensions with regards to service quality. However, this study has some limitations that should be taken into account when interpreting the results.

Therefore, the results should be interpreted with some caution. Future research could take this situation specificity into account, when taking this particular research one step further.

The theoretical implications of this study imply the generalizability of specific existing service attributes to the service environment.

The limitations to this study urge a careful interpretation of the results. Nevertheless, the results suggest some managerial implications. This limitation also provides an opportunity for future research to improve researchers' understanding of service recovery.

6. Research methods

The data for this study were collected from service managers in three different types of industries: Education Medical and Industry.

A random sample of 65 companies from each of these industries was selected from the yellow pages phone directory.

The manager of each service company received a cover letter from the researcher, a forwarding letter from the chairperson of the management department of the sponsoring university and a two-page questionnaire.

The length of the questionnaire was intentionally kept to less than two pages so that the total time needed to respond to the survey was less than 15 minutes.

7. The measuring instruments

A self-administered questionnaire was developed to measure each of the factors affecting Interaction quality identified in the theoretical model. Each factor was measured using multi-item scales linked to a seven-point Likert-type scale, ranging from strongly agrees to strongly disagree. Where possible, previously used measuring instruments with proven reliability and validity were used.

The dependent variable being measured in the study was defined as the following:

Company Size (number of employees), Kind of services that your company offers, Location of the company, Years of experience, Education and Status

The instrument utilized for primary data collection was a questionnaire, whose construction followed established practices. Considering the purpose of the present work, the main elements of the research questionnaire deserving mention are the relationship between employee interaction quality and service quality. A pilot version of the questionnaire was tested in firms that were users of postal services and then was revised by three experienced researchers.

8. Hypothesis

Hypothesis (1):

There are statistical significant differences between the Company Size (number of employees) and the relationship between employee interaction quality and service quality in the private sector.

Hypothesis (2):

There are statistical significant differences between the kind of services that company offers and the relationship between employee interaction quality and service quality in the private sector.

Hypothesis (3):

There are statistical significant differences between the location of the company and the relationship between employee interaction quality and service quality in the private sector

Hypothesis (4):

There are statistical significant differences between the years of experience and the relationship between employee interaction quality and service quality in the private sector.

Hypothesis (5):

There are statistical significant differences between the education and the relationship between employee interaction quality and service quality in the private sector.

Hypothesis (6):

There are statistical significant differences between the status and the relationship between employee interaction quality and service quality in the private sector.

Hypothesis (1):

There are statistical significant differences between the Company Size (number of employees) and the relationship between employee interaction quality and service quality in the private sector.

To test this hypothesis, the ANOVA analysis was applied (shown in Table 3). The values of the calculated F-ratios for each of the variables: 1, 2, 3, 13 and 14 are high Therefore, the null hypothesis accepted, and it can be concluded that there is significant statistical evidence that differences between the Company Size (number of employees) and the relationship between employee interaction quality and service quality in the private sector. To recognize who feels the strength of the relationship, the "Scheff Test" is applied for a priori comparison. Result of the test showed that those who worked in Company Size (number of employees) 50 to Fewer than 100 feel more than who worked 100 and more, in variables 1,2, and 3 and those who worked in companies Fewer than 50 feel more than 50 to Fewer than 100 in variables 13 and 14.

Hypothesis (2):

There are statistical significant differences between the kind of services that company offers and the relationship between employee interaction quality and service quality in the private sector.

To test this hypothesis, the ANOVA analysis was applied (shown in Table 4). The values of the calculated F-ratios for each of the variables: 4, 8 and 15 are high Therefore, the null hypothesis accepted, and it can be concluded that there is significant statistical evidence that differences between the kind of services that company offers and the relationship between employee interaction quality and service quality in the private sector. To recognize who feels the strength of the relationship, the "Scheff Test" is applied for a priori comparison. Result of the test showed that those who worked in Education feel more than who worked in Medical, in variable 4 and those who worked in Industry feel more than in Education in variables 8 and 15.

Hypothesis (3):

There are statistical significant differences between the location of the company and the relationship between employee interaction quality and service quality in the private sector

To test this hypothesis, the ANOVA analysis was applied (shown in Table 5). The values of the calculated F-ratios for each of the variables: 4, 8 and 15 are high Therefore, the null hypothesis accepted, and it can be concluded that there is significant statistical evidence that differences between the location of the company and the relationship between employee interaction quality and service quality in the private sector. To recognize who feels the strength of the relationship, the "Scheff Test" is applied for a priori comparison. Result of the test showed that those who worked in Amman feel more than who worked in Zarka, in variables1, 2 and 3 and those who worked in Irbid feel more than in Zarka in variables 18, 19 and 20 and those who worked in Irbid feel more than in Amman in variables 5 and 20.

Hypothesis (4):

There are statistical significant differences between the years of experience and the relationship between employee interaction quality and service quality in the private sector.

To test this hypothesis, the ANOVA analysis was applied (shown in Table 6). The values of the calculated F-ratios for each of the variables: 18, 19 and 20 are high Therefore, the null hypothesis accepted, and it can be concluded that there is significant statistical evidence that differences between the years of experience and the relationship between employee interaction quality and service quality in the private sector. To recognize who feels the strength of the relationship, the "Scheff Test" is applied for a priori comparison. Result of the test showed that those who have Less than 10 years of experience feel more than who have 15 years and more of experience, in variables19, and 20 and those who have 10 years to less than 15 years of experience feel more than who have 15 years and more of experience, in variable18.

Hypothesis (5):

There are statistical significant differences between the education and the relationship between employee interaction quality and service quality in the private sector.

To test this hypothesis, the ANOVA analysis was applied (shown in Table 7). The values of the calculated F-ratios for each of the variables: 6, 9, 10, 11 and 12 are high Therefore, the null hypothesis accepted, and it can be concluded that there is significant statistical evidence that differences between the education and the relationship between employee interaction quality and service quality in the private sector. To recognize who feels the strength of the relationship, the "Scheff Test" is applied for a priori comparison. Result of the test showed that those who have Diploma or less feel more than who have Bachelor's degree, in variables 6, 9 and 11 and those who have Bachelor's degree feel more than who have Master Degree, in variables 10 and 11. And those who have PH.D Degree feel more than who have Master Degree, in variable 12.

Hypothesis (6):

There are statistical significant differences between the status and the relationship between employee interaction quality and service quality in the private sector.

To test this hypothesis, the T-test was applied (shown in Table 8). The values of the calculated mean each of the variables: 1, 2, 3, 5, 18, 19 and 20 indicated that the male feel stronger than the female in the variables: 1, 2, 5, 19, and 20, and the female feel stronger than the male in the variables:3 and 18.

References

Bo Edvardsson. (1998). Service quality improvement. *Managing Service Quality*, 8, 2, 142–149. doi:10.1108/09604529810206972, http://dx.doi.org/10.1108/09604529810206972

Boo Ho Voon. (2006). Linking a service-driven market orientation to service quality. *Managing Service Quality*, 16, 6, 595–619. doi:10.1108/09604520610711927, http://dx.doi.org/10.1108/09604520610711927

Carol W. DeMoranville, Carol C. Bienstock, & Kim Judson. (2008). Using question order for predictive service quality measures. *Journal of Services Marketing*, 22, 3, 255–262. doi:10.1108/08876040810871200, http://dx.doi.org/10.1108/08876040810871200

Dale Fodness, & Brian Murray. (2006). Passengers' expectations of airport service quality. *Journal of Services Marketing*, 21, 7, 492–506. doi:10.1108/08876040710824852, http://dx.doi.org/10.1108/08876040710824852

Ding Hooi Ting. (2004). Service quality and satisfaction perceptions: curvilinear and interaction effect. *International Journal of Bank Marketing*, 22, 6, 407–420. doi:10.1108/02652320410559330, http://dx.doi.org/10.1108/02652320410559330

Göran Svensson. (2006). New aspects of research into service encounters and service quality. *International Journal of Service Industry Management*, 17, 3, 245–257.

Hair, J. F. Jr., Anderson, R., Tatham, R., & W. C. (1998). *Multivariate Data Analysis* (5th ed.). Upper Saddle River, NJ: Prentice Hall.

K. Alexandris, C. Kouthouris, & Andreas Meligdis. (2006). Increasing customers' loyalty in a skiing resort: The contribution of place attachment and service quality. *International Journal of Contemporary Hospitality Management*, 18, 5, 414–425.doi:10.1108/09596110610673547, http://dx.doi.org/10.1108/09596110610673547

Kenneth R. Evans, Simona Stan, Lynn Murray. (2008). The customer socialization paradox: the mixed effects of communicating customer role expectations. *Journal of Services Marketing*, 22, 3, 213–223. doi:10.1108/08876040810871174, http://dx.doi.org/10.1108/08876040810871174

Ling X. Li, & David A. Collie. (2000). The role of technology and quality on hospital financial performance: An exploratory analysis. *International Journal of Service Industry Management*, 11, 3, 202-224. doi:10.1108/09564230010340715, http://dx.doi.org/10.1108/09564230010340715

Ram Herstein, & Eyal Gamliel. (2006). The role of private branding in improving service quality. *Managing Service Quality*, 16, 3, 306–319. doi:10.1108/09604520610663516, http://dx.doi.org/10.1108/09604520610663516

Rui Jin Hoare, & Ken Butcher. (2008). Do Chinese cultural values affect customer satisfaction/loyalty? *International Journal of Contemporary Hospitality Management,* 20, 2, 156–171. doi:10.1108/09596110810852140, http://dx.doi.org/10.1108/09596110810852140

Scott E. Sampson. (2000). Customer-supplier duality and bidirectional supply chains in service organizations. *International Journal of Service Industry Management,* 11, 4, 348-364. doi:10.1108/09564230010355377, http://dx.doi.org/10.1108/09564230010355377

Simon J. Bell, & Andreas B. Eisingerich. (2007). The paradox of customer education: Customer expertise and loyalty in the financial services industry. *European Journal of Marketing,* 4, 15/6, 466–486.

Sven Tuzovic. (2008). Investigating the concept of potential quality: An exploratory study in the real estate industry. *Managing Service Quality*, 18, 3, 255–271. doi:10.1108/09604520810871874, http://dx.doi.org/10.1108/09604520810871874

William E. Youngdahl, & Arvinder P.S. Loomba. (2000). Service-driven global supply chains. *International Journal of Service Industry Management,* 11, 4, 329-347. doi:10.1108/09564230010355368, http://dx.doi.org/10.1108/09564230010355368

Questionnaire
The relationship between employee interaction quality and service quality in the private sector
A case study approach

First: Personal Data

Company Size (number of employees):

Fewer than 50

50 to Fewer than 100

100 and more

Kind of services that your company offers:

Education

Medical

Industry

Location of the company:

Amman

Zarka

Irbid

Years of experience:

Less than 10 years

10 years to less than 15 years

15 years and more
Education:
Diploma or less
Bachelor's degree
Master Degree
PH.D Degree
Status
Married
Single

Second: factors affecting Interaction quality

NO	Interaction quality	Strongly agree	Agree	Bias	Disagree	Strongly disagree
.1	The employee tried eagerly to solve your problem.					
.2	The employee mastered the services you asked for.					
.3	The employee always well dressed.					
.4	The employee was too close from me.					
.5	The employee genuinely wished to help me.					
.6	The employee gave me enough time for the encounter.					
.7	The employee carefully listened to me.					
.8	The employee understood properly what I wanted.					
.9	The employee was very attentive to my case.					
10	The employee explained to me how he understood my problem.					
11	The employee checked me understood what he said.					
12	The employee took pains to satisfy my exigencies.					
13	The employee seemed interested in my case.					
14	The employee could be one of my friends.					
15	The employee was polite.					
16	The employee seemed happy to do his work.					
17	I will do what the employee advised me to do.					
18	The employee advises me in my interest.					
19	The employee seemed competent.					
20	The employee gives good advice.					
21	The employee listened to me carefully.					
22	The employee understood properly what I wanted.					

Table 1. Sample Distribution

Variable	Frequency	Percentage
Company Size (number of employees):		
Fewer than 50	25	10%
50 to Fewer than 100	124	49.6%
100 and more	101	40.4%
Kind of services that company offers:		
Education	181	72.4%
Medical	23	9.2%
Industry	46	18.4%
Location of the company:		
Amman	84	33.6%
Zarka	90	36%
Irbid	76	30.4%
Years of experience:		
Less than 10 years	149	59.6%
10 years to less than 15 years	64	25.6%
15 years and more	37	14.8%
Education:		
Diploma or less	106	42.4%
Bachelor's degree	118	47.2%
Master Degree	20	8%
PH.D Degree	6	2.4%
Status		
Married	172	68.8%
Single	78	31.2%

Table 2. Means and Standard Deviations for all variables

Descriptive Statistics

	N	Minimum	Maximum	Mean	Std. Deviation
q1	250	3.00	5.00	4.9720	.20830
q2	250	3.00	5.00	4.9720	.20830
q3	250	3.00	5.00	4.9720	.20830
q4	250	3.00	5.00	4.9720	.20830
q5	250	3.00	5.00	4.9720	.20830
q6	250	3.00	5.00	4.9720	.20830
q7	250	3.00	5.00	4.9720	.20830
q8	250	3.00	5.00	4.9720	.20830
q9	250	3.00	5.00	4.9720	.20830
q10	250	3.00	5.00	4.9720	.20830
q11	250	3.00	5.00	4.9720	.20830
q12	250	3.00	5.00	4.9720	.20830
q13	250	3.00	5.00	4.9720	.20830
q14	250	3.00	5.00	4.9720	.20830
a15	250	3.00	5.00	4.9720	.20830
q16	250	3.00	5.00	4.9720	.20830
q17	250	3.00	5.00	4.9720	.20830
q18	250	3.00	5.00	4.9720	.20830
q19	250	3.00	5.00	4.9720	.20830
q20	250	3.00	5.00	4.9720	.20830
Valid N (listwise)	250				

Table 3. One-Way Analysis of Variance for the company size

Variables	F	Sig.
1	5.819	0.003
2	5.819	0.003
3	5.000	0.001
13	5.010	.0013
14	5.332	.0058

Table 4. One-Way Analysis of Variance for the kind of services

Variables	F	Sig.
4	4.374	0.014
8	4.374	0.014
15	4.374	0.014

Table 5. One-Way Analysis of Variance for the Location of the company

Variables	F	Sig.
1	4.116	0.017
2	4.122	0.010
3	4.099	0.019
5	4.116	0.017
18	4.088	0.012
19	4.120	0.014
20	4.116	0.017

Table 6. One-Way Analysis of Variance for the Years of experience

Variables	F	Sig.
18	6.012	0.0030
19	6.018	0.0028
20	6.017	0.0029

Table 7. One-Way Analysis of Variance for the Education

Variables	F	Sig.
6	5.303	0.001
9	12.512	0.000
10	5.303	0.001
11	48.294	0.000
12	48.294	0.000

Table 8. T-Test for the status

Variables	Mean	
	Male	Female
1	4.9767	4.9165
2	4.9767	4.7910
3	4.8543	4.9910
5	4.6168	4.2900
18	4.5588	4.7666
19	4.9876	4.6777
20	4.8128	4.2121

Impact of Globalization on SMEs Export Business and Economy of Pakistan by Using CGE Model

Dr. Anwar Ali Shah G.Syed

Professor of Business Administration and Pro-Vice Chancellor, Dadu Campus

University of Sindh, Jamshoro, Pakistan

Dr. Khalid Hussain Shaikh

Associate Professor, Deptt: of Commerce

University of Sindh, Jamshoro, Pakistan

Dr.Tariq Mehmood

Assistant Professor, IER, University of the Punjab, Lahore, Pakistan

Miss. Tahira Afridi

Lecturer, IER, University of the Punjab, Lahore, Pakistan

Faiz Muhammad Shaikh

Assistant Professor

Deptt: Agri: Economics, SZABAC-Dokri, Pakistan

E-mail: faizmuhammed_2000@yahoo.com

Abstract

This research investigates the Globalization impact on the SMEs export by using Computable General Equilibrium model. The main objectives of this research are to provide detailed overview of economic reforms in the last decade by using the General Equilibrium Model. Data were collected from 300 SMEs business exports in Pakistan by using simple random technique. Structural questionnaire is used as a basic tool for measuring export potential. Data from developing countries were collected through secondary sources and data were analysis by using Gem-Software. It was revealed that from last decade, globalization has positively revolutionized the SMEs export business the economy of Pakistan. The Global trade analysis Purdue (GTAP) model is used to analyze the possible impact of Globalization on Pakistan's economy in a multi-country, multi-sector applied General Equilibrium frame work. After employing the simplified static analysis framework based on simulations reveal that Globalization and FDI have influenced positively on the economy of Pakistan. The general inflation rate is decreased and living standard is increased in urban areas. Employment opportunities are also increasing due to the investment made by the FDI and as for as cultural context is concerned, Pakistani people are more reluctant to reduce the traditional cultural barriers. On the contrary side, other consumer items like leather-made and cotton-made garments will expand after the FTA and consumer surplus will increase. This perspective enables us to identify new challenges in the global economy and to identify the multiple routes through which power and resource inequalities are reproduced within it. More positively, it helps to identify new opportunities and routes to challenging these inequalities. The application of this perspective to the impact of the rapidly-growing economy in real increase in terms of trade.

Keywords: Globalization, Economy, CGE Model, Pakistan

Introduction

Globalization is an umbrella term that describes an ongoing process of establishing various personal, cultural, and business relationships with other countries. This process embodies an increasing view of the world as a community. People and companies are interacting with others in different countries more than ever before. This includes personal communication between people that live on the other side of the world from each other. Companies are now striving to open markets in developing countries, instead of only delivering products and services domestically. (Technology is beginning to expand across nations. Information is being shared with a multitude of people throughout the world in a fraction of the time that it would take to contact someone down the hall from your office. There is a growing interdependence of one country on another. The process of globalization appears to be accelerating and growing rapidly. As time continues to pass, it appears that we are moving to a world where the lines that divide one country from another will begin to blur and eventually fade away entirely. Globalization – the growing integration of economies and societies around the world – has been one of the most hotly-debated topics in international economics over the past few years. Rapid growth and poverty reduction in China, India, and other countries that were poor 20 years ago, has been a positive aspect of globalization. But globalization has also generated significant international opposition over concerns that it has increased inequality and environmental degradation. This site provides access to some of the most recent presentations on globalization and some of the leading research on the subject. Globalization is a term that is used to describe the changing world order in which various aspects of a nation that include the economic, social, political, cultural and environmental factors are viewed as being part of a global community and not restricted in their scope. The term came to be used to describe the phenomenon of global flux in which trade as represented by capital and material can move freely across the world with lesser restrictions with respect to national boundaries. Globalization though it has been essentially connoted with economic issues synonymous with multi national companies (MNC) and their policies that directly or indirectly affect populations across the world has also consequently ushered in an era of change with respect to social and cultural matters inducing a competitive spirit in world culture for the better or worse according to the social fabric of various communities and their flexibility and adaptability. Knowledge, with respect to developments in science and technology is perceived to be the driving force behind globalization and continues to be the decisive factor what with the outsourcing trends of several MNCs to offshore destinations in recent times. Globalization has often been seen as being a subtle factor that tries to undermine welfare policies of governments across the world and individual choice and being elitist in nature but it has also unconsciously forced democratic nations to be more affirmative and inclusive with respect to the betterment of all sections of societies and also to address vital issues like the conservation of the environment.

In the area of employment creation, extrapolation from various sources suggests a possible direct employment effect of Globalization in developing countries of around 26 million jobs in 1997. Estimates of the indirect employment effect of FDI vary widely around a multiplier of 1.6 (i.e. 1.6 indirect jobs for every one direct job). Also, foreign-invested enterprises (FIEs) do generally pay higher wages than domestic companies, and even in low-wage, labor-intensive industries, FIE jobs are often considered better than the alternatives of unemployment or underemployment. However, investments in different industries clearly have different job-creation propensities which policymakers need to take into consideration. There is also an increasing recognition that ways of harnessing FDI to support small and medium enterprise (SME) sectors in developing countries, and associated employment creation, remain under-exploited. (*Heien. D, and Wessells, C.R. et al. 1990) r*egarding employment practices, a key issue is the effect of FDI on female participation in the labor force. On the one hand, greater female employment at FIEs, in addition to helping level the playing field in terms of employment opportunities, results in a direct increase in household income and a higher proportion of income expended on meeting basic family needs. On the other hand, women are often paid less than men in comparable jobs, isolated from mainstream job advancement opportunities, and subject to greater employment instability. Another major issue is that of child labor, with subcontracting often making monitoring difficult, and many children serving as primary household earners. As a second-best solution to banning child labor and providing schooling instead, improved corporate governance on the part of governments, and improved corporate management on the part of companies are crucial. Progress in this area is a function of policy measures and their enforcement, and of greater dialogue and collaboration between the government and the (foreign and domestic) private sector.

It is a matter of fact that there are a lot of things in which large companies are experts while the small firms can better do some things also. If both, small and large firms do their business in which they get advantage, the welfare of the economy can be maximized and the state of specialization can be attained. When we focus on the

impact of small as well as medium firms on the whole economy, it is difficult rather impossible for us to segregate their impacts from the impact of large corporations.

This issue remained a hot topic for centuries. Economists were of the view that it is a large firm, which participates actively in the economy and also shares a large amount of foreign exchange earnings. But their point of view changes when the countries like Taiwan, Japan and Korea developed on their small and medium based business. It is the crystal clear that these economies developed through the grass root level as small and medium enterprises belong to grass root. Those who believe that the large firms are only responsible for economic growth should keep in mind that the small vendors and small suppliers contribute heavily in the production of large firms. The reality on ground is that small firms are held responsible for making large firms to attain their targets. The progress and prosperity, which take place from the lower level, benefit all the classes of the society. The spill over impacts of SMEs proves to be ever lasting on the world's economy.

The situation differs in Pakistan. It is not more that 10 years that Govt. of Pakistan has established an institution named small and Medium Enterprise Authority (SMEDA) which is considered responsible to promote small and medium enterprises. SME sector is being neglected in Pakistan and so as the impacts of small and medium firms of Pakistan's economy. Pakistan is very potential market for SMEs and if undertaken in systematic way can prosper economy within no time. Sindh province has a considerable advantage in some areas which needs to be explained quickly to reap the benefits of exports. Such benefits can increase foreign exchange rates very positively to develop a favorable framework in all areas of progress.

The awareness like fishing, education, fruit, crops, garments, cotton, sugar cane, dates ginning, wood, auto and many other areas are the basic startups for many people. This research explains the potentialities of some areas and knowledge of how these areas can contribute towards Pakistan's economy by increasing the foreign exchange rates with reference to Sindh province. The high authorities and ministry of development and product should formulate some strategies to design practical policies with the cooperation of stakeholders, such policies will be flexible in enhancing the SMEDA plans and flourish SMEs activities at the larger scale. This will give a big boost to startup ideas and create cordial atmosphere of businesses. This will aid a lot more in understanding the export of Pakistan specially Sindh sector and improve our foreign exchange earnings. The main focus will be on SMEs' roles in economic growth and poverty alleviation through the increase of entrepreneurial and small scale business activities in the country especially in Sindh.

The third chapter provides a review of theoretical and empirical literature and the significant issues related to the understanding of Small and Medium Enterprises. Literature of Small & Medium Enterprises is divided into two sections: International and National studies.

First section evaluates the existing international literature in regard to the development of SMEs, their role in economy specifically in exports, challenges and problems they are facing. Balasuriya (1992), Voerman, wedel and Zwart (1998), Muranda (2003), Hi Lin Hoon, Stoain (2007)'s studies support the concept of export oriented SMEs and highlight the positive relationship between Exports and SME's growth. While other studies by Majumder (2004), Kacker (2005), Saleh and Ndubisi (2006) and Tambunnan (2006) investigate the problems and challenges for SME's development. However, Branco (2003) argues the role and importance of small & medium enterprises in economy.

National studies also correlate the presence of SMEs with several economic factors. Berry (1998), Mustafa and Khan (2005) and Khawaja (2006) outline the importance and potential of SME sector in Pakistan's economy. Husain (2003) discusses the role of SMEs in production of exports and the challenges they are facing in local market. Coy, Shipley, Omer and Khan (2007) determine the factors responsible for attaining success in small business in Pakistan.

The fourth chapter elaborates that SMEs constituted major share in the exports of Pakistan and contributing almost thirty percent to GDP on average during the time period of last five years. The main sectors included in SMEs were Footwear Industry, automotive parts, dairy industry, meat industry, leather industry, sports goods, fabrics, garments, bed wear, towels, tents and canvas, horticulture, cutlery, gems and jewellery, blankets and traveling rugs, furniture sector, pharmaceutical sector, services sector etc. Growth in SMEs sector has a direct impact on Pakistan's exports and vice versa, which is needed to be focused on priority basis.

The fifth chapter presents a glimpse of policies related to SME in Pakistan. It highlights the advantages and incentives given to SME sector in Pakistan and also throws light on the shortfalls in the policy formulation and implementation. It also provides a comparative study of policies related to small and medium enterprises in different countries. In the last chapter some recommendations and proposals have been made for the improvement and development of the small & medium enterprises in Pakistan.

Methodology

Data Collection and Research Methodology

Data were collected from 300 SMEs business exports in Pakistan by using simple random technique and Structural questionnaire is the basic tool for measuring export potential. Data from developing countries were collected through secondary sources and data were analysis by using Gen-Stat-statistical software. The sources of the data are various issues of Economic Survey of Pakistan, database of Small & Medium Enterprises (SMEDA), publication of International Trade Centre (ITC), annual reports of State bank of Pakistan, database of Trade Development Authority of Pakistan (TDAP), publications and databases of Federal Bureau of Statistics, trade polices from Ministry of Commerce of Pakistan, databases of Ministry of Finance, etc. Literature covers the research papers and studies available on the subject on internet and journals and libraries. The study is an attempt to present comparative analysis of the various SME based economies in the world specifically from Asia.

Model: The Micro simulation method proposed in this paper relationship of both a CGE model and Household model. What distinguish from this model from the work of *(Janvry et al .1992), (Ajitha et at 2004-05) and (Bourguignon et al 2000).* Is its bi directional relationship. The model line Globalization and its impact on economy of Pakistan and poverty on both household and rural spending.

Description of the Model

Model 1. Globalization impact on SMEs export laid Growth

Computable General Equilibrium Model (CGE).

To compare the impact of Globalization on rural and urban population we started with the simple model, which however integers all the standard characteristics of the CGE model of small under developed country. The demand system is derived from the Cobb Douglas utility function with two factors of Globalization and poverty relationship. Regarding the household model we have an income function consisting of rural projects of FDI and their general impact on the rural households on consumption.

Results Analysis SMEs export laid Growth

We only performed one simulation to illustrate the approach's contribution. Different simulation has been tested to verify whether the conclusions reached in terms of impact of Globalization on SMEs business in Pakistan.

Table 2 shows production of automotive sector during last thirteen years.

Leather Industry

(Finished Leather, 2002) stated that world's leading exporters of finished leather were Italy, Republic of Korea, Argentina, USA, Germany and Brazil. Further, Hong Kong, Italy, Germany, Spain and France were important buyers of finished leather from Pakistan in 2002. During 2002, Kasur (223) was main cluster city of finished leather in Pakistan followed by Sialkot (210), Karachi (174), Gujranwala (51), Multan (43), Sheikhupura (28), Lahore (15), Sahiwal (8), Faisalabad (7), Peshawar (6), Sargodha (5) etc.

Following Table shows export of Leather Products during 2001-06. Export of leather Tanned shows variation during 2001-06 as shown in Figure. Exports of leather tanned decreases from US$ 239,934 thousand in 2001-02 to US$ 234,774 thousand in 2002-03 showing fall in exports by 2.15 percent during the same time period. Then, again exports of leather tanned shows increasing trend in two consecutive years of 2003-04 and 2004-05 by 7.21 percent and 20.63 percent respectively. However, it depicts decrease by 3.69 percent in 2005-06.

In the Table 3.6 export of leather gloves from Pakistan shows increasing trend except the year of 2005-06. In 2005-06 export of leather gloves stood at US$ 151,459 thousand as compare to US$ 164,333 thousand in 2004-05 decreased by 7.8 percent during the same time period. Major buyers of Pakistan for the product of leather gloves are USA, Germany and France with their share at 22.99 percent, 11.64 percent and 7.85 percent respectively in 2005-06.

Export of leather products in the category of apparel & clothing increased except 2002-03. The value of Export of Pakistan in this product stood at US$ 501,786 thousand in 2005-06 as compare to US$ 321,341 thousand in 2001-02, with an increase of 56.15 percent over the period. While Pakistan's export of leather manufactures n.s. shows growth of 558.21 percent during 2001-06.

Conclusion

The purpose of this paper to analysis the impact of Globalization on economy of Pakistan by using CGE frame work. We started with the comparative exercise of Globalization and its role in reducing poverty in Pakistan. The

Household Model this model limited only capture the heterogeneity element in household behavior. There are two main factors Globalization and their impact on GDP and economic growth. In the second model linear expenditure system (LES) replaces the demand of system derived from Cobb-Douglas utility function. This exercise highlighted the contribution household disaggregating in the context of CGE modeling exercise and marginal contribution of introducing the heterogeneity elements. According to the results Globalization has significant impact on the economy of Pakistan. CGE Model has been gaining importance in policy analysis of the inequalities of poverty. Globalizations policies can affect in not only improve the economic growth but also help in poverty reduction policies. The task of the policymaker is to coordinate policies affecting the two areas in such a way as to optimize the contribution of Globalization to alleviate poverty in Pakistan. The overall in-depth sample showed a high degree of concern over economic problems but that concern did vary. The constraint which was most uniformly faced was political instability followed by (the related constraint) uncertainty in the business climate. Those in Sindh were significantly more concerned about their lack of information on their competition and about the lack of market for their products than their peers in Punjab or NWFP. Even more dramatically, all those interviewed in Sindh were severely threatened by uncertainty in the business climate and by climatic disasters while their colleagues elsewhere were much less likely to rank these as serious constraints. More than 80% of them thought that government corruption was serious problem for them as well.

References

(2000). Small and Medium Enterprises in Hong Kong, Reforms from Developing Countries. Export Orientation for Small and Medium Enterprises in Exports, APO.

Akizawa, Hikari. & Kijima, Kyoichi, Kijima. *Theory & Research: Internet-based Entrepreneurial Networking to Evolve the Japanese Industrial Structure.* Department of Value and Decision Science, Tokyo Institute of Technology, Japan.

Balasuriya, Anton. (2ND QTR/1992). Technonet Asia, Newsletter, Singapore.

Bardrinath, R. (1997). *The SME and the Global Market Place.* International Trade Centre UNCTAD/WTO Geneva, Switzerland.

Castel-Branco, & Carlos Nuno. (2003). A Critique of SME-led Approaches to Economic Development. *Islamic Chamber of Trade and Industry*, Mozambique.

Chen, Edward K.Y. (1986). *Small Industry in Asia's Export- Oriented Growth.* Asian Productivity Organization, Tokyo.

Coy, Steven P, Shipley, Margaret F, Omer, Khursheed, & Khan, Rao Nisar A. (2007). Factors Contributory To Success: A Study Of Pakistan's Small Business Owners. *Journal of Developmental Entrepreneurship.*

Edwards, Tim., Rick Delbridge and Max Munday. (2005). *Understanding Innovation in Small and medium-sized Enterprises: A Process Manifesto.* Cardiff University, Aberconway Building, Colum Drive, Cardiff CF 10 3 EU, UK.

Federal Bureau of Statistics. (2005). *Pakistan Statistical Year Book.*

Germidis, D. (1980). *International subcontracting: a new form of investment.* OECD, Paris.

Government of Pakistan, Small and Medium Enterprise Development Authority (SMEDA). *Sector Brief: Dairy.*

Government of Pakistan, Small and Medium Enterprise Development Authority (SMEDA). *Sector Brief: Cutlery,* Revised on July 12, 2002.

Halbach, AJ. (1989). *Multinational enterprises and subcontracting in the third world: a study of inter-industry linkages.* International Labour Office, Geneva.

Hoon, Ho Lin. Internationalization of Small Industry. *National Productivity Board*, Singapore.

Howard, Robert. (1990). *Can Small Business Help Countries Compete?* Harvard Business Review November-December 1990 (pp 80-103)

Husain, Ishrat. (2004). Financial Sector Reforms and Pro Poor Growth: a case Study of Pakistan Presidential Address at the Annual General Meeting of the Institute of Bankers Pakistan held at Karachi.

Husain, Ishrat. (2005). *SME Financing Issues and Strategies.* Welcome Address at the conference on SME Financing Issues and Strategies held in Lahore on May 9.

Jaitle, T.N. (1981). *Export Promotion of Selected Small Industry Products: Asian Experience.* Asian Productivity Organization, Tokyo.

Kacker Stuti. (2005). Overcoming Barriers to Innovation for Indian SMEs. *Ministry Small Scale Industries*, New Delhi, India.

Khawaja, Shoaib. (2006). Unleashing the Growth Potential of SMEs in Pakistan through Productivity Enhancement. Pakistan Development Forum – 2006.

Kim, Young-Duck. (2000). Policies, Reforms and Evaluation of SME Export Experiences of Republic of Korea. Export Orientation for Small and Medium Enterprises in Exports, APO.

Klerg, GJ de. & Havenga, JJD. SME Networks and Clusters and their Impact on Economic Growth: An Explanatory Overview of Africa. North-West University, Potchefstroom, South Africa.

Kohata., K. (2006). *SME Policy in USA, Japan, Korea and Thailand.* The Asian Development Bank (ADB) May 2006.

Majumder, Rajarshi. (2004). Productivity Growth in Small Enterprises – Role of Inputs, Technological Progress and Learning By Doing. MPRA Paper No. 4848, West Bengal.

Manjor, Asir. (2002). Garment Industry in Pakistan, In Gopal Joshi (eds.) *Garments Industry in South Asia Rags or Riches?: Competitiveness, productivity and job quality in the post-MFA environment.* India: International labour organization 2002.

Mcclean, Rowan, Wajid, & Majid Ali. (February 2007). *Services Exports: National Road Map for Pakistan* Geneva, Switzerland: International Trade Centre (UNCTAD/WTO).

Muranda, Zororo. (2003). Relationships Between Firm Characteristics and Export Constraints in SME Exporters. *Business Studies Deportment*, University of Zimbabwe.

Nihaya, Wongtada. (2000). Opportunity and Threat to Potential SME Export: Experience of Thailand. Export Orientation for Small and Medium Enterprises in Exports, APO.

Office of SMEs Promotion (OSMEP)/ DIP/MOI and Institute for SMEs Development (ISMBD), Thailand. [Online] Available: www.sme.go.th & www.smethai.net

Pakistan Automotive Manufacturer Association (PAMA), *Data Base, 2005-06.*

Paskaleva, K., Shapira, G. (2006). Innovation and SMEs: Some Asian Experiences. [Online] Available: http://www.itas.fzk.de/tatup/061/pash06a.htm.

Pichler, J. Hanns. & Peter Voithover. (2006). *SME Strategic Behavior and Attitudes towards Cooperation and Network.* University of Lapland, Rovaniemi, Finland.

Saleh, Ali Salman and Ndubisi, Nelson Oly. (2006). An Evaluation of SME Development in Malaysia. *International Review of Business Research Papers*: 1-14. Malaysia.

Saxenian, A. (1994). *Regional Advantage.* MA: Harvard University Press.

Scholar, Morten, Bijil, Bastiaan, Butt Madiha and Haque, Inaam ul. (September 2007). *The Sports Goods Sector In Pakistan: Export Performance And Potential & Implication Of The WTO Agreements* Geneva, Switzerland: International Trade Centre (UNCTAD/WTO).

Scholar, Morten, Elferink, Jan Oude, Bijil Bastiaan, Butt Madiha and Haque, Inaam ul. (September 2007). *The Automotive Parts Sector In Pakistan: Export Performance And Potential & Implication Of The WTO Agreements* Geneva, Switzerland: International Trade Centre (UNCTAD/WTO).

Scholar, Morten, Lodhi, Javed, Roofthooft, Ward, Bijil, Bastiaan, Butt Madiha and Haque, Inaam ul. (August 2007). *The Pharmaceutical Sector In Pakistan: Export Performance And Potential & Implication Of The WTO Agreements* Geneva, Switzerland: International Trade Centre (UNCTAD/WTO).

Scholar, Morten, Tissari, Jukka, Bijil Bastiaan, Butt Madiha and Haque, Inaam ul. (August 2007). *The Furniture Sector In Pakistan: Export Performance And Potential & Implication Of The WTO Agreements* Geneva, Switzerland: International Trade Centre (UNCTAD/WTO).

Scholar, Morten, Zakaria, Fasim, Bijil Bastiaan, Butt Madiha and Haque, Inaam ul. (September 2007). *The Footwear Sector In Pakistan: Export Performance And Potential & Implication Of The WTO Agreements* Geneva, Switzerland: International Trade Centre (UNCTAD/WTO).

Small and Medium Business Administration (SMBA). Korea. [Online] Available: www.smba.go.kr

Small and Medium Enterprise Agency (SMEA). Japan. [Online] Available: www.chusho.meti.go.jp

Small and Medium Enterprise Authority (SMEDA). [Online] Available: www.smeda.org.pk

Stoian, Maria-Cristina. Managerial Determinants And Their Influence Upon The Export Behavior Of The Firm Case-Studies Of Catalan Exporting SMEs. Spain: University of Barcelona.

Tambunnan, Tulus. (2007). Trade and Investment Liberalization Effects on SME Development: A literature Review and a Case Study of Indonesia. *Asia-Pacific Research and Training Network on Trade* 42: Indonesia.

The OECD Small and Medium Enterprises Outlook, Country Profiles; Japan, Korea, Turkey, OECD.

Trade Development Authority of Pakistan, TDAP, *Export Summary (2005-06)* [Online] Available: http://www.epb.gov.pk

Trade Map, *Data Base, 2006.*

Voerman, J.A., Wedel, M. and Zwart, P.S. (1998). Export Market Information Behavior of SMEs: The Influence of Firm Characteristics. *SOM Research School*: University of Groningen.

Wang, Dr. Yue. (2007). *Towards A Conceptualization of International Subcontracting.* Monash Business Review Volume 3 Issue 1-April 2007. School Of Organization and Management, University of New South Wales. April 2007.

Winkelmann, Thorsten. (1996). Internationalization Strategies of Small and Medium-Sized Suppliers in a Global Economy. University of Gottingen, Gottingen, Germany.

Model 1. Globalization and Impact on Economy of Pakistan

Variables		Base Value	Model 1-AR	Rural	Model 2 RH	Urban Poverty	Model U-C	Change
W1	**Formal Wages**	0.5	-0.76	-.05	-0.5	+0.1	0.5	0.5
W2	**Informal wages**	0.1	NA	NA	NA	NA	NA	NA
Mps	**Marginal propensity to save**	0.1	0.5	-0.2	0.3	+0.5	+ 0.6	0.6
FDI	**Foreign direct investment**	20900000	0.3	-0.4	-0.6	+0.54	0.58	0.5
GDP	**Gross domestic Product**	15265435.1	0.01	-0.2S	-0.5	+0.57	0.57	0.33
Rh	**Rural household consumption**	1455676776	0.25	0.24	-0.25	+0.787	0.56	0.44
Uc	**Urban house hold consumption**	324355455	0.55	0.88	-.25	+0.75	0.88	0.55

Table 1. Contribution of SME in Manufacturing and GDP of Pakistan

(Percentage)

Year	SME as a percentage of GDP	Percentage share of SME Manufacturing in Value Addition	SME as a percentage of Industrial Labour
1994-95	5.79	31.26	81
1995-96	5.90	32.8	80
1996-97	4.7	27	80
1997-98	-	35	-
1998-99	5	-	80
1999-00	-	-	80
2000-01	-	-	-
2001-02	30	30	80
2002-03	30		80

Source: Economic Survey of Pakistan, Various Issues

Table 2. Production of Automotive Sector during 1995-06

(No.)

Year	Cars	Trucks	Bus	Jeep & LCV	Pic-Up/LCV	Farm Tractor	Motor Cycles
1995-96	33,419	2,994	474	2,274	2,682	16,093	-
1996-97	37,032	2,917	456	792	4,553	10,417	106,797
1997-98	38,676	1,683	591	657	4,843	14,144	92,978
1998-99	42,927	1,083	1,124	622	3,834	26,644	87,504
1999-00	35,332	913	1,460	380	3,785	24,559	86,959
2000-01	41,556	912	1,326	459	4,982	31,635	108,850
2001-02	42,679	1,134	1,086	564	5,900	23,801	120,627
2002-03	66,432	1,929	1,296	374	7,815	26,240	175,169
2003-04	103,662	2,022	1,380	807	8,888	35,770	303,383
2004-05	133,722	3,204	1,762	1,564	16,294	43,200	416,189
2005-06	170,487	4,518	825	2,472	19,152	48,887	520,124

Source: PAMA

Table 3. Export of dairy products from Pakistan during 1999-04

(thousand rupees)

Year	Milk and cream	Butter	Eggs
1999-00	54,517	1,560	18,631
2000-01	79,445	3,621	68,627
2001-02	102,247	5,770	112,072
2002-03	290,488	5,578	90,238
2003-04	444,506	3,003	113,534

Source: Pakistan Statistical Year Book, 2005

Table 4. Export of Leather Products from Pakistan during 2001-06

(US$ 000)

Year	Leather Tanned		Leather Gloves		Apparel & Clothing of Leather		Leather Manufactures N.S.	
	Value	Quantity (000 SQM)	Value	Quantity (000 DOZ)	Value	Quantity (000 DOZ)	Value	Quantity
2001-02	239,934	17,290	51,324	2,943	321,341	783	10,530	-
2002-03	234,774	15,349	56,969	2,718	232,316	564	97,262	-
2003-04	251,693	16,050	70,722	2,709	323,656	709	19,965	-
2004-05	303,606	18,435	164,333	5,649	329,272	737	33,169	-
2005-06	292,394	17,377	151,459	4,498	501,786	1,050	69,309	-

Source: Trade Development Authority of Pakistan, TDAP <http://www.epb.gov.pk>

Table 5. Export of Sports Goods from Pakistan during 2001-06

(US$ 000)

Year	Sports Goods	% Change
2001-02	304,478	-
2002-03	335,173	10.08
2003-04	324,751	(3.11)*
2004-05	307,129	(5.43)
2005-06	343,329	11.79

* Figures in brackets shows negative values

Source: Trade Development Authority of Pakistan, TDAP <http://www.epb.gov.pk>

Table 6. Export of Fabrics from Pakistan during 2001-06

(US$ 000)

Year	Cotton Fabrics	% Change of Cotton Fabrics	Knitted/Croacheted Fabrics	%Change Knitted/Croacheted Fabrics
2001-02	1,130,828	-	72,420	-
2002-03	1,345,650	19	59,466	(17.89)*
2003-04	1,711,492	27.19	54,923	(7.64)
2004-05	1,862,886	8.85	187,158	240.76
2005-06	2,108,183	13.17	51,378	72.55

* Figures in brackets shows negative values

Source: Trade Development Authority of Pakistan, TDAP <http://www.epb.gov.pk>

Table 7. Export of Garments from Pakistan during 2001-06

(US$ 000)

Year	Ready-Made Garments excl. Leather Garment	% change Ready-Made Garments excl. Leather Garment	Knitwear (Hosiery)	% Change Knitwear (Hosiery)
2001-02	874,954	-	845,943	-
2002-03	1,092,607	24.88	1,146,674	35.55
2003-04	993,322	(9.09)*	1,458,736	27.21
2004-05	1,087,954	9.53	1,635,033	12.09
2005-06	1,309,990	20.41	1,751,494	7.12

* Figures in brackets shows negative values

Source: Trade Development Authority of Pakistan, TDAP <http://www.epb.gov.pk>

Table 8. Export of Bed Wear from Pakistan during 2001-06

(US$ 000)

Year	Bed Wear	% Change Bed Wear
2001-02	918,558	-
2002-03	1,329,064	44.69
2003-04	1,383,334	4.08
2004-05	1,449,533	4.79
2005-06	2,038,064	40.60

Source: Trade Development Authority of Pakistan, TDAP <http://www.epb.gov.pk>

Table 9. PART-1

		Frequency	Percent
Missing	**System**	**51**	**100.0**

Table 10. Nature of the Business

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	**Bicycles**	**3**	**5.9**	**5.9**	**5.0**
	Fabrication/M'facture	**11**	**21.6**	**21.6**	**27.0**
	Food Processing	**7**	**13.7**	**13.7**	**41.0**
	Footwear	**4**	**7.8**	**7.8**	**49.0**
	Fruits & vegetables	**4**	**7.8**	**7.8**	**56.0**
	Jewellery & Gems	**4**	**7.8**	**7.8**	**64.0**
	Knitwear	**5**	**9.8**	**9.8**	**74.0**
	OEM	**5**	**98**	**9.8**	**84.0**
	Sports goods	**3**	**5.9**	**5.9**	**90.0**
	Surgical	**5**	**9.8**	**9.8**	**100.0**
	Total	**51**	**100.0**	**100.0**	

Table 11. Type of Ownership

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	**Proprietorship**	**23**	**45.1**	**45.1**	**45.1**
	Partnership	**8**	**15.7**	**15.7**	**60.8**
	Private Ltd	**18**	**35.3**	**35.3**	**96.1**
	Public Ltd	**2**	**3.9**	**3.9**	**100.0**
	Total	**51**	**100.0**	**100.0**	

Table 12. Local Share

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	**30%**	**1**	**2.0**	**2.0**	**2.0**
	50%	**2**	**3.9**	**3.9**	**5.9**
	100%	**48**	**94.1**	**94.1**	**100.0**
	Total	**51**	**100.0**	**100.0**	

Table 13. Foreign Share

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	**50%**	**2**	**3.9**	**100.0**	**100.0**
Missing	**System**	**49**	**96.1**		
Total		**51**	**100.0**		

Table 14. What percentage of Your Materials and Parts are Imported?

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	**50-80%**	**6**	**11.8**	**13.0**	**13.0**
	30-50%	**13**	**25.5**	**28.3**	**41.0**
	10-30%	**7**	**13.7**	**15.2**	**56.0**
	Less than 10%	**19**	**37.3**	**41.3**	**97.0**
	Nil	**1**	**2.0**	**2.2**	**100.0**
	Total	**46**	**90.2**	**100.0**	
Missing	**System**	**5**	**9.8**		
Total		**51**	**100.0**		

Table 15. Production Technology Training

		Frequency	**Percent**	**Valid Percent**	**Cumulative Percent**
Valid	Very Useful	2	3.9	4.3	4.0
	Quite Useful	6	11.8	12.8	17.1
	Not Useful	16	31.4	34.0	51.0
	Not Available	23	45.1	48.9	100.0
	Total	47	92.2	100.0	
Missing	System	4	7.8		
Total		51	100.0		

Table 16. Production Skill Training

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Useful	2	3.9	4.3	4.0
	Quite Useful	5	9.8	10.9	15.0
	Not Useful	14	27.5	30.4	45.1
	Not Available	25	49.0	54.3	100.0
	Total	46	90.2	100.0	
Missing	System	5	9.8		
Total		51	100.0		

Table 17. Management Training

		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Useful	2	3.9	4.3	4.0
	Quite Useful	10	19.6	21.3	25.0
	Not Useful	9	17.6	19.1	44.0
	Not Available	26	51.0	55.3	100.0
	Total	47	92.2	100.0	
Missing	System	4	7.8		
Total		51	100.0		

Table 18. Design Training

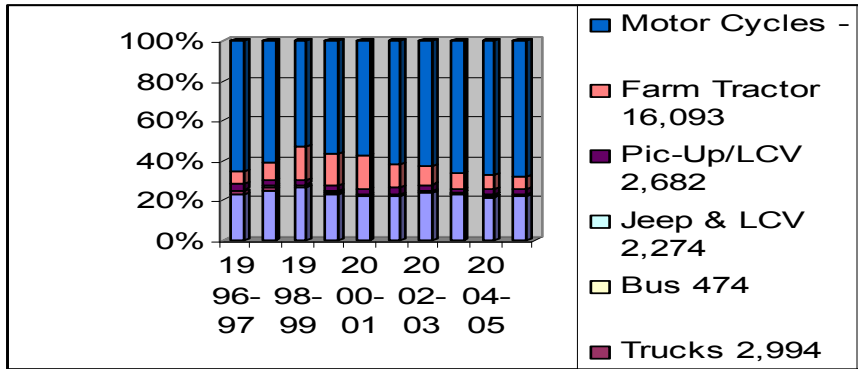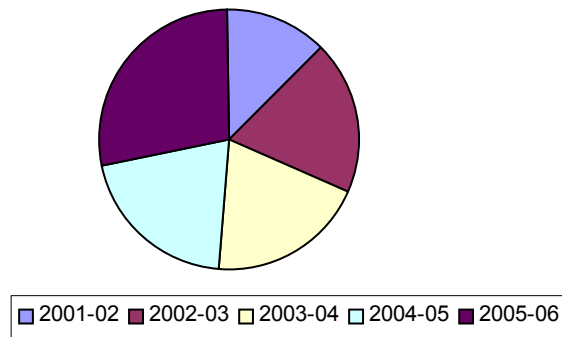|		Frequency	Percent	Valid Percent	Cumulative Percent
Valid	Very Useful	2	3.9	4.3	4.0
	Quite Useful	8	15.7	17.0	21.0
	Not Useful	11	21.6	23.4	44.1
	Not Available	26	51.0	55.3	100.0
	Total	47	92.2	100.0	
Missing	System	4	7.8		
Total		51	100.0		

Figure 1.

Figure 2. Export of Bed Wear from Pakistan during 2001-06

Dyadic Consensus and Satisfaction of Married and Dating Couples in Malaysia

Cai-Lian Tam (Corresponding author)

Jeffery Cheah School of Medicine and Health Sciences

Monash University Sunway Campus, Malaysia

E-mail: tam.cai.lian@med.monash.edu.my

Teck-Heang Lee

Taylor's Business School, Taylor's University, Malaysia

E-mail: teckheanglee_2000@yahoo.com

Wai-Mun Har

Faculty of Accountancy & Management, Universiti Tunku Abdul Rahman, Malaysia

E-mail: harwn@mail.utar.edu.my

Soo-Imm Chua

Department of Psychology, School of Health and Natural Sciences

Sunway University College, Malaysia

Abstract

In recent years, central research on relationships has focused mostly on the quality of relationships. It has been postulated that married and dating couples tend to rate the quality of their relationship differently. The present study aims to explore this statement in addition to examining the role of gender in couple satisfaction and consensus. A total of 160 participants that were made up of 80 married individuals and 80 individuals who were dating were surveyed for this purpose. The Dyadic Consensus and Dyadic Satisfaction subscale from the Dyadic Adjustment Scale were administered to the couples. Independent-samples T-test was used to analyse the gender differences in regards to dyadic consensus and dyadic satisfaction. It was found that there was a significant difference between married and dating couples in regards to dyadic satisfaction in a relationship. However, it was found that there was no significant difference between married and dating couples in relate to dyadic consensus in a relationship. In addition, findings of this study revealed that there was no significant difference in satisfaction and consensus among males and females. Further investigation is recommended on couple's problem-solving styles which may lead to noticeable differences between genders, married and dating couples as relate to their level of satisfaction and consensus.

Keywords: Dyadic satisfaction, Dyadic consensus, Married and dating couples, Malaysia

1. Introduction

The development and maintenance of relationships between couples have always served as a fascinating topic. In psychology, dyadic consensus and satisfaction were frequently functioned as the tool for global relationship measure. Halford and Markman (1997) suggested that relationship success is strongly correlated with satisfaction and consensus. Malaysian Islam Development Department (JAKIM, 2008) reported that there was a drastic increase in the divorce rates in Malaysia. For example, there were 131 086 marriages against 20 259 divorces in the year of 2007. The high divorce rate revealed that the Malaysian couples should emphasize the

promotion of successful relationship. The occurrence of separation and divorce usually followed the periods of decline in the level of relationship satisfaction (Gottman, 1993).

In recent years, central research on this topic has focused mostly on the quality of relationships. Spanier (1976), a prominent figure in such studies, have argued that the quality of couple relationships can be measured through exploring the degree of consensus, satisfaction, cohesion and affection in a relationship. As continuous efforts are being placed into examining the concept, researchers such as Kamey and Bradbury (1995) have further divided couples in romantic relationships into different categories: married couples, cohabitating couples, dating couples, homosexual couples and many more. It has been postulated that couples from different categories tend to rate the quality of their relationship differently. For some couples, the level of satisfaction and consensus remains constant or even lower over time. Karney and Bradbury (1995) further explained that such relationship down trend among couples may lead the couples to become stressful and emotionally divorced.

General trends in the existing literature show that married couples were more satisfied and committed in their relationship. However, the link between relationship status and dyadic consensus wasn't as pronounce in their studies. For example, in terms of gender differences, it has been noted that satisfaction and consensus level of males and females differ because it relies heavily on their perception of what contributes to these two relationship factors (Sprecher 1988; Rusbult 1983 as cited in Floyd & Wasner, 1994). Thus, this study is conducted in hope to shed light on these aspects.

The findings in this study may also be advantageous to facilitate alternative and more constructive approaches for both appraisal of behaviours and healthy interactions in a relationship. On the other hand, intervention programmes can be specifically designed to assist individuals to recognise perceived discrepancies in relationship events and how their appraisal processes are associated to consensus and satisfaction in a relationship.

Moreover, this study appears to be one of the relatively few pioneer studies in Malaysia that sought to compare and contrast cultural factors and its effect on relationships. Although our sample size may not be representative of a national sample, results from the study are still indicative of trends in couples in our society. Research grounds can be expanded with the help of our current findings and future studies can be done to examine these trends.

1.1 Definitions of dyadic satisfaction and dyadic consensus

Before further discussion, the definitions of dyadic satisfaction and dyadic consensus are first examined. The two dimensions of relationship quality presented in this study are Dyadic Consensus and Dyadic Satisfaction; both components are derived from DAS (Dyadic Adjustment Scale). Dyadic Consensus concerns the degree of harmonious accord between partners on matters of importance to the dyadic functioning of the relationship (Kurdek, 1992). Kurdek suggested that dyadic consensus consists of high frequency of agreement between partners. Furthermore, he also specified that dyadic satisfaction can be measured through low instances of quarrels, discussions of separation, and negative interactions. Miller and Salkind (2002) further elaborated dyadic consensus as "The degree to which the couple agree on matters of importance to the relationship" (p. 546).

On the other hand, Dyadic Satisfaction is characterised as the extent of appreciation and strain in the relationship as well as the prevalence with which each partner has completed the disintegration of the relationship (Spanier, 1976). However, Miller and Salkind (2002) elaborated dyadic satisfaction as "The degree to which the couple is satisfied with the present state of the relationship and is committed to its continuance" (p. 546).

As a conclusion, in this study, dyadic consensus is defined as frequent agreement between couples on matters of importance to their relationship whereas, dyadic satisfaction is defined as the level of satisfaction experienced by couples that influence their commitment in a relationship.

2. Literature Review

2.1 Satisfaction and consensus in regards to married and dating couples

Although limited research has been done in this area, there are several notable studies that have attempted to compare and contrast couple satisfaction and consensus between married and dating couples. In an existing study of undergraduate couples, it was found that among the 44 dating and 64 married couples, dating individuals reported more facilitative communication behaviours and more companionship activities than married couples, which is believed to be an indication of higher consensus and satisfaction in a relationship (Assh & Byers, 1990). This finding is also accentuated in Jacobson and Margolin's (1979 as cited in Assh & Byers, 1990) study as their

study indicated that high levels of reciprocated favourable behaviours elicited in the early impressionable stage of the relationship may lead to idealised conceptualisations of the partner.

On the other hand, Gonzaga, Campos and Bradburry's (2007) research on 66 heterosexual dating couples and 172 married couples suggested that, couples who were similar in terms of emotion and personality experience higher relationship quality, regardless if they're married or dating. Another study by Floyd and Wasner (1994) proposed that relationship satisfaction is predictive of commitment and that married couples were more committed. In order to support their theory, they mentioned that Sprecher's study in 1988 (as cited in Floyd & Wasner, 1994) stated social issues and other constraints that would terminate a relationship were significantly stronger in premarital couples than in married couples.

In addition, Christensen, Sullaway and King (1983 cited in Assh, & Byers, 1990) proposed that couples tend to use positive dispositional attributions to mould and preserve a set of facilitative perceptions of their partner during the initial stages of the relationship. In the same vein, Margolin, Talovic and Weinstein (1983) found that as romantic relationships evolve from the dating stage to matrimonial ties, undesirable bahavioural attributes became imperceptibly in their partners.

Furthermore, Rusbult's (as cited in Floyd & Wasner, 1994) investment model in 1983 showed that investments in the relationship after a marriage were harder to replace compared to new formed relationships. Hence, most studies have indicated that there are notable fundamental differences between married and dating couples when it comes to level of satisfaction and consensus in a relationship.

2.2 Gender differences on couple satisfaction and consensus

In terms of gender, level of satisfaction and consensus in a relationship is postulated to be rated differently between males and females due to different interests. Furman and Simon (2006) put forward the notion that males may have less of a foundation to serve as a basis for their expectations and representations of romantic relationships as the nature of their cordial relationships are largely distinguished by less intimate disclosure.

Furman and Simon (2006) posited that females tend to ruminate about relationships and may be more sensitive to the quality of the relationship. Various authors as cited in Fiese and Tomcho (2001) such as Acitelli (1992), Fincham, Beach, Harold and Obsborne (1997) and Gottman (1994) shared similar findings and suggested that females are more relationship oriented as compared to males as they voluntarily undertake the responsibility of maintaining the well-being of their romantic relationships.

In Davis and Oathout's (1987) study that included 264 heterosexual student couples where 29 were reported to be married, the largest predictor of female satisfaction is good communication skills. A research done on 71 married and cohabiting student couples also indicated that for men, happiness in a relationship is strongly influenced by the degree of their financial security (MacLean & Peters, 1995).

In addition, Floyd and Wasner's (1994) findings on 530 college student couples suggested that men choose to remain in a relationship even if there were numerous alternatives (partner options) because they have purposefully selected their current partner from a pool of available partners where as women choose to remain committed because they believe that the quality of their alternatives are less favourable compared to men. Taking all research evidences into consideration, we can conclude that there are differences between males and females in terms of perceived relationship satisfaction and consensus.

In summary, this study predicts that the relational consensus and satisfaction between partners would reflect the multidimensionality of intimate relationships and their essentially interactive nature. Subsequently, this research was undertaken to explore the dyadic effects of consensus and satisfaction which may differ in accordance to gender differences.

3. Hypotheses

This present study aims to investigate if there is a significant difference in the level of dyadic satisfaction and dyadic consensus between married and dating couples and also between males and females. The hypotheses of the study are formulated as below.

Hypothesis 1: There is significant difference between married and dating couples in regards to dyadic consensus in a relationship; where dating couples would have a higher level of dyadic consensus.

Hypothesis 2: There is significant difference between married and dating couples in regards to dyadic satisfaction in a relationship; where dating couples would have a higher level of dyadic satisfaction.

Hypothesis 3: There is significant difference between males and females in regards to dyadic consensus in a relationship; where females would have a higher level of dyadic consensus.

Hypothesis 4: There is significant difference between males and females in regards to dyadic satisfaction in a relationship; where females would have a higher level of dyadic satisfaction.

4. Method

4.1 Participants

The questionnaires were distributed through convenience sampling to participants who volunteered to participate in the survey. Firstly, non-probabilistic sampling was adopted. At the initial stage, there were 200 participants involved in the survey. In order to get the equal number for gender, married and dating couples, stratified sampling and quota were applied. Finally the sample consisted of 160 participants that were made up of 80 married individuals and 80 dating individuals. The ages of the participants ranged from 18 to 42 years and above with 20 (12.5%) of the participants fitting in the age range from 18 to 22 years, 56 (35.0%) of the participants fitting in the age range from 23 to 27 years, 20 (12.5%) of the participants fitting in the age range from 28 to 32 years, 9 (5.6%) of the participants fitting in the age range from 33 to 37 years, 11 (6.9%) of the participants fitting in the age range from 38 to 42 years, and 44 (27.5%) of the participants fitting in the age range of 42 years and above.

A total number of 80 (50%) male and 80 (50%) female participants were surveyed for the research. There were 22 (13.7%) Malay participants, 126 (78.8%) Chinese participants, 8 (5.0%) Indian participants and the remaining 4 (2.5%) participants were of other races. Among the 160 participants, 22 (13.8%) were Muslims, 78 (48.8%) were Buddhists, 4 (2.5%) were Hindus, 23 (14.4%) were Christians, 31 (19.4%) had no religion while the remaining 2 (1.3%) participants were of other religions.

In terms of the participants' highest education qualification, 11 (6.8%) participants reported to be at a Pre-University/equivalent level, 42 (26.3%) participants reported to be at a Diploma/equivalent level, 84 (52.5%) participants reported to be at a Degree/equivalent level, and 23 (14.4%) reported to have other qualifications.

4.2 Instruments

4.2.1 Dyadic Adjustment Scale (DAS)

The Dyadic Adjustment Scale (DAS) designed by Spanier (1976) is used to measure the quality of relationship in married or cohabitating couples and has an overall reliability of .96 as well as a validity of .86. The DAS was chosen for this study because it has been previously adapted by various studies to measure relationship quality in dating couples (Troy, 2000; Hendrick, Hendrick, & Adler, 1988). It has four sub scales: Dyadic Consensus, Affectionate Expression, Dyadic Satisfaction and Dyadic Cohesion, and is a self-administered 32 item self-report scale. However, this study only aims to measure the degree of consensus and satisfaction in couples, thus, Dyadic Consensus and Dyadic Satisfaction were the only subscales used in this study.

The Dyadic Consensus domain comprises 13 items and has a reliability of .90. Participants are given 6 statements to choose from and each statement is assigned a response format (i.e., Strongly Agree = 1, Always Agree = 2, Occasionally Agree = 3, Occasionally, Disagree = 4, Always Disagree = 5, Strongly Disagree = 6). Participants are required to choose only one answer. Higher score in this subscale indicates greater level of disagreements where as lower score indicates better consensus.

On the other hand, the Dyadic Satisfaction subscale has 10 items and has a reliability of .94. From item C1 to C7, participants are given 6 statements to choose from and each statement is assigned a number (i.e., All the time = 1, Most of the time = 2, Frequently = 3, Occasionally = 4, Rarely = 5, Never = 6). For item C8, participants had to rate from 1 to 5, where as for item C9, participants had to rate from 1 to 7 and lastly for item C10, participants had to choose a statement that is assigned a number from 0 to 5. Participants are required to choose only one answer for each question. Higher score in this subscale denotes greater satisfaction and lower score denotes less satisfaction.

4.3 Procedure

A single questionnaire was used to obtain information from the participants. The questionnaire consisted of 3 sections that measures different dimensions; Part A: Demographic, Part B: Dyadic Consensus, and Part C: Dyadic Satisfaction. Participants were required to read the questions themselves and note down their answers on questionnaire. Most of the participants answered the questions and returned the questionnaire on the spot. However, time allowance was also given to participants who wished to take home the questionnaire and resubmit it a few days later. Seven research-assistants helped in the administration of the questionnaire by approaching participants who were willing to participate.

Participants were acquainted with the purpose of the study and the length and nature of their participation. Participants were required to fill in consent forms which were non-obligatory. With the intention to protect the participants' confidentiality, they were assured that no efforts will be contracted to discover the participants and the answers. Participants were instructed to answer honestly and they were reassured that there were no wrong answers. Before the questionnaires were distributed among the participants, they were notified that they were allowed to withdraw from partaking in the survey without prior notification if they feel discomfited towards their involvement in the study.

5. Results

Independent-samples T-test was performed to substantiate the hypotheses put forward in this study. A T-test analysis was carried out to ascertain the possible gender differences in regards to dyadic consensus and dyadic satisfaction of individuals towards their marital or romantic relationships. Supplementary to this, another T-test analysis was conducted to distinguish the possible differences for married and dating couples in relation to their dyadic consensus and dyadic satisfaction concerning their relationships.

5.1 Group Comparisons

5.1.1 T-Test

Mean differences between married and dating couples on measures of dyadic consensus and dyadic satisfaction variables were assessed. This did not reveal a significant effect on dyadic consensus and dyadic satisfaction in a relationship. The dyadic consensus mean for married couples was 31.14 and dating couples was 31.36 [t (158) = -0.139, p>.05]. The dyadic satisfaction mean for married couples was 42.49 and dating couples was 44.00 [t (158) = -1.812, p<.01]. Thus, there was no significant difference between married and dating couples in regards to dyadic consensus in a relationship. However, there was significant difference between married and dating couples in regards to dyadic satisfaction in a relationship. See Table 1.

Insert Table 1

Mean differences between males and females on measures of dyadic consensus and dyadic satisfaction variables were assessed. Result revealed no significant difference on dyadic consensus and dyadic satisfaction in a relationship. The dyadic consensus mean for males was 31.83 and females was 30.67 [t (158) = .713, p>.05]. The dyadic satisfaction mean for males was 43.40 and females was 43.09 [t (158) = .371, p>.05]. Hence, there's no significant difference between males and females in regards to dyadic consensus in a relationship. It was also found that there was no significant difference between males and females in regards to dyadic satisfaction in a relationship. See Table 2.

Insert Table 2

6. Discussion

The main purpose of this study was to examine if there was a significant difference between married and dating couples in terms of relationship quality indicators such as dyadic consensus and dyadic satisfaction. Additionally, this study also sought to explore if there's a difference between males and females when it came to dyadic consensus and dyadic satisfaction in a relationship. Our study revealed significant difference between married and dating couples relation to satisfaction in a relationship. However, results of the study yielded insignificant differences in other hypotheses. Thus, showing that there's no significant difference between married and dating couples in regards to dyadic consensus in a relationship. Moreover, it was also concluded that there's no significant difference between males and females in terms of dyadic consensus and dyadic satisfaction in a relationship.

6.1 Satisfaction and consensus in regards to married and dating couples

Firstly, results of study proved that our second hypothesis was accepted where it was predicted that there was a significant difference between married and dating couples in regards to dyadic satisfaction. This runs in -congruent with an existing study of undergraduate couples, where it was found that among the 44 dating and 64 married couples, married couples were less willing to engage in companionship activities compared to dating couples, which was believed to be an indication of lower satisfaction in a relationship (Assh & Byers, 1990).

Married couples were less agreeable to engage in the same activity compared with couples who were in a relationship. The finding of our result supported Jacobson and Margolin's (1979 cited in Assh & Byers, 1990) study as their study indicated that high levels of reciprocated favourable behaviours elicited in the early impressionable stage of the relationship may lead to idealised conceptualisations of the partner.

In addition, Christensen, Sullaway and King (1983 cited in Assh & Byers, 1990) proposed that couples tend to use positive dispositional attributions to mould and preserve a set of facilitative perceptions of their partner during the initial stages of the relationship. This would be plausible explanation for the contributing factors to satisfaction that was not examined in this study. A more significant difference between groups may be detected if these individual variables were examined as a mean to measure satisfaction. In conclusion, in this study, it was found that there's significant difference between married and dating couples in terms of dyadic satisfaction in a relationship.

Next, it was hypothesized that there is significant difference between married and dating couples in regards to dyadic consensus in a relationship. However, results refuted the hypothesis. In comparison with our findings, Floyd and Wasner (1994) actually predicted relationship consensus to be more salient in married couples. On the other hand, Assh and Byers (1990) studied 44 dating and 64 married undergraduate couples and pointed out that couples who were dating actually engaged in more facilitative communication which may be predictive of higher consensus. However, in this study, no significant difference was found between the two groups when it came to consensus in a relationship.

Gonzaga, Campos and Bradburry's (2007) research on 66 heterosexual dating couples and 172 married couples suggested that, couples who were similar in terms of emotion and personality experienced higher relationship quality, regardless if they're married or dating. This explanation may be applied to explain our findings. Perhaps most of the couples recruited shared similarities in their personality, thus it was difficult to pinpoint a difference between married and dating couples when it came to consensus.

In summary, since the studies on the dyadic effects of consensus and satisfaction between married and dating couples have been relatively far few in between, this study has contributed to the literature on the multifaceted dyadic experience of intimate relationship in several important ways

6.2 Gender differences on couple satisfaction and consensus

In this study, it was also hypothesized that there is significant difference between males and females in regards to dyadic consensus in a relationship. Our results proved otherwise. Again, the lack of research in this field makes it difficult to compare the present findings with the existing studies. It is possible that no significant differences were found because other variables that may have contributed to this factor was not measured in this study. In support of this notion, it is believed that a significant difference may emerge if these variables were examined individually to represent dyadic consensus in couples instead of measuring a general concept like dyadic consensus. Hence, it was concluded that no significant difference exists between males and females in regards to couple consensus.

Lastly, the hypothesis that significant difference exists between males and females in regards to dyadic satisfaction in a relationship was also refuted by our results. In contrary, MacLean and Peters (1995) study on 71 married and cohabitating student couples showed that for men, happiness in a relationship is strongly influenced by the degree of their financial security. Moreover, in Davis and Oathout's (1987) study that included 264 heterosexual student couples where 29 were reported to be married, they decided that the largest predictor of female satisfaction is good communication skills.

Our results have failed to detect these differences between males and females. Again, there may be other variables not measured in this study. Troy (2000) postulated that the most important determinant of couple satisfaction is communication skills. Similarly, Margolin's work in 1981 (as cited in Assh & Byers, 1990) suggested that communication exchange between couples across all life cycle stages significantly predicted relationship satisfaction. Another study conducted on college-age dating couples discovered that self-disclosure was a key element in relationship satisfaction (Franzoi, Davis, & Young, 1985 as cited in Davis & Oathout, 1987). All these studies highlight the importance of communication and self-disclosure in mediating couple's satisfaction. Thus future studies may consider examining how these factors may induce couple satisfaction.

7. Recommendations for future study

There are many ways to improve this study for future research. A wider sample area would be needed to improve the external validity of the study. Research could be expanded to both urban and rural area so as to be more representative of couples in our country. Additionally, items in the questionnaire can be revised to be more sensitive to cultural differences. For instance, couples in Malaysia may not value physical affection such as kissing daily as a mean of relationship satisfaction.

It is recommended that future studies may opt to explore other variables that underlie satisfaction and consensus in couples such as communication skills (Troy, 2000) and self-disclosure (Franzoi, Davis, & Young, 1985 as

cited in Davis & Oathout, 1987). Studies in the future may also choose to study the length of romantic involvement instead of the stage of a relationship as it has been noted to be a stronger predictor of satisfaction and consensus in relationships (Assh & Byers, 1990). In support of this view, Margolin, Talovic and Weinstein's work in 1983 (as cited in Assh & Byers, 1990) argued that spouses perceived more negative behavioural attributes in their partners as the length of marriage increased.

Furthermore, perhaps significant findings may be apparent if studies are done on distressed and non-distressed couples as compared to couples in a normal state. Previous studies showed that distressed couples were more likely to exchange higher rates of displeasing behaviours compared to their non-distress counterparts (Birchler, Weiss, & Vincent, 1975; Jacobson, Waldron, & Moore, 1980; Margolin, 1981 as cited in Assh & Byers, 1990)

8. Implications

Despite most of the findings being insignificant, there are several implications to be discussed. Although Spanier's (1976) Dyadic Adjustment Scale has been proven to possess excellent psychometric properties, these scores may be affected slightly when assessed in different cultural settings. The scale was originally developed by combining items from various marital adjustment scales where most of them are developed based on American norms. Therefore, results in this study should be interpreted with caution. Hence, it is important to determine if a scale developed in another cultural context is applicable in different cultures. Next, it is essential to highlight that cultural factors may have played a role in this study. According to our results, there's no significant difference between married and dating couples in regards to consensus in a relationship. This runs in contrast with existing Western studies.

However, the practice of collectivistic culture in our country may have influenced participants with shared beliefs and values. The participants have rated both variables similarly regardless of their gender or relationship stage. Therefore, it is unwise to blindly imply that there is no significant difference between males and females, married and dating couples when it comes to relationship issues based on our current findings. Other underlying factors have to be examined before a conclusion can be drawn. In short, this implies that cultural factors have to be taken into consideration when interpreting results of cross-cultural group comparisons.

9. Conclusion

This study has demonstrated that married and dating couples differ in regards to couple satisfaction. Furthermore, results indicated that there's no significant difference between male and female in terms of dyadic satisfaction and dyadic consensus. Although there's a stark contrast between our findings and existing studies done in Western cultures, it should be noted that findings in this study may be attributed to collectivistic culture practices such as Malaysia.

In this study, individuals have a high tendency to share the same beliefs and values and thus may have rated the variables similarly regardless of their gender or relationship status. An important implication of this study would be to interpret findings of cross-cultural studies by carefully examining possible influential cultural factors. Further research in the future could be done to examine the underlying factors that may have affected couple satisfaction and consensus. This provides researchers insights into factors that could predict differences between genders, married and dating couples in regards to relationship satisfaction and consensus.

References

Assh, S. D., & Byers, E. S. (1990). Effects of behavioural exchanges and cognitions on the relationship satisfaction of dating and married persons. *Canadian Journal of Behavioural Science, 22*(3), 223-235. doi:10.1037/h0078921, http://dx.doi.org/10.1037/h0078921

Davis, M. H., & Oathout, H. A. (1987). Maintenance of satisfaction in romantic relationships: Empathy and relational competence. *Journal of Personality and Social Psychology, 53*(2), 397-410. doi:10.1037/0022-3514.53.2.397, http://dx.doi.org/10.1037/0022-3514.53.2.397

Fiese, B. H., & Tomcho, T. J. (2001). Finding meaning in religious practices: The relation between religious holiday rituals and marital satisfaction. *Journal of Family Psychology*, 15, 597-609. doi:10.1037/0893-3200.15.4.597, http://dx.doi.org/10.1037/0893-3200.15.4.597

Floyd, F. J., & Wasner, G. H. (1994). Social exchange, equity, and commitment: Structural equation modeling of dating relationships. *Journal of Family Psychology, 8*(1), 55-73. doi:10.1037/0893-3200.8.1.55, http://dx.doi.org/10.1037/0893-3200.8.1.55

Furman, W., & Simon, V. A. (2006). Actor and partner effects of adolescents' romantic working models and styles on interaction with romantic partners. Child *Development*, 3, 588-604. doi:10.1111/j.1467-8624.2006.00892.x, http://dx.doi.org/10.1111/j.1467-8624.2006.00892.x

Gonzaga, G. C., Campos, B., & Bradburry, T. (2007). Similarity, convergence, and relationship satisfaction in dating and married couples. *Journal of Personality and Social Psychology, 93*(1), 34-48. doi:10.1037/0022-3514.93.1.34, http://dx.doi.org/10.1037/0022-3514.93.1.34

Gottman, J. M. (1993). A theory of marital dissolution and stability. *Journal of Family Psychology, 7*, 57-75. doi:10.1037/0893-3200.7.1.57, http://dx.doi.org/10.1037/0893-3200.7.1.57

Halford, W. K., & Markman, H. J. (1997). *Clinical handbook of marriage and couples intervention.* Chichester, UK: Wiley.

Karney, B. R., & Bradbury, T. N. (1995). The longitudinal course of marital quality and stability: A review of theory, method, and research. *Psychological Bulletin, 118*, 3-34. doi:10.1037/0033-2909.118.1.3, http://dx.doi.org/10.1037/0033-2909.118.1.3

Kurdek, L. A. (1992). Dimensionality of the Dyadic Adjustment Scale: Evidence from heterosexual and homosexual couples. *Journal of Family Psychology, 6*(1), 22-35. doi:10.1037/0893-3200.6.1.22, http://dx.doi.org/10.1037/0893-3200.6.1.22

MacLean, A. P., & Peters, R.D. (1995). Graduate student couples: Dyadic satisfaction in relation to type of partnership and demographic characteristics. *Canadian Journal of Behavioural Science, 27*(1), 120-124. doi:10.1037/0008-400X.27.1.120, http://dx.doi.org/10.1037/0008-400X.27.1.120

Malaysian Islam Development Department. (JAKIM, 2008). Statistical Figure on Divorce and Causes of Divorce in Malaysia.

Margolin, G., Talovic, S., & Weinstein, C. (1983). Areas of change questionnaire: A practical approach to marital assessment. *Journal of Consulting and Clinical Psychology, 51,* 920-931. doi:10.1037/0022-006X.51.6.920, http://dx.doi.org/10.1037/0022-006X.51.6.920

Miller, D. B., & Salkind, N. J. (2002). *Handbook of research design and social measurement* (p. 546). (6th ed.). CA: Sage Publications, Inc.

Spanier, G. B. (1976). Measuring dyadic adjustment: New scales for assessing the quality of marriage and similar dyads. *Journal of Marriage and the Family*, *38*(1), 15-28. doi:10.2307/350547, http://dx.doi.org/10.2307/350547

Troy, A. B. (2000). Determining the factors of intimate relationship satisfaction: Interpersonal communication, sexual communication, and communication affect. *Colgate University Journal of the Sciences,* 221-230.

Table 1. Mean Dyadic Consensus and Dyadic Satisfaction Scores for Married and Dating Couples in a Relationship

Variables	Mean Scores		
	Married Couples	Dating Couples	t (138)
Dyadic Consensus	31.36	31.14	-0.139
Dyadic Satisfaction	42.49	44.00	-1.812**

p>.05

p<.01**

Table 2. Mean Dyadic Consensus and Dyadic Satisfaction Scores for Males and Females in a Relationship

Variables	Mean Scores		
	Males	Females	t (138)
Dyadic Consensus	31.83	30.68	.713
Dyadic Satisfaction	43.40	43.09	.371

p>.05

A Brief Research Note: Some Issues on Japanese-Filipino Children

Shiro Ito

Ph.D. Student, Department of Sociology, College of Social Sciences and Philosophy

University of the Philippines, Diliman, Philippines

E-mail: shiro.ito@up.edu.ph

Abstract

This qualitative case study aims to explore reasons that led to the absence of the Japanese father from the family, how it affects the present situation of Japanese-Filipino children (JFC), and to conceptualize socioemotional factors that influence JFC's life. The study covers current situations and socioemotional and socioeconomic problems of JFC and used standard qualitative techniques to gather field data.

This study has identified that JFC are shaped by sociocultural and socioeconomic differences between Japan and the Philippines that play in individuals' lives and decisions. The union of two people from different cultures and nationalities coupled with socioeconomic struggles and each individual's underlying reasons to unite (marriage/cohabitation) may also lead to their separation. Furthermore, the study identified several unique socioemotional factors of the JFC as well: perceived unique ethnicity, the retention of a degree of love to the father who abandons them, and the need to see their fathers instead of feeling hatred and anger. Despite their abandonment, the JFC feel proud of their Japanese culture. Finally, JFC feel they belong to two culture groups; they consider knowing and belonging to both cultures to be their destiny.

Keywords: Ethnicity, Filipino, Japanese, Children, Migration, Qualitative

1. Background

According to national statistics of the Philippines, about 1.6 million Filipinos work abroad (4.2 million according to estimates by international organizations) (Matsui, 1998). Approximately 50 percent of 50,000 Filipinos entering Japan annually between 1980 and 1990 were on entertainer visas. Others included engineers, teachers, scientists, government officials, businessmen, and students (Matsui, 1998).

The number of Filipinos holding entertainer visas touched 400,000 between 1985 and 1996, with the majority being women (Matsui, 1998). Most entertainers traveled to Japan for work to support their families. The economic conditions of the entertainer's family can be divided into three: those below the poverty line (approximately 60 percent), just below middle class (23 percent), and the middle class (17 percent). Younger than 23 years, most were elementary school graduates, high school graduates, college drop-outs, or college graduates (Matsui, 1998).

The high number of Filipinos entering Japan resulted in a rapid increase in marriages between Filipino women and Japanese men, touching a figure of 6645 in 1996 (Japanese Ministry of Health and Welfare, 2000). Matsui (1998) pointed out couples officially married in Japan is very small compared to those married in the Philippines. Some cases of bigamy among married Japanese males have been reported, increasing the realistic estimates of such couples to more than 100,000.

Japanese journalist S. Gunji described the typical life of the Filipino entertainers and the Japanese-Filipino children (JFC). The lives of Filipino entertainers working in Japan to support their families were challenged by Japanese gangs who exploited them. They were deceived by Japanese mafia and were forced to comply as sexual workers. The author also depicted entangled relationships between Japanese and Filipinos (Gunji, 1991, 1996).

The challenged Filipino women turned to Japanese men who offered support and some degree of safety—at least temporarily—in their relationships. However, Filipino women finding solace in marrying Japanese men soon faced another threat of being abandoned by their Japanese suitors (Nihon Kodomo Kenri Center, 1998). Psychiatrist N. Kuwayama (1995), who authored the book International Marriage and Stress: Brides from Asia and Changing Japanese Families, identifies numerous factors causing psychological stress on Filipino wives in

the Yamagata prefecture in Japan, which has the highest rate of three generations of families living together.

According to Kuwayama (1995), Filipino wives in Japan face psychological difficulties arising out of cultural conflicts, misunderstandings, homesickness, education for children, and worrying about parents left behind in the Philippines because it is a custom in the Philippines to provide care for one's own parents (Varona, Saito, Takahashi, & Kai, 2006).

Most of the tens of thousands of JFC born to these couples were abandoned by their Japanese fathers. JFC are not the product of one-nightstand affairs (Matsui, 1998) but born after a few years of relationship between a Filipino woman and a Japanese man. A majority of Filipino entertainers enter into relationships with Japanese men, as their work provides temptations to be alone with their customers (Takayama, 2001).

Often the pregnant Filipinos return to the Philippines to bear the child. Some Japanese men cut off all relations immediately on learning about their Filipino partner getting pregnant, while others taper off interactions and disappear after visiting the women at home in the Philippines, communicating by phone or letter, and sending money (Matsui, 1998; Gunji, 1996).

According to L. Takayama, a Filipino married to a Japanese man and a former intern of PETA, the penchant of Japanese for pinays is a result of changing cultural norms in Japan and stronger Japanese women: "the Japanese women are getting stronger economically and are choosy about their men. So the men go to the bars and everybody there, particularly the Filipino entertainers, are so sweet and nice." She added that, "it is not easy to be involved with a local in Japan. The culture barrier and pressures from their families usually break relationships of Japanese men and Filipina women." She further states, "if there are offspring, they usually receive support from their Japanese fathers only for the first three years, then the support stops, and the father disappears" (Jvida, 2000).

Japanese men cutting off their relationships with Filipino women also escape their responsibilities as fathers, by depriving financial and emotional support to their children. No statistical data exist about the number of JFC, although estimates suggest that hundreds of children living in Manila and throughout the Philippines "were deserted" by their Japanese fathers (Matsui, 1998; Nihon Kodomo Kenri Center, 1998).

Furthermore, not many published journal articles except newspaper reports and NGO research articles have identified living conditions of JFC. Although most JFC reside in the Philippines as fatherless children, other family members, such as uncles, aunts, or grandparents assist them, which is the norm in a Filipino family (Jocano, 2002).

The lifestyles of JFC have not yet been explored in-depth. In some cases, the mothers return to Japan to work, leaving the children with their family in the Philippines; thus, the children are supported materially while being taken care of by relatives. This research focuses on the need to acknowledge the state of a "fatherless" JFC and on the underlying emotional support that only a father's presence can provide. Therefore, this study aims to explore reasons that led to the absence of Japanese fathers and how it affects the JFC's current situation and to conceptualize socioemotional factors at play in the their life.

2. Methods

The study only covers the current situations and socioemotional and economic problems of the JFC. This study used standard qualitative techniques in gathering field data through interviews in 2002. JFCs as well as NGO staff members were also interviewed by the researcher for case studies. Original names are changed to protect the privacy of the respondents.

3. Results

Based on the responses of respondents, several concepts and factors were identified and categorized. Raw verbal data about the (a) socioeconomic description of Japanese men involved in a relationship with Filipinos; (b) reasons that led to the absence of the Japanese fathers, such as refusal to be acknowledged as the father; (c) factors that led to divorce and/or separation; (d) factors that affected the lives of the JFC.

Factors affecting the absence of the Japanese father

a. Japanese men do not want to recognize their children outside of marriage

According to the NGO respondents, some Japanese men do not want to recognize their children for two primary reasons: legal and social. Legally recognizing their children through a family registration process could impact a Japanese man's inheritances, both received from their parents and what they will leave behind. As discussed earlier, many of the already-married Japanese men involved with Filipinos view recognizing their children from these unions as a public acceptance of their extramarital affairs, which could lead to them getting socially

ostracized.

b. Factors that may lead to separation and divorce

In addition, NGO staff members identified two factors that could cause difficulties in the Japanese–Filipino relationships, leading to separation and divorce. The socioeconomical factor involves the Filipino women enhancing financial security through marriage, although they came to Japan to support their families.

The difference in family structures between the two cultures brings in the sociocultural factor into play, leading to separation or divorce. The Filipinos continuing to work after marriage and sending money to their families back in the Philippines could lead to a strife in the relationship.

JFC's current situation and socioemotional factors

The five factors—financial problems, emotional problems, social struggles, education problems, and socioemotional issues—were identified as playing a significant role in the life of the JFC.

Financial issues in the family were quite often cited as playing a primary role. Differences in the levels of salaries between the two countries often make it difficult for Filipinos to find similar paying job once they return to the Philippines, in addition to the trouble of finding positions outside the entertainment industry. Filipino mothers often turn to the fathers for financial support because they cannot afford to raise their children on their own. Older children also assume part of the burden.

Emotional problems also play a role in the situation, both from perspective of the mother and the child. Mothers often suffer from psychological difficulties and feelings of abandonment. Mothers who express their frustration or disappointment about the fathers are often overheard by their children, who then mimic their mothers or assume the same outlook on their fathers.

Children also suffer their own emotional duress. The lack of a father figure can have serious effects on the child emotionally. Some mothers remarry, leading to emotional problems for the children, particularly if they are left with other relatives. One JF child sums up family life: "Just a broken family….I feel frustrated, I am not mad…I am sad because people say that my father is irresponsible."

Mothers and the JFC also struggle socially. Mothers may continue to work in clubs. Their lack of education makes it difficult for them to find other work. The family network can feel the impact of such struggles. "I have a different father, my sister has a different father, and my soon-to-be sister/brother (mother is pregnant) has a different father who we are now living with," said a 9-year-old JF child.

Lack of education on the part of the mother was repeatedly mentioned. NGO staff members indicated that pride often led to enhanced education for children, even when it strained finances: "There are many people with pride. Since they are working overseas, they put their children in to private schools. Even if the mother is economically strapped, money is used on education." The JFC also had difficulties in having friends and belonging to a group.

Finally, some JFC face numerous socioemotional issues, including acceptance with regards to ethnicity and at times their relation to two cultures can create a stigma. The JFC often do not relate to others in their environment because they have a different look: "…I don't really look like…they say it's my eyes…but I think it is not." The JFC may have to overcompensate to fit in: "I am so friendly so I never felt excluded by Filipinos."

The JFC also have mixed feelings toward their Japanese fathers. Although they may not have ever met their fathers, they feel a need to connect. One JF child stated that, "I don't know my father that much….I always bring a picture of him….I am planning to see him, I don't know in what way…let's just see…come what may….I am not mad, I just want to talk to him formally."

The JFC must also come to terms with their mixed heritage. They often associate their Japanese heritage with technology and high standards of education. Finally, the JFC may have unattainable or unrealistic hopes and wishes, including seeing their father, education in Japan, and their mothers being happy.

Cases

Kazu (4th grade) and Hiro (2nd grade). Kazu and Hiro's father is Japanese and their mother is a Filipino entertainer. Kazu is Japanese and Hiro is Filipino. The children lived under a bridge, supporting themselves by peddling, after they were deserted by their father. Then their finances improved to move them to a squatter area at a rent of 2000 pesos a month. The children are now studying on a scholarship from an NGO.

Robert. Robert is 11 years old. His father and mother lived together but never legally married (cohabitation). He and his mother live with his grandmother. The mother secured a loan for starting a business using the money she earned as an entertainer in Japan as capital. The father has agreed to pay 1 million yen over 5 years.

Joanna. Joanna is 9 years old and very responsible. She is also very intelligent. She can speak English well for her age. As her mother is pregnant, she is responsible for taking her younger half-sister to her play school. Joanna had a very secure childhood in the Philippines, which is evident in her positive response to being uprooted. Her only struggle is with her mother whom she wishes to be happy.

Mark. Mark is 15. He is the first of the four sons of a Japanese man and a Filipino, who is a singer in a Japanese club. His three brothers live in Japan. Mark was brought up in Philippines but moved to Japan (after a visit) as his father and mother decided that he should finish Japanese high school and then work in Japan. He does not enjoy Japan and does not have a good relationship with his family here. He does not know the Japanese language and culture and so communicates only with his mother at home. He is torn between two cultures. He likes dancing and was already dancing in TV programs in the Philippines. He verbalized that he wants to go home to his grandmother in the Philippines.

John. John is 12. He was adopted by his aunt, whom he refers to as his mother. His real mother is married to a Japanese man and has her own family. John said he likes school even if he does not understand most of it. John seems lonely, but in school he finds a lot to do and socializes with other children. He is intelligent, has strong memory, and follows directions by observing others. He seems to have had a secure childhood and attended a good school while in the Philippines.

4. Discussion and Recommendations

Children have simple dreams and are hopeful of what lies ahead. In the case of JFC, their innocence and youth are inevitably challenged by the circumstances that surround their birth, but such difficulties can be prevented if decisions are made by parents with the welfare of their child in mind.

This study has identified that JFC struggle as a result of sociocultural and economic differences between the two countries that influence individuals' lives and decisions. The union of two people from different cultures and nationalities, coupled with socioeconomic struggles and each individual's underlying reasons to unite (marriage/cohabitation), may also lead to their separation. Some economically struggling Japanese men in need of recognition and respect find them in Filipino entertainers working in Japanese clubs.

However, since the time frame for working as an entertainer is limited (Labor Attaché Atty. Reynaldo Regalado in "Straight from the shoulder," 2002), for financial security, getting married or having a child may be the only option for a Filipino woman to get a visa and gain freedom from the work agency.

The responses concerning factors that affect the JFC are quite remarkable. The study found that financial problems may affect the children, but they greatly affect mothers. Abandoned mothers often decide to return to Japan to work as an entertainer, leaving their children in the Philippines, to support not only their children but also their parents. This results in a weak mother–child relationship. Mothers staying back in Philippines are forced to take up job as an entertainer or get involved in a string of failing relationships, which leads to the child's social struggles.

Emotional problems affect both the mother and child greatly. Sadly, the mother's emotional problems, carried over to children, may persist in them well into their teens and beyond. Lack of father's love and having a broken family, which are two major stressors that can predispose a person to psychological illnesses or disorders, may also lead to undesirable behaviors in their children.

The responses of JFC also indicated mixed feelings of love and the need for their father—wanting to know him and feeling hurt that people say negative things about him.

Four socioemotional issues identified in this study are unique among JFC: ethnicity, mixed feelings, having a Japanese identity, and hopes and wishes.

Hatred of the father's abandonment is usually the normal reaction of children of any ethnicity, but in the case of JFC, it is the other way around. The child feels hurt if their father is portrayed badly. The JFC harbor the hope of seeing their fathers and reunite with them to embrace the Japanese culture and become a part of it. Limited number of respondents because of time constraint, the availability of respondents, and some sociocultural differences such as language barrier may have impacted the results of this study. Future research should include more number of respondents as well as a longitudinal study with JFC with further exploration of their socioemotional factors.

5. Conclusion

Children, regardless of race and nationality, have the same need for a whole and complete family. JFC's socioemotional factors identified in this study are quite unique, including their perception of having a different

ethnicity, retaining some degree of love, and the need to see their fathers instead harboring hatred and anger toward them. Despite the father's abandonment, JFC still feel proud of their Japanese culture, as it is associated with advanced technology and education standards in Japan. Finally, JFC feel that they belong to two cultural groups; they consider knowing and belonging to both to be their destiny.

References

Gunji, S. (1991). *Economic Animal Nihonijn no Wasuremono Aisarenai Nippi Konketuji tachi* (Economic animal: Matters that the Japanese forget—the unloved Japanese–Filipina children). Tokyo, Japan: Bungeisyunjyusya.

Gunji, S. (1996). *Japiino Wasurerareta Nippi Konketuji Tachi* (Japyno: Forgotten Japanese- Filipina children). Tokyo, Japan: Koudansya.

Japanese Ministry of Health and Welfare. (2000). *Statistical abstracts on health and welfare in Japan.* City, Country of publication: Statistics and Information Department.

Jocano, F.L. (2002). *Filipina social organization*. Quezon City, Philippines: Punlad Research House, Inc.

Jvida, S. (2000). A deep sense of shame. Japanese volunteers come to aid of Japayukis. [Online] Available: http://www.codewan.com.ph/CyberDyary./features/f2000_0627_02.htm (February 1, 2003)

Kuwayama, N. (1995). *Kokusai Kekkon to Storesu. Ajia kara no Hanayome to Henyousuru Nippon no Kazoku* (International marriage and stress: Brides from Asia and changing Japanese families). Tokyo, Japan: Akashisyoten.

Matsui, Y. (1998). *Nihon no otousan ni aitai. Nippi konketsuji ha ima* (I want to meet my Japanese father. Present situation of Japanese-Filipino Children). Tokyo, Japan: Iwanamisyoten.

Nihon Kodomo Kenri Center. (1998). *Nippi Kokusaiji no Jinken to Nihon. Mirai ha Kaerareru* (Human rights of Japanese-Filipina children and Japan: We can change our future). Tokyo, Japan: Akashisyoten.

Philippines Today. (2002). Straight from the shoulder: A candid interview with Labor Attaché Atty. *Reynaldo Regalado* (September Issue).

Takayama, L. (2001). Former Intern of Philippine Education Association in Cyberdyaryo 2001. [Online] Available: www.homepage.com (February 1, 2003)

Varona, R., Saito, T., Takahashi, M., & Kai, I. (2006). Caregiving in the Philippines: A Quantitative Study of Adult-Child Caregivers' Perceptions of Burden, Stressors, and Social Support. *Archives of Gerontology and Geriatrics*, 45, 27-41. doi:10.1016/j.archger.2006.07.007, http://dx.doi.org/10.1016/j.archger.2006.07.007

Yeoh, B. S. A., Graham, E., & Boyle, P. J. (2002). Migration and family relations in the Asia Pacific region. *Asian and Pacific Migration Journal*, 11(1), 1–12.

The Problems and Solutions to the Building of the New-type Rural Cooperative Medical Workforce

Lidan Wang, Yu Zhang, Yahui Zhang, Yayun Yu, Leilei Liu & Chunyan Mo

Management School, Wuhan University of Science and Technology

Wuhan 430081, China

E-mail:1044686958@qq.com

Abstract

In order to improve the rural medical conditions, China has started to try a new policy ---- New-type Rural Cooperative Medical Insurance from July, 2003, which has greatly improved rural medical facilities and alleviated the burden of the rural medical treatment. Rural health care reform has made great achievements. However, research shows that there are still some aspects which are worthy of attention and improvement. Focusing on the collection, collation and research of the survey data, we have found some relatively urgent issues, particularly on the medical team-building, such as an aging medical staff term; what's more, the quality of the medical staff issues should be improved. From the perspective of the doctors, we are analyzing and proposing solutions to these issues. It is significant for the sustainable development of the New-type Rural Cooperative Medical Insurance.

Keywords: New-type rural cooperative medical insurance service policy, Medical team, Development

Since piloted in July, 2003, New-type rural cooperative medical service policies have already been implemented for seven years; it has received initial success in the basic level in the country and has been praised widely. On one hand, China is trying to form a pattern of resource allocation that "Attaches importance to the countryside for medical and health work". On the other hand, our country is combining it with building the three levels of public hygiene and medical service network, and establishing the new-type rural cooperative medical service construction, implementing the medical team that is relying on rural communities, such as rural doctor teams. From the current situation, the farmers obviously have got the benefits to see doctors and to get medicine. The whole new-type cooperative medical service system has been well received and welcomed. But during our research, we found a central question which is extant and needed to be solved: the construction and development issues of the rural cooperative medical and health team.

New-type rural cooperative medical service system is a national policy that brings benefits to both people and our country. It needs healthy and stable developments. However, without a solid medical team to support it, it would eventually be lost and lacking of sustainability.

1. The present situation of the cooperative medical service staff

1.1 The formation of the cooperative medical service team

The rural doctors were born in the 1950s and 1960s, it was so-called "Barefoot Doctor". After the founding of the Peoples Republic of China (PRC), because of the poor conditions of the medical and health factors in the countryside, all types of diseases were widely spread. In serious shortage of medical cases, according to Chairman Mao's "626 indication", that is "Attach importance to the countryside for the medical and health work". Government departments began paying much more attention to the health and medical fields in the countryside and snatched from the basic level. Thus, in order to solve the shortage of medical workers, and improve the poor medical and health services condition, the country and district health bureau set up classes and began to recruit not off-job farmers and the "half doctor and half farmer". Since then, the community began to train peasants to be doctors and not off-job medical workers. After the training, they would take an exam, and the one who passed the exam would take the occupation of "rural doctor", while others would be called rural health workers. As the magazine called "Red Flag" published a report that is entitled as "The direction of the medical education revolution based on the growth of the barefoot doctor", which was reproduced in other newspapers in September 1968, the title, barefoot doctor, was well known to everyone in China. In 1977, 85% of the production

brigade had carried out Rural Cooperative Medical Insurance, the number of barefoot doctors were more than 150 million. In the 1980s, the cooperative medical service system was broken off; barefoot doctors became individual doctors and got obligations to look after the people who lived in the countryside .They began working at the basic level in rural areas. With the economic situation continuously developing, constantly improving of health conditions, it gradually formed a structure of one clinic one doctor per village. Combined Chinese medical means with western medical treatment, the level of the standard of the rural medical service had been greatly improved.

1.2 The contribution of the medical team

At the beginning, early barefoot doctors wrote an instruction manual for the guidance of health officers. Up to now, barefoot doctors have made great contributions to the new-type rural cooperative medical Insurance. In the 1950s and 1960s, those barefoot doctors took on the healthcare and took charge of anti-epidemic work. It was the contribution provided by these barefoot doctors that guaranteed rural people's basic medical treatment were stable in the situation that our economy was continuing to develop and people's living standard were falling behind. In the 1960s, China implemented the rural cooperative medical service system for the first time; it had been positively responded to by barefoot doctors. They had done a lot of work on health education, prevention and curing. Barefoot doctors were with highly enthused to serve the people all over the countryside, and they put prevention first and fought in the rural health, sanitation, epidemic prevention at the ground floor level of the three-level health care system for the prevention and cure of all types of infectious diseases, controlling of communicable diseases and endemics of many infectious diseases. They had successfully controlled epidemic encephalitis, measles and especially the spinal cord which had been sighted in the past decades.

Since the new-type rural cooperative medical service policies were implemented, under the direction of the government and the joint efforts of rural doctors, China currently has established a medical system network that nearly covers all of the countryside. It facilitates the peasants to see doctors, particularly for villagers who lived long away from hospital, and now they can go to the clinics for treatment, whenever. Meanwhile, the rural doctors responded to new-type rural cooperative medical service policy positively, and part of the village clinics' construction had been standardized. The medical equipment had been increased, the hardware had been improved, and the overall medical levels have been improved. Under relatively advanced equipment and sophisticated technologies', rural doctors provided professional medical examinations and treatment for the farmers and conducted follow-ups. The farmers' basic health care has been further protected. In short, during the implementation of the new-type rural cooperative medical service, under the joint efforts of the rural doctors, the burden of the villagers who take part in the new-type rural cooperative medical service policy has been relieved, the state of the treatment has been improved. They are playing an important role in promoting the economic and social development.

1.3 The structure of the medical team

The doctors in the new-type rural cooperative medical team consist of traditional rural coordinative medical and health treated barefoot doctors. They have been in the medical profession for many years and have built up the relevant medical work experience and knowledge.

1.3.1 The age of a medical team

Among the medical team, the sex ratio is fair balanced, but the overall age is trending to be much older. 44.4% of rural doctors' age is above 60, while 33.3 % is remaining between 50 and 59.The rest is distributed in 30 years to 49 years old, and the average age of the whole rural doctors has reached 56.8 years old.

1.3.2 The education level of a medical team

As more medical staff evolved from the barefoot doctors, most of them were lack of high education. According to our team in the Jiangxia district, Wuhan, the survey statistics showed that 50% of rural doctors were of technical education, and 10% accepted high school education, while the remaining 40% had only junior education. Nationally, the ratio of the health workers who work in rural hospitals had a junior college degree or above the education was less than 23%.

1.3.3 Vocational education condition of the medical team

The barefoot doctors should get the certificates to become the new-type rural cooperative medical service staff, among which, there were 33.3% who had received continuing education (assistant) doctor's certificate. According to the China Health Statistics Yearbook, about 60,000 of the general range medical practitioners practicing (assistant) doctors, only 3.5% of the total practicing (assistant) doctors.

1.3.4 Professional training of the medical team

In the clinics which were researched, the rural doctors worked in the medical field average age was about 32 years old, and to obtain the relative titles on average 21 years. Meanwhile, these rural doctors would receive the relevant professional training, an average of 2.35 times per year.

1.4 The development of the medical team

Since 1950s, barefoot doctors have been the solid team which supported the primary caring, and they are also the pioneer and main force of the rural cooperative medical caring treatment. For now, barefoot doctors are still the main make up of the medicine care team. They are regarded as the foreign health care physicians, providing people with 24-hour, real-time personal medical services. According to our investigation, the rural doctors in Jiangxia district, Wuhan, take the same important role so whether there are enough and continuous human resources to fill the job vacancy decide the whole rural medicine care' development.

2. The problems to the building of the new-type rural cooperative medical workforce

2.1 The serious ageing of the medical treatment team members

2.1.1 Hardship of <u>one doctor one village</u> (a doctor in a village)

According to the data, the average age of the new-type rural cooperative medical treatment's fixed decimal staffs is 56.8 years old. Thus, the age of medical treatment team members are over sizing, and this condition may have an influence on the effectiveness of the new-type rural cooperative medical treatment' implementation. With the growth of the age, confined by the self-physical condition and the limitation of the medical knowledge, the ageing term will have influenced the sustainable practice of the medicine development. The existing villages almost have one clinic and one doctor. According to the research, among the existing rural doctors, 60 percent are barefoot doctors They are committed to the service of the substratum medicine .However, as they facing departure, the energy is limited. If the problem of successors were not assured, in that way, "one village one doctor" would not be effectively ensured in return.

2.1.2 The hardship of adapting development

The aging of the village doctor made themselves adapting development hard. It is mainly reflected in the following aspects:

2.1.2.1 The process of Modern Normalization is faster; the ability of accepting new things for rural doctors is lack of initiative and validity

To facilitate the concrete implementation of the new rural cooperative medical system at the grassroots level and the management of the cyber-networking medicine normalization, the state-designated new rural cooperative medical clinic must be equipped with computers and other related electronic equipment.These setouts are used to helping rural doctors effectively finish their work, such as the registration of the routine treatment work and treatment charges reporting. To some extent, whether rural doctors can effectively and skillful settle the Internet health care information using the electronic equipment decides the quality of the implement of the new rural cooperative medical system in the substratum.

According to our research, 40 percent of the rural doctors can skillfully handling the related information among the rural doctors , and the other 20 percent shows that they can handle the computers but not adept, and others show they even can't use computers, so they have to ask other people for help.

Due to the condition that the people in the village clinics are made up of rural doctors of older generation, they were born in the fifties and sixties last century, and have the common characters: convincing the traditional culture, having the commitment spirit, conservative ideas, weakness in accepting new things. With the growth of the age, the physiological problem that they are facing will be more protruding, including hearing and seeing weak and other factors, make them hard to handle the equipments. At the same time, most of the local government and health care institutions provide little related network technology training for rural doctors. Thus, they have to rely entirely on independent self-study, which resulted in the variations of their electronic devices operation level and cause the adequate quality of the work can not be guaranteed. The fact reflects that though related information equipment can be popularized in the basic level in theory, but the limitation of rural doctors' accepting the ability add constraints on it. Nowadays, informationlized time, the learning and operating ability can not keep pace with the new century development. Their experience and using of technology are so deficient that they are passively accepting new technology effectively.

2.1.2.2 More series of new-type diseases, rural doctors' medical ability reach bottleneck

At the beginning of the 20th century, SARS broke out. This disease caused high attention among both the party and government. The central and local government both mobilized people, "starting the battle against SARS immediately". As the main body of the basic health services at the grassroots level, rural doctors carried out the defense work in the substratum. At that time, people were lacking knowledge of new-type diseases and did not have effective prevention or cure measures, so did the rural doctors. In the view of the happen of the working bottleneck---weakness of dealing with unexpected situation, lacking knowledge of defending, personal defending measures not enough and the delay after getting the order from higher-ups, there are great challenges for rural doctors' working ability.

Nay, in recent years, due to the deterioration of the environment and climate, various zymosis infectious diseases and bird flu broke out. Also, nameless bacterium and virus are common occurrences, which are unpredictable and ferocious spread in a large range; whether rural doctors can manage the complex situation is a question.

2.1.2.3 New drug's coming out is going to be extremely intense, facing the difficulty of using and acquainting pesticide effect

With the areas expanding of medicine, new medicine's research and development have had became the areas that many company pay more attention to. In order to capture market and get the core competence, medical company's competence is going to be extremely intense. Some medicine has the same name but maybe from a different production area and the functions of the medicine are also different. The various medicines make the selling channel various, though the new-type rural cooperative medical treatment's fixed decimal medicine buying channel is single in theory, whether the buying channel is controllable, whether the rural doctors can appropriately use new various medicine to cure patients, are still problems. These problems will bring big challenges for rural doctors to distinguish the function of the medicine and medicine itself.

2.2 The medical teams' quality need to be improved

2.2.1 Education

Rural doctors' education level and their successors' education level have a direct influence on the quality of the new-type rural cooperative medical treatment. Among the doctors, about half are junior high school educational background; others are high school and technical secondary school. 56.7 percent don't have the qualification to have the exam to be a medical assistant, so we can distinguish, these rural doctors' educational level are relatively low. Nowadays, the doctors in medium size and small cities are graduated at technical secondary school at the minimum. By contrast, rural doctors' education falls far behind that of the doctors in the cities. Of course, we can't deny older generation barefoot doctors' medical level based on rich experience, but in the fast developing and information renewing times, just depending on the experience can not keep pace with the fast growth of the times.

2.2.2 Professional education

Compared with the continuous improvement of hardware conditions, Chinese new-type rural cooperative medical treatment staffs' "software" building is relatively weak; especially their professional education is lagging behind. On the basis of having the practice medicine qualification certificate, only one-third of the rural doctors passed the National Certified (Assistant), MD card, general medical practitioners (assistant) doctors are less and less. Among them, traditional Chinese general practice assistant surgeon is deficient. However, with the intensifying of the urbanization and the industrialization of our country, economic globalization, aging of population, the needs of the countryman to have high quality treatment are becoming higher and higher, having the higher demand for our medical teams, however, the deficient professional education is becoming the bottleneck of the new-type rural cooperative medical treatment. In fact, when farmers get sick, they are worried to come to the village clinic, but go to the province or city clinics, where they provide prevention, care, diagnosis, treatment, rehabilitation, health management integration of professional treatment and services. At this point, fostering high quality doctors have become very urgent task now.

2.2.3 Professional training

According to the 31st in the chapter four of "Supervisory regulations for countryside medical practice," the provincial government, autonomous region and Municipalities organize and formulate the training plan of rural doctors, making sure the rural doctors at least receive one training every two years." During the interviewing of our group, we got the situation that the average training times organized by the local governments achieved about 2.35. And every training time is two to three days to ten days or half month. During the training, the government always arranges the students of the medical school to train the rural doctors, and the training content

is about some medical professional skills. From the reflecting of some rural doctors, the training always skimping and the content is barren. And medical is a great event about the lives of people, so the training of the rural doctors should pay more attention.

2.3 Needs improving for the welfare of the medical teams

The welfare security problem of rural doctors has always been the focus of discussion. In public, the voice about improving the benefits of the rural doctors is becoming stronger. We compared rural doctors with teachers at the same level in rights and liabilities as well as welfare and remuneration. the average monthly income of the pointed New-type Rural Cooperative Medical treatment clinics' staffs is only ¥1,230, yet which is almost the single source of income. From its comparison with average operating capital per capita in the investigation---¥23.300, we can know the pressure of medical staffs. At the same time, Facilities subsidy of our government only benefit the clinic up to the standard, and the so-called subsidy is only limited to the bed, table, chairs, medicine and other simple equipments of disposable input. Other hardware facilities in clinics, such as housing, utilities and related working capital to buy drugs from the clinics are all responsible for personal commitment, which brought a big stress to rural doctors.

Since the implementation of New-type Rural Cooperative Medical treatment, according to the general reflection of medical staffs, the workload of medical doctors increases sharply: not only to complete the daily medical work but also the regular follow-up visit about the health conditions, from which the difficulty is countless, such as the communication barriers with the mentally ill patient. What's more, in New-type Rural Cooperative Medical treatment, the responsibility of medical accidents during common treatment is taken by medical personnel according to law? It was difficult for them to adapt because of the heavy work responsibilities and the risk of invisible pressure, besides, income returns and their responsibilities were very asymmetric, which leads people's satisfaction about the position of rural doctors get lower and lower.

In the aspect of attention and investment of government, rural medical fields do not get enough welfare security and proper attention compared to the cultural and educational profession. According to article 25 in Teaching Law in China, the average wage shall not be less than or should over than the average salary for national civil servants, and gradually raise, and establish a normal qualified for a higher wage system. According to Article 31, governments at each level shall adopt measures to improve the state and collective wage subsidies for the teachers working for primary and secondary school, Achieving equal pay for equal work of teachers in the equal level gradually. In contrast, the old rural doctors who had worked together with the teachers, they do not get regular pay and benefits of subsidies. However, they devote their whole life to medical profession with basically no holidays. After retiring, these medical workers also failed to get neither any social welfare safeguard, nor any system that feedbacks their sacrifice and preserves their rights and interests. All sorts of unfair treatment caused great distress to their elderly life. As a result, the rural doctors have to insist doing diagnoses from dawn to dusk.

As the diversification of modern society occupation, the employment has increased greatly. In the environment that the modern market mechanism is becoming gradually sound, the inheritance issue of rural medical clinic causes great concerns. Adjusting of both the welfare and remuneration and the proportion of rights and liabilities is extremely urgent.

2.4 The development of the medical team is relatively difficult

As mentioned before, the barefoot doctors are still right responsible to support rural medical system. Until 1977, the number of barefoot doctors had once reached 1.5 million, and up to 2008, the staff worked for village clinic had got 1.058 million. Meanwhile, a large number of medical university graduates step into the medical profession every year. However, the medical team still hasn't got enough "new blood", and sustains the original power; which needs to assimilate more persons of ability.

The investigation reflects the reality that most medical university graduates will not choose to work in poor or remote villages. This phenomenon is widespread, and the reason is also apparent. To some extent, the difference of the medical supplies and worker's treatment between city and country affects their employment choices. In cities, people tend to have good living conditions, allocation of public facilities, and more employment opportunities, which are attracting spacious graduates. The ultimate reason is the unbalanced situation among urban and rural development .But from a more direct level, the poor treatment of rural medical workers directly contribute to this issue.

The facilities in village clinic are at low level, and the clinic doesn't have perfect medical places .Besides, the low profit also cause little and little graduates to devote themselves to the rural medical career. In some clinics we find that some workers are the offspring of the barefoot doctors, these people in the village usually enjoy

some reputation, but their medical ability is just so-so. Now, the older generation of the barefoot doctors have been almost in their fifties to sixties, the issue that there is whether a new batch of successor to replace them in five to ten years and whether any medical staffs to participate continually into this team in the future development process is related to the whole rural medical health system development.

3. Countermeasures of developing the rural cooperative medical treatment teams

3.1 Improving the service capability

Aimed to fulfilling the increased need for the professional knowledge of basic-level medical officers, it is necessary to strengthen the continuous education to the basic-level staffs. We suggest developing a long-term and effective training system, which is introduced as follows:

3.1.1 To dispatch the rural doctors in fixed days to counties or cities to have the professional courses and renew the knowledge, as well as the training about the technology, we can have a training every 3 months, a summary half a year, or an assessment annually.

3.1.2 To encourage the doctors in counties and cities to go to countries to communicate with the rural doctors about the professional technique in groups and cooperate with each others, which can carry out some activities in fixed days to exchange their experience, introduce the advanced ideas about the medical treatment, and at the same time, also bring inspiration to the medical mechanism in the county or city. In the cooperation, the rural doctors' ability is also improved and their horizon can be also opened.

3.1.3 There should be some related policies in related local governments and hospitals to ensure that these strategies work effectively. It can be contractual, which means that they can conduct a contract with the medical officers who are ready to go to countries. The contract should define when and where to go, as well as the responsibilities, and promise that during the period, the salary and welfare level should stay the same. What's more, it should not have a negative effect on the promotion in the future. We believe that there must be a lot of medical officers willing to take part in such a meaningful activity. Of course, it is indispensable to give an award and praise the medical officers. Over a long period of time, it can not only introduce talents to the village clinics to improve the medical treatment level, but also accelerate the development of the social graciousness about solidarity and mutual assisting, which can kill two birds with one stone.

Only through the scientific and systematic learning pattern can 'reproduce' large number of highly-qualified medical staffs and satisfy the villagers' increasing need which is willing to accept the advanced medical treatment. Meanwhile, only through the scientific and systematic learning pattern unsteadying of the traditional experience-passing on pattern can guarantee the sustainable development of the new-type rural cooperative medical treatment, and also ensure the continuous improving of the rural medical workforce's service capability.

3.2 Introducing talents through various channels

3.2.1 To improve the training system of the rural doctors

Aimed at the problem that the rural doctors mostly have under-average education, the government should attach importance to the rural doctors' training and perfect their training system. In practice, it can reinforce the building of the rural medical staffs through the method which to transplant the free training policies from the normal students to the rural doctors.

3.2.1.1 The practicable measures are as below

To set up some pointed medical universities to enroll the outstanding high-school graduates from the society, and encourage them to select the medical major of training for specific posts. Then after graduate, they come back where they came from to work for the village medical service.

3.2.1.2 The undergraduates who select the medical major of training for specific posts should sign the contract "Agreement on the free education for rural doctors", which must be performed strictly by the provincial-level administrative departments, the pointed subordinate medical universities and the graduates from the medical major of training for specific posts. The provincial-level administrative departments of the medical treatment are responsible for the employment of the undergraduates from the medical major of training for specific posts in its own administrative area, and ensure the policies are carried out so that the graduates can be a member of the medical staffs. In the meantime, they should establish the files about the good faith, and the records which are about breaking the contract public and record them into the files of the human affairs. In addition, they are also responsible for the management about the treaty giving-back and the penalty.

3.2.1.3 Admitting the Apprenticeship Mode, cultivating younger generation for the new-type rural cooperative medical treatment

Aimed at the situation lack of rural doctors and aging of them, developing the Apprenticeship Mode is the most economical and the easiest way to cultivate the younger generation for the new-type rural cooperative medical treatment. The government promulgates the related policies, admitting and encouraging the old rural doctors to conduct the apprentices by themselves, and establishing the specialized assessment system to exam the apprentices' ability to work, and then to get the qualification certificate to take over the clinics. The Apprenticeship Mode stems from the ancient China and people are quite familiar with it. There is no need taking specialized propagating training and needs less capital. Taking these factors into consideration, the Apprenticeship Mode is an excellent solution to solving lack of rural doctors. What's more, with the promulgation of this mode, it can also partly settle the juveniles' unemployment.

3.3 Improving the rural doctors' treatment and welfare

In order to solve the problems caused by the unbalanced development between the cities and countries, it is essential to improve the working condition in the village clinics, the welfare and status of the medical staffs in order to stabilize the medical staffs.

3.3.1 Reducing the working burden of the rural doctors

The related local departments should enhance the assisting and management measures and disperses part of follow-up visits to the local family planning office and village office to reduce the working burden of the rural doctors, also, improve the quality of the follow-up visits. Furthermore, in order to stimulate the officers' passion and the working quality, there should be some extra award for the rural doctors who put on the duty of follow-up visits, for example, to give them extra allowance and the specific training, etc.

3.3.2 Bring rural doctors into career preparation to make sure the supporting when they are getting older

The government should provide rural doctors with much more favorable treatment and social status. It can bring rural medical officers into the nation's formal health workforce and into career preparation to reduce the differences between the teaching workforces with them gradually. For instance, the level of income should be equal to that of the local business units' workforce to guarantee their income for the daily life and also, the allowance for the holidays. What's more, it is a good idea to hold some community activities to enrich the medical workforces' spare time. In addition, it is indispensable to strengthen and improve the welfare when the rural medical workforces are retired; it is a wise way to bring the rural doctors' treatment into the government budget to make sure the supporting when they are getting older.

3.4 Enhancing the building of rural medical workforce, and increasing the assessment and stimulation policies

During the process of implementation of the new-type rural cooperative medical treatment, a large number of the medical teams are the core strength. Therefore, enhancing the building of rural medical workforce is of great urgency.

3.4.1 Establishing the promotion system

Establishing related promotion system is a meaningful method of stimulating the rural medical workforces' passion to take part in the training and autonomous learning. It can also encourage the people who had high-level education to accept the basic-level work and make a contribution to the rural medical treatment.

3.4.2 Organizing the activity of changing quarters

The government can arrange the medical staffs both in cities and in countries to join in the activities of relieving guard, which could enhance their communication about the medical technology and skills. It also does much good to their medical system because of the added new inspiration.

3.4.3 Setting up the medical award and fund for scientific research

The up-setter can be government or the social Commonweal or Charity Organization to set up the medical award and fund for scientific research for the innovation or breakthrough on the medical technology. In this way, it can encourage the rural medical staffs to innovate and attract medical staffs who work in cities to conduct researches in countries. And finally, it brings the rapid development of rural medical treatment.

4. Final conclusion

The new-type rural cooperative medical teams are the base of the new-type rural cooperative medical treatment system, as the dominant force which pays an immeasurable role. Only through enhancing the building and supporting of the medical staffs and improving their wholly capability, can sustain the medical mechanism at the

present stage. Although we are quite far away from the expected situation, we believe that the difficulties in the process would be settled completely as such a benefiting policy is getting mature. And also, it can improve the service capability of the basic-level medical service mechanism gradually, and set up a dynamic base-level medical system and personnel mechanism for rural medical staff, which will finally grow up into a virtuous circle of the medical treatment system.

References

Experiments about New-type rural cooperative medical treatment assessment making group. (2006). *The developing China's new-type rural cooperative medical treatment- report of New-type rural cooperative medical treatment pilot assessment program*. Beijing: People's Press.

Health bureau information network in Jiangxia region. (2009). Wuhan. Jiangxia's New-type rural cooperative medical treatment clinics pilot program plan as a whole project.

History and status quo of rural medical, health economics, economics sub discipline, china economic network, and economic forum.

National development and reform commission, People's Republic of china. (2010). Suggestion regarding to enhancing the building of the rural medical workforce.

Sino-Japanese Cooperation Anhui province primary health care technology training project office. (2004). *The new-type rural cooperative medical care and primary health care*. Hefei University of Technology in Anhui.

Xu, Songnan. New-type rural cooperative medical treatment pilot program of E Zhou city in Hubei province. People's New-type rural cooperative medical treatment daily online.

Israeli Academe's Social Role in the Post–Modern Era: A Case Study of the Open University's "Russia Project"

Dr. Nitza Davidovitch

Academic Assessment and Development, Ariel University Center of Samaria

Ariel, 40700 Israel

E-mail: d.nitza@ariel.ac.il

Prof. Elazar Leshem

Department of Social Work, Ariel University Center of Samaria

Ariel, 40700 Israel

Abstract

The academe and its missions have experienced a series of changes and revolutions over the centuries of its existence. Social, economic, political, and technological changes have left their mark on the academe's distinct missions: professional training, promotion of national goals, research, teaching, moral education, and community service. Different missions at different periods of time reflect the dynamics and changing interactions of the academe and its environment. In Israel, despite its young age, the declared missions of the academe have been an object of change: from higher education for its own sake to professional training; from higher education viewed as a goal, to higher education viewed as a means; from education for the sake of education, exploration, and discovery, to technological studies and applied science; from an appreciation of excellence, to equality for all. Despite these changes, community service is one mission that has consistently been an integral part of the landscape of higher education. The instrumental role of higher education in Israel in the progress of Israeli society is planted deep in the history of the Zionist vision. Although it seems that this mission is sometimes forgotten by the Israeli academe, it continues to beat in the heart of the academe, not as a separate strand but rather an integral part of academic activities. In this paper, we present Israel Open University's Russia Project as an exemplar of academic activities in and for the community. The Russia Project is an educational setting that allows any individual entitled under the Law of Return to study in an Open University program at no charge.

Keywords: Mission, Community service, Judaism studies, FSU

Introduction

The modern university was founded on the value of "Lernfreiheit," a German concept that reflects academic freedom ("learning liberty"), and the individual's liberty to study and conduct research according to his own wishes. The German concept, which distinguishes research for research's sake, was quickly adopted and became a standard in the Western world by the mid–twentieth century (Stallmann, 2002).

Over the years, the status of the academe has changed, as have attitudes to its products, based on the role and position of the economy, the nation, and religion in social existence. Initially it was the transition to a capitalism economy, and subsequently to a capitalist society, which had a deep impact on the status and conception of universities. These institutions, which resiliently withstood external events for decades, slowly became a subject of examination and were required to provide an account of their operations. Specifically, interest in the quality of higher education expanded significantly (Worthington, & Hodgson, 2005). The "ivory tower" which was previously free to operate according to its own standards, was now required to define its activities in measurable terms that were amenable to quality control (King, 2007; King, Griffiths, & Williams, 2007).

In the wake of these changes, there has been a growing attempt to define the role of the academe and its quality (Blackmur, 2004; Lieven & Martin, 2006). Quality, in its general form, is a broad concept, which is defined differently by different individuals (Harvey & Knight, 1996). In the context of higher education, its complexity is all the greater due to the presence of numerous stakeholders (Menon, 2003). In their article entitled "Defining

Quality," Harvey and Green (1993) present a broad range of definitions for quality in higher education. According to one of the definitions, quality is the extent to which an academic institution fulfills its declared mission. This definition considers quality to be a subjective issue, which constitutes a product of the degree of congruence between the mission imposed on academic institutions and its realization.

However, in the second half of the twentieth century, a demand arose of the academe to reallocate its resources and participate in technological transfer and knowledge assimilation to meet the needs of modern society (Clark, 1983). The academe was required not merely to create theoretical knowledge, but to apply it to concrete goals, in the form of "organizing knowledge for action" (Baker, 1983, p. 7). After having experienced various transformations affecting the university's tasks over the years of its existence — the teaching model, the teaching–research–service community, the dual research–teaching model — the academic community began to contemplate a return to earlier roles: a combination of teaching, research, and community service (Seaberry & Davis, 1997).

Post–modern society is a "knowledge society" that has made the balance between research and teaching in higher education ever more complicated by adding a third dimension – community service (Austin & Gamson, 1983). In the present, this concept developed into the tripartite model known as the "metropolitan university". Bonner (cited in Seaberry & Davis, 1997) described it as not merely a university located in a city but also of the city, with an obligation to meet the diverse needs of the city's population. In his view, the university is a center of research and intellectual leadership, which uses the city as its laboratory, clinic, and workshop. It offers people of all social classes access to higher education and attends to the community in a manner that allows it to maintain contact with its mission and its conscience.

By bringing the academe closer to the community, this approach shatters the "ivory tower" image that was until recently attributed to research institutions (Schechter, 2006). In contrast to teaching and research, the service element tends to be more vague, and its boundaries more blurred (Boice, 2000; Fear & Sandmann, 1995). Its position is not clear, both on campus and off campus, and it has been likened to "the shortest leg of a three–legged stool (Boyer & Lewis, 1985). Indeed, the indeterminate nature of its mission raises the question of the nature of the community service that the academe should assume. Where does it begin, and where does it end? Does it refer to services on campus, or services off campus? It seems that of all three aspects of the academe's mission, the community service mission is the least comprehensible to academic faculty (Boice, 2000).

Ward (2003) argues that the community service role may be clarified by dividing it into internal and external services. Internal services refer to activities designed to reinforce ties within a disciplinary field, such as participation in conferences and committees, writing reviews for journals, and advising groups of students. Such service activities to the discipline and to the campus are the hidden curriculum of the academe. External services refer to services used by the institution as a means to communicate with the public outside the academe. External services may take various forms, including consulting, teaching, civic and community activities. The common ground of all these aspects is that they occur outside the context of the campus.

In this paper we focus on a unique community service project that is conducted by a university in Israel (the Open University) in the name of broader values that encompass Israeli society   and the Jewish society in the Diaspora.

The Unique Role of the Academe in Israel – Academe in the Service of Society

Israel – the state of the Jews – was established and developed on the basis of the Zionist vision. In his volume "The State of the Jews," Benjamin Zeev Herzl outlined a detailed plan for the establishment of a Jewish state. The entire plan was fundamentally simple – sovereignty would be granted in some territory on earth to provide the justified needs of our nation: "We will take care of all the rest ourselves…" (1978, p. 21). "All the rest" included, among other things, the establishment of higher education institutions. In his detailed vision, Herzl considered the academe as a nation–building instrument, and assigned it a special role in the realization of Zionism.

The Zionist Movement that Herzl led adopted this approach when it gave scientific research a central role in the Zionist revolution. In the First Zionist Congress, Professor Zvi Herman Shapira presented his program, "A Letter to the Future," a discussion on the establishment of a research university in the Land of Israel (Yurtner, 1999). The First Zionist Congress, which convened in 1897 almost fifty years before the establishment of the State, supported an integral connection between the establishment of higher education institutions in Israel and the realization of the Zionist dream. In 1918, at the cornerstone ceremony of the Hebrew University of Jerusalem, Chaim Weizmann stated, "The Jewish nation was aware that only by developing its spiritual attributes would we be able to realize our material needs" (ibid, p. 51).

The first two academic institutions in Israel (the Technion and the Hebrew University of Jerusalem) were established 23 years before the State gained independence. For the pioneers, the establishment of these institutions represented roots in Israel, roots that were designed to blossom into the flowering tree of the State of Israel. The role assigned to the Hebrew University of Jerusalem in the Zionist Movement may explain the Zionist significance that the pioneers attributed to higher education. More than the universities came to meet the practical needs of the settlement in Israel, they were designed to play a role in the revival of the Jewish spirit and to serve as the focus of the study of Judaism sciences in the national–spiritual center of the Jewish nation (Iram, 1978).

Thinkers such as Weizmann and Buber considered the establishment of the Hebrew University a manifestation of Ehad Ha'am's program: the establishment of a world center of Jewish science and research. Realization of society's economic and political goals, and the educational needs of individuals in the future society were considered subordinate to the major goal of creating a center of science and research in the Humboltdian tradition, in the spirit of Ehad Ha'am.

The history of the Hebrew University largely reflects the sources of higher education in Israel. The institution was established by the Zionist Movement, and served as a symbol of national revival in the Land of Israel. The establishment of the university was accompanied by tension between the research character and the national orientation of the Hebrew University (Hed & Katz, 1978). Ever since the establishment of the institution was envisioned by Jewish circles in the 1870s, it was afflicted with another source of tension between a general Jewish orientation and a Zionist organization, tension between caring for the needs of the Jewish people and caring for the needs of the Jewish settlement in Israel. It has been argued that the Hebrew University was not a catalyst for the national movement, and played no focal role in creating a national culture. Contrasting these arguments is a body of research literature which demonstrates the centrality of national considerations in the election of the circles and individuals known as the "Rishonim". Rather than an expression of a Zionist version of Jewish nationalism, others viewed it as a Jewish institution of higher learning. This dimension was, in the eyes of Jabotinsky and others, an additional motive to establish the institution, in view of the needs of Jewish students in Eastern Europe and their minority status (Lavski, 2005). Weizmann and his supporters believed that reinforcing the Jewish settlement in Israel was a primary motive. This approach was adopted by the majority and became the guiding element in outlining the program to establish the university. This approach found expression in various aspects of the institution, including its efforts to absorb new immigrants from Germany, the language of study, and the physical features of the building. All these placed the institution between east and west, and closely connected to the Jewish settlement in Israel.

Notwithstanding the role assigned to the university in the Zionist vision, it was not taken for granted that the university would conduct itself in the Hebrew language, grounded in Hebrew culture. The establishment of the institution was accompanied by a "language war" – a struggle over the official language of studies (Yiddish, Hebrew, or German), and arguments were heard on all sides regarding the language worthy of being the official language of the academe (Schweid, 1995). Ultimately the battle was decided and Hebrew rather than any other foreign language was designated as the official language. Language is the identifying feature of any national culture. All nations distinguish themselves first and foremost by language, and the Jewish nation's language is Hebrew. Due to the ideological sources on which the Hebrew University was grounded, it has a unique dimension that was a conceptual breakthrough (Yurtner, 1999).

Over the years, academic institutions in Israel, and in the world over, were forced to address their declared missions. Despite (or perhaps because of) its young age, the state of Israel placed higher education high on its priorities. Nonetheless, despite the brief history of Israel's higher education system, its past is replete with fundamental changes that were expressed in changes in the declared goals of the institutions of higher education (Yaoz & Iram, 1987). The history of higher education in Israel is a microcosm of global trends. The academe, which was conceived even before the independence of the state, underwent significant transformations (Davidovitch, & Iram, 2005) from conveying higher education per se, to teaching a vocation; from viewing education as an end, to viewing education as a means; from valuing learning for its own sake and for the sake of general knowledge and discovery, to technological studies of a pragmatic, applicative nature; from learning based on a principle of excellence, to learning whose major value is equality (Schmida, 1987). It has been argued that the Humboldtian model never actually existed in Israel: "We began with the tripartite model: higher education; scientific research; serving the needs of the economy, society, and the state" (Yurtner, 1999, p. 54).

The dynamic nature of the mission of Israel's academe did not undermine the academe's significance in serving Zionism. The university was assigned a role in reviving the Jewish spirit in Israel (Iram, 1978; Davidovitch & Iram, 2005), and promoting science and education, values that were deeply rooted in Jewish heritage. Berl

Katzenelson stated of the Hebrew University (Levinson, 1948) that it was one of the primary tools of realizing the national idea. Chaim Nahman Bialik joined this view when he declared in 1936 that science (developed in the academe) should be the purpose of settlement, in order to enhance and improve life.

The academic institutions that developed after independence continued in the path outlined by the pioneers. In the first years after independence, community service was an agenda in its own right. For example, the Technion focused on agricultural research to help improve the national economy; the Hebrew University operated a Laboratory Corps on campus that contributed to the war effort and also joined the British war effort in WWII. In the 1960s, the Hebrew University began to operate pre–academic preparatory programs in order to reduce sectarian disparities in Israel. Other universities followed suit. In the 1970s, Bar Ilan University accepted new immigrants to the Faculty of Social Work, and the Ben Gurion University of the Negev invested efforts in the social and industrial development of the Negev.

All these activities had a distinct social nature, and represented the academe's community mission. In those years, social action assumed an ideological character that, as noted, stemmed mainly from the history of the development of higher education in Israel. Over time, community service changed from a key priority (as the pioneers viewed it) to an instrument of the institutions' survival, a means to raise funds, and exploit economic opportunities. Programs that were initially conceived as a community service gradually became assimilated into the various disciplines, becoming instruments of fund raising. Preparatory programs, for example, which targeted a specific public (released soldiers of a low–SES Mizrahi background) were transformed into programs that were available to all for a fee. Assistance programs for new immigrants offered by Social Science Faculties, became external programs that were funded by ex–academic sources and became an additional channel for fund raising. The ideology of community service as an activity that was distinct from academic operations became assimilated into the various faculties, and lost its ideological status.

In Israel of the twenty–first century, community service continues in a different form, driven by different motivations. Higher education institutions in Israel operate programs that have a social character mainly as a means for the institutions' economic survival, and they are activated by outside funding that transforms them into an economic endeavor for all intents and purposes.

The Open University's Russia Project – An Empirical Assessment Study (Note 1)

As noted above, community service and the ties between the academe and society in Israel have assumed a new character in the twenty–first century. This previously distinct branch has now become an inherent part of academic practice. The Russia Project is an exemplar of the manner in which academic activities are interwoven into social Zionist activities.

In 1999, the Open University in Israel, the largest academic institution in the country, assumed the task of reinforcing ties between the Jewish Diaspora and Israel. Due to its character and size, this academic institution specializes in developing unique teaching methods for distant learning (study materials, lessons, assignments, exams, guidance, and training are all adapted to remote learning settings).

The Russia Project was developed as a unique learning sequence in Russia for the independent states of the Former Soviet Union (FSU), which allows all Jews (and non–Jews) who are entitled to immigrate to Israel by the Law of Return (1950), to study in Israel's Open University's academic track at no charge. This track primarily focuses on Jewish Heritage and Contemporary Israel Studies. (Note 2) Communications between the University and FSU students (transfer of study materials, checking assignments, guidance) are conducted online and with the assistance of local coordinators in major FSU cities.

One of the major considerations in developing the program in the FSU is the growing cultural assimilation and prevalence of mixed marriages within the Jewish community, and the fact that Jewish and Israeli cultural activities in FSU (conducted by Jewish organizations in Israel and in the Diaspora and by community organizations of FSU Jews) involve only a small proportion of the target population. The majority of this population is not affiliated with the Jewish community, and are not even known to the active members of the Jewish organizations in the FSU.

Contribution of Participation in Open University Studies

A study conducted by one of the authors, in conjunction with the Former Soviet Union (FSU) Office and Education Division of the Jewish Agency demonstrates that this project has, over the decade since its inception, made a significant contribution to learners, on both an individual and national level. Findings of an empirical study show that students reported a significant improvement in their knowledge of Jewish history, the Holocaust, and contemporary Israel as a result of their participation in the program.. The Project significantly reinforced

learners' ties to Israel and Judaism and their desire to attend a higher education institution in Israel. This study indicates the academe's significance in fulfilling community service missions and underlines that community service benefits society even in conjunction with other actions.

The contribution of the Open University Russia Project was assessed on five dimensions, divided into individual and national levels. Notably, this assessment focuses on current students (who participated in the project in the 2007–2008 academic year and are enrolled for studies in the 2008–2009 academic year).

1.   The Individual Level

(1)   Acquiring knowledge (subjective assessment)

The contribution of participation in the Russian Project may be assessed in terms of knowledge, based on a comparison of students' knowledge before embarking on the Open University courses, and their knowledge of topics related to Judaism and Israel at the time of their final examination, based on their own subjective assessment. This is an-individual level contribution but it cannot be detached from the Project's contribution to national goals. Findings show that the vast majority of participants had very little or no knowledge of Israel and Judaism before they entered the Russia Project.

Among young learners, up to the age of 29, we found that 52% had very little knowledge or no knowledge of Jewish history; 75% had little or no knowledge of the Holocaust, and 83% had little or no knowledge of contemporary Israel before they joined the Russia Project. The findings show that more than one–half of the participants who stated that they had no or little knowledge before joining the project, stated that they gained considerable or extensive knowledge during their Open University studies. This improvement in knowledge is prominent especially in the areas of Jewish history, the Holocaust, contemporary Israel, and Jewish tradition. In these areas, 70% or more of the participants (including a high percentage of participants from southern Caucasus and Asia) with originally little or no knowledge reported a significant increase in knowledge. Acquisition of knowledge by students in Russia in the field of Jewish philosophy was also significant and was much greater than the increase in knowledge in this area by students in the other geographical areas of the program.

Students up to age 29 who entered the program with little or no knowledge in the areas noted above, stated that they acquired considered or much knowledge in Jewish history (78.6%), Jewish tradition (70.2%), Jewish philosophy (45.3%), Jewish literature (48.0%), the Holocaust (69.7%), contemporary Israel (68.7%) and contemporary Israeli literature (46.1%). The young learners' sense of the extent of knowledge they acquired in their studies is very impressive in view of the fact that students aged 29 or younger has fewer years of participation in the program compared to the average number of years of participation.   60% of all students had attended the program for a maximum of two years, while 72% of the students aged 29 or younger had attended the program for a maximum of two years.

Notably, students' assessment of extensive acquisition of knowledge increases with their length of participation (Jewish history r = .20; Jewish tradition r = .20, and contemporary Israeli literature r = .21). It also emerges that students who plan to complete an academic degree within the program stated that acquisition of new knowledge was greater than other students.

2.   The National Level

Contribution of participation to national–Zionist goals.

Beyond reinforcing participants' knowledge of Judaism and Israel, the project's national–level contributions can be assessed on the following dimensions: (a) stronger ties to Judaism and Israel; (b) increased willingness to emigrate to Israel; (c) increased willingness to attend a higher education institution in Israel.

a. Stronger ties to Judaism and Israel

Findings show that program participants believe that participation in the program strongly reinforced their desire to learn more about Jewish history (63%) and about Israel (55%). A more limited, yet significant, contribution was also evidenced in students' desire to learn more about Judaism (47%) and about the Holocaust (46%). 42%–43% of the participants reported that their affinity to Jewish tradition grew stronger as did their desire to join local activities of the Jewish community. Participation in the program contributed less strongly to participants' desire to study in Israel (34%) or to emigrate to Israel (25%). From a geographical perspective, participants from western FSU countries, especially Latvia and Belarus, reported a relatively low contribution in all areas. 45% of the participants age 29 or younger reported that participation in the Open University program greatly strengthened their desire to attend school in Israel, compared to 34% of all program participants.

b. Increased willingness to emigrate to Israel

Of all project participants, only 12.8% strongly agree that all Jews should immigrate to Israel. In fact, 69% of all current students have no intention of emigrating to Israel.

This was especially prominent among the long–standing program participants in Russia, Latvia and Belarus, and less so among participants from the Ukraine, Southern Caucasus, and Asia. However, 25.4% of the longstanding project participants reported that program participation significantly increased their desire to emigrate to Israel.

c. Increased willingness to attend a higher education institution in Israel

Despite their limited desire to move to Israel (31% of the participants intend to move to Israel within four years), participants' showed a stronger interest in attending higher education in Israel: 60% of the longstanding participants are definitely or somewhat interested in attending higher education in Israel.

Summary and Conclusions

In the present study we argued that the mission of the academe in the post–modern era has become an integral part of disciplinary practice. While in the past community service was a mission that took place outside disciplinary practice, today, community service has become an integral part of disciplinary work. The case study presented above demonstrates how community service and academic practices were closely intertwined to realize community goals which, in this case, also include goals related to Zionism.

Assessment study findings indicate that, concurrently with its academic goals, the Open University's Russian Program offers a significant contribution to national goals. This contribution is especially strong in the area of knowledge about the Jewish people and the land of Israel. The target population had limited prior knowledge in these areas, according to the self–reports of program participants. The significant knowledge they acquired reinforces their ties to the Jewish people and the land of Israel. Even if the project's short–term contribution to immigration is relatively limited, it is clear from the analysis of the findings, that the program has an indirect impact on immigration, through participants' increased desire to attend higher education institutions in Israel.

This program initially was conceived as an answer to the needs of the older Jewish population in the FSU who wished to strengthen their ties to their cultural roots. Over the years, it became a point of attraction for younger adults under age 29 who participate in the program while attending another academic program or holding a job. This target audience of the Zionist Movement, many of whom do not meet the halakhic criteria of belonging to Judaism, demonstrate a significant sense of belonging to the Jewish people which is reflected in their participation in the program, among other things. Encouraging this sense of belonging through the project could lead to long–term results, including desired demographic and cultural changes, reinforcement of Jewish communities in the Diaspora, reinforced ties with Israel, including immigration, which is at the core of the Zionist ideology. The Open University's Russia Project is an example of the academe's potential to affect the proximal and distant community. The program is also a testament to the new manner in which the academe fills its third role in the post–modern era by assimilating community service and contribution in its disciplinary practice, and transforming such service into an integral part of various areas of knowledge.

References

Austin, A. E., & Gamson, Z. F. (1983). Academic Workplace: New Demands, Heightened Tensions. *ASHE–ERIC Higher Education Research Report No. 10*. Washington, DC: The George Washington University.

Baker, W. O. (1983). Organizing Knowledge for Action. In T. W. Langfitt and others (eds.), *Partners in the Research Enterprise*. Philadelphia: University of Pennsylvania Press.

Blackmur, D. (2004). Issues in Higher Education Quality Assurance. *Australian Journal of Public Administration*, *63*, 105–116. doi:10.1111/j.1467-8500.2004.00382.x, http://dx.doi.org/10.1111/j.1467-8500.2004.00382.x

Boice, R. (2000). *Advice for New Faculty Members: Nihil Nimus. Needham Heights*. MA: Allyn & Bacon.

Boyer, C. M., and Lewis, D. R. (1985). *And On the Seventh Day: Faculty Consulting and Supplemental Income*. Washington, DC: National Institute of Education.

Clark, B. R. (1983). *The Higher Education System*. Berkeley: University of California Press.

Davidovitch, N, & Iram, Y. (2005). Higher education at a crossroads – The contribution of the regional colleges to higher education in Israel. In *The end of the academe in Israel?* (pp. 312– 359). Studies in Education. Haifa: Haifa University, Department of Education. [in Hebrew]

Fear, F. A., & Sandmann, L. R. (1995). Unpacking the Service Category: Reconceptualizing University Outreach for the 21st century. *Continuing Higher Education Review, 59,* 110–122.

Harvey, L. & Knight, P. (1996). *Transforming Higher Education*. Buckingham: Open University Press and Society for Research into Higher Education.

Iram, Y. (1978). The impact of traditions in higher education on the academic course of the Hebrew University. *Iyunim B'hinuch, 28*, 123–140. [in Hebrew]

King, R. (2007). Governance and accountability in the higher education regulatory state. *Higher Education*, *53*, 411–430. doi:10.1007/s10734-005-3128-2, http://dx.doi.org/10.1007/s10734-005-3128-2

King, R., Griffiths, P., & Williams, R. (2007). Regulatory intermediation and quality assurance in higher education: the case of the auditors. *Oxford Review of Education*, *33*, 161–174. doi:10.1080/03054980701259790, http://dx.doi.org/10.1080/03054980701259790

Lavski, H. (Ed.) (2005). *History of the Hebrew University of Jerusalem, Vol. II: Establishment and growth*. Jerusalem: Magnes. [in Hebrew]

Law of Return 5610-1950. *Book of Laws* 51, 1950, p. 159.

Levinson, A. (1948). *Berl Katzenelson's Address on the Hebrew University of Jerusalem*. Jerusalem: Hebrew University of Jerusalem. [in Hebrew]

Lieven, M., & Martin, G. (2006). Higher Education in a Global Market: The Case of British Overseas Provision in Israel. *Higher Education*, *52*, 41–68. doi:10.1007/s10734-004-6374-9, http://dx.doi.org/10.1007/s10734-004-6374-9

Menon, M. (2003). Views of Teaching–focused and Research–focused Academics on the Mission of Higher Education. *Quality in Higher Education*, *9*, 39–54. doi:10.1080/13538320308165, http://dx.doi.org/10.1080/13538320308165

Schmida, M. (1987). *Between equality and excellence – Educational reforms and the comprehensive school*. Ramat Gan: Bar Ilan University. [in Hebrew]

Schweid, E. (1995). *Toward a modern Jewish culture*. Tel Aviv: Am Oved. [in Hebrew]

Scott, J. (2006). The Mission of the University: Medieval to Postmodern Transformations. *Journal of Higher Education*, *77*, 1–39. doi:10.1353/jhe.2006.0007, http://dx.doi.org/10.1353/jhe.2006.0007

Seaberry, J., & Davis, J. (1997). The metropolitan university: History, mission, and defining characteristics. *New Directions for Student Services*, *79*, 5–13. doi:10.1002/ss.7901, http://dx.doi.org/10.1002/ss.7901

Shechter, S. (2006). *Cracks in the ivory tower*. Jerusalem: Zivonim. [in Hebrew]

Stallmann, F. (2002). Reform or Re–labeling? A Student's Perspective On The Introduction Of The Bachelor's And Master's Degree In German Higher Education. *German Policy Studies/Politikfeldanalyse*, *2*, **(**digital format).

Ward, K. (2003). *Faculty service roles and the scholarship of engagement* (ASHE–ERIC Higher Education Report, 29). Hoboken, NJ: Jossey–Bass, in coop. with ERIC Clearinghouse on Higher Education, Association for the Study of Higher Education, Graduate School of Education and Human Development, the George Washington University.

Worthington, F., & Hodgson, J. (2005). Academic labour and the politics of quality in higher education: a critical evaluation of the conditions of possibility of resistance. *Critical Quarterly*, *47*(1/2), 96–110. doi:10.1111/j.0011-1562.2005.00617.x, http://dx.doi.org/10.1111/j.0011-1562.2005.00617.x

Yaoz, H., & Iram, Y. (1987). Changes in the literature curricula – A comparative study. *Iyunim B'hinuch, 46/47*, 152–170. [in Hebrew]

Yurtner, Y. (1999). Research universities in Israel. *The university in the year 2010*, Kfar Blum Conference, October 11–14.

Notes

Note 1. The study was conducted with the assistance of the FSU Office and the Education Department of the JAFI. The study was also supported by the Claims Committee. Ms. Anna Trachtenberg and Ms. Alexandra Briskin of the FSU Office organized the study and contacts with the field. For the complete research report see Leshem (2009).

Note 2. The courses offered in this track include: Introduction to Bible, Introduction to Talmud, Law and Philosophy in the Rambam's Texts, Jerusalem Along the Ages, From Exile to Independence, Jews in the Roman

Empire, The Ashkenaz Hassidic Movement, Jews and Christians, Jews in an Era of Change, Ethiopia: Christianity, Islam, and Judaism, Chapters in the History and Culture of the Jews of Eastern Europe, Zion and Zionism: The History of the Zionist Movement 1881–1914, Hebrew Stories in the Early 20th Century, From National Homeland to Preparations for Statehood: The Jewish Settlement between Two World Wars, The Holocaust; Israel's First Decade (Part A – Development of Democracy in Israel). Additional courses are in various stages of development and production.

Table 1. Contribution of Program Participation in Strengthening Ties to Judaism and Israel (% of "significantly strengthened")

Area	%
My desire to learn more about Jewish history	62.7
My interest in Israel	62.2
My desire to learn more about Israel	55.2
My desire to learn more about Judaism	46.7
My desire to learn more about the Holocaust	45.8
My affinity to Jewish tradition	43.2
My desire to be more active in the Jewish community in my town	41.5
My desire to attend a higher education school in Israel	33.5
My desire to emigrate to Israel	25.4

US-Iran Relations in the Post-Cold War Geopolitical Order

Saeid Naji & Jayum A. Jawan

Faculty of Human Ecology, Putra University, Malaysia (UPM)

43400, Serdang, Selangor, Malaysia

E-mail: Naji_Saeid@yahoo.com, Jayum@putra.upm.edu.my

Abstract

The end of the Cold War era coincided with the beginning of a shift Iran's foreign policy from the ideological to the pragmatic. The collapse of the Soviet Union created an important geopolitical region in the north of Iran. The dialogue doors were opened by Khatami's "dialogue among civilizations" in contrast to the "clash of civilizations". With the election of Bush and especially after the September 11th attacks, the US code was changed from globalist to regionalist. In this period Iran, was named as one of three countries in the "Axis of Evil". After 2005, the Iranian policy towards the US changed fundamentally so that Israel and the US were seen as the main enemies of Iran. Also, Iran's nuclear issue aggravated the hostility and it was used by the US to maximize its hegemony. In this context, the US efforts to impose its geopolitical codes on other countries to be involved in conducting its policies against Iran could be justified. It was also regarded as a geopolitical imperative, Today, the US has to curb Iran's ideological-political activities and if both Iran and the United States do not scale down their demands, military confrontation could be predictable.

Keywords: Geopolitical world order, Geopolitical code, Iran's nuclear program, Iran-US relation

Introduction

Geopolitical world order is defined   as a geopolitical model (Dijkink, 1998), a relatively stable global pattern (Johnston et al,2000), which includes a complex of inter-states relations, position of countries and their functions, such that the behavior of most states is predictable. This kind of order dominates over the world for a relatively long time as a specific historical period (Agnew & Corbridge, 1995; Taylor & Flint, 2000). Like an organism, and within a specific historical period, it emerges, grows and ultimately disintegrates. Every geopolitical world order, however, is formed after a geopolitical transition period (Taylor & Flint, 2000). This transition period from the old to the new geopolitical world order is relatively short, and its key characteristic is surprise (Taylor & Flint, 2000), for there is no knowing how long such a period will last (Nijman, 1993). It might also embrace a period of '*morbid disorder'* (Agnew & Corbridge, 1995), or a time of great world disorder (Wallerstein, 1993), and "*crises of meaning*" (O'Tuathail, et al.,1998). In addition, in any geopolitical world order, what is more important is the relations between a few great powers or one most powerful country with others and with other elements of a system, which forms and manages the system's functions (Hafeznia, 2006). These relations are formed due to a combination of material capability, ideas, and institutions (Cox, 1981), and constituting global political systems, labeled as unipolar, bipolar,   multipolar,   or uni-multipolar system (Huntington, 1999).

These orders also include Geopolitical codes, which have been defined 'as the basic building blocks of such geopolitical world orders' (Taylor & Flint, 2000, p. 91). They have also been called '*image-plans'* (Henrikson, 1980) and '*operational codes'* (Dijkink, 1998). In reality, every state has a set of specific strategic political-geographical assumptions, which are made by a government about other states and form its foreign policy (Taylor & Flint, 2000). From this point of view, the ideas and assumptions of the states' leaders play a significant role in defining the states' geopolitical codes and in their foreign policy. Such codes operate in various places out of state and beyond boundaries of state to evaluate the places' strategic importance and as potential threats. Moreover, they operate at local, regional and global levels, and are a combined   definition of the state's interests, external threats which pose a risk to the state's interests, and identification of a planned response to such threats (Gaddis, 1982). In this manner, there are local codes for all countries, regional codes for many countries but only a few countries have global codes (Flint & Taylor, 2007). Furthermore, because the states' geopolitical codes are not independent from each other, the great powers have an excessive influence on the geopolitical codes of other members of the system. As a result, these geopolitical codes fit together to create

a single pattern, which dominates all over the world for a specific historical period. This is what is called the '*geopolitical world order*' (Flint & Taylor, 2007; Taylor & Flint, 2000). In reality, these operational codes form inter-states relations in the hierarchical system, where are defined position, level, and function of each country, especially powerful countries, as a member of the system.

On the basis of this theoretical framework, it is understandable that, with the end of the Cold war geopolitical world order, the world was '*surprised*' (Taylor,1992) by the major reforms and changes in the structure of the global system, which caused great changes in the attitude and strategies of major powers. In fact, 1989 was a year of geopolitical earthquakes in Eastern Europe (O'Tuathail, 1992) and the beginning of a geopolitical transition period (Taylor & Flint, 2000), or an *interregnum* (Sorensen, 2006), which continued until the collapse of the Soviet Union in 1991. With the collapse of this Eastern superpower, East-West relations entered a new phase (Kissinger et al,1989), and global politics moved to the unipolar system from the bipolar system of the Cold war era, as the United States remained in force as the only global superpower (Huntington, 1999). This Unipolar system appeared in the 1991 Persian Gulf War, when the United States was able to rally and lead much of the world against the aggression of Iraq towards Kuwait. Regardless of the time of the Persian Gulf War, there had been no agreement on a common consensus concerning the kind of Post-Cold War system although various models had been offered, including the multipolar system, globalized system, stratified model, Clash of Civilizations, uni-multipolar system, universal empire model, super UN model, unilateralism, and so on (Huntington, 1999; O'Loughlin, 1992; Roskin & Berry, 2008).

However, apart from the kind of system, it is important to study the role of great powers and geopolitical factors in the world's geopolitical developments. From this point of view, the United States, the European community, Russia, China, and Japan have been introduced as major powers in the world (S. B. Cohen, 1991; Huntington, 1993; Nijman, 1992; O'Loughlin, 1992; Wallerstein, 1993). They are the main actors on the international stage as well as the main competitors in economic, political, military and cultural areas. These countries also are actively involved in various global problems such as terrorism, and weapons of mass destruction among others. However, obviously, although there is this idea that the US hegemony has been declining since the 1970s as a result of Japanese, European and Russian rivalry, among the great powers the United States has continued to remain the only superpower, with superior economic, military, technological and cultural might in the world (Agnew & Corbridge, 1995; Brzezinski, 1997; S. B. Cohen, 1991; Huntington, 1999; Taylor & Flint, 2000). So, examining the US actions and its foreign policy towards different countries as friend or enemy, such as Iran, will be the most important part in investigating the fundamental geopolitical developments in the new era.

The beginning of the new era has been recognized as a "*dramatic opportunity*" for the US because it could redefine its global role (Coll, 1992). In this era, many countries, particularly the United States needed to redefine their geopolitical codes, and if able, their global codes. It is directly related to formation of the new order as the Post-Cold War geopolitical world order, where such codes act as main building blocks. They define threats and necessary responses to those threats and from this view the US had to determine the purpose of its foreign policy (Nijman, 1993) and as O'Loughlin (2000) pointed out, reordering the Post-Cold War world was what the US did. In this regard, it is important to note that US world leadership is the main objective in the US geopolitical code (Flint, 2006) and the country is trying to maximize its hegemony (Harvey, 2005; Iseri, 2009; Taylor & Flint, 2000; Wallerstein, 1993). This could explain and justify many of the US actions and its interventions across the world.

In this respect, studies indicate that the regionalist perspective of the US foreign policy, in particular in two Bush presidencies, has been remarkable (Flint, Adduci, Chen, & Chi, 2009). It can be evaluated with reference to free access to the vast energy reservoirs in different geographical areas such as the Persian Gulf, and ensuring the free flow of oil to the west and industrial states (Peters, 2004;Billon, 2004; Klare, 2001). This view has been reflected as a significant perspective on the US geopolitical codes and its grand strategies (Flint, 2006; Iseri, 2009).

This paper however, presents a geopolitical analysis of relations between Iran and the United States as well as their policies towards each other in the context of the geopolitical world order. It seeks the role of geopolitical factors, particularly the impact of leaders' geopolitical assumptions on the relations between two countries and formation of their foreign policies as well. These are political-geographical assumptions, which form the states' geopolitical codes and subsequently define their friends and enemies. In this regard, this paper uses a type of qualitative content analysis method (Merriam, 1998) to analyze the US-Iran relations in the Post-Cold War era. It also implicitly examines the mutual impacts between the policies of the two countries on the one hand, and the Post-Cold war geopolitical developments on the other. In fact, examining the trend of political relations and the leaders' assumptions can help to explore the relations among geopolitical traits of Iran, the geopolitical

characteristics of the Persian Gulf region, and the US global objectives in the Post-Cold war geopolitical world order.

Beginning of transition period; death of Ayatollah Khomeini, fall of the Berlin wall

The year 1989 marked the end of the Cold war geopolitical world order and the beginning of a transition period (Taylor,1992). It also coincided with death of the founder of the Islamic Republic of Iran. The death of Ayatollah Khomeini in 1989 and the election of his successor as well as intensification of the president's power based on a new draft of the Iranian constitution were two important events that significantly influenced the Iranian leaders' views on their international relations in the geopolitical world. In fact, it was an Iranian transition period, the start of a definite shift from mainly revolutionary values to a kind of more rational thinking. Indeed, with Ayatollah Khamenei as Supreme leader and the election of president Rafsanjani, the country's foreign policy priorities were changed from the ideological to the pragmatic, with greater emphasis on national interests (Marschall, 2003, p. 100). To illustrate, President Rafsanjani preferred "a 'good-neighbour' policy rather than continue to export the "Iranian revolution" (Joyner, 1990, p. 231).

During this period, Iran learned to contribute to the   stability of the Persian Gulf region, improved connections to the global economy, and played a more effective role in the regional and global activities through more effective participation in global and regional organizations (Rakel, 2007). Iran also tried to fill the existing vacuum beyond its northern boundaries created by the dissolution of the Soviet Union. Ultimately, this was the particular region which later became a conflict arena for Iran and the US. Here, new competitions were formed, and Iran-US relations were converted to the new form.   Besides various other reasons, the vast natural resources, in particular around the Caspian Sea, became the most important reason for the presence of different countries in this region. In this context, China's increasing need for energy resources, the fundamental need of Japan for Turkmenistan gas on the one hand, and Europe's urgent needs for the energy resources of Caspian Sea in the west on the other hand, attracted the attention of different countries to this area. Moreover the existence of suitable economic and geographical fields for the transportation of these resources through the Persian Gulf and Indian Ocean also had created a specific position for this strategic region. Simultaneously, the United States played the role of decision maker in the region by using the oil companies, its allies in the region, and other obvious ways such as supporting the Baku-Tbilisi-Ceyhan pipeline (Mirheydar, 2001) to by-pass Iranian and Russian territories (Carter & Ehteshami, 2004). In this respect, because of the specific geographical location of the region as a landlocked area, the pipelines have been the best transfer equipment for oil and gas. Under such circumstances, Iran as the most beneficial, safest and the shortest way for oil export has played an important role as a member of the Caspian Sea region and as the communicative bridge between the region and the open world and open seas (Mesbahi, 2004).

Perhaps, controlling the energy fields in this area has been the most significant area of dispute between Iran and the US in this region. Evidences indicate that the U.S has attempted to curtail Iran's activities by exploiting oil and gas resources in its neighbouring states. It also has prevented the building of important new oil and gas pipelines across Iran (Allison & Janson, 2001). Such policies have been for the purpose of preventing Iran's activities in pipeline provision for produced oil transfer from the Central Asia republics to the rest of the world destinations. For instance, the international oil consortium, with the majority   of shares belonging to U.S and U.K companies, decided to choose Azerbaijan for their pipeline constructions, even though they were aware of uneconomical and unsecured paths through Chechnya and Georgia for the pipeline export of Azerbaijan's oil (Akiner, 2004; Mojtahedzadeh, 2000).

In the early 1990s however, Iran tried to improve relations with China and India to balance the country's relations with the West and European states, while further sanctions on Iran were added by the Clinton administration due to some allegations concerning the development of weapons of mass destruction (WMD) by Iran, as well as supporting Palestinian groups in the Palestinian-Israeli conflict. It was noticeable that the US has supported various anti-government groups against the Iranian government, groups such as "monarchists" and "Mojaheddin Khalgh" (Tarock, 1996, p. 159). The US was also clearly supporting the Taliban to put pressure on the Eastern boarders of Iran. The Taliban were used as a geopolitical threat to impose the US requests on Iran, while at the same time, the US Congress was passing the Iran-Libya Sanction act (ILSA) in 1996, which sanctioned any company to investigate the US $40 million or more in the projects of oil and gas in Iran or Libya. In the Iranian view, however, such measures represented the US priorities in the energy resources section and its necessity to dominate the resources of the region from Central Asia to the Horn of Africa, including the Persian Gulf area as "an American lake" (Bill, 1999, p. 45). On the basis of this goal, Iran was certainly regarded as the main obstacle to the achievement of US geostrategic objectives.

Iran's boundaries and a global geopolitical development

The most notable American policy immediately after the Cold War was towards the Middle East, particularly the Gulf War (Nijman, 1993). Perhaps, nobody supposed that a regional action would be able to create a global response; a war between one country and a coalition force from 34 states. It happened, indeed because one superpower in a bipolar system collapsed, thus leaving sole leadership to the only remaining superpower. Although at this time the 'New World Order' was announced as a global idea, it is clear that it happened only in this region because of a threat to the Persian gulf's energy resources and it was not continued in other situations (Roskin, Cord, Medeiros, & Jones, 2008). In this regard, on September 11, 1990, Bush explicitly said:

> *Our objectives in the Persian Gulf are clear, our goals defined and familiar: ...The security and stability of the Persian Gulf be assured. And American citizens abroad must be protected....Vital economic interests are at risk as well...We cannot permit a resource so vital to be dominated by one so ruthless. And we won't* (G. H. W. Bush, 1990).

He also on March 6, 1991 stressed that:*"Let it be clear: our vital national interests depend on a stable and secure Gulf"* (G. H. W. Bush, 1991).

In this context, although Huntington (1993) has referred to the speech of the supreme leader of Iran about war against the US and its allies as a holy action, Iran as neighbour of Iraq remained neutral in this war. This neutrality by Iranian policy makers showed a change in their policy from the ideological revolutionary policies to policies based on national interests. But the Clinton administration passed the Iran non-proliferation Act in 1992 and founded the "dual containment" policy towards Iran and Iraq too (Gerges, 1999). This policy was aimed at isolating of both Iran and Iraq, politically, militarily and economically. It was related to Iran's support of Hamas and other anti-Israel organizations, and also the continuance of Saddam in power (Bowen & Kidd, 2004; Rakel, 2007).

Iran and the creation of a "crack in the wall of mistrust"

Perhaps, relations between Iran and US during the first term of the Khatami presidency were the closest relations between them. It was started by Khatami through a dialog with the American people via a TV program on the BBC network in January 1998. He emphasized the creation of a "*crack in the wall of mistrust*" and said:

> *I believe all doors should now be open for such dialogue and understanding and the possibility for contact between Iranian and American citizens,"* He also censured the U.S. foreign policy for being "behind the times" and a "prisoner of a Cold-war mentality" in attempting to "portray Islam as the new enemy (CNN, 1998).

He, in fact, referred to the impact of the existing assumptions about confrontation between the two civilizations of Islam and the West among the US decision makers, which was first mentioned by Samuel Huntington (Huntington, 1993). This discourse had become a significant issue in geopolitical discussions during international relations and political science seminars (Murphy, Bassin, Newman, Reuber, & Agnew, 2004). Khatami also implicitly stressed the necessity of changing the US behaviour, which was related to Post-Cold War developments. Later, in November 1998, his idea, which was termed as "Dialogue among Civilizations" was proposed in response to Huntington's "Clash of Civilizations". It was interesting that the year 2001 was determined by the United Nation as the "Year of Dialogue Among Civilizations" (Henrikson, 2002).

Indeed, these statements of Iran's government did lead to some changes in the US policies towards Iran. Sending earthquake disaster relief to Bam city in Iran and creating some facilities for the export of food and medical essentials were some instances in the thawing of past rigid relations. In 1998, also the American Secretary of State, Madeleine Albright stressed the necessity of extending relations with Iran. It was also clear that Khatami's foreign policy was being changed and moving away from the ideological requirements inherited from his predecessor Ayatollah Khomeini. For instance, President Khatami announced in 1998 that the Selman Rushdie affair was *"completely finished"* (B.B.C News, 1998).

Changing the US geopolitical code and the geopolitical impasse for Iran

In the United States, the election of George W. Bush as the 43rd president in 2001, and sovereignty of the neo-conservative faction of the Republican Party brought about changes in US foreign policy due to changes in the US geopolitical code, from globalist to regionalist. Flint et al. (2009) refer to the contrast between globalist and regionalist perspectives in the definition of a geopolitical code so that, globalist "reflects a geopolitical code that sees all parts of the globe as equally important", while in a regionalist perspective, particular parts of the globe are more important. From this point of view, "the US geopolitical code is targeted towards particular regions at particular times" (p.613). In this regard, in the early first term of the second Bush administration it was

supported by large American corporations, oil companies and financial capital envisaged a militaristic global agenda and his administration had a comprehensive plan pertaining specifically to US energy as well as to oil fields in the Persian Gulf region. The "National Energy Policy Report" (NEP) was also produced by Vice President Dick Cheney in May 2001, which emphasised the importance of energy for the US in the future and today. In this report, Bush said: "*America must have an energy policy that plans for the future, but meets the needs of today. I believe we can develop our natural resources and protect our environment*" (G. W. Bush, 2001, p. ix).

In this respect, some believe that, even after the September 11 attacks, the Afghanistan and Iraq wars indeed were resource wars and were related to the US global strategy to gain access to the Persian Gulf and Central Asia reserves (Bromley, 2006). It has been said about the Iraq war that even "The country's oil revenues will be deposited in the US dominated 'Development Fund for Iraq' " (Yazdani & Hussain, 2006, p. 280). But the September 11th events caused major changes in US foreign policy as well as in the trend of geopolitical developments in the world. President Khatami instantly announced that he felt "deep regret and sympathy with the victims" (CNN.com, 2001b). In addition, undermining terrorism has been recognized by him as an international responsibility. The outbreak of the Afghanistan war created another consequence of the Post-Cold war developments in Iran's eastern borders. However, Iran in this case also maintained its neutral position, so that CNN reported:

> *Foreign minister Kamal Kharrazi said Iran would join a U.N.-led anti terrorist coalition but Tehran would not allow its airspace to be used to launch attacks against Afghanistan. Iran also closed its 562-mile border to prevent refugees crossing from Afghanistan in the wake of U.S. attacks (CNN.com, 2001a).*

But in the United States, on January 29, 2002 and nearly four months after the beginning of the War in Afghanistan, the term *"Axis of Evil"* was used to label some states which, according to Bush, were helping terrorism. President Bush referred to Iran along with Iraq and North Korea as those countries attempting to produce the Weapons of Mass Destruction (WMD). He declared:

> *Our second goal is to prevent regimes that sponsor terror from threatening America or our friends and allies with weapons of mass destruction. Some of these regimes have been pretty quiet since September the 11th. But we know their true nature... Iran aggressively pursues these weapons and exports terror, while an unelected few repress the Iranian people's hope for freedom. States like these, and their terrorist allies, constitute an axis of evil, arming to threaten the peace of the world (G. W. Bush, 2002).*

It was actually an official announcement from the US government for Iran, revealing the US hostility against Iran. Declaring this hostility in the "*State of the Union*" address underlined the significance of this issue. The State of the Union address is an annual address which is presented by the US president and reports on the condition of the nation. It also allows the president to outline his/her legislative agenda and national priorities to congress. Clearly, Bush had already separated the US friends from its enemies in the war against terrorism (Naji & Jayum, 2011). He had explicitly noted that: *"You are either with us or against us in the fight against terror"* (CNN.com, 2001c).

It was directly related to the US geopolitical code, when political leaders define state's enemies and friends.   It is important to note that, regardless of the world's political conditions, it reflects the president and his administration's ideas. As has been said, it is "the set of strategic assumptions that a government makes about other states in forming its foreign policy" (Taylor & Flint, 2000). These geopolitical assumptions ultimately formed a hostile policy against Iran and some other states, so that finally it led to an inauspicious war against Iraq in 2003. There is this view that after September 11th the peace condition was altered to the war condition (Soltani & Jawan, 2010). In this new condition, it was the beginning of another war close to Iran's western boundaries. The US in fact settled Iran in a geopolitical impasse (Naji & Jayum, 2011). The US invasion of Iraq could be interpreted along with NATO's movement towards the east, the US and Israel presence in Azerbaijan (Lewis, 2006), military presence of the US in Central Asia, the Afghanistan war and US military intervention, and the US military presence in the Persian Gulf   countries. In sum, at that time "Geostrategically, Iran is surrounded by US-occupied or US-controlled states" (Yazdani & Hussain, 2006, p. 283).

The US, Iran's nuclear program in the global geopolitical rivalries

In June 2003 Bush declared that the US would not "*tolerate the construction of a nuclear weapon*" by Iran (Fox News.com, 2003). In this regard, it is important to note that Iran's nuclear issue highlighted the role of other powerful countries in the new era, so that it provided partly suitable circumstances to present other powerful countries in the international rivalries' arena against the *"only remained superpower"* from the Cold war era.

Obviously, resistance of Iran on its nuclear program on the one hand, and the necessity of stopping Iran's nuclear activities for the US and its allies particularly Israel on the other hand, have caused all states to adjust their positions and relations in the new unorganized Post-Cold War geopolitical world order. Attempting to obtain a higher position in the new geopolitical order is clear in the polarization of great powers within the "5+1 group". Evidences show that Russia and China as two permanent members of the UN Security Council have always resisted in drafting and approving sanctions resolutions against Iran, while on the other side, three other permanent members, namely the United States, the United Kingdom and France along with Germany have formed an informal coalition to approve and apply severe sanctions against Iran.

Russia, however, has pursued economic, military and nuclear cooperation with Iran; Iran's alliance could be useful in order to control the NATO expansion towards the East and control the efforts of the west to access the energy reserves in the region as well as the activities of Turkey and Israel in Central Asia and Caucasia. Moreover, it can establish a position to play a major role in global decisions and prevent the formation of the US regional and global hegemony. In this regard, Iran has also needed the Russian political and military cooperation, and the latter has been known to be one of most important countries in weapons supply to Iran (W. S. Cohen, 2001). These needs and cooperation are also highlighted in the context of Iranian nuclear activities (Bowen & Kidd, 2004), in the form of an agreement worth USD 800 million signed between the two countries in January 1995 to complete the nuclear construction of Bushehr (Cordesman & Al-Rodhan, 2006, p. 179). The relations between China and Iran also have noticeably been increasing. The high economic growth of China and its significantly increased energy needs have led to look at energy resources in countries such as Iran, so that in the geopolitics of the energy sphere there is serious competition between China and the US to access energy resources around the world. Iran, furthermore, was the second largest energy supplier to China in 2003. Ultimately, as a result of these relations, the dual-use technology was supplied via China to Iran, which could be used to make   nuclear, chemical and biological weapons (Bowen & Kidd, 2004; Rakel, 2007).

These three countries also have expanded their trilateral relations and there is considerable cooperation among Iran, Russia and china in the "Shanghai Cooperation Organization" (SCO). It should be noted that China and Russia are the main members of the SCO in the East of the world, which reminds one of Cohen's "*two geostrategic realms*" (S. B. Cohen, 2003), and shows an attempt to form a multi-polar world-system opposite to US unilateralism.   The presence of Iran in this organization as an observer member and Iran's request for full membership indicates that there is a tendency to form a new coalition against the west coalition. Clearly, in this context, Iran as a regional power and strategic country can play a crucial role to create an axis of China-Russia-Central Eurasia-Iran against the US- Japan-Europe axis.

But on the other hand, there are some other geopolitical realities: Russia is a powerful country, and was a superpower for a long time and it pursues its global and regional strategies simultaneously. So, the Russia policy to support the Iranian nuclear program will continue, as long as this policy ensures its national interest in the international system and it will definitely stand up to Iran when its interests should prescribe another policy. It means that Russia will pursue its global interests as a global powerful country while maintaining its regional interest along with Iran. Responding to Ahmadinejad's protest due to Russia's companionship with the US camp in May 2010, the top Kremlin foreign policy advisor, Sergei Prikhodko, explicitly said: *"Our position is Russian, it reflects the interests of all the peoples of Russia and thus it is neither pro-American nor pro-Iranian"* (RNW, 2010*).

From this point of view, China, also like Russia, is one of the main actors in the world system and pursues its objectives opposite those of the US actions to gain a higher position in the hierarchical world system. It is therefore a global rival for the US in the world economic and political sphere. Obviously, China attempts to prevent the strengthening of US global and regional hegemony around the world, in particular, in Eurasia and the Middle East areas. In this regard, it pursues its national and global interests in the world system and although it is one of the permanent members of the UN Security Council as well as a powerful country, it will not separate itself from other members as it will be unable to solve international issues alone.

In fact, especially in this case, China should be cooperating with its Eurasian strategic partner, Russia. It must be noted that Iran cannot rely on China as a secure supporter and the former should be   reminded that   it was US pressure on Beijing that finally led to an agreement between China and the United states in 1997 "to cancel most of its existing assistance to Iran and not to embark on new projects" (Bowen & Kidd, 2004, p. 262). In this respect, it is important to realize that, based on recent news, because of the UN sanctions against Iran,   it cannot be a full member of "SCO" at this time (Tehran Times, 2010b), and it indicates the actual role of Russia and China in Iran's nuclear issue. In this context, there are even some other countries that have tried at the lower levels to enjoy this opportunity. Among the various states, Brazil and Turkey were most active at the 14th summit

of G-15 in Tehran, and later, simultaneously signed an agreement pertaining to the enrichment of Iranian uranium in their countries on May 17, 2010 (Tehran Times, 2010a).

Iran's leaders; global thoughts and past ideological assumptions

Even as Iran is resisting the US pressures and threats, it is expanding its relations and spreading ideas in different geographical regions. Its geographical distribution covers the vast area from the Middle East and Africa to the US backyard in South and Latin America (Naji & Jayum, 2011). Selecting a kind of aggressive policy, Iranian foreign policy was changed significantly especially after president Ahmadinejad came to office in August 2005. At this time, Iran re-established its foreign policy which was based on some revolutionary principals introduced in the days of Ayatollah Khomeini during the first decade after 1979. In this respect, the US government and Israel were the two biggest enemies. In the first year of Ahmadinejad's presidency, he declared that: *"As the imam said, Israel must be wiped off the map"* (The New York Times, 2005). He also said in October 2005: *"And God willing, with the force of God behind it, we shall soon experience a world without the United States and Zionism"* (CNN.com, 2005).

This extreme policy was in conformity with Ayatollah Khomeini's approach that had labelled the US as *"the Great Satan"* and he declared in 1980 that *"America can't do a damn thing"* (Ganji, 2002, p. 111). It can be noticed that continuing this policy was due to the US threatening Iran over the years. Following Bush's "Axis of Evil", Condoleezza Rice also clearly denounced Iran as *"loathsome"* (Yazdani & Hussain, 2006). She also pointed to Iran as one of the six *"outposts of tyranny"* in the world (B.B.C news, 2005).

On the other hand, the nuclear issue of Iran however, opened the world gates to expand Iran's relations with other countries across the world. Iran expanded its trans-regional relations among most of those states that were in opposition to the US. The frequent presence of Ahmadinejad in Venezuela has always been seen as a response to the geographical and geostrategic siege of Iran. In this context and according to some ideological thoughts, Iran's statesmen have also pursued the global objectives, which are in opposition to the US objectives (Naji & Jayum, 2011). Ahmadinejad introduced the role of the Iran nation as a global role that could be compared with Bush's statements about the US global mission. In May 2010, Ahmadinejad declared: *"The Historical Iran's nation is not only for the geography of Iran and the role of Iran's nation is a global role and it is to establish a blissful society all over the world"* (Fars News Agency, 2010).

The missed opportunity to construct the new geopolitical relations

However, with the beginning of Obama as the 44th president of the United States in January 2009, some Iranian governmental executives believed that US foreign policy, especially towards Iran, will be changed. Perhaps, it is for this reason that president Ahmadinejad, for the first time since 1979, congratulated Obama on his election immediately after the presidential election in November 2008. It was a reaction to Obama's statement that "*he is willing to hold direct diplomacy with Iranian leaders as a way to break the impasse between the two countries or give the US more credibility to press for tougher sanctions if talks fail*." On the basis of this idea, Ahmadinejad also said that he "*hopes Obama will use the opportunity to serve the (American) people and leave a good name for history during his term in office*" (msnbc, 2008). In March 2009, Obama also delivered, also for first time since 1979, a recorded greeting to the Iranian people and government on the occasion of *Nowruoz* or the Iranian New Year. It was the first time that the US president had used Iran's official name, "*Islamic Republic of Iran*". It was a significant official recognition of the legitimacy of the Iranian government which had been formed in 1979. He said to Iranian leaders:

> *We have serious differences that have grown over time. My administration is now committed to diplomacy that addresses the full range of issues before us, and to pursuing constructive ties among the United States, Iran and the international community....we will extend a hand if you are willing to unclench your fist* (msnbc, 2009).

It seemed that the leaders of both states had a positive start for reconstruction of their relations, but despite an apparent easing off of tensions between the two countries, there were two important and crucial interests which were the main impediments in the way of rapprochement: the existence of Israel as an ideological enemy of Iran, and improvement of Iran's nuclear program. These two issues were brought up in President Obama's first recorded message to the Iranian government, but on the other hand, he called Israel as "*a key US ally*". In fact, it showed that the survival of Israel has always been a vital national interest for the US. This issue was what was quoted on behalf the supreme leader of Iran in the news: "Iran's supreme leader, Ayatollah Ali Khamenei has criticized Obama as merely a continuation of President George W. Bush's policies towards Tehran's enemy, Israel. He has called Israel a '*cancerous tumour*' that is on the verge of collapse and has called for its destruction" (CBS News.com, 2009; mlive.com, 2009; msnbc, 2009).

A new beginning to the geopolitical crisis

Exactly one year later, in March 2010, president Obama in his new video massage to the Iranian people talked with people instead of leaders of Iran. He referred to the fact that Iranian leaders applied hostility to the US as an instrument of its legitimacy. Based on this view he accepted Iran's right to peaceful nuclear energy and said:

> *We are familiar with your grievances from the past.... We know what you're against; now tell us what you're for... the leaders of Iran have shown themselves unable to answer that question.... Faced with an extended hand, Iran's leaders have shown only a clenched fist* (Obama, 2009).

In fact Obama separated the Iranian people from their government; he reminded them of the post-election events in Iran, called the "Green movement" (*Jonbeshe-Sabz*), which was related to demonstrations of protests against the government because of the result of presidential election in June 2009.

> *Last June, the world watched with admiration, as Iranians sought to exercise their universal right to be heard. But tragically, the aspirations of the Iranian people were also met with a clenched fist...and people everywhere were horrified by the video of a young woman killed in the street...even as we continue to have differences with the Iranian government, we will sustain our commitment to a more hopeful future for the Iranian people* (Obama, 2009).

In this message, Obama was in fact supporting the Iranian protests. Although he said: *"The United States does not meddle in Iran's internal affairs"*, Iran's government accused the US and West of meddling in Iran's interior affairs. This behaviour was similar to Bush's action on July 12, 2002 when he stated: *"As Iran's people move towards a future defined by greater freedom, greater tolerance, they will have no better friend than the United States of America"* (Payvand.com, 2009*)*.

Another important point in Obama's massage related to American thought that can be analyzed in two sections: first, the US global policy to handle global issues has been changed from unilateralism to multilateralism, possibly as a result of the experience of the Iraq war in 2003. And second, resisting the American thought on its world leadership, or   what Colin Flint (2006) mentions as the US geopolitical code. Analysing the following sentences by Obama in his message reveals the importance of this thought for American statesmen.

> *Our commitment – our responsibility – is to stand up for those rights that should be universal to all human beings... The United States believes in the dignity of every human being, and an international order that bends the arc of history in the direction of justice – a future where Iranians can exercise their rights, to participate fully in the global economy, and enrich the world through educational and cultural exchanges beyond Iran's borders. That is the future that we seek. That is what America is for... Finally, let me be clear: we are working with the international community to hold the Iranian government accountable because they refuse to live up to their international obligations* (Obama, 2009).

The US policy towards a 'political activity by the other means'

From about this time, there were signs that things would come to a head and a crisis was on the way. It appeared that diplomatic policies had not been able to ease the tension between Iran and the US and probable that   the United States, according to Clausewitz view, would continue its "political activity by the other means" (Echevarria II, 2007, p. 90). Following in the tradition of other US presidents, Obama's administration presented its Nuclear Posture Review (NPR) on 6th April 2010, which outlined the US nuclear strategy. On the basis of this strategy "for the first time, the US is ruling out a nuclear response to attacks on America involving biological, chemical or conventional weapons. But this comes with a big caveat: countries will only be spared a US nuclear response if they comply with the Nuclear Non-Proliferation Treaty- this does not include Iran and North Korea" (B.B.C news, 2010). In this respect, the US Defense Secretary Robert Gates also declared that:

> *The [Nuclear Posture Review] has a very strong message for both Iran and North Korea…We essentially carve out states like Iran and North Korea, that are not in compliance with [the Nuclear Non-Proliferation Treaty], and basically all options are on the table when it comes to countries in that category along with non-state actors who might acquire nuclear weapons* (Los Angeles Times, 2010).

Military attack to Iran of course, has always been touted as one of the various options, especially by the Bush administration (Klare, 2007) to obligate Iran for following the US objectives in order to strength its hegemony in the Post-Cold War geopolitical world order. Some years ago also similarly, in September in 2004, a US attack on Iran to prevent Iran's nuclear activities was predictable and Bush explicitly said that: "*all options are on the table*" (Fox News.com, 2004). He repeated this statement during an interview on Israeli TV in August 2005

(USA TODAY. com, 2005) and reiterated it in April 2006 (B.B.C news, 2006). He also stressed this idea several times in June 2007 in a meeting with the Israeli Prime Minister. He declared that: "*My position has not changed. All options are on the table*" (Reuters, 2007).

But, the new American message was a clear threat to Iran, especially about its nuclear program. The Bush message was based on a policy of unilateralism, a policy that has lost its credibility particularly after the Iraq war. However, today it is seen a multilateral policy as well as a relative consensus among great powers especially over Iran's nuclear activities. In fact, it shows the relative success of the US to fit different states' geopolitical codes with its codes. It is interesting to note that Iran's efforts do not represent its tendency to reduce the existing tension. In this regard, for instance, contrary to the statements of the US statesmen, Iran also responded in an unfriendly tone when Ahmadinejad said: *"Obama made these latest remarks because he is inexperienced and an amateur politician," he also said "American politicians are like cowboys. Whenever they have legal shortcomings, their hands go to their guns"* (Reuters, 2010*)*.

This form of diplomacy reflects a kind of deadlock in the solution of Iran's nuclear issue and even in the reconstruction of US-Iran relations, which have been formed because of opposition in the interests of two global and regional powers. One of them pursues its regional and global objectives based on its ideological and political justifications, and the other attempts to promote its regional and global hegemony as well as gaining the highest position in the Post-Cold War geopolitical world order. Different political-geographical assumptions have formed different geopolitical codes at different levels and it seems that there is no possibility in fitting those codes to each other. Therefore, two states have been defined as enemy to each other and it seems that these differences and hostilities cannot be converted to friendly engagement and they should only surrender some their demands and change their positions. Otherwise, as Huntington (1999) declares, after applying the '*economic sanctions*' as the first tool, it will apply the second tool, namely '*military intervention*'. Although using force as "*the very last resort*" to deal with the problem of Iran, the US would pay a broader political price for such a choice (Kemp, 2003).

The US and geopolitical capabilities of Iran

Whether using force or any other tools against Iran, the US should remove its political and economic distance to Iran, a country that is one of the most important geopolitical rings in the world. In fact, the geopolitical capacities of Iran cannot be ignored by the US and other countries. Iran is, as Graham Fuller (1991) correctly puts it, the *"center of the universe"*. Richard Helms (former CIA Director and later Ambassador to Iran) also has referred to it as *"the real center of the world"* (Falk, 1979). This country is "the sixteenth largest country in the world. This is an area larger than France, Spain, Germany, and Italy combined" (Daniel, 2001, p. 6). More importantly, it is located between two of the world's major energy basins: the Persian Gulf and Caspian Sea, the great region which has been called the "*strategic energy ellipse*" (Kemp & Harkavy, 1997). Moreover, this country "is the second main oil producer in the Gulf region, having the world's third largest proven oil reserves and second largest proven reserves of gas" (IEA, 2010).

Iran geopolitically, is placed between three continents - Asia, Africa and Europe - and their events have significant over Iran. It is connected to the continental location of Eurasia and this is the region that in geopolitical and geo-strategic topics has always remained important. Mackinder's Heartland and Cohen's geopolitical model have studied about it. Iran also enjoys a marine location because of the long coasts of the Persian Gulf and Oman Sea in the south. Opinions of Mahan and Spykman about this region also show the importance of this mentioned field (Valdani, 2002). The importance of Iran's location has been seen in some significant global events and decisions during the second World war, for instance, it was a significant supply base for the middle east, particularly to transfer materials from the Persian gulf to the Soviet Union (Anderson, 2000), and it was also determined to be an obstacle against the geo-strategic goals of the Soviet Union in the Cold War era, until the emergence of the Islamic revolution in Iran. On the other hand, Iran, with the strategic Strait of Hormuz, has a strategic passage way position. This strait, along with Melaka and Bab-el-Mandeb straits have formed the three vital highways of world trade. In the case of the Hormuz Straits, it is a significant transfer zone of energy resources from the East to the West (Safavi, 1999).

Ideologically, today Iran is known as the center of Shi'ite thoughts in the world. It is also the only Shi'ite government in the Muslim world, while there are many Muslims around the world who are pursuing Iranian Islamic ideas. It seems that many Muslims across the world have accepted the Iranian foreign policy, especially towards the United States. Inside Iran, what is called Iran's national identity has given a kind of self confidence to the Iranian people. They claim that Iran, among the many nations, has a unique ancient civilization; Iran had

already been a victim of invading powers as well as a victim of military invasions and economic pressures in its history, and thus it must become powerful to be independent (Moshirzadeh, 2007).

The above mentioned reasons, besides other cultural, social and political reasons, justify the important position of Iran at least as a regional power, and basically this is what the United States must pay attention to it in regard to its regional and global objectives as well as every measure taken against Iran. Indeed, the US needs to solve its problem with Iran to maximize its global hegemony, which is not attainable without gaining the regional hegemony in the Middle East.   It will definitely be impracticable without the positive role of Iran. In fact, the US global geopolitical code determines the necessity of the positive presence of Iran as a main regional actor in the process of formation of a new geopolitical world order. Therefore, there is a strong relation between the geopolitical location of Iran, the importance of the region which possesses the largest energy reserves in the world, the national interests of the US and its allies, and the US global objectives in the Post-Cold War geopolitical world order.

Conclusion

What can be considered a result of this research is categorized into two main sections: first, it has seen the impact of the world's geopolitical developments on two countries' strategies as well as on their policies towards each other immediately after the Cold war era. In fact, the collapse of one superpower in the bipolar international system occurring in the neighbourhood of Iran and the appearance of many new independent political units are important because of geostrategic and geoeconomic reasons. On the one hand, The United States, as the only remaining superpower, is able to expand its geostrategic realm towards the East, and on the other hand, a major energy field has been created in this region, which is based on the Post-Cold War development regarding the importance of geoeconomic factors, leading to competition for access to these reserves. This 'surprising' occurrence changed many policies and the behaviour of countries, especially Iran-US relations. Therefore, on the one hand, this region became an arena for US-Iran political competition, and on the other hand, the USSR as an historical-ideological enemy was eliminated in Iran's political-ideological assumptions, although later, Russia became a friend of Iran in the political-economic sphere. Such cooperation started from 1995, particularly in the nuclear program and conventional weapons aspects. However, this cooperation, particularly with Chinese partners, formed a strong front against the US and its allies, and also helped Iran to insist on its ideas. It should be emphasized that the cooperation of both China and Russia with Iran can be analysed from the point of their global and regional objectives in the Post-Cold War geopolitical rivalries, but in fact,, cannot ensure Iran's national interests.

Second, reviewing the leaders' dialogues and countries' practices indicates the impact of the leaders' ideas and assumptions on the relations between two states, which show a fluctuating rise and fall curve in the political relations of the two states since 1989. The first change relates to the death of Ayatollah Khomeini in 1989, which led to a change in Iran's foreign policy that directly occurred under President Rafsanjani and his administration. He started expanding Iran's relations towards the neighbouring Persian Gulf countries and Europe. In fact, it was the beginning of an era during which more attention was paid to national interest rather than the ideological-revolutionary principles in Iran's foreign policy. However, the most significant changes based on leaders' ideas refer to the presidencies of George W. Bush and Barak Obama in the United States on the one hand, and Khatami and Ahmadinejad in Iran on the other. The dialogues and practices of President Bush and President Ahmadinejad aggravated hostilities between the two countries because of Bush's use of the terms *"Axis of Evil", "all options are on the table"*, "*a world without the United States and Zionism"*, and Ahmadinejad's "*American politicians are like cowboys"*. However, two others, president Khatami and President Obama tried to reduce hostilities between the two states by using phrases such as a "*crack in the wall of mistrust*", "*Dialogue among Civilizations*", *"an extended hand"* and so on. Obviously, the world's geopolitical circumstances or international environment, and domestic conditions or internal environment of two states have influenced their ideas and actions as well.

Among different factors, the nuclear program of Iran has posed the most important global and regional security problem, prompting the United States and other great powers such as Russia and China to readjust their positions in the process of forming the new geopolitical world order. It is basically followed via imposing the more powerful countries' geopolitical codes on less powerful countries, and it seems that the United States via Iran's nuclear issue tries to impose its geopolitical codes on other states. It relates to the US efforts to maximize its global hegemony through control of the regional powerful countries in the Middle East and therefore the largest energy reserves in the world. It also indicates regional and global geopolitical imperatives, which instigate US statesmen to engage in conflict with Iran, a country that has its specific important geopolitical traits which the US should accommodate.   Anyhow, conflicts of ideologies, national interests as well as regional and global

objectives of both Iran and the United states are predisposed to further conflict which has been done in the sanctions framework. If the two countries insist on keeping status quo, do not control their demands and refuse to change their political behaviours, to the ultimate consequence could be military confrontation in which case both parties will pay a substantial economic-political price.

References

Agnew, J., & Corbridge, S. (1995). *Mastering Space: Hegemony, territory and international political economy*. New York: Routledge.

Akiner, S. (2004). *The Caspian: Politics, Energy and Security*. New York: Routledge Curzon.

Allison, R., & Janson, L. (2001). *Central Asia Security: The new international context*. Washington D.C: Brooking institution press.

Anderson, E. W. (2000). *The Middle East: Geography and Geopolitics*. London: Routledge.

B.B.C News. (1998). Rushdie's relief over fatwa move. [Online] Available: http://news.bbc.co.uk/2/hi/uk_news/177987.stm (May 5, 2010)

B.B.C news. (2005). At-a-glance: 'Outposts of tyranny'. [Online] Available: http://news.bbc.co.uk/2/hi/americas/4187361.stm (May 25, 2010)

B.B.C news. (2006). Bush keeps Iran military option. [Online] Available: http://news.bbc.co.uk/2/hi/middle_east/4919804.stm (May 31, 2010)

B.B.C news. (2010). Obama limits US nuclear arms use. [Online] Available: http://news.bbc.co.uk/2/hi/8604217.stm (May 28, 2010)

Bill, J. A. (1999). Iran and the United States: A Clash of Hegemonies. *Middle East Report, 22*, 44-46. doi:10.2307/3012915, http://dx.doi.org/10.2307/3012915

Billon, p. L. (2004). The Geopolitical Economy of Resource Wars. *Geopolitics, 9 winter*(1), 1-28. doi:10.1080/14650040412331307812, http://dx.doi.org/10.1080/14650040412331307812

Bowen, W. Q., & Kidd, J. (2004). The Iranian Nuclear Challenge. *International Affairs, 80*(2), 257-276. doi:10.1111/j.1468-2346.2004.00382.x, http://dx.doi.org/10.1111/j.1468-2346.2004.00382.x

Bromley, S. (2006). Blood for oil? *New Political Economy, 11*(3), 419-434. doi:10.1111/j.1468-2346.2004.00382.x, http://dx.doi.org/10.1111/j.1468-2346.2004.00382.x

Brzezinski, Z. (1997). *The Grand Chessboard: American Primacy and its Geostrategic Imperatives*. New York: Basic Books.

Bush, G. H. W. (1990). George H. W. Bush's Address to Congress on the Persian Gulf Crisis. [Online] Available:
http://www.milestonedocuments.com/documents/full-text/george-h-w-bushs-address-to-congress-on-the-persian-gulf-crisis/ (May 20, 2010)

Bush, G. H. W. (1991). Address Before a Joint Session of Congress on the End of the Gulf War (March 6, 1991). [Online] Available: http://millercenter.org/scripps/archive/speeches/detail/3430 (May 20, 2010)

Bush, G. W. (2001). National Energy Policy Report. [Online] Available: http://www.wtrg.com/EnergyReport/National-Energy-Policy.pdf

Bush, G. W. (2002). *President Delivers State of the Union Address (January 29, 2002)*. [Online] Available: http://georgewbush-whitehouse.archives.gov/news/releases/2002/01/20020129-11.html (September 22, 2010)

Carter, H., & Ehteshami, A. (2004). *The Middle East's relations with Asia and Russia*. London: Routledge Curzon.

CBS News.com. (2009). Obama Appeals Directly To Iranian People. [Online] Available: http://www.cbsnews.com/stories/2009/03/20/politics/100days/worldaffairs/main4878320.shtml (May 26, 2010)

CNN. (1998). Khatami suggests warmer relations with U.S. [Online] Available: http://edition.cnn.com/WORLD/9801/07/iran/ (May 9, 2010)

CNN.com. (2001a). Divisions evident in Islamic Mideast, N. Africa. [Online] Available: http://edition.cnn.com/2001/WORLD/meast/09/24/arab.standpoints/index.html (May 21, 2010)

CNN.com. (2001b). World shock over U.S attacks. [Online] Available: http://edition.cnn.com/2001/WORLD/europe/09/11/trade.centre.reaction/ (May 21, 2010)

CNN.com. (2001c). 'You are either with us or against us'. [Online] Available: http://edition.cnn.com/2001/US/11/06/gen.attack.on.terror/ (May 22, 2010)

CNN.com. (2005). Iranian leader: Wipe out Israel. [Online] Available: http://edition.cnn.com/2005/WORLD/meast/10/26/ahmadinejad/index.html (May 24, 2010)

Cohen, S. B. (1991). Global Geopolitical change in the post-cold war era. *Annals of the Association of American geographers, 81*(4), 551-580. doi:10.1111/j.1467-8306.1991.tb01709.x, http://dx.doi.org/10.1111/j.1467-8306.1991.tb01709.x

Cohen, S. B. (2003). Geopolitical realities and United States foreign policy. *Political geography, 22*, 1-33. doi:10.1016/S0962-6298(02)00069-0, http://dx.doi.org/10.1016/S0962-6298(02)00069-0

Cohen, W. S. (2001). *Proliferation: Threat and Response*. Washington, D.C.: Department of Defense.

Coll, A. R. (1992). america as the grand facilitator. *Foreign Policy, 87*, 47-66. doi:10.2307/1149160, http://dx.doi.org/10.2307/1149160

Cordesman, A. H., & Al-Rodhan, K. R. (2006). *Iran's Weapons of mass destruction: the real and potential threat*. Washington, D.C.: Center for Strategic and International Studies.

Cox, R. W. (1981). Social Forces, States and World Orders: Beyond International Relations Theory. *Millennium - Journal of International Studies, 10*(2), 126-155.

Daniel, E. L. (2001). *The history of Iran*. Westport: Greenwood Publishing Group.

Dijkink, G. (1998). Geopolitical codes and popular representations. *GeoJournal, 46*, 293-299. doi:10.1023/A:1006999221884, http://dx.doi.org/10.1023/A:1006999221884

Echevarria II, A. J. (2007). On the Clausewitz of the Cold War: Reconsidering the Primacy of Policy in On War. *Armed Forces & Society, 34*(1), 90-108. doi:10.1177/0002764206294175, http://dx.doi.org/10.1177/0002764206294175

Falk, R. (1979). Iran and American geopolitics in the Gulf. *Race & Class, 21*(1), 41-55. doi:10.1177/030639687902100105, http://dx.doi.org/10.1177/030639687902100105

Fars News Agency. (2010). The Iranian historical movement is a global role. [Online] Available: http://www.farsnews.com/newstext.php?nn=8902291501 (20 May, 2010)

Flint, C. (2006). *Introduction to Geopolitics*. Obingdon: Routledge.

Flint, C., Adduci, M., Chen, M., & Chi, S.-h. (2009). Mapping the Dynamism of the United States' Geopolitical Code: The Geography of the State of the Union Speeches, 1988–2008. *Geopolitics, 14*, 604-629. doi:10.1080/14650040802693929, http://dx.doi.org/10.1080/14650040802693929

Flint, C., & Taylor, P. J. (2007). *Political Geography: World - Economy, Nation - State and Locality*. Harlow: Pearson Education Limited.

Fox News.com. (2003). Bush: We 'Will Not Tolerate' Nukes in Iran. [Online] Available: http://www.foxnews.com/story/0,2933,89791,00.html (May 30, 2010)

Fox News.com. (2004). TRANSCRIPT: BUSH TALKS TO O'REILLY. [Online] Available: http://www.foxnews.com/story/0,2933,133712,00.html (May 30, 2010)

Fuller, G. E. (1991). *The center of the universe: Geopolitics of Iran* Boulder, Colorado: Westview Press.

Gaddis, J. L. (1982). *Strategies of containment: A critical appraisal of Postwar American national security policy*. New York: Oxford University Press.

Ganji, M. (2002). *Defying the Iranian revolution: from a minister to the Shah to a leader of resistance*. Westport: Greenwood Publishing Group, Inc.

Gerges, F. A. (1999). *America and political Islam: Clash of cultures or clash of interests?* Cambridge: The university of Cambridge.

Hafeznia, M. (2006). *Principles and concepts of Geopolitics*. Mashhad: Papoli Publication.

Harvey, D. (2005). *The new Imprialism*. New York: Oxford University Press Inc.

Henrikson, A. K. (1980). The Geographical "mental maps" Of American foreign policy makers *International political science review, 1*(4), 495-530. doi:10.1177/019251218000100405, http://dx.doi.org/10.1177/019251218000100405

Henrikson, A. K. (2002). Distance and Foreign Policy: A Political Geography Approach. *International political science review, 23*(4), 437-466. doi:10.1177/0192512102023004007, http://dx.doi.org/10.1177/0192512102023004007

Huntington, S. P. (1993). The Clash of Civilizations? *Foreign Affairs, 72*(3), 22-49. doi:10.2307/20045621, http://dx.doi.org/10.2307/20045621

Huntington, S. P. (1999). The lonely Superpower. *Foreign Affairs, 7*(2), 35-49. doi:10.2307/20049207, http://dx.doi.org/10.2307/20049207

IEA. (2010). Beyond the OECD- Iran, Islamic Republic of. [Online] Available: http://www.iea.org/country/n_country.asp?country_code=ir (June 5, 2010)

Iseri, E. (2009). The US Grand strategy and the Eurasian Heartland in the Twenty-First century. *Geopolitics, 14*, 26-46. doi:10.1080/14650040802578658, http://dx.doi.org/10.1080/14650040802578658

Johnston, R. J., Gregory, D., Pratt, G., & Watts, M. (2000). *The dictionary of human geography* (4 ed.). Malden: Wiley-Blackwell.

Joyner, C. C. (1990). *The Persian Gulf War: lessones for strategy, law, and diplomacy*. Westport: Greenwood press, Inc.

Kemp, G. (2003). How to stop the Iranian Bomb. *National Interest, 72*, 48-58.

Kemp, G., & Harkavy, R. E. (1997). *Strategic Geography and the changing Middle East*. Washington, DC: Carnegie Endowment.

Kissinger, H. A., Giscard d'Estaing, V., & Nakasone, Y. (1989). East-West relations. *Foreign affairs, 68*(3), 1-21. doi:10.2307/20044005, http://dx.doi.org/10.2307/20044005

Klare, M. T. (2001). the new geography of conflict. *Foreign Affairs, 80*(3), 49-61. doi:10.2307/20050150, http://dx.doi.org/10.2307/20050150

Klare, M. T. (2007). Bush's Future Iran War Speech: Three Charges in the Case for War. [Online] Available: http://www.commondreams.org/views07/0226-26.htm (May 30, 2010)

Lewis, J. E. (2006). Replace Turkey as a strategic Partner? *Middle East Quarterly, Spring*, 45-52.

Los Angeles Times. (2010). U.S. warns Iran and North Korea in new nuclear policy. [Online] Available: http://latimesblogs.latimes.com/dcnow/2010/04/us-warns-iran-and-north-korea-in-new-nuclear-policy.html (May 28, 2010)

Marschall, C. (2003). *Iran's Persian Gulf Policy: from Khomeini to Khatami*. London: Routledge Curzon.

Merriam, S. B. (1998). *Qualitative Research and Case study application in Education: Revised and Expanded from Case Study Research in Education*. San Francisco: Jossey-Bass Publishers.

Mesbahi, M. (2004). Iran and Central asia: Paradigm and policy. *Central asian survey, june 23*(2), 109.

Mirheydar, D. (2001). The Caspian Sea geopolitics. *Quarterly of Central Asia and Caucasia studies, 35*, 55-96.

mlive.com. (2009). President Barack Obama reaches out to Iran with video message timed to 'season of new beginnings'. [Online] Available: http://www.mlive.com/politics/index.ssf/2009/03/president_barack_obama_reaches.html (May 26, 2010)

Mojtahedzadeh, P. (2000). *Geopolitical ideas and Iranian realities*. Tehran: Ney publication.

Moshirzadeh, H. (2007). Discursive Foundations of Iran's Nuclear Policy. *Security Dialogue, 38*(4), 521-543. doi:10.1177/0967010607084999, http://dx.doi.org/10.1177/0967010607084999

msnbc. (2008). Ahmadinejad offers congratulations to Obama. [Online] Available: http://www.msnbc.msn.com/id/27575431/ (May 26, 2010)

msnbc. (2009). Obama reaches out to Iran via video; President says the U.S. wants to end decades-old strains on relationship. [Online] Available: http://www.msnbc.msn.com/id/29785710/ (May 26, 2010)

Murphy, A. B., Bassin, M., Newman, D., Reuber, P., & Agnew, J. (2004). Is there a politics to geopolitics? *progress in Human Geography, 28*(5), 619-640. doi:10.1191/0309132504ph508oa, http://dx.doi.org/10.1191/0309132504ph508oa

Naji, S., & Jayum, A. J. (2011). The US Geopolitical Codes and Its Influences on the US-Iran Relations: The Case of George W. Bush's Presidency. *Journal of Politics and Law, 4*(1), 232-241.

Nijman, J. (1992). The Political Geography of the Post Cold War World. *Professional Geographer, 44*(1), 1-3. doi:10.1111/j.0033-0124.1992.00001.x, http://dx.doi.org/10.1111/j.0033-0124.1992.00001.x

Nijman, J. (1993). *The geopolitics of power and conflict: superpowers in the international system*. London: belhaven press.

O'Loughlin, J. (1992). Ten Scenarios for a "New World Order". *The Professional Geographer, 44*(1), 22-28. doi:10.1111/j.0033-0124.1992.00022.x, http://dx.doi.org/10.1111/j.0033-0124.1992.00022.x

O'Loughlin, J. (2000). Ordering the 'Crush Zone': Geopolitical Games in post-cold War Eastern Europe. In N. Kliot & D. Newman (Eds.), *Geopolitics at the End of the Twentieth Century: The Changing World Political Map* (pp. 34-56). London: Frank Cass Publishers.

O'Tuathail, G. (1992). The Bush administration and the 'End' of cold war: a critical geopolitics of U.S. foreign policy in 1989. *Geoforum, 23*(4), 437-452. doi:10.1016/0016-7185(92)90001-K, http://dx.doi.org/10.1016/0016-7185(92)90001-K

O'Tuathail, G., Dalby, S., & Routledge, P. (1998). *The Geopolitics Reader* (first edition ed.). New York: Routledge.

Obama, B. H. (2009). Latest Iran Video and Transcript: Obama's Nowruz Message (20 March). [Online] Available:
http://enduringamerica.com/2010/03/20/latest-iran-video-and-transcript-obamas-nowruz-message-20-march/
(May 27, 2010)

Payvand.com. (2009). President Bush's policies towards Iran. [Online] Available: http://payvand.com/news/09/jan/1248.html (June 4, 2010)

Peters, S. (2004). Coercive western energy security strategies: 'Resource Wars' as a new threat to global security. *Geopolitics, 9*(1), 187-212. doi:10.1080/14650040412331307882, http://dx.doi.org/10.1080/14650040412331307882

Rakel, E. P. (2007). Iranian Foreign Policy since the Iranian Islamic Revolution: 1979-2006. *Perspectives on global development and technology (PGDT), 6*, 159-187. doi:10.1163/156914907X207711, http://dx.doi.org/10.1163/156914907X207711

Reuters. (2007). Bush says all options on table on Iran. [Online] Available: http://www.reuters.com/article/idUSN1945300920070619 (May 31, 2010)

Reuters. (2010). Iran's president attacks Obama on nuclear "threat". [Online] Available: http://www.reuters.com/article/idUSTRE6362IJ20100407 (May 27, 2010)

RNW. (2010). Iran's Ahmadinejad lambasts Russia over nuclear stance. [Online] Available: http://www.rnw.nl/english/bulletin/irans-ahmadinejad-lambasts-russia-over-nuclear-stance-1# (May 27, 2010)

Roskin, M. G., & Berry, N. O. (2008). *The New World of International Relations* (7th Edition ed.). Upper Saddle River, New Jersey: Pearson Education, Inc.

Roskin, M. G., Cord, R. L., Medeiros, J. A., & Jones, W. S. (2008). *Political Science: An intruduction* (Tenth Edition ed.). Upper Saddle River, New Jersey: Pearson Education, Inc.

Safavi, S. Y. (1999). *Introduction to military geography of iran* (Vol. 1). Tehran: Publication of Armed forces geographical organisation.

Soltani, F., & Jawan, J., A. (2010). Compassionate Conservatism VS Bush Doctrine. *Cross-Cultural Communication, 6*(3), 55-71.

Sorensen, G. (2006). What Kind of World Order?: The International System in the New Millennium. *Cooperation and Conflict: Journal of the Nordic International Studies Association, 41*(4), 343-363. doi:10.1177/0010836706069610, http://dx.doi.org/10.1177/0010836706069610

Tarock, A. (1996). US-Iran Relations: Heading for confrontation? *Third World Quarterly, 17*(1), 149-167. doi:10.1080/01436599650035824, http://dx.doi.org/10.1080/01436599650035824

Taylor, P. J. (1992). Tribulations of Transition. *Professional Geographer, 44*(1), 10-13. doi:10.1111/j.0033-0124.1992.00010.x, http://dx.doi.org/10.1111/j.0033-0124.1992.00010.x

Taylor, P. J., & Flint, C. (2000). *Political Geography: World - economy, nation - states and locality* (fourth edition ed.). London: Pearson education.

Tehran Times. (2010a). New Iran nuclear deal is a good start. [Online] Available: http://www.tehrantimes.com/index_View.asp?code=219746 (May 26, 2010)

Tehran Times. (2010b). Shanghai defense bloc won't accept Iran as member: report. [Online] Available: http://www.tehrantimes.com/Index_view.asp?code=219989 (May 25, 2010)

The New York Times. (2005). Wipe Israel 'off the map' Iranian says. [Online] Available: http://www.nytimes.com/2005/10/26/world/africa/26iht-iran.html (May 24, 2010)

USA TODAY. com. (2005). Bush: 'All options are on the table' regarding Iran's nuclear aspirations. [Online] Available: http://www.usatoday.com/news/washington/2005-08-13-bush-iran-nuclear_x.htm (May 31, 2010)

Valdani, A. J. (2002). *New geopolitics of the Red Sea and the Persian Gulf*. Tehran: publication of foreign ministry of Iran.

Wallerstein, I. (1993). The World-System after the Cold War. *Journal of Peace Research, 30*(1), 1-6. doi:10.1177/0022343393030001001, http://dx.doi.org/10.1177/0022343393030001001

Yazdani, E., & Hussain, R. (2006). United States' Policy towards Iran after the Islamic Revolution: An Iranian Perspective *International Studies, 43*(3), 267-289. doi:10.1177/002088170604300302, http://dx.doi.org/10.1177/002088170604300302

An Analysis of Risks of Electric Charge in Electric Network Enterprises under the Influences of the Financial Crisis and Causes for the Risks

Yimin Liu

School of Economics and Management, North China Electric Power University

Beijing 102206, China

Kun Zhou

School of Business Administration, North China Electric Power University

Baoding 071003, China

Haiyang Hou

School of Business Administration, North China Electric Power University

Baoding 071003, China

Jinpeng Liu (Corresponding author)

School of Economics and Management, North China Electric Power University

Beijing 102206, China

E-mail: hbdlljp@163.com

Abstract

The financial crisis has exerted influences of different degrees within a global scope, and, in the meanwhile, has brought about definite risks to the electric charge management in electric network enterprises. This paper makes a comprehensive analysis of prominent risks and characteristic changes in electric charge management in electric network enterprises under influences of the financial crisis, and studies the sources and major causes for the risks of electric charge by taking Hunan Electric Power Company as the case study, which has great reference significance for electric network enterprises to further strengthen the electric charge management work and enhance the comprehensive risk management level.

Keywords: Financial crisis, Electric network enterprises, Risks of electric charge

1. Introduction

Ever since late September 2008, the survival environment of enterprises in China has been persistently deteriorating as a result of the influences of the global financial crisis, the decelerated domestic economic growth, market sluggishness, rise in the price of raw materials, adjustment of the industrial structure, adjustment of the electric price and the tax policy of the nation, etc. The operation environment has also been deteriorating in the following industries which occupy a leading position in the electricity sales of the electric network enterprises: steel, building material, chemical engineering, automobile, electrolytic aluminium, real estate and textile, etc.. Consequently, quite a large number of enterprises are compelled to stop production and even shut down, as a result of which the electricity sales obviously decline and the rate of increase in the electricity sales of electric network enterprises obviously falls after rise. Furthermore, the products of the enterprises are kept long in stock, which results in slowed withdrawal of capital, serious shortage of working capital, broken upstream and downstream industrial chains that give rise to new defaulting chains, more complicated and difficult electric charge recovery environment, continuously increasing risk in the newly defaulted electric charge and more and

more difficult recovery of formerly defaulted electric charge which is more serious in defaulting of enterprises with high consumption of energy. In the recent two years, the global economic growth has been still decelerated and contradictions and problems in the domestic economic running become more obvious. As a result, the operation situation in electric network enterprises becomes more difficult and the situation of recovering the electric charge becomes more austere.

2. Prominent risks faced up by electric charge management under the influences of the financial crisis

2.1 The financial crisis leading to declining capacity of electricity utilization of clients

Affected by the financial crisis, the electricity utilization amount in China fell back swiftly. In 2008, the electricity utilization amount in the whole country gradually slowed down in its speed of increase, and the total electricity utilization amount all over the country in the whole year was 3426.8 billion kilowatt-hours, with an increase of 5.23% compared with the same period of the previous year and falling 9.57% compared with the previous year. That had been the lowest speed of increase ever since the year 2000. Not only the total electricity utilization amount in the fourth quarter of this year was the lowest, but also a negative growth of over 7% appeared during that period. The amount of electricity utilization by industries accounted for a large proportion of the total electricity utilization amount in the whole society. The financial crisis led to declined demands by the market on industrial products, and production of enterprises gradually reduced and their electricity utilization also declined, which were the major factors that led to reduced electricity utilization amount and declining electricity utilization capacity of the whole society. In 2008, the total electricity utilization amount in the secondary industry reached 2586.3 billion kilowatt-hours, only increasing 3.83%. The rate of increase in electricity utilization amount in the secondary industry, for the first time, was lower than the rate of increase in electricity utilization amount of the whole society.

Since the economic structure in Hunan Province is centered with industries of high consumption of energy, influences of the financial crisis upon them are more direct, and the range of declining in electricity utilization amount was quite severe. According to statistics, the electricity utilization amount of the whole society in Hunan Province in 2008 was 64.993 billion kilowatt-hours, which increased by 3.51% compared with the same period of the former year and fell by 13.66 percentages than the previous year, with an increase rate of merely 1/5 compared with the year 2007. Amount of electricity utilization by large industries was 32.209 billion kilowatt-hours, which accounted for 49.56% of the total amount of electricity utilization by the whole society, but which only increased by 0.74% compared with the previous year, 2.77 percentage points lower than the speed of increase in amount of electricity utilization in the whole society. Furthermore, all large industries had a negative growth of electricity utilization amount in each month of the fourth quarter. The direct outcome brought about by the economic recession will necessarily be the shrunk entire consumption market, which, in turn, is especially prominent in the industries of catering, entertainment, commodity retail and wholesale, etc. The shrunk consumption market leads to recued amount of electricity utilization and declining electricity utilization capacity of these large industries. Reduction of the amount of electricity utilization directly affects sales income and realization of the profit of the enterprises and their capacity of profit-making is also seriously affected.

2.2 The financial crisis leading to declining repayment capacity and repayment will of clients

Affected by the financial crisis, quite a large number of enterprises get impacted in their economic benefits, as a result of which they go bankrupt and are shut down, losing the capacity of repayment. Bankruptcy and shutting down of these enterprises give rise to the double losses both in electric charge and liquidated damages of the electric network companies. Enterprises of electricity utilizers which are at a state of shut-down and semi-shutdown are also on an increase to a large extent. The operation effectiveness of these enterprises is in a negative condition, as a result of which their capital chain is broken, unable to make both ends meet, their capacity of repayment declines, they can't pay for their electric charge and arrearage happens in their electric bill. It is exactly as a result of emergence of the financial crisis that the economic competence of the clients is greatly frustrated. Thus, their will of repayment obviously declines and they try every means to take each excuse to default the electric bill.

Through the above analysis, it can be found that, the enterprises are faced up with the double pressure of reduced sales income and increased arrearage in the electric bill in the environment of the financial crisis, which leads to reduced profit and unsmooth cash flow. Hence, if these enterprises are unable to control and manage risks in electric charge in an appropriate way, this might affect the repayment capacity of the enterprises, their operation capacity and profit-making capacity in the future.

3. Changes of features of risks in electric charge under the influences of the financial crisis

3.1 Changes in the structure of the clients who default electric charge

We make an analysis by taking as the case study data of recovery of electric bill in Hunan Electric Power Company in the recent five years, and the entire electric bill risk structure has taken great changes as a result of the financial crisis. Arrearage of enterprise clients in the year 2005 and the year 2006 was zero, and almost all clients who defaulted the electric charge were residents, so the risk in electric bill mainly came from arrearage of utilization of electricity for living of urban and rural residents. There was no arrearage in the year 2007. However, the total arrearage of the entire industry in Hunan Electric Power Company in 2008 amounted to 33.229 million Renminbi Yuan, including 27.5775 million Renminbi Yuan in arrearage of industrial electricity utilization and 5.6515 million Renminbi Yuan in arrearage of living electricity utilization of urban and rural residents, with the major electricity charge risk coming from arrearage of industrial electricity utilization. This was mainly because the financial crisis caused lots of enterprises to be compelled to stop production and even shut down. As a result, the working capital was in serious shortage and these enterprises were unable to pay for their electric bill. Thus, arrearage of industrial electricity utilization increased rapidly. Arrearage of industrial electricity utilization was mainly owing to arrearage of the secondary industrial electricity utilization, and second was the arrearage of electricity utilization in the tertiary industry. The financial crisis had relatively small influences upon recovery of electric bill of living electricity utilization of urban and rural residents. Arrearage of living electricity utilization of urban and rural residents was mainly due to electricity utilization of urban and town residents, and second was electricity utilization of rural residents.

3.2 Changes in the environment of credit in electric charge collection

In realistic life, quite a lot of enterprises and residents have no good faith and even borrow a variety of excuses and means to default their electric bill. Some enterprises take advantages of leakage in policies and legal regulations to default their electric bill with malevolence and eve3n directly steal electricity to avoid paying for their electric bill. According to data in 2004, it was discovered through statistics by the electric power department that, the amount of electricity that was stolen each year in the whole province of Hunan exceeded 0.2 billion kilowatt-hours, which amounted to the amount of electricity utilization of a medium-sized county within one year. Quite a lot of enterprises and residents have misunderstandings in their awareness, and they are unaware that electricity is a sort of commodity. The idea of "electricity utilization first and then payment of the electric bill" has been firmly rooted in their mind, and they have no consciousness to pay for the electric bill in time, reluctant to make deposit and to pay for the electric bill actively. After the outbreak of the financial crisis, the situation of defaulting in electricity bill has become more and more serious and a large number of enterprises and residents resort to the wind of the financial crisis to default their electric bill more willfully with the excuses of difficult operation, shortage in capital and hard living, etc. Loss of credit among enterprises and residents bring about huge losses and highs risks in recovery of electric bill to the electric network companies.

4. Sources of risks in recovery of electric bill under influences of the financial crisis

4.1 Risks caused by improper operation of the enterprises

4.1.1 Most defaulting enterprises are large-scale state-owned enterprises that are improperly operated

With gradual establishment of improvement of the market economic system in the 90s in the Twentieth Century, loss of the governmental protection made state-owned enterprises improperly operated. With adjustment of the industrial structure and increasingly fierce market economic competition, there will necessarily be a lot of enterprises each year which make a loss or shut down to reform their system. With implementation of such policies of "shutdown, stop of production, mergering, transfer and moving", there are some enterprises that are shut down, stop production and go bankrupt. Especially ever since the financial crisis that broke out in 2008, as a result of shrunk market demand, reduced sales of products and declining capacity of profit-making, quite a large quantity of enterprises have gone bankrupt. What's more, arrearage of enterprises that go bankrupt and reform their system are more a troublesome issue in recovery of electric bill by the electric network companies. Usually, these enterprises put electric charge at the end of all items to be paid, which results in arrearage of electric charge.

4.1.2 Most defaulting enterprises are those with high consumption of energy

Let's take Hunan Province as the case study. Hunan is a base for production of energy and raw materials, and annual production of steel, cement and coal requires huge electricity utilization amount, and, furthermore, cement, steel and smelting all belong to industries with high consumption of energy. According to an analysis, production of one ton of cement consumes 40 kilowatt hours of electricity and smelting of one ton of steel needs

more than 600 kilowatt hours of electricity. All these enterprises have enormous consumption of electricity, and so long as they don't pay for the electric bill in time for a short period of time, their electric charge will become much higher just like a rolling snowball. After outbreak of the financial crisis, this phenomenon has been existing all the time and enterprises with high consumption of energy is a great hidden danger to recovery of electric bill by the electric network companies.

4.2 Risks caused by loss of credit of the enterprises

Under the influences of the financial crisis, as a result of deteriorated operation condition, some enterprises are in shortage of their capital chain and the mobility of their capital is not sufficient. Moreover, quite a lot of defaulting enterprises are capital intensive enterprises, so they are greatly dependent on capital. Besides, lots of electricity utilization clients don't observe contracts and keep their promises, especially those clients who are difficult in operation and who are shortage of capital. They have no consciousness of paying for their electric bill in time, and they always try every means to take a variety of excuses to default their electric bill and thus they occupy the capital that is supposed to belong to the electric network companies to seek for their own interests. Considering the subjects of defaulting electric bill, they are usually some enterprises with high consumption of energy, industries with high risks and large industrial clients. They not only utilize huge amount of electricity, but are also supposed to pay for huge electricity charge. There are also some resident clients who have weak consciousness in utilizing electricity pursuant to the law and paying for the electric bill pursuant to the law, and they often have a fluke mind, mistakenly believing that electric power belongs to the country and they may default so long as the condition requires.

4.3 Risks caused by intervention of a third party

Out of consideration of local protection and other factors, some local governmental departments often make interventions in the case that electric network companies decide to ration electric power in order to hasten defaulting clients to pay for their electric bill. The reason is that electric power industry has great influences upon economic development and living condition of the public group. Thus, once the power rationing is put into practice, it will affect a series of problems, such as, production of enterprises, employment, normal income of the public, social stability and confidence in recovery of the financial condition, etc. In order to resolve disputes and alleviate contradictions, the governmental departments have no other choice but to show up to make administrative mediation, such as, ordering the electric network companies to recover power supply, etc. Therefore, the attribute of electric power commodities is often restrained to a certain extent, which may give rise to arrearage of electric charge.

5. Analysis of causes for risks in recovery of electric bill

5.1 The electric network enterprises assume public service functions

Electric power belongs to public commodity and electric network enterprises belong to social public utilities. Arrearage of clients to electric network companies seriously affects the benefits of electric network companies. Since the electric network companies assume social public service functions, their behavioral targets have the characteristics of diversification. In the market economic condition, electric network companies also have to practically satisfy demands of national economic development and improvement of people's life quality on electric power in addition to pursuing economic benefits and ensuring maintenance and appreciation of values of the state-owned property as state-owned enterprises. In addition, they have to offer high-quality, convenient and economical service for power generation enterprises and electric power users and have to regard secure supply of electricity and first-rate service as one of the primary targets of the enterprises all the time. However, with outbreak of the financial crisis, heavy losses are inflicted on the national economy, and the life quality of the people is seriously affected. As state-owned enterprises, electric network companies assume the public service functions, so even if they can't make both ends meet themselves and even if their clients default their electric bill, they also have to have the perseverance to offer sufficient and first-rate electric power products for their clients for stability and development of the nation and for vital interests of the people. Therefore, compared with general competitive enterprises, electric network companies more assume the task of realizing the public target of the nation.

5.2 The payment model of electricity utilization first and then electricity bill

Electricity is a sort of particular commodity and trade of electricity can only be manifested as the mode of real time measurement and settlement after the event. Management of charging the electric bill by former electric network companies was "electricity utilization first and then payment of the electric bill". From the perspective of marketing, this mode of "electricity utilization first and then payment of the electric bill" is, as a matter of fact,

a model of sales on credit, which is also termed as credit selling model. The mode of payment for electric bill requires both of the two parties of electricity supply and electricity utilization negotiate to be consistent and we can't take coercive measures to require all clients to make prepayment for their electric bill. Especially for those industries and commercial clients who have a large amount of electricity utilization, if they make prepayment for their electric bill, it means they keep long in stock their working capital. Reduction on working capital would give rise to definite capital pressure upon the operation activities of these enterprises. Nevertheless, essentially, it means has nothing different to let electric power departments pay for the costs of generating and supplying of electricity for their clients. There are even some clients who are unable to pay for their electric bill by due date due to certain reasons, arrearage happens and even bad loan and dead loan, which will lead to great losses to the electric network companies. Especially under the influences of the financial crisis which broke out in the year 2008, some enterprises decreased in their capacity of profit-making and they even made a loss and went bankrupt. Consequently, some enterprises had no capacity of paying for their electric bill after they had utilized the electricity, and even some defaulting clients could no longer be found, so essentially there was no way to claim for the electric charge.

5.3 The economic environment is difficult to predict

Influences of the financial crisis are manifested in detail as follows: aggravated imbalance of the global economy, decelerated speed of increase of the economic development, more fierce international and domestic competition, aggravated trade protectionism, more trade frictions, continuously deteriorated external environment, great pressure in growth of export, slowdown tendency of consumption growth, medium phase of adjustment in the real estate market, obviously declining capacity of profit making and obviously weakened motive of growth in economic endogeneity, etc. All these continuously changing factors cause the electric charge to be faced up with more uncertainty and the risks in recovery of electric bill rise.

5.4 Disadvantages in management work of risks in electric charge in electric network enterprises

A comparison of practical experiences in risk management in domestic and foreign enterprises, we can find out the following several disadvantages in the risk management of electric charge by electric network enterprises. Firstly, establishment of the system of risk management of electric charge calls for further united planning and deployment. Yet, great discrepancies exist between foundations of work in different power supply companies, which requires to further unify risk standard and risk management flow and to further strengthen overall planning of establishment of the system. Secondly, the overall process of risk management of electric charge based on overall risk management is urgently required to be established. Although power supply companies have certain explanations and introductions to some important aspects in the overall process of risk management of electric charge, an overall process of risk management of electric charge based on the overall risk management still needs to be established, since this process is not only the process of risk management of the electric charge of the companies, but also the foundation for all departments of the companies to make an assessment on the risk management of the electric charge. Thirdly, the system of report on risk management of electric charge needs to be continuously improved and establishment of information system to adapt to the risk management of electric charge is also extremely necessary. In the meanwhile, dynamic monitoring and assessment of the risk management of electric charge of the companies and continuously improved mechanism measures still need to be make sound so as to guarantee effective implementation and everlasting improvement of the risk management of electric charge and guarantee the system of risk management of electric charge will continue to play its pushing role in realization of the strategic goal. Finally, establishment of corporate culture to comply with the establishment of risk management system of electric charge also is urgently to be strengthened. In the long term risk management work of electric charge, quite a large quantity of employees have already had better risk consciousness, but there are still some employees with weak consciousness of risk and have no enough knowledge in the importance and necessity of risk management of electric charge. Consequently, the phenomena often occur which cause incidents of violating the law as a result of not observing relevant rules and regulations,

6. Conclusion

Based on an analysis of the macro environment of overall influences of the financial crisis upon enterprises, this paper has meticulously studied relevant issues of risks in electric charge in electric network enterprises. On one hand, the authors described prominent risks and feature changes in electric network enterprises in the realistic environment. On the other hand, the authors made an in-depth exploration into sources of and causes for the risks, which would not only push forward enrichment of the theory of risk management, but would also offer perfect analysis platform for enterprises to resolve realistic issues.

References

Huang, Baozhu. (2006). On the Tariff Recovery Risk and Countermeasures. *Rural Electrician*, (03).

Liu, Huibo. (2007). Pre-control management of retrieving electricity bill risk. *Distribution & Utilization*, (02).

Tang, Haiyan. (2009). Countermeasures to Implementation of Recovery of Electric Bill. *Popular Utilization of Electricity*, (03).

Wang, Jing. (2009). Brief Discussion on Improvement of the Recovery of Electric Bill by Power Supply Companies. *China Electric Power Education*, (17).

Xie, Wanchun. (2009). Graded Early Warning of Electric Bill. *China Power Enterprise Management*, (05).

Zhang, Yuanzhen. (2007). Management of Graded and Classified Early Warning of Electric Bill. *China Power Enterprise Management*, (05).

Study on Existing Issues and Countermeasures of Accounting Information Disclosure of Listed Companies in China

Zhenghong Che & Huiying Wang

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

Changchun 130022, China

E-mail: czh912@126.com

Abstract

Information disclosure of listed companies is of great importance to the stock market in China, because sufficient disclosure of information is an issue that calls for urgent resolution to enhance the efficiency of stock market. This article analyzes some issues existing in information disclosure of listed companies in the stock market and finally proposes countermeasures to improve information disclosure issues in the stock market in China.

Keywords: Listed company, Information disclosure, Standard, Supervision

Information disclosure of listed companies means that any information should be made public according to normative standards that might affect such information users as stockholders, creditors or potential investors' making rational judgment on the current and future operational condition of the listed companies and affect their decision making behaviors. The purpose of accounting information disclosure of listed companies is to enable information users to obtain equal necessary information, make correct decisions of investment and protect legitimate rights of investors and other interests of the social public.

1. Significance of information disclosure to the stock market in China

Information disclosure system, also termed as announcement system and public disclosure system, means that listed companies have to report their financial changes, information and data of their operational conditions to security administration department and stock exchange in pursuant to legal regulations in order to guarantee interests of investors and accept supervision of the social public, and make all the information and data public or announced, so as to enable investors to have a complete mastery of the situation. Information disclosure system not only includes disclosure prior to its release, but also includes continuing disclosure of information after the companies are listed, which mainly constitutes prospectus system, periodical report system and interim report system.

In the stock market, uncertainty and risk are the important factors that affect the price of the securities and that constitute characteristics of the securities. Since acquisition of information can alter evaluation on uncertainty and risks of securities, information has direction effect on and decisive significance to price fluctuation and price balance of the stock market. Only on the condition of sufficient knowledge in the relevant comprehensive information of listed companies' financial and operational activities, can rational investors make a decision and make correct judgment. Under such a circumstance, price of securities can really match with its actual value. That is to say, securities with high value obtain corresponding high price and projects with excellent quality can obtain sufficient capital, which can guarantee that the stock market is effectively operated. Thus, it can be seen, information is of critical important to the stock market. Information disclosure system is a forever persistent process in terms of the time of information disclosure and is combination of regular interval and irregular interval. According to experiences of demutualization of enterprises all over the world, the stock market is a necessary result of development of joint-stock system. Only if stockholders are provided with a system in which they can realize their shares at any time, demutualization reform can gain more extensive public foundation and get more rapidly promoted and benefits can be realized that are generated from large-scale capital.

2. Analysis of quality factors affecting accounting information disclosure in listed companies

2.1 Corporate governance

Separation and balance of proprietor and manager in corporate governance structure is the effective guarantee of

quality of accounting information disclosure of listed companies. Deficiency of corporate governance structure in China has negative effects upon quality of accounting information disclosure, which are shown as follows: irrational ownership structure --- "domination of a single shareholder", control over accounting information by controlling shareholders at will, control by internal personnel --- board of directors not playing its due role, board of supervisors becoming a mere formality, the supervision function of accounting information disclosure not fulfilled.

2.2 Interest driving is the internal reason for unhealthy accounting behaviors in listed companies

In the first place, accounting information of listed companies has some characteristics of public goods. That is to say, cooperation between an accounting information demander and the information does not affect usage of other behavioral subjects. Accounting information of listed companies does not only exert great influences upon interests of the company itself and interests of the partakers having direct relation of interests with the company, but also has effects upon interests of other listed companies, other investors and security exchange and even interests of the entire stock market society. Driven by the interests, a company always performs accounting behaviors that are favorable to itself, which may cause accounting information to lose its fairness in terms of both quantity and quality and not to satisfy demands of all information users.

In the second place, the supply subjects of accounting information present a diversified pattern. In the former days, the supply subjects of accounting information are accountants (on behalf of the listed company) of a listed company, while at present, all relevant interest group (such as, sponsor, competent department of the company, and senior management personnel of the company, etc.) make every endeavor to affect supply of accounting information by the listed company, and even take an active attitude towards participating in the supply of accounting information). In this way, accounting information would be somewhat biased that is supplied through coordination.

2.3 Information supply cost

An important constraint for information supply is information disclosure cost. Benefit being higher than cost has always been the basic precondition for information disclosure, so information disclosure needs to take into consideration of benefit and cost. From the perspective of an enterprise, information disclosure mainly contains the two sorts of measurable cost and immeasurable cost. Measurable cost refers to information cost that can be definitely calculated and actually paid, which contains information processing cost and information auditing cost. Immeasurable cost is manifested as adverse effects of information disclosure upon enterprises, and this sort of cost does not require an enterprise to make the payment directly and is difficult to be directly measured, such as, unfavorable competition caused by information disclosure and restraint of information disclosure upon behaviors of mangers, etc.

2.4 Attitude of government supervision

The fact indicates that, supervision of the government on accounting information disclosure behavior of enterprises does not completely comply with demands of information users, since it is obvious that it is difficult for the former to totally understand and adapt to the latter. Thus, standing from the perspective of information users, influences of the government through rules and regulations on accounting information disclosure behaviors of enterprises might either be too large or be too small, which is always at a condition of adjustment. On the other hand, supervision of the government on accounting information disclosure behaviors of enterprises is also constrained by the costs of enterprises themselves, including organization cost, research cost, cost of supervision on enterprises and increased cost of an entire enterprise that might be caused by inappropriate measures taken. However, the disclosure behavior of enterprises is directly affected by the supervision of the government. Therefore, if the government comes to know a little bit in detail about demands of information users, the constraint of the principle of cost-benefit is a little bit smaller, and requirement on accounting information disclosure of enterprises is a little bit more compulsory, then information offered by enterprises might be more in details and more relevant.

3. Existing issues in information disclosure of listed companies in China

3.1 Unserious information disclosure and improper procedures for information disclosure

In China, there are a large majority of listed companies with strong randomness in information disclosure. There are even some listed companies that decide without authorization to issue some important information that concerns about the economic decision making of the country without approval of relevant supervision department, or bring a lot of hearsays to make a market. This seriously damages the seriousness of information disclosure system of listed companies, which is neither helpful for investors to share rights of relevant

information of listed companies nor helpful to remind investors of paying attention to new changes of listed companies.

3.2 Inauthentic accounting information disclosure

Inauthentic accounting information has, so far, become the most serious problem in information disclosure in listed companies. Effectiveness of information decides effectiveness of the stock market. If the information disclosure by listed companies is inauthentic, especially if they fabricate fake information with malevolence and retain significant information on purpose, it will, without doubt, cause extremely destructive effects on the stock market, and, in the mean time, will attack the foundation of the entire stock market and even damage the reputation of listed companies.

3.3 Untimely accounting information disclosure

Untimely accounting information disclosure means that, listed companies intentionally waste time and don't disclose in time any significant incident that might have been predicated by them to have great influences on the stock price of listed companies and that might have not been in the knowledge of investors or that listed companies do not give any explanation or do not give timely public explanation to the reasons for external hearsay that might affect the stock price fluctuation of listed companies, which may damage the interests of investors. If someone intentionally takes advantage of this opportunity to conduct an insider trading, it might affect interests of investors to a large extent. Currently, there are mainly interim report and periodic report. However, the phenomenon of untimely information disclosure exists in either of the two kinds of reports.

3.4 Incomplete accounting information disclosure

Since there still exists certain hysteresis in relevant system about accounting information disclosure in China, listed companies do not perform authentic and complete disclosure to the information that should be disclosed. Instead, they avoid the important and dwell on the trivial and exaggeratedly conceal the truth of the fact, which might mislead investors in making correct judgment. As for the financial report, a large majority of listed companies lay special emphasis on information in terms of the finance, which might give rise to little disclosure of non-financial information that may have more reference value.

Some listed companies keep back the structure proportion of inventory and the cashability as well as the debt, etc., with an excuse that the "commercial secret" is not convenient to be public, which seriously threats the capital security of investors. Moreover, information about social responsibilities of employee welfare, employee education and training, environmental pollution and governance, and public benefit donation might directly affect the image of listed companies in the social public, whereas the image of listed companies in the social public might affect their value to a certain extent. In practical operation, some listed companies put their social responsibilities beneath notice and ignore social benefits.

3.5 Inactive information disclosure

At present, listed companies in China are at a stage of mandatory disclosure of information. The Sixty-fifth Article and the Sixty-sixth Article of "Securities Act" stipulate that, "Listed companies ought to submit interim report and annual report to the Securities Regulatory Authority of the State Council and the Securities Exchange within two months from the end of the first half of the accounting year each year and within four months from the end of the annual accounting year and also publicize the reports". It is often that listed companies regard information disclosure as extra burden, so they are reluctant to disclose relevant information in a positive and enthusiastic attitude. The reason is that there are a lot of inside stories of listed companies in their operation and management that they are unwilling to let the public know, and thus they might hold a kind of fear and escape attitude towards information disclosure.

4. Countermeasures to complete accounting information disclosure in the listed companies

4.1 To perfect the corporate governance structure of listed companies and to strengthen internal control of listed companies

Sponsors for state-owned shares of listed companies are not in place and the setting of equity structure is not rational, as a result of which the governance structure of listed companies is not rational and the three lines of defense of board of directors, board of supervisors and independent directors are unable to well prevent and control information distortion. Thus, it is necessary to reform the equity structure of listed companies. The following are practices in details: reducing state-owned shares, dispersing equity structure, reform of the property rights system of sponsors for state-owned shares so as to define the sponsors, vigorously cultivating institution investors, giving play to the balancing function of the governance structure of listed companies,

encouraging stakeholders (especially creditors of the listed companies) to take part in corporate governance and making up for deficiency in the internal governance structure of listed companies.

4.2 To improve construction of legal system

In China, the court of justice only accepts and hears the false statement cases that are dealt with by CSRC (China Securities Regulatory Commission) and sets up a prepositive administrative examination procedure before a civil action is submitted. In order to alter this current condition, the government has to promulgate "Compensation Act for Civil Liability" to define who should be responsible for violation of law, refine civil liability for security violation behaviors through legislative and judicial interpretation, offer definite stipulation to determination of qualification of plaintiff and defendant, regulation of the loss scope, calculation of the quantum of damage, burden of proof and means of payment, etc., and strengthen and refine regulations on security civil liability. As for any illegal violation action of the social auditing in the process of functioning, they have to be strict in enforcing the law and any violation of the law must be investigated and dealt with.

4.3 To build an honest and faithful social environment

It won't work to manage the finance work just resorting to legal means. In the mean time, education of credit has to be strengthened. Those who keep their promise may get due returns and those who break their promise may get due punishment by establishing and improving rules and regulations, which helps to enhance the vigor of credit. We can also set up personal credit files by means of setting up credit files and referring to the practice of loan so as to investigate corresponding legal responsibilities for any behavior that causes negative results with malevolence.

4.4 To standardize behaviors of certified public accountants

It seems that there exists a kind of active and passive relationship between certified public accountants and enterprises, which is that, sometimes, certified public accountants have to present false auditing reports, while most of their auditing reports are primary evidence for the vast majority of investors to make a decision. Therefore, we have to enhance the occupational level and occupational quality of certified public accountants, standardize business competition between different accounting firms, increase popular trust and remuneration of certified public accountants, speed up in promulgating the law for certified public accountants and improve quality of auditing.

4.5 To enhance quality of accountants in enterprises

Improvement of the occupational morality and comprehensive quality of accountants in enterprises can effectively guarantee implementation of accounting information disclosure system. We can carry out the improvement from the following three aspects. Firstly, we ought to intensify the professional quality of accountants, strictly put into practice evaluation in the new accounting law on occupational qualification for financial management persons and accountants, work out scientific occupational morality rules for accountants and put these rules into practice with strict rewards and punishment policies. Secondly, we ought to perfect education of credit among accountants and cultivate and mould the occupational morality of accountants. Management personnel of enterprises take the responsibility for the accounting work in the enterprises and the accountants assume the important obligation of carrying out the "Accounting Law". Thirdly, inauthentic accounting information that often occurs in the enterprises is not only behavior of accountants. Education of accounting credit should be overall and holistic education for accountants and social auditing institutes.

References

Li, Fengtuan. (2010). Establishment of Accounting Information Disclosure System of Corporate Social Responsibility. *Commercial Accounting*, (17).

Wan, Shan. (2009). Problems and Countermeasures in Accounting Information Disclosure in Listed Companies. *Journal of Hunan University of Science and Engineering*, 2.

Yu, Tianye. (2009). Issues and Countermeasures in Accounting Information Disclosure in Listed Companies. *Business Modernization*, 2.

Zha, Ruiping. (2006). Discussion on Issues in Accounting Information Disclosure in Listed Companies. *Shandong Commercial Accounting*, (1).

Zheng, Jun. (2007). Humble Opinions on Information Disclosure System in Listed Companies. *Economic & Trade Update*, (1).

Environmental Impact Assessment of Power Development Project: Lessons from Thailand Experiences

Chesoh, Sarawuth, PhD

Pattani Fisheries Research and Development Center, Pattani

Department of Fisheries, 94160, Thailand

Tel: 66-73-468-826   E-mail: chesoh.s@hotmail.com

Abstract

Environmental impact assessment (EIA) is an important part of environmental and public health regulations. Increasing demand of electric consumption in Thailand is a major challenge for authorities trying to ensure satisfactory supply. However, the adverse impacts of development projects are powerful public concerns. Preparations of adequate EIA reports contribute to enhancing overall effectiveness of the EIA process. A sample of 3 EIA reports relating to power development projects was examined, to identify problems and to investigate typical strong and weak points of environmental impact statements, for effective implementation of EIA in Thailand. The competent authority has a well formulated environmental legislation and EIA guidelines and uses a listing method as a key quality control instrument for accuracy and veracity of the reports. Comprehensive descriptions of the major issues and the adverse impacts were defined based on the nature of the construction and operation phases, with adequate information to inform on existing attributes and situations appearing in all critiqued samples. The most important lessons are that there was an absence or weakness in: (i) information on baseline conditions and site–specific information (ii) public participation and (iii) communication involvement of all stakeholders. Increased enforcement could be based on strong, well–written law. The establishment of an independent review committee's regulation, widespread public participation in every step of the EIA process and formulation of a code of conduct for the consultants, are strongly recommended.

Keywords: EIA guidelines, EIA report evaluation, Public participation, Energy development policy, ASEAN nations, Community trust

1. Introduction

With increasing environmental crises and public concerns, the Environmental Impact Assessment (EIA) process has been official prescribed as a screening practice for environmental planning and management of development or business projects (ONEP, 2010). The EIA is a key decision support tool for environmental, socio–economic and human health regulations. Globally, we share this planet with many other species of plants and animals, and it is important to sustain all types of ecosystem as each habitat supports unique forms of life. Similarly, ecosystems are a key component of the Earth's biosphere and also are a fundamental component in the well being for all. Generally, EIA refers to the formal process of impact prediction, resulting from policy, plan or activity under certain conditions. EIA must be undertaken early in the development of proposed projects and must be completed prior to precede decision to its made. Development projects are required to apply effective measures to prevent or mitigate negative environmental impacts. On the other hand, positive impacts can be enhanced and then the probability of sustainable development increased. Therefore, EIA must be an objective and independent analytical process based on accepted scientific principles and statistical methods, not a technique of promoting a proposal to the policy decision–makers.

In Thailand, according to the Enhancement and Conservation of National Environmental Quality Act, B.E. 2535 (1992), power plant projects that have a production capacity exceeding 10 megawatts per day, must gain approval from the Public Service and must submit an EIA report before submitting to the Cabinet. By the year 2009, the electric power usage totaled 29,212 MW, and the Electricity Generating Authority of Thailand (EGAT) has increased its projection for power demand growth from 3% to 4.72% in 2010 (EGAT, 2010). Moreover, the power development plan indicated that over 30,000 MW of new capacity are required through to 2021. Increasing demand of electric consumption is a major challenge for authorities trying to ensure satisfactory

supply. And with this growing demand for energy capacity it is crucial to consider supply security and environmental sustainability, especially health risks, land use conflict, biodiversity depletion and global warming issues (Zilihona et al, 2004; Nakawiro et al, 2008; Conner and Roy, 2008).

Although the EIA process was implemented approximately 35 years in Thailand, it is still controversial; some project developers regard EIA as an undesirable burden, some seek to avoid the EIA procedure, and also some government administrators in charge of EIA view the process as a heavy burden (Pantumsinchai and Panswad, 2004). Moreover, political and financial support for EIA is low in developing countries, and environmental agencies are practically powerless compared with economic development agencies. Two key reasons for poor quality EIA reports are lack of qualified environmental experts, and insufficient time and money (Lohani et al, 1997), and Thailand is no exception in this regard. The author has experience in this EIA area and the aim in writing this paper was to identify the problems of the EIA process and to investigate typical strong and weak points of environmental impact statements for effective implementation of EIA in Thailand. Documentary research or desk study was applied to examine the current state of EIA of power development projects, both at the legal or regulatory processes and adequacy of the EIA report. The competency for examination of EIA preparation followed the criteria suggested by Lohani et al (1997), and Nadeem and Hameed (2006).

2. Overview of project coverage, EIA process, scoping and report guideline

The first mandatory provisions for EIA in Thailand were issued in 1975. By Section 46 of the Enhancement and Conservation of Nation of National Environmental Quality Act 1992, The Ministry of Natural Resources and Environment (MONRE) with the approval of National Environment Board (NEB), has the power to specify the type and size of projects or activities requiring EIA.

Notification of the MONRE, given on the 29th of December B.E. 2552 (2009), specified 34 different types or sizes of projects or businesses that must be approved from Public Service, ranging from mining, development of petroleum, pipe–line transportation of petroleum and fuel oil, industrial enterprises, petrochemical, petroleum refining, natural gas separation, an industry producing chlor–alkaline, portland cement, paper pulp, pesticides and herbicide, chemical fertilizers, sugar, iron or steel, liquor and alcohol, factories that recycle waste products, power plants, expressways, highway and roads, public metal transit system, port, marinas for docking boats, land and housing, air transportation, dam, irrigation and all projects that are located in the plain area level 1 according to conclusion of the cabinet (ONEP, 2010). However, some projects are reducing their size to avoid EIA conditions, the initial environmental examination (IEE) with less environmental impact will be required based on existing rapid assessment methods of secondary data and expert judgment.

Five steps and corresponding tasks of the EIA process are proposed and public participation is included in all steps as well. (1) Screening comprises of initiation of the project, site evaluation and local authorities involvement; (2) Scoping comprises of site selection, scope of EIA and public and stakeholders' involvement; (3) Report preparation comprises of consultant selection, draft report preparation and data acquisition/public input/opinion; (4) EIA review comprises of final report preparation, EIA expert panel review for private project submitted to permitting authority, for government project submitted to National Environmental Board and to the Cabinet; and (5) Monitoring comprises of project owner submitted report, follow–up by permitting authority and monitoring by a third–party.

Guidelines for preparation of the EIA report for a project or activity which may seriously affect community with respect to quality of environment, natural resources and health comprises of (1) Substantial matters including (1.1) summary report containing description, location and alternative location and operational method of the project or activity report on impact which may significantly affect the environment, protection and remedy thereof and investigation and examination of environmental impact and conclusion. (1.2) The main report contains introduction, location of the project or activity, description, existing environmental conditions and evaluation of the alternatives, measure for protection and remedy of environmental impact and compensation and summarizing table. And (2) Documents and evidence to be submitted include main report, summary report, front cover and inside cover of EIA report, Certificate for preparation of EIA report, copy of permission to be preparer of the EIA report, list of the persons preparing the EIA report, and form for submission (). For larger scale projects which may cause significant impacts, the EIA report must be submitted to the Office of the Natural Resources and Environmental Policy and Planning (ONEP) to be reviewed and for recommendations to be made. EIA have to be prepared by a consulting firm which is registered by ONEP.

In the approval process for EIA of a private sector project, 75–days are the required minimum timing of processing. The Environmental Impact Evaluation Bureau (EIEB) must examine the report within 15 days then the EIEB reviews and makes preliminary comment on the EIA report within the next 15 days. And then the EIA

report together with the preliminary comment will be approved by the review committee who will consider the report within 45 days. There is no limitation on the period of report review for government or state enterprises projects. The authorized agency must prepare the EIA for such projects and such report will be filed with the National Environment Board for its review and comment and then submitted to the Cabinet for consideration.

3. Case study: The EIA reports of power development projects in Thailand

A sample of 3 EIA reports relating to power development projects has been investigated specifically to concentrate the review. Project owners were both state owned enterprises and private power producers. All of these projects are variably located in significant economic regions of Thailand. EIA professional consultants consist of various renowned specialists in related fields.

3.1 Legislation and Guidelines for Preparation and Review of EIA Reports

The official contents of an EIA report and preparing system are well–organized in Thailand. The EIA reports must be submitted to the ONEP to be reviewed and given a recommendation and these reports also must be prepared by a consulting agency which is registered by the ONEP. Well established environmental legislation and EIA guidelines such as rules, procedures, acceptable methods and how to prepare the report, guidelines for evaluation of health impact assessment, guidelines for consultation with the public and interested parties, forms of the report, certificate for report preparation, list of the persons preparing the report, and form for report submission, have been clearly identified and formulated. The ONEP uses a listing method as a key quality control instrument for accuracy and veracity of the reports. However, information providing for the general public regarding EIA techniques and any relevant factors affecting environmental quality, display on the ONEP website (http://www.onep.go.th/eia/ENGLISH/eia_eng_index.htm), are limited.

3.2 Description of Development Project, Environmental components and their values, and Baseline conditions

All the critiqued EIA reports presented a comprehensive description of the power plant project through construction and the operation phases with a justification that "all procedures have been conducted on the basis of maximum production efficiency, minimized adverse environmental and health impacts or safe operation, high percentage of local participation and public acceptance." Project description and details, physical and biological environmental resources, ecological system, value for human being utilizations and value for quality of life; has been reported on the basis of secondary data include; design and construction, manufacturer's specifications, chemical reagent, production procedures, location and topography, land use, climate, soils feature, geological characteristics and earthquake, ambient air and noise quality, rainfall, runoff and drainage, underground water and surface water quality, forest and wildlife, aquatic flora and fauna, aquaculture fishery utilization, agriculture, industry, transportation, energy and electric power, socio–economic, scenery and tourism, historical and archaeological aspects.

These topics presented in the EIA reports are adequate information to inform on existing attributes and situations. Similarly, base maps for spatial data, appropriate maps, graphic and flow diagrams were used to summarize this information. In addition, the report was prepared through continuous and harmonious coordination with the project owners, consultant agency, local community, stakeholders and regulators.

The reliability of data is questionable because each specialist has compiled data on its own. Whereas the baseline conditions related to ambient air quality, ambient noise, ground water and surface water quality conditions, soils, local flora and fauna, should have been conducted by using field–taken samples from the project site analyzed by standard environmental analyzing laboratories. Results of consultant interviews revealed that lack of efficient data and appropriate information availability of baseline conditions. Consultant agencies are often concerned about these limitations because it takes too much time, resource use and expenditure for data collecting about baseline condition of site–specific information for each EIA study.

3.3 Identification and Evaluation of Key Impacts

Descriptions of the major issues and the adverse impacts have been defined based on the nature of the construction and operation phases of each type of power plant project. International standards and criteria include; WHO, US Environmental Standards, Thai Environmental Regulations, have been reviewed. Social and health impact assessments were also defined. Various predictive methods and impact prediction includes a number of stated assumptions that affect the predicted impacts, their probability of occurrence and degree of impact, were also significantly identified. Unfortunately, given documentation of the cause and effect associations between proposed project activities on the environmental components, and identification of secondary or higher order effects, were insufficient or out–of–date information.

Although it has been prescribed as a guideline for consultation with the public and interested parties in the EIA process that all stakeholders should be referred to in conducting surveys and in consultation, in practice the public involvement appears predominantly unipolar and little effort taken in reaching out to all stakeholders. Local community was also consulted on a limited scale and not covered by such qualitative research techniques during EIA.

3.4 Alternatives and Mitigation of Impacts

Acceptable evaluation methods, and a comprehensive listing of environmental factors to be considered, were identified. Descriptions of all the environmental protection measures were considered to mitigate or offset damaging environmental impacts from project activities. Information on techniques used in each environmental protection measure including information regarding its prior effective use, the range of environmental conditions under which it is effective, and the level of skill required to operate or maintain the technology, also appeared in the EIA report. Only direct or explicit costs and benefits for each recommended environmental protection option developed to resolve a significant environmental issue were defined. Whereas the adverse impacts and consequences of a proposal which can occur far beyond the boundaries of project location together with the implicit cost of those impacts, were not accounted for in economic analyses of project feasibility. In addition, fewer alternatives either to development intervention or to the site of the project was discussed but usually only considered informally, both for the process and site and not included in the EIA reports.

3.5 Environmental Monitoring Plan and Communication of Results

The measurable environmental indicators were clearly defined. For the reviewed EIA reports, specified questions were found to be addressed by the monitoring program. So too, well proposed action plans for environmental and ecosystem rehabilitations, public participation and local health care covering monitoring procedure, timing and duration, responsible agency and estimated budget. The outline and presentation of the report depended upon the experience of the consultant agency whereas the number of chapters, the format of the EIA report and the guidelines about the contents were already set up by the ONEP. Usually, the results have been communicated in a form which presents a positive image of the project. The baseline data regarding environmental ecosystem characteristics and cultural socioeconomic aspects have been predominantly obtained from both site–specific data and various secondary data, and always up to date sources. However, the challenges of participation in community-based monitoring both ecological and socioeconomic issues are necessary within construction, commissioning and electricity generating phase of power development.

4. Discussion and Conclusion

Even if all reviewed EIA reports were comprehensive, well organized and clearly written in plain language (non–experts) but also to appropriate technical standards. Several typical weaknesses need to be remedied for effective implementation of EIA in Thailand. Currently, some project developers consider EIA to be a necessary evil that they have to implement in order to obtain their Construction Permit (Pearmain, 2008). The EIA reports are usually prepared by private consultants hired by the project developers within minimum time and cost. The EIA consultants may also be careless because of lack of up–to–date data about baseline conditions relating to physical and biological ecosystems, and socio–economic aspects. Poor methods are being used to identify and assess the magnitude of adverse impacts, particularly in health risk assessment. Also, there is often insufficient communication with all stakeholders. Therefore, some consultants seek to use data borrowed from other reports with little site–specific information that also generates large volumes of reports to conceal the limitations of, and lack of, site–specific relevant details (Pantumsinchai and Panswad, 2004).

Public participation in the process is crucial, particularly in such a multicultural sensitive region as the southernmost parts of Thailand (Chesoh, 2010). Weak public participation and unsatisfied communication produce many limitations, both legally and in practice, and result in limited knowledge and uneven distribution the project information to the local population, and then the local community mistrusts the EIA report and violent protests have been happened in such cases. So, how can all stake–holders participate effectively in every step of EIA process? Public media are the preferable means for conveying information, including information of measures of mitigation of adverse environmental impacts, to people living adjacent to the project site. Review is made by the concerned officials of the authority in charge of the EIA approval but without local expert panels and local administrative organization officers. Moreover, the EIA reviewers themselves are not experts in all areas, they work under pressures of time limits. The allowances they are paid for this important work in reviewing and approving EIA reports is tiny compared to the billions of dollars spent on the development projects (Pantumsinchai and Panswad, 2004).

Although the power development is very necessary, it is essential to address widespread public environmental concerns. Therefore, to decrease conflict within Thai society, increasing both enforcement based on strong well–written laws to prevent avoidance and widespread public participation at every step of the EIA processes, is the best option (Stampe, 2009). In order to ensure transparency and quality, the EIA review and approval should be assigned to independent review committees. All of strategic environmental frameworks, improvement of the EIA process, increase roles of community organizers, clear legal dispute processes and a written code of conduct for the consultants, are required.

References

Chesoh, S. (2010). Community Perception, Satisfaction and Participation toward Power Plant Development in Southernmost of Thailand. *Sustainable Development*, 3 (2): 84–88.

Connor, A. and Roy C. (2008). Electric Power Plant Emissions and Public Health. *American Journal of Nursing*, 108 (2): 62–70. doi:10.1097/01.NAJ.0000310342.98495.b6, http://dx.doi.org/10.1097/01.NAJ.0000310342.98495.b6

Electricity Generating Authority of Thailand (EGAT). (2010). Summary of Thailand Power Development Plan 2010–2030. [Online] Available: http://www.egat.co.th/thai/files/Report%20PDP2010-Apr2010_English.pdf (10 May 2010)

Lohani, B., Evans J. W., Ludwig H., Everitt R. R., Carpenter A. R, and Tu S.L. (1997). Environmental Impact Assessment for Developing Countries in Asia. Asian Development Bank (ADB). Vol. 1– Overview. pp. 356. [Online] Available: http://www.adb.org/documents/books/environment_impact/env_impact.pdf (10 May 2010)

Nadeem O. and Hameed R. (2006). A Critical Review of the Adequacy of EIA Reports–Evidence from Pakistan. World Academy of Science, Engineering and Technology 23. [Online] Available: http://www.waset.ac.nz/ (10 May 2010)

Nakawiro, T., Bhattacharyya, C. S., and Limmeech, B. (2008). Expanding Electricity Capacity in Thailand to Meet the Twin Challenges of Supply Security and Environmental Protection. *Energy Policy*, 36, 2265–2278. doi:10.1016/j.enpol.2008.03.002, http://dx.doi.org/10.1016/j.enpol.2008.03.002

Office of Natural Resources and Environmental Policy and Planning (ONEP). (2010). Environmental Impact Assessment (EIA). [Online] Available: http://www.onep.go.th/eia/ENGLISH/eia_eng_index.htm (20 May 2010)

Pantumsinchai P., and Panswad, T. (2004). Improvement of EIA Process in Thailand. [Online] Available: http://www.eeat.or.th/articles/articles.htm (20 May 2010)

Pearmain S. (2008). Environmental Impact Assessment in Thailand. [Online] Available: http://www.environmental–expert.com/ (20 May 2010)

Stampe, W. John. (2009). Lessons Learned from Environmental Impact Assessments: A Look at Two Widely Different Approaches – The USA and Thailand. *Transdisciplinary Environmental Studies*, 8 (1): 1–7.

Zilihona I. J. E., Niemelä J. and Nummelin M. (2004). Effects of a Hydropower Plant on Coleopteran Diversity and Abundance in the Udzungwa Mountains,Tanzania. *Biodiversity and Conservation*, 13(8): 1453–1464. doi:10.1023/B:BIOC.0000021325.90554.0b, http://dx.doi.org/10.1023/B:BIOC.0000021325.90554.0b

Attributes, Environment Factors and Women Entrepreneurial Activity: A Literature Review

Isidore Ekpe, Norsiah Mat & Razli Che Razak

College of Business, Universiti Utara Malaysia, 06010 Sintok, Darul Aman, Malaysia

E-mail: ekpe60@yahoo.com, norsiah@uum.edu.my, raz1152@uum.edu.my

Abstract

Purpose: The purpose of this study is to examine the effect of individual attributes and business environment factors on the entrepreneurial activity of women entrepreneurs. Individual attributes such as education, working experience, attitude towards risk-taking, affect women entrepreneurial activity. Economic constraints such as lack of credit due to lack of asset collaterals and socio-cultural barriers, lack of savings due to low household income, and lack of labour skills due to low educational level also affect women entrepreneurial activity. The effect of these factors on entrepreneurial activity is worth studying because entrepreneurship development is considered a vital link to an overall economic growth of a nation through its positive impact on economic development especially at the grassroots. However, limited studies have reviewed literatures on individual attributes and business environment factors on the entrepreneurial activity of women entrepreneurs. This is the focus of this study.

Methodology: The paper is a descriptive study that reviews literature on individual attributes and environment factors on women entrepreneurial activity.

Conclusion: The paper concludes that environment factors exert much more influence on women entrepreneurial activity than individual attributes.

Research limitation: The paper is limited to a literature review that may need further research by using a framework to investigate the factors on entrepreneurial activity.

Practical implication: It shows the need for the government to support entrepreneurs through adequate provision of micro-finance.

Originality: The study is a new way to look at crucial factors affecting entrepreneurial activity in a country.

Paper type: This is a research paper.

Keywords: Attributes, Environment factors, Women entrepreneurial activity

1. Introduction

The identification and exploitation of entrepreneurial opportunity for business start-up or diversification, and subsequent performance depends on the individual attributes of the entrepreneurs and the business environment. Examples of such business environment are competition and lack of micro-finance factors like credit. Individual attributes play a vital role in enterprise activity because entrepreneurship involves risk, and attitude towards risk differ between individuals (Shane, 2003).

Despite the role of individual attributes in exploiting entrepreneurial opportunity for new business or business diversification by women entrepreneurs; however, recent studies have shown that business environment factors such as economic, financial and socio-cultural, plays a greater role in the exploitation of entrepreneurial opportunities by women entrepreneurs (Kuzilwa, 2005; Shastri & Sinha, 2010; Vob & Muller, 2009). For example, Kuzilwa (2005), Shastri & Sinha, (2010) argued that though all conditions for exploiting entrepreneurial opportunity such as education, experience, and energy may exist, but the environmental constraints such as lack of credit, and societal discriminations especially in developing countries, may hinder the entrepreneur. The study is hinged on the fact that there is scarcity of research that reviews literatures on individual attributes and business environment factors on the entrepreneurial activity of women entrepreneurs (e.g Kuzilwa, 2005; Shane, 2003; Shastri & Sinha, 2010).

2. Literature Review

The theories most commonly applied in research on entrepreneurship are McClelland's (1961) theory of the need to achieve, and Rotter's (1966) locus of control theory. McClelland's theory suggests that individuals with a strong need to achieve often find their way to entrepreneurship. Rotter's theory suggests that the locus of control of an individual can be seen as either internal or external. The internal control expectation is related to learning and thus motivates and supports active striving, while the external control expectation impedes learning and encourages passivity. An internal control expectation is usually associated with entrepreneurial characteristics (Littunen, 2000). The pull/push model is also a common way of explaining different motives behind why women start a business (Brush, 1999; Buttner & Moore, 1997). Push factors refer to necessities such as unemployment, glass ceiling, redundancy, recession, financial reasons (inadequate family income), dissatisfaction with being employed, or the need to accommodate work and home roles simultaneously. Pull factors are related to independence and the need to succeed better than others as entrepreneurs. According to Rotter's theory, the locus of control of an individual manifests in the need for achievement, financial reasons (desire for profit-wealth), personal development, self-fulfilment, social status and power (Hansemark, 1998; Glancey et al., 1998). However, the situation is rarely a clear-cut selection of pull or push factors, and the factors are often combined (Brush, 1999).

2.1 Attributes

The characteristics or attributes of women entrepreneurs are regarded as the pull factors in entrepreneurial activity (Hisrich, Peters & Shepherd, 2008; Kuzilwa, 2005; North, 1990). These include demography such as age and education, type of employment, type of industry, type of company, financial background and work experience (Harrison & Mason, 2007; Peter, 2001; Okpukpara, 2009). They are regarded as the human capital or internal factors to be contributed by the entrepreneur in exploiting entrepreneurial opportunity for business performance. The ones most critical to women entrepreneurs which are discussed below are education, attitude and experience.

Education: Education is one of the characteristics of women entrepreneurs that can affect their business performance, and literature supports that education and managerial experience may contribute to women's business growth but certainly has positive impact on entrepreneurial performance (Gatewood, Brush, Carter, Greene & Hart, 2004). They also stated that human capital is not only the result of formal education and training but also include experience and practical learning derived from previous paid employment or managerial position, and it is a vital condition for technological innovation (Gatewood et al., 2004). According to Wit and Van (1989), individuals with a high level of education are more likely to engage in entrepreneurship. An individual with more work experience, a higher level of education, more knowledge of the market and business practice is more likely to be able to identify an opportunity for starting a new business. On the other hand, it may be expected that people with a low level of education have more difficulties finding a paid job, and therefore see no other possibility than to engage in entrepreneurship. Hence, high educated people are more likely to pursue opportunity-based ventures, while less educated entrepreneurs are more involved in necessity entrepreneurship (Bhola et al., 2006).

In a related study; education, experience, age and social networks were also found to have significant positive influence on entrepreneur's business performance in USA (Shane, 2003), yet women entrepreneurs in developing countries have low educational levels than their counterparts in developed countries (Ibru, 2009). More specific to women studies done by Kavitha et al. (2008), women were found to be more matured in terms of age, level of education and equipped with work experience in comparison to non-entrepreneurs. In USA for example, most women entrepreneurs had tertiary education followed by high school education (Gatewood et al; 2004); though in France for example, a higher percentage of women entrepreneurs had high school education and were in their early 30s (Carter & Shaw, 2006).

Attitude: Attitude towards risk-taking is another crucial attribute of entrepreneurs especially women. This is because enterprise involves risk-taking, and risk-averse entrepreneur is less likely to exploit entrepreneurial opportunity (Shane, 2003). Attitude towards risk-taking is entrepreneur's ability and willingness to engage in risky activity (Shane, 2003). Studies have found that attitude and behavioural intention are positively related (Crisp & Turner, 2007) and that attitude towards behaviour leads to intention which eventually leads to actual behaviour (Ajzen, 1991).

Experience: Literature asserted that business experience is one of the vital entrepreneurial characteristics (Antoncic, 2006), and evidences support the fact that a minimum of two to three years business experience is sufficient to assess an entrepreneur (Antoncic, 2006; Kuzilwa, 2005; Carter & Shaw, 2006). Other characteristics

of women entrepreneurs include: strong desire for independence, innovation, risk-taking, resourcefulness, business skills, knowledge, and networks (Salman, 2009). Business knowledge includes knowledge of top players in the industry, knowledge of product range and market trends. Business skills include technical and managerial skills which could be acquired through training, seminars and workshops. Experience could be acquired through formal education and business knowledge (Salman, 2009).

The need for achievement and autonomy, risk-taking, control of business and self-efficacy are other vital characteristics of women entrepreneurs (Shane, 2003). Demography, skills and reputation are also essential attributes of women entrepreneurs as single women had less income and less guarantees for loan. Family size also affects women entrepreneurial activity. Despite the fact that women with one or two children were likely to participate in entrepreneurial activity, in Pakistan for example, in order to generate income to support their families (Salman, 2009), it was however discovered that most women with family sizes of more than five people were likely to become entrepreneurs (Allen, Elam, Langowitz & Dean, 2008; Lawal, Omonona, Ajani & Oni, 2009); and large family size is common in developing countries (Lakwo, 2007). Again, most women aged between 25-34 years were found in the early- stage entrepreneurship (Allen et al., 2008). Innovation and decision-making ability are other characteristics (Cunha, 2007). Ambition, self-confidence and high level of energy have also been recognized as vital entrepreneurial characteristics (Idris & Mahmood, 2003). Having the right motive of venturing into business has been found to be one of the attributes of women entrepreneurs. The right motive should be the first determinant before entering into business (Mitchell, 2004; Porter & Nagarajan, 2005; Shane, 2003). Self-evaluation and intuition are also crucial characteristics (Shane, 2003). However, focusing on education, experience and attitude towards risk-taking as vital individual attributes of women entrepreneurs, we therefore make the following proposition:

P1: Attributes of women entrepreneurs (education, experience, attitude towards risk-taking) affect women entrepreneurial activity.

2.2 Environment factors

Women entrepreneurs face peculiar challenges in an attempt to achieve success (Hatcher, Terjersen & Planck, 2007) and women in less developed countries face much more barriers to formal economic participation than those in developed countries (Allen et al; 2008). Women face unique obstacles in starting and growing their firms such as lack of skill or training, limited access to capital or credit, lack of savings and social networks, and limited choice of industry (Akanji, 2006; Ibru, 2009; Lakwo, 2007; Martin, 1999; Ojo, 2009; Peter, 2001).

Gender-related discriminations, especially in developing countries, occasioned by socio-cultural factors also pose hindrance to women entrepreneurial activity (Otero, 1999). Such discriminations are in the area of distribution of social wealth such as education and health (May, 2007; Mayoux, 1999; Otero, 1999; Porter & Nagarajan, 2005; Roomi & Parrot, 2008).

The type of industry and the industrial differences also affect entrepreneurial performance, and people in knowledge industry have high propensity to access information which leads to business performance in terms of market size and growth (Shane, 2003). Incidence of informal sector investment was higher among firms in the manufacturing, wholesale and retail, and knowledge industry in UK and Canada respectively (Carter & Shaw, 2006; Riding, 2006). Women entrepreneurs are mostly found in agriculture, services such as education and health, retail and manufacturing where they had experience or where experience was not necessary (Akanji, 2006; IFC, 2007; Okpukpara, 2009). Such businesses are most active in the urban centres, except agriculture (Carter & Shaw, 2006). The concentration of women entrepreneurs in these sectors is due to their low level of education because higher educational attainment leads to the possibility of self-employment in economically rewarding industry (Stohmeyer, 2007).

The business environment factors pose a lot of challenges to business because they are outside the control of the business owner. Such environmental constraints which are sometimes volatile include the economic, financial, legal, political and socio-cultural factors. These factors play a greater role in entrepreneurial activity because, despite the possession of the requisite personal entrepreneurial characteristics such as education, right attitude to risk, motivation, energy and working experience; the environment may hinder women entrepreneurs from exploiting entrepreneurial opportunities (Kuzilwa, 2005; Shastri & Sinha, 2010; Vob & Muller, 2009).

Business environment factors that seem to be more important to the success of women entrepreneurial activity is financial aid or credit accessibility. Credit or loan is very necessary for new and growing enterprises. Banks, not surprisingly, are inclined toward low-risk ventures. Women were more likely to observe that they were not given due respect by financial institutions; they did not think their account managers were easy to talk to; they reported that they were not made to feel comfortable by financial institutions; and they perceived that bank employees

discriminated against women. Bankers' pessimistic view of women's credit worthiness fostered a reluctance to grant credits. This constituted another obstacle to female entrepreneurship.

On the positive side, however, the popularity of the micro-credit strategy propelled a global movement toward making micro-loans available to people all over the world. Advocacy groups, existing banks, NGOs, and alliances such as the International Coalition on Women and Credit, RESULTS Education Fund (USA), Women's World Bank, Grameen Bank (Bangladesh), Accion International (USA), FINCA (USA), SEWA (India), VOICE (Africa) and many others promoted the idea of micro-credit micro-enterprises in policy circles. In Georgia, women made up 30% of the borrowers at the Micro-finance Bank of Georgia with an average loan size of $7,000. In Ukraine, women obtained 38% of EBRD Small Business Fund loans and women represented 35% of the entrepreneurs purchasing newly privatized land parcels. In Malawi, a micro-finance regulatory framework and strategy were launched in 1998. In Bangladesh, Grameen Bank reported a loan repayment rate of 95-98% from women entrepreneurs (Accion International, 1997; Counts, 1996; Estes, 1999; Shawa, 1999).

The importance of access to credit is identified as a major barrier to entry into self-employment throughout the world. Women setting up micro-enterprises, SMEs, or formal large-scale businesses all encountered varying degrees of difficulty in obtaining capital, collateral, and fair lending terms. In fact, according to a study by Clark and Kays (1995), 41% of entrepreneurs reported that lack of money is the greatest obstacle to starting a business, and 47% cited lack of capital as the greatest barrier to business growth.

Riding (2006) stated that higher percentage of enterprises especially in Canada mostly seek external finance than use personal savings. Much dependence on credit by entrepreneurs, especially women, is due to their inability to raise capital through personal savings (Brana, 2008). The problem is much pronounced in developing countries due to unemployment and gender discrimination in high-paid jobs (Brana, 2008; Carter & Shaw, 2006). However, Gatewood et al. (2004) contended that women use more of personal savings than credit, to start and grow their enterprises.

A relationship also exist between credit and opportunity for entrepreneurial activities of women entrepreneurs. Credit provides the needed opportunity for entrepreneurs to start or improve business in order to make profit and improve their lives (Allen et al., 2008; Brana, 2008; Lans et al., 2008; Majumdar, 2008; Roslan & Mohd, 2009; Salman, 2009; Shane, 2003; Tata & Prasad, 2008). There is a positive relationship between credit and opportunity for entrepreneurial activity. For example, credit was found to have positive effect on opportunity for entrepreneurial activity of women in USA (Allen, 2000), Nigeria (Akanji, 2006) and France (Brana, 2008).

Salman (2009) also argued that loan is not usually good for business start-up but for growing or existing enterprises due to inability of the new business to pay back the loan at the initial business stage. While Karnani (2007) contended that credit does not lead to women's improved welfare rather the government should create jobs for the women. These arguments aside, numerous evidences abound in the literature that credit has positive impact on enterprise performance. For instance, previous studies found that credit had positive impact on enterprise profit in Nigeria, Nicaragua, Canada and Croatia (e.g. Martin, 1999; Ojo, 2009). However, focusing on credit as a vital micro-finance factor, we therefore make the following proposition:

P2: Credit affects women entrepreneurial activity.

In order to examine the composite effect of individual attributes and business environment factors on women entrepreneurial activity, we therefore make the following proposition:

P3: Attributes of women entrepreneurs (education, experience, attitude towards risk-taking) and credit affect women entrepreneurial activity.

3. Conclusion

Individual attributes such as education, experience and attitude toward risk-taking are vital to entrepreneurial activity of women entrepreneurs. Business environment factors, for example credit is also important for entrepreneurial activity. However, literatures have lent strong support to the fact that business environment factors such as credit accessibility exert much more influence on the entrepreneurial activity of women entrepreneurs than individual attributes. This is so because an entrepreneur may have the requisite characteristics for exploiting entrepreneurial opportunity but the environmental constraints may constitute a great hindrance.

Business Conference 2011, University Teknologi MARA, Malaysia for reviewing this paper and making useful comments especially during the presentation.

References

Ajzen, I. (1991). The Theory of Planned Behaviour. *The Organizational Behaviour and Human Decision Processes, 50*, 179-211. doi:10.1016/0749-5978(91)90020-T, http://dx.doi.org/10.1016/0749-5978(91)90020-T

Akanji, O. O. (2006). Microfinance as a strategy for poverty reduction. *Central Bank of Nigeria Economic and Financial Review, 39* (4).

Allen, D. W. (2000). Social networks and self-employment. *Journal of Socio-Economics*, *29* (1), 487-501. doi:10.1016/S1053-5357(00)00086-X, http://dx.doi.org/10.1016/S1053-5357(00)00086-X

Allen, I. E., Elam, A., Langowitz, N. & Dean, M. (2008). *2007 Global Entrepreneurship Monitor report on women and entrepreneurship.* Babson College: The Centre for Women's Leadership.

Antoncic, B. (2006). Impacts of diversification and corporate entrepreneurship strategy making on growth and profitability: A normative model. *Journal of Enterprising Culture, 14* (1), 49-63. doi:10.1142/S0218495806000040, http://dx.doi.org/10.1142/S0218495806000040

Brana, S. (2008). Microcredit in France: Does gender matter? *5th Annual Conference-Nice.* European Microfinance Network.

Carter, S. & Shaw, E. (2006). *Women's business ownership: Recent research and policy developments*. UK: Small Business Service.

Clark, P., & Kays, A. (1995). *Enabling entrepreneurship: Microenterprise development in the United States.* Washington, DC: The Aspen Institute.

Counts, A. (1996). *Give us credit.* New York: Times Books.

Crisp, R. J., & Turner, R. N. (2007). *Essential Social Psychology.* London: SAGE Publication.

Cunha, M. P. (2007). Entrepreneurship as decision-making: Rational, intuitive and improvisational approaches. *Journal of Enterprising Culture, 15* (1), 1-20. doi:10.1142/S0218495807000022, http://dx.doi.org/10.1142/S0218495807000022

Estes, V. (1999, November 18). *Women & business development: promoting economic growth and job creation.* USAID/Europe & Eurasia Bureau: author.

Gatewood, E. J., Brush, C. G., Carter, N. M., Greene, P. G. & Hart, M. M. (2004). *Women entrepreneurs, growth and implications for the classroom.* USA: Coleman Foundation whitepaper series for the USA Association for Small Business and Entrepreneurship.

Harrison, R. T. & Mason, C. M. (2007). Does gender matter? Women business angels and the supply of entrepreneurial finance. *Entrepreneurship Theory and Practice, 31* (3), 445-472. doi:10.1111/j.1540-6520.2007.00182.x, http://dx.doi.org/10.1111/j.1540-6520.2007.00182.x

Hatcher, C., Terjesen, S. & Planck, M. (2007). *Towards a new theory of entrepreneurship in culture and gender: A grounded study of Thailand's most successful female entrepreneurs.* Australia: AGSE.

Hisrich, R. D., Peters, M. P. & Shepherd, D. A. (2008). *Entrepreneurship* (7th ed.). New York: McGraw-Hill Co. Inc.

Ibru, C. (2009). Growing microfinance through new technologies. Federal University of Technology, Akure, Nigeria.

Idris, A. M. M. & Mahmood, R. (2003). *Bank managers' perceptions of the characteristics of successful entrepreneurs*. Malaysian Management Review. [Online] Available: http://www.google.com (August 25, 2009)

International Finance Corporation (IFC). (2007). *Gender entrepreneurship markets, GEM country brief.* Afghanistan: GEM.

Karnani, A. (2007). *Microfinance misses its mark*. Stanford Social Innovation Review. [Online] Available: http://www.ssireview.org/articles (February 18, 2009)

Kavitha, R., Anantharaman, R.N. & Sharmila, J. (2008). Motivational factors affecting entrepreneurial decision: A comparison between Malaysian Women Entrepreneurs and Women Non-entrepreneurs. *Communications of the IBIMA,* 2, 85-89.

Kuzilwa, J. (2005). The role of credit for small business success: A study of the National Entrepreneurship Development Fund in Tanzania. *The Journal of Entrepreneurship, 14* (2), 131-161. doi:10.1177/097135570501400204, http://dx.doi.org/10.1177/097135570501400204

Lakwo, A. (2007). *Microfinance, rural livelihood, and women's empowerment in Uganda.* African Studies Centre Research Report 85/2006. [Online] Available: http://www.ascleiden.nl/pdf/rr85lakwo.pdf (August 3, 2009)

Lans, T., Hulsink, W., Baert, H. & Mulder, M. (2008). Entrepreneurship education and training in a small business context: Insights from the competence-based approach. *Journal of Enterprising Culture, 16* (4), 363-383. doi:10.1142/S0218495808000193, http://dx.doi.org/10.1142/S0218495808000193

Lawal, J. O., Omonona, B. T., Ajani, O. I. Y., & Oni, O. A. (2009). Effects of social capital on credit access among cocoa farming households in Osun State, Nigeria. *Agricultural Journal, 4* (4), 184-191.

Majumdar, S. (2008). Modelling growth strategy in small entrepreneurial business organizations. *The Journal of Entrepreneurship, 17* (2), 157-168. doi:10.1177/097135570801700204, http://dx.doi.org/10.1177/097135570801700204

Martin, T. G. (1999). *Socio-economic impact of microenterprise credit in the informal sector of Managua, Nicaragua.* [Online] Available: http://scholar.lib.vt.edu/thesis/ (January 21, 2009)

May, N. (2007). Gender responsive entrepreneurial economy of Nigeria: Enabling women in a disabling environment. *Journal of International Women's Studies, 9* (1).

Mayoux, L. (1999). From access to empowerment: Gender issues in microfinance. *Women's Caucus Position Paper for CSD-8; 2000.* CGAP.

Mitchell, B. C. (2004). Motives of entrepreneurs: A case study of South Africa. *Journal of Entrepreneurship, 13* (1), 168-183.

North, D. C. (1990). *Institutions, institutional change and economic performance.* Cambridge, UK: Cambridge University Press.

Ojo, O. (2009). Impact of microfinance on entrepreneurial development: The case of Nigeria. Faculty of Administration and Business, University of Bucharest, Romania.

Okpukpara, B. (2009). Microfinance paper wrap-up: Strategies for effective loan delivery to small scale enterprises in rural Nigeria. *Journal of Development and Agricultural Economics, 1* (2), 41-48.

Otero, M. (1999). *Bringing development back into microfinance.* Latin America: ACCION International.

Peter, B. K. (2001). Impact of credit on women-operated microenterprises in UASIN GISHU district, Eldoret, Kenya. In P. O. Alila & P. O. Pedersen (eds). (2001). *Negotiating social space: East African microenterprises.* ILO, Geneva, database. [Online] Available: http://books.google.com.my/book? (September 18, 2009)

Porter, E. G. & Nagarajan, K. V. (2005). Successful women entrepreneurs as pioneers: Results from a study conducted in Karaikudi, Tamil Nadu, India. *Journal of Small Business and Entrepreneurship, 18* (1), 39-52.

Riding, A. (2006). *Small Business financing profiles.* Canada: SME Financing Data Initiative.

Roomi, M. A. & Parrot, G. (2008). Barriers to development and progression of women entrepreneurs in Pakistan. *The Journal of Entrepreneurship, 17* (1), 59-72. doi:10.1177/097135570701700105, http://dx.doi.org/10.1177/097135570701700105

Roslan. A. H. & Mohd, Z. A. K. (2009). Determinants of microcredit repayment in Malaysia: The case of Agrobank. *Humanity and Social Sciences Journal, 4* (1), 45-52.

Salman, A. (2009). *How to start a business: A guide for women.* Pakistan: Centre for International Private Enterprise, Institute of National Endowment for Democracy, affiliate of the USA Chamber of Commerce.

Shane, S. (2003). *A general theory of entrepreneurship: The individual-opportunity nexus.* UK: Edward Elgar.

Shastri, R. K. & Sinha, A. (2010). The socio-cultural and economic effect on the development of women entrepreneurs (with special reference to India). *Asian Journal of Business Management, 2* (2), 30-34.

Shawa, M. (1999). A forum and study on policy options for promoting the economic empowerment of women: The case of Malawi. Lilongwe, Malawi: United Nations Economic Commission for Africa and Malawi's Ministry of Women, Youth, and Community Services

Stohmeyer, R. (2007). *Gender gap and segregation in self-employment: On the role of field of study and apprenticeship training.* Germany: German Council for Social and Economic Data (RatSWD).

Tata, J. & Prasad, S. (2008). Social capital, collaborative exchange and microenterprise performance: The role of gender. *International Journal of Entrepreneurship and Small Business, 5* (3/4), 373-385. doi:10.1504/IJESB.2008.017310, http://dx.doi.org/10.1504/IJESB.2008.017310

Vob, R. & Muller, C. (2009). How are the conditions for high-tech start-ups in Germany. *International Journal of Entrepreneurship and Small Business, 7* (3), 285-311.

Wit, G. & Van Winden,F. (1989). An empirical analysis of self-employment in the Netherlands. *Small Business Economics,* 1 (4), 263-272. doi:10.1007/BF00393805, http://dx.doi.org/10.1007/BF00393805

Major Themes in Renaissance Utopias

Dr. Ala Eddin Sadeq

Zarqa Private University, Jordan

E-mail: alaeddin71@yahoo.com

Dr. Ibrahim Shalabi

AL – Isra' Private University, Amman, Jordan

E-mail: Shalabi61@yahoo.com

Shireen Hikmat Alkurdi

Al-Balqa' Applied University, Amman, Jordan

E-mail: Shireenk2010@yahoo.com

Abstract

Utopian themes reflect the spirit of the age which produces them, and echo its problems, ailments and concerns. Ages of helplessness and despair produce myths of wishful thinking and escape, such as, the myths of the Golden Age and the Earthly Paradise. An age of social instability and widespread discontent and frustration begets literary social utopias of social stability and universal contentment, such as, More's Utopia and other Renaissance utopias. An age of steady progress and prosperity inspires utopias of ambitious hopes of perfection as H.G. Well's Men like Gods and William Morris' News from Nowhere. The twentieth century in which change has madly pace and the necessary adjustments have a frustrating slow pace has created either utopias of men like gods or dystopia of men like beasts, such as, Zamyatin's We, and Orwell's Nineteen Eighty Four.

This paper intends to deal with the major themes of the Renaissance utopias which are often called social utopias, such as Thomas More's Utopia (1516), Francois Rabelais' Abbev of Theleme (1534), Thomas Campanella's The City of the Sum (1613-14), Valentine Andrea's Christianopolis (1619), and Francis Bacon's New Atlantis (1623).

Keywords: Utopia, Dystopias, Humanism, Individualism, Social utopias, Naturalism, Renaissance, Reformation

1. Introduction

In general, utopian themes centre around three major topics: the means of attaining utopia; the means of maintaining utopia once it is attained; and the political, social, economic and cultural aims which utopia are claimed to have achieved.

Renaissance utopias pay relatively little attention to the first two topics. Most of them claim that utopia has somehow been attained, that it has become an accomplished fact and a going concern. Moreover, it is safe and free from the vicissitudes of change and is enjoying permanent peace, contentment, stability and security. Therefore, this paper shall give a rather short account of how Renaissance utopias are attained and maintained.

The aims achieved by Renaissance utopias occupy a disproportionately large part of their bulk. The story of each one of them is the first and foremost a story of ideas. Plot, action, adventure, characters, and character development are mere stereotyped fiction instruments subordinated to the main interest of the utopian narrative, namely that of expounding the author's utopian ideas. Therefore, the largest part of this paper will be devoted to the delineation, description and exposition of the Renaissance utopias and ideas.

These aims and ideas concern the utopians way of life and their views in relation to nature, human nature, and the organisation and institutions of utopian society.

2. Attaining Utopia

In the myths of the Golden Age and Earthy Paradise (Note 1) the attainment of the utopia is hardly accounted for. In general, it is usually ascribed to the miraculous benevolence of some supernatural power.

In most Renaissance utopias the attainment of utopia is attributed to a great individual leader like Utopos in More's Utopia or King Salomon in Bacon's New Atlantis. This is somewhat similar to Plato's philosopher-king in The Republic or to a great legislator like lycurgos in Plutarch's Life of Lycurgos.

In the later utopias, utopia is attained through the long historical process inspired and directed by some mysterious principles in the universe, such as, the principle of progress. This is especially the case in evolutionary utopias.

Another group of utopian writings see no way to the attainment of utopia except the violent revolution. Millenarian movements, apocalyptic expectations, and many Marxist or Anarchists movements believe in no efficient way to realize utopia save that of revolutionary violence.

However, the case may be most of the well-known literary utopias or dystopias hurriedly gloss over this point and say next to nothing on the transformation of the real world into a utopian or dystopian world. They pay little attention to the extremely complicated and seemingly unpleasant of transition from the Status quo to the desired utopia. This has been a serious deficiency and significant gap in the literary utopias. Most of the unfavorable descriptions attached to the utopian perfect life pictures, such as their being escapist, impractical and impossible derive from this fault. (Note 2) Some critics believe that the visions of life that changes may bring about are, in fact, far from reality and they create a totally different substitute world.

3. Maintaining Utopia

Once utopia is attained, the social utopias present the aims of utopia as accomplished facts. From More's Utopia (1516) down to Edward Bellamy's Looking Backwards (1888), William Morris's News from Nowhere (1891), and H. G. Wells' Men like Gods (1922), the utopian ends and objectives are portrayed as living realities enjoyed by every citizen. It is claimed that these ends are so firmly established that they are taken for granted, and that the utopian society has become a clock – work system functioning almost automatically.

Thomas More (1949, 73) claims that the history of Utopia covers over 1760 years from the conquest, and implies that the utopian society there has always enjoyed stability, plenty, contentment and internal peace.

Nevertheless, most writers of the social utopias seem to suspect their claims, and contrive a set of political, economic, social and educational measures which are supposed to close all doors to change and make the permanence of the utopia set up double sure.

4. The Ends and Aims of Utopia

The utopian ends of particular age reflect its characteristics ailments and imperfections. They derive from the needs and ills that seem most urgent and prescribe cures that seem most potent on the whole, both the problems and solutions, the ills and the cures, relate to one or more of the following: nature, human nature and society.

5. Utopianism and Nature

5.1 Nature in ancient times

Nature was the first source of human unhappiness to impose itself on the attention of men. To our ancient ancestors, it seemed and insurmountable obstacle to human survival and security. It was experienced and conceived of as a malevolently destructive presence whose wrath could perhaps be appeased by prayers and offerings, and whose favour might possibly be won by prayers and sacrifices to its gods (Note 3). Therefore, the utopian themes of those ancestors reflect their helplessness and despair, and express deeply –felt and frustrated needs for security, plenty and comfort. Their myths for the Golden Age and of Earthly Paradise dramatize a shameless desire for abundant food and drink, for a complete care-free life, and for absolute freedom from all kinds of necessity and limitation. Those utopian myths have nothing realistic, natural or logical about them. They are miraculously plentiful and pleasant, and magically wonderful and happy. In them, all the imperfections of ordinary life are simply banished and ignored.

5.2 Nature in the Christian Middle Ages

With the coming Christianity to Europe, European utopianism was hissed out of life as blasphemous. Until the sixteenth century no utopian dream of significance appeared. Mundane and secular interests and ambitions were hushed down. Christianity considered natural hardships as necessary scourges to whip Christians into submission to the will of God. They are the inevitable hell or purgatory on the way to Heaven. Nature now is "postlapsarian",

a fallen nature which should be subjected to continual correction. It is not the "pretlapsarian", the innocent and happy nature of Eden. After the Fall, Marinelli (1971:20) says:

> "Death enters the world of creation and the oneness of man with nature in perfect obedience of the creator is lost…The consequence is exile from the pastoral gardens, exile to a world of toil, labor, and mutility."

In the Christian climate of thought utopianism had no place. For utopianism consists of mundane ambitions, of achieving collective happiness here on earth (Gerber, 1955:7), whereas Christianity asserts that such achievement is utterly impossible except in the Millennium when Christ would come down to earth a second time to destroy Babylon and to establish the kingdom of God around a new Jerusalem (Note 4). Otherwise, the utopian dreams are whispering of the devil who aims at luring men into everlasting damnation and hell.

5.3 Nature in the Renaissance

When literary utopias began to appear, especially in the sixteenth century and after, men had already won man the battle against nature. They had become more self-confident, less afraid of natural hostile phenomena, and more ambitious to win ever more battles against them. Step by step, men had disclosed many of the laws of its behaviour, had domesticated nature and harnessed it to the service rather than the destruction of mankind. The first great climax of this human offensive against nature was trumpeted by Francis Bacon who prescribed and advocated effective and systematic methods for conquering nature. Bacon's house of Salomon in New Atlantis, (1623) can be considered the first typical headquarter for a concerted and immensely successful attack to nature.

Not quite scientists himself, Bacon is considered as the father of modern science. The services he rendered to science were not in the form of scientific discoveries and inventions. In such fields, Galileo Galilei, William Gilbert and William Harvey were much better scientists. Bacon's main and lasting service to science is, according to Rene Dubos (1961:30), "To have blown the clarion call which awakened Europeans to the fact that science could completely transform society." According to Morton (1968:83),"Bacon's great service to science was that he gave it an incomparable advertisement".

Bacon's life – long interest was in learning and science. In 1605, he published The Advancement of Learning, a classification and critical survey of all existing knowledge. In 1620, he published his greatest work, the Novum Organum, an exposition of the new experimental method. New Atlantis (1623) was the last of his works.

In The New Atlantis, Bacon is an inventor in a number of ways. To Marie-Louise Berneri (1971:127), "he is the first philosopher to envisage a renovation of society through science". To Rene Dubos (1961:64), Bacon is the first utopian writer who entrusts to science, not to moralists, reformers or politicians, "the problem of making society wise, kind of prosperous." Bacon was also one of the first philosophers to recognize that science meant knowledge and knowledge power. Therefore, this in The New Atlantis is surrounded by secrecy similar to the secrecy which surrounds scientific inventions in our modern times. Benrneri (1971:132) claims that:

> "The scientists of Bensalem set as spies on behalf of their college, and though they drain the world of all its new inventions and ideas, they give nothing in exchange."

Bacon was also the first to discern that for science, to be effective in mastering nature, it should be collectively disciplined and organized into a systematic body of operations applicable to all problems. According to Dubos (1961:28),

> "he (Bacon) depicted in …. The New Atlantis a utopian society guided by a community of scholars who devoted themselves to scientific research, to the organization of knowledge, and to the pursuit of wisdom. In the words of their leader, 'The end of our foundation is knowledge of causes and secret motions of things; and the enlarging of the bounds of human empire, to the effecting of all things possible."

Bacon has alone had this privilege among utopian writers: his proposals concerning the formation of a community of scholars and scientists were put into action. The English College of Philosophy (1645) which developed into Royal Society (1662) was carrying into effect of Bacon's outline of Salomon's House (Morton, 1968:1986). The French Academy of Sciences, created by Colbert in 1971 was another scientific institution founded to put in practice the concepts of Bacon. The French Encyclopedists acknowledge their intellectual indebtedness to Descartes, Newton, and Locke, and especially to Bacon. Dubos (1961:37) quotes the editors of The Encyclopedia compiled by the Encyclopedists, as saying:

> "At the head of these illustrious Heroes we deservedly place the immortal Francis Bacon ….. we are tempted to esteem him the greatest, the most universal and most eloquent of all philosophers …."

Dubos (1961:35) also states that:

> "Only during recent decades has Bacon's vision come even closer to reality in the form of academies of the U.S.S.R. and their scientific institutes."

Bacon has thus convinced the world at large to recognize and use scientific knowledge and technology as an instrument of power. This, undoubtedly, has led to increase of man's dominations over nature, but, undoubtedly as well, it has not increased man's happiness.

The scientific ventures, since Bacon, have produced such celebrated scientists as William Harvey, Galileo, Descartes, Newton, Faraday, Louis Pastor, Charles Darwin, Thomas Edison and hundreds of other who contributed to man's conquest of nature and to the enthroning of the human race as its king and master.

The theme of nature in utopian literature has thus developed from one of despair and escape to a theme of unbounded hope and unlimited conquest. Myths of the Golden Age have left the stage for realistic utopias of great expectations. Richard Gerber (1955:143-160) lists around sixty utopias and dystopias produced between 1901 and 1950, based on the scientific conquest of nature. The utopias express absolute confidence in the efficacy of science to control and guide the behavior of nature. The dystopias betray the fear that man has over-reached himself, and that science has made men more powerful than wise. In Wikipedia, it is mentioned that " Scientific and technological utopias are set in the future, when it is believed that advanced science and technology will allow utopian living standards; for example, the absence of death and suffering; changes in human nature and the human condition. Technology has affected the way humans have lived to such an extent that normal functions, like sleep, eating or even reproduction, have been replaced by artificial means."

Berneri's conclusion (1971:137) on Bacon's contribution is a convenient conclusion here:

> "The New Atlantis can have little attractions for us, since we are living in Salomon's House today and, like Bacon, we have been dazzled by the riches and marvels it contains. We are gradually realizing that knowledge and scientific progress are not synonymous with human happiness, and we begin to suspect that the enthusiastic supporters of progress were not really concerned with happiness of man kind but with the power that this knowledge and progress gave them …. We are also in a better position to appreciate the dangers of 'science without conscience'. The thought that the harnessing of atomic energy may spell the end of our civilization has deprived science of its glamorous halo. The scientist is no longer considered as a benefactor of humanity, but unwillingly assumes a sinister role and is himself sometimes overcome by feelings of guilt."

6. Utopianism and Human Nature

6.1 Man is inherently evil

In the middle ages, Europe, especially North Europe was permanently harassed with scarcity, bitter cold, plagues, invasions, and wars. With the fall of Rome and the loss of order in Europe, miseries increased. Christianity and the Church seemed the only refuge, for they gave loquacious promises of an eternal life of bliss, comfort and warmth to be won after a transitory, short and tortuous life.

The Catholic Church stressed that man in earth is inherently evil, a sinner that he is in a fallen state; that he must face to the end the consequences of the Fall which his parents, Adam and Eve, he started. Man had once enjoyed a paradisal existence, but he has forfeited it all through his sinful pride and his disobedience to his Father, God. A return to Eden would be granted to man if he successfully passes a series of trials. Dante's Devine Comedy (1308-1320) and Bunyan's The Pilgrim's Progress (1678) give the best dramatic pictures of such trials. On the way to heaven, man shall face pain, misery, torture, false attractions of material comforts, false beauty, false power and wealth, all sorts of attractive error, and if ever he is snared by any of them, his final prize (heaven) is forever lost.

The major theme of Christianity is reunion with God and regaining Paradise. This can only be achieved through the redemption and salvation of the soul, the renunciation of the body, and the denial and abandonment of selfhood. But the important point of our purpose is that the return to Eden is not communal; it is not to be attained by collective effort for the benefit of all. To Marinelli (1971:19), "Christianity promises no such general renewal; the Edens that can be created are those of individual soul, the paradise within."

Social perversity is the result and not the cause of man's pride and error. After all, society is not society of saints, but rather a society of fallen evil men. Their inherent sins of pride, greed, gluttony, sloth and lechery are reflected in their social behavior and breed common misery. Reforming society was therefore considered futile because the bricks that made society were deemed rotten.

It is in the words of Gerber (1955:7):

> "… the religious and the utopian views cannot be entirely reconciled: if this life is essentially sinful and imperfect, what is the good of bettering conditions? The endeavor is futile" (Note 5)

Near the end of The Middle Ages many new and revolutionary aspects of human life were being born. They were annoyingly felt but not fully understood. The feudal and agrarian system was disintegrating and being replaced by a mercantile and capitalistic system. International trade was thriving and expanding and so were the cultural exchanges, especially with the Muslim in the South and the East. (Note 6) Translations of the Bible into the vernacular languages of Europe were being made. Greek and Roman classical heritage was being discovered and appreciated. Big cities were rising. National awareness and powerful central national governments were taking shape. New scientific and geographical facts were being discovered. These and many other momentous changes were taking place, and with them man's outlook on life and human nature was being renewed along new lines. The lists of these changes are historically classified under three headings: The Renaissance, Humanism, and the Reformation.

6.2 Man is inherently good and innocent

Under these changes the European mind developed new attitudes to life and human nature, and embraced a new conception of history. T.E. Hulme (1924) states: "You get at time the appearance of a new attitude which can most broadly be described as an attitude of acceptance, as opposed of to an attitude of renunciation."

Political, social and economic relations were re-arranged. Pessimism was replaced by optimism. The dogma of Original Sin was ignored, if not discarded. Man was viewed as an innocent victim rather than a sinning trouble-maker. The conviction that Satan is the lord of this world was disfavored by a rising conviction that man should be its master. Basil Willey (1934:33) classifies this issue "as prosperity and stability of civilization gradually increased, and …. as life became more secure man become less otherworldly."

7. Utopianism and Society

7.1 Utopias in societies

K.R. Popper (1974) suggests that literary utopias came into being with the rise of civilized big cities or what he calls the open society, and the breakdown of the harmonious and warm tribal society or what he calls the closed society.

Civilized city life granted men many blessings but it plagued them with many discomforts such as:

1. The rapid pace of change which required continues adjustments and created a greet deal of strain. The utopians dreamed of social stability in which change would be stopped or reduced to a happy minimum.

2. The dazzling and limitless variety and the bewildered disunity which necessitated endless adaptational efforts. The utopians tried to relieve this situation by calling for unity and conformity.

3. The absence of recognized and permanently respected patterns of behavior and conduct. This gave life a disorderly and chaotic aspect and bred neurosis, anxiety, restlessness and fear. The utopians aimed at giving this missing order and pattern of conduct, and at removing the neurosis by giving the order and the pattern permanent sanctity.

4. The dominance of a keen, cruel and unprincipled competition for the material comforts in a world where individuals have lost the tribal solidarity and became rootless. This led to a widespread felling of insecurity, which destabilized the psychological balance of most men. The utopians, therefore, therefore, endeavored to restore this lost psychological balance by barring economic competition and ensuring in abundance and for every utopian citizen all the necessities of life such as food, drink, clothing and shelter, together with a reasonable degree of comfort and release from drudgery.

With the advent of Renaissance humanism and the rise of the open society, utopianism gathered new force and its voice became audible. There was a huge output of utopian pastoral poetry such as The Shepherd's Calendar by Edmund Spenser (1579). In addition to pastoral poetry, there was a rich outpouring of utopias proper which are quoted in most books dealing with utopianism. (Note 7) The best-known Renaissance utopias are Thomas More's Utopia (1516), Thomas Companella's The City of the Sun (1613-14), Valentin Andreae's Christianopolis (1619), Francois Rabellais' The Abbey of Theleme (1534)

These Renaissance utopias emphasize the social aspects of the human dilemma. Nature and man recede in the background, and the assumption that a good organization of human and social affairs would make men happy dominates men's mind. The sources of the social ills that seem to have occupied men's mind can be summed up

under the following headings:

1. The individual and the state.

2. Property and money.

3. Family life and sex activities.

4. Labour and leisure.

5. Religion.

6. Education and science.

7.2 The Individual and the State

The Renaissance utopias seem to have some reservation about the Christian tenet that man is originally sinful and the human misery stems from the evil inherent in him. They see the roots of evil in the social set up, and propose to dig those evil roots and to destroy them through re-arranging society on new lines. Rabelais' Abbev of Theleme, for instance, reflects the extreme individualism of Renaissance humanism. The men and women here are liberated from all restrictions, social, religious or otherwise. According to Armytage (1968:16), they are allowed "to do what pleases God, but what pleases them." Like their creator, the Thelemites are typical representatives of the Renaissance. They are highly educated and widely informed. They admire the classics and hate scholastic doctrines. They despise monastic life and monastic asceticism and show unbounded love for freedom and beauty The Abbev of Theleme is, in Berneri's view (1971:138): "the utopia of the new aristocracy of the Renaissance, an aristocracy based on intelligence and knowledge rather than on power and wealth"

More's Utopia, on the other hand, opposes extreme individualism, and binds it with a strict but reasonable order. The citizens of More's Utopia are not allowed to do what pleases them, but what reason dictates. Yet, More believes that the dictates of reason must be pleasant. The citizens of his utopia "define virtue as living according to nature …. They conclude that nature herself prescribes a life of joy as the goal of life" (More, 1949:48). They disassociate themselves from the traditional Christian inhibiting principles, and according to More (1949:48 and 53), they "disagree with the grim and gloomy advocate of virtue, who hates pleasures and exhorts us to toils vigils and squalid self denial." They also "..think it madness for a man to mar his body, to weaken his strength… to wear himself down with fasts ….. And spurn natural delights."

Yet, most Renaissance utopians, except Rabelais, do not have full confidence in the common individual. The happiness and social felicity achieved in their utopians are the result of efficient planning rather than of individual goodness. More offers the citizens of his utopia good "order", but little freedom. He keeps the social eye on the alert to prevent "wanton License of word and behavior." Morton (1968:62-3) explains this in terms of class conflict, and considers More as a representative of the rising middle class, who "shared much of its outlook in spite of his genuine concern for the sufferings of the people." As a middle class man, More, according to Morton (1968:63), "was therefore a man of order' who dislikes nothing more than the independent action of the people. All for the people but nothing by people was his catchword."

Andreae and Campanella have same mistrust of the common individual. The reason in our opinion is two-fold:

First and most important is the fact that these utopian humanists had an ambivalent attitude toward man. They perhaps give unconscious support to the Christian dogma that man is inherently evil, and at the same time give half-hearted support to the new concept that man is originally good. This ambivalence is most clear in the case of Andrea. Berneri (1971:107) who stresses that

> "Throughout his (Andrea's) utopia one feels that his love of men inclined him to trust them as sensible beings capable of going about their lives in a reliable and honest way ,but his religion told him that man is wicked and has to be carefully guided, preaching to, and if necessary threatened to be kept away from sin."

The second reason is that More and his fellow utopists are the product of the Renaissance and reflect some of its contradictions. The Renaissance bred encouraged individualism, but according to Berneri (1971:56)

> "The development of the individuality had taken place in a minority at the expense of the majority …. In the political sphere the initiative also passed from people to a few individuals …. The Renaissance which had allowed the development of the individual also created the state which became the negation of the individual."

This contradiction appears in most of the Renaissance utopias which oppose individualism in their citizens, although many of them are realized only through efforts of heroic individuals. More's Utopia is created by the

benevolent king Utopos and carries his name, and King Salomon gives New Atlantis and its capital 'Bensalem' their fundamental laws. Thus, most Renaissance utopias prescribe a strong government, monarchical, constitutional or republican. This was in agreement with the spirit of the age in which the feudal life was disintegrated, and peace and security were always threatened.

The most important feature of the state is that it is coercive. This quality is based on the assumption that the social units, in their individual condition, are self- seeking and destructive of the common good. These individual social units, left to themselves, contribute to the disintegration of the social body. It becomes necessary, therefore, for some members of society to govern others for the common good. The most extreme case of such reasoning is to found in Hobbes' Leviathan (1651).

The concept of the state looms large in most literary utopias. In many of them the state is a mean of attaining utopia and of maintaining it. In Plato's Republic, in More Utopia and in Bacon's New Atlantis, utopia is designed and created by individual rulers, benevolent tyrants whose words and deeds become sacred laws. On the other hand, though the political system of each of these utopias is initiated and, for a time, maintained by a tyrant, it does not continue to be headed by tyrants. It becomes a clock-work system, functioning almost automatically. Once Plato's Republic becomes a going concern, its philosopher-king and his assistants are elected through and extensive, selective, and highly demanding educational system. The same is true of Campanella's The City of the Sun whose head of state, the O, and his three assistants are selected through a rigorous and extensive educational process. According to Berneri (1971:100), the O has to be so widely informed and so highly educated that it might seem impossible to find such a man.

> "No one can become O if he does not know the histories of the peoples, their rites, sacrifices and laws; … all the mechanical arts, … all the sciences, mathematics, physics and astrology ….. The O should be a good metaphysician and theologian …. Should be well acquainted with the origin and demonstration of every art and science, …. He must know the species of being and their relation to celestial, earthly and marine things. He must make careful study of the Prophets and Astrologers."

The electing of the governing bodies on the basis of their born talents and academic qualifications is a tradition that was started and popularized by Plato. Thomas More established a somewhat different tradition. Though Utopia is founded by Utopos, an invader and conqueror, it is maintained by a democratic political system. The prince is elected by secret ballot and "remains in office for life, unless he's suspected of wanting to establish a dictatorship" (More, 1949:74). The members of the ruling councils are elected for one year. The whole adult population participates in the elections.

Another characteristic of More's Utopia is that the prince and the state officials are not legislators but mere administrators of the laws that were created long ago by king Utopos. These laws have crystallized into a solid and efficient institution, a body of rules and principles surrounded by a halo of sanctity, practicality and naturalness. Any serious change or serious violation of the laws by the state officials is simply inconceivable. More (1949:73) states that the history of Utopia covers 1760 years from the conquest, and that the society of Utopia has always enjoyed stability, plenty, contentment and internal peace.

More's democratic government was copied, with some variations, of course, by most utopians in the following centuries, particularly the seventeenth century. The English utopias of this century emphasize the essential necessity of a strong and capable government. Samuel Hartlib's Macaria (1641), Samuel Gott's Nova Solyma (1648), Thomas Hobbes' Leviathan (1651), and James Harrington's Oceana (1656), all revolve around the best possible political system. All, except Hobbes' Leviathan, advocate a constitutional monarchy. Like More's Utopia, they bind the monarchial ruler by constitutional laws. These utopias imply the awareness that absolute authority and power may have a corruptive influence on rulers and may lure them into becoming tyrants. Therefore, these utopias established precautionary measures against the rise of such a condition. The first step towards bracketing the authority of the ruler is to give the law a higher value than the king. Harrington (1656:100) says that the government "should be the Empire of the laws, and not of Men." The state in these utopias is the executor of the law, not its maker. The state is as much bound by the dictates of the law as ordinary citizens are.

More's Utopia has no legislators. But the seventeenth century utopias have legislators elected by the people at regular intervals. The laws in More's Utopia are not subject to serious changes, whereas the legislators in the seventeenth century utopias can make new laws or repeal old ones in response to the changes which may arise in the economic, social or political conditions. (Note 8)

7.3 Property and money

Private property and the use of money received great attention in Renaissance utopias. They were seen to be two of the primary sources of human inequality and misery. Property and money mean power and authority, and are, therefore, corruptive. Consequently, More abolishes private property and the use of money. He (1949:19-80) suggests that: "In Utopia where everything belongs to everybody, they know that if the public warehouses and granaries are full, no one will lack anything for his personal use."

Moreover, he (1949:81) adds that "Everyone knows that frauds, thefts, quarrels, contentions, uprisings, murders, betrayals, and poisonings …. would wither away if money were eradicated. Fear, anxiety, worry, care, toil and sleepless nights would disappear at the same time as money. Even poverty …. would vanish if money were gone."

Campanella's The City of Sun also "abolishes property, not for one class only, but for the whole community." Berneri (1971:98) quotes Campanella's as saying:

> "All things are in common and are administered by the magistrates. Not only food, but knowledge, honours and pleasures are common, in such a manner that no one can appropriate anything for himself."

Renaissance Utopias handling of the economic theme echoes the classical view (Plato's The Republic and Plutarch's Life of Lycurgos) that economic concerns have demoralizing effects on the political set up and on the social relations. With the exception of Bacon's New Atlantis, all Renaissance utopias abolish private property of land and prohibit the use of money. More, Campanella and Andrea advocate frugality and austerity and eliminate internal trade. They build egalitarian societies in which all citizens are made to work and all works and all works are, economically, equally rewarded. Nobody is allowed to remain idle and nobody sleeps hungry. All essential economic needs are ensured, but no luxuries are allowed to exist, for indulgence of the flesh was believable to corrupt the mind. On the whole, economic activities and relations in Renaissance utopias had no corruptive influence, either in the political or social arrangements.

7.4 Family life and sex activities

These subjects receive different treatment from different authors. More, Bacon and Andreae call for keeping the family as an important social unit. More, however, allows the would-be bride and bridegroom to see each other in the nude before deciding to marry, to make sure that none of them has hidden deformities. Campanella, though a staunch Catholic, abolishes the family and allows extramarital sex. His only concern is producing a healthy race. According to Berneri's (1971:100-101)

> "The laws of the City of the Sun concerning sexual relationships are solely dictated by the concern to produce a healthy race. Campanella is more thorough in his eugenic theories …. It is rather startling to see how little Campanella's conforms to the Orthodox Christian morality which condemns all sexually unions whose purpose is not that of reproduction, and all the idea that sexually repression in young people is harmful and must be avoided strikes one as very modern."

7.5 Labor and leisure

Unlike Plato and the classical utopias, and unlike the myth of the Earthly Paradise, the Renaissance utopias give labour, mental as well as physical dignity. They recognize it as a natural necessity and make it a duty for all citizens. In More's Utopia (1949:33-35):

> "All the Utopians … work at agriculture, and no one is inexperienced in it … Besides sharing in the farm work, every person has a particular trade of his own. The Utopians work six hours of twenty-four.. And sleep eight hours."

In Andreae's Christianopolis, according to Berneri (1971:112), work occupies and honoured position. Andreae condemns the prejudice against manual labour and reconsiders this issue by emphasizing the significance of this type of labour. He clarifies:

> "There are also public duties, to which all citizens have obligation, such as watching, guarding, harvesting of grain and wine, working roads, erecting buildings, draining ground, also certain duties of assisting in factories which are imposed on all in turn .. For what we are in our homes, they are in their city, which they not undeservedly think a home. And for this reason it is no disgrace to perform any public function … With an entirely mistaken sense of delicacy do the carnal-minded shrink from touching earth, water, stones, coal and things of that sort."

Since work is a duty and is made a pleasant one by shortening work hours, and since no citizen shirks his duty, slavery is no longer needed. On this and other moral grounds the institution of slavery is abolished in most

Renaissance utopias. More, however, keeps slaves in his utopia, but he does not call them slaves. Instead he uses the term "bondmen." These are either war captives or law-breakers. More (1449:56) says: "their bondmen are either their own citizens who have been sentenced to bondage for some crime, or men of other nations, who have been condemned to death."

The bondmen also include servants or what is now called "hired labourers". More (1949:57) gives the following description of them:

> "Another class of bondmen consists of poor hardworking menials of some other nation, who have chosen of their own accord to come and serve the Utopians. They are treated well…. if they wish to leave they are not detained… nor are they sent away empty-handed."

7.6 Religion

In most Renaissance utopias religion is not clearly defined nor does it receive detailed and emphatic treatment. In general, most monotheism is dominant. Religious dogma, practice and worship are founded on reason rather on revelation. Religious toleration is favoured and religious schism is frowned upon.

On the whole, Renaissance utopian attitude towards religion is the traditional Christian attitude but partially adjusted to suit utopian purposes such as stability, order, contentment and peace. No emphasis is given to the myth of the Fall and to the concept of the Original Sin. The concept of the 'trinity' is gradually replaced by Unitarianism. Religious toleration replaces fanaticism.

7.7 Education

Education is highly emphasized in Renaissance utopias, for it was through education that good utopian citizens were to be made, and good utopian rulers were to be created.

Thomas More does not describe educational programs or institutions, but as one reads through his Utopia, one feels that its citizens are well-educated people.

Campanella and Andreae give special attention to education and offer detailed descriptions of educational programs and institutions. Berneri (1971:99) tells us that in Campanella's The City of the Sun, children start learning when they are three year-old, as they learn alphabets and language. When they are seven, children start to have their own likes and dislikes about trades. After studying natural sciences and then mathematics, medicine or other courses, they start to choose their preferable field, in which they find themselves.

The O, or the head of the state in The City of the Sun has to be widely informed and very highly educated.

The most elaborate and best rationalized description of the educational system and institutions is given Andreae's Christianopolis. Education here is for all citizens, boys and girls and not for "a small privileged minority, the sons of princes and rich merchants … for this reason his education has none of the glamour of that received by the fortunate Thelemites, but it has the advantage of being accessible to all." Berneri (1971:118).

After their sixth year the children are given over to the state which lodges them at schools, gives them good education and nutrition food and surrounds them with hygienic conditions.

Great care is given to the school buildings, which are made roomy, sunny, attractive fully supplied with means for fruitful education and "honourable" recreations.

Similar great care is given to the choice of masters and matrons. In the word of Berneri (1971:119),

> "Their instructors are not men from the dregs of human society nor such as are useless for other occupations, but the choice of all the citizens, persons whose standing in the republic is known and who … have access to the highest position in the state."

The school is divided into eight classes "which correspond to the eight departments of education." The subject taught form a formidable list and include three languages (Hebrew, Greek and Latin), oratory, logic, metaphysics, theosophy, arithmetic, geometry, algebra, music, astronomy and astrology, natural philosophy, secular and church history, ethics and finally theology. (Berneri, 1971:122-123).

In addition to this highly ambitious educational program Andreae, according to Berneri (1971:123),

> "was interested in the formation of a 'college' or society which would unite all men of learning and provide them with the necessary means to carry out their researches. His ideas concerning this 'college' influenced those writers and philosophers who laid the foundations of the Royal Society in London. It is probable also that Bacon was acquainted with Andreae's works that they influenced his invention of the House of Salomon"

8. Conclusion

Thus, Utopia is an ideal place where people enjoy a socially, politically, legally perfect organism. While some of these Utopias are goals that communities try to attain, others are fictional worlds described in literature. Whether Utopias deal with religious, social, scientific, economic aspects, they all search for societies far from evil regardless of its different standards or methods. Through revolution or evolution perfection has been working as a magnificent target for human beings over the decades.

References

Al-Direeni, Moh'd Raja. (1989). Utopianism Outside Literary Utopias. *Arab Journal For The Humanities*, Vol. II, 7.

Armytage, W.H.G. (1968). *Yesterday Tommorows: A Historical survey of Future Societies.* London: Routledgr & Kegam Paul.

Berneri, Marie-Louise. (1971). *Journey Through Utopia.* New York: Shocken Books.

Chew, Samuel G. (1965). *The Crescent and the Rose.* New York.

Cohn, Norman. (1957). *The Pursuit Of the Millennium.* London: Secker and Warburg.

Dubos, Rene. (1961). *The Dreams of Reason: Science and Utopias.* New York: Columbia Univ. Press.

Elliot, Robert C. (1970). *The Shape of Utopia: Studies in a Literary Genre.* Chicago Univ. Press.

Gerber, Richard. (1955). *Utopian Fantasy: A study of English Utopian Fiction Since the 19th century.* London: Routledge & Kegan Paul.

Hamilton, Edith. (1969). *Mythology, Timeless Tales of Gods and heroes.* New York: Mentor Books.

Hertzler, Joyce Oramel. (1965). *The History of Utopian Thought.* New York: Copper Square Publishers.

Hitti, Philip. (1970). *History of the Arabs.* London: Macmillan.

Kateb, George. (1963). *Utopia and its Enemies.* New York: Collier-Macmillan.

Manuel, Frank E. (ed.) (1971). *Utopian Thought.* London: Souvenir Press.

Molnar, Thomas. (1972). *Utopia, The Perennial Heresy.* London: Tom Stacey.

Morton, A.L. (1968). *The English Utopia.* Berlin: The Seven Seas Publishers.

Popper, K.R. (1974). *The Open Society and its Enemies.* London: Routledge & Kegan Paul.

Utopia. / Utopia - Wikipedia, the free encyclopedia.

Notes

Note 1. For further information on the myth of the Golden Age, see.

- Moh'd Raja Al-Direeni, "Utopianism Outside Literary Utopias", Arab Journal for the Humanities: vol.2, No.7 (summer 1982), pp.275-294.
- W.H.G Armytage, Yesterdays Tomorrows (London :Routledge & Kegan Paul, 1968),p.6
- J.O. Hertzler, The History of Utopian Thought (New York, Cooper Square Publishers, 1965), P.99
- Hesiod, "Works and Days" in Hesiod, trans. by R.Latimore (Ann Arbor, Univ. Of Michigan Press, 1959), PP.31-32
- P.V Marinelli, Pastoral (The Critical Idiom, No.15), (London: Methuen co., 1971), P.15.

For more Information on the myth of the Earthly Paradise, see:

- Al-direeni, "Utopianism outside Literary Utopias", p.280.
- Richard Gerber, Utopian Fantasy (London: Routledge & Kegan Paul, 1955), P.364.
- A.L. Morton, The English Utopia (Berlin: The Seven Seas Publisher, 1968), P.16.
- G.Negley and J.M Patrik (eds.) The Quest for Utopia (New York: Garden City, 1960), P.235

Note 2. For a more detailed discussion of the problems of attaining and maintaining utopia see George Kateb, Utopia and Its Enemies (New York: the Free Press of Glenco, Collier- Macmillian, 1963).

Note 3. For more information on the Gods of Nature who believed to control human behaviour see:

- Edith Hamilton, Mythology: Timeless Tales of Gods and Heroes (New York: mentor Books, 1969).

Note 4. The various expressions of the concept of the Millennium are detailed in Norman Cohn's The Pursuit of the Millennium (London: Secker and Warburg, 1957).

Note 5. See also Thomas Molnar, Utopia: The Perennial Heresy (London: Tom Stacey, 1972)

Note 6. For Further information on this point see

- Philip Hitti, History Of the Arabs (London: Macmillan, 1970)
- Samuel G. Chew, The Crescent and the Rose (New York, 1965)

Note 7. Examples of such books are

- A.L. Morton's The English Utopia (1968)
- Marie-Louise Berneri's, Journey Through Utopia (1971)
- Frank E. Manuel (ed.) Utopias and Utopian Thought (1971)
- Thomas Molnar, Utopia, The Perennial Heresy(1972)

Note 8. Further development in the relations of the State and individuals as reflected in the utopian literature of the following centuries will be dealt with another paper.

The Importance of Gender as a Moderator for the Relationship between Emotional Intelligence and Mental Health of Adolescents

Jafar Shabani (Corresponding author)

Faculty of Human Science, Ali Abad Katool Brench – Islamic Azad University, Iran

E-mail: jshabani@yahoo.com

Alireza Jilardi Damavandi

Faculty of Educational Studies, Universiti Putra Malaysia, Malaysia

Abstract

This research examined whether Emotional Intelligence (EI) could be considered as a predictor for mental health. It also aimed to explore the moderating effect of Gender on the relationship between EI and mental health among high school students. The participants in the study included 10th, 11th, and 12th grade students from 8 public high schools in Gorgan City, north of Iran. They were 247 high school students, specifically comprised 124 boys and 123 girls, age ranged between 14 to 17 years old. The research design was an ex post facto and tested for alternative hypotheses. Two valid and reliable instruments were used to assess EI and mental health. Data analysis included frequencies, percentages, mean scores, simple regressions and moderated regressions. The result demonstrated that mental health could be influenced by EI. In addition, gender was a significant moderator for the relationship between EI and mental health.

1. Introduction

The World Health Organization conceptualized mental health separate from mental ill-health and defined the concept as: "a state of well-being in which the individual realizes his or her own abilities, can cope with the normal stresses of life, can work productively and fruitfully, and is able to make a contribution to his or her own community". (WHO, 2007, p. 1). On a societal level, mental health is perceived as a positive source contributing to asset development individually, socially, and economically (WHO, 2004). Positive mental health is also link to better physical health, increased pro-social behaviors, and participation in less adverse behaviors in adolescence (Resnick, 2000). Better mental health outcomes in adolescents are characterized by greater adaptation in family, society, and school environment, improved quality of life (Hoagwood et al., 1996; USDHHS, 1999). Conversely, poor mental health and well-being (i.e. depression, low self-esteem) during the adolescent years can lead to adolescent health risk behaviors, school failure, physical ill-health, suicide, involvement in juvenile and criminal justice systems, negative life choices, and mental disorders in adulthood (Lewinsohn et al., 1993; Canals, et al., 2002; Trzesniewski et al., 2006; Hjemdal et al., 2007).

There is some evidence that EI development and emotional experiences are helpful for health. Also, there is a significant relationship between awareness of emotional experiences and health. As whole, it seems emotional functions including EI and its components can be used as an instrument in relates with individual mental health. At the same time, many authors and researcher claim and reported that a significant relationship between EI and mental health (Goleman, 1995; Salovey & Mayer, 1990; Ioannis and Ioannis, 2005). Therefore, the aim of this study was to investigate the relationship of EI with mental health. In addition, the current study sought to provide more evidence pertaining to the relationship of EI with psychological health condition. Particularly, this study examined whether EI affected the psychological aspect of health functioning.

Emotional intelligence (EI) was originally recognized as having its roots in the concept of social intelligence (Salovey & Mayer, 1990; Goleman, 1995). Later, researches provided evidence that the two concepts actually represent interrelated components of the same construct (Salovey & Mayer, 1990; Bar-On et al., 2003; Lane & McRae, 2004). Consequently, this broad construct was accurately referred to as "emotional-social intelligence"

(Bar-On, 2006). Based on historical reference, traits such as the capacity to navigate through and to adapt to one's own environment and the possession of social and emotional "skills" are important not only to basic survival, but have implications in the areas of relationships, work, school, and emotional and mental health (Goleman, 1995; Salovey & Mayer, 1990).

Conceptual models appearing most frequently in the literature include the Salovey-Mayer model (Mayer & Salovey, 1997), the Goleman model (1998b), and the Bar-On model (2000). The above models and researchers revealed the implications of EI on mental and emotional health, relationships, self-motivation, adaptability, and problem solving, suggesting that without these skills or abilities, individuals will not be as successful. Elias et al., (2002), Bar-On (2006) and others have also claimed that the skills of Social Emotional Learning Model (SEL) and emotional-social intelligence can be taught and are generalizable across situations (i.e., work, school, social, etc.). It has been suggested that introduction of these skills may positively impact on school climate, by infusing interventions into multiple subject areas and encouraging prosocial behaviour, thus creating a more positive climate (Graczyk et al., 2000).

The popularity of the concept of EI for the past decades has led researchers to examine its potency in various areas of human functioning. Among the areas with the strongest connections to EI is developmental, educational, clinical and counselling, industrial and organizational psychology. Hence, characteristic or ability EI were related to physical and mental health (Ioannis & Ioannis, 2005), life satisfaction and well-being (Martinez-Pons, 1997; Palmer et al., 2002), life success (Bar-On, 2001; Goleman, 1995), vocational stress (Bar-On et al., 2000; Nikolaou & Tsaousis, 2002; Slaski & Cartwright, 2002), job success and performance (Dulewicz & Higgs, 1998; Vakola et al., 2004), individual performance (Lam & Kirby, 2002), interpersonal relationships (Fitness, 2001; Flury & Ickes, 2001), academic achievement (Van der Zee et al., 2002; Parker et al., 2004) leadership (Palmer et al., 2000), etc.

Taylor (2001) argued that if you are emotionally intelligent then you can cope better with life's challenges and control your emotions more effectively, both of which contribute to good mental and physical health. They stated that EI was strongly correlated with both, physical and psychological health. Furthermore, Salovey (2001) suggested that emotions' manifestation has a positive impact on physical health when people are confident about their abilities to regulate them. He proposed that the best way of dealing with the expression of our feelings in terms of our health is through the rule of "golden mean". "We may need to express negative feelings, but in a way that is neither mean spirited nor stifled" (p. 170). Moreover, Dulewicz, et al., (2003), examined the role emotional self-management such as stress, distress, morale and poor quality of working life play in everyday life.

Emotional intelligence research has provided evidence to suggest that differences exist in emotional intelligence between men and women. In a study on a sample of 13 males and 19 females, Mandell and Pherwani (2003) found a statistically significant difference in emotional intelligence between male and female managers, with females exhibiting higher emotional intelligence. Research by Mayer and Geher in 1996, and again by Mayer, Caruso, and Salovey, and more recently by Mandell and Pherwani (2003), concluded that women may score higher on measures of emotional intelligence than men, both in professional and personal settings (Brown & Stys, 2004). Liang (2007) investigated the relationship between gender and emotional intelligence on a sample of 100 college and university faculty members in Taiwan. Each of the 100 subjects completed the Nelson and Low Emotional Skills Assessment Process. Liang found that, for this sample of Taiwanese college and university faculty members, no significant difference existed in emotional intelligence between males and females.

2. Method

2.1 Participants

The participants in the study included male and female adolescents. The sample was made up of two hundred and forty seven Iranian high school students (124 boys and 123 girls) in Gorgan city, north of Iran. Their ages ranged from 15 – 17 years old. They were selected as respondents in this study during the 2009/2010 academic year via cluster sampling, and their participation was voluntary and anonymous.

2.2 Measures

Two instruments were used for data gathering including:

2.2.1 Emotional Intelligence Inventory, Youth Version (EQ-i YV, Bar-On and Parker, 2000); Utilized to measure emotional intelligence, the Bar-On Emotional Quotient Inventory: Youth Version (EQ-i: YV) was developed by Reuven Bar-On, Ph.D. and James D.A. Parker, Ph.D., and published by Multi-Health Systems, Inc., in 2000. The EQ-i: YV was developed to measure emotional intelligence in adolescent populations, based on the theoretical basis of the Bar-On model of social and emotional intelligence. This 60-item inventory is a self-report

instrument designed to measure emotional intelligence in young people aged 7 to 18 years. The instrument measures a cross-section of abilities and competencies that constitute the core features of emotional intelligence. Responses are invited on a four-point scale ranging from "very seldom true of me" to "very often true of me". For this study the simple Likert method (1–2–3–4) was chosen. The measure yields an overall EI score (range 0–240). The scale has a Cronbach alpha of 0.74.

2.2.2 General Health Questionnaire (GHQ-28, Goldberg, 1972; Goldberg & Williams, 1998). In 1972, Goldberg developed a simple questionnaire, which has been the most widely used instrument for detecting non-psychotic psychiatric "Cases", i.e. the General Health Questionnaire (GHQ). The GHQ is a self-administered screening questionnaire used to diagnose psychiatric disorders both in primary care and in the community. The main benefits of GHQ are it is easy to administer, brief, and objective. Several versions of GHQ are available: a 60-item version, and shorter versions (comprising 30, 28 and 12 items). The 28-item version (GHQ-28) developed by Goldberg and Hillier (1979) was constructed on a different basis when compared with the other versions. Responses were anchored on a four-point scale ranging from "less than usual", to "much more than usual". Of the four possible ways of scoring this instrument (Goldberg & Williams, 1998), this study chose the simple Likert method (0–1–2–3). The measure yielded an overall health scores (range 0–84) and was composed of four subscales described as somatic symptoms, anxiety and insomnia, social dysfunction and depression. High scores indicated high levels of psychological strain. The measure was found to have an acceptable level of internal consistency reliability (alpha = 0.92). High scores on this scale indicated poor general health.

3. Results

To fulfil the main objective of the present study, the obtained data were subjected to a number of statistical analyses by using statistical package for social sciences (SPSS 17.0). Although the analyses most pertinent to the objectives of the study were multiple and moderated regression analyses, descriptive statistics was also reported.

3.1 Descriptive statistics

Table 1 presents the mean and standard deviations for all the observed variables. Descriptive statistics was executed to determine the pattern of score distribution. A perusal of Table 1 reveals that the mean score for EI variable is 2.90 with the standard deviation of .29, and the mean score for GHQ is .91 with the SD of .43, (See Table 1).

SRA was computed to assess the strength of relationship between the dependent variable and the independent variables. SRA provides an opportunity with little ambiguity to assess the importance of the predictor to the overall relationship. The results of the regression analysis for the dependent variable (total mental health) are presented in Table 2. The regression analysis proved that EI is a significant predictor for total mental health. Table 2 shows that R = .598, R^2 = .357, adjusted R^2 = .354 and {F (1,245) = 136.099, P < .05}. R^2 means that 35.7% of the variance in mental health increase is explained by EI. Based on the values reported in the variable, the beta coefficient for EI was -.598. This means that EI makes the strongest contribution to explain total mental health. It suggests that an increment of one standard deviation in EI is followed by -.598 standard deviation increase in mental health (See Table 2).

3.2 Moderated Regression Analysis (MRA)

MRA was employed in examining the effects of moderating variable (gender) on the relationship between EI and mental health. MRA involved two steps. First, two regression equations were formulated; the first equation included only the first- order.

$$Y = a + b_1X + b_2Z_+ e$$

Y is a dependent variable, X is a predictor and Z is the second binary predictor that is hypothesised to be a moderator, where a is the least-squares estimate of the intercept, b_1 is the least-squares estimate of the population regression coefficient for X, b_2 is the least-squares estimate of the population regression coefficient for Z, and e is the residual term.

The second model included the first-order effects as well as a product term including the moderating variable.

$$Y = a + b_1X + b_2Z_+ b_3X^*Z + e$$

Where, b_3 in the sample was based leased-squares estimations of the population regression for the product term. As noted by Aguinis (2004), one way to examine that the moderator variable has statistically significant effects was to compare the R^2 form model Z (i. e. including the first-order effect only). The difference between these two coefficients of determination (i. e. R^2) indicated the proportion of variance in Y, explained by the interaction effect above and beyond the proportion of variance explained by the first-order effects. Therefore, the change of

R^2 seemed to be the most frequently used way to examine the magnitude of the moderating effect (Aguinis, 2004).

In this research, the product term was gender. The following are the two equations that derived from the regression procedures by entering the independent variables and product term block by block in order to create two models.

Table 3 shows that for Model 1, R = .598, R^2 = .357, adjusted R^2 = 354 and {F (1,245) = 136.099, P < .05}. R^2 means that 35.7% of the variance in mental health increase is explained by EI. Model 1 did not include gender as the product term and, thus, ignored a possible moderating effect. To find out the existence of a potential moderating effect on the EI and mental health relationship, we need to interpret Model 2 in Table 3.

Model 2 in Table 3 demonstrates the results after the product term had been included in the equation. As shown in Table 3, the addition of the product term resulted in an R^2 change of .012, F change (1,244) = 4.786, Sig. F change = .030 at the p < .05. The results supported the presence of a moderating effect. In other words, the inclusion of gender as the moderating variable does explain the variance in mental health. Thus, the result suggested that gender was a moderator on the relationship between EI and mental health.

4. Discussion

The results of this study found that EI was significantly and negatively correlated with mental health scores. This finding is in line with previous findings (e.g. Bar-On, 2001; Goleman, 1995; Martinez-Pons, 1997; Palmer et al, 2002; Ioannis & Ioannis, 2005). The results of the Simple Regression Analyses revealed that EI was a significant predictor for total mental health scores. Therefore, the findings of this study supported a positive effect of EI on students' mental health scores. The overall regression model was successful in explaining approximately 35.7% of the proportion variance explained in mental health scores. Finally, the findings of the results failed to provide evidence for the hypothesis that gender has a moderating effect on the relationship between EI and mental health. This finding is in line with Mandell and Pherwani, (2003) and contradicts with Liang, (2007).

5. Conclusion

The main purpose of the present study was to explain the role of EI on mental health (somatic symptom, anxiety, social dysfunction and depression) in high school students. The present investigation also tried to test the moderating effect of gender on the relationship of EI with mental health. This research found that students' mental health could be predicted by EI. In other words, The R-squared of .357 implied that the predictor variable (EI) explained about 35.7% of the variance in mental health (dependent variable). The findings also proved that gender did pose moderating effect on the relationship between EI and mental health scales and sub- scales. In other words, The R-squared of .306 implies that the predictor variable (EI) explain about 30.6% of the variance in the mental health (dependent variable). The findings also proved that gender did pose moderate effect on the relationships between the EI and mental health. These findings suggest that EI is important and should be encouraged in school for the betterment of students' mental health life. Therefore, this information is important to community counsellors, teachers, school counsellors, and parents; all of whom are concerned with both the academic and social-spiritual development of children, and with the climate of children's learning environments.

Acknowledgment

References

Aguinis, H. (2004). *Regression analysis for categorical moderators*: The Guilford Press.

Bar-On, R. (1997). *The Emotional Intelligence Inventory (EQ-I): Technical Manual*. Toronto, Canada: Multi-Health Systems.

Bar-On, R. (2000). Emotional and social intelligence: Insights from the Emotional Quotient Inventory. *The handbook of emotional intelligence*, 363-388.

Bar-On, R. (2001). Emotional intelligence and self-actualization. In J. Ciarrochi, J.P. Forgas, & J.D. Mayer (Eds), *Emotional intelligence in every day life: A scientific inquiry* (pp. 82-97). Philadelphia, PA: Psychology Press.

Bar-On, R. (2006). The Bar-On model of emotional-social intelligence (ESI). *Psicothema, 18*, 13-25.

Bar-On, R., Brown, J. M., Kirkcaldy, B. D., & Thome, E. P. (2000). Emotional expression and implications for occupational stress; an application of the Emotional Quotient Inventory (EQ-i). *Personality and Individual Differences, 28* 1107-1118. doi:10.1016/S0191-8869(99)00160-9, http://dx.doi.org/10.1016/S0191-8869(99)00160-9

Bar-On, R., & Parker, J. D. A. (2000). *The handbook of emotional intelligence: Theory, development, assessment, and application at home, school, and in the workplace*. San Francisco, CA: Jossey-Bass.

Bar-On, R., & Parker, J. D. A. (2000b). *Bar-On Emotional Quotient Inventory: Youth Version. Technical Manual.* North Tonawanda, NY: Multi-Health Systems. Inc.

Bar-On, R., Tranel, D., Denburg, N., & Bechara, A. (2003). Exploring the neurological substrate of emotional and social intelligence. *Brain, 126*(8), 1790. doi:10.1093/brain/awg177, http://dx.doi.org/10.1093/brain/awg177

Brown, S., & Stys, Y. (2004). A Review of the Emotional Intelligence Litereture and Implications for Correlations. *Research Branch-Correctional Serviece of Canada*.

Canals, J., Domènech-Llaberia, E., Fernández-Ballart, J., & Martí-Henneberg, C. (2002). Predictors of depression at eighteen. *European Child & Adolescent Psychiatry, 11*(5), 226-233. doi:10.1007/s00787-002-0286-y, http://dx.doi.org/10.1007/s00787-002-0286-y

Dulewicz, v., & Higgs, M. (1998). Emotional intelligence: Can it be measured reliably and validly using competency data. *Competency, 6*, 1-15.

Dulewicz, v., Higgs, M., & Slaski, M. (2003). Measuring emotional intelligence: content, construct, and criterionrelated validity. *Journal of Managerial Psychology, 18*, 405-420.

Fitness, J. (2001). Emotional intelligence and intimate relationships. In J. Ciarrochi, J.P. Forgas, & J.D. Mayer (Eds), *Emotional intelligence in every day life: A scientific inquiry* (pp. 98-112). Philadelphia, PA: Psychology Press.

Flury, J., & Ickes, W. (2001). Emotional intelligence and empathetic accuracy. In J. Ciarrochi, J.P. Forgas, & J.D. Mayer (Eds), *Emotional intelligence in every day life: A scientific inquiry* (pp. 113-132). Philadelphia, PA: Psychology Press.

Goldberg, D. P. (1972). *The detection of psychiatric illness by questionnaire*. London: Oxford University Press.

Goldberg, D. P., & Hillier, V. F. (1979). A scaled version of the General Health Questionnaire. *Psychological Medicine, 9*(1), 139-145. doi:10.1017/S0033291700021644, http://dx.doi.org/10.1017/S0033291700021644

Goldberg, D. P., & Williams, P. (1998). *A user's guide to the General Health Questionnaire*. Windsor: NFER-Nelson.

Goleman, D. (1995). *Emotional intelligence: Why it can matter more than IQ*. New York: Bantam.

Goleman, D. (1998b). *Working with emotional intelligence*. New York: Bantam.

Graczyk, P. A., Matjasko, J. L., Weissberg, R. P., Greenberg, M. T., Elias, M. J., & Zins, J. E. (2000). The role of the collaborative to advance social and emotional learning (CASEL) in supporting the implementation of quality school-based prevention programs. *Journal of Educational and Psychological Consultation, 11*(1), 3-6. doi:10.1207/S1532768XJEPC1101_2, http://dx.doi.org/10.1207/S1532768XJEPC1101_2

Hjemdal, O., Aune, T., Reinfjell, T., Stiles, T. C., & Friborg, O. (2007). Resilience as a predictor of depressive symptoms: A correlational study with young adolescents. *Clinical Child Psychology and Psychiatry, 12*(1), 91-104. doi:10.1177/1359104507071062, http://dx.doi.org/10.1177/1359104507071062

Hoagwood, K., Jensen, P. S., Petti, T., & Burns, B. J. (1996). Outcomes of mental healthcare for children and adolescents: A comprehensive conceptual model. *Journal of the American Academy of Child & Adolescent Psychiatry, 35*(8), 1055 -1063. doi:10.1097/00004583-199608000-00017, http://dx.doi.org/10.1097/00004583-199608000-00017

Ioannis, T., & Ioannis, N. (2005). Exploring the relationship of emotional intelligence with physical and psychological functioning. *Stress and Health, 21*, 77-86. doi:10.1002/smi.1042, http://dx.doi.org/10.1002/smi.1042

Lam, L., & Kirby, S. (2002). Is emotional intelligence an advantage? An exploration of the impact of emotional and general intelligence on individual performance. *The Journal of Social Psychology, 142*(1), 133-143. doi:10.1080/00224540209603891, http://dx.doi.org/10.1080/00224540209603891

Lane, R., & McRae, K. (2004). Neural substrates of conscious emotional experience: a cognitive neuroscientific perspective. *Consciousness, emotional self-regulation and the brain*, 87–122.

Lewinsohn, P. M., Hops, H., Roberts, R. E., Seeley, J. R., & Andrews, J. A. (1993). Adolescent psychopathology: I. prevalence and incidence of depression and other DSM-III-R disorders in high school students. *Journal of Abnormal Psychology, 102*(1), 133-144. doi:10.1037/0021-843X.102.1.133, http://dx.doi.org/10.1037/0021-843X.102.1.133

Liang, Y. (2007). *The relationship between personality type and emotional intelligence in a sample of college and university faculty in Taiwan*. Unpublished Ed.D, University - Kingsville, Texas A&M.

Mandell, B., & Pherwani, S. (2003). Relationship between emotional intelligence and transformational leadership style: A gender comparison. *Journal of Business and Psychology, 17*(3), 387-404. doi:10.1023/A:1022816409059, http://dx.doi.org/10.1023/A:1022816409059

Martinez-Pons, M. (1997). The relation of emotional intelligence with selected areas of personal functioning. *Imagination, Cognition and Personality, 17*, 3-13. doi:10.2190/68VD-DFXB-K5AW-PQAY, http://dx.doi.org/10.2190/68VD-DFXB-K5AW-PQAY

Mayer, J. D., & Salovey, P. (1997). What is emotional intelligence? In Salovey, P. and Sluyter, D. J. (Eds.), *Emotional Development and Emotional Intelligence* (pp. 3-31). New York: Basic Books.

Nikolaou, I., & Tsaousis, I. (2002). Emotional intelligence in the workplace: Exploring its effects on occupational stress and organizational commitment. *International Journal of Organizational Analysis, 10*(4), 327-342. doi:10.1108/eb028956, http://dx.doi.org/10.1108/eb028956

Palmer, B., Donalson, C., & Tough, C. (2002). Emotional intelligence and life satisfaction *Personality and Individual Differences 33*, 1091-1100. doi:10.1016/S0191-8869(01)00215-X, http://dx.doi.org/10.1016/S0191-8869(01)00215-X

Parker, J. D. A., Summerfeldt, L. J., Hogan, M. J., & Majeski, S. A. (2004). Emotional intelligence and academic success: Examining the transition from high school to university. *Personality and Individual Differences, 36*, 163-172. doi:10.1016/S0191-8869(03)00076-X, http://dx.doi.org/10.1016/S0191-8869(03)00076-X

Resnick, M. D. (2000). Protective factors, resiliency, and healthy youth development. *Adolescent Medicine: State of the Art Reviews, 11*(1), 157-164.

Salovey, P. (2001). Applied emotional intelligence: Regulating emotions to become healthy, wealthy, and wise. In J. Ciarrochi, & J.P. Forgas (Eds), *Emotional intelligence in everyday life: A scientific enquiry* (pp. 168-184). PhiladelphiaPA: Taylor & Francis.

Salovey, P., & Mayer, J. D. (1990). Emotional intelligence. *Imagination,Cognition and Personality, 9*, 185-211.

Slaski, M., & Cartwright, S. (2002). Health, performance and emotional intelligence: an exploratory study of retail managers. *Stress and Health, 18*(2), 63-68. doi:10.1002/smi.926, http://dx.doi.org/10.1002/smi.926

Taylor, G. J. (2001). Low emotional intelligence and mental illness. In J. Ciarrochi, & J.P. Forgas (Eds), *Emotional intelligence in everyday life: A scientific enquiry* (pp. 67-81). Philadelphia, PA: Taylor & Francis.

Thorndike, E. L. (1920). Intelligence and its uses. *Harper's Magazine, 140*, 227-235.

Trzesniewski, K. H., Donnellan, M. B., Moffitt, T. E., Robins, R. W., Poulton, R., & Caspi, A. (2006). Low self-esteem during adolescence predicts poor health, criminal behavior, and limited economic prospects during adulthood. *Developmental Psychology, 42*(2), 381-390. doi:10.1037/0012-1649.42.2.381, http://dx.doi.org/10.1037/0012-1649.42.2.381

US Department of Health and Human Services (1999). *Mental health: A report of the surgeon general*. Rockville, MD: US Department of Health and Human Services, Substance Abuse and Mental Health Services Administration, Center for Mental Health Services National Institutes of Health, National Institute of Mental Health.

Vakola, M., Tsaousis, I., & Nikolaou, I. (2004). The effects of emotional intelligence and personality variables on attitudes toward organizational change. *Journal of Managerial Psychology, 19,* 88-110. doi:10.1108/02683940410526082, http://dx.doi.org/10.1108/02683940410526082

Van der Zee, K., Thijs, M., & Schakel, L. (2002). The relationship of emotional intelligence with academic intelligence and the Big Five. *European Journal of Personality, 16*, 103-125. doi:10.1002/per.434, http://dx.doi.org/10.1002/per.434

World Health Organization (2004). *Promoting mental health: Concepts, emerging, practice* Geneva: Department of Mental Health and Substance Abuse. [Online] Available: http://www.aihi.unimelb.edu.au/pdf/publications/promotingMentalHealth.pdf

World Health Organization. (2007). *Strengthening mental health promotion.* (Fact Sheet No. 220). [Online] Available: http://www.who.int/mediacentre/factsheets/fs220/en/

Table 1. Descriptive Statistics of the Independent & Dependent Variable

Variables	N	Minimum	Maximum	Mean	Std. Deviation
Emotional Intelligence (EI)	247	2.15	3.67	2.9028	.29031
Total Mental Health	247	.04	2.04	.9110	.42770

Table 2. Simple Regression Analysis of the Total Mental Health

Variables	Summary of Regression	Un-std Coefficient B	Un-std Coefficient Std. Error	Std. Coefficient Beta	t	Sig. Value
(constant)		3.467	.220			
Emotional intelligence		-.880	.075	-.598	-11.67	.000
Multiple R	.598a					
R Square	.357					
Adjusted R Square	.354					
F-Statistics	136.099					

Note: Predictor: (Constant), EI. Dependent Variable: Total Mental Health, $p < .05$.

Table 3. Results of the Moderated Regression Analysis for the Moderating Effect of gender on the relationship between EI & Mental Health

Model	R	R Square	Adjusted R Square	Std. Error of the estimate	Change Statistics				
					R Square Change	F Change	df1	df2	Sig. F Change
1	.598[a]	.357	.354	.34363	.357	136.09	1	245	.000
2	.608[b]	.369	.364	.34101	.012	4.786	1	244	.030

Note: Predictors step 1: Total EI, Predictors step 2: Total EI, Students Gender, * $p < .05$.

A Study of Lower-order and Higher-order Questions at Secondary Level

Wilayat Bibi Khan

IER University of Peshawar, Pakistan

E-mail: wkhan104@gmail.com

Hafiz Muhammad Inamullah

IER University of Peshawar, Pakistan

E-mail: hafiz_inam@yahoo.com

Abstract

In classrooms, questioning is one of the most regularly employed teaching strategies. Questioning is considered by many to be the most important tool that teachers have for helping students build understanding and to encourage students to think about and act upon the material that have structured. Questions are asked to individual pupils, to the whole class, to small groups to arouse curiosity, focus attention, develop an active approach, stimulate pupils, structure the task, diagnose difficulties, communicate expectation, help children reflect, develop thinking skills, help group reflection, provoke discussion and show interest in pupils' ideas. Perhaps few studies have been carried out regarding the levels of classroom questions in Pakistan on this vital aspect of teaching learning process.

The main objective of the study was to explore the levels of questions teachers asked during teaching at secondary level using bloom's taxonomy. It was focused to observe the ratio of lower and higher- order questions. It was an observational study of the descriptive method. The target population comprised all the teachers of Working Folks Grammar School & College Peshawar. Twenty teachers of different subjects teaching at secondary level were randomly selected as sample of the study. Teachers were observed using an observational guide and audio recording were conducted. The researcher focused only the asked questions of the teachers. This study is significant because its findings and conclusions may stimulate teachers to improve their questioning behavior in order to develop and promote higher order thinking abilities.

The result of the study showed that so much time was spent with teachers questioning the students. Most of the questions were low- level cognitive questions. Higher- order questions were also observed however, the ratio of these questions was very low. Total percentage of questions during 445 minutes was 60 percent. The whole number of questions was good but in most of the classes the number of questions was low. Among 267 questions 67 percent were knowledge based, 23 percent were comprehension based, 7 percent were application based, 2 percent were analysis based and 1 percent was synthesis based. However the ratio of evaluation based questions was zero.

Keywords: Questioning, Lower-order, Higher-order, Thinking abilities, Secondary-level

1. Theoretical Framework

The art of asking questions is one of the basic skills of good teaching. Socrates believed that knowledge and awareness were an intrinsic part of each learner. Thus, in exercising the craft of good teaching an educator must reach into the learner's hidden levels of knowing and awareness in order to help the learner reach new levels of thinking (Lindley, 1993).

Questioning is the heart of teaching learning process. Through the art of questioning the teacher can exploit the hidden potentialities of students however this mainly depends upon the types of questions teachers ask (www.highlandschools-virtualib.org.uk).

Teachers spend much time talking with students ---lecturing, giving directions, and asking and answering questions. To ensure understanding and application of knowledge, teachers commonly engaged students in question and answer session. Questions can prompt responses ranging from simple recall of information to abstract processes of applying, synthesizing, and evaluating information (Zepeda, 2009).

Bloom and his colleagues in 1956 developed a continuum for categorizing questions and responses. Bloom's taxonomy includes the following elements, arranged from lowest to highest order: Knowledge: recalling specific facts; Comprehension: describing in one's own words; Application: applying information to produce some result; Analysis: subdividing something to show how it is put together; Synthesis: creating a unique, original product; and Evaluation: making value decisions about issues. The first three levels of this system deal with lower-order thinking skills that are essential in laying the foundation for deeper understanding. The last three employ higher-order thinking skills (Hopper, 2009).

Teachers frequently spend a great deal of classroom time testing students through questions. In fact, observations of teachers at all levels of education reveal that most spend more than 90% of their instructional time testing students through questioning. Most of the questions teachers ask are typically factual questions that rely on short-term memory (www.teachervision .fen.com).

Questions may also be convergent (asking for only one right answer) or divergent (asking for many possible answers). Questions about concrete facts are convergent: who ruled England in 1540? Who wrote Peter Pan? Questions dealing with opinions or hypotheses are divergent: Why did the United States go to war in 1898? What do you think of nuclear power plants? (Woolfolk, 1989)**.**

Quite a bit of space in education textbooks has been devoted to urging teachers to ask both high-level (analysis, synthesis, and evaluation) and divergent questions.

Lower- order cognitive questions embrace chiefly recall, comprehension and application; higher order questions, by contrast, involve analysis, synthesis and evaluation. Lower order questions tend to closed questions (when a known response is sought); higher order questions tend to be open questions (when the type of response is known but the actual response is not, students being free to respond in their own way). Lower order questions are knowledge, comprehension and application based which encourage lower levels of thinking while higher order questions develop in students the ability to critically analyze and evaluate the concepts and ideas. www.oir.uiuc.edu/Did/docs/QUESTION/quest1.htm

It is said that higher level thinking occurs with higher level questions. Teachers play an important role in engaging students in higher order thinking skills by asking higher order questions. A teacher can raise the level of critical thinking and help children in reflective thought by the proper use of questions (Hollingsworth, 1982). Framing questions that are challenging, open-ended and uncluttered with extraneous information supports higher order thinking (Wang & Orig, 2003) and this is why examining teacher's questions is important. Effective teacher makes the students think even when they don't want to (Fisher, 1998).

In the light of the above discussion the overall purpose of the proposed study was to observe lower- order and higher- order questions at secondary level. The objective of the proposed study was to explore lower and higher-order questions and to analyse the level of questions in the light of bloom's taxonomy.

2. Methodology

The study focused on observation of lower order and higher order questions at secondary level. This study was an observational type of the descriptive method. The target population comprised all the teachers of Working Folks Grammar School and College Hayatabad Peshawar. Twenty teachers of different subjects were randomly selected by the researcher as sample of the study. These teachers were informed and asked for permission prior to observation. The observation was more overt as mentioned by Gay (2000) that in overt observation the researcher obtains permission to observe someone. After going through different articles and researches, (Inamullah,2005) the researcher, selected the instrument with certain amendments keeping in view the ground realities for observing the level of questions asked in the classrooms. This instrument "observation guide using bloom's taxonomy" was developed by Zepeda (2008). The selected instrument assisted the researcher to observe the proportion of lower and higher- order questions asked over a specified time.

3. Data collection and analysis

The teachers were reluctant to be observed specially with audio recording but were convinced. After obtaining consent from the participants and ensuring them that their real names would not be used when reporting the findings from this study, data were collected over 24 days in January, 2011. The observation was participant in nature.

During the classroom observations, the teachers' questioning patterns were observed and audio recorded. The observation sheet developed for the study was used for encoding the data. Each teacher was observed in the class for 30 minutes. Twenty teachers (as mentioned in the sample) were observed with audio recording. The cooperation of the teachers was commendable.

Following observations, questions were transcribed from the audio recorder and questions were coded into higher or lower order categories. Procedural questions (e.g., open up your book at page 16 and read it?) and rhetorical questions (e.g., that was tasty, wasn't it?) were not analyzed. The teacher's questions were coded as higher- order if the question called for the student to create new information (information not previously discussed) as mentioned by Renaud and Murray (2007).

After confirming the level of teacher questions, questioning data were recorded onto a questioning chart regarding: question types (higher-order or lower-order); Categories of data from the chart were summed. After each category was calculated, the total number of question types (i.e., higher-order and lower-order) was divided by the number of questions the teacher asked. This information provided a percentage and in graphic form in order to present a holistic view of what types of questions the teacher asked.

4. Discussion

The result of the study showed that lower order questions were mostly asked by the teachers than higher order. The results of the study were in support of early studies estimated that 70 to 80 percent of all questions require the simple recall of facts, while only 20 to 30 percent require the higher- level thought processes of clarifying, expanding, generalizing, and making inferences (Haynes, 1935; Corey, 1940). Recent study in the United States and England indicates that, of every five questions asked, three require data recall, one is managerial, and only one requires higher-level thought processes (Dillon, 1988).

Brown & Wragg (1993) discusses the research study of Stevens (1912) that teachers appeared to ask 400 questions per day, that 65 percent of those questions were concerned with recall of text-book information.). Brown & Wragg (1993) also discusses the result study of Gall (1970) who noted that 6 percent of teacher questions required pupils to recall facts in much the same way as that in which they were presented, and only twenty percent required pupils to think beyond the level of recall; the remaining percent involved procedural matters such as classroom management.

Elizabeth Shaunessy (2005) reported that Parker (1989) observed that most classrooms engender factual, convergent thinking questions; divergent thinking is a non-traditional concept and occurs infrequently in most classrooms.

5. Conclusion

In the light of results and discussion the following conclusions were drawn. It was observed that the time devoted to asking questions from students by the teachers, almost every lesson was started with the question. The ratio of questions was different in each class. In 445 minutes duration 267 questions were asked. The total percentage of questions during 445 minutes was 60 percent. In most of the cases the number of questions was low. Majority of the questions were lower order i.e. they were knowledge, comprehension, and application based as these levels are considered as lower order under bloom's hierarchy of cognitive domain.

Higher- order questions consist of analysis; synthesis and evaluation based were seldom asked. Very few questions were asked at the analysis and synthesis level however evaluation based questions were not observed by the researcher during observation of teachers in their respective classes.

References

Brown, G., & Wragg, E. (1993). *Questioning.* London: Routledge.

Charles O.E. (2010). Developing Critical Thinking skills of pre-service teachers Ghana: teaching methods and classroom ecology. *Journal of Education,* vol. 8, No. 4, Fall.

Cohen I, Manion, L. & Morrison K. (1996). *A guide to teaching practice.* (4th Ed) Routledge 11 New Fetter Lane, London.

Corey, (1940). The teacher out talk, the pupils. *School Review*, Vol. 48, pp.745-752.

Dillon, J.T. (1988). *Questioning and teaching: A manual of practice.* New York: Teachers College Press.

Fisher R. (1998/2003). *Teaching Thinking: Philosophical Enquiry in the Classroom*. London: Continuum.

Gay L.R. (2000). *Educational Research Competencies* (5th Reprint). Neelab Printers, Rawalpindi, Pakistan, p.221.

Haynes, (1935). *The relation of teacher intelligence, Teacher, type of school to type of questions.* Unpublished doctoral dissertation, George. Peabody college for teacher, Nashville, TN.

Hollingsworth P.H. (1982). *Questioning: The heart of teaching.* The Clearing House, Vol. 55, No. 8, (April, 1982). Taylor & Francis Ltd, pp.350-352.

Hopper, C.H. (2009). *Practicing College Learning Strategies*. (5thEd). Cengage Learning, Inc.

Inamullah, M. (2005). Patterns of classroom interaction at different educational levels in the light of Flander interaction analysis. PhD thesis, University of Arid Agriculture, Rawalpindi.

Lindley, D. (1993). *This rough magic*. Westport, CN. Bergin & Garvey.

MecNeil L. (2010). Beyond the products of higher-order Questioning: How do teacher and English-Language Learner Perceptions Influence Practice. *TESOL Journal,* Vol. 2, pp.74-90.

Renaud, R., & Murray, H. (2007). The validity of higher-order questions as a process indicator of educational quality. *Research in Higher Education*, 48(3), 311-331. doi:10.1007/s11162-006-9028-1, http://dx.doi.org/10.1007/s11162-006-9028-1

Shaunessy, E. (2005). *Questioning strategies for teaching the gifted.* Prufrock Press, Inc.

Wiseman D & Hunt G.H. (2008). Best practice in motivation and management in the classroom. Charles thomas, publisher, LTD.

Woolfolk A.E. (1989). *Educational Psychology*. Printice Hall, Englewood Cliffs, New Jersey.

Wragg E.C. (1993). *Primary teaching skills*. Routledge 11 New Fetter Lane, London.

Zepeda, S.J. (2009). *The Instructional Leader's Guide to Informal Classroom Observations*. Eye on Education, Inc.

(www.highlandschools-virtualib.org.uk/ltt/.../questioning.htm)

(www.teachervision .fen.com/teaching-methods/new-teacher/48445-html)

(www.oir.uiuc.edu/Did/docs/QUESTION/quest1.htm)

Table 1.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
20 min	13	7	2	4			
%age		54%	15%	31%			

Table 1 indicated that in 20 minutes class duration, the researcher observed 13 questions. 54 % of the questions were knowledge based, 15% were comprehension based and 31% were application based. Thus majority of the questions asked in the class were lower order questions. The total percentage of questions during 20 minutes was 65%.

Table 2.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
30 min	9	9					
%age		100%					

Table 2 indicated that in 30 minutes class duration, the researcher observed 9 questions. 100 % of the questions were knowledge based. All the questions asked in the class were lower order questions. The total percentage of questions during 30 minutes was 30%.

Table 3.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
30 min	19	10	7	1	1		
%age		53%	37%	5%	5%		

Table 3 indicated that in 30 minutes class duration, the researcher observed 19 questions. 53 % of the questions were knowledge based, 37% were comprehension based, 5% were application and 5% were analysis based. Thus majority of the questions asked in the class were lower order questions. Only 5% of the questions were higher order. The total percentage of questions during 30 minutes was 63%.

Table 4.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
25 min	22	17	2	2	1		
%age		77%	9%	9%	5%		

Table 4 indicated that in 25 minutes class duration, the researcher observed 22 questions. 77 % of the questions were knowledge based, 9% were comprehension based, 2% were application and 5% were analysis based. Thus majority of the questions asked in the class were lower order questions. Only 5% of the questions were higher order. The total percentage of questions during 25 minutes was 88%.

Table 5.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
30 min	17	11	3	3			
%age		65%	17.6%	17.6%			

Table 5 indicated that in 30 minutes class duration, the researcher observed 17 questions. 65 % of the questions were knowledge based, 17.6% were comprehension based, and 17.6% were application based. Thus majority of the questions asked in the class were lower order questions. The total percentage of questions during 30 minutes was 57%.

Table 6.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
20 min	9	3	5	1			
%age		33%	56%	11%			

Table 6 indicated that in 20 minutes class duration, the researcher observed 9 questions. 33 % of the questions were knowledge based, 56% were comprehension based, and 11% were application based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 20 minutes was 45%.

Table 7.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
30 min	19	13	6				
%age		68%	32%				

Table 7 indicated that in 30 minutes class duration, the researcher observed 19 questions. 68 % of the questions were knowledge based and 32% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 30 minutes was 63%.

Table 8.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
20 min	7	4	3				
%age		57%	43%				

Table 8 indicated that in 20 minutes class duration, the researcher observed 7 questions. 57 % of the questions were knowledge based and 43% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 20 minutes was 35%.

Table 9.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
25min	26	20	2	3	1		
%age		77%	7%	12%	4%		

Table 9 indicated that in 25 minutes class duration, the researcher observed 26 questions. 77 % of the questions were knowledge based, 7% were comprehension based, 12% were application and 4% were analysis based. Thus majority of the questions asked in the class were lower order questions. Only 4% of the questions were higher order. The total percentage of questions during 25 minutes was 104%.

Table 10.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
15min	10	9	1				
%age		90%	10%				

Table 10 indicated that in 15 minutes class duration, the researcher observed 10 questions. 90 % of the questions were knowledge based and 10% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 15 minutes was 67%.

Table 11.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
15min	10	5	5				
%age		50%	50%				

Table 11 indicated that in 15 minutes class duration, the researcher observed 10 questions. 50 % of the questions were knowledge based and 50% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 15 minutes was 67%.

Table 12.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
25min	11	9	2				
%age		82%	18%				

Table 12 indicated that in 25 minutes class duration, the researcher observed 11 questions. 82 % of the questions were knowledge based and 18% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 25 minutes was 44%.

Table 13.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
15min	9	4	4		1		
%age		44%	44%		12%		

Table 13 indicated that in 15 minutes class duration, the researcher observed 9 questions. 44 % of the questions were knowledge based, 44% were comprehension based and 12% were analysis based. Thus majority of the questions asked in the class were lower order questions. Only 12% of the questions were higher order. The total percentage of questions during 15 minutes was 60%.

Table 14.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
15min	19	11	7		1		
%age		58%	37%		5%		

Table 14 indicated that in 15 minutes class duration, the researcher observed 19 questions. 58 % of the questions were knowledge based, 37% were comprehension based and 5% were analysis based. Thus majority of the questions asked in the class were lower order questions. Only5% of the questions was higher order. The total percentage of questions during 15 minutes was 60%.

Table 15.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
30min	18	12		4	1	1	
%age		67%		22%	5%	5%	

Table 15 indicated that in 30 minutes class duration, the researcher observed 18 questions. 67 % of the questions were knowledge based, 44% were application based, 1% was analysis based and 5% were synthesis based. Thus majority of the questions asked in the class were lower order questions. Only 10% of the questions were higher order. The total percentage of questions during 30 minutes was 60%.

Table 16.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
10min	10	8	2				
%age		80%	20%				

Table 16 indicated that in 10 minutes class duration, the researcher observed 10 questions. 80 % of the questions were knowledge based and 20% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 10 minutes was 100%.

Table 17.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
20min	12	11	1				
%age		92%	8%				

Table 17 indicated that in 20 minutes class duration, the researcher observed 12 questions. 92 % of the questions were knowledge based and 8% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 20 minutes was 60%.

Table 18.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
30min	11	10	1				
%age		91%	9%				

Table 18 indicated that in 30 minutes class duration, the researcher observed 11 questions. 91 % of the questions were knowledge based and 9% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 30 minutes was 37%.

Table 19.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
20min	11	3	8				
%age		27%	73%				

Table 19 indicated that in 20 minutes class duration, the researcher observed 11 questions. 27 % of the questions were knowledge based and 73% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 20 minutes was 55%.

Table 20.

Time	No. of Questions	Knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
20min	5	4	1				
%age		80%	20%				

Table 20 indicated that in 20 minutes class duration, the researcher observed 5 questions. 80 % of the questions were knowledge based and 20% were comprehension based. Thus most of the questions asked in the class were lower order questions. The total percentage of questions during 20 minutes was 25%

Results

0bservation	Time	No. of Questions	knowledge	Comprehension	Application	Analysis	Synthesis	Evaluation
1	20 min	13	7	2	4			
2	30 min	9	9					
3	30 min	19	10	7	1	1		
4	25 min	22	17	2	2	1		
5	30 min	17	11	3	3			
6	20 min	9	3	5	1			
7	30 min	19	13	6				
8	20 min	7	4	3				
9	25 min	26	20	2	3	1		
10	15 min	10	9	1				
11	15 min	10	5	5				
12	25 min	11	9	2				
13	15 min	9	4	4		1		
14	15 min	19	11	7		1		

15	30 min	18	12		4	1	1	
16	10 min	10	8	2				
17	20 min	12	11	1				
18	30 min	11	10	1				
19	20 min	11	3	8				
20	20 min	5	4	1				
Total	445 min	267	180	62	18	6	1	
%age			67%	23%	7%	2%	1%	
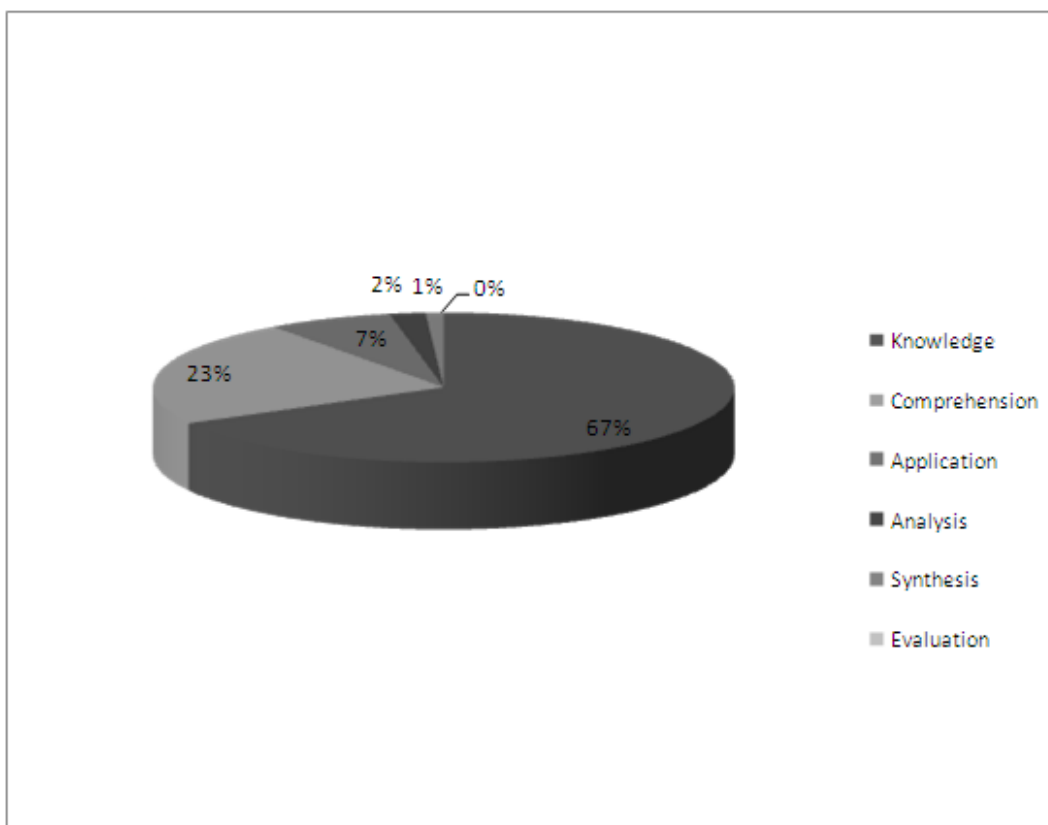
The above table indicated that during 20 observations session, the total time of observation was 445 minutes, the number of questions observed were 267. The result of the study revealed that the teachers asked frequent questions during instruction. Total percentage of questions during 445 minutes was 60 percent. The whole number of questions was good but in most of the classes the number of questions was low.

Among 267 questions 67 percent were knowledge based, 23% were comprehension based, 7 percent were application based, 2 percent were analysis based and 1 percent was synthesis based. However evaluation based questions were not observed by the researcher. In the knowledge category most of the questions were related to knowledge of specifics and terminology, theories and structures, and trend and sequences. In the comprehension category most of the questions asked were related to interpretation and extrapolation.

A Case Study of Five Science Teachers' Understandings of Classroom Research and Their Willingness to Become Active Classroom Researchers

Rawatee Maharaj-Sharma

The University of the West Indies

St. Augustine, Trinidad and Tobago

E-mail: Rawatee.Maharaj-Sharma@sta.uwi.edu

Abstract

This article reports on the views of five secondary school science teachers who accepted the challenge to explore the self-assessment aspect of their practice with specific regard to their understandings of classroom research and their willingness to actively initiate and engage in classroom research. The approach is an explorative one and the accounts outline the context in which the teachers work, provide brief descriptions of their work, and consider what lessons from these case studies might guide or inform teachers and teacher educators in the personal and professional development of science teachers as researchers.

Keywords: Classroom research, Attitudes to research

PREAMBLE

In Trinidad and Tobago there is very little published work on teachers' views and feelings about their role as classroom researchers. It is against this background that the motivation for this work emerged. The author had spent four years training secondary school science teachers – at the School of Education at the University of the West Indies on the Postgraduate Diploma in Education – and had experienced a general sense of resistance by teachers to engage in non-mandatory classroom research initiatives. The Postgraduate Diploma in Education (PDEP) is a nine-month in-service teacher education/training programme.

In the current work, the teachers selected were all graduates of the Postgraduate Diploma in Education Programme with whom the author had worked closely during their stint of training at the University of the West Indies. In this regard therefore, the sample comprised only science teachers. It is important to note that this work is very preliminary and it is intended to serve as a springboard to begin the process of gauging and documenting teachers' attitudes to classroom research in Trinidad and Tobago.

INTRODUCTION

In Trinidad and Tobago, there is a general perception that teachers are the storehouses of knowledge and that their primary function is to meticulously impart knowledge to their students. Practising teachers have adopted varying unique styles of delivery which they have 'perfected' over time and many of them are ready, willing and able to convincingly defend their particular "teaching style" at the slightest hint of challenge. Until recently, however, there was no mandatory pre-service teacher-training programme to prepare secondary school teachers for entry into the classroom. The result therefore is that most of them entered the teaching service as untrained teachers, and so many of them muddled through their first few years of teaching until they eventually settled down to what they believed were 'comfortable method/s' that 'work for them'.

Once teachers get into such comfort zones, very few real attempts are made to critically assess or self-evaluate their practice in the physical settings in which they work. Despite the changing classroom clientele many teachers continue to practice within their comfort zone/s, which within recent times have not necessarily been meeting the needs of the dynamic clientele (Maharaj-Sharma, 2006). Teacher educators and trainers continue to make consistent efforts to encourage teachers who elect to pursue professional development through the PDEP, to actively enquire into their own practice, not only during training but after training as well. Despite these efforts, many teachers do not pursue classroom research beyond their formal training period.

The purpose of this study was to examine five science teachers' understandings of classroom research and to informally assess their willingness to initiate research in their classrooms. Additionally, this work attempted to reveal some of the barriers that teachers perceive may hinder their efforts in this regard. Three research questions tailored the approach adopted in this project:

1. What are teachers' understandings of classroom research?

2. To what extent are teachers willing to engage in classroom research?

3. What are the perceived barriers experienced by teachers in their efforts to conduct classroom research?

REVIEW OF CLASSROOM RESEARCH

According to Cohen & Manion (1998), any form of research has three fundamental characteristics that distinguish it from other types of inquiry approaches. Firstly, research is systematic and controlled and proceeds by adopting some basic approach that may have an inductive or a deductive methodology. Secondly, research is empirical, that is, the researcher must validate the findings by checking it against experience. In other words, subjectivity must be checked against objectivity. The third characteristic of research is that it is self-correcting, that is, not only does the scientific method have built-in mechanisms to protect scientists from humanly possible errors, but also procedures and results are open to public scrutiny by fellow professionals.

Classroom research, sometimes referred to as action research, is unique in that it not only has these characteristics but it provides an opportunity for the researcher [in this case teacher/s] to critically and formally inquire into his/her own practice in some systematic way in an attempt to promote and facilitate professional growth and development (Borg & Gall, 1989). Many education experts agree that the role of 'Teacher as Researcher' is a fundamental pillar of professionalism and that the results of teachers' inquiries into their own practice can contribute significantly to their own unique situations as well as to the development of educational theory (Zee, 1998). Teachers can therefore use their own experiences in the classroom to investigate issues there, either independently or collaboratively, so as to provide deeper understandings of these issues and to uncover methodologies that can be used to effectively influence the teaching-learning relationship in their classrooms.

CLASSROOM RESEARCH IN THE SCIENCE CLASS

Very often science school students are 'mis-read' or 'mis-judged' by teachers as being incapable of coping with the rigors of scientific concepts, skills and theories because they do not respond positively to teachers' traditional styles of delivery. Teachers operate within their zones of comfort and often cast labels and/or blame on students without taking time to examine their own practice and the impact it makes [or does not make] on student learning. The result is that, often times, problems of poor motivation, negative attitude toward subject and low achievement arise in the classrooms (Dhal, 1995; Nakamura, 1999). In the local context, it is unclear what 'real efforts' are made by teachers to address these problems.

Brickhouse & Boder (1992) and Glanz (2003) suggest that classroom research should become a significant aspect of teachers' practice as it is one of the surest ways to objectively assess the teaching/learning dynamism in the classroom and to evaluate the effectiveness of the teaching/learning strategies employed by teachers to achieve learning. Classroom research that is designed to identify and assess challenges that exist in schools and classrooms can reveal valuable insights into the underlying causes of these problems. Once these are known, suitable intervention strategies can be employed in attempts to address the problems. Researchers have suggested that it is through creative and innovative teacher interventions that many problems relating to low achievement and poor attitude are positively resolved (Reed, 2000). Furthermore, they agree that the responsibility to initiate activities and opportunities for identifying the causes of classroom problems and deciding on suitable intervention strategies to be adopted relies heavily on teachers' willingness, attitudes, abilities and their commitment to the profession (Reed, 2000; Shkedi, 1998). In addition, as suggested by Driel, Beijaard & Verloop, 2001), teachers' existing knowledge, their beliefs and their attitudes are crucial considerations in any such undertaking.

The experience in the local context of Trinidad and Tobago has been that many teachers believe that they are not prepared, mostly in terms of their research abilities for such undertakings, but there are some teachers who believe that it is simply not their business to facilitate such undertakings and are generally unwilling to acknowledge the educational significance of this aspect of their profession. Other explanations offered by the literature for teachers' unwillingness to pursue classroom research include limitations of time, lack of resources and little or no support from school administration.

METHODOLOGY

The Sample

In this study, 25 randomly selected science teachers from 25 secondary schools across Trinidad and Tobago were surveyed by way of a questionnaire consisting of 20% close-ended questions; to elicit biographical data; and 80% open-ended questions that focused on the research questions of the project. The teachers surveyed were all graduates of the PDEP and therefore had all been involved in some aspect of classroom research prior to this study. Based on their written responses, 5 teachers were purposively selected and interviewed to further explore their written responses and to provide the participants with ample opportunity to verbally expand on their understandings and their views in regard to their willingness to become classroom researchers. Background data and responses obtained from these five teachers were representative; in terms of content, context, views and ideas; of those of the larger group of 25 teachers and so detailed interviews were conducted with only these five teachers. The following accounts attempt to explore in specific ways what; for these five teachers; are their understandings of classroom research and to probe the extent of their willingness to engage in the process in a meaningful way. It also aims to uncover reasons why teachers may or may choose to become active classroom researchers and what challenges; perceived or otherwise; they face in this quest. In this regard therefore, it was important to interact intimately with each of the five participants to gain deep and meaningful insights into their views, ideas and feelings about this issue. [Pseudonyms were used for the five teachers who participated in the project]. *The purposive selection process sought to co-opt the intense involvement of participants from different school types and different geographical localities across the country. It also sought to capture views/input from both male and female teachers.*

Data Collection and Data Analysis Procedures

The open-ended section of the written questionnaire served to elicit from teachers their understandings of what classroom research is as well as to gauge the extent of their willingness to become classroom researchers. Opportunity was provided in the questionnaire for teachers to identify issues that might motivate them to engage in classroom research and also to elaborate on whether or not they thought of investigating the causes of the issues identified. Teachers were further asked to indicate what they thought were some of the challenges they face or might face if they decided to initiate and conduct classroom research in their respective contexts.

Guided by the research questions and the responses on the written questionnaire, a semi-structured interview protocol was prepared for the five science teachers selected. Before each interview, the responses presented on the respective written questionnaire were carefully studied; by re-reading several times; to obtain a thorough understanding of the views and opinions presented by each participant. Depending on the detail or ambiguity presented in the written responses, the semi-structured interview which followed was modified accordingly to maintain alignment with the stated research questions.

Each interview lasted about an hour and throughout the interview process questions were repeated for clarity and teachers' responses were probed to ensure that understandings, ideas and information were captured completely and in detail. The interviews were conducted 2 weeks after the questionnaires were administered.

Though detailed and significantly more searching, the interview questions followed closely, the questions on the questionnaire. Any ambiguities in the verbal responses were probed for clarity. Verbal responses that varied from information provided on the written questionnaire were explored by encouraging participants to explain, freely and fully; their views, feelings and opinions. Any verbal response which appeared to contradict data presented on the questionnaire was carefully probed and explored by allowing the participant to explain fully; prompting intervening questions [from the researcher] on a few occasions.

The interview tapes were subsequently transcribed and the transcripts reviewed several times – firstly each case was reviewed individually and then the cases were reviewed in conjunction with each other for comparative purposes. The transcriptions were coded and subsequently labeled in respect of the three research questions. All segments of the transcriptions that addressed the first research question were labeled 'Understanding of Research' (UOR). These segments were mostly in the first part of the transcriptions. Transcribed segments that addressed the second research question were labeled 'Willingness to Research' (WTR) and segments that addressed the third research question were labeled 'Barriers to Research' (BTR). Responses from some participants could not be assigned to any of these three labels and seem to convey a view that research was not part of teacher's job description. Responses that expressed this view were labeled 'Not My Job' (NMJ).

Case Study 1: Mark – Teaches upper secondary chemistry.

Mark Smith is a chemistry teacher and has been in the teaching profession for ten years. He teaches mostly at the upper levels [forms four, five and six]. Mark teaches at one of the prestigious, denominational, schools located in the urban north part of Trinidad. Informal discussions with Mark while he was a student on the PDEP revealed that most of the students at his school come from wealthy families and many of them scored very high marks in the Secondary Entrance Examination (SEA). *The SEA is a compulsory exam which all primary school students sit at the end of their primary schooling. It is used to place students in secondary schools. It focuses on Mathematics, English language and Creative Writing.*

Literacy and numeracy challenges are almost non-existent at his school. Students generally move through the school in a somewhat routine way, attending classes, listening to lectures, taking notes and doing homework as instructed by the teachers in a mostly rote, and minimally interactive manner. Paid extra lessons whether from the teachers at the school or otherwise is an accepted practice as part of the education process for students of this school. Indiscipline is minimal at this school. Teaching, for Mark, has been a 'breeze'. The 'children are bright' they 'go for extra lessons … they can read and write. …and they don't bother teachers for extra help'. Administration is 'cool', Mark says, '… if I don't have a class, I don't have to be on the school compound…I can go in late and leave early…' Students 'never really complain about the way I teach…or the teaching strategies I use…'

New learnings from Mark

Written as well as verbal responses obtained from Mark revealed that his understanding of what classroom research involved was limited, that he was reluctant to engage in classroom research and he could identify several reasons why he was unwilling to become a classroom researcher.

What are Mark's understandings of classroom research?

Analysis of all segments of Mark's transcript that were labeled UOR in conjunction with his responses on the written questionnaire indicated that in his view, classroom research was a process that involved 'observing students…and writing down what they do in the classroom…' and 'how they behave'. He believes that 'listening to what they say about how they feel' is important and that by keeping a 'mental record' he knows 'how to deal with each of them'. His 'definition' after much probing was that 'classroom research involves finding out what happens in the classroom'. None of his responses suggested that Mark perceived classroom research to be a structured activity, involving some form of intervention, guided or informed by manifestations of students' behaviour, performance or attitude to the subject. He claims that 'thinking about' or 'engaging in classroom research' is not part of his 'responsibility' as a teacher and this was revealed from parts of his transcript that were labeled NMJ.

To what extent is Mark willing to engage in classroom research?

Simply put, Mark is unwilling to engage in classroom research. His response on the written questionnaire was short and blunt; ['I am not willing to engage in classroom research']. This view was further corroborated during the interview as Mark suggested, he 'has lots of other [personal] things to do with his time' and that 'teaching them chemistry is all he is paid to do'.

Barriers to research for Mark

During the interview it was evident that Mark enjoyed articulating all the possible challenges he envisaged he could face at his school and found every opportunity to cite these as reasons why he 'will not engage' in classroom research. Among the many envisaged barriers identified were, limited time to cover the scope of the syllabus, as well as 'no time to plan activities' and 'no financial compensation for research'. All three perceived 'barriers' emerged from the section of Mark's transcript coded BTR.

Case Study 2: Sheri – Teaches lower secondary integrated science

Sheri Norma has taught integrated science in a junior secondary school [located in rural Trinidad] for most of her nineteen-year teaching career. She has consistently been lobbying for improved conditions and facilities for her students – whiteboard, multimedia access and laboratory apparatus. At the junior secondary school indiscipline is a serious problem. Most students placed in this school performed poorly in the Secondary Entrance Examination [achieving between zero and thirty percent on the examination]; literacy and innumeracy challenges exist in almost every classroom. Sheri believes that she must capitalize on what students can do instead of focus on what they cannot do and so all her classes are interactive sessions where students learn not so much by reading and writing, but by working with their hands – building models, mixing solutions, talking about their

observations and drawing charts to illustrate their learnings and acting out their feelings and ideas through drama and song. Many of the students at this school come from homes plagued by poverty, alcoholism and abuse. Sheri believes that it is her responsibility to give 'direction to the lives of these students'.

New learnings from Sheri

It was clear from both the written and verbal responses that Sheri was excited about initiating classroom research, and in fact the transcript revealed that since exiting the PDEP, Sheri had been constantly trying different approaches in her classroom to meet the needs of her students.

What are Sheri's understandings of classroom research?

Sheri indicated during the interview that she strongly believes that a 'teacher's job is far beyond teaching subject content' and that her job is to 'make better citizens out of my students'. She understands that her students come into her classroom with 'much baggage', which 'makes learning integrated science difficult for them' and that she has to 'find ways to get them to learn'. This she says is what she tries to do and in segments of her transcript coded UOR; Sheri articulates classroom research as 'a structured process … that uses a suitable intervention strategy to address a teaching/learning issue in the classroom'. The issue/s she says can be identified after 'careful observations of students' behaviour and their engagement in classroom learning'. Furthermore, she suggests 'evaluating the effectiveness of any new strategy is an important part of classroom research'.

To what extent is Sheri willing to engage in classroom research?

All responses from both the written questionnaire and the interview revealed that Sheri is committed to finding 'new and interesting ways to get my students to participate in science learning' by employing a range of teaching/learning strategies. She insists that whenever she tries something new she documents her ideas and efforts before she begins, and documents her observations during the process. She says, 'I always evaluate the impact of the strategy at the end and [I] document its effectives or ineffectiveness'. This she says is 'very important'. Sheri believes that 'teacher as researcher … is critical to the professional development of teachers'. Segments of her transcript coded WTR revealed that Sheri is very willing to actively engage in classroom research and has been engaged in such activity on many occasions, since exiting the PDEP.

Barriers to Research for Sheri

Sheri identifies many things that could deter her from 'doing what I do', but she believes that she has to be 'a change agent in the school' if she 'truly has to help the students'. She admits that 'time is never enough', but she has 'to make the best use of the time I have with my students'. At her school teaching aids and resources are 'very scarce' so 'I have to purchase a lot of the materials like markers and Bristol board…but I don't mind… sometimes I ask students to bring stuff from home like string, styrotex cups and rubber bands'. Sheri says 'the financial cost to me personally' is what she sees as the greatest 'barrier' to her engagement in classroom research, but she says that she always 'find a way to overcome this barrier'.

Case Study 3: Pauline - Teaches lower secondary integrated science and upper secondary biology

Pauline Peters teaches at a denominational school and has been a teacher for eight years. She herself has been through a tough life and faces her students while battling several of her own social challenges. She is sound in her content area and indicated that her motivation for pursuing the PDEP was to 'gain insights into new and exciting ways to deliver to my students'. The school is a new school, [established in 2001] and there are problems of inadequate staffing, lack of sufficient laboratory facilities and technical support. Students at this school are a 'mixed bunch', says Pauline, some of them 'are very bright' but some of them are 'remedial material'. There is no streaming at the school, so that any given class is truly a mixed ability class. This is the challenge for Pauline as she is unsure as to what she has to do to reach all her students. Pauline cites lack of enthusiasm and poor attitude toward science as the major challenges she face with her students. Because of these 'problems …the students are also not performing as I would expect them to on their tests'. She claims that she tries to get her students to work in groups and to do projects on occasion, but that she is unable to manage the class whenever she deviates from teacher-led recitation delivery which is dominated mostly by textbook reading and some note-taking.

New Learnings from Pauline

The interpretation gathered from the responses given by Pauline indicated that she had a fair understanding of what is meant by classroom research and that she was in fact willing to conduct research in her classroom, but that she felt she was not sufficiently competent in research techniques. She also cited several barriers that discouraged her enthusiasm, in this regard.

What are Pauline's understandings of classroom research?

Pauline was quick to attempt to define what she understood classroom research to be. She suggested that it is 'something you do to find out about the problems students have…and when you discover the problem/s you can think about doing something to solve the problem'. Despite several probing questions, Pauline never indicated that evaluation was part of the research process nor did she explicitly speak about documentation of the process. In other words, based on the interpretations of sections of her transcript coded UOR, there was no indication that Pauline understood classroom research to be a structured or planned activity.

To what extent is Pauline willing to engage in classroom research?

Pauline admits that she has never thought about doing any type of structured classroom research since exiting the PDEP. She admits further that she understands the importance of such research and the benefits it can add to the teaching/learning experience in the class as she recounts the research project she undertook while on the PDEP. She explains that she 'does not feel competent enough to do any research on her own…. I don't know where to start…what to look for …and how to do it….if I knew how and if I had help…. I think I would do classroom research…because of these concerns, I am not willing to engage in classroom research … I might end up doing more harm that good'.

Barriers to Research for Pauline

Based on the interview data as well as the responses from the questionnaire, it was obvious that Pauline's perceived barrier was a combination of limited confidence and competence in herself. She lacks confidence in research and competency in research skills and she sees these as the main barrier. This was clearly articulated in the written questionnaire. It would also seem from her responses during the interview that the lack of support from members of staff and others in the field of education to encourage and work collaboratively with Pauline is; in her view; a major barrier. Interestingly, Pauline never cited time as a barrier to classroom research. From segments of her interview labeled BTR, she believes that her 'lack of research skills is the main barrier'.

Case Study 4: Deo – Teaches lower secondary agricultural science

Deo Tobin is an agricultural science teacher who has been in the service for well over fifteen years. He, like Sheri, teaches at a junior secondary school but claims that the students 'don't want to learn…they are undisciplined …and do not like to read or write'. He implies that there is very little he can do 'to help them learn anything'. Deo still uses chalk and blackboard to teach; he believes that 'this is what worked for him [as a student] and this is what has to work for them [his students]'. He is actively involved in the teachers' union and aggressively lobbies for better salaries and benefits for teachers, because he believes that 'dealing with these children is becoming more and more difficult'. Deo admits that he arrives at class late because he 'gives the children time to settle down'. There are no charts in his classroom and all he takes with him to the class is the course textbook. Clinical supervision of his classes while on the PDEP revealed that his classes are generally noisy and Deo has great difficulty maintaining classroom control and student attention. He is known to shout in threatening tones on occasion.

New Learnings from Deo

Deo had no grounded explanation when asked to articulate his understandings of classroom research, and nothing in his written or verbal responses suggested that he was open to the idea of becoming a classroom researcher. His transcript was riddled by complaints and criticizisms about the school, the students and the system in general.

What are Deo's understandings of classroom research?

Deo's concept of classroom research did not focus on the students. His view of classroom research was one that entailed 'providing students with materials and books to do research in the classroom'. It was clear from all his verbal responses coded UOR that Deo understood/interpreted classroom research to be an activity in which 'students are engaged' in a 'process of interacting with stimulus material and academic literature' to 'find out information about a topic'.

[In this case, the researcher intervened – but only after fully exploring his understandings as expressed verbally – to explain the idea of classroom research to Deo. The notion articulated was a structured approach that involved employing appropriate intervention strategies to understand/gauge/treat perceived problems related to the quality of the teaching/learning process that occurs in the classroom. It was also explained to Deo that evaluation of the intervention/s used (during and at the end of the treatment) was an important part of classroom research.]

To what extent is Deo willing to engage on classroom research?

Once the researcher was satisfied that Deo had made the mental transition in his understanding of what was meant by classroom research, he was asked about his willingness to engage in the process. His responses were generally vague and curt, despite repeated but gentle probing. Segments of his transcript labeled WTR revealed that Deo was not willing to do anything more than 'teach them agricultural science' because 'I'm not paid to do anything else'. He indicates further, 'I don't think I can do anything to help these children learn if they don't want to learn…. most of them are not interested in any help'. Deo clearly shared sentiments that were in some ways similar to those expressed by Mark in regard to his willingness to engage in classroom research.

Barriers to Research for Deo

Given that initially Deo did not have a working understanding of the features of classroom research and about what was involved in the process, it was not clear from his responses whether the 'barriers' he spoke of were in reference to classroom research specifically, or if they were perceived 'barriers' of a more general nature which he encountered in his own practice. Careful and repeated analysis of his actual comments on audio-tape as well as his transcript suggested that the latter was more likely the case; in other words, the perceived 'barriers' Deo identified were elements/issues 'he felt' could impede his attempts at engaging in classroom research [of the nature explained to him by the researcher]. These were all in reference to him 'not being able to teach them all they need to learn … because they are undisciplined … have social problems … and cannot concentrate in classes'. None of his comments/responses in relation to the perceived barriers conveyed the idea that time, limited resources or administrative support or even his own lack of understanding of the nature and potential of the process of classroom research were barriers that could pose challenges to him and other teachers who might want to engage in classroom research.

Case Study 5: Andrew – Teaches physics at all levels

Andrew De Pezia is a physics teacher and while he is over forty, he has only been in the teaching profession for four years, having worked in industry before entering the teaching profession. Andrew teaches at a prestigious denominational school where the students are described as 'the cream of the crop'. Most of them come from wealthy families and are generally self-motivated to learn. Andrew indicated that his decision to pursue the PDEP was to move up the ranks into administration. His classes are totally teacher-controlled with total teacher telling. The few instances he attempted to use multimedia to teach a lesson really reduced the session to a glorified lecture, as revealed from clinical supervision prior to this project. He has also made several conceptual flaws while teaching physics to students on a number of occasions. He believes that his students want to land themselves big jobs and are willing to work towards that end, and his job is 'simply to tell them what they need to learn and to work through past paper examination questions with them'. Andrew admits that sometimes his students come to class knowing more than he does about the topic because they take a lot of extra lessons and most times have already covered the topic.

New Learnings from Andrew

Andrew articulated what his perception of classroom research was and indicated that given his own view and the context in which he teaches he has never given much thought to conducting research in his classroom, but he admits that it might be a good thing to do to gain insights into students' performance and attitudes.

What are Andrew's understandings of classroom research?

After much thought, Andrew responded to this question by giving a very brief statement. He said, 'from what I know and recall from the Dip. Ed. Programme, classroom research is about doing things differently in your classroom to find a solution to a problem you are having in your classroom'. When probed a bit further, Andrew explained that it involved 'choosing a suitable intervention strategy to address the problem … use the strategy to teach a unit of lesson to the students and them evaluate how well the strategy worked to solve the problem you started of with'. Further probing resulted in the follow response, 'that's all I understand and remember from the curriculum study'. *[The curriculum study is an action research report which all teachers who pursue the PDEP, are expected to produce as part of the requirement for the programme.]*

To what extent is Andrew willing to engage in classroom research?

From segments of his transcript coded WTR, Andrew admits that after graduating from the PDEP, he never gave 'much thought' to any form of classroom research. Additionally, he indicates that he does not see classroom research as 'part of my job description' nor does he see the benefits of any such activities to his students because, as he explains, 'my students are bright, most of them are highly motivated and many of them take extra [private] lessons … often times they know their work even before coming to class'. Andrew questions, 'what will be the

use of classroom research in this case'? He suggests 'I'll just be wasting my time'. It would seem that while Andrew appreciates the potential of classroom research, he is unwilling to engage in the process within his context.

Barriers to Research for Andrew

From segments of the interview data coded BTR, Andrew identifies several barriers that could deter him from conducting research in his classroom, if he decided to do so. Among these was 'already insufficient time to complete the syllabus, so where will the time to do research be found'? He also spoke of the lack of administrative and technical support and the fact that there is no financial compensation for such activities. He did indicate however, at the end of his interview, that in his view all these barriers can be overcome by someone who is willing to conduct classroom research, but he further indicated that he is not willing to challenge any of these, because his students 'do not need any intervention to learn'.

Summary of Case Studies

These cases reveal how five science teachers from different backgrounds with different profiles view the concept of classroom research inclusive of their willingness to pursue classroom research and the barriers or perceived barriers they face or may face in such an undertaking. The five teachers involved in this project volunteered to participate without reservations, each indicating that the findings will provide, for them, insights and new learnings about the way they see themselves in their profession. It was obvious from the openness and comfort with which they expressed their thoughts, views and feelings that the teachers were articulating truthfully and unreservedly. The researcher is indeed extremely grateful to them all for their openness.

The findings revealed that each teacher is different from the four others and this realization gave birth to speculation in the researcher's mind; the speculation that perhaps each of these teachers represents a different category of teacher in our education system. Indeed, a more detailed study with a much larger group of teachers will be needed to support such a speculation, but if we assume that this is even remotely tempting then the findings of this study would be significant, in a general sense, in the context of classroom practice and teacher professionalism. Additionally, for the five teachers involved in this project, the overall findings in each case seem to correlate in some crude way with their professional profile. The researcher ventured further to attach a label to each teacher. These labels were arrived at from subjective interpretations of the following:

- Written questionnaire responses
- Oral interview responses
- Informal interactions and observations (during the current work)
- Historical record and recall of teachers (during the PDEP)

Table 1 summarizes these subjective categories for the five teachers in this project; the labels as gleaned from the researcher's perspective.

Insert Table 1 about here

DISCUSSION/CONCLUSION

The intention at the start of the project was not to use the data obtained from these five teachers to categorize teachers in general but simply it was to explore in some detail what were their views having seemingly different professional outlooks in respect to their understandings of and involvement in classroom research. During the data analysis phase of the project the categorization seemed to easily emerge from interpretations [by the researcher] of both the written and verbal responses given by the teachers.

The content-centred teacher, like Mark Smith, views content coverage and content dispensation to students as the most important aspect of the teaching profession. Teachers like Sheri Norma, place the students at the centre of the teaching/learning process and employ a variety of strategies to meet the needs of the students. Pauline Peters believes that meaningful learning for her students is most important and she believes further that teachers must be knowledgeable when attempting different strategies in the classroom to ensure that these strategies do not affect students' learning in any negative way. The self-centred teacher, like Deo Tobin, is of the view that students' learning is their responsibility and that the teacher's role is not necessarily to make a difference in the lives of students but simply to help only those students who are willing to help themselves. Andrew, the school-centred teacher sees his function within the school context and not within the classroom context and believes that student-teacher classroom engagement in the learning process is peripheral to the school as far as his commitments go.

The findings of this study clearly suggest that there are teachers in the system that do not see themselves as reflective practitioners but merely as knowledge bearers whose role is to dispense knowledge. *[Reflective*

practitioners are actively engaged in constant review and reassessment of their practice and the impact it has on students (Schon, 1987)]. Three of the five teachers surveyed in this project did not view themselves as change agents either in the education process or in the education system. It is noteworthy that these three teachers were male teachers and that the two female teachers surveyed both indicated that, while their role included knowledge dispensing, they also felt that it was part of their professional responsibility to make meaningful differences in the lives of their students. It will be interesting to see what a more detailed comparative study of the relationship between teachers' gender and the way they view themselves as practitioners/educators would reveal.

The findings of this project also have implications for teacher training and professional development programmes like the PDEP suggesting that there is a need to emphasize in more stringent terms the importance of inculcating the research attitude among teachers who pursue professional training. As suggested by Cohen & Manion (1998), this is one aspect of teachers' professional development that is often ignored and in this regard, there is a pressing need for teachers to be exposed further to methodologies and procedures on how to initiate and develop their own action research projects – in meaningful ways – based on problems that exist in their classrooms. Meaningful partnerships between teacher educators and other similar stakeholders seem to be a critical requirement in the structuring of post-training initiatives and activities to evaluate/assess teachers' progress and development in the area of classroom research. There is an obvious need to foster collaborative efforts between school administrators and teacher educators to encourage, monitor, guide and assist teachers when they undertake action research projects in their classrooms.

There is no doubt that challenges will emerge for teachers who are willing to make this transition in their practice (Brickhouse & Boder, 1992). Significant efforts primarily in terms of funding, support, infrastructure and revised workloads, perhaps even increased staffing at schools, will have to be made, to make this transition palatable to teachers. Policy makers, the education ministry and other support institutions may even have to comprehensively review the appointment criteria and performance appraisal of teachers if this thrust is to be embraced and pursued in meaningful ways that will benefit our students. Furthermore, as suggested by Zee (1998), a move towards developing teachers who are researchers could have significant positive implications for teacher professionalism and teacher professional development in Trinidad and Tobago.

References

Borg W. R. and Gall, M. D. (1989). *Educational research: an introduction*. New York, Longman.

Brickhouse, N. M & Boder, G. M. (1992). The beginning science teacher: Classroom narratives of convictions and constraints. *Journal of Research in Science Teaching,* 29, 471-485. doi:10.1002/tea.3660290504, http://dx.doi.org/10.1002/tea.3660290504

Cohen, L. and Manion, L. (1998). *Research methods in education*. London, Routledge.

Creswell, J. (2002). *Educational research: Planning, conducting and evaluating quantitative research*. Upper Saddle River, NJ, Merrill Prentice Hall.

Dahl, K. L. (1995). Challenges in understanding the learner's perspective. *Theory into Practice*, 34, 124-130. doi:10.1080/00405849509543669, http://dx.doi.org/10.1080/00405849509543669

Denzin, N.K. & Lincoln, Y.S. (1998). *Collecting and interpreting qualitative materials*. Thousand Oaks, CA, Sage.

Glanz, J. (2003). *Action research: An educational leader's guide to school improvement.* Christopher-Gordin.

Johnson, M. (2002). Teacher as researcher. *The Science Teacher*, 69(3), 40-42.

Maharaj-Sharma, R. (2006). Students of Today. *Trinidad Express*, November 28th, 2006.

Nakamura, R. M. (1999). *Healthy classroom management*. Australia, Wadsworth Thompson Learning.

Reed, C. (2000). *Teaching with power: Shared decision-making and classroom practice*. New York, Teachers College Press.

Schon, D. (1987). *Educating the reflective practitioner*. San Francisco, CA, Jossey-Bass.

Shkedi, A. (1998). Teachers' attitudes towards research: A challenge for qualitative researchers. *International Journal of Qualitative Studies*, 11(4), 559-577. doi:10.1080/095183998236467, http://dx.doi.org/10.1080/095183998236467

Van Driel, J.H., Beijaard, D. & Verloop, N. (2001). Professional development and reform in science education: The role of teachers' practical knowledge. *Journal of Research in Science Teaching*, 38(2), 137-158.

doi:10.1002/1098-2736(200102)38:2<137::AID-TEA1001>3.0.CO;2-U,
http://dx.doi.org/10.1002/1098-2736(200102)38:2<137::AID-TEA1001>3.0.CO;2-U

Zee, E. H. van. (1998). Fostering elementary teachers' research on their science teaching practices. *Journal of Teacher Education*, 49(4), 245-265. doi:10.1177/0022487198049004002, http://dx.doi.org/10.1177/0022487198049004002

Table 1. Teachers' Position on Classroom Research

Teacher	Understanding of research	Willingness to research	Barriers to Research	Label
Mark Smith	Superficial understanding of classroom research including the process, the benefits and its significance.	Unwilling to engage in any classroom research, perceiving it as not part of a teachers' job description.	Identified several barriers indicating that these were insurmountable.	Content-centred teacher
Sheri Norma	Thorough understanding of process of classroom research and an advocate for the benefits of this activity to students.	A practising classroom researcher since graduating from the PDEP.	Identified barriers but explained that teachers have to find ways to overcome them in order to meet the needs of the students.	Student-centred teacher
Pauline Peters	Fair understanding of the processes involved in classroom research but agreed that it is an activity worth pursuing to make the classroom learning more meaningful to students.	Unwilling to engage in research for fear of being incompetent in the theory of the process indicating that once competence is acquired the willingness to conduct classroom research will be there.	Identified barriers and saw the difficultly in overcoming them in the given context, but agrees that teachers must find a way to overcome them to make students' learning meaningful to them.	Learning-centred teacher
Deo Tobin	Clueless about the process of classroom research.	Unwilling to engage in classroom research.	Identified several barriers that could hamper anyone from doing classroom research	Self-centred teacher
Andrew De Pezia	Fair understanding of what is entailed in classroom research [as recalled for the PDEP experience]	Unwilling to engage in classroom perceiving it is as useless in the present context, but recalled the benefits the process could have for students.	Identified existing barriers that would challenge classroom research efforts, but indicated that they can be overcome with teacher commitment.	School-centred teacher

Study on the Problems and Countermeasures of "Limited Property Rights Houses"

Xiaorui Huang

College of Economics and Management, Sichuan Agriculture University

211 Hui Min Road, Wenjiang District, Chengdu 611130, China

E-mail: huangzengyan@163.com

Ge He (Corresponding author)

College of Economics and Management, Sichuan Agriculture University

211 Hui Min Road, Wenjiang District, Chengdu 611130, China

E-mail: hege01@126.com

Abstract

In parts of the "historic village renovation", "urban village renovation", "combining the countries and matching nature villages", "new rural construction", "improving the living conditions of villagers", by the way of "land - renting instead of expropriating", the development of "limited property rights houses" in China has existed for a long time, and it has shown a trend of difficult to contain. The article analyzes the status of "limited property rights houses", reveals its drawbacks, explores the reasons for its existence and finally proposes countermeasures.

Keywords: Limited property rights houses, Problems, Countermeasures

1. Introduction

"Limited property rights houses" is not a legal concept, and it is only a conventional item in the social practice, that means collective farmers bypassing the government and agreeing with developers directly to construct the houses which build on the collective land without the government expropriation and then sale to people outside of the collective in low price (Ma, G., 2007, pp. 41).

The study of "limited property rights houses" has an important theoretical and practical value. Since the 1990s, China began to promote the process of urbanization and the commercialization of housing evolution rapidly. In various places, the "historic village renovation", "urban village renovation", and "combining the counties and matching nature villages" were carried out extensively, while in a number of suburban areas, there are a large number of "limited property rights houses" development by the way of "land - renting instead of expropriating". The emergence and development of the "limited property rights houses" presents a new challenge for the existing legal system in China, especially for the rural property rights system, rural land requisition system, land use management system and farmland protection system. Now, all departments focus on "blocking" it (Xie, Z., & Ma, Z., 2010, pp.11-13). Facing on the problems of the rigid requirements of the housing, the high price of the urban housing and the inadequate housing security system, many people choose to buy these houses with the chance of the "law is not responsible for the masses". However, if the large number of the houses is forced to remove, it is not only a great waste of social resources, but also obviously not conducive to building a harmonious socialist society in China.

Many domestic scholars have done different research and analysis about it and currently there are four major academic research ideas. At first, it studies the legalization from a legal point of view. Su (2011) analyzed the

necessity of the legalization from the concept, characteristics and related legal issues of "limited property rights houses". Song and Di (2010) proposed the improvement of the dual land systems that allow the trades of collective land use rights and improve the relevant security system so that solve the social problems which bring from the "limited property rights houses" fundamentally. Secondly, it studies its definitions, causes and countermeasures. Cheng (2009) provided the use of administrative and economic means from the content and type, and gradually established a unified land market and tax system. Secondly, it studies from the institutional economics. Ning (2010) found the farmers and government as a "participant" in the institutional change promoted the houses' production and development in the path of "induced institutional" and "mandatory regime change". Fourthly, it studies from the main stakeholders involved based on the game theory. Liu (2009) suggested that need to think about the land transfer system, land management and affordable housing together to solve the houses problem on the view of game theory. Ren (2009) considered that the legalization of the houses can better reflect the social equity from the perspective of the interests.

Existing researches on the awareness and solutions of "limited property rights houses" provide a reference, but it is not comprehensive enough for the status, the drawbacks and countermeasures, and the studies of the causes are too general, and the studies of the countermeasures are too theoretical. In this paper, based on existing research results, it analyzes the influence of the houses' existence for farmers, local government, builders and buyers and the causes of the produce from land system, land market and real estate market and then proposes countermeasures.

2. The status and drawbacks of "limited property rights houses"

2.1 The status of "limited property rights houses"

According to statistics from 2009 China Urban Development Summit Forum and Urban Blue Book, as of the first half of 2007, there are 33 billion square meters rural housing construction area in the whole country, of which are 6.6 billion square meters "limited property rights houses" construction area that are account for 20%, equivalent to total amount of investment for nearly a decade of China Real Estate development (Qiao, Y., & Wu, J., 2010, pp.140-143). Based on the data from some media of case studies and the Land and Natural Resources Ministry of typical survey, there have built a large number of "limited property rights houses" in Beijing, Tianjin, Chengdu, Xi'an, Wuhan, Nanjing, Jinan, Zhengzhou, the Pearl River Delta and other places. Investigate more than 400 sale of real estate in Beijing, the analysis showed that the "limited property rights houses" is accounted for the total of twenty percent or so (Li, X., 2009, pp.125-126). In Tianjin, according to relevant statistics, the sales of "limited property rights houses" in suburban areas have accounted for 20% of the market (Xie, Z., & Ma, Z., 2010, pp.11-13). In Nanjing, before and after 2007, there are nearly 200 "limited property rights houses" projects in the market which tens of thousands of people have lived in some village developed and in Shenzhen, more than 40% close to 50% residential sales are of "limited property rights houses" (Cheng, H., 2009, pp.62-67). While, in Chongqing, "limited property rights houses" spread from the main city and each city center of the county, and in the economic backwardness of the poverty-stricken county Cheng Kou, according to the survey of investigation and remediation in February 2009, since 2003 there are illegal constructed "limited property rights houses" 82 in the county planning area, covering 15 000 square meters (Li, X., 2009, pp.125-126).

From the location, "limited property rights houses" distribute in the suburban areas surrounding the highway, outer suburbs areas and expansion of urban fringe areas and the center of urban. From prices, the ordinary housing prices of "limited property rights houses" is 40% to 60% lower than the real estate prices which have the same position, and the main purchasers are urban low-income groups. In Beijing, the prices of "limited property rights houses" are between 2 500 yuan to 4 000 yuan per square meter, even as low as 1 000 yuan per square meter, which is account for 25% to 30% real estate prices in Fourth Ring (Cheng, H., 2009, pp.62-67). In Zhejiang Hangzhou Gongshu area and Jianggan area, the average prices of "limited property rights houses" is concentrated in 3 000—4 000 yuan and there is not exceed the maximum of 5 000 yuan per square meter, however, in the same area, the real estate prices are basically to 10 000 yuan per square meters (Xue, Z., & Ma, Z., 2010, pp.11-13). From the building patterns, there are two: First, it is constructed in the collective construction land, including village homestead, the stock of homestead, land in collective enterprises and land saved through land consolidation; second, it is constructed in the land of collective enterprises and farmland.

2.2 The drawbacks of "limited property rights houses"

2.2.1 Damage to both supply and demand rights

"Limited "property rights houses" has not the right in land use and house property ownership, and causes the losses of interest on the both sides of supply and demand, in order to make the both sides need to take risks such

as power risk, protect risk, quality risk, policy risk and value risk (Zheng, N., 2009, pp. 43-46).

(1) Damage to the interests of famers of land supply side: A large number of land revenue which generated from the development process of the illegal and disorder construction of "limited property rights houses" are intercepted by the village officials and developers, so that large number of farmers become unpaid suppliers in the land market transactions who lost the right in land use forever, named landless farmers. In the short run, farmers obtain the purchasing money for house, by the look of long-term, a lot of farmland conversion by the "limited property rights houses" would lead to the farmers lost the most basic livelihood, and most importantly, they would lost the opportunities of access to land value-added revenue. Meanwhile, after the peasants to become landless farmers, employment rights and social security rights are not implemented, seriously affecting the quality of farmer's life.

(2) Damage to the interests of house purchaser of land demand side: The house property ownership of "limited property rights houses" is awarded by the township level of government or committee in the village which is self-made and unauthorized release and it does not have the force of law. Under the law, even if the real estate owns the five licenses, the house property ownership should be awarded by county government, so that the township level of government has not entitled to issue the house property ownership certificates. So "limited property rights houses" has no property rights, and do not have housing for all, transfer, disposition, income and other rights, and people cannot transact the procedures for transfer of property rights, and the purchase contract is not valid, if there are problems, buyers will not receive any legal protection.

When home buyers transact the housing mortgage loans and inheritance, they would meet difficulties; when people buy "limited property rights houses" which illegal occupant the cultivated land or violate the local land use planning and urban construction planning, the buyers must undertake the risk that the house may be removed or confiscated by law enforcement authorities; when confronted with the construction requirements imposed, buyers would not receive any compensation. Buyers who buy the "limited property rights houses" would face many problems such as the quality assurance, after-sales maintenance, property management, and public safety and health issues.

2.2.2 Disrupt the order of the real estate market

A lot of "Limited property rights houses" existed in the market are without via government collection methods, use of non-payment of land transfer payments and tax (fee), not for urban planning, housing construction, real estate sales procedures, and without having to obtain land use permits, commercial real estate ownership certificate. From development to construction to sales, they destroy the overall planning of urban construction, evade a large number of tax, including the land value increment tax, deed tax, business tax, urban maintenance and construction tax, additional education tax, stamp duty and other taxes, and cause the loss of government land revenue and unfair competition in the real estate. Unauthorized development and sale of "limited property rights houses", breaking the unity of the real estate market, made country could not timely supervise this part of land and housing which has entered the market in fact. If it is regulatory uncontrolled for the prices and scales, it would affected countries' macro-management for the land market and the real estate market, and disrupt the normal order of the real estate market.

2.2.3 Threat the land security

With "Limited property rights houses" unauthorized using of farmland for development and construction, new construction land will inevitably lead to a total amount of loss of control, cultivated land reduce and the land use structure and spatial layout ensured by land use planning lack of effective implementation, and cause the loss of control for land resources management by state. At the same time, the change of the nature of collective land in land use lead to the rural non-construction land and even arable land gradual reduction. It threats to China's cultivated land, thereby affecting the national food security and macroeconomic control. In 2007, Land and Natural Resources discovered 32 000 cases of illegal land, involved millions of hectares of land, which a large number of agricultural lands was developed into "limited property rights houses" to rent and sell. If the "limited property rights houses" is not controlled, there will be more occupied land to real estate development. If there cannot hold the red line of 18 million mu cultivated land, domestic food will not be self-sufficient and in food issues China are the kinds of risk.

3. The reason for the existence of the "limited property rights houses"

The harm of "limited property rights houses" to society is many, analysis of its causes mainly in the following aspects:

3.1 Incomplete system of rural land

3.1.1 Inadequate system of land ownership in rural areas

Although the law provides that "the collective farmers" is the subject of collective land ownership, but the township (town), village, village groups share ownership of land, which make the property rights of rural collective land ambiguous. Instead, village groups and village committees that set "operation and management" powers of the administrative organization, on behalf of "farmers will" exercise their rights, so that farmers are losing the right to participate to express their own will. The real subject beneficiaries and rights exercised of ownership had a severe separation, resulted collective land ownership in clearance status. Unclear property rights of rural land and virtual home ownership lead to a serious process of "offside" and "absence" phenomenon in the exercise of collective land ownership, thus lack of effective monitoring and land management, so that left the gap system for "limited property rights houses" (Lui, H., 2010, pp.70-73).

3.1.2 Uncoordinated system of rural land management

Because of China adopting homestead free transfer system, the phenomenon of homestead area exceeded widespread, such as villagers demand for a new homestead, area without approval, obtain housing sites by fraud, cheat approval of housing sites by concealed the existed house and make a false report about family population and change the household register. With the transfer of rural labor to urban areas accelerated, farmers live, work and manage in cities growing, the phenomenon that a "hollow village" rural appears, and it causes a large number of idle housing sites and homestead. Meanwhile, under the existing Residential Land policy restrictions, part of the farmers has to idle the homestead after he purchase in the city because homestead cannot be a public legitimate transfer; part of the farmers return the funds from the city to construct new house because of the capital support blocked in city.

Because there is no suitable restriction in law about "set up township enterprises, villagers construct residential and township (town) construct the public facilities and utilities" and also no operational specifications, and on clear scope of property rights about "Use the land for the construction of residential and ancillary facilities (Yang, H., 2009, pp.195-196)", the rural construction land uses very extensive.

The phenomenon of management of confusion of homestead and extensive use of construction land provides the existence conditions for "limited property rights houses" and left space for some damage to the collective interests.

3.1.3 Unreasonable system of rural land expropriation

As the law of "national public interest" standard is not clear, the phenomenon that is implementation land acquisition for real estate development in the name of the public interest undermines the interests of farmers. The idle of land ownership in rural areas makes the ownership itself being appropriated possession whose possession of land conferred, income, and disposal, resulting in a large number of land value increment to be seized during the process of land acquisition. In the current real estate development process, only 20% to 30% of the income distribution from the part of the land value-added left in the town, among, compensation of farmers only 5% to 10%, then Local government takes the land value of 20% to 30%, and developers will take the bulk of the land value-added revenue, accounting for 40% to 50% (Ji, Zh., & Xu, B., 2009, pp.13-15).The expropriation for the original occupation of the right holders makes the peasants have strong will to wrest land, while the construction of "limited property rights houses" become the major means to share the land value increment for rural collective, and by the village cadres and various officials and businessmen used, it led to the plundering of more powerful forces.

3.2 Dual market in urban and rural land

China implemented urban-rural household registration management system, population into urban and rural people, so that land is divided into urban and rural land. The land systems of urban-rural dual structure lead to the dual nature of urban-rural division in China's land property rights obviously. It made "the same land with different right", that is to say, rural land belongs to the rural collective and urban land belongs to the state, and the urban-rural land ownership and use rights cannot transfer freely, unless get the approval from land administration department. Based on the dual land tenure system, it forms a dual land management system, which the state-owned land and rural collective land manage in different, reflected in the law is that without any restrictions in state ownership of land but to impose a variety restrictions in rural collective land ownership. At the same time, land prices binary makes the separate urban and rural land price system that means "the same land with different prices". With the development of economy, urban-rural dual land market longer meet the market demand of the rural collective land transfer. The collective economic interests of farmers should not be protected so that encouraged farmers to spontaneous construction of "limited property rights houses" for profit.

3.3 Rural land gray market

The legal means of rural collective land into non agricultural land is that the government transfers to the use of units after legal requisition the title, however, under the existing legal system, when transfer of land after the collective owners of agricultural land and land requirements are directly negotiated, there will form a gray market of rural land. When in the face of the amount of land transfer, some land demand afford to buy the legitimate land after the land transfer of government expropriation, and at the risk of a huge policy risks, directly with the owner of agricultural land in the collective bargaining for low prices of gray land. The "limited property rights houses" has emerged when land demand side get the gray land for housing development and construction.

3.4 Insufficient supply of the real estate market

Since China adopted the reform of housing commercialization, commercial real estate market does not consider the classification requirements of the buyers, neglect the construction of the housing security system so that in the market, there is showing a single supply status. In the form of densely, population continues to grow, urban economic growth, increased urbanization, rising income levels of urban residents and small family size and life evolution, the rigid demand for real estate sharp increase. By the addition of strict control of the real estate from the urban planning, land supply plan, building red line, and the planning target, and the Chinese government supply the land monopoly, it caused the inadequate supply of urban land and housing supply, so that house prices rise and macro-control in real estate market and structural of urban housing were imbalance. China's urban housing security system is lagging behind, forcing some low-income families turned to look for housing in urban fringe areas. So the "limited property rights houses" not only increases the supply of the real estate market, but also wins the consumer market with the low price.

4. The countermeasures of "limited property rights houses"

4.1 Increase land supply

4.1.1 Allow trading of agricultural land directly into the market

The existing urban-rural dual structure model of land do not allow the use rights of the rural collective land for construction direct access to free flow of the primary land market, forced the supply of land shortage. Should be given in the law of collective ownership and state ownership on an equal footing, to give farmers and urban residents the same property rights, and gradually establish and improve the market system of land transfer mode, and allow trading of agricultural land directly into the market. Use the market allocation way to evaluate the value of all land, format of diversified forms of land resources and let the supply of land no longer present a single government monopoly supply situation. With this real estate market supply will increase by land supply, and this will reduce a variety cost and also make the real estate prices down. The gay market of rural land can automatically eliminate, and the phenomenon of construction of "limited property rights houses" will disappear naturally.

4.1.2 Reform the mode of land supply

Start from the system, change the financial situation which rely solely on transfer payments and real estate tax as the main income, reform the mode of land supply and change the practice of land use fees of one-time charge for 40 years and 70 years and curb the status of the high cost of buying and trading process and holding the low-cost. Change the rules of the highest bidder's bid, establish a comprehensive index scoring system, dilute the government role of the operators in the land supply market and strengthen its role of regulatory the market. Clear land supply conditions in the bidding, auction and hanging, for ordinary commercial housing projects, in the pre-conditions of the bidding, auction and hanging, explicitly set the dwelling area of control standards, floor area ratio, building height, completion time and marketing time and so on. And specify in the contract, as the legal basis for supervision and inspection in the process of development and construction, to ensure the land into the market timely from government supply and to format of effective supply. At the same time fostering and regulating the secondary market for land, accordance with the "total control, strict management incremental and revitalize the stock" principle, in the context of legitimate source of land, clear ownership, and in the planning and unified supply plan, the stock of land use rights can still be in the visible land market and adopt to be transferred by law in private such as bidding, auction and hanging, and building secondary land market with supply diversification and rich in the form of market transactions. Allow free land transfer from the secondary market, make full use of the role of market mechanism, continue to configuration land resources to efficient users, and avoid to waste of resources due to land transfer poorly.

4.1.3 Linked to increase or decrease in land remediation

Through the solid progress of the linked to increase or decrease of urban and rural construction land, use the

operation mode of government-led, market-led and village collective autonomous urban construction land coordination and interaction (Zhu, L., & Jia, Q., 2009, pp.384-385), the rural land for construction would obtain effective integration. Change the scattered layout and the structure of "scattered, large, chaotic and poor", optimize the layout of the land use structure and give full play to the role of agglomeration benefits and scale benefits. Also help to change the extensive use of rural land for construction and promote land resources efficient intensive and scientific and rational use. Reasonable merge the rural scattered settlements and promote the rural construction land consolidation and reclamation so that can to protect farmland resources, to achieve balance of arable land.

4.2 Classification of existing "limited property rights houses"

Should be strictly prohibited in the new real estate developers continue to construct the "limited property rights houses" on rural collective construction land, ordered to suspend work under construction, and pay close attention into city unified planning, and confirm or to stop after reasonable approval process. For the breach of planning, difficult to remedy problems in the design and construction and existence of security risks, must be resolutely removed to maintain stable, orderly and healthy development of the real estate market. Classify the existing "limited property rights houses", completely removed the "limited property rights houses" which illegal occupation of arable land; grant property rights recognized for the existing qualified "limited property rights houses"; bring the "limited property rights houses" which unsold and in accordance with the conditions in the housing social security system; sell the luxurious "limited property rights houses" at public auctions.

4.3 Establishment of multi-housing security system

China's housing security system should be a multi-level system (Yi, X., 2009, pp.100-107): The first level is less than 10% of the low-income families, elderly, sick, etc, and they live in the low-cost housing or public housing provided by the government, by this way to ensure the most vulnerable people in the residence. The second level is 70% of low-income people, through the market to solve the housing by all the help of government (such as monetary subsidies, preferential interest rates, preferential tax and other). The third level is 20% of high income earners, whose houses completely determined by the market, not incorporated into the housing security system. At the same time, in-kind subsidies in the residential security system can be divided into three levels: low-rent housing mainly provides for the families below the minimum living; rental affordable housing provides for low-income families: limited-price house provide for households or units relocated due to building demolition and no housing.

5. Conclusion

The development of the "limited property rights houses" is illegal, but this phenomenal reflects the distortion of the interest structure between the Chinese farmland conversion and land development. It should be comprehensive improvement from the land system, land market and real estate market and give full consideration to farmers, local government, builders and buyers interests. The reason of over-exploitation for the houses does not lie in itself, but in the defects of the farmland conversation and land development control. The harm is not only the over-supply property but also the rapid loss of non-renewable agricultural land resources. China's long-established urban-rural dual land structure clearly cannot meet the current economic situation develops, and the management should have a sound system in rural property rights system, rural land management system, rural land requisition system and land use management system. Under the current law, real estate development on the collective land needs transfer the land into state-owned land through the collection process, but according to the relevant provisions of the "Property Law", only in the public interest, the collective land can be collected in accordance with authority and procedures prescribed by law. However, the commercial real estate development clearly can not belong to the public interest so that not in accordance with the conditions imposed. To solve this problem, it needs to change the existing land structure of urban-rural pattern and improve the relevant system as soon as the land system and housing security system: allowed the rural collective construction land access to land private market, changed the mode of land supply, linked to increase or decrease in land remediation, established the secondary land market, and allowed to transfer land freely. Through the establishment of multi-housing security system, promoting the houses' rational price return can relieve the pressure on existing urban housing. These countermeasures can lay a solid foundation for Chinese society to achieve a successful transformation.

References

Cheng, H. (2009). The limited property rights houses in China: the Status, Causes and Problems. *Journal of the Party School of the Central Committee of the C.P.C.,* 2, 62-67.

Cheng, J. (2009). Study on the heterogeneity and management strategy of the "limited property rights houses". *Economic Forum,* 11, 122-123.

Ji, Z., Xu, B., & Zhao, H. (2009). Limited property rights houses reflect the major problems of Chinese society. *Rural Economy*, 2, 13-15.

Li, X. (2009). Study on the limited property rights houses. *Chinese Foreign Entrepreneurs*, 5, 125-126.

Lin, M. (2009). An analysis of the reasons and countermeasures of the "limited property rights houses" from the perspective of game theory. *Shangye Jingji*, 2, 37-38.

Lui, H. (2010). Study on the optimization of government's functions in rural land circulation. *Journal of Hunan University of Technology*, 4, 70-73.

Ma, G. (2007). China needs a second "land reform" - interview the professor of Trinity College Wen Guanzhong. *The Economic Observer,* Fourth quarter.

Ning, X. (2010). An Analysis on the path of "institutional change" about the "limited property rights houses". *Prices monthly,* 4, 57-60.

Qiao, Y., & Wu, J. (2010). A Review on the problems, causes and countermeasures about "Limited Property Rights Houses". *Economic Research Guide*, 18, 140-143.

Ren, H. (2009). To solve the problem of "the small property right house": from the view of interest measurement. *Journal of Southwest University of Political Science and Law,* 11, 51-57.

Song, Z., & Di, Y. (2010). Path selection of rural collective-owned land system reform perspective on small property room legalization. *Science Economy Society,* 1, 136-141.

Su, P. (2011). Study on the legalization necessity of the issue on the "limited property rights houses". *Legal and Social,* 1, 56-57.

Xue, Z., & Ma, Z. (2010). Study on the problems and solutions about the problems of small property houses. *Lao Qu Jian She*, 2, 11-13.

Yang, H. (2009). Less property right house interrogates property law. *Hebei Law Science*. 7, 195-196.

Yi, X. (2009). Study on the basic principles and framework of Chinese housing public policy. *Comparative Economic and Social Systems*, 6, 100-107.

Zheng, N. (2009). Study on the legal solution path of "limited property rights houses" in the rural-urban integration. *Rural Economy*, 3, 43-46. [Online] Available: http://202.115.182.51/asp/Detail.asp

Zhu, L., Jia, Q., & Liao, H. (2009). Discussion on polices of linked the urban construction land to increase and dexrease. *Anhui Agriculture*, 24, 384-385.

Theoretical Framework of Fair Distribution of Affordable Housing in China

Tao Zhang

Faculty of Human Ecology, University Putra Malaysia

PO Address 43400, Human Ecology UPM Serdang, Selangor Darul Ehsan, Malaysia

E-mail: zhangtaomike@yahoo.com.cn

Ahmad Hariza B Hashim

Faculty of Human Ecology, University Putra Malaysia

PO Address 43400, Human Ecology UPM Serdang, Selangor Darul Ehsan, Malaysia

E-mail: ahariza@putra.upm.edu.my

Abstract

Urbanization and industrialization in China result in dramatic growth of population in urban areas. The housing price rises so high that low-income people living in urban cannot afford to buy their own houses. In order to alleviate their housing plight, affordable housing has been built in mainland China. However, unfair distribution of affordable housing failed to accomplish the goal of this program. The paper firstly introduces the current situation and problem of affordable housing distribution. It then discusses the rationale of Theory of Justice from John Rawl, and puts forward a systematic legal framework, which consists of affordable housing legislation, enforcement, judiciary and sanction, to safeguard the justice of affordable housing distribution.

Keywords: Affordable housing, Distribution, Justice, Law

1. Introduction

Affordable housing in its essence is purported to provide welfare to the vulnerable strata. To some extent, it manifests the sense of responsibility of the government to accomplish the distributive justice so as to seek the social justice. Therefore, how to differentiate the targeted eligible applicants from the other urban residents is the prerequisite for the existence of affordable housing policy and also represents its disposition of core value to preserve basic right to housing of vulnerable strata and equality of the society. Meanwhile, Chinese government formulated a series of regulations and brought them into effect to safeguard the fair distribution of these affordable housing to the least advantaged people to solve their housing plight.

Research on the affordable housing distribution from legal perspective is sparse in academic literature. Excessive attention has been paid to the affordable housing policy, planning, financing and infrastructure, but very little touches on the process and the outcome of affordable housing delivery. Not only is regulation one of the crucial components in affordable housing industry, which exerts a regulatory guidance on every aspect of the industry, but also its first priority is to safeguard the delivery of the affordable housing to the targeted group which is the last linkage of the affordable housing industry and also the eventual distributive justice of affordable housing industry.

Law is the most powerful and binding means to safeguard the implementation of the affordable housing policy and is considered as a sharp sword to accomplish the distributive justice in allocation of affordable housing. It is rational for everyone to believe that the affordable housing has been distributed to the applicants who meet the criteria set by law.

However, in reality, due to high price of house and speculation, many people are attracted by the affordable housing for the prospective interests. And, there are many cases of unfair distribution of affordable housing especially to those who are not eligible to access to it. The true situation has been unraveled through public medias across the country, like Wu Han racketing case of affordable housing (Legal Daily, 2009). Based on the

illustrations and exploration of introduction and background, the research question is how to perform fair distribution of affordable housing in China? Therefore, the objective of this study is to explore a rational scenario of fair distribution of affordable housing in China.

2. Background

China has undergone a rapid urbanization since the 1980s. By the end of year of 2009, the total population reached 1.334 billion with 712 million (53.4%) and 622 million (46.6%) living in rural and urban regions respectively. The United Nations has projected that population of China will arrive at about an equal number of those residing in the rural and urban areas by 2015 (State of World of Population, 2007). Although urbanization and industrialization in China have contributed to a great development of its social civilization and economic prosperity, poor urban residents, a new social stratum has gradually formed. Dorothy (2005) defined this new social stratum as urban underclass which consists of three groups in the cities: the "laid-off" workers, the labourers from the rural areas who move into the cities in search of work, and the growing number of poor people.

Lands are limited resources, especially in the city. Demands from housing industry means more lands are needed to build house. However, the continuous increase in demand with limited supply of housing could trigger the housing price to go up. The rapid process of urbanization and industrialization has brought about the densely populated cities as geographically and socially aggregate areas full of economic tendency. All these stimulate the demands for housing in cities, especially big cities, and gives rise to the implicit shortage of housing supply and the price hike in housing.

It is expected that the life of urban underclass will be under straitened circumstances due to rocket high-sky price of housing. With the increase in price of housing, it means they may not afford to buy a house and are forced to live in slums with poor environment and conditions. The upbeat of housing price are so conspicuous and immense that it no longer become affordable for first-time home buyer. For the urban underclass, it even becomes more difficult for them access to the housing market. In fact, skyrocketing housing price is also imposing stress on the middle class, and not just to the low-income strata.

In addition, as wealth gap is widening and the housing price increases tremendously in China. Nevertheless the living standard of urban underclass maintains relatively low level. The income of the top 10 percent of the richest Chinese was 23 times that of the bottom 10 percent of in the country in 2007, as compared with the statistics in 1998, when the gap was only 7.3 times (Chen, 2009). Therefore, buying a house is becoming more difficult than ever for those urban poor strata. Consequently, the poor are forced to settle in damp and congested substandard housing where plagues, crimes and relegation of social regulations and morality will be incidental with. All these negative issues are undermining the social economic development and political stability.

In order to alleviate the severity of living conditions of residents in urban areas, Chinese government has established a security housing system to solve the housing issues, which consist of affordable housing system and low rent system. Each system targets different group of people. This study mainly focuses on the affordable housing system (See Figure 1).

Affordable housing system in China started in 1998 (Yi, 2008). The central government and local governments formulated a body of affordable regulations to safeguard the rights and interests and to improve the living conditions of urban poor people (See Table 1). According to the affordable housing regulations, affordable housing program is granted some preferencial policies of tax and relevent fees and the allocation of the right to use state-owned land is administered without land grants (Affordable Housing Regulations, 2007). So, the price of affordable housing is cheaper than that of the housing supplied by market. To some extent, it helped to solve a number of people's housing plight. In fact, affordable housing was built across the whole nation in China (See Table 2).

3. Affordable Housing In China

In view of the different historic and national context, meaning and usage of the concept like affordable housing is subject to distinctive perceptions.The term 'affordability'is concerned with the annual price or a rent paid for consumption upon housing (Haffner & Boumeester, 2010). Gabriel et al. (2005) defines affordable housing as lower cost housing than prevailing market price to meet up with the minimum affordability requirements of low-income people and the affordability can be measured based on various indicators. However, Milligan et al. (2004), he emphasizes that affordable housing should be built for the poor or low-income social stratum by non-governmental not-for-profit providers and affordable housing could be financed through various ways to provide low price housing. According to Affordable Housing Management Mehods (2007), it suggests that

affordable housing should be defined as a kind of security housing supported by government preferential policies, which is restricted from the perspective of areas and sale price to be provided to the urban low-income people with housing difficulty and is built in compliance with normal construction standard.

In China, the central government and local governments formulated a body of regulations to safeguard the rights and interests of urban poor people's living conditions. According to the affordable housing regulations, affordable housing program is granted preferencial policies of tax and relevent fees, and the allocation of the right to use state-owned land is administered without land grants (Affordable Housing Management Mehods, 2007). In addition, government sets the construction standards and qualification criteria. Only households which meet the requirements can apply to buy or rent such housing. In fact, affordable housing is policy-based, security-type commercial housing. The target people are those local residents with registered permanent residential permission (HuKou) having serious housing problems including those without housing of their own or with their current housing space below the standards set by the local government. Besides, their family incomes must meet the minimum income standard set by the local government.

Government adheres to the low-profit advocacy for affordable housing development. The profit rate for affordable housing developers are required not to outnumber 3 per cent. Therefore, these housings are provided at prices which are 40 per cent less than market offer. Only after a stipulated period of time following the purchase of such housing may the owner sell it at the market, and a portion of the sale price therefrom must be kicked over to the government in form of tax. The purchase of this kind of housing must be subject to application, examination and public announcement, thus emphasizing public transparency and strict supervision and administration.

4. Theoretical Framework of Fair Distribution of Affordable Housing

Interpreting justice is never a easy task, as Bodenheimer (1981) suggests "Justice has a Protean face, capable of change, readily assuming different shapes, and endowed with highly variable features. When we look deeply into this face, trying to unravel the secrets hidden behind its outward appearance, bewilderment is apt to befall us." A well-known definition of justice, set forth in Justinian's Corpus Iuris Civilis and attributed to the Roman jurist Ulpian, reads as follows: "Justice is the constant and perpetual will to render to everyone that to which he is entitled." At even earlier time of Roman cilization, Cicero had depicted justice as "the disposition of the human mind to render to everyone his due (Cicero, 1951)." The noteworthy aspect is the subjectivity of justice in these two definitions. Bodenheimer (1981) points out that justice is perceived as a kind attitude of the people's faith, a certain voluntariness to pursue fairness and a certain inclination to confer cognizance to the assertions and concerns of others; Without this attitude and willingness, justice cannot develop and prosper in society; Nonetheless, it is noteworthy that the mere enlightenment of a mental loyalty to fairness and concerns for others is not, in and by itself, necessary to cause the success of the reign of justice; The good faith to commit justice must be carried out by feasible resolutions like policies and laws designed to accomplish the goals of a just society.

However, Aristotle (1934) points out a different approach. He believes that justice shall be done based on the equality. Further, he categorizes justice into distributive justice and corrective justice. In his oppinion, distributive justice is primarily concerned with the demand of equit allocation of the wealth of the world in compliance with the principle of proportionate equality. He also sets forth that the meaning of distributive justice consist of the assignment of rights, power, duties, and burdens to the members of a society or group. He emphasizes that equal things ought to be alloted to equal persons and vice versa. Even for this, he advocates a measurement of equality which is merit and civic excellence. If one person deserves two times as much as the other, his ought to be twice as large (Aristotle, 1934).

Aristotle distinguishes distributive justice from corrective justice. He states that if the norm of distributive justice has been defied, the corrective justice shall come into play (Rackham, 1934). This means that rights (including personal rights, property rights and so on) of one member in civil society has been violated by others, corrective justice shall return the property which he used to possess or make restitution for his loss. Actually, its function is to correct a wrongdoing or dispossess an unjustified gain of the offender. Court or other bodies conferred with judicial powers are the main channels to aquire the remedy according to the norms of corrective justice. And its primary domains of application are civil activities and criminal offences (Bodenheimer, 1981).

The above interpretations given by Aristotle are very broad. Every time when particular case occurs, it has been found quite hard to seek the concrete guidance to probe into the essence of the issue. Actually, "The concept of justice includes norms and principles which a particular political and social system regards as just, whether or not these norms and principles have found express recognition in a formalized sources of law" (Pound, 1923).

However, based on the research context, John Rawls' A Theory of Justice comes closest to including the elements of justice that are identified as policy goals, implementation strategies and evaluation criteria.

A Theory of Justice developed by John Rawls (1971) has a different perspective while interpreting the meaning of justice. His theory comprises two pivotal principles:

(1). An equal right is endowed to every person in the society and the core value of equal right is to embody the whole system of equal basic liberties which are adaptable with a similar system of liberty for all.

(2). Inequalities from social and economic dimensions are to be organized. So, to the benefit of the least advantaged, compatible with the just savings principle, and associate to offices and positions available to all under the conditions of equal opportunity needs to be done.

These two principles from A Theory of Justice primarily apply, as Rawls (1971) emphasized, to the fundamental framework of society. They are designed to administer the consignment of rights and liability, and to regulate the allocation of social and economic benefits. The basic liberty of citizens roughly includes political liberty; freedom of the right to own personal property; and freedom from arbitrary arrest. All aforesaid components of liberties are claimed by the first principle, since citizens in civil society ought to have same basic rights. The second principle applies to the allocation of wealth. Its approach is to arrange some organizations with their respective authority and responsibility, or chains of command. While the allocation is not necessarily to be equal, it must take care of everyone's advantage. Simultaneously, positions of authority and offices of command must be open to all so that every citizen can take advantage.

Furthermore, Rawls (1971) advocates a four-stage sequence which demonstrates how the two principles for institutions are to be applied.

(1). Agreement on the two principles of justice and a principle of just savings.

(2). Crafting a Consititution to realize the two principles

(3). Crafting specific laws and policies that realize the two principles within the constitutional framework

(4). Judges and administrators to apply the previously-agreed laws and policies to particular cases.

Based on the above illustration, the theoretical framework involves fundamental principles of justice and the means for their application. The two principles are the basis underpinning the framework of justice. The theory elaborates the meaning of justice as fairness and devises the target of justice for the benefits of the least advantaged people. Furthermore, four stage sequence constructs a framework and sets forth the vital elements to achieve the justice.

In Rawl's theory, it identified Four Stage Sequence as an instrument to fulfil the goals of the its two principles. In fact, the core value embodied in Four Stage Sequence was the emphasis on the advocacy of legal function in the achievement of two principles. But, it was not concrete enough to illustrate the significance of law in the context. Hereby, it is necessary to resort to another concept to demonstrate the profile of law. In a common sense, legal strategy embodies a conceptual framework known as legal operational system which consists of legislation, law enforcement, judiciary and sanction as showed in Figure 2. Therefore, based on a Theory of Justice and legal operational system, the theoretical framework can be showed in Figure 3.

5. Conceptual Framework of Affordable Housing Distribution in China

Based on the literature review and theoretical framework, law is recognized as an effective instrument to achieve the fair distribution of affordable housing. To attain this end, each element within the legal operational system need to function properly including affordable housing legislation, affordable housing law enforcement, affordable housing judiciary remedy and sanction on wrongdoings.

5.1 Affordable Housing Legislation

Concerning the affordable housing legislation, law in its nature should embody validity and efficacy. The validity of affordable housing law touches on the justice of the legislative content and goals. In the other words, affordable housing ought to be distributed to eligible low-income people. This is the purport and the goal of the affordable housing legislation. The concrete legislative contents are to safeguard the realization of the affordable housing legislative goal. Surely, only if there is a just affordable housing legislative purport and goal, it is far from enough to guarantee the the attainment of fair distribution of affordable housing to eligible low-income people.

Therefore, how effective the specific contents of the affordable housing regulation plays a significant role in safeguarding the eventual fair distribution of the affordable housing. Efficacy should involves not only the

complete and detailed regulatory articles, but it should include the rational and feasible application procedure for prospective applicant and administrative procedure for law enforcement officers as well.

5.2 Affordable Housing Law Enforcement

To perform the fair distribution of affordable housing, the implementation of the affordable housing legislation generally goes through four steps including acceptance, verification, supervision and administration.

5.2.1 Acceptance

The affordable housing applicants should submit all the application documents at the beginning including application form, family income certificate, family housing certificate, identify card of each family member and certificate of registered permanent residence, and other documents as required. Then, the authority accepts all the documents.

5.2.2 Verification

In fact, this process includes another two steps which are preliminary examination and review. After accepting the application documents from the applicants, community committee and district office will conduct the preliminary examination. They will check if the application documents are submitted as required and the application documents are true. Following the preliminary examination, the Department of Civil Affairs will review the application documents and present them to the Housing Security Bureau to verify.

5.2.3 Supervision

It is necessary to establish a supervisory system for housing security. The supervision forms includes letter, phone call and visit. And the scope of the supervision can be involved in applicants of affordable housing, the owners of affordable housing, the personnel who are responsible for the affordable housing application examination, verification and approval.

5.2.4 Administration

When the affordable housing application is approved , the applicants will move to their new houses. And the authority will inspect the changes of living conditions of the affordable housing residents once a year. If any household is found not eligible at all and they just access to the affordable housing through fraud, the authority can take it back.

5.3 Judiciary Remedies for Affordable Housing Distribution

Substantive law is different from procedural law though they both are the major categories within law. In China, Substantive law stems from legislative statutes rather than judicial decisions in common law system. Generally, substantive law refers to the body of rules including public law like administrative law and criminal law and private law like civil law and tort law. It defines right and duty of the individuals and the collective bodies and determines the nature of the relationship between participants of a relation based on the forms of ownership and the legal status of property and persons. Procedural law in opposite to substantive law is inseparable from each other. Procedural law refers to a legal process which is conducted in the court to determine the right and obligation of parties. Generally, the process involves filing complaints, serving documents on the opposition and conduct of trials.

Therefore, the affordable housing law is the substantive law. The right and obligations have been determined and stipulated in the substantive law. The judiciary is the the process to grant the remedies if the right is violated. Based on the distribution relationship of affordable housing, administrative procedure and criminal procedure might be involved in the wrongdoings. The administrative procedure falls into the jurisdiction when the plaintiff files a complaint against the affordable housing officers. And the criminal procedure falls into the jurisdiction when the crimes are committed in the affordable housing distribution cases.

5.4 Sanction upon the wrongdoings of affordable housing distribution

There are two types punishment might happen in affordable housing distribution. One the administrative sanction due to the wrongdoings from the applicant and the wrongdoings from the administrative officers. The other one is criminal sanction due to the crimes committed by the applicant who commits swindle and by the officer who commits bribery and malpractice in affordable housing distribution.

6. Conclusion

In China, the government plays a dominant role in building the social security housing. However, the unfair distribution of the affordable housing leads to the negative impact on the security housing policy. This study attempts to justify the rational of theory of justice within the context of affordable housing system to formulate a

theoretical framework to guide the fair distribution of affordable housing. And the conclusion is that a theory of justice of John Rawls provides not only a rationale for affordable housing system, but a way to accomplish the justice of affordable housing distribution. Under the legal operational framework, law as an effective instrument can ensure the goal of affordable housing policy

References

Affordable Housing Management Mehods. (2007). Ministry of Construction (Document 258). The Central People's Government of People's Republic of China: Ministry of Finance, Ministry of Development and Reform, Ministry of Inspection, Ministry of Finance, Ministry of National Land and Resources, Bank of China, Bureau of Tax.

Aristotle. (1934). *The Nicomachean Ethnics* (H. Rackham, Trans.). Leob Classical Library. Cambridge, MA: Harvard University Press. (Original work published 350 BC).

Bodenheimer, E. (1981). *Jurisprudence---The Philosophy and Method of Law,* Harvard University Press, Cambridge, Massachusetts, London, England.

Chen, J. (2010). Country's wealth divide past warning level. *China Daily*. [Online] Available: http//www.chinadaily.com.cn/china/2010-05/12/content_983703 htm (May 12, 2010)

Cicero, M. T. (1951). *De Finibus Bonorum et Malorum* (H. Rackham, Trans). Leob Classical Library. London: Heinemann. (Original work published 45 BC).

Dorothy, S. (2006). The Creation of a New Underclass in China and its Implications. *Environment & Urbanization*, Vol. 18, (1):177–193. doi:10.1177/0956247806063972, http://dx.doi.org/10.1177/0956247806063972

Gabriel, M., Jacobs, K., Arthurson, K. and Burke, T. & Yates, J. (2005). Conceptualising and Measuring the Housing Affordability Problem, Research Paper 1, *National Research Venture 3* 'Housing Affordability for Lower Income Australians', AHURI, Melbourne. [Online] Available: http://www.ahuri.edu.au/nrv/nrv3/NRV3_Assoc_docs.html

Haffner, M. A., & Boumeester, H.J. (2010). The Affordability of Housing in the Netherlands: An Increasing Income Gap Between Renting and Owning? *Housing Studies*, Vol. 25, No. 6, November, 799–820. doi:10.1080/02673037.2010.511472, http://dx.doi.org/10.1080/02673037.2010.511472

Milligan, V., Phibbs, P., Fagan, K. and Gurran, N. (2004). A Practical Framework for Expanding Affordable Housing Services in Australia: Learning from Experience, Final Report 61, AHURI, Melbourne. [Online] Available: www.qahc.asn.au/images2/website/practicalfw%20for%20ah.pdf

Pound, R. (1923). 'The theory of judicial decision. *Harvard Law Review, 36*:641–62. [Online] Available: www.princeton.edu/~kewhitt/judicial_review.

Rawls, J. (1999). *A theory of justice*. (Revised Edition). Cambridge, MA: Harvard University Press.

Yi, N. (2008). The performance and problems of affordable housing policy in China. *International Journal of Housing Markets and Analysis,* Vol. 1 No. 2, pp. 125-146. doi:10.1108/17538270810877763, http://dx.doi.org/10.1108/17538270810877763

Table 1. Timetable of Central Government Affordable Housing Policy and Regulations (Source: Author)

System	Time	Policy and Regulation	Legislature and policy-maker	Target
Affordable Housing System	1994	Reform Decision	State council	Low and middle income
	1994	Ways of Construction Administration	Construction Department and Finance Department	Low and middle income with housing difficulty
	1998	Announcement	State Council	Low and middle income
	1999	Sale Administration	Construction Department	No prescription
	2004	Affordable Housing Regulations	Construction Department and National Decelopment Commission	No prescription
	2007	Opinoins	State Council	Low and middle income household in urban areas
	2007	Affordable Housing Regulations	Joint Departments	Low and middle income household in urban areas

Table 2. Floor Space of Commercialized Buildings Sold by Use

(Unit :10 000 sq.m)

Year Region	Floor Space of Commercialized Buildings Sold	Residential Buildings	Villas, High-grade Apartments	Economically Affordable Housing
1997	9010.17	7864.30	254.25	1211.85
1998	12185.30	10827.10	345.30	1666.50
1999	14556.53	12997.87	435.74	2701.31
2000	18637.13	16570.28	640.72	3760.07
2001	22411.90	19938.75	878.19	4021.47
2002	26808.29	23702.31	1241.26	4003.61
2003	33717.63	29778.85	1449.87	4018.87
2004	38231.64	33819.89	2323.05	3261.80
2005	55486.22	49587.83	2818.44	3205.01
2006	61857.07	55422.95	3672.44	3336.97
2007	77354.72	70135.88	4581.31	3507.52
2008	65969.83	59280.35	2865.25	3627.25

2009

Beijing	1335.37	1031.43	164.53	108.32
Tianjin	1252.04	1135.35	46.62	168.26
Hebei	2231.84	2128.86	34.27	168.29
Shanxi	994.71	893.10	18.57	57.92
Inner Mongolia	2396.37	2093.34	96.07	262.25
Liaoning	4091.16	3731.19	130.72	137.49
Jilin	1583.87	1435.73	67.32	72.20
Heilongjiang	1486.57	1286.62	25.82	74.80
Shanghai	2339.29	2007.48	265.54	
Jiangsu	6091.86	5282.89	307.05	314.25
Zhejiang	2992.20	2480.74	159.35	153.24
Anhui	2785.83	2542.60	34.45	55.20
Fujian	1625.67	1250.00	62.18	83.81
Jiangxi	1727.60	1604.86	28.44	157.15
Shandong	5507.64	5039.40	93.02	201.65
Henan	3191.98	2943.36	65.55	204.55
Hubei	1941.62	1821.31	58.54	225.38
Hunan	2655.51	2413.70	109.57	97.35
Guangdong	4852.28	4360.45	423.43	9.89
Guangxi	1768.04	1637.99	47.40	47.50
Hainan	372.44	358.72	108.23	8.23
Chongqing	2872.19	2669.93	117.38	332.79
Sichuan	3501.27	3247.32	96.87	39.92
Guizhou	908.20	848.11	13.10	135.04
Yunnan	1643.08	1478.25	186.29	104.81
Tibet	66.49	62.08	16.28	7.55
Shanxi	1513.01	1426.06	38.85	150.13
Gansu	624.66	588.63	0.65	93.26
Qinghai	147.89	141.23	7.87	1.17
Ningxia	514.81	453.26	8.09	20.85
Xinjiang	954.35	886.35	33.21	134.01

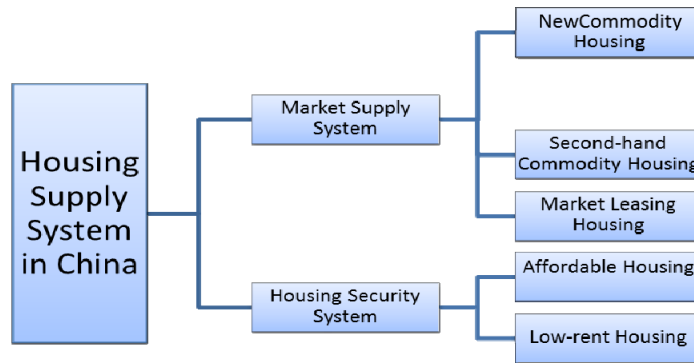Source: Statistical Yearbook 1997-2009

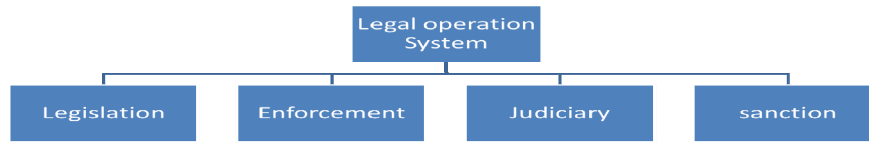Figure 1. Housing Supply System in China

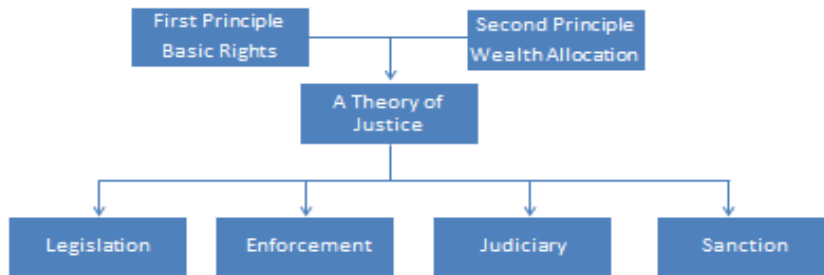Figure 2. Conceptual Framework of Legal Operational System
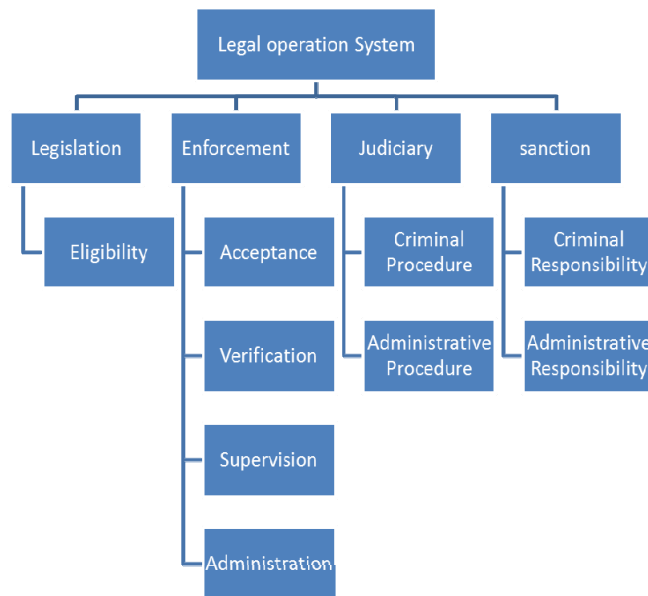

Figure 3. Theoretical Framework of A Theory of Justice

Figure 4. Conceptual framework of affordable housing distribution

On Volunteer Spirit and Thought of "Universal Love" by Mo-tse

Qi Zhou

School of Social Sciences, Shanghai University

No. 99 Shangda Road, Shanghai 200444, China

Tel: 86-21-6674-3275   E-mail: zhouqi7989@sina.com

Abstract

Voluntary service refers to the social public welfare in which human kinds take part in social activities, facilitate social progress and push forward human development of their own free will for no material or any spiritual rewards. Yet, volunteer spirit refers to a sort of altruistic and voluntary attitude or concept for public welfare but not for any reward. This sort of concept has something different in approach but equally satisfactory in results with the thought of "universal love" by Mo-tse. The thought of "universal love" by Mo-tse is a kind of thought that is altruistic, mutual love and mutual benefit, which comes down in one continuous line with the thought of "universal love" by Mo-tse. Of course, connotation of the volunteer spirit we are going to mention can no longer be contained by the thought of "universal love". To a certain extent, these two have something in common.

Based on love for the entire human kind, Mo-tse advocated that the universal love could transfer people's self-interest, that human kind expanded their love of themselves to love of others, extended their care of the land of the living to each class and hierarchy under obedience to the "will of the heaven", and gradually re-established the social order that had gradually lost its order. He expected to change the atmosphere at that time in which people struggled with and invaded each other through promotion of the thought of "universal love". Mo-tse invented the theory of "universal love", and resorted to the target of "mutual love and mutual benefit" to convince the king at ancient times to play their role of "where the wind passes, the grass bends", so as to direct people in making contributions and showing fraternal love and mutual benefit and reciprocity. Therefore, his concentrated attention and efforts were clearly known. Through our analysis of the thought of "universal love" and explanation of the volunteer spirit, we can find out the similarities and differences lying between the two, which helps us to better understand the connotation volunteer spirit and explore, therefrom, the ideological succession relationship of traditional Chinese moral culture implied.

Keywords: Volunteer spirit, Thought of universal love, Mo-tse

1. Volunteer spirit

In foreign countries, volunteer spirit is usually expounded as an altruism and charity spirit, which refers to a sort of social principle in which an individual or a team depends on their own free will and interest to pursue the goal of assisting others and improving the society but not for personal gains or rewards. For example, Peter Drucker said, "The essence and feature of a voluntary service organization mainly lies in that is can improve the life of human kind and enhance the life quality, which is invisible and is able to make human kind to obtain new knowledge and vacuous people to obtain repletion and freedom. Its spirit is benevolent, altruistic and considerate for the public welfare, so its action should be with combination of systematicalness, sustainability and perspectiveness. (Wu Guanzhi, 2003). Kofi Annan thought, "the core of volunteer spirit is the idea of service and utility and the belief to make the world become more encouraging. Considering this meaning, we can say that volunteer spirit is the ultimate reflection of the spirit of the United Nations." By contrast, the domestic volunteer spirit is almost defined as a sort of attitude or concept that is altruistic and voluntary for the public welfare but not for any reward. There are usually the following common versions --- "behavior to take part in the public welfare with the 'volunteer spirit', and whatever specific means is taken, it is always a kind of behavior based on individual charity and philanthropy." (Qin Hui, 1999) "Volunteer spirit is a kind of active attitude of individuals towards the value of life, society, human kind and outlook on life. (Zhang Jin, 2003) "Volunteer spirit is a sort of volunteer spirit in which one takes part in development of human kind to promote social progress and improve community work for no reward or income at all, an extremely important means by the public to take part in social life and the quintessence of the civil society and civil social organization." (Ding Yuanzhu et al, 2001)

"Volunteer spirit is a sort of altruistic concept which has existed ever since the ancient times and which surpasses the cultural traditions of eastern and western world and differences of their religious backgrounds, and is a sort of universal value." (An Guoqi, 2002)

According to the author, the internal feature of volunteer spirit is its being voluntary non-obligatory), not for reward or income (non-profiting) and its inalienable relation to take part in the society and civil society and culture. Volunteer spirit is the general term of the standards, principles and ideas with universal value that has been gradually formed by volunteers in the voluntary service social practice. This sort of standards, principles and ideas can be summarized in an abstract way as dedication, fraternal love, mutual assistance and progress, etc. It carries with itself the traditional virtue of China, ethic concepts under the socialist market economy and the common achievements of human civilization, and is the organic component of advanced culture of socialist with Chinese characteristics.

The connotation of the volunteer spirit is mainly its being voluntary, namely, asking for no reward and being altruistic. Simply speaking, volunteer spirit is a kind of spirit that one voluntarily participates in the social public welfare establishments for no reward to push forward social progress and promote the overall development of human kind. What volunteer spirit emphasizes is no distinction of race, color of skin, class and relationship and that any one should show care, assistance and support. In China, the volunteer spirit is concentratedly embodied as "dedication, fraternal love, mutual assistance and progress". This not only inherits the traditional virtue of the Chinese people to be forward to help others and to support the poor and those impoverished, but also reflects the objective requirements of socialist ideological and ethical progress, so it is the soul and core of voluntary service and is the internal motive and spiritual support for voluntary activities to be held effectively in the long run. The volunteer spirit also reflects improvement of mutual relations between people, mutual harmony between human and the society and harmonious co-existence of human and the nature. Thus, it can be seen that, the essence of the volunteer spirit is the conscious attempt of human beings based on certain consciousness of the community, consciousness of care (altruistic spirit), consciousness of responsibility, consciousness of participation, consciousness of cooperation and spirit of dedication --- of course, also individual preferences (such as, freedom, voluntariness, pursuit of the significance and value of life). (Chen Xueming, 2006)

2. The thought of "universal love" by Mo-tse

Mo-tse is the distinguished thinker and community leader of China and founder of the Mohist School. His statements of the thought of "universal love" are contained in "Mo-tse --- Universal Love". Mo-tse has a particular position in the hundred schools of thought. "Among the nine major schools of thought, only Confucius is qualified to contend against Mo-tse. And the other schools have no qualification to contend against him." (Wang Zhong, 2000). However, ever since the Qin Dynasty and Han Dynasty, the Mohist School went gradually down to decline as a result of the rulers' respecting only the Confucianism. Nevertheless, the thought of universal love by Mo-tse still has its thinking connotation and realistic significant that can't be obliterated. Especially, the mutual love and mutual assistance it reflected has great enlightening significance to the volunteer spirit and the civil society as well as building a harmonious socialist society.

Universal love also means "mutual love and mutual benefit", which is the "will of God", and which also means one should love others and love the common people so as to achieve mutual love and mutual assistance, but not mutual complaint and harm. This is also the model of the Great Harmony society designed by Mo-tse according to the Yao and Shun (ancient sages in China) times. Thus, it can be seen that, universal love means that mutual love and mutual benefit exist between countries to a large extent and between people to a small extent. According to Mo-tse, the reason that the Ancient China lost its order was that mutual love didn't exist between different people. Thus, he put forward the political philosophy of "mutual love and mutual benefit". Based on love to the entire human society, Mo-tse advocated that the theory of universal love should change the self-interest of people and expand from self-interest and self-love to love and benefit of others. Furthermore, under the "will of God", he advocated expanding care for the realistic human society among each class and hierarchy and thus re-establishing the social order that had gradually be lost. From the above analysis, it can be found that, the thought of "universal love" by Mo-tse has the following three connotations. Firstly, universal love means "mutual love and mutual benefit", which means that we expect mutual benefits through this behavior. Based on the principle of "the law of holy king --- policy to govern the world", the lord of the country should follow those ancient lords that had exercised universal love to exercise the idea of governing the country so as to bring benefits to the world. Secondly, universal love means "one loves others just as one love oneself", and "one loves relatives of others just as one loves relatives of oneself". Here, there are two implications. On one hand, one starts out from love of oneself and regard oneself as the center. The same is true with one's parents, and then to others. However, from "Mo-tse", we can see that, there is closeness and distance in universal love. Expansion

from oneself to others, the relation of closeness and distance is the prerequisite for exercising universal love. On the other hand, it is explanation to the issue of unfilialness of "no father". When one loves others, one has been within the scope of what one loves, so there would never be the contradiction that one loves fathers of others, but not the father of oneself. Thirdly, universal love means "equality and mutual benefit" and "selflessness". Universal love has the meaning of equality, which means that, all should be loved regardless of the hierarchical relationship of subjects in the society. Just as love of the God to human being has no distinction of subjects and is given to all, which has been so ever since the old times, and which is the universal representation of universal love. Mo-tse resorted to the feature of selflessness of God to persuade human beings to imitate the love of God to love others so as to gain love of the world. Of course, if one exercises universal love, one will also be loved by others, which is the optimal choice for win-win. The thought of "universal love" by Mo-tse is the love of equality that exceeds the blood relationship, in which one loves others just as one loves oneself regardless of closeness and distance, social status and length of time, etc. While in reality, one starts from love of parents with the principle of "love of parents". In the eyes of Mo-tse, real love is "love of others and then love of parents" just as in "Mo-tse Xiaoqu".

Of course, the thought of "universal love" by Mo-tse has its limitations. In the first place, it is unlikely to guarantee that one loves others and similarly others can treat with oneself in the same way. In the second place, there is the problem of feasibility in its practical operation. Although this thought has had a long history, it has never been actually implemented in the society. In the third place, universal love mainly refers to love of people, but has not involved love of other living beings, so its subject is confined to people. In Confucianism, the subjects of care contain "love of oneself to love of the people and love of the people to love of objects" and "love of both people and objects", not only including people, but also objects, which the thought of universal love by Mo-tse lacks.

3. Comparison of volunteer spirit and the thought of "universal love" by Mo-tse

3.1 Similarities between the two

3.1.1 Equality and mutual love

Based on the concept of "returning a favor with a favor" and applying this equality and mutual benefit spirit of "returning a favor with a favor" into interpersonal relationship, Mo-tse wished that each person could bear in mind the mutual benefit principle of "mutual love and mutual benefit", make benign communications with each other in interaction of love and benefit and gain a win-win outcome. Volunteer spirit also pursues the target of "equality and fraternal love, mutual benefit and mutual assistance". Thus, the two can be said to have quite a lot of similarities. Universal love is a sort of equal love that is irrespective of high or low birth and volunteer spirit is also a sort of mutual love between individuals of equal status.

3.1.2 Selfless altruism

Universal love means that "one loves others just as one loves himself", "one loves relatives of others just as one loves his own relatives", and is "broad and selfless". The essence of the thought of universal love lies in its pursuit of "righteousness" and "kindness", whereas this sort of "righteousness" and "kindness" are selfless "righteousness" and altruistic "kindness". This is where the essential of the thought of Mo-tse lies, which constructs a harmonious society and country with equality, fraternal love, mutual benefit and reciprocity through the establishment of a sort of selfless and altruistic concept. Similarly, volunteer spirit is also portrayal of voluntary, altruistic and selfless giving. Thus, it can be discovered that the two have their similarities.

3.1.3 Asking for nothing in return

In his "Universal Love III", Mo-tse quoted the theory of "returning a favor with a favor" in "Great Elegance" to convince human being in the world. According to him, "I" firstly put into practice the standpoint of "giving a favor" in the universal love, and then "others" will also take the attitude of loving others and benefiting others to treat with "me" by "returning a favor". Of course, here when we look upon the behavior of "returning a favor with a favor", we can all find that it is I who is dominating in judging his own behavior and decides whether he himself will exercise universal love or the behavior of "returning a favor with a favor". However, as for others who have the capacity of thinking, they are unable to estimate in anticipation whether they will also exercise the "universal love" just as what they have in their mind, because human being is a kind of complicated animal, and its self-interest has no means to be measured in a specific way and predicated in an accurate way. How comes if "I" give a favor, but others are reluctant to return a favor as a result of their self-interest and unwillingness to mutual benefit and mutual love. It is difficult to have a certain standard how to treat with each other equally, how to start and how to be equal. Furthermore, all the above are high moral norms that are difficult to be achieved as

for humans. However, the attitude of asking for nothing in return embodied by the thought of universal love should be treated with care. This is also sufficiently embodied in volunteer spirit. Voluntary service does not ask for any material or spiritual return and is a kind of voluntary behavior, a sort of uni-direction giving. The essential significance of volunteer spirit lies in its uni-direction giving to achieve giving by everybody in the society, which, as a matter of fact, is to ultimately form a benign bi-direction state of mutual giving. Without doubt, this aspect of volunteer spirit is consistent with the thought of universal love.

3.1.4 The foundation of thought to set up a harmonious society and universal society

The concept of "universal love" by Mo-tse was established in the worldly reality that regards "will of the heaven" as the ultimate care, taking "universal love" as the footstone to re-establish the society and help settle down the heart of human being. However, its goal is to "flourish the benefits in the world and get rid of evils in the world", longing for emergence of a brand-new and harmonious society in which "love is mutual and benefit is mutual". This fully reflects the humanity care and cultural value of the thought of "universal love". It can be said that, the thought of "universal love" by Mo-tse is a kind of preliminary trial to set up a harmonious society, and its final target is to realize a beautiful great harmonious society. Nowadays, we advocate volunteer spirit with the aim to lead the entire society to generate new fashions and perfect interpersonal relations through a sort of "dedication, fraternal love, mutual assistance and progress" to lay solid foundations for establishing a harmonious society and well-to-do society.

3.2 Differences between the two

3.2.1 Difference of the concept of justice and benefit

In ancient times, the concept of justice and benefit could be said to be the core content of all kinds of philosophical theories and a basic moral principle to conduct oneself in the society, which also involved the essential attitude of one towards the nation, society, others and himself. Under the principle that "the God seeks for justice yet the wickedness does not", "justice" became the highest code of ethics in human life. Mo-tse firmly believed that, human kind ought to imitate the selfless moral spirit of God and to continue to make efforts, and he also believed that human kind had the capacity of exercising the universal love, which affirmed the value of humanity. However, in the contemporary world, our definition of volunteer spirit has surpassed constraints of this sort of "justice" and "benefit" and has broken away from the pattern that was set by the ancient traditional concept of justice and benefit, a kind of virtue of dedication and altruism, unity and fraternal love and mutual assistance as well as process and a kind of virtue which surpasses the concept of justice and benefit in its individual meaning. This can be said to benefit others and oneself and furthermore, reflection of collective spirit.

3.2.2 Difference of practical level

If the theory of universal love by Mo-tse can be carried out, then the effect of mutual benefit brought about by the universal love theory would be affirmed. According to Mo-tse, ancient lords had already realized universal love, while ancient tyrants had given it up. Then, whether universal love was exercised was affected, to a great extent, by "people". Whether this means it was because the efficacy of the thought of universal love itself was infeasible or its practice was difficult that the thought of universal love had not gained unanimous recognition from the social public, which made the thought of universal love unable to be inherited and extended and further unable to be carried out universally. However, this is thought provoking. Considering the history, the thought of the universal love by Mo-tse still remains on the conceptual level, but has not been implemented specifically in the society. In addition to influences of merely respecting the Confucianism, the author believed that the thought of universal love itself contributed a lot. This sort of supra-hierarchy and supra-class absolute equality and absolute mutual benefit and reciprocity irrespective of subjects didn't work in the society at that time, which also didn't comply with interests of the ruling class at that time. Therefore, it was necessary that it hadn't been carried out in the society. By contrast, the voluntary service today is a kind of activity based on dedication and altruism, mutual assistance and fraternal love, mutual benefit and reciprocity, which has a whole set of institutional norms and personnel guarantee and which is implemented in the society with definite orders and conditions. Thus, voluntary service can be pushed forward. So far, the voluntary service has already been implemented all over the world, which is the best proof.

3.2.3 Difference of nature

It is true that the thought of "universal love" allows for distinctions among different individuals and exhibits the virtue value of human moral progress, but it differs from the volunteer spirit in terms of the essence. "Universal love" is a kind of pure and plain thought of mutual love and mutual benefit, while volunteer spirit is a kind of progressive and harmonious idea and is established under certain economical conditions and civil society, which

complies with the target that human society expects for more unity, friendliness and harmony. According to the author of this paper, the essence of volunteer spirit lies in its consciousness of community, consciousness of responsibility and cooperation, altruistic spirit and dedication spirit, which belongs to a universal value.

4. Conclusions

The thought of "universal love" by Mo-tse was established in the worldly reality with the ultimate care of "will of God", and constructed a universal world with "mutual love and mutual benefit", with the "universal love" as the foundation to re-construct the society. Mo-tse firmly believed that human being had the capacity of exercising universal love. Throughout all his life, Mo-tse pushed forward the thought of universal love whether in terms of physical resource, financial resource or knowledge. According to him, human being had the ability to help the weak group and human being could realize a stable life and realize the philanthropy thought of universal peace and order through the method of "universal love". His improvement on the functions of any tool that was concerned with people's livelihood and his popularization of the aspect of humanistic care embodied his spirit of universal love, which was his contribution to the human kind, and, in the meanwhile, was actually the optimal standard to exercise the thought of universal love. Therefore, it can be said, this thought of universal love has its certain research value and practical significance. In addition, Mo-tse spared no effort and never retreated in his carrying out the thought of universal love. He himself was also exercising his own ideal. At the same time, the thought of universal love has great significance for us how to respect differences between different cultures and how to maintain harmonious relations through mutual love in the contemporary diversified society. This also manifests the virtue value of moral progress of human kind.

Volunteer spirit is the general term of the standards, principles and ideas with universal value that has been gradually formed by volunteers in the voluntary service social practice, which includes profound ethic quality and features and has realistic significance to build a harmonious socialist society. Volunteer spirit is able to facilitate realization of social fairness and justice, push forward building of the harmonious social atmosphere and promote coordinate, comprehensive and sustainable development of the society. Moreover, the volunteer spirit reflects perfect combination of traditional virtue and modern civilization. The volunteer spirit has inherited beneficial components in the traditional Chinese moral culture, including the thought of universal love. It encourages people to be active and kind and to lead a lofty and virtuous life. The essence of volunteer spirit is the organic integration of specific externalization of virtue's ethic connotation and ethic tension of its practical level and is the organic integration of ethics and well-doing.

It can be found by comparison that, there are quite a lot of similarities and yet a lot of dissimilarities between the volunteer spirit and the thought of "universal love" by Mo-tse. Both the two are intersectant, such as, mutual assistance, mutual love and mutual benefit, and are not intersectant, such as, fundamental distinctions between the two in their essence. Nevertheless, in the process of our setting up a harmonious socialist society, and in the high wave of vigorous cultivating the civil society and civil spirit and advocating voluntary service and volunteer spirit in the whole society, we can discover heritage and abandoning of traditional Chinese ethic culture, which also includes the thought of "universal love" by Mo-tse. This is also where the value and significance of this research study lies.

References

An, Guoqi. (2002). *Volunteering Action in China --- Research Report on Youth Volunteering Action in China*. Central Party Literature Press.

Chen, Xueming. (2006). China Youth Volunteers Action and Building of Harmonious Society. *Journal of China Youth College for Political Sciences*, 2.

Ding, Yuanzhu et al. (2001). *Research on Voluntary Activities*. Tianjin People's Publishing House.

Mo-tse Tengwengong. Complete Library in the Four Branches of Literature.

Mo-tse Xiaoqu. Complete Library in the Four Branches of Literature.

Qin, Hui. (1999). *Modernization beyond Government and Corporation: A Comparative Research of Commonweal Enterprise between China and West*. Zhejiang People's Publishing House.

Wang, Zhong. (2000). Edited by Dai, Qingyu & Tu, Xiaoma. *Explanation of Learning --- Series of Mo-tse*. Liaoning Education Press.

Wu, Guanzhi. (2003). *Marketing of Non-profit Organizations*. China Renmin University Press.

Zhang, Jin. (2003). Olympic Volunteer and Human Resource Management. *Journal of Capital College of Physical Education*.

Study on Three-dimensional Moral Education in Universities and Its Practical Approaches

Yongzheng Zhou, Ziqiang Qin, Xiaoling Deng & Xuxu Chai

Sichuan Agricultural University, Sichuan 625014, China

E-mail: haozhe3@sohu.com

Abstract

Three-dimensional moral education in universities is beneficial exploration to strengthen and improve moral education in universities as well as to enhance the practical effects of moral education. In order to strengthen pertinence and effectiveness of moral education among university students, the only way is to keep pace with the times and continuously five full play to the spirit of innovation. Starting out from the actual perspective of moral education in universities, three-dimensional moral education in universities realizes holistic interaction in terms of structure of moral education, pushes forward the three-dimensional progress of moral education, plays the role of moral education up to the hilt and promotes realization of the target of moral education in universities.

Keywords: Universities, Three-dimensional moral education, Practical approaches

Universities are not merely the garden of knowledge and sacred temple of culture, but also the major method to give full play to the role of moral education. In January 2005, the President of People's Republic of China, Hu Jintao, emphasized and pointed out at the conference of strengthening and improving the ideological and political education of university students, "we have to unswervingly carry out the educational policy of the Communist Party of China (CPC), regard education of people as the orientation, take as the first the moral education in the all-around moral, intellectual, physical and aesthetics development, give full play to the role of university students' ideological and political education as the major battle field, major classroom and major channel, push forward the ideological and political education of university students in an overall way and promote their overall development from all aspects." (Hu Jintao, 2005). Three-dimensional pattern of moral education exactly starts out from this consideration, regarding the universities as the major battle field for moral education, constructs with all efforts the three-dimensional system of moral education with "holistic process and position and multiple levels and fields", and providing education with direction teaching and indirect penetrating among educatees.

1. Proposal of the concept of three-dimensional moral education and its features

1.1 Concept of three-dimensional moral education

Three-dimensional moral education means that moral education has to be penetrated to all space where moral education factors exist, namely, all occasions in which individuals live, and exerts influences upon the individuals with consciousness in multiple aspects, which is a sort of vivid, affluent and real moral education with multiple positions, multiple channels and multiple factors. (Qin Ziqiang, 2004).

1.2 Features of three-dimensional moral education

1.2.1 Multi-dimensional hierarchies

Three-dimensional moral education has broken through the plane singleness of the traditional moral education and focuses more on hierarchy of moral education and broadens the dimensionality of moral education. Cultivation of moral education among universities students is not accomplished in one action and moral educators have to start out from reality, allow for differences, make a difference according to the ideological development rule of from low to high and from shallow to deep, teach students in accordance with their aptitude and continuously guide them upwards at different levels. Moral education is no long simply the traditional didactic moral education within unidirectional dimensions, but a multi-dimensional moral education with combination of management, service and moral education, which requires moral education to be conducted step by step and makes education subjects at different levels obtain development on the original basis.

1.2.2 Interactive penetrability

Three-dimensional moral education has to be integrated into all aspects in the daily learning, work and life, in which the bi-directional communication between educators and educatees should be conducted in a positive way. Three-dimensional moral education is a sort of moral education in which both educators and educatees receive education and they receive education together in contact of the life, but not one sort of "separated moral education" in which educatees receive education while educators are beyond the moral education. In the process of education, both educators and educatees interact with each other and affect each other, which makes moral education get successfully conducted without consciousness. Only if the moral education is penetrated into all concrete work, integrated into the life, getting close to the reality, life and the group of students, can it satisfy the demands of students, and can teachers discover and resolve problems in time, so as to strengthen the effectiveness and pertinence of moral education and promote normal and orderly development of moral education work.

1.2.3 Systematic comprehensiveness

Three-dimensional moral education emphasizes comprehensiveness and systematicalness of moral education, no more former scattered education, especially the education which is centered with inculcation in the classroom, but one which pays attention to collecting all resources and power that can be employed and generate a powerful cooperative force to offer guidance and cultivation to students. This is reflected by the fact that, whether teachers, managerial personnel and service personnel or the symbolic building and every tree and bush in the universities, or even the daily living entertainment of the universities, can all enable university students to get edification from moral education.

1.2.4 Open innovativeness

The largest difference between three-dimensional moral education and the traditional moral education lies in its keeping pace with the times and its open innovativeness. Three-dimensional moral education positively explores new ways and methods, not confined by the traditional routine, but making full use of all sorts of media, especially newly born network media technology to develop moral educational activities. Three-dimensional moral education not only inherits advantages of the traditional moral education, but also concentrates on exploration of the new fields of moral education and usage of such modern media as MicroBlog, MSN, Blog and Fetion, etc., to broaden the channels of communication of moral education, push forward establishment of three-dimensional moral education and better realizes effects of moral education.

2. Significance of three-dimensional moral education

Contemporary university students have open-minded thinking, strong sense of the times, willing to accept newly born things, optimistic and enthusiastic in the attitude towards living, full of ideals and long for self-development and self-realization. However, there are still part of students who are lacking in firm ideal belief and political conviction, pursue the instrumental hedonism orientation in selection of values, indifferent in the sense of social responsibility, with strong dependence in their living and have relatively weak psychological endurance ability and the capacity of resisting frustration, etc. Thus, university students are faced up with extremely arduous tasks in the moral education, and they need to continue to explore and innovate, which has quite important significance to pushing forward three dimensional pattern of moral education. First of all, the moral education has always been conducted in the classroom, but education in the classroom gives us the sense that it has strong theoretical feature and is difficult to accept resonance in thoughts in a relaxed way, lacking in attraction. Three-dimensional moral education makes students receive more vivid moral education, more real experience or undergo real processes, which is an effective means to overcome abstract teaching, and strengthen attraction and infection. Then, moral education has to follow its own rules. Moral quality of human being calls for the comprehensive functions of "knowledge, emotion, consciousness and action" and the process of cultivation and calls for learning moral knowledge, enriching moral emotion, strengthening moral consciousness and exercising moral practice. Three-dimensional pattern of moral education just starts out from the multiple factors of "knowledge, emotion, consciousness and action" to realize moral cultivation on students, which completely complies with the rules of moral education, and thus can receive better moral effects. Thirdly, there are numerous students in contemporary universities. The subjects of education are active in thinking, with abundant channels to receive information, strengthened autonomy and selection, whereas the former instructors team is regarded as the subject f education, disadvantages of which are brought into light. How to enable moral education to be touched upon each student and improve the covering scope and in-depth degree of moral education is extremely a realistic issue that moral educators have to be faced up with. In one word, the significance of three-dimensional moral education lies in that it can better adapt to the demands of the contemporarily changing situation, pioneer

in instruction and innovation and keep pace with the times, obviously enhance moral education effects, strengthen effectiveness of moral education, and help to realize the moral education target of cultivating a new era of talents with "lofty ideals, integrity, knowledge and a strong sense of discipline".

3. Exploration of implementation approach to three-dimensional moral education

We ought to enrich and create new moral education approaches in the traditional and modern wave of tide. We should inherit and carry forward traditional moral education methods and approaches, but, moreover, we should grasp the pulse of the times, open new approaches to adapt to the developmental requirement of the new times, with a view to enrichment and development and continuously getting rid of the stale and bringing forth the fresh. We have to strengthen and improve the moral education work in universities, make all efforts to push forward the three-dimensional progress of moral education, make full use of advanced science and technology to offer new platforms for moral education and give full play to the effectiveness of moral education in a new era by means of penetrating moral education into all levels of work, learning, and living and combining it with other approaches. The specific approaches include the following five aspects.

3.1 Theoretical education in the classroom is the foundation for moral education

The Prime Minister Wen Jiabao definitely pointed out, "we have to take cultivation of talents as the first duty of higher education." (Wen Jiabao, 2010) Talents should not merely grasp rich knowledge, but should also have perfect personality and unswerving political conviction. As for university students, theoretical education in the classroom is an extremely important approach. At present, one of the major channels for moral education in universities is still from the classroom. The implementation process of the classroom is one in which the attitude of students, their values and will of power are formed and cultivated. Political theoretical class is the most basic and important approach for the universities to provide systematic political, theoretical and thinking moral education. The universities may internalize the basic Marxism theory and basic socialism moral criteria into the motive, consciousness, thought and concept of students individuals through university political theory class, and lead university students to internalize these consciousness, thought and concepts into t heir own conscious action and form good moral education quality.

3.2 Full use of the new network media is the media support for moral education

The former Chinese President Jiang Zemin has ever pointed out, "We have to attach great importance to and make full use of information network technology and strengthen its influential strength." (Jiang Zemin, 2000). Owing to its features of being all-inclusive, sharing of the internet and grass roots, Internet is deeply favored by university students. We ought to make great efforts to realize close combination of traditional methods and modern means, give full play to the functions of the new media of network and set up perfect campus network and moral education website. The universities have to make use of assisting moral education activities of internet and multi-media to enable students to perceive more profoundly the charm of moral education from the audio, video and touch, etc, learn to communicate with young people with the fashionable organizational means and communication means that young people are delighted to hear and see and make clear the problem agenda of young people's growth education. They may also set up Blog and MicroBlog, and make a discussion board in BBC and the Social Network to offer education of current events on young people and publicize advanced typical cases to them to achieve better moral education effects. Also, they should make full use of the newly born communications means of Fetion, MSN and QQ, etc., to strengthen communication between moral education workers and students to draw a close distance between them. Besides, the universities have to explore the new mode of network ideological and political education which "highlights the subjectivity of students, focuses on coverage of content and strengthening functions of educating people".

3.3 Network moral education and psychological health education are the point of strength in moral education

We should actively occupy the new battlefield of network ideological and political education, strengthen establishment of campus network culture in an overall way and enable network culture to become the important means and carrier to carry forward the major theme and offer ideological and political education. We also encourage instructors to set up real-name "ideological blog", encourage those excellent university students with advanced thoughts to set up their own blog, promote communication between the extensive university students and those surrounding them and invisibly offer moral education propaganda, education and communication with the identity of a friend, enable educatees to have the feeling of closeness and trust and to strengthen the real effect of moral education.

Psychological health education mainly means that the universities cultivate the perfect psychological quality of students and promote activities for the comprehensive and harmonious development of students' body and mind

and the overall improvement of their quality with the method and means of psychological education according to students' psychological and physiological developmental characteristics. (Li Xiaolu, 2009) In order to better conduct psychological and health education, the universities ought to set up a comprehensive psychological and health education system, set up   perfect psychological assisting system, emphasize cultivation and improvement of young students' psychological quality, encourage them to exclude the difficulties and anxieties, alleviate their psychological stress and contradictions, recover their psychological balance and mould their healthy internal world, so as to lay firm psychological foundation for cultivation of their moral quality.

3.4 Hard environmental establishment and soft environmental establishment are the two wings of moral education

The environment of educating in universities can be classified into "hard environment" and "soft environment". As for hard environment, we have to lay emphasis on moral education function of establishment of campus landscape, establishment of every hill and every stream in the campus, the garden path and the building, have to design with cautiousness so as to embody the historical tradition and spirit of the times, realize harmonious unification of usage function, aesthetical function and educational function, enable each tree, each stone and each building to be casted with the brand of culture, and to give full play to their function of "moistening things silently". The university also has to enable university students to revivify their spirit in the campus landscape, encourage their ambition, burst out the spirit of developing forward and struggling with efforts, edify their perfect spirit of loving the nature, and caring about the society and others.

As for the soft environment, the varieties of cultural sediments, mainstream ideas and cultural ideas, campus culture and all sorts of atmospheres in the universities for quite a long period of time would have the function of moulding university students' political thoughts and moral quality. The most prominent is the moral education function of campus culture. Campus culture is the particular cultural landscape of the universities, which contains the elements of edification, gives one the edification of influencing them silently and has strong penetration function. Therefore, we have to direct and set up active campus culture to build the environment and atmosphere that can effectively carry out the work of moral education. The practice of establishment of university campus has proven that, we can resort to health spiritual food, civilized activities, high-spirited campus spirit and good campus atmosphere to affect the thought, behavior and life of teachers, students and employees, firmly grasp the correct direction of cultural establishment of universities and guarantee the positive and healthy growth of university students.

3.5 Innovative education and practical education are the essence of moral education

In terms of innovative education, the universities have to gradually cultivate the self-education consciousness of university students. the moral education itself in universities is a process of educating people, which, in essence, is also a process of teaching, namely, a process of integration of external implantation and internalization of the subject (Ren Qiping). The universities should transfer from the former means that teachers offer moral education to the multi-channel interaction between teachers and students in which teachers serve students and students educate themselves, change the former idea that is centered with "implantation of theory" and "management of students", change into the idea of "serving students" and strengthening students' "self education", concentrate more on demands of students and active service, and integrate moral education into all sorts of work. Besides, the universities ought to promote self management, self education and self service of university students. They have to give full play to the subjective function of students, enable students to obtain self education and self escalation in the process of actual participation and enable moral education to really be integrated into the heart of students. At the same time, they should take full advantages of the new media and use scientific means to improve the level of moral education. Also, they ought to promote realization of the strategy to combine of "reality" and "virtuality" of moral educators in universities, bring new media into the informationization establishment of moral education and enable the two to be better combined and better play the role of moral education.

During practical activities of moral education, learning of the three-dimensional pattern of moral education in universities is not purely realized through learning theories. Moral practical activities require us to adopt vivid and active means that suit with the characteristics of university students and stimulate them to continue to go forward in morality, making students discover the surrounding morality. The universities should let students to experience by themselves morality and enable them to realize unification of "knowledge" and "action" through combination of accepting theoretical education and practical practice. This process requires teachers to explain the profound meanings underlying, put forward clearly the teaching content and requirements of moral practice and let students come to realize the importance of this activity, which is able to achieve better effects and accelerate internalization of absorption of moral education theory.

4. Conclusion

Moral education among university students in China is under a new situation with diversifications of the society, economy, culture, thought and information, which will necessarily bring brand-new opportunities and challenges to the idea, method and mode of the moral education in universities. We have to be good at adopting and selecting under a diversified vision, select the excellent and innovate the train of thoughts in moral education in universities. We have to realize human-oriented value orientation for moral education, life-oriented moral education content, diversification of moral education carrier, and scientificalness of moral education evaluation mechanism. So long as we firmly set up the concept of three-dimensional pattern of moral education, perseveringly explore the realization approach for three-dimensional moral education and positively push forward the three-dimensional progress of moral education, can we enhance the covering scope, influential strength and effectiveness of moral education to a large extent.

References

Hu, Jintao. (2005). On Strengthening and Improving College Students' Ideological & Political Education Work. *People's Daily*, January 19, (1).

Jiang, Zemin. (2000). Important talk at the Ideological and Political Working Conference of the Central Committee of CPC. *Liberation Army Daily*, June 29, (1).

Li, Xiaolu. (2009). Reflection and Regression --- Setting of the Fundamental Task of Universities. *China Higher Education*, (6).

Qin, Ziqiang. (2004). Promoting the Three-dimensional Project of Moral Education in Universities. *Journal of Southwest University for Nationalities*, (8).

Ren, Qiping. Cultural Implication of Psychological Health Education. *Educational Research*, (10).

Wen, Jiabao. (2010). Talk at the National Working Conference. *People's Daily*, September 1.

A Proposed Model of Antecedents and Outcomes of Brand Orientation for Nonprofit Sector

Fahri Apaydın

Faculty of Economics and Administrative Sciences, Yalova University

Safranyolu, 77100, Yalova, Turkey

Tel: 90-216-814-9932   E-mail: apaydin@yalova.edu.tr

Abstract

Most literature focuses on the branding in the profit sector, while few efforts have been spent on studies in the nonprofit sector which has been in the rise in the last decades and constitutes a remarkable percentage of the economy in many developed countries. Nonprofit organizations are in essence a kind of an indicator of how developed a country is, so it might be accepted that in underdeveloped countries and developing countries they are not well established yet, so analyzing the well established nonprofit organizations will also usher the ones which are at still birth age. An issue which should be analyzed about nonprofit organizations is the application of a significant marketing concept brand orientation. The proposed research aims to highlight the importance of branding and brand orientation for nonprofit organizations and to bring to surface the antecedents and the outcomes of being brand oriented in nonprofit sector. A comprehensive literature review was done and a conceptual model is proposed in this literature review.

Keywords: Brand orientation, Nonprofit sector, Outcomes of brand orientation, Antecedents of brand orientation

1. Introduction

In many developed countries, nonprofit sector is increasing its scope of activities and becoming prominent in the business environment (Dolnicar & Randle, 2007; Hankinson, 2000; Wiepking, 2007). The increase in number of nonprofit organizations (public charities, private foundations, other types of nonprofit organizations, including chambers of commerce, fraternal organizations and civic leagues) intensifies the competition in this sector. As a result, it becomes even harder to obtain financial resources as well as voluntary contribution. Without doubt this makes it difficult to realize their mission, which is to contribute to the welfare of society. Thus, similar to the commercial sector which has developed and built brands as a means of creating and maintaining a point of difference in an increasingly competitive environment, nonprofit organizations are now more apt to become a brand in this sector, believing that brands are significant assets for them which differentiate them from the competitors.

In the literature, it is possible to find various classifications of nonprofit organizations done in different researches. By studying a summary of each organization's goals and activities, following purposive classification which can be used in the researches were done by researchers (Jacobs & Glass 2002; Ewing & Napoli, 2005; Balabanis et. al., 1997; Hou, 2009):

　　　1. Social justice organizations, which fight for generalized issues of social concern

　　　2. Cultural organizations, which engage in the fine arts, music, theater, literature, or other cultural activities

　　　3. Social leisure organizations, which exist for explicit social and/or hobby purposes, such as fraternities or bowling leagues

　　　4. Economic organizations, such as trade organizations or chambers of commerce

　　　5. Educational and human service organizations, which engage in research, are affiliated with a school, or provide educational programs

The main aims of this paper are:

- to highlight the importance of brand orientation for nonprofit organizations
- to determine the antecedents of brand orientation
- to determine outcomes of brand orientation in nonprofit organizations
- to foster managers' awareness of branding in nonprofit organizations
- to contribute to the research field of branding in nonprofit context

Laidler-Kylander & Simonin (2009) mention that there is a void in the literature about researches related with nonprofit organizations, especially in the area of branding. Thus, this model is believed to help answer the following questions related with nonprofit organizations.

1. How do nonprofit organizations become brand oriented, and what does brand orientation mean for nonprofit organizations?

2. What are the antecedents of brand orientation, and how can performance of nonprofit organizations be measured?

3. Does brand orientation increase the performance results of nonprofit organizations?

4. What are the differences between various categorizes of nonprofit organizations in terms of branding and outcomes of being brand oriented?

5. Which type of nonprofit organizations gets more voluntary contribution and donation?

6. Does the size of nonprofit organization affect its being brand oriented and its receiving more donation?

7. What are the mediating variables that affect the impact of the antecedents on brand orientation?

8. How does being brand oriented contribute to the mission of nonprofit organizations?

2. Literature Review

2.1 Marketing in Nonprofit Sector

In spite of the size and importance of the nonprofit sector to all economies nonprofit organizations have only recently begun to embrace the marketing concept that their for-profit organizations have exploited for years (Benett and Sargeant, 2005). That nonprofit organizations have begun to develop marketing strategies is not surprising when the challenges facing the industry and its organizations today are realized: worsening economies, a decline in direct donations, a decline in government support (Hibbert & Horne, 1995), and continuing growth in the number of nonprofit organizations looking for funding and voluntary contribution each year (Liao, Foreman and Sargeant, 2001). Given the highly competitive market facing nonprofit organizations, it is obvious that the non-profit sector has become more aggressive and creative in their efforts to attract both individual and corporate donors, volunteers, sponsors and partners. To accomplish the above mentioned goals, the sector is trying to adopt a wide range of marketing activities and concepts developed in profit sector. Hassay (2009) in his research explored brand community, relationship marketing, nonprofit marketing, charity support behavior integrating the marketing concepts in nonprofit sector. It is possible to reach other researches done examining the application of marketing concepts in the nonprofit sector.

Nonprofit organizations mainly depend on resources from various parties within the society, which necessitates strong relationship between the organizations and these parties (Bennett & Savani, 2004; Hou et. al., 2009). Marketing has developed so many successful techniques and methods not only to manage the relationship between the organizations and the customers and suppliers but also communication with the environment. Thus, nonprofit organizations to receive more resource and actualize their mission, increasing the welfare of the society in different respects, should benefit from these techniques and methods. Dolnicar & Randel (2007) defined main voluntary activities as admin/clerical/recruitment, coaching/refereeing/judging, befriending/supportive listening counsel, fundraising/sales, preparing/serving food, repairing/maintenance/gardening, management/committee work/co-ordination, personal care/assistance, and teaching/instruction/providing information.

Substantial differences which are said to exist between nonprofits and for-profits are a reason why the brand orientation concept should be explored in this sector based on scientific researches. Thus, it is highly imperative that these differences be well understood to gain an overall idea to apply brand orientation concept in this sector. Nonprofit organizations differ from for-profit organizations in at least five major areas: their organizational culture, their human resources, their collaborative rather than competitive approaches, the complexity of their

customers, and the importance of mission (Laidler-Kylander & Simonin, 2009; Gainer & Padanyi, 2002). Because of these differences, nonprofit organizations are organized and work distinctly from profit organizations.

2.2 Branding in Nonprofit Sector

Of the marketing concepts, branding in the nonprofit organizations is considered to be a significant issue to deal with. Due to the huge amounts of finance nonprofit organizations manage and control and the proliferating activities they do, researches are interested in the application of marketing concepts in nonprofit sector. Brand perceptions, brand loyalty, brand knowledge, brand differentiation, brand equity, brand awareness, brand proliferation and brand image are the underlying issues about the concept of brand, which has received so much attention in for profit sector (Aaker, 1996; Keller, 2003). It has been posited by many researchers that building a successful brand can help nonprofit organizations differentiate from the competitors, be held in high esteem, and evoke a connection with target customers (Wong and Merrilees, 2005).

A strong brand facilitates the acceptance of and gaining support from the stakeholders for new services and products for the sake of the society in that brand name recognition and image of the organization are communicated efficiently by brand names. Thus, by creating strong brands nonprofit organizations might enjoy the advantage of getting higher support from the stake holders and deliver their services and products to the public, which will contribute to the achievement of organizational mission. Brand names are leverages for the organizations as stakeholders are familiar with them and have established knowledge about them. By building brands nonprofit organizations develop and create favorable associations about themselves in the knowledge structure in the minds of the people. Strong brands facilitate people's judgment about the nonprofit organization in a positive way as they build links in people's minds about organization with the desirable associations that already exist (Aaker and Lane, 1990).

It is a priority for nonprofit organization managers to create positive beliefs and favorable attitudes toward the nonprofit organization to develop strong brand names within the society (Aaker and Lane, 1990). Hankinson (2000) puts forward how brands function and classifies two main functions of brands: Brands contain functional attributes (what the brand does) and they have symbolic values (what the brand represents). Aaker (1996) suggests that brand name, brand awareness, brand loyalty, perceived quality and distinctive brand associations are the important characteristics of strong brand. Therefore, nonprofit organizations should carry out activities supporting and developing to create strong brand names. For consumers, brands exert three major functions: an information purpose, a risk-reduction purpose, and an image purpose. Thus, they obtain public trust which helps them accomplish their missions successfully. Greater brand trust results in high levels of brand equity (i.e. strong brand), and nonprofit organizations are increasingly being perceived as the "new superbrands" in the West (Laidler-Kylander & Simonin, 2009).

Given the functions of branding mentioned, brands may serve important purposes for nonprofit organizations. Firstly, they improve the acquisition potential and have a positive effect on receiving voluntary contribution and donations. Second, brands develop positive associations related with nonprofit brand in the minds of the customers, therefore creating a higher scope in acceptance of products and services and protecting a nonprofit organization from tough competition. Furthermore, strong brands also function as a basis to create new programs and services that will serve the needy (Voeth & Herbst, 2008).

The charities, a kind of nonprofit organization, that enjoyed a full commitment to the branding process from all their stakeholders were best placed to reap the benefits of charity brand status. 'A brand is the aura of beliefs and expectations about a product (or service) which make it relevant and distinctive' (Hankinson, 2000).

2.3 Brand Orientation in Nonprofit Sector

Hankinson (2000) defines brand orientation as to the extent to which the organization regards itself as a brand. A broader definition might be brand orientation refers to the extent to which the marketing strategy and activities are focused on the nonprofit brand aiming to reinforce distinctiveness from the other nonprofit organizations and building awareness of the organization. The activities held by the organization reflect the actions in terms of branding approach. Brand orientation becomes the driving force for brand-oriented organizations that consider branding as a significant issue in all the organizational decisions and directions. It emphasizes the deployment of the marketing mix and human resources to deliver a distinctive brand in the customer's minds (Wong & Merrilees, 2005). Brand orientation can be considered as a choice of strategy that can determine firms' competitive position, with the consequence of enhanced future survival in the long run.

Hankinson (2000) suggests that it involves both a mindset and a style of management that put the brand at the centre of the organization. It was also seen to fulfill organizational objectives such as raising awareness, building trust, fundraising and parliamentary lobbying, with a more focused and more consistent communication of what the organization stood for.

Although there are several researches about brand orientation in the context of nonprofit sector, the benefits of being brand oriented have not empirically been proved. In essence, strategic decisions should be driven by the brand, which is a central focus of an organization, and management as well as all the members of the organization should be responsible to develop and support behaviors supporting the brands. Aaker (1996) holds the idea that the ideology of brand orientation needs to be transformed into action, which is marketing implementation in the nonprofit sector.

Urde (1999) defines brand orientation as "an approach in which the processes of the organization revolve around the creation, development, and protection of brand identity in an ongoing interaction with target customers with the aim of achieving lasting competitive advantages in the form of brands." A brand oriented nonprofit organization pertains to creating value for the people by organizing and controlling the operations carried out by the organization.

Ewing & Napoli (2003) utilized Keller's (2003) brand report card as a point of departure to describe the development of a reliable, valid, and generalizable multidimensional scale to assess nonprofit brand orientation, including interaction, orchestration, and affect, which have made an operational and expressional improvement of Keller's (2003) BRC in nonprofit sector.

Hankinson (2000) in her study posited how charity brand could be built. She listed the tools that managers should benefit from to build charity brand as:

Visual communicators	Web sites
Media coverage	Slogan
Charity shops	Being professional
Printed documents	

2.4 Proposed Brand Orientation Model

Based on the literature review, the model in the figure that could be used to measure brand orientation, antecedents, and performance outcomes in the nonprofit organizations is proposed (Hankinson, 2001a; Napoli, 2006; Candler & Dumont, 2010).

2.4.1 Antecedents of Brand Orientation

Hankinson (2001a) provided the factors that could be accepted as the antecedents of brand orientation. They are personal vision of managers, relevant educational and job experience of managers with brand, a supportive organizational culture, and environmental factors that may influence organizational objectives. However, her suggestion about the antecedents seems not to be elaborate. Because, while some of the factors she mentioned are related with the managers, some are related with the environment. Another weakness is that she does not differentiate internal and external factors, which to functions separately. Moreover, she does not refer to the managers' characteristics sufficiently. So it is suggested is that the antecedents should be personal vision of the managers, relevant educational and job experience of managers with brand, communication skills of the managers, and ability to develop positive relationships with the stakeholders.

The organization specific factors such as structure, culture, resources, type of the nonprofit organization, are also influential on management decisions. Thus, these factors should be considered as moderators between brand orientation and managers' characteristics. In this respect, Hankinson's model (2001a) falls short to discriminate main factors effective on brand orientation and managers' characteristics. A supportive organizational culture and environmental factors should be considered as mediators in the model, in that if the culture does not support the brand orientation within an organization, in which many stakeholders are more influential compared to for-profit organizations, managers could not succeed in developing a brand orientation culture within a society. It is apparent that nonprofit organizations resources are mainly received from the donors and other stakeholders which have high impact on the organization. Stakeholders of nonprofit organizations mainly include government agencies, donors, volunteers, beneficiaries, politicians, trustees, program managers, employees, funding bodies, and etc. (Bennett & Savani, 2004). They implement a kind of pressure on the managers and their decisions, which affect managers to a great extend. Thus, the mediators should be the external environment the nonprofit organization is operating in and internal environment of the nonprofit organization.

2.4.2 Brand Orientation

I stick to the conceptual framework of brand orientation developed by Napoli (2006). In the model Napoli (2006) mentions three dimensions of brand orientation and operationalizes them successfully. The scale she used gave satisfactory results in terms of reliability and validity. The first dimension, Orchestration, evaluates an organization's capability to implement integrated marketing activities that deliver consistent brand messages to the stakeholders (both internal and external) and improve a brand portfolio that is understood by personnel. The second dimension called Interaction measures the degree to which an organization utilizes market feedback to develop and deliver superior value to stakeholders of the organization. Like for-profit organizations, one of the challenges for nonprofit organizations is to make sure that a brand remains connected to foremost stakeholders, while maintaining the core brand identity (Hankinson 2001a). The Interaction dimension indicates an organization's responsiveness to changing market conditions and societies' needs and their ability to deliver valueadded brands to their stakeholders. Satisfaction of stakeholder expectations results from an organization's ability to generate market intelligence, disseminate information to relevant organizational members and then use them to develop services and products. This dimension, Affect, measures whether an organization perceives stakeholders' brand attitudes and feelings (Ewing and Napoli, 2005).

2.4.3 Outcomes of Brand Orientation in Nonprofit Sector

Wong and Merrilees (1995) argue that a good implementation of brand-oriented strategy results in successful outcomes. Brand-oriented strategy breeds brand distinctiveness which provides a direction for planning and a guide for implementation of the strategies and programs a nonprofit develop. Organizations taking the brand the basis of corporate strategy devote themselves to develop and support values within organization in line with their mission and vision. The brand-oriented approach of organization strategy may provide organizations sustainable growth and expansion in the nonprofit sector.

In the literature, confusion seems apparent among the researchers searching performance results of nonprofit organizations. Prior researches have been listed in Table 1. It is really a complicated issue as it is still not clear how it should be measured. Unlike for-profit firms, the nonprofit organizations' output is vague and mostly difficult to observe. This topic should receive more interest from the researchers because nonprofit organizations image within the society depends on the opinion of the stakeholders about the outcomes of the nonprofit organizations. Moreover, governments, a main funder for nonprofit organizations, put a great deal of the pressure on nonprofit sector and scrutinize their activities (Poole, 2000). In essence their survival depends on resources they obtain from the stakeholders for whom trust and thus accountability defined as ''the duty to give an account'' (Schafer, 1999) is significant. Donors question about what is and what is not a 'worthy' cause. They are demanding greater transparency and more information on performance of nonprofit organizations.

The dimensions of performance were taken from Chandler and Dumont's (2010), but they are not enough to explain the comprehensive performance result of nonprofit organizations. These dimensions are goods and services, social capital, and policy impact. In addition to these, reputation and resource acquisition are included as two other dimensions. While finances and voluntary contribution are the key resource inputs for non-profit organizations, the goods and/or services produced are the key output, which indicates how efficient they are. Cutt (1982) argues that ''efficiency in the absolute sense is the only complete measure of consequential accountability – for performance in the use of scarce resources – since it addresses whether or not the program in question is worth undertaking''. Social capital – the impact an organization has on the community in which it operates – is the second key output included in this framework. It is ''a systematic analysis of the effects of an organization on its communities of interest or stakeholders'' (Quarter et. al., 2003). Raising awareness for social issues, educating the people how to overcome or deal with such issues all contribute to the social capital. Policy impact is another dimension in the model. Chandler & Dumont (2010) suggest "the significant role of policy advocacy among a significant portion of non-profit organizations, assessing the policy impact of advocacy non-profits becomes a third important output of non-profit organizations." This dimension is relevant because one the roles of the nonprofit organizations within a society is forcing the governments to act and make laws in favor of the social issues that have been neglected.

Reputation is the forth dimension of performance of nonprofit organizations. Reputation is defined "an impression of esteem or high regard judged by others" (Merriam Webster's Collegiate Dictionary, 1996). Brand orientation enhances reputation of the nonprofit organizations, which means it creates positive associations within the minds of people. This will affect the contribution level of stakeholders to the organization, which indicates that it is an output to be measured in this model. Resource acquisition is the final performance dimension in the model. While the for-profit organizations earn revenue as a result of their activities as a reward,

it is highly important for non-profit organization to receive donations and funds from the stakeholders. This will provide them to accomplish their missions, so it should be considered as a performance output.

3. Contribution

The constructs in the model have not previously been well defined in the literature, so this paper makes a conceptual contribution in further refining each of them. Another contribution of the paper is that it proposes a model (Figure) integrating all the constructs in one study in the nonprofit sector. The model establishes the nature and meaning of the constructs and causal relationships among them. Instead of theory testing, this qualitative approach emphasizes theory building. Nevertheless, the well-specified nature of the model should stimulate future quantitative researches that might test the generalisability of the relationships among the constructs mentioned, so that an applicable typology can be created. To a certain extent, the study confirms the conceptual literature that brand orientation might play a significant role in developing nonprofit organizations' activities and structures. The study also shows the relevance of branding to nonprofit organizations. It is the main aim of this paper to close the research gap of branding in nonprofit sector literature by using a case study approach to develop a brand strategy process model.

4. Conclusion

In summary, a model of nonprofit brand orientation has been proposed in this literature review. Brand orientation, antecedents of brand orientation, mediators, and performance outcomes are critical to the development of the model proposed. Previous studies mainly focused on just brand orientation or brand orientation and performance results together. None of them tested all of the constructs mentioned in this model in the same framework. The proposed nonprofit brand orientation model in this paper will be a conceptual contribution to the branding literature, in that it is more comprehensive, it realizes the effects of mediators, and it proposes to use much comprehensive performance indicators. The main aim of the study was to use these constructs to provide a model of the nature and consequences of evolution of brand orientation in nonprofit sector which requires so many researches not just in terms of brand orientation but other marketing concepts as well. Nonprofit organizations could use the framework presented here to either develop their brand or to guide a re-branding program.

The model proposes that performance will be greater for nonprofit organizations pursuing an integrated brand orientation approach. At this stage the model has internal validity using the criteria of qualitative research. However, additional cases need to be examined to test the fit of the model. Future research could embrace quantitative testing of the propositions suggested by the model in this paper. Moreover, the model is very practical and can be used as a tool to guide brand development in nonprofit sector.

References

Aaker, D.A. (1991). *Managing brand equity: Capitalizing on the value of a brand name.* New York: Free Press.

Aaker, D.A. (1996). Measuring Brand Equity Across Products and Markets. *California Management Review*, 38(3), 112.

Aaker, D.A. & Keller, K.L. (1990). Consumer Evaluations of Brand Extension. *Journal of Marketing,* 54(1), 27-43. doi:10.2307/1252171, http://dx.doi.org/10.2307/1252171

Arnold, M. J., & Tapp, S. R. (2003). Direct Marketing in Non-profit Services: Investigating the Case of the Arts Industry. *Journal of Services Marketing*, 17(2), 141-160. doi:10.1108/08876040310467916, http://dx.doi.org/10.1108/08876040310467916

Balabanis, G., Stables, R.E., & Phillips, H. C. (1997). Market Orientation in the Top 200 British Charity Organizations and Its impact on Their Performance. *European Journal of Marketing,* 31(8), 583–603. doi:10.1108/03090569710176592, http://dx.doi.org/10.1108/03090569710176592

Bennett, R. & Sargeant A. (2005). Special Section: The Nonprofit Marketing Landscape. *Journal of Business Research*, 58, 797-805. doi:10.1016/j.jbusres.2003.12.001, http://dx.doi.org/10.1016/j.jbusres.2003.12.001

Bennett, R. & Savani, S. (2004). Managing Conflict between Marketing and Other Functions within Charitable Organizations. *Leadership and Organization Development Journal*, 25(2), 180-200. doi:10.1108/1437730410521840, http://dx.doi.org/10.1108/1437730410521840

Candler, G. & Dumont, G. (2010). A Non-profit Accountability Framework. *Canadian Public Administration*. 53(2), 259–279. doi:10.1111/j.1754-7121.2010.00126.x, http://dx.doi.org/10.1111/j.1754-7121.2010.00126.x

Chan, R.Y. & Chau, A. (1998). Do Marketing-Oriented Children and Youth Centers (CYCs) Perform Better: An Exploratory Study in Hong Kong? *Journal of Professional Services Marketing,* 17(1), 15-28. doi:10.1300/J090v17n01_02, http://dx.doi.org/10.1300/J090v17n01_02

Clarksona, P., Daviesa, S., Challisa, D., Donnellyb, M., & Beechc, R. (2009). Has Social Care Performance in England improved? An Analysis of Performance Ratings Across Social Services Organizations. *Policy Studies*, 30(4), 403-422. doi:10.1080/01442870902899848, http://dx.doi.org/10.1080/01442870902899848

Cutt, J. (1982). Accountability, Efficiency, and the ''Bottom Line'' in Non-profit Organizations. *Canadian Public Administration,* 25(3), 311–31. doi:10.1111/j.1754-7121.1982.tb02078.x, http://dx.doi.org/10.1111/j.1754-7121.1982.tb02078.x

Dolnicar, S. & Randle, M. (2007). What Motivates Which Volunteers? Psychographic Heterogeneity among Volunteers in Australia. *Voluntas*, 18:135–155. doi:10.1007/s11266-007-9037-5, http://dx.doi.org/10.1007/s11266-007-9037-5

Ewing, M.T. & Napoli, J. (2005). Developing and Validating a Multidimensional Nonprofit Brand Orientation Scale. *Journal of Business Research*, 58(6), 841-853. doi:10.1016/j.jbusres.2003.09.012, http://dx.doi.org/10.1016/j.jbusres.2003.09.012

Gainer, B. & Padanyi, P. (2002). Applying the Marketing Concept to Cultural Organizations: An Empirical Study of the Relationship between Market Orientation and Performance. *International Journal of Nonprofit and Voluntary Sector Marketing,* 7(2), 182-193. doi:10.1002/nvsm.178, http://dx.doi.org/10.1002/nvsm.178

Hankinson, P. (2000). Brand Orientation in Charity Organizations: Qualitative Research into Key Charity Sectors. *International Journal of Nonprofit and Voluntary Sector Marketing*, 5(3), 207-219. doi:10.1002/nvsm.114, http://dx.doi.org/10.1002/nvsm.114

Hankinson, P. (2001a). Brand Orientation in the Charity Sector: A Framework for Discussion and Research. *International Journal of Nonprofit and Voluntary Sector Marketing,* 6(3), 231-242. doi:10.1002/nvsm.149, http://dx.doi.org/10.1002/nvsm.149

Hankinson, P. (2001b). Brand Orientation in the Top 500 Fundraising Charities in the UK. *Journal of Product & Brand Management*, 10(6), 346–360. doi:10.1108/10610420110406040, http://dx.doi.org/10.1108/10610420110406040

Hassay, D.N. & Peloza, J. (2009). Building the Charity Brand Community. *Journal of Nonprofit & Public Sector Marketing*, 21, 24–55. doi: 10.1080/10495140802111927, http://dx.doi.org/10.1080/10495140802111927

Hibbert, S. A. & Horne, S. (1995). Donation Dilemmas: A Consumer Behavior Perspective. *International Journal of Nonprofit and Voluntary Sector Marketing*, 2(3), 261–274. doi:10.1002/nvsm.6090020308, http://dx.doi.org/10.1002/nvsm.6090020308

Hou, J., Du, L., & Tian, Z. (2009). The Effects of Nonprofit Brand Equity on Individual Giving Intention: Mediating by the Selfconcept of Individual Donor. *International Journal of Nonprofit and Voluntary Sector Marketing*, 14, 215-229. doi:10.1002/nvsm.356, http://dx.doi.org/10.1002/nvsm.356

Jacobs, R.N. & Glass, D.J. (2002). Media Publicity and the Voluntary Sector: The Case of Nonprofit Organizations in New York City. *Voluntas: International Journal of Voluntary and Nonprofit Organizations*, 13(3), 235-252. doi:10.1023/A:1020337425782, http://dx.doi.org/10.1023/A:1020337425782

Kara, A., Spillan, J.E., & DeShields, O.W. Jr. (2004). An Empirical Investigation of the Link between Market Orientation and Business Performance in Non-Profit Service Providers. *Journal of Marketing Theory- and Practice*, 12(2), 59-72.

Keller, K.L. (2003). *Strategic brand management: Building, measuring and managing brand equity*, (2nd ed.). Englewood Cliffs, NJ: Prentice-Hall.

Liao, M.N., Foreman, S., & Sargeant, A. (2001). Market versus Societal Orientation in the Nonprofit Context. *International Journal of Nonprofit and Voluntary Sector Marketing*, 6(3), 260. doi:10.1002/nvsm.151, http://dx.doi.org/10.1002/nvsm.151

Laidler-Kylander, N. & Simonin, B. (2009). How International Nonprofits Build Brand Equity. *International Journal of Nonprofit and Voluntary Sector Marketing*, 14, 57-69. doi:10.1002/nvsm.353, http://dx.doi.org/10.1002/nvsm.353

Merriam Webster's Collegiate Dictionary. (1996). (10th ed.). Springfield, MA: Merriam Webster, Inc.

Napoli, J. (2006). The Impact of Nonprofit Brand Orientation on Organizational Performance. *Journal of Marketing Management*, 22, 673-694. doi:10.1362/026725706778612176, http://dx.doi.org/10.1362/026725706778612176

Poole, D.L., Nelson, J., Carnahan, S., Chepenik, N.G., & Tubiak, C. (2000). Evaluating Performance Measurement Systems in Nonprofit Agencies: The Program Accountability Quality Scale (PAQS). *American Journal of Evaluation*, 21(1), 15–26. doi:10.1177/109821400002100102, http://dx.doi.org/10.1177/109821400002100102

Quarter, J., Mook, L., & Richmond, B. (2003). *What Counts: Social Accounting for Nonprofits and Cooperatives*. Englewood Cliffs, N.J.: Prentice Hall.

Schafer, A. (1999). A Wink and a Nod: A Conceptual Map of Responsibility and Accountability in Bureaucratic Organizations. *Canadian Public Administration*, 42(1), 5–25. doi:10.1111/j.1754-7121.1999.tb01545.x, http://dx.doi.org/10.1111/j.1754-7121.1999.tb01545.x

Urde, M. (1994). Brand Orientation-A Strategy for Survival. *The Journal of Consumer Marketing,* 11(3), 18-33. doi:10.1108/07363769410065445, http://dx.doi.org/10.1108/07363769410065445

Urde, M. (1999). Brand Orientation: A Mindset for Building Brands into Strategic Resources. *Journal of Marketing Management*, 15, 117–133. doi:10.1362/026725799784870504, http://dx.doi.org/10.1362/026725799784870504

Voeth, M. & Herbst, U. (2008). The Concept of Brand Personality as an Instrument for Advanced Non-Profit Branding- An Empirical Analysis. *Journal of Nonprofit & Public Sector Marketing*, 19(1), 71-97. doi:10.I300/J054vl9n01 04, http://dx.doi.org/10.I300/J054vl9n01 04

Voss, G.B. & Voss, Z.G. (2000). Strategic Orientation and Firm Performance in an Artistic Environment. *Journal of Marketing*, 64(1), 67−83. doi:10.1509/jmkg.64.1.67.I7993, http://dx.doi.org/10.1509/jmkg.64.1.67.I7993

Wiepking, P. (2007). The Philanthropic Poor: In Search of Explanations for the Relative Generosity of Lower Income Households. *Voluntas*, 18, 339–358. doi:10.1007/s11266-007-9049-1, http://dx.doi.org/10.1007/s11266-007-9049-1

Wong, H.Y. & Merrilees, B. (2005). A Brand Orientation Typology for SMEs: A Case Research Approach. *Journal of Product & Brand Management*, 14(3), 155–162. doi:10.1108/10610420510601021, http://dx.doi.org/10.1108/10610420510601021

Table 1. Review of the Literature on Organizational Performance in NPOs

Study	Performance measurements
Balabanis, Stables & Phillips (1997) 200 British Charity organizations	Achievement of short-term objectives Achievement of long-term objectives Expenses to donor contribution ratio Variation in ratio Number of volunteers Variation in volunteers
Chan & Chau (1998) Children and youth centers at Hong Kong	Overall satisfaction Members currently registered in the center Financial subsidy received Number of paid staff
Voss & Voss (2000) U.S. Nonprofit theaters	Managers' perceptions of subscription sales, single ticket sales, and financial performance compared to peer organs Subscriber attendance Single ticket attendance Total income Net surplus/deficit
Gainer & Padanyi (2002) Canadian art and culture organizations	Managers' perceptions of customer satisfaction. Resource acquisition and Reputation among sector peers compared to five years ago
Kara, Spillan & DeShields (2004) Diverse NPOs across the U.S.	Fundraising performance derived from 3 measures: continuous analysis of funding

|	
	proposal to funding sources periodic fundraising
Padanyi & Gainer (2004) Social services, arts and culture and community support subsectors in Canada	Clients:(same factors as in Gainer & Padanyi, 2002) Government funders Growth in resources Growth in reputation
Source: Duque-Zuluaga (2008)	
Hankinson (2001) Brand orientation in charity sector	Developing a strong brand Successful fulfillment of organizational objective Inclusive organizational culture
Arnold & Tapp (2003) Nonprofit in art industry	Sales performance Fundraising performance Season-ticket revenue as a percentage of total revenue
Griggs (2003) Strategic planning in disabled-based nonprofit organizations	Index of organizational effectiveness (Mott, 1972) Productivity Adaptability Flexibility
Seymour et. al. (2006) Market orientation in charities	Same as Balabanis and Stables (1997)
Napoli (2006) Brand orientation and performance	Achieving short term objectives Achieving long term objective
Poole et. al. (2006) Performance measurement systems in nonprofit organizations	Resources, Activities, Outputs, Outcomes, Goals, Indicators, Evaluation program
Duque-Zuluaga (2008) Market orientation and performance	Beneficiary or recipient response Financial flexibility and resource acquisition Volunteer and employee satisfaction Responsiveness assessment Long-term outcomes Program outputs and intermediate term outcomes Organizational efficiency
Clarkson et. al. (2009) Social service organizations	summary measures ('star' ratings)
Candler & Dumont, 2010 Nonprofit accountability	Goods and services Policy impact Social capital
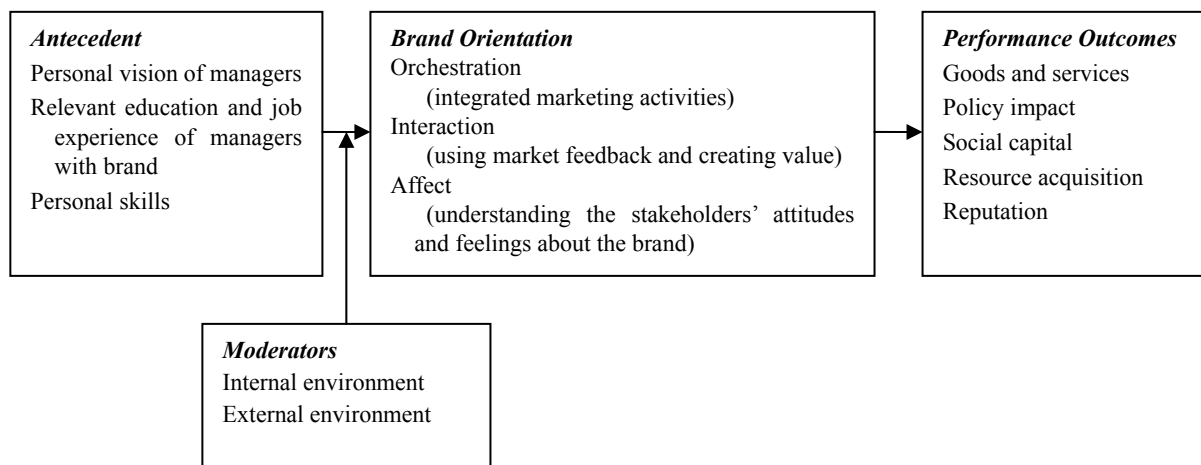
Figure 1. Proposed Model

Study on Construction of Cultural Capital among Entrepreneurs

Lei Xu

Ph.D. Student, Jilin University

& School of Marxism, Changchun University of Science and Technology

Changchun 130022, China

E-mail: xl@cust.edu.cn

Shuo Song

International Education College, Jilin Agricultural University

Changchun 130118, China

Abstract

Culture of entrepreneurs is also a sort of capital, which has a direct effect on development of enterprises in the process of economic operation of enterprises. Construction of cultural capital among entrepreneurs helps to enhance the overall competitive strength of Chinese enterprises in international society and helps to push forward development of the economic society. Due to historical reasons, construction of cultural capital among entrepreneurs in China is, to some extent, weak and should strengthen cultivation from the three aspects of enhancing comprehensive quality of entrepreneurs, their consciousness of obligation and consciousness of innovation at present.

Keywords: Culture of entrepreneurs, Cultural capital of entrepreneurs

1. Connotation of cultural capital among entrepreneurs

Construction of cultural capital of entrepreneurs is a critical aspect that concerns about how much space an enterprise has in terms of survival and development. Culture of entrepreneurs is directly and closely connected with economic benefit of enterprises. New international and domestic economic backgrounds have proposed brand-new subjects to construction of cultural capital among entrepreneurs in China. Therefore, only if construction of cultural capital among entrepreneurs continues to be updated and escalated fundamentally, can we guarantee that our enterprises increase their competitive strength in the international society and promote orderly, healthy and harmonious development of the society and economy. Culture of entrepreneurs is a sort of peculiar corporate cultural phenomenon and is the integration of cultural quality, innovative capacity, management concept and operation principles of corporate management personnel. Culture of entrepreneurs is also a sort of capital and is the most important non-economic element for economic growth of enterprises, with a function that can't be ignored in economic running.

With development and progress of economics and society, the concept of capital has been continuously extended and enriched and the forms and content of capital are also various, not only including material capital and monetary capital in the simple sense, but also widely extended in meaning as human capital. Culture of entrepreneurs is also a sort of human capital, which runs through the entire operation process of an enterprise, reflects anticipated value in the economic activities of an enterprise and creates more social wealth. Culture of entrepreneurs is an individual cultural phenomenon in the great social and cultural system, and has distinct individualized features. Cultural capital of entrepreneurs is always reflected through particular entrepreneur individuals. Cultural capital of entrepreneurs is crystallization of brainwork of entrepreneurs. In the long term process of growth of entrepreneurs, the accumulation process of their comprehensive capacity ultimately forms the sum of cultural capital of entrepreneurs. Cultural capital of entrepreneurs reflects the personal charm of entrepreneurs. In the mean time, under definite circumstance, value of cultural capital of entrepreneurs is also gradually highlighted with development of individual development.

2. An analysis of the current condition of cultural capital construction among entrepreneurs

On one hand, ever since the reform and opening up in China, quite a lot of state-owned enterprises and private economy have been rapidly developed. However, as a result of historical reasons, cultural construction among entrepreneurs has not formed an effective management mode. The prominent characteristics of culture among entrepreneurs are that, the operation and management ideas of modern enterprises lag behind, the overall knowledge and cultural quality of entrepreneurs is not high and their consciousness of conservation is quite strong, which all seriously constrains the overall development level of the team of entrepreneurs. It should be mentioned, entrepreneurs in quite a large number of large and medium-sized state-owned enterprises obviously have the phenomenon of weak cultural capital construction in the process of transition of enterprises and in the process of reform. These enterprises not only are lacking in modernized corporate management ideas, but also are unable to adapt to the objective development requirements of modern modernized market economy in terms of property rights reform theory and in other practical activities. In addition, so far as private-owned enterprises, quite a lot of private entrepreneurs have grown up in traditional family enterprises, so many of them haven't received relevant training about professional corporate management and have great difficulty in terms of cultivation of cultural capital among entrepreneurs. However, a batch of farmer entrepreneurs have also emerged among the Chinese farmers who account for a large proportion of population in China in the process of urbanization. As for farmer entrepreneurs, construction of culture among entrepreneurs seems especially urgent.

On the other hand, construction of cultural capital among entrepreneurs in China is far behind the developed countries, such as US and Japan, etc. Ever since the reform and opening up in China, culture of entrepreneurs still has not been widely accepted by the society, and quite a lot of entrepreneurs only start out from profit making of enterprises, but ignore development of culture of entrepreneurs. From the perspective of the entire society, the whole society has, so far, not totally built a great environment that is helpful for construction of cultural capital among entrepreneurs. The issues of rules and regulations on corporate management, reform of state-owned enterprises, incentive system of entrepreneurs and property right system in China have not been fundamentally resolved, which also restrains development of cultural capital among entrepreneurs. Only if entrepreneurs depend on a benign economic running mode on the basis of sufficient development of the market and continuously explore practice, can they form a sort of culture that belongs to entrepreneurs themselves in the process of management of the enterprises. Then, culture of entrepreneurs can be escalated consciously to an invisible capital and ultimately forms cultural capital of entrepreneurs, implanting to each process of corporate management as a sort of soft culture.

3. Solutions to strengthen construction of cultural capital of entrepreneurs

3.1 To enhance comprehensive quality of entrepreneurs

Fundamentally speaking, construction of cultural capital among entrepreneurs should be based on comprehensive quality of entrepreneurs since it is the necessary condition for construction of cultural capital among entrepreneurs. Comprehensive quality of entrepreneurs includes cultural quality and management quality. Cultural quality includes political quality of entrepreneurs, namely, grasp of the national policy and strategy as well as the overall economic running condition of the international society. Psychological quality refers to emergency of entrepreneurs and grasp of corporate risk consciousness. Cultural education quality refers to degree of higher education among entrepreneurs. Management quality mainly refers to the professional skills of entrepreneurs. It is true that entrepreneurs are unable to be proficient with all affairs, but modern enterprises have to have knowledge in market, finance, capital running, personnel management and capital risk management, etc. As the pioneers of state-owned pillar industry, entrepreneurs of state-owned enterprises should combine the reality of China, strengthen more the modernized management and operation ideas, change concepts and make state-owned enterprises adapt to the development rules of modernized market economy. As the pioneer of Haier Group, Zhang Ruimin not only is familiar with professional knowledge in electrical appliance, but is also proficient in Chinese traditional culture. It is exactly owing to the excellent entrepreneur that the brand of Haier had a value of 63.7 billion RMB Yuan as early as 2007 and has been ranked the first among all electronic and information enterprises in China. Likewise, as for private entrepreneurs, since they are affected by the management mode of traditional family enterprises, they should more walk out the traditional family management, break through old concepts and out-dated modes and lead the enterprises to walk towards a modernized management path.

3.2 To enhance consciousness of responsibility among entrepreneurs

Implementation of scientific outlook on development and the times requirement to construct a harmonious socialist society both have proposed new demands on enterprises to perform their social responsibilities and on

quality of entrepreneurs. Boosting development of China economy clamors for joined efforts of entrepreneurs. Formation of culture of entrepreneurs should be established in the long term development goal of enterprises, the country and the nation. The era clamors for excellent culture of entrepreneurs. This requires formation of entrepreneurs' culture to further take into consideration responsibilities in terms of operation with credit, environmental protection and maintenance of social public welfare. Meanwhile, this calls for higher expectations on entrepreneurs in terms of the consciousness of rule by law and moral accomplishment, consciousness of environmental protection and operation principle, spiritual state and team leadership, social participation and social influences, etc. Construction of cultural capital among entrepreneurs ought to let entrepreneurs' culture inherit the traditional culture of Chinese nation. Culture of entrepreneurs can't break away from the culture of the entire nation, and it is necessarily part of the national culture. dating back to the traditional culture of China, we can find that the theory of Confucian entrepreneurs has been existing early on. The so-called Confucian entrepreneurs refer to those who undertake commercial activities, especially entrepreneurs. Although what they participate in is a sort of economic activity, they do not work exclusively for profit and worship the golden calf. These people have strong sense of social responsibility and have higher cultural level and rational cultural structure. Especially, they have profound comprehension in the traditional culture of China. Adam Smith, Founder of economics, also explain that entrepreneurs are not merely "economic men", and are simultaneous "social men". The two should be unified. In his works, he also doesn't exclude role of ethics in the market economy. At a new era, construction of culture capital among entrepreneurs still needs to vigorously strengthen the consciousness of social responsibility of entrepreneurs. Entrepreneurs should carefully carry out the policies and strategies of the country and show concern for the society, since "blood of morality flows on entrepreneurs". After the 5.12 Wenchuan earthquake, it was discovered that quite a large number of entrepreneurs took an initiative in lending a helping hand and participated in the action of earthquake relief work. When the country and the society needs them, they can give returns to the society and assume due social responsibilities.

With requirement of social development in China, new demands of the times are proposed on culture capital of entrepreneurs. It is also an important aspect to develop circular economy in the future for entrepreneurs to enhance the consciousness of environmental responsibility from the perspective of management. Today, quite a lot of countries all over the world are positively exploring the mode to develop circular economy. Generally speaking, the circular economy advocates an economic development mode that is harmonious with the environment, increases the maximum utilization rate of resources, persists in the 3R principles (reduction, reuse and recycle), protects ecological environment and pushes forward sustainable development of economic society. Vigorous development of the circular economy is a significant strategy for development of economy and the society. It is definitely pointed out in "Central Party Committee's suggestions on the 12th five-year-plan for national economy and social development" that was approved in the Fifth Plenary Session of the Seventeenth Central Committee, we should vigorously develop circular economy, speed up construction of resource conserving and environmentally friendly society, and enhance ecological and civilization level, for which entrepreneurs ought to take the responsibility of environmental protection. Development of enterprises should comply with harmonious development of the society and the environment and with the overall requirement of development of the circular economy. Of course, entrepreneurs ought to have good environmental protection consciousness, conserve resources, reduce pollution and develop a circular economy mode of low consumption and less discharge.

However, we can also find out some entrepreneurs are lacking in social responsibility and have also brought about negative influences to the society. The dairy products incident which has received most attention is an obvious example. Usually, behaviors of entrepreneurs may exert a decisive influence upon development of enterprises. Only if entrepreneurs operate an enterprise with honesty and credit as well as lofty personality charm, can they acquire enormous economic benefits.

3.3 To enhance consciousness of innovation among entrepreneurs

Consciousness of innovation is the central constituent element for culture capital of entrepreneurs. A general survey of undertaking processes of all successful entrepreneurs all over the world, it can be found that the idea of innovation always accompanies. The Economist, Schumpeter, proposed for the first time in his "The Theory of Economic Development" the idea that "innovation" is the "source power" for development of capitalistic economy. He defined innovation as entrepreneurship and escalated competition mechanism to innovation mechanism. Peter Drucker, the contemporary US management master, ever said, innovation is an instrument held by entrepreneurs and they resort to this instrument to pioneer all changes in the society to opportunities to perform different undertakings or services. In the Top 500 Global corporations in "Fortune", there are only 15 enterprises in the mainland China. In the more and more fierce global competition, such foreign brands as Coca

Cola and Mcdonald's are glutting around us. What we are in need of are entrepreneurs with the consciousness of innovation to build an international brand of China, to create patent of the enterprises and to really realize rejuvenating the country through science and technology.

The consciousness of innovation among entrepreneurs is in proportion to the benefits of the enterprises. Only more innovative ideas are presented in the cultural value deposits of entrepreneurs, can the enterprises have greater developmental potential. The consciousness of innovation of entrepreneurs mainly includes the following four aspects. In the first place, innovation which originates from products and service. As for industrial enterprises, only if they target at definite consumption groups and pioneer characteristic products with excellent quality, can they obtain a tiny space in competition in the market. Nowadays, choice of consumers varies greatly and how to acquire favor of customers for the products from the multitude of commodities should not only rest with products with high quality, but should also take into consideration the assorted subsequent service which is an important element. As invisible capital, the service of products offered by the enterprises can also add to more jetton for development of enterprises in the future. In the second place, innovation which originates from marketing channels. With popularization of information and network technology, the traditional marketing channels can no longer fit with the marketing level of enterprises. Such new marketing ideas as network marketing and TV marketing have silently mapped into the vision of people. Under the new marketing mode, enterprises have to develop various marketing competitions according to features of their enterprises and their products so as to push forward their products to the market up to the hilt. In the third place, innovation originating from organization and management. Innovative capacity of entrepreneurs is also reflected in their organization and management of the entire enterprises, such as innovation of human resource management, innovation of institution management and budget of the finance, etc. There is nothing eternal in the world and different stages of development require entrepreneurs to make a sensible decision and to really and thoroughly integrate the idea of innovation into organization and management of the enterprises. In the fourth place, innovation should also avoid risks. Innovation co-exists with risks. Innovation always means certain risks, which requires entrepreneurs to be good at effectively controlling risks in practice before they carry out a decision-making of innovation.

References

Joseph Schumpeter. (1990). *The Theory of Economic Development.* The Commercial Press.

Liao, Xiaoping. (1999). *Charm of Modern Confucian Entrepreneurs.* Haichao Publishing House.

Peter Drucker. (1987). *Entrepreneurs and Innovation.* Nanning: Guangxi People's Publishing House.

Wang, Liyan, Yin, Chunyan & Li, Weigang. (1997). An Analysis of Survey on Entrepreneurs' Environmental Concept and Environmental Management. *Economic Science*.

Yuan, Zhiyong. (2003). *Innovation Behavior and Innovation Obstacle.* Shanghai: Joint Publishing Company.

Zhang, Weiying. (1995). *Entrepreneurs of Enterprises --- Contract Theory*. Shanghai: Joint Publishing Company.

Research on Chinese Real Estate Development and the Future Trends

Zilei Liu

MBA Center, Business School, University of Shanghai for Science and Technology

Shanghai 200093, China

Li Chen (Corresponding author)

MBA Center, Business school, University of Shanghai for Science and Technology

Shanghai 200093, China

E-mail: i5_usst@126.com

Abstract

After nearly 20 years' development, Chinese real estate industry shows the evidence of increasing both in scale and price. But resent years, China citizens began to complain more about the high price of housing, and government also pays more attention to the real estate industry. This article first analyzes the Chinese real estate development in recent years, and then based on the life cycle theory, the paper discusses Chinese real estate's stage in the life cycle as well as the problems in this stage, at the end of the paper, the future trends of Chinese real estate are predicted.

Keywords: China, Real estate, Life cycle, Trend

1. Introduction

Real estate industry includes the investment, development, operation, management, and service in the real estate and belong to the 3rd industry. Usually, real estate industry in China is looked as a basic, guiding, driving and risking industry. As a very fundamental industry, real estate industry plays a very important role not only in a country's economic life but also in people's daily life, thus attract many research interests. Kaklauskas (2011) gives comparative description of crisis management for real estate in developed countries, and makes general recommendations for improving crisis management efficiencies in these countries' real estate sector, also tries to give multiple criteria analysis of crisis management components and selection of the most efficient life cycle version of crisis management in real estate. Wang (2011) points out that China's major cities have experienced significant real estate price increase which has been fueled by the sustained growth of the economic fundamentals, the author examined the linkage between urban economic openness, the ratio of trade volume as a percentage of GDP, and urban real estate prices basing on the quality of life theory as well as Balassa–Samuelson (B–S) effects. Liow and Webb (2009) investigate the presence of common factors in the securitized real estate markets of the United States (US), United Kingdom (UK), Hong Kong (HK), and Singapore (SG). The authors found that the degree of linkage across the four securitized real estate markets is much weaker than the strong linkages present across the four economies. These studies show only a fraction of the research in real estate field. Aizenman and Jinjarak (2011) studies the association between current account and real estate valuation across countries, and they found find a robust and strong positive association between current account deficits and the appreciation of the real estate prices/(GDP deflator).

And when it comes to China, due to its fast and amazing developing, it seems people are more interested in how it will develop in the future: China real estate began to rise in the 1980s', and since the market-oriented housing reform in 1998, urban real estate prices in China have risen quite rapidly in general. Koetter and Poghosyan (2010) discussed that real estate prices can deviate from their fundamental value due to rigid supply, heterogeneity in quality, and various market imperfections, which have two contrasting effects on bank stability. Their research found that house price deviations contribute to bank instability. This finding corroborates the importance of deviations from the fundamental value of real estate, rather than just price levels or changes alone, when assessing bank stability.

Under the China's active fiscal policy, the fixed asset investment grows rapidly and the ratio of real estate investment in GDP increased gradually. Accompany with the quick development, the scale and price of real estate in China also experienced rapidly grow. In order to cool down the whole market and keep the price in a reasonable increase rate, the Chinese government issued a series of policies in 2010. Under this macro environment, the development of China's real estate industry and it's future trends analysis is not only concerned by consumers and government, but also be concerned by many scholars and real estate business company. This paper will first describes the resent status of Chinese real estate, and then based on the life-cycle theory and China static to give a prediction of the future trends.

2. Today's Chinese real estate development status

According to the data published by China National Bureau of Statistics, all of the indicators of China's real estate in 2010 show increase. In 2010, the Chinese national real estate development investment is 4.8267 trillion RMB, increased 33.2% over 2009, among which, the commercial residential investment is 3.4038 trillion RMB and this number increased 32.9% over 2009. At the same time, the proportion of total investment in real estate development is 70.5%. In 2010, the business construction area is 4.055 billion M2, increased 26.6% over 2009, and new construction area is 1.638 billion M2, which also increased 40.7% over 2009. Completed space of houses is 760 million M2, increased 4.5% over 2009, among which, the residential area is 612 million M2, increased 2.7%. Over 2009.

Table 1 shows the sales of China's real estate in 2010, and Figure 1 shows the real estate climate index from January 2009 to December 2010.

The investment in affordable housing in 2010 is around 840 billion RMB and the growth rate of investment in real estate development was driven by about 5%. In 2011, 10 million new affordable housing units construction are under planning and 60% is expected to be completed by the end of 2011. If calculation of the average 60 square meters for each affordable house, the new affordable housing will be completed in an area of approximately 3.6 billion square meters. Thus it's estimated that about 1.3 trillion RMB affordable housing will be completed in 2011, which will boost real estate development investment increased by about 10%, and boosting China GDP growth by 1%.

3. Chinese real estate life-cycle position and the main problems

The life cycle can be used to observe the behavior of many concepts in business; it is best applied to products and industries. Industry Lifecycle is a concept relating to the different stages an industry will go through, from the first product entry to its eventual decline. There are typically four stages in the industry lifecycle (figure 2). And the first stage can also be divided into early stage and innovation stage.

The stages are defined as:

(1) Early Stages Phase-alternative product design and positioning, establishing the range and boundaries of the industry itself.

(2) Innovation Phase - Product innovation declines, process innovation begins and a "dominant design" will arrive.

(3) Growth (Cost or Shakeout) Phase - Companies settle on the "dominant design"; economies of scale are achieved, forcing smaller players to be acquired or exit altogether. Barriers to entry become very high, as large-scale consolidation occurs.

(4) Maturity Phase - Growth is no longer the main focus, market share and cash flow become the primary goals of the companies left in the space.

(5) Decline Phase Revenues declining; the industry as a whole may be supplanted by a new one.

Now, the Chinese real estate is experiencing the development from begin phase to the growth phase, due to the following reasons:

(1). The Chinese citizens are consuming the real estate product in growing numbers;

(2). More and more real estate companies enter into the market, race to offer their own products and gain a share of a growing market.

(3). Total sales and profits continue to grow in the Chinese real estate industry.

Though it looks very promising, but there are still some problems exist in China real estate industry in this development stage, we analysis and include these problems as the following 4 main parts:

Continues expanding of the real estate investment. Real estate investment proportion in the total social fixed assets investment increased year by year. In 1999, the real estate investment amounted is around 401.017 billion RMB, and the number reached 4.8267 trillion RMB by 2010, with an average growth of 400 billion RMB per year. At the same time, the ratio of real estate development investment in GDP also increased year by year.

Rapid growth in developing size. The China national real estate construction area in 2010 reach to 4.055 billion square meters, compare with the 568.58 million square meters in 1999, it increased nearly 40 million square meters, an average increase of 300 million square meters per year. And the scale of real estate development also expand gradually, the indicators of real estate development growth is more than 10%, and the highest rate close to 30%.

Regional differences in market size and growth rate, both in completed construction area and under construction area, the east of China has a large proportion, while the central of China has leading position in the growth rate (except sales). At the same time, there are regional differences in the level of urban residents living.

Continuous high price. Recently, the Chinese real estate market shows a "three high" phenomena: High prices, high enthusiasm of residents purchase and high disposable income. In China , the price of live house in 2004 was 2,714 RMB / square meter, but in 2010, the price climbed to 8363 RMB / square meter, the high prices of live house caused many concerns for both residents and government.

4. Trends and Countermeasures

After nearly 20 years' development, Chinese real estate has made great achievements, look back this 20 years' development, we can find the following characters:

- China real estate industry is gradually moving toward market-oriented.
- The real estate and capital markets are linked closer.
- China real estate moves into a rapid developing and rapid growth period.
- China's Real Estate's policy is under gradually improving.

With China's accession to WTO, China's real estate market will follow the international practice and open to other WTO member countries according to the multilateral negotiations of the commitments. China's real estate market will be further developed, and the trends are mainly in the following areas:

With the accelerated urbanization process and urban population increases, a large number of house renovation and real estate secondary market, the housing market still has more room for development.

Given the urban population will have more 10 square per person, it will cause to nearly 40 million square meters demanding. Coupled with the accelerated process of urbanization, which will increase the demand for housing (about 100 million square meters per year), thus in the next 10 years, China will has a sustained development in housing construction.

According to some agencies' survey, the satisfaction rate of China residents' in housing is under 20%, about 48% of the residents are willing to update their house in the coming 2 to 3 years to improve the living conditions and environment, plus there are a lot of people willing to invest in housing, therefore, the potential demand for housing in China is still quite large.

After joining WTO, China's real estate market increasingly changed form group consumer dominated to individual consumers dominated. The proportion of individuals purchase will increase, the housing quality will be further improved, the sales cycle will speed up, housing service consumption will have a greater expansion, the total amount of personal loans in housing will increase, and the real estate law will be strengthened.

5. Conclusion

From the preceding data and analysis, we can see that the Chinese real estate market has experienced the stage of germination and rapid development, and now it is still in its growing stage.

With the improvement of national policies and more matured consumption, the Chinese real estate development will enter a relatively mature stage of development, it means the market is beginning to become very competitive, and the the competition for customers becomes fierce. On the other hand, under the guidance of national policy, to purchase for the purpose of real estate investment would be reduced. These two factors will help the real estate prices to return to a reasonable level.

But since the China citizen's rigid requirements for house still exist, Chinese real estate will enter a more competitive yet still promising phase. And only those companies who pay much attention to the government

policy and customer needs can stay in the market.

References

A. Kaklauskas, L. Kelpsiene, E.K. & Zavadskas, etc. (2011). Crisis management in construction and real estate: Conceptual modeling at the micro-, meso- and macro-levels. *Land Use Policy,* Vol. 28, Issue 1, 280-293. doi:10.1016/j.landusepol.2010.06.008, http://dx.doi.org/10.1016/j.landusepol.2010.06.008

China National Bureau of Statistics. [Online] Available: http://www.stats.gov.cn.

Fan, Guang-yin. (2010). Models and Methods of the Macro-analysis of China's Real Estate Policy. *Journal of Tongji University* (Social Science Section), 2010-01-19.

Huang, Yan, Yang, Zhenbin & Meng Fancun. (2006). New policy for real estate dealing with the real estate development. *China Housing Facilities,* 2006-06-04.

Joshua Aizenman & Yothin Jinjarak. (2009). Current account patterns and national real estate markets. *Journal of Urban Economics*, Vol. 66, Issue 2, 75-89. doi:10.1016/j.jue.2009.05.002, http://dx.doi.org/10.1016/j.jue.2009.05.002

Kim Hiang Liow &James R. Webb. (2009). Common factors in international securitized real estate markets. *Review of Financial Economics,* Vol. 18, Issue 2, 80-89. doi:10.1016/j.rfe.2008.05.002, http://dx.doi.org/10.1016/j.rfe.2008.05.002

Michael Koetter & Tigran Poghosyan. (2010). Real estate prices and bank stability. *Journal of Banking & Finance*, Vol. 34, Issue 6,1129-1138. doi:10.1016/j.jbankfin.2009.11.010, http://dx.doi.org/10.1016/j.jbankfin.2009.11.010

Wang, Songtao, etc. (2007). Research on the Factors Influencing Real Estate Investment Level. *Construction Economy,* 2007-08-03.

Wang, Songtao, Yang, Zan & Liu, Hongyu. (2011). Impact of urban economic openness on real estate prices: Evidence from thirty-five cities in China. *China Economic Review*, Vol. 22, Issue 1, 42-54. doi:10.1016/j.chieco.2010.08.007, http://dx.doi.org/10.1016/j.chieco.2010.08.007

Yang, Xu & Wang, Laihua. (2011). The Impact of Real Estate Credit on the Real Estate Market. *Journal of Regional Financial Research*, 2011-02-08.

Zhang, Yong-yue. (2007). On the Real Estate Development in the Transitional Period of China. *Contemporary Finance & Economics,* 2007-08-16.

Table 1. China's real estate sales in 2010

	Sales area (Million square meters)	Sales area growth (%)	Sales (Billion)	Sales growth (%)
Total	104349.11	10.1	5247.872	18.3

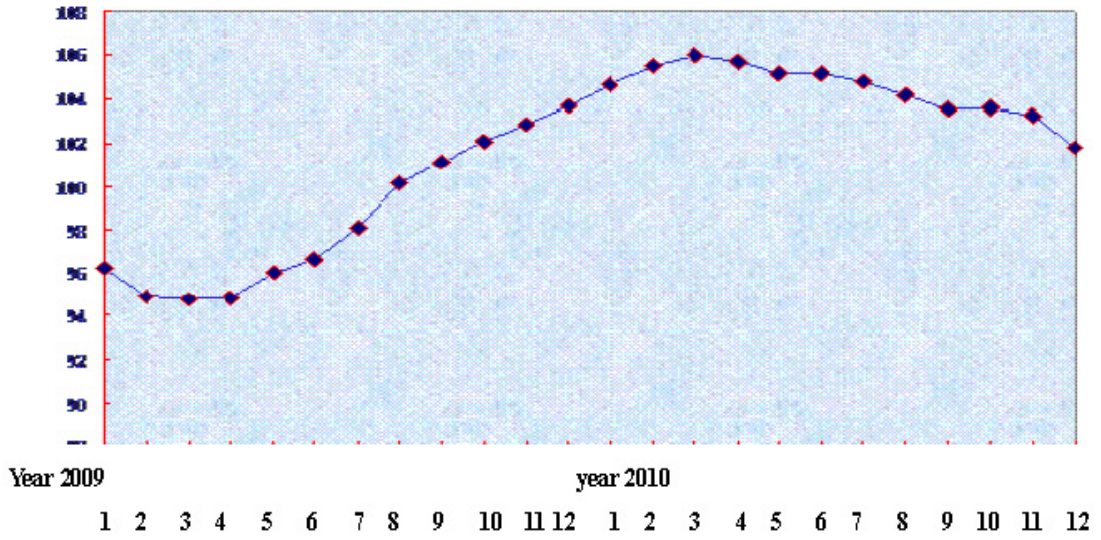Table 1 shows the sales of China's real estate in 2010

Figure 1. China's national real estate climate index (2009~2010)

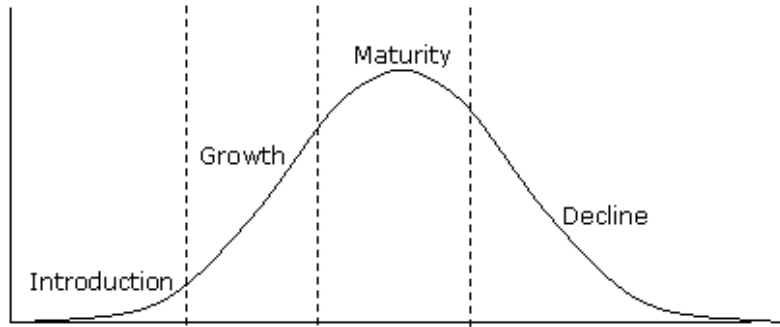Figure 1 shows the real estate climate index from January 2009 to December 2010

Figure 2. Stages of Industry Lifecycle

The Study of the Effects of Educational Judo Practices on Motor Abilities of 7-12 Years Aged Judo Performing Children

Şengül Demiral, PhD.

High Performance Planning Coordinator of Turkish Judo Federation

Education Committee Member of Turkish Judo Federation

& Junior Women's National Team Coach of Turkish Judo Federation- Edirne, Turkey

E-mail: judo_edirne22@hotmail.com

Abstract

In this study, the impacts of educational judo practices on motor abilities of judo performing 7–12 years aged children have been studied. Experimental and control groups have been started with n=40 judoka number for the study. and the study has been completed with n=38 judoka number for the experimental gruop and n=31 judoka (Note 1) number for the control groups. This study was run during the twelve months. At the begining and end of this work, anthropometric measures of the experimental group and control group and application of static and dinamic balances, coordinations, celerities, long jumping, ball launching, claw-back forces, speed tests have been applied and pre-test and re-test results have been taken. After the reorder and grouping of mesaurement parameters and introduction forms, all the data has been scoped out on SPSS for Windows (ver. 14). Arithmetic average and standard deviation of parameters have been analyzed. According to the data acquired from the research comparison between pre-test and re-test of the experimental gruop, comparison between pre-test and re-test of the control group, comparison between the pre-tests of the experimental and control groups, comparison between the re-tests of the experimental and control groups, comparison between the pre-tests of the experimental and control groups and one-sided variant analysis of re-tests of the experimental and control groups have been realized. Between the parameters of Test and Control groups, $p<0.05$ and $p<0.01$ level differences are tried to be detected. Finally, male judokas of the experimental group's static balance, celerity, claw force and back power parameters has been found different at $p<0.05$ level and quite at $p<0.01$ quite different when compared to control group and these educational Judo games are highly contributive to the development motor skills. Female judokas of the experimental group's static balance, celerity, claw force and back power parameters has been found different at $p<0.05$ level and quite at $p<0.01$ quite different when compared to control group and these educational Judo games are highly contributive to the development motor skills. As a result of this study we can say that static and dynamic balance, quickness, hand grip and back strength, coordination, speed parameters of the male and female judokas' have developed. Considering these parameters usage of Judo educational games,which are accelerating the development of basic motor skills of 7-12 years aged children,in courses by arrangement can be suggested.

Keywords: Balance, Coordination, Educational game, Judo, Skill

1. Introduction

The game is the most direct, easiest, most meaningful way in which the child is able to express himself. Child provides his physical, cognitive, sensory and social development by game. Shortly the game is a life-learning tool for children and all living organisms. But learning is long-term permanent change which emerges due to the behavior and knowledge individual has had in life. This changes occurs as a result to the experiences the individual has had (Ataman 2004, s.18).

The game is an event which affects all the positive development of the child (psycho-motor, emotional, social, cognitive and language) that perform their imagination, refers the child to creativity and also gives the child the joy and excitement. Game which remains valid for people of all ages, is an indispensable amusement source for children. With a nice amusement environment the development of speech, motor, cognitive and social skills of the children increases unconsciously. The game which has a major role in a normal child's life also has such a major importance in a handicapped child's education (Bayazıt 2006, s.78-80).

Studies in the field of child development not only inform about the development condition and direction but also represent scientific informations about how and what will be taught. Movement is one of the most important factors that contribute to child development. Children love moving. Movement is a part of the child's life from the beginning of the birth. Children feel excitement and happiness while while movement.So there are so many reasons to support the children's movement oppurtunities. It is declared that real learning and growth occurs at the time of movement (Huı-Tzu 2003, s.1).

One of the forms in which movement education training performed is Sport. Sport is a tool that provides the phsycal, mental, emotional and social development and improves intelligence, skill and leadership skills of the child. Major objective of the child's sport should be to raise cardiovascular endurance and to develop neuromuscular coordination, power and flexibility. These features can be entitled to the pre-school and primary education children in the form of game by pedagogical approachment (Mengütay 2006, s.114).

One of the sports that children's cognitive, sensitive and motor development gained is "Judo". Judo sutains the characteristic features of desert civilization as a Central Asia origined combat and mental system. Bowdlerized from weapon and brute, this sport is a combat art which is predicated on functional intelligence, rapid succession, discern as mental and phsycally reflection of all the body power to the target point (Brousse and Matsumoto, 1999, s.7-10)

Judo is a great branch of combat sport which requires great mental and phsycal skill. As a literal meaning of word; Judo means; JU: softness, flexibility, gentility, delicacy, agility. DO:method,principle, thinking (Demiral 2007, s. 14-15).

Judo is a sport that requires high-level skill. Development of the analytic functions quick perception and movement quality are the specific features that are expected from the athletes. In addition, the decisions in the case of a complex play of the athletes depends on their sensing external stimuli characteristics. Levels of Quick thinking and interpreting are the factors that helps the athlete to prevent the opponent to make a succesfull tactical behavior or help his team to behave succesfully (Bompa 2007, s.14-294).

When the above analysis are identified judo is taught to contribute physical, mental, emotional, cognitive development to the children's movement development. So appropriate training programs in judo is thought to accelerate the development of child who is at the age-sensitive circuits to which the most positive and lasting contributions can be done. Hence, in this study to investigate the effect of educational judo practices on motor abilities of 7-12 years aged judo performing children is aimed.

2. Materials and Methods

80 judokas (male and female) were included in the study who recieve judo training at the Edirne and Tekirdağ Provincial Directorate of Youth and Sports .The study has began with 80 judoka which is apllication team n=40 (Edirne judo team) and control team n=40(Tekirdağ judo team) n=40 ve control grup (Tekirdağ judo takımı). During the 12 month study period 2 judokas from the application team and 9 judokas from the control team who do not meet the criteria of the study has been removed from the group. So the study has been completed with 38 judokas from application team and 31 judokas from control team. Preliminary test and last test parameters has been detected for static balance, dynamic balance, speed, quickness, ball throw, standing long jump, coordination, claw, back and leg strength tests.

2.1 Motor Test Measurements

- Dynamic Balance Test

Aim: Child's number of jumping on one leg for each left and right leg is recorded in an area of 100 cm².

Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully. When Model, the child's hand and foot touches the ground the motion is repeated.Movement is recorded for left and right leg. Rewievs: Jumping number is recorded for left and right leg when the child removed his foot. Best performance is get from the two application of the child (Özer and Özer 2000, s.187).

- Flamingo Static Balance Test (Balance on One Foot Stop)

Aim:To determine the period child's on foot stop time. Vehicle: stopwatch. Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully. Stopwatch is introduced and to show the movement is wanted from the model. Model child slippes out and when when lifting his foot with the "lift" direction, the movement is defined by the researcher .He makes a statement: "Your friend is trying to balance on one foot as long as possible and the stopwatch shows me the balancing time."

After the model showed the movement the child is wanted to make the same movement, He say "Try to balance on your one foot , whichever you want,like your friend has showed ." And the oppurtunity is given the child to try with the "lift" direction. He is allowed to rest after two application. When a problem occurs due to the stopwatch, application is repeated. Rewievs: Stopwatch is run when the child lift his leg and stopped when he touched the ground with his hand or foot. Best performance is get from two application (Özer and Özer, 2000, s.180).

- Coordination Test (Balance Skill)

Aim: To determine the child's coordination. Vehicle: Stopwatch,colored tape, 6 tower, 2 obstacle.

Application:The kid Getting out of the output line;

1). station: half jump (hands down,legs open shoulder width in a strained position, opening-closing and jump up) is done

2). Jumps from the 50 cm height (double or single leg) by running,

3). pass from the bottom of the 50 cm height obstacle by running,

4). Walks fastly from the 5 cm thick tape,

5). Do slalom between towers,

6). Finishes the test by sprint untill the finishing line.

Rewiev: Best performance is get from the two applications (Kızılyaprak 2008).

- Rapidity Test

Aim: To measure the time between the child lying on his back stand up run 3 mt get the tenis ball and llie down again. Gives information about the child's attention span and coordination. Preparation of the test environment: 1 mt long colored tapes are pasted in paralel with a distance of 3 meter. Tenis ball is placed to one tape and the other is used fort he child. Vehicles: Stopwatch, colored tapet, tennis ball,chalk.

Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully. Model child lyes down through the ball he runs to the ball when he get the directive "ready,go" gets the ball and turns back and lyes down again.The movement is explained and the rapidity of the movement attracts attention. The child is helped to lie down through the line (legs off,arms adjacent to the body). The movement wanted to be done as quick as possible and directions are given to the child. Two application is done after a trial opportunity. The child is allowed to rest between applications. The application is repeated when the child can not achieve the movement, fall down, fall the ball or begin the movement before the direction Rewiev: Stopwatch is run with the "Begin" directive, and stopped after he get the tennis ball. Best performance is get from the two applications (Özer and Özer, 2000, s.181).

- Standing Long Jump Test

Aim:To measure how far the child can jump By moving the body forward. And also gives information about the two-way co-ordination of the body. Preparation of the test environment: Colored tape is stuck to the floor to determine the boundary line. Vehicles: 1 tape measure, 2 tape. Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully.. Later the child is helped to , open his legs at shoulder width and to take the position not to exceed the tape. He is directed to Bend his knees, wave his arms backwards by jumping. And he is wanted to jump as far as possible and stay stil with the "jump" direction. Two apllication is done after a trial opportunity is given to the child. The application is repeated if the child falls down or pass the boundary line. Rewiev:The distance between boundary line and and heel of the foot is measured.Best performance is get from the two applications (Özer and Özer, 2000, s.166).

- Ball Throw Test

Aim:To measure how far he can throw the medicine ball with his both hands with the position his legs at the shoulder width. It gives information about the upper region power of the child. Preparation of the test environment: Colored tape is stuck to the floor to determine the boundary line. Vehicles: 1 tape measure, 1 tape, 2kg medicine ball. Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully. And than he is helped to throw the ball by getting position his legs open shoulder width. He is directed to bend his knees and use his upper region. He is wanted to throw the ball as far as possible. Two apllication is done after a trial opportunity is given to the child. The application is repeated to the child if he passes the boundary line. Rewiev: The distance between the boundary line and the point where the ball fall is measured as cm.Best performance is get from two applications (GSM - SEDB, 2005, s.61).

- Speed Test (Running test)

Aim: To determine how quick the child run 12.2 m distance. Preparation of the test environment: Start line is determined after tape is glued (3.65m distance for acceleration site,12.2m distance to evaluate running time,and 3.65 m distance for both cutting the speed and for start line fort he second application). So when the child comes to finish line he will be also at the start line. This will prevent time and energy loss.Block is placed to the start and finish line. Vehicle: Stopwatch, 4 one meter distance colored tape, 2 block. Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully.The child watches the model and attracts attention how quick he runs and touches the block.Than he is clearly explained what to do.He runs as soon as possible when he hears the "begin" direction and touches the block. Stopwatch shows how quick he reaches to the block.The child is provided to do 3 applications by "ready,go" directive. He is allowed to rest between applications.The application is repeated if the child passes the line,falls down,loose attention or a problem occured. Rewiev: Stopwatch is run when he passes the second tape and stopped when he passes the third tape.The best performance is get from two applications (Özer and Özer, 2000, s.186).

- Grip and Back Power

Test Aim: The child takes position in front of the pull-up,hangs up from both the sides of the judogi which is hanged to the pull-up.The aim is to measure the time.It gives information about the grip and back power of the child. Preparation of the test environment: Pull-up prepared in a wide range. Vehicles: 1 stopwatch, pull-up, uvagi. Application: It is told to the child who was taken to the exercises room that some movement will be taught so that he should watch his friend carefully.And than the child is helped to take position by opening his legs shoulder width. He is wanted to hang uvagi which is hanged to the pull-up. Application is done after a trial. Rewiev: The time is measured when he leaves the pull-up.Best performance is get from two applications (Kızılyaprak 2008).

3. Results

3.1 Motor Test Measurements

When comparisons of the pre_last test results of male judokas' of the application group determined; static balance test (F=7.230); pre-test 01:27.68±01:23.21min.sc,ss, last-test 03:14.79±02:27.09min.sc,ss, rapidity test (F=13.222); pre-test 4.83±0.49sc,ss, last-test 4.22±0.53sc,ss, grip power (F=10.689); pre-test 71.98±34.77sc,ss, last-test 110.90±36.64sc,ss, speed test (F=16.637), pre-test 2.48±0.16sc,ss, last-test 2.25±0.17sc,ss, parameters levels has shown differences. p<0.05 (Table 1). When comparisons of the pre –last test results of male judokas' of the Edirne application group determined; standing long jump (F=8.976); pre-test 147.33±15.44 cm, last-test 164.00±17.85cm, ball throw (F=4.541); pre-test 377.33±73.76cm, last-test 438.50±96.90cm, coordination (F=7.392); pre-test 15.60±2.23sc,ss, last-test 13.90±1.45sc,ss, Very significiant differences has been found at the parameter levels p<0.01 (Table 1).

When comparisons of the pre –last test results of female judokas' of application group determined;; static balance test (F=10.681); pre-test 02:42.01±02:21.490min.sc,ss, last-test 05:57.92±03:47.703min.sc,ss, rapidity test (F=40.468); pre-test 4.89±0.42sc,ss, last-test 3.97±0.49sc,ss, standing long jump (F=9.573); pre-test 146.50±19.00cm, last-test 165.10±19.02cm, coordination (F=12.608); pre-test 16.38±1.14sc,ss, last-test 14.17±2.53sc,ss, grip power (F=18.049); pre-test 68.05±30.84sc,ss, last-test 113.02±35.91 sc,ss, speed test (F=26.246), pre-test 2.54±0.19 sc,ss, last-test 2.24±0.19sc,ss, p<0.01 very significiant differences has been found at the parameter levels (Table 2).

When comparisons of the pre –last test results of male judokas' of the control group determined; standing long jump (F=20.389); pre-test 138,53±21.69cm, last-test 169.84±21.06cm, Speed test (F=11.024); pre-test 2.40±0.27sc,ss, last-test 2.10±0.28sc,ss, very significant differences has been found at the parameters p<0.01 (Table 3).

When comparisons of the pre –last test results of female judokas' of the control group determined; rapidity test (F=17.044); pre-test 4.60±0.32sc,ss, last-test 4.12±0.26sc,ss, standing long jump (F=47.117); pre-test 120.17±11.19cm, last-test 158.50±15.78cm, grip power (F=18.339); pre-test 29.84±12.56sc,ss, last-test 66.07±26.47sc,ss very significant differences has been found at the parameters p<0.01 (Table 4). When comparisons of the pre –last test results of female judokas' of the control group determined; speed (F=6.625); pre-test 2.74±0.39sc,ss and last-test 2.25±0.53sc,ss p<0.05 significance has been found at the level (Table 4).

4. Discussion and Conclusion

Very Significance differences has been found at the static balance, quickness, hand grip, speed parameters of test results of application group male judokas p<0.01. Significance has been found at the Standing,long jump, ball throwing, coordination parameters (Table 1). Very significance differences has been found at the standing long

jump, sprint parameters of test results of control group male judokas p<0.01 (Table 1,3).

Very significance differences has been found at the static balance,rapidity,standing long jump, coordination,grip power,speed parameters of test results of application group female judokas. p<0.01 Significance has been found at the rapidity, standing long jump, grip power parameters of test results of control group female judokas. p<0.01 p<0.05 (Table 2,4).

The best physical activity game for kids Participation in regular physical activity (PA) among children is linked to several health outcomes (Bouchard et al., 1994), as well as to the development of social and academic abilities in youth (Trudeau and Shephard, 2008). Physical inactivity is also known to be associated with an increased risk for overweight and obesity (Hill and Melanson, 1999).

When the effect of the traditional games is observed on the skill development of 7-9 years aged male children it has been seen that traditional games are more efficient than the daily activities for The basic motor skill, object control skills and local control skills .So it is convenient to develop motor skills with traditional game programe (Akbari et al. 2009, s. 123-129).

Game actions are important datathat are directly affected by the modifications (Arias et al., 2009a; 2009b; Parlebas, 1999; Williams et al., 2005). In a study on motor development in preschool children; it is examined the relationship between motor skill performance and physical activity.the percentage of time spent has been examined at the mild, moderate, severe physical activity of the children. The children at the severe physical activity spend more time than the mild and moderate groups. The children in the group of locomotor spend less time by sitting than the other group children. Children from low motor skill performance are less active than the motor skilled children. The relationship between motor skill performance and phsycal activity is important for prevent the child's health badly,specially obesity. Clinic doctors are to study with the families to develop children's motor skill and to encourage for activities (Williams et al. 2008, s.1).

Dissertação de Mestrado (2007) has indicated that Judo and jujitsu contributes to the children's motor ddevelopment and he has declared that this Project has to be developed at the special education institutions. Research in sport to achieve the expected success has revealed the need to launch the sports activities during childhood. In this regard, developed countries, attention has focused on childhood sports activities. There are a number of distinctive features of a workout because the child (Ayan and Mülazimoğlu, 2008, s. 113-118).

Considering these studies, the following conclusions and recommendations of the study was increased.

- This study applied the same top-level athletes training to install the development of motor skills can be examined outside the influence.

- Judo training and educational games to install work can be performed comparing the development of motor skills.

- Different training methods of Judo in the contribution to the development of motor skills by using educational games can be analyzed.

- They are in the process of rapid development of children aged 7-12 years in the period of the game in the forms recommended for use in training systems. This process is accelerating the development of basic motor skills training courses organized Judo can be used as educational games

- Judo training methods, motor skill development with educational games to evaluate the effects can be researched.

- Judo educational games, using the education of troubled individuals, these studies can be performed on the effect of the kind of behavior of individuals in society to facilitate compliance.

- Judo examined the effect of educational games on the motor development of

- individuals with disabilities. Judo educational games for preschool children with disabilities in education physiological, psychological and cognitive development in a form that can be used as supportive

- Judo training educational games more fun can be installed on the research done by making changes in hormonal values of athletes.

- Children like to have fun while learning at the same time. This study attempted to establish the children playing games to have fun.This studies in which Learning when playing, taking pleasure motives have been used are can be used to increase the potential of athlete.

- Judo educational games can be suggested to all judo Judo coaches and prepare a case booklet.

- Judo promotional activities, programs, primary education can be used on students.It can be said to contrubite to the increase of the athlete number.

References

Akbari H, Abdoli B, Shafizadeh M, Khalaji H, Hajihosseini S. & Ziaee V. (2009). The effect of traditional games in fundamental motor skill development in 7–9 year old boys, *Iranian Journal of Pediatrics, 19* (2), 123-129.

Arias, J.L., Argudo, F.M. and Alonso, J.I. (2009a). Effect of the threepoint line change on the game dynamics in girls' minibasketball. *Research Quarterly for Exercise and Sport,* 80(3), 502-509.

Arias, J.L., Argudo, F.M. and Alonso, J.I. (2009b). An objective method for analyzing two three-point shapes in mini-basketball. *Revista Internacional de Medicina y Ciencias de la Actividad Física yel Deporte* 9(36), 349-365. (In Spanish: English abstract).

Ataman, A. (2004). *Gelişim ve Öğrenme*. Gündüz Eğitim ve Yayıncılık: Ankara, 3.Baskı, s.18.

Ayan V, & Mülazimoğlu O. (2009). Sporda Yetenek Seçimi ve Sporda Yönlendirmede 8–10 Yaş Grubu Erkek Çocuklarının Fiziksel Özelliklerinin ve Bazı Performans Profillerinin İncelenmesi (Ankara Örneği). *F.Ü.Sağ. Bil.Tıp Derg*, 2009: 23(3): s.113-118.

Bayazıt, B. (2006). Eğitilebilir Zihinsel Engelli Eğlenceli Atletizim Antrenmanı Programının Psikomotor Özelliklere Etkisi, K.Ü. Sağlık Bilimleri Enstitüsü, Doktora Tezi, Kocaeli, (Danışman Yrd. Doç. Dr. B Meriç), s.78-80.

Bompa, T.O. (2007). *Antrenman Kuramı ve Yöntemi 'Dönemleme'*. Spor Yayınevi: Ankara, s.14-294.

Bouchard, C., Shephard, R. and Stephens, T. (1994). The consensus Statement. In: *Exercise, Fitness and Health: A Consensus of Current Knowledge.* Ed: Stephens, C.B.R.S.T. Champaign. IL, Human Kinetics.

Brousse, M., Matsumoto, D. (1999). *Judo A Sport and A Way of Life.* The International Judo Federation: s.7-10.

Demiral, Ş. (2007). Bayan Judocularda Yetenek Seçimi, M.Ü. Sağlık Bilimleri Enstitüsü, Yüksek Lisan Tezi, İstanbul, (Danışman: Yrd. Doç. Dr. A Demir), s.14-15.

Gençlik ve Spor Genel Müdürlüğü Spor Eğitim Dairesi Başkanlığı. (2005). *Olimpiyatlar için Sporda Yetenek Seçimi ve Spora Yönlendirme Projesi,* Ankara, 2005, yayın-no: 170, s.52-61.

Hill, J.O. and Melanson, E.L. (1999). Overview of the determinants of overweight and obesity: current evidence and research issues. *Medicine and Science in Sports and Exercise,* 31, S515-521.

Huı-Tzu, W. (2003). The Effects of a Creative Movement Program on Motor Creativity and Gross Motor Skills of Preschool Children, Doctor of Education, The University of South Dakota, UMI Number: 3085448, USA, 2003, s:1.

Kızılyaprak, A. (2010). Judo Federasyonu Büyük ve Genç Bayanlar Teknik Direktörü.

Matsumoto, D. (2004). The Psychological and Behavioral Effects The USJF Development Committee of Judo, United States Judo Federation, s.1.

Mengütay, S. (2006). *Çocuklarda Hareket Gelişimi ve Spor.* Morpa Kültür Yayınları Ltd. Ş: İstanbul, s.114.

Mestrado, D. (2007). Judo E Jıu-Jıtsu E O Desenvolvımento Integral De Crıanças, Emserıes Escolares Inıcıaıs, São Leopoldo, s.1

Özer S, K Özer. (2000). *Çocuklarda Motor Gelişimi.* Kazancı Kitap A.Ş: İstanbul, s.187-180-181-166-186.

Parlebas, P. (1999). *Games, sport, and society. Dictionary of motor praxiology.* INSEP-Publications, Paris, France.

Trudeau, F. and Shephard, R.J. (2008). Physical education, school physical activity, school sports and academic performance. *International Journal of Behavioral Nutrition and Physical Activity,* 5:10. doi:10.1186/1479-5868-5-10, http://dx.doi.org/10.1186/1479-5868-5-10

Williams HG, A Karin, Feiffer P, O.Neill J.R, Dowda M., McIver K.L., Brown WH.and Pate RR. (2008). *Motor Skill Performance and Physical Activity in Preschool Children,* (Published online) 3, April, 1.

Williams, J., Hughes, M. and O´Donoghue, P. (2005). The effect of rule changes on match and ball in play time in rugby union. *International Journal of Performance Analysis in Sport,* 5(3), 1-11.

Note

Note 1. Judoka; person that receives Judo training

Table 1. Application group male judokas Pre-Last Test Results

PARAMETERS	Pre-Test n=18		Last-Test n=18		ANOVA	
	X	**SS**	**X**	**SS**	**F**	**P**
Static Balance (mn.sc,ss)	01:27.68	01:23.21	03:14.79	02:27.09	7.230	.011**
Dynamic Balance (the number of repeat)	6.39	4.67	8.22	4.58	1.414	.243
Rapidity (sc,ss)	4.83	.49	4.22	.53	13.222	.001**
Standing long jump (cm)	147.33	15.44	164.00	17.85	8.976	.005*
Ball throw (cm)	377.33	73.76	438.50	96.90	4.541	.040*
Coordination (sc,ss)	15.60	2.23	13.90	1.45	7.392	.010*
Grip Power (sc,ss)	71.98	34.77	110.90	36.64	10.689	.002**
Speed (sc,ss)	2.48	.16	2.25	.17	16.637	.000**

$**p<0.01$ ve $*p<0.05$

Table 2. Application group female judokas Pre-Last Test Results

PARAMETERS	Pre-Test n=20		Last-Test n=20		ANOVA	
	X	**SS**	**X**	**SS**	**F**	**P**
Static Balance(min.sc,ss)	02:42.01	02:21.490	05:57.92	03:47.703	10.681	.002**
Dynamic Balance (Number of repeat)	8.00	5.51	10.40	5.91	1.767	.192
Rapidity (sc,ss)	4.89	.42	3.97	.49	40.468	.000**
Standing long jump (cm)	146.50	19.00	165.10	19.02	9.573	.004**
Ball throw (cm)	383.80	125.09	443.60	116.91	2.440	.127
Coordination (sc,ss)	16.38	1.14	14.17	2.53	12.608	.001**
Grip Power (sc,ss)	68.05	30.84	113.02	35.91	18.049	.000**
Speed (sc,ss)	2.54	.19	2.24	.19	26.246	.000**

$**p<0.01$

Table 3. Control group male judokas Pre- Last Test Results

PARAMETERS	Pre-Test n=19		Last-Test n=19		ANOVA	
	X	SS	X	SS	F	P
Static Balance(min.sc,ss)	01:47.56	01:37.063	02:07.03	01:42.678	.361	.552
Dynamic Balance (Number of repeat)	3.84	2.24	4.63	2.27	1.165	.288
Rapidity (sc,ss)	4.51	.64	4.24	.67	1.512	.227
Standing long jump (cm)	138.53	21.69	169.84	21.06	20.389	.000**
Ball throw (cm)	422.95	78.86	498.63	98.98	6.795	.013
Coordination (sc,ss)	14.32	1.65	13.94	1.57	.519	.476
Grip Power (sc,ss)	45.41	25.17	64.54	39.31	3.190	.082
Speed (sc,ss)	2.40	.27	2.10	.28	11.024	.002**

**p<0.01

Table 4. Control group female judokas Pre-Last Test Results

PARAMETERS	Pre-Test n=12		Last-Test n=12		ANOVA	
	X	SS	X	SS	F	P
Static Balance (min.sc,ss)	02:50.43	02:49.330	03:22.50	02:46.417	219	644
Dynamic Balance (Number of repeat)	6.25	3.47	7.08	3.15	380	544
Rapidity (sc,ss)	4.60	.32	4.12	.26	17.044	.000**
Standing long jump (cm)	120.17	11.19	158.50	15.78	47.117	.000**
Ball throw (cm)	340.25	101.76	423.25	117.00	3.438	.077
Coordination (sc,ss)	14.75	1.49	14.37	1.31	.446	.511
Grip Power (sc,ss)	29.84	12.56	66.07	26.47	18.339	.000**
Speed (sc,ss)	2.74	.39	2.25	.53	6.625	.017*

**p<0.01 ve *p<0.05

Relationship of International Trade in Financial Services and Economic Growth: The Case of China

Yanjuan Cui

School of Management, Dalian Polytechnic University

1 Qing Gong Yuan, Gan Jing Zi, Dalian 116034, China

Tel: 86-411-8632-3622   E-mail: tsuiyanjuan@163.com

Fangyao Shen

School of Economics, Peking University

176 Zhong Guan Cun Street, Beijing 100086, China

E-mail: star890523@hotmail.com

Abstract

International financial services, the financial services trade that is conducted through the financial service sectors, play a very important role in a nation economic growth. Especially the modes of cross-border supply and commercial presence have been the new economics growth point. Multiple regression models are built up based on time-series data of financial service trade and economic growth in China, then co-integration test and Granger test are used to analyze their relationship. The results are that there is long-run equilibrium relationship between the two modes of financial service trade, and both of them improve the economics growth. At last, some suggestions are given for the coordinated development of financial service trade and economic growth.

Keywords: International trade in financial services, Economic growth, Balance of payment, Co-integration test, Granger test

1. Introduction

The concept of financial services was begun from Uruguay round of GATT (General Agreement on Tariffs and Trade) in 1986, and was continuous development and improvement in 1988 by Ingo Walter. In 1994, the details were given in ANNEX ON FINANCIAL SERVICES of GATS (General Agreement on Trade in Services), that is, "A financial service is any service of a financial nature offered by a financial service supplier of a Member. Financial services include all insurance and insurance-related services, and all banking and other financial services (excluding insurance). Financial services include the following activities: Insurance and insurance-related services, Banking and other financial services (excluding insurance). A financial service supplier means any natural or juridical person of a Member wishing to supply or supplying financial services but the term financial service supplier does not include a public entity (e.g. a central bank or monetary authority)." According to the related definitions, GATS agreement covers four modes of supply for the delivery of services: Cross-border supply, that is service delivered within the territory of the Member, from the territory of another Member. Consumption abroad is service delivered outside the territory of the Member, in the territory of another Member, to a service consumer of the Member. Commercial presence, that is, Service delivered within the territory of the Member, through the commercial presence of the supplier. Presence of a natural person, which is service delivered within the territory of the Member, with supplier present as a natural person. Service suppliers of the former two are not present within the territory of the member. The last two's are within the territory of the Member.

According to International Trade Statistics Report (2005), the modes of consumption abroad and presence of a

natural person were small shares f the transaction in practice, for respectively 10-15% and 1-2%, while cross-border supply and commercial presence are the main modes, the rate is respectively 35% and 50%. Considering the data availability, the objects in this paper are the two main modes of financial services, that is, cross-border supply and commercial presence. During the literatures, financial services were only looked as one form of trade in services, e.g. Ricard (1988), Kubo (1998) got the conclusion that trade in services would improve the economic growth based on the theories of trade in goods. Heir Samusen verified that trade in services could improve the economic growth based on the theories of economies of scale and imperfect competition. In China, the literatures of financial services and economic growth are also very few, until now only ZHANG Xiaofeng (2009) utilized time-series data to analysis empirically the relationship of international services trade and economic growth, but only for one mode of financial services. The research didn't include commercial presence mode of financial services.

This paper introduces commercial presence mode of trade in financial services, utilizes econometric methods to establish multiple regression model. Then empirical analysis was done with 1997-2008 time-series data of international financial services and economic growth by co-integration test and Granger test. So that it can be test the relationships between international financial services and economic growth, and then improve their development coordinately. Section II is about elaboration of main modes of international financial services and development status. Section III is to establish the empirical analysis model and explain the sample data. Section IV is empirical analysis on the time-series data, and econometric methods, co-integration test and Granger test, are used. Section V is the conclusion of the analysis, and some measurements are given to improve financial services and economic growth to develop healthily and coordinately.

2. Development of international financial services in China

2.1 Cross-border supply mode

Since 1997 "International Balance of Payments" in China has been established promulgated in accordance with the IMF "International Balance of Payments Manual" (fifth edition), in which the insurance services and other financial services are in statistics. Insurance services account is only of life insurance, freight insurance, other direct insurance and reinsurance etc, while other financial services account is only of financial intermediation services charges (e.g. related services charges of letter of credit acceptance, lines of credit, financial leasing and foreign exchange transactions) and the commission of securities. So the data of them could be viewed as the data of cross-border supply mode of international financial services.

According to State Administration of Foreign Exchange, the value of cross-border supply mode has increased from 1572.19 million dollars in 1997 to 20200 million dollars in 2010. The average increasing speed is 40%. Of which, the insurance services revenue increased from 1219.98 million dollars in 1997 to 17500 million dollars in 2010. The average increasing rate is about 30%. At current, the absolute amount of that would not grow quickly in short term because of the strict regulation of capital in China. And because of financial crisis, the value of insurance service in 2009 was decrease compared with those of 2008, shown in Figure 1.

2.2 Commercial presence mode

Financial services with commercial presence mode are not found in "International Balance of Payments". We can use the international assets of banking sectors to describe this mode. Commercial presence mode of banking sectors included the assets of both Chinese banks at abroad and foreign banks in China. In 2010, foreign direct investment in financial sectors is17.4 billion dollars increasing at 29.13%, the average capital adequacy ratio of which is 18.98%. However, direct investment abroad is 0.0302 billion dollars, which about 70% is the subsidiaries and overseas branches. So there is development disequilibrium in financial services with commercial presence mode in China. It is surplus, and it is also reflected the restriction in capital and financial account of balance of payment.

The other two modes, consumption abroad and presence of a natural person, were account for very few shares in the world transactions, and consideration of their difficulty in statistics, so in this paper they are not included in our study.

3. Models and samples

The sample data are from China Statistical Yearbook, China International Balance of Payments and China Finance Yearbook of 1997-2008. The model is established as in

$$GDP = A(NM)^\alpha (FI)^\beta \qquad (1)$$

Here, A is the constant. GDP indicated that economic growth level. NM indicated net import volume of

cross-border supply mode of international financial services. *FI* is commercial presence mode. Because of data limitations, here is capital volume utilized by the financial institutions.

Logarithmic both ends of equation respectively, which does not change the co-integration relationship between variables, and also make it linear for eliminating heteroscedasticity of time-series data. So after natural logarithmic *GDP*, *NM* and *FI*, the transformation variables are *LNGDP*, *LNNM* and *LNFI*. The new equation as in

$$LNGDP = LNA + \alpha LNNM + \beta LNFI \qquad (2)$$

All of *LNGDP*, *LNNM* and *LNFI* have a growing trend and directions of changes are consistent, shown in Figure 2. Therefore, certain common trends can be judged among them. Unit root test could be conducted to avoid spurious regression problem of time series data. Empirical analysis can be done with the sample through the software of Eviews3.1. First unit root test is conduct to determine the stable data, and co-integration test is done to demonstrate its long-term equilibrium relationship, at last Granger test is done to verify the cause and effect relationship between variables.

4. Empirical test and data analysis

4.1 Unit root test

Because the data in the paper is time-series data, in which dynamic path not only contains predictable elements but also random elements. So it can generate unit root easily. If with no unit root test on it, spurious regression would be produced. Augment Dickey-Fuller (ADF) test method was put forward by Dickey and Fuller in 1981 always used to avoid spurious regression in time-series data. We use the following model of ADF method to test the variables stable.

$$y_t = \alpha + \beta_t + \gamma \ y_{t-1} + \sum_{i=1}^{p} \varphi_i \Delta y_{t-i} + \varepsilon_t \qquad (3)$$

Here, $\Delta y_t = y_t - y_{t-1}, \alpha$ is constant, t is time trend item, ε_t is residual item (that is random disturbance).

Testing unit root of constant, time trend and residual items can be conducted based on whether parameters of α, β and γ are zero hypotheses. The *p* is the number of lagged entry, which in (3) is in order to make

residual item, ε_t, and white-noise sequence. Optimal lag length of *p* is determined by Akaike information

criterion (AIC) and Schwarz Criterion (SC), the smallest is the lag order. ADF statistics distribution is non-standard, so Mackinnon critical value is used to determine.

LNGDP, *LNNM* and *LNFI* are made unit root test, ADF test result with Eviews3.1 is shown in Table 1. From Table 1 we know that *LNGDP*, *LNNM* and *LNFI* are not stable but their first order differentials are stable. So co-integration and regression analysis can be conducted. Correlations of *LNGDP*, *LNNM* and *LNFI* can be calculated further with Eviews3.1. Shown in Table 2, correlations of all are above 0.87. Until now the specific relationship of them are not demonstration, so co-integration test and Granger test would be continued in the followings.

4.2 Co-integration test

Co-integration test can determine the long time relationship of variables. Engle and Granger gave the method of co-integration test in 1987. Here we use the test method of Johansen and Juselius that is based on regression correlation. Because the model based on Johansen-Juselius method is very sensitive to lag period, we can get the optimal lag period based on AIC and SC of non-binding model. When there are conflicts between AIC and the SC, likelihood ratio is used to determine the lag order. The output result of Eviews3.1 is shown in Table 3.

According to the result in Table 3, co-integration relationship exists between variables at the significant level of 5%, that is, there is a long-term stable relationship between GDP and international financial services. After regression analysis with (2), regression equation is gotten as in,

LNGDP=3.047366664+0.3292177064×LNNM +0.3496246167×LNFI   (4)

t= (9.438036)   (4.551286)   (3.511323)

R^2= 0.966810   Adjusted-R^2=0.959434   DW=1.867559

So if cross-border supply of financial services increases 1%, economic growth will be lead to 0.33% increasing. And 1% increasing in commercial presence mode will lead to0.35% in economic growth.

4.3 Granger Test

Granger gave the test in 1969. Granger cause test's main contents are that when y is regressed with other variables (including its own past values), if the lagged value of x included can significantly improve the prediction y, x is Granger cause y. According to AIC each variable lag order can be determined. Table 4 is the pairs of variables Granger causality test results.

From the result we know LNNM, LNFI is single Granger cause of LNGDP respectively, and there is Granger cause between LNFI and LNNM.

5. Conclusion

Firstly, it is unstable of relationship between international financial service and economic growth, while their first order differentials are stable. There is a long-term equilibrium relationship between them, in which each variable interacts through long-term equilibrium relationship.

Secondly, according to regression equation, international financial services have a positive correlation effects on economic growth. 1% increasing in cross-border supply will lead to 0.33% increasing in economic growth, while the commercial presence mode increasing 1% will lead to economic growth 0.35%.

Thirdly, the two modes of international financial services are the cause of GDP growth. They can promote mutually, and there is reciprocal causation.

In summary, international financial services are important in the development of world economy and finance. In practice, there more than 90% actions are the international financial services. But the contribution has not been fully revealed to China's economic growth. So it is significant to improve the financial system and maximize financial services liberalization in order to improve international financial services development and cultivate new economic growth point in China.

References

D.A.Dickey & W.A. Fuller. (1981). Likelihood ratio statistics for autoregressive time series with a unit root. *Econometrics*, 49, 1057-1072. doi:10.2307/1912517, http://dx.doi.org/10.2307/1912517

Document MTN.GNS/W/124, Online Available on the World Trade Organization Website, posted courtesy of ISTIA.

Granger, Clive W.J. (1981). Some properties of time series data and their use in econometric model specification. *Journal of Econometrics*, 16, 120-130. doi:10.1016/0304-4076(81)90079-8, http://dx.doi.org/10.1016/0304-4076(81)90079-8

International financial market report. (2010). [Online] Available: http://www.pbc.gov.cn/image_public/UserFiles/goutongjiaoliu/upload/File (May 7, 2011).

PAN Sunkun and LI Huimin. (2009). The impact of FDI on China's trade in financial services, *Economy and Management*, Vol. 9, 35-40.

R. Enger & C. Granger. (1987). Co-integration and error correction: representation, estimation and testing. *Econometrics*, l:(35):391-407.

State Administration of Foreign Exchange, Balance of payment 2009-2010. [Online] Available: http://www.safe.gov.cn/ (May 7, 2011).

Table 1. Augmented dickey-fuller test result

Variable	ADF Test value	5% Critical Value	Result
LNGDP	0.359434	-3.9271	Not stable
D(LNGDP)	-5.15696	-3.9948	Stable
LNNC	0.359434	-3.9271	Not stable
D(LNNC)	-5.15696	-3.9948	Stable
LNFI	-2.176560	-3.9271	Not stable
D(LNFI)	-5.296628	-3.9948	Stable

D indicated the variable is first-order differential

Table 2. Correlation of LGDP, LMN and LFI

LNGDP	LNNM	LNFI	LNGDP
LNGDP	1.000000	0.959865	0.943621
LNNM	0.959865	1.000000	0.875884
LNFI	0.943621	0.875884	1.000000

Table 3. Co-integration test result

Hypothesis	Eigenvalue	Likelihood Ratio	5% Critical Value	1% Critical Value	Result
r=0	0.800686	35.63278	29.68	35.65	Null *
r≤1	0.634511	17.89118	15.41	20.04	At most 1 *
r≤2	0.462029	6.819465	3.76	6.65	At most 2 **

*(**) indicated rejection of hypothesis at the significant level of 5% (1%)

Table 4. Pair wise granger causality tests

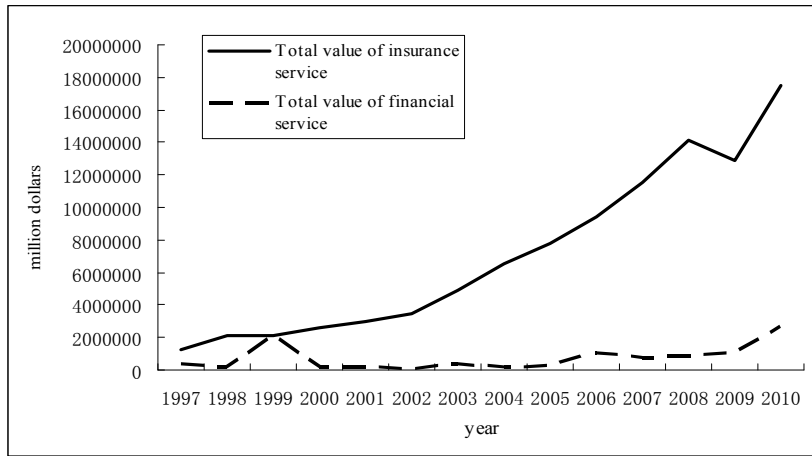| Null hypothesis	F-Statistic	Probability
LNNM does not Granger Cause LNGDP	0.18931	0.83320
LNGDP does not Granger Cause LNNM	18.5902	0.00484
LNFI does not Granger Cause LNGDP	0.39243	0.69453
LNGDP does not Granger Cause LNFI	12.5492	0.01125
LNFI does not Granger Cause LNNM	2.29954	0.19582
LNNM does not Granger Cause LNFI	2.04452	0.22446

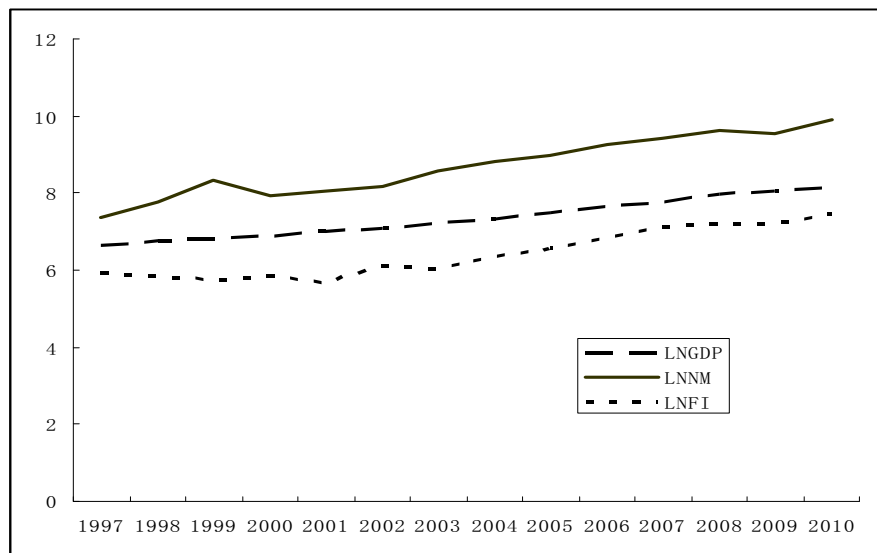Figure 1. Total Value of Insurance Service and Financial Service Based on Balance of Payment

Figure 2. *LNGDP*, *LNNM*, *LNFI* Development Trend

The Psychological Analysis of Preferences to Film and Television for Contemporary University Students

Chuanbo Sun

Faculty of Education, Qufu Normal University, Qufu 273165, China

Hui Hu

Faculty of Education, Huazhong University of Science and Technology, Wuhan 430074, China

Ying Jia

Faculty of Education, Qufu Normal University, Qufu 273165, China

E-mail: sdsg.jy@163.com

Abstract

This study focused on exploring the university students' sense on the film and television by questionnaire method. As a result, we found that the affectional works are the undergraduates` most favorite type of the film and television. The students are generally fond of the leading actor among a number of roles. The preferences of the film and television by category in terms of gender, grade, major three variables on the difference was not significant. The preferred orientation of movies and teleplay has a significant difference on the gender. The results of the content analysis indicated that the undergraduates like the male actors who have a sense of responsibility, value ties of friendship and endure the humiliation etc, which are in line with the traditional concept of Man image; and enjoy the female roles who not only are gentle, kind virtuous wife and good loving mother, but also are strong, independent, self-confident modern woman.

Keywords: Film and television preferences, The category of the film and television, Movies, Teleplay, Gender roles

1. Brought up of Problems

With the expansion of social cultural space, people has regarded the information environment created by mass media as an important way to know about social reality, seeking for help, enriching their knowledge and entertaining themselves. Film and television, as a timely reflection on the development of modern society, have played a role of guidance in people's life, which make them rather popular among people and how they are an indispensible part of people's daily entertainment.

University students have special preference for movies and TV serials. Students in university, being at a stage of growing from would-be adults to mature adults, are experiencing changes in cognition, emotion and personal relationship, then frequently feel unease and unguish. In order to get rid of this anxiousness, they will try actively to come to understand and evaluate themselves. During this process, they will frequently find that "ego" always lays behind "superego", and the gap between both makes them feel unsatisfied with reality. To achieve self-identity and ego orientation (Shen Hongming, 2004), they will magnify themselves and set themselves in movies and TV serials to refract their aspirations and wishes, which will give them infinite enthusiasm and fantasy toward life.

Generally, "film and television" mean the production and propagation of films and televisions. In view of the similarity of their forms, "film and television" can be put together in description, and be regarded as a comprehensive art combining watching and listening. An audiovisual art with both sound and pictures can bring people the most vivid and most direct information and mental feeling. Hegel once said, vision (including audition) is different from other feelings, are cognitive senses. The so-called cognitive senses mean man can master the world and its laws through vision. Long emerged in a film-video world controlled by mass media,

people's pattern of recognition and perception of the world have gradually turned from abstract and rational thinking to concrete and sensational thinking (Hegel, 1996). Therefore, the authors define the term "film and television" appeared in this thesis as a combination of movies and teleplay.

Traditionally, movies and teleplay differ from each other not only from physics but also from substance, namely psychological difference in audiences' acceptant process and there are three main aspects. The first aspect is their sense of illusion and reality sense. "Pictures in a movie are so life-like and fascinating that watchers tend to forget about the fact that movies are merely moving lights and images instead of reality." (Dai Jinhua, 2004) The illusion caused by a movie, mainly resulted from the particular surroundings while watching them; Watching a teleplay, however, people sit in bright rooms, individual or being companied, which make them aware that they are just bystanders. Secondly, the sense of distance and intimacy are different. This derives from the former issue, that illusion produces distance, while reality bring about closeness. The third point lies in their formality and casualness. It is platitude. It is customary to dress formal and sit upright while watching movies. While watching TV serials, things are more casual; People can wear pajamas, walk around and talk casually (Zhao Xing, 2008). Therefore the main difference of movies and TV serials comes from the surroundings. Despite the confluence of that film again with the film that has long been separated, the paper will not explore more here. Based on the features of life on campus (most high schools are not equipped with real cinemas ,and more students are using Internet),authors hold that there is no distinguishable difference in university students' psychological acceptance, and therefore put the classification of movies and TV serials together, naming them "the category of the film and television".

University students belong to a highly cultivated group, with a rather higher level of knowledge and appreciation, and at the same time, they have the typical herd mentality. Then what state of their attitude toward videos will show? With open questionnaires, this research aims at the analysis of university students' preference toward different film-videos works, try to find out their psychological features through favored in film-videos works.

2. Research Method

2.1 Subjects

Qufu Normal University on a random sample of college students, based on the principle of voluntary cooperation,200 questionnaires, 182 were recovered, retained after removing the invalid questionnaires, 167 valid questionnaires (response rate 83.5%).Boys were 57 and girls were 110; which, freshman, sophomore, junior, senior, respectively 81, 17, 45, 24; Arts 21, Science 146.

2.2 Research Tool

Self questionnaires of Student Film and Television Preferences, which compiled the following steps:

First, using interviews, ask university students favorite videos (including movies, TV series) type, the reference tube of Xiaoliu Guan about the video data classification (Guan Xiaoliu, 2006) and Youku online movie drama category index to determine the 13 television categories, on this basis, the preparation of the relevant university students about Film and Television Preferences pre-test questionnaire (see Appendix 1). The subjects were asked: 1) Select your favorite television category (optional number); 2) Write the name of an impressive film and television works; 3) select the favorite characters (select only one); 4) qualified to write a conditional love the role of reasons (reasons must relate to the roles' personality, who's described on the appearance, are regarded as invalid). 55 university students on the questionnaires, based on the statistics, the effective sample is 47. Pre-test questionnaires on film and television categories were compiled and summarized, 14 categories were selected to prepare a formal questionnaire on Student Film preferences (see Appendix 2).

2.3 Data Processing

The basic information of subjects and items collected were entered to SPSS for windows 15.0 software. Re-encode the roles: the female lead, female II, and other roles women can be identified as female, coded as female role; the male lead, Male II, and other roles can be identified as male, coded as male roles . Layered by the category of the film and television respectively, of which the character of gender roles content analysis and frequency statistics.

Content analysis requires first simplified the project, on a longer sentence or phrase to the key words instead. Such as, "She is very kind," simplified to "kind." And then merge those synonymous (less the amount of those into more persons) to reduce the item. Such as "funny"," humored"," amusing" can be classified as "humored". Run frequency statistics to identify the high frequency words of various types of popular character of the men and women . After all the statistics, using SPSS for windows 15.0 for processing.

3. Outcome Analysis

3.1 The most favorite categories of the film and television of university students

From the 14 categories in the study, the Love-Type (12.2%) ranked first, followed after the order are youth in the inspirational type (12.1%), cartoon-type (11%), comedy-type (10.8%), military-type (8.7 %), costume-type (8.3%) action-type(7.9%) and so on.

Insert Figure 1 Here

3.2 Preferred characters of university students

Students tend to like the Man image (52.8%), nearly 27 percentage points ahead of other characters.

Insert Figure 2 Here

3.3 The sex difference in film and television preferences of students

On film, television favorite significant gender differences tend to be tested and found very significant ($x^2=25.535, p<0.01$): boys more than girls like to watch movies, while girls more than boys like to watch TV.

Insert Table 1 Here

3.4 The sex difference in the category of film and television preferences of students

Television categories for 14 significant gender differences in preference tests and found no significant difference ($\chi^2= 14.122, p> 0.05$).

Insert Table 2 Here

3.5 The grade difference in the category of film and television preferences of students

Television categories for 14 significant year differences in preference tests and found no significant difference ($\chi^2= 32.89, p> 0.05$).

Insert Table 3 Here

3.6 The major difference in the category of film and television preferences of students

To test 14 kinds of television categories by professional difference test and found no significant difference ($\chi^2= 6.915, p> 0.05$).

Insert Table 4 Here

3.7 Character analysis of students favorite characters

Students for the most popular film and television before the six categories (from the survey, more than one favorite cartoon characters, in order to facilitate the statistics, the cartoon-type is removed), respectively, analysis the reasons of liking male and female characters, removing characters appearance and items of the story, only to retain the items about the characters, 90 items effectively were gotten. **Insert Table 5 Here**

4. Discussion

4.1 Love is the eternal theme of university campus life

Eriksson believes that personality development can be divided into eight stages, each stage has a pair of conflict or polar opposites. 18-25 years old is in the sixth stage, belonging to early adulthood, the development task of this stage is to get a sense of intimacy in order to avoid loneliness, to experience the realization of love. Eriksson's view is that developing the sense of intimacy plays an important role in that whether one man can enter into society satisfactorily or not. In this survey, the rate of being in favorite of the television of love-type is 12.2% love is the eternal theme of university campus life. University students, in the stage of youth, with the psychological needs growing fast, will watch love stories with a special view of psychological experience. Love stories reflect the sincere love, no sex, no violence. Romance, passion, purity are basic tones of such television. They just adapted to the tastes of university students with causing emotional resonances. So, university students cannot resist the temptation of these touching and true love stories naturally.

Motivation is an internal psychological process or internal power, which is to create and maintain individual activities and to make activities toward a target. It is one of the most basic mental activity of human beings. The total motivation for university students is closely related to their aesthetic standards and values, such as "in the psychological needs" accounted for 53.2%, "to want to learn to follow" accounted for 20.6%, "pure entertainment" accounted for 14.1%, "to enhance their grades," accounted for 7%," pure literary appreciation, "was 5.1% (Ye Qingsong, 1998).

4.2 Man image is the favorite character for university students

In the survey, the university students who like the male lead account for 52.8%. Explore the reasons, for female, they may image the perfect male lead role as an ideal partner. Boys selected male lead, on the one hand, they regard the main images as role models and imitate the words and deeds. On the other hand, they subject to the value of gender roles. The so-called value of gender roles, is the overall view of gender roles of men and women. Or, it can also be said to be a kind of out value about gender roles. The value of Gender roles shapes the individual's self-concept and attitudes of life, and regulate the behaviors of individuals. In addition, though because of different cultures, it can show some commonalities. For example, in Eastern and Western culture, courage and the sense of responsibility are seen as the value of male characters.

4.3 The gender differences in preferred orientation of movies and televisions

Boys like to watch movies better, while TV shows are girls preference. This difference can be analyzed from the character traits of men and women and the characteristics of film and television drama. Thanks to the rich plots, TV drama programs display the intricate and numerous social life and character to audiences, so that inducing audiences to analysis the history and society. Girls are sensual, emotional and delicate, so filling the TV content can give them a profound emotional experience. For movie, the plot is complete, though being not meticulous as drama generally, the highlights with the impact consistent with the taste of boys who love stimulating and thus attracting their attention.

4.4 Analysis the personality differences of television roles of men and women with gender roles

Gender roles, is meaning that an individual who belonging to a particular gender group in the certain societies and groups occupies the appropriate position, and the behavior patterns which are provided by the certain societies and groups. It determines the individual's social orientation. In traditional values, a man's social orientation is to seek success and status in the community, while women act as wife and mother in the family. Looking at the results from the content analysis, the character of film and television roles not only meet the traditional gender role(male, "fortitude", "heavy-brotherhood", "responsible" and other masculine atmosphere; female "gentle", "kind" "loyal," "considerate ", etc.),for the female role, they performance obviously in the character of " strong, "" intelligent, "" reckless "and other modern women atmosphere. This shows that the female liberation movement has long been and the pursuit of gender equality has received encouraging results.

4.5 Establish a correct video view

The cultural awareness, aesthetic psychology, taste and value of university students determine their film and television orientation. We should treat their choice with the attitude of respect, tolerance and understanding. In the same time, we also should acknowledge that although being in a higher cultural level and with the independent thinking, university students are fantastic, impulsive and impacted by external things easily, along with their lack of social experience, the knowledge is limited and they can not distinguish fantasy and reality. So, they often find themselves unable to indulge in the virtual world, what's more, some neglect their studies. As a result, we should help students cultivate rational thinking so that they can evaluate the content displayed by film and television with a more objective manner and understand it is important to live in the moment, in the present.

5. Conclusion

1) The affectional works are the undergraduates` most favorite type of the film and television.

2) The students are generally fond of the leading actor among a number of roles.

3) The preferred orientation of movies and teleplay has a significant difference on the gender.

4) The results of the content analysis indicated that the undergraduates like the male actors who have a sense of responsibility, value ties of friendship and endure the humiliation etc, which are in line with the traditional concept of Man image; and enjoy the female roles who not only are gentle, kind virtuous wife and good loving mother, but also are strong, independent, self-confident modern woman.

References

Dai, Jinhua. (2004). *Mirror and Secular Culture (Preface)*. Beijing: China Renmin University Press 1-3.

Guan, Xiaoliu. (2006). Video Data Indexing of MARC Issues. *Library and Information Forum*, 4 (72):21-23.

Hegel. (1996). *Esthetics*. Beijing: Commercial Press, 331.

Shen, Hongming. (2004). Perspective of Idolatry Psychology for University Students. *Urumqi Adult Education,* 12 (3):6-7.

Ye, Qingsong. (1998). View of Film and Television for Contemporary Students. *Youth to Explore*, (1):39-40.

Zhao, Xing. (2008). Psychological Similarities and Differences between Film and TV Analysis. *Preface*, (3):199.

Appendix 1:

Hello!

Thank you for your participation in this survey. The author intended to analysis the film and television contemporary of contemporary university students from the psychological point of view. Your answer is only used for statistical analysis of the researchers, and it is no right or wrong .In addition, this survey is anonymous. Therefore, please eliminate concerns and be sure to carefully, accurately and independently (please don't communicate with others during the process) to answer. Thank you!

Gender (male, female)

Grade (freshman, sophomore, junior, senior)

Professional (arts, science)

Family (urban, rural)

Watch (movies, TV) more in spare time

Please recall the impressive film and television works (film or TV series), and write the name in the table below, and mark the favorite characters with a "√",and explain the reasons for preference with simple words or sentences. For example:

The category of the film and television	film and television works	Characters					Reasons of preference for the role
		Female lade	Female II	Male lade	Male II	Other roles	
Military -type	Sword			√			Yunlong Li gratitudes graciously and grudges against revenge. What's more, he is heroic, wise and brave.

Please note: You can select one or more video categories, but must choose one character that you like most.

If the type of you like is not listed in the following table, please point out in the last line of the "other" on the back of that underscore.

The Category of the Film and Television (Multiple Choice)	Film and Television Works	Characters(Individual Choice)					Reasons of Preference for the Role
		Female lade	Female II	Male lade	Male II	Other roles	
Comedy -type							
Love-type							
Suspense-type							
Military -type							
Story-type							
Action -type							
Costume-type							

Family -type						
Criminal -type						
Thriller-type						
Science Fiction-type						
Animation- type						
Others ------						

Appendix 2:

Hello!

Thank you for your participation in this survey. Your answer is only used for statistical analysis of the researchers. Therefore, please eliminate concerns and be sure to carefully, accurately and independently (please don't communicate with others during the process) to answer. Thank you!

Gender (male, female)

Grade (freshman, sophomore, junior, senior)

Professional (arts, science)

Family (urban, rural)

Watch (movies, TV) more in spare time

Please recall the impressive film and television works (film or TV series), and write the name in the table below, and mark the favorite characters with a "√",and explain the reasons for preference with simple words or sentences. For example:

The Category of the Film and Television	Representative Works	Characters					Reasons of Preference for the Role
		Female lade	Female II	Male lade	Male II	Other roles	
Costume-type	Fair Princess	√					Xiao Yanzi is optimistic, passionate and daring do things

Please note: You can select one or more video categories, but must choose one most favorite character.

If the type of you like is not listed in the following table, please point out in the last line of the "others" on the back of that underscore.

The Category of the Film and Television (Multiple Choice)	Representative Works	Characters(Individual Choice)					Reasons of Preference for the Role
		Female lade	Female II	Male lade	Male II	Other roles	
Comedy -type							
Love-type							
Inspirational Youth-type							
Military -type							

Action -type						
Costume-type						
Family -type						
Criminal -type						
Thriller-type						
Story-type						
Animation- type						
Disaster -type						
Science Fiction-type						
Others ------						

Table 1. Gender Differences in film and television preferences

	Male	Female	Total
Film	41	34	75
TV	16	76	92
Total	57	110	167

Table 2. Gender Differences in the film categories

	Male	Female	Total
Comedy -type	33	51	84
Love-type	21	74	95
Inspirational Youth -type	24	70	94
Military -type	19	49	68
Action -type	21	41	62
Costume-type	17	48	65
Family -type	10	40	50
Criminal -type	10	33	43
Thriller-type	7	18	25
Story-type	7	24	31
Animation- type	28	58	86
Disaster -type	14	25	39
Science Fiction-type	10	18	28
Others	3	7	10
Total	224	556	780

Table 3. The grade difference in film and television categories

	freshman	sophomore	junior	senior	Total
Comedy -type	34	7	29	14	84
Love-type	43	8	27	17	95
Inspirational Youth -type	36	12	33	13	94
Military -type	26	5	24	13	68
Action -type	24	4	25	9	62
Costume-type	22	6	22	15	65

Family -type	18	3	18	11	50
Criminal -type	13	2	18	10	43
Thriller-type	5	2	10	8	25
Story-type	8	2	12	9	31
Animation- type	36	8	25	17	86
Disaster -type	7	5	17	10	39
Science Fiction-type	12	2	8	6	28
Others	1	0	6	3	10
Total	285	66	274	155	780

Table 4. The difference between film and television categories of professional

	Arts	Science	Total
Comedy -type	11	73	84
Love-type	16	79	95
Inspirational youth –type	13	81	94
Military -type	11	57	68
Action -type	9	53	62
Costume-type	14	51	65
Family -type	9	41	50
Criminal -type	9	34	43
Thriller-type	7	18	25
Story-type	7	24	31
Animation- type	13	73	86
Disaster -type	8	31	39
Science fiction-type	4	24	28
Others	2	8	10
Total	133	647	780

Table 5. The content themes frequency table of the favorite movie actors and actresses

Coding	the Category of the Film and Television	Gender Roles	Content Items	Frequency
1	Love-type	Female	kind,strong,innocent,persistent,loyal,romantic,lovely,optimistic,tolerant, brave, lively, smart, enthusiastic	113
		Male	lovesick, persistent, brave, kind, sincere, mature, insist, cheerful, funny, loyal, romantic, heavy-brotherhood	77
2	Inspirational youth -type	Female	cheerful, insist, independent, be willing to love and hate, intelligent, kind, brave, strong, confident, heavy brotherhood, hard-working, lovely, lively, sincere, talented, gentle, free and easy ,tough	164
		Male	persistent,heavy-brotherhood,fighting,humored,brave,persistent,smart,confident,responsible, ambitious, talented, free and easy, enthusiastic, straightforward, persevering, considerate	70
3	Comedy -type	Female	brave, kind, optimistic, tough, talented, honored, caring	27
		Male	hunored,brave,upright,witty,optimistic,responsible,enthusiastic,innocent,persistent,empathic,lively, kind, sincere	127
4	Military -type	Female	valiant, witty, gentle, brave, free and easy	12

		Male	both military and ambitious, courage, wisdom, never abandon and never give up, plain, dare to do something, heavy-brotherhood, resolute, stubborn, strong, sharp, forthright, loyal, responsible, reliable, optimistic, hard-working	106
5	Costume-type	Female	be willing to love and hate, intelligent, smart, tough, kind, sincere, honest, innocent, lively, optimistic, brave	62
		Male	wise, humored, ambitious, brave, sincere, heavy-brotherhood, compromised, benevolent, dare to do something, lovesick, reliable, kind	65
6	Action -type	Female	gentle, confident, smart, straightforward, cardinal	7
		Male	heroic, patriotic, brave, integrity, responsibility, justice, heavy-brotherhood, witty, tough, proud, lovesick, cool, generous, considerate, chic, humored, content, persistent, kind	83
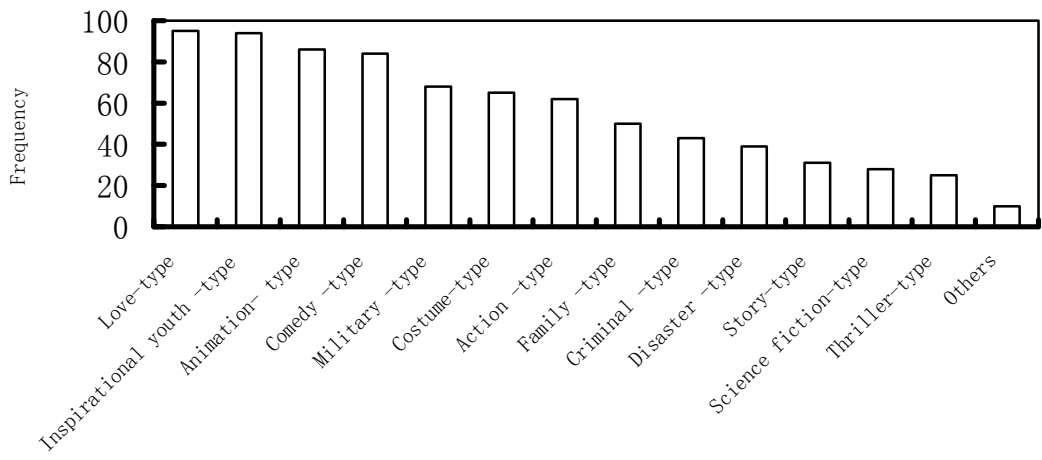
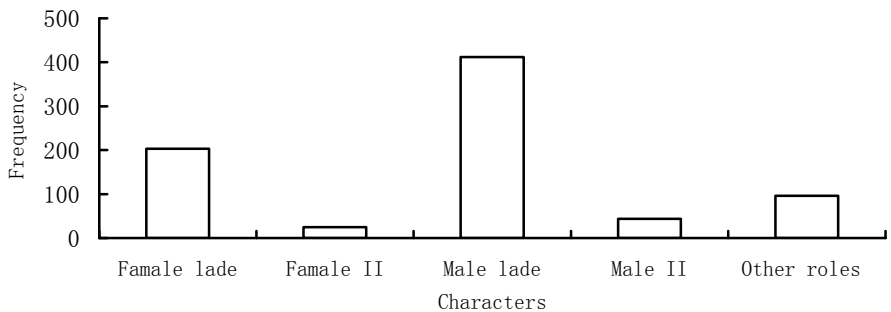Figure 1. The Preference of Film Categories

Figure 2. The Preferences of Characters

Study on Necessity to Cultivate English Pragmatic Competence of Non-English Majors

Huaru Chen

Foreign Language School, Linyi University

Linyi 276005, Shandong, China

E-mail:chenhuaru81@163.com

Abstract

English pragmatic competence is one of the major components of English communicative competence, but it has not aroused enough attention in college English teaching. From a survey on the status quo of English pragmatic competence among non-English undergraduate majors, this article explored and discussed necessity and feasibility to cultivate English pragmatic competence of students in college English teaching.

1. Introduction

With swift development of economic globalization, the type of talents required by the society is also taking subtle changes. Single technology-oriented talents are no longer recognized by the society, while diversified technology-oriented talents who are proficient both in professional knowledge and application of English are in great demand. This sort of talents has become gradually the major role on the stage of world economy and technology. Therefore, it seems extremely important to cultivate the English pragmatic competence of non-English undergraduate majors. However, some general undergraduate universities and colleges still remain at the level of form in terms of cultivation of English pragmatic competence of non-English majors, since they believe that English pragmatic competence is dispensable for non-English majors. As a consequence, in college English teaching, trainings on students' pragmatic competence are limited and students' pragmatic competence can't get effectively improved, which finally leads to difficult employment of university students after their graduation. The author attempted to start from a survey on the status quo of the English pragmatic competence of non-English undergraduate majors in general undergraduate universities and colleges and explored and discussed necessity and feasibility of cultivation of English pragmatic competence of non-English majors.

2. Theoretical foundation

2.1 What is pragmatic competence?

The word "pragmatics" was firstly put forward by the US Logician Morris in 1937. Morris definitely pointed out that, pragmatics was proposed to study relations between symbols and symbol interpreters. According to him, symbols were animate, while pragmatics was a field to study all psychological, physiological and social phenomena that happened with the effect of symbols (Morris, C.W., 1937). Thus, during that period, areas involved by pragmatics were quite extensive, including psychology, philosophy and cognitive science, etc.

However, the word "pragmatic competence" has not had a long history in the area of second language acquisition. Hymes (1971) proposed the idea that competence was knowledge and skill and classified communicative competence into four parts, namely, possibility, feasibility, appropriateness and performance (Hymes, D., 1971). Canal & Swaine (1980) generalized communicative competence accordingly as grammatical competence, social linguistic competence and strategic competence (Canal, M & Swain, 1980). With continuous development of deepening of the study, Widdowson (1989) again generalized communicative competence as the two major aspects of grammatical competence and pragmatic competence (Widdowson, H.G., 1978). Thus, it can be seen that, the pragmatic competence proposed by Widdowson included social linguistic competence and strategic competence, and occupied an important position in linguistic communicative competence. Then, what on earth is pragmatic competence? Pragmatic competence can be interpreted as the competence to employ language for appropriate communication, which can be simplified as the two major aspects of expression and

comprehension (He Ziran, 1997). That is to say, pragmatic competence is the competence of speakers to employ appropriate and accurate language to express their thought and apprehend the meaning and intention of what the other speaker says.

2.2 Types of pragmatic failure

In pragmatic linguistic failure, learners apply mechanically the pragmatic meaning of certain words or expressions with their own national language into their interpretation of a foreign language, or the foreign language they learn does not conform with the linguistic habits of the native speakers of this foreign language (He Ziran, 1997). In their intercultural communication, people often need to appropriately use the target language to convey their intention or thought to the others according to the linguistic environment which they are in. In pragmatic failure, affected by the habit of using their mother tongue, people often apply mechanically the thinking mode in their mother tongue into the target language in their intercultural communication with the target language, which results in their inability to correctly comprehend the actual intention of the other party and to appropriately express their speech intention, which is termed as linguistic usage failure. Pragmatic failure is mainly caused by ambiguous understanding of the cultural knowledge of the target language.

According to British Linguist Thomas (1983), pragmatic failure could be generally classified into two types, namely, linguistic pragmatic failure and social pragmatic failure (Thomas, J., 1983) . Linguistic pragmatic failure refers to expression means which do not conform with the linguistic habits and linguistic behavioral strategy of the target language, which is caused by learners' applying mechanically the linguistic habits in their mother tongue when there exist systematic differences between the target language (foreign language) and the mother tongue of the learners in terms of linguistic structure. This kind of pragmatic failure is usually caused by teaching failure or direct translation of the mother tongue. Social pragmatic failure refers to expression means that do not conform with the pragmatic principles of the target language, which is caused by ignorance of the cultural background knowledge in the target language among learners. These two types of pragmatic failures can both be improved and corrected by means of foreign language teaching.

2.3 Significance to grasp the English pragmatic competence

According to interpretation of Widdowson (1989) in linguistic communicative competence, namely, the communicative competence including the two aspects of grammatical competence and pragmatic competence, it is not difficult for us to find that correctness of language (grammatical competence) and appropriateness (pragmatic competence) both play an important role in linguistic communication. Nevertheless, appropriateness of language seems especially important in actual linguistic communication, because grammar mistake in communication with a second language can be explained to be nothing more than be non-proficient of the speaker in the second language, whereas inappropriate expressions with the second language in actual communication can be deemed as defective quality of the speaker or unfriendly performance of the speaker, especially in the situation when the speaker is able to speak the second language quite fluently, which might lead to communicative failure. Thomas (1983) believed that pragmatic failure was an important source for intercultural communication impediment (Thomas, J., 1983). Therefore, it seems quite important to pay attention to cultivating students' pragmatic competence in English teaching. However, in college English teaching in quite a large number of general undergraduate universities and colleges, acquisition of grammatical knowledge is still overemphasized, while cultivation of students' pragmatic competence is still neglected. The author of this article made a random sampling survey on the English pragmatic competence of students in a general undergraduate university, and the research result was worrying.

3. Survey and analysis

3.1 Respondents

The respondents we selected were non-English undergraduate freshmen and sophomores in a general undergraduate university in Shandong Province. The reason why we chose students of these two grades was that only freshmen and sophomores of non-English majors in Shandong Province are allowed to select college English course, whereas students of the other grades were not allowed to take this course. Since students of these two grades were receiving college English education, the frequency of their usage of English was relatively higher than students of other grades and their competence of application of English was also relatively better. Selection of students of these two grades was mainly aimed to grasp universality of the status quo of the English pragmatic competence among non-English majors.

3.2 Result of survey and analysis of the result

Insert Table 1 Here

From Table 2, it can be found that, although the test performance of pragmatic competence among students who entered the university in 2005 was slightly better than students entering the university in 2006, students with a score above 85 only accounted for 15.2%, whereas students with a score below 60 accounted for 23.1%. Generally speaking, the English pragmatic competence of students in this university was still at a medium-and-lower level. In order to further understand causes for pragmatic failure among university students, the author made a detailed study on the testing answer of students. Research result was shown in Table 2.

Insert Table 2 Here

From Table 2, it can be found that, pragmatic failure caused by ignorance of English habits accounted for 42%, whereas pragmatic failure that was caused by ignorance of the linguistic and cultural background of English speaking countries accounted for 58%. In terms of causes for failure, there was no significant distinction between the freshmen and sophomores. Thus, it can be found that, in college English teaching, teachers have not had enough teaching of English cultural background in the process of college English teaching, and their cultivation of students' pragmatic competence still remains at the level of form and has not been put into practice.

4. Discussion

In "College English Curriculum Requirements" that was promulgated in 2004, Ministry of Education definitely stipulated that, "the target of college English teaching is to cultivate the overall English application competence of university students, especially their listening and speaking competence so as to enable them to use English for effective oral and written communication of information in their work and social intercourse in the future." Six years later, when the author made a survey, the result showed that, the English pragmatic competence of non-English majors in general undergraduate universities is still not optimistic. Considering the entire survey result, only 12.2% of university students had a score above 85 in the test of pragmatic competence, whereas the number of students with a score below 60 accounted for 25.6% of the total number of students. This indicates that, the English pragmatic competence of non-English undergraduate majors in general undergraduate universities is still an important subject that is in urgent need to be resolved.

From an objective perspective, the ages of freshmen and sophomores in Chinese universities are generally concentrated within 18 to 20, and during this period students have already had strong cognitive competence and their internal speech in the process of English learning is manifested as characteristics of their mother tongue. Since they have in their mind had the thinking habit of their mother tongue, affected by the subconscious constraints and cultural dependence of the mother tongue, it is a frequent phenomenon that English learners seek for an expression means in their communication in English that corresponds with the mother tongue, starting out subconsciously from the culture of their mother tongue, which leads to pragmatic linguistic failure, termed as pragmatic transfer. This is reflected in selection of appellation, greetings, invitation, compliments, modesty words, leave-taking, apology words and euphemism, etc. However, if we analyze college English classroom teaching from a subjective initiative perspective, then it is not difficult for us to discover that another important factor that causes students' pragmatic failure lies in English classroom teaching. In English teaching, English teachers do not focus on teaching of English cultural background knowledge, but blindly pay attention to cultivation of students' pronunciation, vocabulary and grammatical competence, ignoring introduction to English language and culture background knowledge and cultivation of actual communicative competence. Although students cultivated under this sort of teaching model may have good performance in exams and the sentences they say almost have no grammatical mistakes, actually, lots of pragmatic failures exist, so the actual purpose of communication in English has no way to be achieved. This, to some extent, is called "high score and low ability". The US Linguist Edward Sapir ever said "There is always something behind language, and language can't go without culture. The so-called culture is the sum of habits and beliefs that are passed down in the society, which is able to determine our living organization." People who speak different languages may have misunderstandings of each other in their conversations as a result of cultural differences, even if the language they speak is accurate with no grammatical mistake. For different people, the same phrase or the same expression may have different meanings.

For example, there was such a subject during this test:

(When you meet your teacher whose name is Li in the morning), you'll say:

Good morning, _____.

82.2% students had such an answer: Good morning, teacher / teacher Li. This pragmatic failure was caused by simply indiscriminate application of expression means in the mother tongue.

Furthermore, we can also find that quite a large number of students bring the Chinese culture into English communication in greetings and leave-taking. During this test, we set up such an occasion, "when you meet with your foreign teacher in the campus, how would you like to make greetings or fall into talk with him/her?" Answers of 80% students included such sentences, "Where are going?" "What are you going to do?" and "Have you eaten?" As a matter of fact, in actual communication, this kind of problems may get foreign teachers displeased who have come to China for the first time, for they have a feeling in their mind that their privacy has been peeped by others, though Chinese students only intend to express their concern with foreign teachers and even those are nothing more than common words to make greetings with others with no implication at all. This kind of pragmatic failure is caused by excessive and mechanical copy of their native culture. Of course, the foreign teachers might also read the inquiry of "Have you eaten?" as a kind of invitation, mistakenly interpreting it as a hint that you want to invite them to dinner. When saying goodbye to others, Chinese people are accustomed to say "Man zou". Thus, there are some students who would directly translate this expression into English expression "Go slowly and carefully". This sort of Chinese concern and consideration will get no result but to make the foreigners confused and puzzled, since westerners usually just say "Good bye" or "See you".

The pragmatic failure we have talked above belongs to linguistic pragmatic failure, which can totally be overcome through classroom emphasis and repeated exercise. However, in practical teaching, quite a large majority of teachers mistakenly believe that this sort of issues won't affect the general situation which is beneath their notice, resulting in wrong and directed thinking mode of students. Actually, in international communication, westerners are quite pay great attention to their salutations to others, for in their eyes, salutations are affirmation of their identity and status in the society, and wrong salutations will naturally lead to unhappy endings. In addition, westerners concentrate a lot on their personal right of privacy, and they are intolerant if others enquire for the personal age, wage and marriage, etc. On the contrary, all these social elements are relatively transparent in China, which are also subjects that are often mentioned in daily life. Thus, one of the urgent issues to be resolved in intercultural communication is to try to resolve distinctions between Chinese culture and foreign language culture in terms of pragmatic aspect. The root source of pragmatic distinctions actually lies in distinctions in culture. Therefore, in college English teaching, teachers are absolutely forbidden to reduce cultivation of students' English pragmatic competence according to their likes and dislikes.

5. Conclusion

Bachman (1999) pointed out, linguistic competence was constituted by the competence to organize language and the pragmatic competence (Bachman, Lyle F., 1999). Thus, improvement of the pragmatic competence and communicative competence accompany with the entire process of language learning. Due to differences in geographical position, natural environment, origin of race, historical transition, religious belief and economic development, each nation has had its own culture to match with its own language. Hence, Ver-schueren said, "Pragmatics is to study linguistic phenomena and usage of language in people's behaviors from the cognitive, social and cultural perspectives." (Verschueren, Jef, 2000) Learning of linguistic knowledge and pragmatic cognition should be developed with an escalating trend in the same direction. In one word, although the English education in China has already achieved a high level, still lots of problems still exist. English teachers ought to be clearly aware that it is of no significance to purely teach English vocabulary, grammar and sentence structure in college English teaching. We have to adjust in time our teachers' teaching principle, enrich their teaching content and integrate effectively the pragmatic teaching into their teaching. Only in this way, can we comply with the basic rules of language teaching and can we cultivate a new type of talents to fit with the development of the times.

References

Bachman, Lyle F. (1999). *Fundamental Considerations in Language Testing*. Shanghai: Shanghai Foreign Language Education Press.

Canal, M & Swain. (1980). Theoretical Bases of Communicative Approaches to Second Language Teaching and Testing . *Applied Linguistics,* 1/1.

He, Ziran. (1997). *Pragmatics and English Learning*. Shanghai: Shanghai Foreign Language Education Press.

Hymes, D. (1971). Competence and Performance in Linguistic theory. In R. Huxley &E. Ingram (Eds.), *Language Acquisition :Models and Methods*. London: Academic Press.

Morris, C.W. (1937). *Logical Positivism, Pragmatism and Scientific Empiricism*. Paris: Hermannetlie.

Thomas, J. (1983). Cross-cultural Pragmatic Failure. *Applied Linguistics*, 2/4.

Verschueren, Jef. (2000). *Understanding Pragmatics*. Foreign Language Teaching and Research Press, Edward Arnold (Publishers) Limited.

Widdowson, H.G. (1978). *Teaching Language as Communication*. Oxford: Oxford University Press.

Table 1. Test result of pragmatic competence

Score / Number	100-85	84-75	74-60	Below 60
2005	15	23	37	24
2006	9	20	42	27
Total	24	43	79	51

Table 2. Causes for pragmatic failure

Causes for failure / Number of students (Percentage)	Linguistic pragmatic failure	Social pragmatic failure
2005	42.7%	57.3%
2006	41.3%	58.7%
Total	42%	58%

Reflection on Farmers' Participation in Rural Community Cultural Construction

Xiaoxia Zhang

School of Marxism, Changchun University of Science and Technology

Changchun 130022, China

E-mail: lkzxx@cust.edu.cn

Yonggui Lu

College of Mechanical and Electric Engineering, Changchun University of Science and Technology

Changchun 130022, China

E-mail: luyonggui@cust.edu.cn

Abstract

Farmers are the subject for rural community cultural construction. Development of rural community cultural construction can not go without participation of farmers. At present, there exist a lot of factors that impede farmers' participation in community cultural construction. Firstly, basic cultural facilities and occasions are lacking for participation of farmers. Secondly, farmers have no enough knowledge in community cultural construction and have relatively low autonomy in participation. Thirdly, the relatively low cultural quality of farmers also constrains the ability of farmers to participation in community cultural construction. This article puts forward several measures to promote farmers to participate in community cultural construction, such as, to strengthen community education, enhance the quality of farmers and intensify the enthusiasm and ability of farmers to participate; to enlarge capital investment to set up cultural facilities and occasions and to offer solid material foundations for farmers' participation; to cultivate positively community cultural organizations and to push forward farmers to participate in community cultural construction; to resort to community culture and elegant culture to enhance the rural cultural level and to absorb farmers to participate in community cultural construction.

Keywords: Rural community, Cultural Construction, Farmers' participation

Ever since the reform and opening up in China, with development of rural community cultural construction, importance of farmers to participate in rural community cultural construction becomes increasingly prominent. However, there exist a lot of impediments in farmers' participation in community cultural construction, which affects enthusiasm of farmers in participation. Without extensive participation of farmers, the condition that rural community cultural construction lags behind may not get fundamentally changed and the target of building a well-off society in an all-around way and building a new socialist countryside will also be difficult to be successfully realized. Thus, to attempt to explore an effective approach to promoting farmers to participate in rural community cultural construction has become a problem to be urgently resolved in boosting rural community cultural construction.

1. The significant meaning of farmers' participation in rural community cultural construction

For the time being, China is in the process of new rural construction, while as an important component of new rural construction, rural community cultural construction has significant meaning to boost coordinated rural economic and social development, which helps to push forward sustainable and rapid development of rural economy, promote industrialization and modernization of agriculture, keep rural social stability, promote rural spiritual civilization construction and prosper and enrich the spiritual and cultural life of the vast majority of farmers. "Fundamentally speaking, rural community cultural construction is the core of rural community construction and development, an indispensable part of rural socialist spiritual civilization, and also a component

for construction of socialism culture with Chinese characteristics as well as an important means to push forward construction of rural socialist material civilization, political civilization and spiritual civilization. (Zhang Guifang, 2004)

The subject for rural community cultural construction is farmers. In order to strengthen rural community cultural construction, without extensive participation of farmers, it is unlikely to achieve efficiency in rural community cultural construction. At present, a lot of regions and areas are bringing culture to the countryside, which greatly enriches the spiritual and cultural life of the vast majority of rural farmers, but this is nothing more than a holiday feast, since it is neither culture surrounding farmers nor it is able to totally resolve the cultural hunger and thirst of farmers. In order to really satisfy the cultural demands of farmers, it is necessary to make culture take roots in farmers and germinate and thus become culture of farmers themselves. (Mu Yifei, 2005) Hence, the best method to let farmers enjoy culture is to enable farmers to become participants and creators of culture. That is to say, rural cultural construction should not only serve the farmers, more importantly, but should mobilize the enthusiasm of farmers in creating new culture and let farmers become the subject for new rural cultural construction.

2. Analysis of relevant factors that impede farmers' participation in rural community cultural construction

Although rural community cultural construction can not go without participation of the vast majority of farmers, considering the status quo of Chinese rural community cultural construction, there still exist a lot of negative factors that impede farmers' participation in current rural community cultural construction, which mainly include the following three aspects:

Firstly, basic cultural facilities and occasions are deficient in participation of farmers in rural community cultural construction. Rural cultural infrastructure is the basic condition for rural community cultural development. Nevertheless, the current rural cultural infrastructure is quite laggard and is in serious shortage. Township cultural stations have weak functions, with insufficient funds investment, and the library has a serious shortage of materials. Rural public cultural service system is not complete. Moreover, since the existing cultural infrastructure is lacking in management and its development and employment is limited, some cultural infrastructure performs practically no function at all. As a result of laggard infrastructure and lack of hardware support of occasions for holding cultural activities, corresponding material conditions are also deficient in farmers' participation, which also leads to slow development of rural cultural undertakings. The laggard situation of rural cultural infrastructure seriously affects the enthusiasm of farmers in participation in rural community cultural construction. Thus, we have to take measures to strengthen construction and effective use of rural cultural infrastructure.

Secondly, farmers have no enough knowledge in rural community cultural construction, so their autonomy of participation is relatively low. Due to the closed rural living means, limit of social connection and narrowness of the life sphere, farmers are seldom edified by modern cultural life, so their cultural life is relatively poor and their economy is relatively laggard, rarely paying attention to rural community cultural construction in their thought and having limited knowledge in community cultural construction. Furthermore, with negative effects of the petty-farmer consciousness and market economy, some farmers, especially those with low cultural level, mistakenly believe that they can acquire wealth even if they have no culture. Thus, they are lacking in the consciousness to learn culture and to participate in culture. This condition causes some farmers to lack the enthusiasm in participating in community cultural construction of farmers who have relatively low autonomy of participation.

Thirdly, the relatively low cultural quality of rural community residents restrains the ability of farmers to participate. The quality condition of rural community residents affects the participation ability of farmers. Currently, the cultural quality condition of rural community residents is unoptimistic. According to statistics of the fifth national population census, the illiterate population in rural areas accounts for 11.55% of those at the age of 15 and above. Among the rural population at the age of 6 and above, those with an educational background of primary school account for 46%, those with an educational background of junior middle school account for 35.89% and those with an educational background of senior middle school and above account for 6.25%. (Data from the fifth population census) The low cultural level of farmers causes farmers to rarely read books or journals in their daily life, so their knowledge is relatively poor and their ability to accept modern culture is relatively weak, let alone innovation of culture and development of culture. It can be seen, the low cultural quality of farmers at present restrains their ability to participate in rural community cultural construction.

3. Countermeasures to facilitate farmers' participation in rural community cultural construction

In order for farmers to participate in development of rural community cultural construction, we have to take feasible and effective measures to enlarge farmers' participation and push forward community cultural construction.

Firstly, we ought to strengthen community education, improve the quality of farmers and intensify the enthusiasm and ability of farmers' participation. The condition of relatively low cultural quality among farmers is a major impediment factor for farmers' participation in community cultural construction, whereas the key to improve the quality of farmers is to develop education. We have to integrate community cultural education and information resources, vigorously develop rural education and set up perfect rural education system. In order to vigorously develop basic rural education, the key is to popularize and consolidate the nine-year compulsory education with emphasis. In the mean time, we have to vigorously popularize rural occupational education. We should take an initiative in bringing culture to the countryside and bringing technology into the countryside, integrate more knowledge of technology, law and market in cultural entertainment activities, enable rural farmers to learn more skills from those activities, really taste the peasant flavor of culture in the process of striving for a relatively comfortable life and to experience the value of culture, and stimulate the enthusiasm and creativity of farmers in rural community cultural construction.

Secondly, we have to enlarge funds investment and set up cultural facilities and occasions to furnish perfect material foundation for farmers' participation. Cultural facilities are the hardware for rural community cultural construction and are also the important material foundation for farmers to participate in community cultural construction. However, the key to cultural facilities is the problem of funds. Thus, we must extensively open the channel for funds sources and fully mobilize the enthusiasm of the country, collective and individuals. First of all, we should enlarge government investment vigor, adjust resource allocation, strengthen the public cultural service project construction led by the government, enhance the rate of coverage of rural broadcast television and network, speed up cultural information resource sharing project construction, pay attention to rural motion picture projection project and push forward "bringing technology, sanitation and culture to the countryside" and the construction of cultural projects for the benefit of the people, such as, rural book houses. At the same time, we have to give full play to the market mechanism, positively development rural cultural undertakings and cultural industry and offer funds support for rural cultural construction. Only in this way, can we speed up the pace of rural cultural facility construction, gradually improve the condition of laggard rural cultural construction and build perfect conditions for farmers to participate in rural community cultural construction.

Thirdly, we have to take an initiative in cultivating community cultural organizations and encouraging farmers to participate in community cultural construction. Positive cultivation of rural community cultural organizations can change the current situation of a few rural community cultural activities and sterile cultural life. To improve the abundance of farmers' cultural activities and satisfy farmers' demands on culture also helps to organize farmers to participate in community cultural construction, promote farmers' enthusiasm in participation and enhance the construction level of rural community culture. For example, ever since 2003 when Taizhou in Zhejiang Province started construction of rural cultural clubs, altogether 3282 standard cultural clubs have been set up, which have become the paradise for local farmers' leisure and recreation, knowledge learning, experience of advanced culture and propagandizing civilized local customs. (Note 1) In order to cultivate rural community cultural organizations, the first thing to do is to pay attention to explore local characteristic culture, set up different styles of community cultural organizations and hold characteristic cultural and artistic activities that farmers are delighted to hear and see. Then, we have to continuously enlarge cultivation of the team of rural cultural talents, attempt to set up a cultural backbone team that belongs to farmers themselves and furnish important talents resources for rural community cultural activities and community cultural organizations. For instance, in Wanggeda Village Wangzhuangzi Town Bazhou in Hebei, farmers show favor for acting in an opera and have automatically set up farmers' opera troupes. This village made an investment of 2 million Yuan to construct farmers' parks and a capacious and high theatrical stage to offer activity occasions for farmers' opera troupes. On this stage, four small opera troupes in this village take turns to have a performance. Theatre fans from all surrounding villages come here to listen to an opera and act in an opera. Since farmers have abundant spare-time cultural life, gambling and superstition have no market at all. (Geng Jiankuo, Lin Yuhong, Wang Guohui & et al., 2007)

Fourthly, we may resort to urban culture and elegant culture to enhance rural cultural level and attract farmers to participate in community cultural construction. Ever since the reform and opening up in China, construction of rural community culture has had great development. However, compared with development of urban cultural construction, rural community cultural construction still lags behind, and is unable to satisfy cultural demands of

farmers, which also affects enthusiasm of farmers to participate in community cultural construction. On the contrary, the holistic level of urban cultural construction is far higher than rural cultural construction in that its cultural facilities are quite complete and its cultural talents are quite concentrated who have accumulated abundant advanced experiences in terms of community cultural construction and can offer reference for rural community cultural construction. Thus, we have to make full use of urban cultural advances to enhance rural cultural level and push forward rural community cultural construction. We may turn to urban culture to play its irradiative function in rural culture, take an initiative in performing activities of "bringing culture to countryside" and "poverty alleviation of culture" so as to continuously enrich rural cultural battlefield, encourage urban cultural artistic practitioners to go deep to countryside and create more and better literature and artistic quality goods that reflect rural characteristics of the times and that farmers are delighted to hear and see, give full play to superiority of higher artistic colleges and universities in cultivation of talents and foster cultural talents for rural community. Through all the above feasible work, we have strengthened irradiative power and influential power of rural community culture and encourage farmers to take an initiative in participating in rural community cultural construction. On the basis of automatic organizing opera troupes for folk Chinese opera and cultural activities, the municipal government of Bazhou in Hebei Province resorts to urban culture and elegant culture to build regional cultural brand and enhance the cultural level of rural community opera. The local government made an investment of more than 50 million Yuan to establish Li Shaochun Memorial Hall (Great Theatre) and invited a batch of famous opera troupes and some well-known performance artists from Beijing and Tianjin to give a performance in the local theatre. "They have opera performance each month there". "On 28th of each month when is the day of an opera performance, villagers from all towns of Bazhou and surrounding towns and counties come here to enjoy themselves". "We invite nation-level performance troupes to our village, so that the farmers may cost little or cost no at all to enjoy a high level performance. Therefore, their cultural life is enriched and their quality is enhanced. Our people are quite satisfied", said Huai Junling, the Curator of Li Shaochun Memorial Hall. (Geng Jiankuo, Lin Yuhong, Wang Guohui & et al., 2007) Bazhou in Hebei Province has enhanced the opera cultural level of local rural farmers by inviting famous performers to give a performance, which also has improved the local community cultural construction level and promoted participation of farmers in community cultural construction.

References

Geng, Jiankuo, Lin, Yuhong, Wang, Guohui & et al. (2007). Bazhou: Making Farmers Participate in Cultural System Construction. *Guangming Daily,* November 12, (5).

Mu, Yifei. (2005). Farmers Participation --- Key to Enrich Rural Culture. *Rural Economy*, (2).

Population Census Office under the State Council, National Bureau of Statistics, Department of Population, Social, Science and Technology Statistics. (2002). *Population Census Data of China in 2000* (Volume 1). Beijing: China Statistics Press, 623-632, 639.

Zhang, Guifang. (2004). Discussion on Cultural Construction of Rural Community at a Transitional Stage. *Lanzhou Academic Journal,* (5):213.

Note

Note 1. Cultural Paradise: Walking towards Ordinary People. [Online] Available: http://www.taizhou.com.cn/a/20090404/content_104402.html

Human and Social Capital Development for Self Efficacy of University Graduates: Bases for Development of Society

Dr. Shoukat Ali Raza

Assistant Professor, IER, University of the Punjab, Lahore, Pakistan

Dr. Muhammad Aamir Hashmi

Assistant Professor, IER, University of the Punjab, Lahore, Pakistan

Ms Ashi Zeeshan

Assistant Professor, IER, University of the Punjab, Lahore, Pakistan

Faiz. M. Shaikh

Assistant Professor, SZABAC-Dokri-Larkana, Pakistan

E-mail: faizmuhammed_2000@yahoo.com

Abir Hassan Naqvi

Lecturer, Dept. of Technology, IER, University of the Punjab, Lahore, Pakistan

Abstract

The study investigated perceptions of students and employers about the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates. How students and employers were viewing the development of human and social capital for self efficacy of university graduates; which areas of development skills were relatively stronger; and which sectors of industry or discipline of study were more satisfied or worried about were the questions answered in the study. Students of 4 public and 4 private universities and managers of 65 companies from 12 sectors of industry listed with Lahore Stock Exchange constituted the sample. Data were collected through an adopted, 30-item survey scale which was found reliable at 0.930 Cronbach's alpha. Mean scores and correlations were calculated for the four sub-scales. One-Sample t-test, Independent samples t-test, and one-way ANOA were employed for significance and variance analysis. The study concluded that students and employers were not fully satisfied with the development of human and social capital for self efficacy of university graduates. Intellectual development skills got the highest position whereas personal development skills were found at the lowest position. Professional and social development skills were found in the middle. This situation reflects performance of universities below standards and speaks of under utilization of their potential for contributing to the development of society. Serious initiative for the development of human and social capital for self efficacy of university graduates was the major recommendation.

Keywords: Human capital, Social capital, Self efficacy, Development of society

1. INTRODUCTION

The success or failure of graduates in practical life reflects individual and collective characteristics categorized as their human capital, social capital and self efficacy for which universities may be held responsible.

Human capital is a key factor of production which increases the employability in the job market (Son, 2010) as it is the reflection of cognitive ability of individuals that helps them understand and implement technologies in job activities (Hanushek & Kimko, 2000) and results in greater competitiveness and performance of employees and employers (Agarwala, 2003: Marimuthu, Arokiasamy, & Ismail, 2009). It may be taken as the knowledge, skills,

and other attributes of individuals that enhance their productivity and earnings (Organization for Economic Cooperation and Development 1998; Schuller, 2000; Son, 2010) that ultimately causes growth of productivity and wealth of the society (Schuller, 2000; Son, 2010) in terms of GDP (Son, 2010). This potential for growth and survival (Manolova et al., 2002) could be generated through education, training and other professional initiatives. Garavan et al. (2001) summarized human capital attributes as creation of individual flexibility and adoptability; enhancement of individual competencies; increasing individual employability; and causing organizational survival. It focuses on individual agent; measures schooling duration and qualifications; provides productivity, income, health and civic activity as its outcomes; and models linear representation (Schuller, 2000).

After the description of human capital, now comes social capital. Social capital as introduced by Hanifan (1916) to explain the importance of community participation in enhancing school performance, means "shared norms or values that promote social cooperation" (p. 29) between two or more individuals for common ends (Fukuyama, 2002). The author reported that the concept of social capital could not get much popularity and vanished from the scene. However, it reentered the social science glossary in the 1980s. Social capital is produced through professional education as its byproduct; religion, history and globalization; social rules and norms; public goods such as property rights and public safety; and private sector or civil society growth (Fukuyama, 2001; 2002). It causes the realization of human capital's potential through relationships between different groups as well as within groups (Schuller, 2000) by reducing the transaction costs of contracts through coordination among a group of people possessing no social capital (Fukuyama, 2001).

Social capital is a key element in both economic development and stable democracy (Fukuyama, 2002) as networks open doors for entrepreneurs by "providing market access, financing, distribution channels, referrals and a pool of contacts for both internal and external development" (Coviello 2006: 723). Adler and Kwon (2002) a positive impact of social capital on job search, career success, inter-unit resource exchange, entrepreneurship, supplier relations, regional production networks, and inter-company learning. It could also produce positive externalities in people through teaching of social virtues like honesty, reciprocity, and dependability (Fukuyama, 2002). It focuses on relationships; measures attitudes/values, participation and trust levels; provides social cohesion, economic achievements and more social capital as its outcomes; and models interactive/circular representation (Schuller, 2000).

The description of human and social capital establishes that these are actually the skills, demanded for entry in the job market and success on the job, to be acquired through university education which is considered to be the main source for acquiring such skills. Students, therefore, are taking university education as a way to job market (Lawrence & Sharma, 2002) and demand knowledge that meets world-wide job standards (Nagy, 2006). Responding to this demand, universities are restructuring their processes accordingly (Sohail & Daud, 2006) as students are motivated to select only those universities which fulfill this demand (Song-Ae, 2005) and are developing and applying specific quality standards (LeBlanc & Nguyen, 1997; Dinham, 2006) in teaching learning process (Seah & Edward, 2006) such as identified in Education Sector Reforms Action Plan 2001-2004 (Government of Pakistan, 2001) in order to position their product in international markets (Seah & Edward, 2006). Universities are under pressure to provide quality education (Mishra, Koehler, & Zhao, 2007) to meet the demand of stakeholders (Higgs, 2007). The quality of higher education characterized with the human and social capital of students, is being measured through their generic skills or "range of qualities and capacities" (Hager, Holland, & Backett, 2002:2) categorized as intellectual development skills, personal development skills, professional development skills, and social development skills (Raza, Majid, & Zia, 2010) necessary for getting jobs and causing societal growth. The development of human and social capital leads to the development of self efficacy of the students which is described below.

Self efficacy is the belief about potential to achieve desired outcomes (Bandura, 1994, 1997; Maddux & Gosselin, 2003). Maddux and Gosselin (2003) delimited self efficacy as not competencies, skills and abilities; simply predictions about behavior; intentions to behave or attain desired goals; outcome expectations; perceived control; causal attributions; self-esteem; and traits to make the concept clearer.

Self efficacy may be developed through four ways (Bandura, 1994; Luthans, Luthans, & Luthans, 2004) namely mastery experiences or performance attainment--- the success stories; vicarious experiences provided by social models---watching people with similar characteristics; Social persuasion---getting motivated; and physiological and psychological arousal---reducing stress reactions. The authors described self efficacy as positive psychological capital that focuses on strengths rather than weaknesses, health and vitality rather than illness and pathology. They established that traditional economic capital (what you have i.e. finances and other tangibles) generates human capital (what you know i.e. knowledge, skills, and experience) that leads to the development of

social capital (who you know i.e. networks of contacts) which results in positive psychological capital (who you are i.e. confidence, hope, optimism).

The university faculty, again is supposed to guide students apply these models to make them confident players and successful members of community as students in higher education institutions struggle to map their professional identities (Hamel & Ryken, 2010). They can play their role in developing human and social capital and self efficacy of students which are attributes of students' development (Luthans, Luthans, & Luthans, 2004; Coviello 2006; Son, 2010) necessary for economic and social development of the society (Devlina & Samarawickremab, 2010).

Emphasizing the value of human and social capital and self efficacy of university graduates, the current study was designed to investigate perceptions of students and employers about the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates; compare these perceptions of students and employers in terms of gender; sector of industry; designation; qualification; experience of managers; respondents; discipline of study; sector of universities; and universities. To pursue these objectives, the study answered these questions:

1. What are perceptions of students and employers about the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates?

2. Is there any significant difference in the perceptions of students and employers about the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates? and

3. Is there any significant difference in the perceptions of students and employers about the development of human and social capital for self efficacy of university graduates in terms of gender; sector; designation; qualification; and experience as independent variables?

2. METHODOLOGY

The study is based on primary data collected from the students studying at master level in 08 (04 public and 04 private) universities of Lahore, Pakistan, affiliated with Higher Education Commission. A multistage sampling technique was employed. At first, 40% stratified random sampling was used to select 3.6 (i.e. 4) out of nine public universities and 4.4 (i.e. 4) out of eleven private universities to ensure the same proportion of sample as it was in the population. At the next stage, one-third (14) faculties were randomly selected from (41) available faculties of sample universities. Then, one-third (32) departments were randomly selected from (85) available departments of sample faculties of the sample universities. At the end, a spectrum of 800 students, 25 from each sample department, constituted the sample as given in table 1. The public-private split was 650 and 150 students.

Insert Table 1 Here

The second component of the sample was built by 65 managers from 188 randomly selected companies taken from 12 sectors of industry out of 37 listed sectors (Lahore Stock Exchange, 2010).

Raza, Majid, and Zia (2010) used a scale built on 30 employability skills and reported its four significant factors namely intellectual development skills (10 items), personal development skills (9 items), professional development skills (8 items), and social development skills (3 items) generated through principal component factor analysis. They reported the Cronbach's alpha reliability of the instrument as 0.9481. These skills were revisited by a panel of four corporate mangers having more than five years of university teaching experience along with the researchers (Henderson-King & Smith, 2006) and found them really translating human capital, social capital and self efficacy of university graduates. Therefore, the same instrument was adopted for the purpose of this study and found reliable at 0.930 Cronbach's alpha.

Data were collected by the third and fourth researchers during March 2010. The responses were quantified as 5 for strongly agree; 4 for agree; 3 for partially agree; 2 for disagree; and 1 for strongly disagree over the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates. Taking mean score 3.0 (Aksu, 2003) as the cut point, mean scores significantly above 3.0 were taken as representing respondents' agreement over the development of human capital, social capital and self efficacy of university graduates. Whereas mean scores 3.0 and below were taken as representing respondents' disagreement over the development of human capital, social capital and self efficacy of university graduates.

Mean scores and correlations were calculated for factors of the scale. One-sample *t*-test, independent samples *t*-test and one-way ANOA were employed for significance and variance analysis.

3. FINDINGS

The respondents included 800 students and 55 managers divided as 298 (256 students; 42 managers) males and 557 (544 students; 13 managers) females. Response rate remained 100% for students and 85% for managers. The discipline distribution of students revealed 400 respondents from social sciences; 150 from business; 150 from medical; 50 from IT; and 50 from languages. Mangers were from Sugar, 9; Banking, 8; Food, 7; Cement, 6; Auto, 5; Leasing, 4; Synthetics, 4; Glass & Ceramics, 3; IT, 3; Oil & Gas, 2; Paper & Board, 2; and Tobaco, 2. Among these 12 were operation managers; 9 production managers; 8 finance managers; 8 HR managers; 7 marketing managers; 6 accounts managers; and 5 quality managers. The qualification split of these managers was as 10 master and 45 graduate degree holders. Among these, 12 mangers possessed 0-5 years; 24 held 6-10 years; 12 had 11-15 years; and 7 were having above 15 years of work experience.

The correlations found between intellectual development skills, personal development skills, professional development skills, and social development skills as factors and the whole scale are given in table 2.

Insert Table 2 Here

Table 2 indicates that the correlations between factors are weak as compared against their correlations with the whole scale for development skills and this relationship reflects the uniqueness of these factors and strong participation in the whole scale. These findings too establish the validity of the instrument for the purpose of this study.

Despite the difference of opinion among the respondents, their collective opinion is found inclined towards the agreement over the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates as revealed by combined mean scores for the four factors (table 3) that range from 3.734 to 3.850.

Insert Table 3 Here

The table 3 shows mean scores for students and employers falling above the rejection region (03) but below the complete agreement level (04). In this state of affairs, intellectual development skills (3.850) getting the highest position whereas personal development skills (3.734) factor gets the lowest position. Professional development skills (3.765) and social development skills (3.763) are almost at same position in the middle. The alpha values for all the factors are above 0.6 that further validate the instrument.

Analysis of the open-ended question revealed that only 17 managers, out of 55, responded in three coded categories. Nine mangers highlighted deficiency in market exposure; six mangers pointed out lack of adoptability; and two managers outlined the inflexibility of university students.

Similarly, analysis of the background variables such as gender; sector of industry; designation; qualification; and experience of managers revealed no significant difference of opinion among the respondents over the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates. However, other categories such as respondents; discipline of study; sector of universities; and universities themselves marked significant differences as given below.

Insert Table 4 Here

Table 4 points out employers as less satisfied when compared with students over the development of human and social capital in terms of intellectual development skills, professional development skills, and social development skills for self efficacy of university graduates. However, there was no significant difference of opinion between them over personal development skills.

Insert Table 5 Here

Table 5 points out private sector performing better as compared with pubic sector universities as a whole.

Insert Table 6 Here

Table 6 points out significant difference of opinion among the students of different fields of study over the development of human and social capital for self efficacy of university graduates in terms of development skills. The Tukey's HSD post hoc test for variance revealed weak position of social sciences against all other disciplines in all the four areas of development skills. Medical was found strong against all other disciplines in personal development skills and against social sciences and business in professional and social development

skills. Otherwise there was no significant difference of opinion among students of social sciences; business; medical; IT; and languages.

Insert Table 7 Here

Table 7 indicates significant difference of opinion among the students of sample universities over the development of human capital, social capital for self efficacy of university graduates in terms of development skills. The Tukey's HSD post hoc test for variance revealed KEMU relatively better in all categories of development skills. The position of other newly established public sector universities was found weak against private and old public universities. PU had no significant difference with LUMS in intellectual and social development skills and with KEMU in intellectual development skills. Otherwise, there was no significant difference of opinion among the students of sample universities.

4. DISCUSSION

The current study pursued three basic questions. The first one was regarding the perceptions of students and employers about the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates. The mean scores for intellectual, personal, professional and social development skills are inclined towards the agreement of the respondents over the development of human and social capital for self efficacy of university graduates. But this agreement is weak as all the means are below 4.0 that reflect the situation where students and employers are not fully satisfied over the principal attributes of university graduates. It means that universities are performing below the job market standards. A possible cause of this trend may be the underperformance of university faculty in imparting these development skills to help students fulfill the job market needs and contribute towards the development of the society. These results are consistent with Song-Ae (2005), Sohail and Daud (2006), Coviello (2006), Higgs (2007), Marimuthu, Arokiasamy, and Ismail (2009), Devlina and Samarawickremab (2010), Hamel and Ryken (2010) and Son (2010) providing answer to the first research question that leads to the of first objective of the current study.

The second dimension of the study was the significant difference in the perceptions of students and employers about the development of human and social capital in terms of intellectual development skills, personal development skills, professional development skills, and social development skills for self efficacy of university graduates. These sub-scales have been found significant with alpha values (0.902), (0.737), (0.809), and (0.641) respectively (Gursoy & Umbreit, 2005) for the purpose of this study. The correlations within these factors were weak and correlations of these factors with overall scale were strong that further enhance their significance (Morgeson, & Humphrey, 2006). Intellectual development skills include generation and understanding of new knowledge, using and disseminating the same with confidence; personal development skills cover continuous self-growth and confidence; professional development skills mean the demonstration of entrepreneurial abilities for innovation and creativity and performance at work place; and social development skills emphasize commitment to social justice, exhibition of approved mannerism, and service of the community as the basic requirements of the profession (University of Sydney, 2004; Truckee Meadows Community College, 2007).

The findings of the study prioritized intellectual development skills (3.850); professional development skills (3.765); social development skills (3.763); and personal development skills (3.734) at first, second, third, and fourth position respectively as perceived by students and employers. It means that though students and employers were not fully satisfied with the development of human and social capital for self efficacy of university graduates (Song-Ae, 2005; Zieber, 2006; Higgs, 2007; Tierney, 2008; Doyle, 2008), they perceived that intellectual development skills of graduates were comparatively better. Their opinion about professional and social development skills were almost at same level whereas they placed personal development skills of university graduates at lowest level. One possible reason of this situation might be indifferent attitude of faculty to develop personal skills of their studetns (Lawrence & Sharma, 2002). Professional and intellectual development skills need more faculty intervention as these are below the desirable level (Hager, Holland, & Backett, 2002). The situation with social development skills needs special consideration as it reflects weak social interactions between faculty and students (Sahu, 2002; Gabriel, 2008). In this way the study provided answer to the second question.

Similarly, the third aspect of the study was to explore the significant difference in the perceptions of students and employers about the development of human and social capital for self efficacy of university graduates in terms of gender; sector; designation; qualification; and experience as independent variables.

Analysis of the background variables such as gender; sector of industry; designation; qualification; and experience of managers revealed no significant difference of opinion among the respondents over the

development of human and social capital for self efficacy of university graduates. This tendency reflects the same mind set in all these categories over the unsatisfactory state of affairs. However, other categories such as respondents; discipline of study; sector of universities; and universities themselves marked significant differences among the respondents.

Employers are less satisfied as compared with students over the development of human and social capital for self efficacy of university graduates. However, there was no significant difference of opinion between them over personal development skills. Private sector is found performing better as compared with pubic sector as a whole. The weak position of social sciences against all other disciplines in all the four areas of development skills is evident. Medical is found strong against all other disciplines in personal development skills and against social sciences and business in professional and social development skills. This tendency gets support also from the university analysis where KEMU is relatively better in all categories of development skills. No significant difference of opinion is found among students of social sciences; business; medical; IT; and languages. It means that they all are equally dissatisfied. The position of certain newly established public sector universities is found weak against private and old public universities and this tendency may reflect their weak systems. PU has no significant difference with LUMS in intellectual and social development skills and with KEMU in intellectual development skills. This tendency could be taken as healthy sign and may speak of the commitment of PU quality assurance. These perceptions of students and employers provide answer to the third and last question of the study.

Analysis of the open-ended question also revealed lack of market exposure, adoptability, and flexibility in the graduates that shook further the confidence of employers. These findings are consistent with Song-Ae (2005), Zieber (2006), Higgs (2007), Tierney (2008), and Doyle (2008). This situation speaks of relative inability of universities in playing their mandatory roles (Zieber, 2006; Doyle, 2008; Tierney, 2008), required to inculcate development skills in the students to make them fit for the job markets.

5. CONCLUSION

Students and Employers were not fully satisfied over the development of human and social capital in terms of intellectual, professional, personal, and social development skills for self efficacy of university graduates. This situation reflects performance of Pakistani universities below the standards of job market in preparing quality graduates. This issue of sub-standard quality of human and social capital for self efficacy of university graduates becomes more complex when they go to compete in international job markets. This is not just a question of satisfaction of students and employers; it is also a description of potential weakness of Pakistani universities for contributing to the economic and social development of country which is their mandatory role as laid down in the National Education Policy and this situation creates a difficult position of the educational leaders to account for the heaviest investment of government in higher education sector.

6. RECOMMENDATIONS

The current study provided bases for recommending Pakistani universities to revisit their teaching learning processes and take appropriate measures for improvement upon the unsatisfactory state of human and social capital development for self efficacy of their graduates. They need to focus on their mandatory roles in preparing quality graduates for job markets to realize the national higher education objectives for materializing the dream of nation for development of Pakistani society.

The government of Pakistan is heavily investing in higher education and universities should ensure at least return of investment if they are not in a position to ensure return on investment. Appropriate human resource policies such as continues faculty development and students' evaluation of faculty should be made a regular feature of Pakistani universities to produce quality graduates who could better contribute to the development of society.

References

Adler, Paul S., and Seok-Woo Kwon. (2002). Social capital: Prospects for a new concept. *Academy of Management Review,* 27(1), 17-40. doi:10.5465/AMR.2002.5922314, http://dx.doi.org/10.5465/AMR.2002.5922314

Agarwala, T. (2003). Innovative human resource practices and organizational commitment: An empirical investigation. *International Journal of Human Resource Management*, *14*(2), 175-197. doi:10.1080/0958519021000029072, http://dx.doi.org/10.1080/0958519021000029072

Aksu, M. B. (2003). TQM readiness level perceived by the administrators working for the central organization of the Ministry of National Education in Turkey. *Total Quality Management & Business Excellence*, *14*(5): 595-608. doi:10.1080/1478336032000053609, http://dx.doi.org/10.1080/1478336032000053609

Bandura, A. (1994). Self-efficacy. In V. S. Ramachaudran (Eds.). (1998). *Encyclopedia of human behavior* (Vol. 4, pp. 71-81). New York: Academic Press.

Bandura, A. (1997). *Self-efficacy: The exercise of control*. W.H. Freeman (New York). 42-50.

Coviello, N. E. (2006). The network dynamics of international new ventures**.** *Journal of International Business Studies*, 37(5): 713–731.

Devlina, M. & Samarawickremab, G. (2010). The criteria of effective teaching in a changing higher education context. *Higher Education Research & Development, 29*(2): 111-124. doi:10.1080/07294360903244398, http://dx.doi.org/10.1080/07294360903244398

Dinham, S. (2006). A good teacher in every classroom, Book review [Article Excerpt]. *Australian Journal of Education*. [Online] Available: http://goliath.ecnext.com (July 14, 2007)

Doyle, W. (1986). Classroom organization and management. In M. Wittrock, (Ed.), *Third Handbook of Research on Teaching* (pp.392-431). New York: Macmillan.

Fukuyama, F. (2001). Social capital, civil society and Development. *Third World Quarterly*, 22(1): 7–20. doi:10.1080/713701144, http://dx.doi.org/10.1080/713701144

Fukuyama, F. (2002). Social Capital and Development: The Coming Agenda. *SAIS Review*, 22(1): 23-37. doi:10.1353/sais.2002.0009, http://dx.doi.org/10.1353/sais.2002.0009

Gabriel, K. F. (2008). *Teaching Unprepared Students: Strategies for Promoting Success and Retention in Higher Education*. Stylus Publishing.

Garavan, T. N., Morley, M., Gunnigle, P., & Collins, E. (2001). Human Capital accumulation: The role of human resource development. *Journal of European Industrial Training*, 25(2/3/4): 48-68.

Government of Pakistan. (2001). *Education Sector Reforms Action Plan 2001-2004*. Islamabad: Ministry of Education.

Gursoy, D., & Umbreit, W. T. (2005). Exploring students' evaluation of teaching effectiveness: What factors are important? *Journal of Hospitality & Tourism Research*, *29*(1): 91-109. doi:10.1177/1096348004268197, http://dx.doi.org/10.1177/1096348004268197

Hager, P., Holland, S., & Backett, D. (2002). *Enhancing the learning and employability of graduates: The role of generic skills*. Melbourne: The Business/Higher Education Round Table.

Hamel, F. L. & Ryken, A. E. (2010). Rehearsing professional roles in community: teacher identity development in a school–university partnership. *Teacher Development, 14*(3): 335-350. doi:10.1080/13664530.2010.504015, http://dx.doi.org/10.1080/13664530.2010.504015

Hanifan, L.J. (1916). The Rural School Community Centre. *Annals of the American Academy of Political and Social Sciences*, 67, 130-38. doi:10.1177/000271621606700118, http://dx.doi.org/10.1177/000271621606700118

Hanushek, E., and D. Kimko. (2000). Schooling, Labor Force Quality, and the Growth of Nations. *American Economic Review,* 90(5): 1184-208. doi:10.1257/aer.90.5.1184, http://dx.doi.org/10.1257/aer.90.5.1184

Henderson-King, D., & Smith, M. N. (2006). Meanings of education for university students: academic motivation and personal values as predictors. *Social Psychology of Education*, *9*(2): 195-221. doi:10.1007/s11218-006-0006-4, http://dx.doi.org/10.1007/s11218-006-0006-4

Higgs, P. (2007). *What is Quality in Higher Education?* [Online] Available: http://www.philosophy-of-ducation.org:443/conferences/pdfs/ Higgs% 202007%20PESGB.pdf (June 25, 2007)

Lahore Stock Exchange. (2010). *Sector Wise OHLC*. [Online] Available: http://www.lahorestock.com/MarketInformation/SectorWise.aspx (March 4, 2010)

Lawrence, S., & Sharma, U. (2002). Commodification of education and academic labor: using the balanced scorecard in a university setting. *Critical Perspectives on Accounting*, *13*(5/6): 661-667. doi:10.1006/cpac.2002.0562, http://dx.doi.org/10.1006/cpac.2002.0562

LeBlanc, G., & Nguyen, N. (1997). Search for excellence in business education: an exploratory study of customer impressions of service quality. *International Journal of Educational Management*, *11*(2): 72-79. doi:10.1108/09513549710163961, http://dx.doi.org/10.1108/09513549710163961

Luthans, F., Luthans, K. W., & Luthans, B. C. (2004). Positive psychological capital:Beyond human and social

capital. *Business Horizons, 47*(1): 45-50. doi:10.1016/j.bushor.2003.11.007, http://dx.doi.org/10.1016/j.bushor.2003.11.007

Maddux, JE & Gosselin, JT. (2003). Self-efficacy. In M. R. Leary & J. P. Tangney (Eds.). (2005). *Handbook of Self and Identify*, pp.218-238. New York: Guilford.

Manolova, T.S., Brush, C.G., Edelman, L.F. and Greene, P.G. (2002). Internationalization of Small Firms. *International Small Business Journal, 20*(1): 9-31. doi:10.1177/0266242602201003, http://dx.doi.org/10.1177/0266242602201003

Marimuthu, M., Arokiasamy, L. & Ismail, M. (2009). Human Capital Development and Its Impact on Firm Performance: Evidence from Developmental Economics. *The Journal of International Social Research, 2*(8): 265-272.

Mishra, P., Koehler, M. J., & Zhao, Y. (Eds.). (2007). *Faculty Development by Design: Integrating Technology in Higher Education*. Information Age Publishing.

Morgeson, F.P. & Humphrey, S.E. (2006). The Work Design Questionnaire (WDQ): Developing and Validating a Comprehensive Measure for Assessing Job Design and the Nature of Work. *Journal of Applied Psychology*, 91(6): 1321-1339. doi:10.1037/0021-9010.91.6.1321, http://dx.doi.org/10.1037/0021-9010.91.6.1321

Nagy, J. (2006). Adapting to market conditions: plagiarism, cheating and strategies for cohort. *Studies in Learning, Evaluation, Innovation and Development, 3*(2): 37-47.

OECD. (1998). *Human Capital Investment: An International Comparison*. Paris: Organization for Economic Cooperation and Development, Centre for Educational Research and Innovation.

Raza, S. A., Majid, Z, and Zia, A. (2010). *Perceptions of Pakistani University Students about Roles of Academics Engaged in Imparting Development Skills: Implications for Faculty Development*. Paper accepted for publication in Bulletin of Education and Research, Institute of Education and Research, University of the Punjab, Lahore, Pakistan.

Sahu, A. (2002). *Teaching Philosophy: On Some Aspects of Teaching Style*. [Online] Available: http://faculty.coppin.edu/pagesasahu/philosophy_Teaching.html (July 7, 2007)

Schuller, T. (2000). Social and Human Capital: The Search for Appropriate Technomethodology. *Policy Studies, 21*(1): 25–35. doi:10.1080/014428700113991, http://dx.doi.org/10.1080/014428700113991

Seah, W. T., & Edward, J. (2006). Flying in, flying out: offshore teaching in higher education [Article Excerpt]. *Australian Journal of Education*. [Online] Available: http://goliath.ecnext.com (July 14, 2007)

Sohail, M. S., & Daud, S. (2006). Restructuring a higher education institution: A case study from a developing country. *International Journal of Educational Management*, 20(4): 279-290. doi:10.1108/09513540610665397, http://dx.doi.org/10.1108/09513540610665397

Son, H. H. (2010). *Human Capital Development*. ADB Economics Working Paper Series No. 225. Manila: Asian Development Bank.

Song-Ae, H. (2005). Good teachers know where to scratch when learners feel itchy: Korean learners' views of native-speaking teachers of English [Article Excerpt]. *Australian Journal of Education*. [Online] Available: http://goliath.ecnext.com (July 14, 2007)

Tierney, W. G. (2008). *The Impact of Culture on Organizational Decision-Making: Theory and Practice in Higher Education*. Stylus Publishing.

Truckee Meadows Community College (TMCC). (2007). *General Education: Learning Outcomes and Assessment Handbook*. [Online] Available: http://www.tmcc.edu/vp/aa/downloads/documents/ GenEdHandbook.pdf (August 23, 2007)

University of Sydney (USyed). (2004). *Generic Attributes of Graduates of the University of Sydney* (Academic Board Resolution). [Online] Available: http://www.itl.usyd.edu.au/GraduateAttributes/unipolicy.pdf (July 16, 2007)

Zieber, M. P. (2006). *Tutor's Role*. (NURS 3008-Introduction to Baccalaureate Nursing, School of Health Sciences, University of Lethbridge). [Online] Available: http://www.uleth.ca/hlsc/courses/nursing/ 3000/Nurs3008.pdf (July 5, 2007)

Annexure

QUESTIONNAIRE

Dear respondent,

Universities are supposed to inculcate the following skills in students for developing their human and social capital for their self efficacy so that they could perform better at work place and contribute towards the development of society. Please read the skills given in four broader areas and encircle the most appropriate response options against them where 5 = SA (Strongly agree); 4 = A (agree); 3 = PA (Partially agree); 2 = DA (Disagree); and 1 = SDA (Strongly disagree).

Development Skill	Rating Scale				
Intellectual development skills (IDS)	**SA**	**A**	**PA**	**DA**	**SDA**
Analytical ability	5	4	3	2	1
Evaluation	5	4	3	2	1
Knowledge development	5	4	3	2	1
Diversity management	5	4	3	2	1
Problem solving	5	4	3	2	1
Critical thinking	5	4	3	2	1
Assessment	5	4	3	2	1
Knowledge management	5	4	3	2	1
Learning	5	4	3	2	1
Decision-making	5	4	3	2	1
Personal development skills (PERDS)	**SA**	**A**	**PA**	**DA**	**SDA**
Communication	5	4	3	2	1
Teamwork	5	4	3	2	1
Confidence	5	4	3	2	1
Interpersonal affairs	5	4	3	2	1
Information literacy	5	4	3	2	1
Compare and contrast ability	5	4	3	2	1
Workplace behavior	5	4	3	2	1
Personality development	5	4	3	2	1
Information and communication technology	5	4	3	2	1
Professional development skills (PRDS)	**SA**	**A**	**PA**	**DA**	**SDA**
Forecasting	5	4	3	2	1
Conflict management	5	4	3	2	1
Customer-service	5	4	3	2	1
Fairness	5	4	3	2	1
Leadership	5	4	3	2	1
Job preparedness	5	4	3	2	1
Professionalism	5	4	3	2	1
Subject knowledge	5	4	3	2	1
Social development skills (SDS)	**SA**	**A**	**PA**	**DA**	**SDA**
Ethics	5	4	3	2	1
Socialization	5	4	3	2	1
Citizenship	5	4	3	2	1

Thank you very much for your time.

Table 1. University-wise Students' Sample

Sector	Universities	Faculties		Departments		Students
		Total	Taken	Total	Taken	
P	University of the Punjab (PU)	13	4	27	9	225
U	Lahore College for Women University (LCWU)	4	1	17	6	150
B	Govt. College University (GCU)	3	1	15	5	125
L	King Edward Medical University (KEMU)	5	2	18	6	150
I	Total public sector contribution	**25**	**8**	**77**	**26**	**650**
C						
P	Lahore University of Management Sciences (LUMS)	3	1	3	1	25
R	University of Central Punjab (UCP)	5	2	2	2*	50
I	University of Management and Technology (UMT)	3	1	1	1*	25
V						
A	Superior University (SU)	5	2	2	2*	50
T	Total private sector contribution	**16**	**6**	**8**	**6**	**150**
E	Grand Total	**41**	**14**	**85**	**32**	**800**

* Faculties based on single department

Table 2. Correlation of Factors with the Whole Scale for Development Skill

Factors	Personal development skills	Professional development skills	Social development skills	Development Skills
Intellectual dev skills	0.459(**)	0.452(**)	0.456(**)	.952(**)
Personal dev skills		0.321(**)	0.430(**)	.880(**)
Professional dev skills			0.391(**)	.756(**)
Social dev skills				.774(**)

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

Table 3. Alpha, Mean Scores and One-Sample t-Test for Development Skills

Sub-Scales	Alpha	Respondent	N	Mean	SD	t-values
Intellectual Development Skills	0.902	Students	800	3.885	0.775	30.832*
		Employers	55	3.347	0.806	6.147*
		Total	855	3.850	0.788	31.545*
Personal Development Skills	0.737	Students	800	3.743	0.585	35.906*
		Employers	55	3.604	0.596	9.024*
		Total	855	3.734	0.587	36.588*
Professional Development Skills	0.809	Students	800	3.792	0.624	26.334*
		Employers	55	3.371	0.831	6.663*
		Total	855	3.765	0.647	34.592*
Social Development Skills	0.641	Students	800	3.786	0.702	39.918*
		Employers	55	3.424	0.766	6.466*
		Total	855	3.763	0.712	31.330*

$p<0.05$

Table 4. Independent Samples t-test against Respondents for Development Skills Factors

Sub-Scales	Respondents	N	Mean	SD	*t*
Intellectual development skills	Students	800	3.885	0.775	4.959*
	Employers	55	3.347	0.806	
Personal development skills	Students	800	3.743	0.585	1.702
	Employers	55	3.604	0.596	
Professional development skills	Students	800	3.792	0.624	4.737*
	Employers	55	3.371	0.831	
Social development skills	Students	800	3.786	0.702	3.671*
	Employers	55	3.424	0.766	

*p<0.05

Table 5. Independent Samples t-test against Sector of Universities for Factors of Skills

Sub-Scales	Sector	N	Mean	SD	*t*
Intellectual development skills	Public	650	3.819	0.809	-5.103*
	Private	150	4.171	0.519	
Personal development skills	Public	650	3.695	0.615	-4.935*
	Private	150	3.953	0.370	
Professional development skills	Public	650	3.770	0.643	-2.136*
	Private	150	3.890	0.525	
Social development skills	Public	650	3.725	0.731	-5.215*
	Private	150	4.051	0.482	

*p<0.05

Table 6. One way ANOVA against Discipline of Study for Development Skills Factors

Sub-Scales	Group	SS	MS	df	*F*
Intellectual development skills	BG	75.685	18.921	4	37.177*
	WG	404.616	0.509	795	
Personal development skills	BG	48.344	12.086	4	42.626*
	WG	225.408	0.284	795	
Professional development skills	BG	11.919	2.98	4	7.929*
	WG	298.782	0.376	795	
Social development skills	BG	69.577	17.394	4	42.599*
	WG	324.617	0.408	795	

*p<0.05

Table 7. One way ANOVA against University for Development Skills Factors

Sub-Scales	Group	SS	MS	df	*F*
Intellectual development skills	BG	164.134	23.448	7	58.737*
	WG	316.167	0.399	792	
Personal development skills	BG	101.936	14.562	7	67.126*
	WG	171.816	0.217	792	
Professional development skills	BG	39.815	5.688	7	16.63*
	WG	270.886	0.342	792	
Social development skills	BG	151.222	21.603	7	70.418*
	WG	242.973	0.307	792	

*p<0.05

An Exploration on the "Positioning" of Tutors in Undergraduate Tutorial System

Haijing Zuo & Qingdong Yu

Department of Agriculture, Dezhou University, Dezhou 253000, China

E-mail: zhjss@126.com

Abstract

The implementation of undergraduate tutorial system in colleges is a new tendency for the reform of college teaching system, and also a new trial for the reform of college management system. In order to ensure the successful implementation of undergraduate tutorial system, the position of tutors turns to be the key. For this issue, authors make an in-depth analysis from tutors' qualities, responsibilities, methods of guidance, and the incentive system of tutorial system, hoping to advance useful references for improving and perfecting the system.

Keywords: Connotations of tutorial system, Connotations of tutors, Positioning of tutors, Incentive system

1. Introduction

The undergraduate tutorial system is a newly-created system between teachers and students as a matter of fact. It is an institutional arrangement and also an institutional constraint. The so-called "institutional arrangement" means a newly-created platform for communication and exchange between teachers and students, offering a new way for students learning and creating. The so-called "institutional constraint" means dual constraints on teachers and students due to the implementation of tutorial system, and the constraints are mainly imposed on teachers. Most practices of tutorial system in colleges show that the position of tutors is the key for the success of tutorial system both theoretically and practically. Only by defining tutors' qualities, responsibilities, and methods of teaching based on a high standard, plus reasonable and effective incentive system, can it guarantee a positive operation of undergraduate tutorial system.

2. Connotations of tutorial system

The undergraduate tutorial system means that professional teachers in colleges take the responsibility of tutors, providing suggestions and guidance for students' learning, thinking, living, communication, and career planning. Meanwhile, professional teachers, as tutors, should assist and cooperate with student counselors in work. Connotations of undergraduate tutorial system should include two aspects. First, professional teachers should play a leading role in education. Second, students should behave as the main subjective during their growing and leaning process. The second aspect means that students must deal with learning and living activities seriously. Under the guidance of professional teachers, students can achieve the active and independent leaning, fulfilling the purpose of comprehensive development and personality development (Jinong Liu, 2010).

The undergraduate tutorial system, as an effective solution to the contradiction of "mass production" and "individual needs", organically combines the universality of undergraduate education and the targeted training objectives, being a useful supplement for regular school education.

3. Connotations of tutors

Yu Han, an ancient Chinese litterateur, said: "A teacher is to convey knowledge and answer questions." In the undergraduate tutorial system, professional teachers are college students' life mentors and close friends. In recent years, colleges' management mode of "educating people by teaching, educating people by management, and educating people by serving" fully emphasizes teachers' awareness of educating people, and sense of mission and responsibility. Teachers should regard teaching and educating people as sacred responsibility and obligation. In the past, most teachers only focus on conveying knowledge, but neglect the ultimate purpose of teaching, namely, educating people. On other words, their awareness of educating people is weak. Tutors in the tutorial system mean to personalize the education, specify the targets, and integrate the teaching and the educating.

Meanwhile, tutors can get close to students during the process of tutoring, and integrate the transfer of knowledge into the directives of life by knowing students' minds and needs, further improving the quality of teaching.

4. Positioning of tutors

4.1 The quality of tutors

(1) Tutors are professional teachers with morals and professional competency.

(2) Tutors must hold a firm and correct political orientation, love the motherland, and support the leadership of the Communist Party and the socialist system; be loyal to the education cause of the Party, follow the professional ethics of teachers, teaching tirelessly with noble manners.

(3) Tutors must possess high-level professional knowledge and reasonable knowledge structure, be familiar with laws of education, and be capable of offering professional directions for students.

(4) Tutors should be selected from professional teachers with Master Degree or senior titles after necessary training.

4.2 Responsibility of tutors

The responsibility of tutors basically includes five aspects: ideology, professional assistance, living guidance, psychological help, and career planning (Fandong Zeng, 2004).

(1) In terms of ideology, tutors should help students to establish a correct outlook on life and values, to consciously resist the erosion of evil ideas, and to grow into high-quality talents, useful to the motherland and the society.

(2) In learning, tutors should help students to understand their potentials and personalities, teach them how to study well and how to get the ability of creative learning. Help students to correct learning attitudes, stimulate their enthusiasm for study, and improve the quality of learning.

(3) In daily life, tutors can be a guide. Help students to adapt to college life with parent love. Help them to establish life goals, correct attitudes to life, develop good habits, and improve the quality of life.

(4) In terms of psychology, tutors should keep effective communication with students, listen to their hearts, help them to solve problems and confusions in learning and living, eliminate kinds of psychological problems and mental disorders timely, reduce psychological pressures, help them to establish optimistic and positive attitudes to life, and improve their abilities of dealing with frustrations.

(5) For career planning, tutors can help students to know their abilities and interests better, help them to make correct decisions for careers, improve students' abilities of adapting to professions, and prepare them for employment.

4.3 Tutoring measures

Tutors can help students by following ways (Lijuan Wu, 2010):

(1) Group tutoring: Tutors gather all students and give general face-to-face direction by means of lectures or meetings.

(2) Individual tutoring: Tutors give special directions to students by solo conversations considering different personalities of students.

(3) Online tutoring: Tutors can supply online chat directions for students who refuse to face tutors in person due to psychological problems or characters.

(4) Telephone tutoring: Tutors can give parent-like directions to students by telephone for some burst problems or psychological problems

(5) Tutoring by letters: Tutors can communicate with students effectively by exchange of letters. Listen to their thoughts, help them to solve problems in learning and living, eliminate kinds of psychological problems timely, and reduce psychological pressures.

5. Incentive mechanism for undergraduate tutorial system

In most colleges, the supervision system and incentive mechanism for undergraduate tutorial system are imperfect, such as the ineffective incentive methods, assessing the teaching by quantity, insufficient direction, without fundamental evaluation. As a result, some tutors lack of enthusiasm for the tutorial system. And few tutors even completely drop the responsibility except the title. Therefore, it is urgent to amend and regulate the tutorial system according to actual situations.

5.1 Grasp the principles of tutor incentive mechanism

(1) The principle of combining spiritual incentive with material incentive

College teachers have a strong sense of independency. They pay more attention to self-realization. Therefore, spiritual incentive should be more lasting and effective in a sense. However, under the circumstance of market economy, knowledge is an important part of capital. To capitalize knowledge is also an important incentive factor. College teachers possess super professional techniques after a long period of study. Higher income can motivate their enthusiasm for tutoring. Therefore, it is very important to apply the principle of combining material incentive and spiritual incentive to practice.

(2) The principle of emphasizing on society and fairness

In designing the undergraduate tutorial system, colleges should not only consider the situations of colleges, but also think about the social and psychological influences, making best use of social comments as much as possible. Meanwhile, take full account of conditions of teachers and other related staff, and make sure that the incentives are equal for them all. Treat all teachers equally.

(3) The principle of differentiation and diversity

Because of huge differences of students, and the diversified effects of social development and external changes on tutors, the incentive measures should be flexible. The same incentive measure will repress teachers' enthusiasm. Therefore, we should adopt different incentives for different student groups, or assess the grades of tutors by comprehensive evaluation, in order to improve their enthusiasm for tutoring, satisfying tutors' needs for self-esteem and self-realization.

(4) The principle of transparency

The undergraduate tutorial system should be commitment to transparent policy constitution, transparent incentive procedures, and transparent incentive results. Only by means of the three aspects, can the incentive policy be vital, and incentive behavior be encouraging, achieving the sustainable development of undergraduate tutorial system.

5.2 Effective measures for the tutor incentive mechanism

The undergraduate tutorial system needs a scientific incentive mechanism and effective incentive measures.

(1) Implement the tutor appointment mechanism

A complete implementation of tutor appointment mechanism is a fundamental measure for an incentive mechanism. Set up positions for needs and appoint tutors. Make competitive rules for positions. Evaluate the work of tutors and achieve contract managements. Change the tutor management system from title management to position management. Finally, appointed tutors treat their students carefully and other teachers have to win competitions by improving themselves in order to become tutors. Thus form a dynamic virtuous incentive cycle and enhance the tutors' spirits of dedication to positions.

(2) Establish a strict and reasonable system for assessment and evaluation

Assessment is an important part of scientific management. To make an accurate assessment of tutors' performances is an important way for encouraging teachers. The assessment needs reasonable standards. Take students' satisfaction degree and success as the baseline and design scientific and dynamic indexes and contents for the assessment. And set up serious scientific procedures. The assessment should be mainly based on quantities, together with quality. Insist to the principle of flexibility and reality. Assessment results should be publicized and timely feedback to tutors. Awards should be given in time, no halo effect or taking in turn. Adopt different kinds of rewards based on different standards. And the incentives should be accurate and fair.

(3) Handle the relationship of different incentives

In the incentive mechanism, we should pay attention to handle four kinds of relationships: 1) The relationship of material incentive and spiritual incentive. Impose equal importance to material incentive and spiritual incentive. Emphasize on the combination of the two and never neglect any of them. 2) The relationship of internal incentive and external incentive. Use internal incentive to strengthen college teachers' self-awareness and initiatives, with the assistance of external incentive. 3) The relationship of positive incentive and negative incentive. Highlight the positive incentive for tutors and make full use of excellent examples. Use negative incentive to warn. 4) The relationship of fair incentive and inclined incentive. Under normal conditions, incentives should be fair and just. However, in order to achieve specific purposes, some inclined incentives, such as special and different incentives, are necessary under certain conditions (Shuisheng Chen & Huanrong Li, 2005).

6. Tutors should handle two kinds of relationships properly

6.1 Properly handle the relationship of tutors and teachers

There are huge differences between tutors and teachers. Tutors should be complex talents, with complex knowledge, professions, and thinking. Teachers merely possess common knowledge and specialty. Besides, tutors should take full responsibilities for students in educating and teaching. They not only teach but also educate the students. They teach generally and individually, considering students' common characteristics and personality development. Therefore, examine the quality of tutors strictly. Tutors must be teachers, but teachers are not necessary good tutors.

6.2 Properly handle the relationship of tutors and counselors

Tutors should combine their work with counselors' work organically. Tutors are mainly responsible for giving directions for students' morals, learning, life, psychology, and career planning. Individual guidance is the chief part. Counselors focus on daily management. They organize students to design and develop activities. They give ideological helps to students. Focusing on the same objects, the work of tutors and counselors has overlapped part and also different part. Only by properly handle the relationship of tutors and counselors, can we ensure the normal operation of undergraduate tutorial system.

References

Chen, Shuisheng & Li, Huanrong. (2005). An exploration of the motivation of teachers in institutions of higher education in China. *Journal of Wuyi University (Social Sciences Edition)*, No.5.

Liu, Jinong. (2010). On undergraduate tutorial system. *Modern Enterprise Education*, No.4.

Wu, Lijuan. (2010). Investigation and research on undergraduate tutorial system implementation. *Journal of Shenyang Normal University*, No.1.

Zeng, Fandong. (2004). Thoughts on undergraduate tutorial system. *Forum on Contemporary Education*, No.10.

Call for Manuscripts

Asian Social Science is a peer-reviewed journal, published by Canadian Center of Science and Education. The journal publishes research papers in the fields of arts, sociology, politics, culture, history, philosophy, economics, management, education, statistics, laws, linguistics and psychology. The journal is published in both printed and online versions, and the online version is free access and download.

We are seeking submissions for forthcoming issues. The paper should be written in professional English. The length of 3000-8000 words is preferred. All manuscripts should be prepared in MS-Word format, and submitted online, or sent to: ass@ccsenet.org

Paper Selection and Publication Process

a). Upon receipt of paper submission, the Editor sends an E-mail of confirmation to the corresponding author within 1-3 working days. If you fail to receive this confirmation, your submission/e-mail may be missed. Please contact the Editor in time for that.

b). Peer review. The journal uses double-blind system for peer-review; both reviewers and authors' identities remain anonymous. The paper will be peer-reviewed by three experts; one is an editorial staff and the other two are external reviewers. The review process may take 2-3 weeks.

c). Notification of the result of review by E-mail.

d). The authors revise paper and pay publication fee.

e). After publication, the corresponding author will receive two copies of printed journals, free of charge.

f). E-journal in PDF is available on the journal's webpage, free of charge for download.

Requirements and Copyrights

Submission of an article implies that the work described has not been published previously (except in the form of an abstract or as part of a published lecture or academic thesis), that it is not under consideration for publication elsewhere, that its publication is approved by all authors and tacitly or explicitly by the responsible authorities where the work was carried out, and that, if accepted, it will not be published elsewhere in the same form, in English or in any other languages, without the written consent of the Publisher. The Editors reserve the right to edit or otherwise alter all contributions, but authors will receive proofs for approval before publication.

Copyrights for articles published in CCSE journals are retained by the authors, with first publication rights granted to the journal. The journal/publisher is not responsible for subsequent uses of the work. It is the author's responsibility to bring an infringement action if so desired by the author.

More Information

E-mail: ass@ccsenet.org

Website: www.ccsenet.org/ass

Paper Submission Guide: www.ccsenet.org/submission

Recruitment for Reviewers: www.ccsenet.org/reviewer.html

The journal is peer-reviewed
The journal is open-access to the full text
The journal is included in:

AMICUS
Australian Business Deans Council
Canadiana
DOAJ
EBSCOhost
Google Scholar
Library and Archives Canada
Lockss

Open J-Gate
PKP Open Archives Harvester
ProQuest
The Excellence in Research for Australia
Ulrich's
Universe Digital Library
Wanfang Data

Asian Social Science
Monthly